

Risk ID	Short Risk Title	Long Description	Risk Owner	Nature of Risk	Controls and mitigations in place	Residual Risk (with controls in place)			Target Risk		Further actions	Direction of travel (from previous quarter)
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Strategic risks												
STR004	Future financial pressures and uncertainty	The uncertainty and therefore lack of clarity on impact of changes in the national and regional political landscape, legislative changes and local government funding changes (e.g. lack of new funding for pressures in Adult Social Care and business rates localisation) that affect LBB services could lead to further reduction of the in-year budget resulting in non-achievement of MTFS target, reduction in service quality, resident dissatisfaction, deterioration of services, use of reserves and reputational damage. This could also have an impact on the existing overspend by increasing it.	Chief Executive	Finance	We have some contingency and reserves in place to mitigate the short term impact. We undertake forward planning, regularly updating our budget assumptions and monitoring the Government's fiscal announcements. However, we also maintain flexibility within existing plans to instigate recruitment freezes in non-front line services whilst long term plans are being put into place. We also maintain good contacts with central Government, to remain as informed as possible.	5	4	20	5	2	Tolerate	Increased
STR003	Delivery of transformation programmes	If there are challenges with resource recruitment, changes in market conditions, changes in political decisions, change resistance, poor project management, budgetary management and engagement (staff and residents), this could lead to failure to deliver major transformation programmes, specifically Brent Cross, Mill Hill depot, Colindale office relocation, Adults & Communities ADM, Libraries programme and Social Care Practice Improvement and failure to maintain a balanced budget over the MTFS period resulting in resident dissatisfaction, disruption to services, financial loss, and reputational damage	Chief Executive	Finance	We have clear leadership in place through our Strategic Directors, and the decision-making process is well understood. Our governance structure is set up to support delivery, with member challenge. Our annual finance and business planning processes also support this.	5	3	15	5	2	Treat	Same
STR007	Significant safeguarding incident	If Council services and partners do not effectively manage their relevant safeguarding risks, this could lead to a safeguarding incident resulting in potential harm to individuals and/or families, potential legal challenge, resident dissatisfaction, public scrutiny	Chief Executive	Statutory duty	Children: elements of the Practice Improvement Plan have been implemented, including training. We also have a supervision policy and practice standards, and undertake quality assurance activity. We adhere to Pan London safeguarding procedures and processes, and ensure scrutiny and oversight of safeguarding via assurance reports to the lead member, SCB Assurance, Barnet Safeguarding Board, and the Social Work Improvement Board Adults: adherence to the London multi-agency safeguarding adults Policy & Procedures. Training programme. Supervision policy and practice standards. Quality assurance programme in place including case audit, supervision audit, performance monitoring. Assurance reports to SCB Assurance, Barnet Safeguarding Adults Board and PQA sub-group; also to Adults committee and HWB annually.	5	3	15	5	3	Treat	Same
STR001	Sufficient skilled and experienced resources in the marketplace	If there is a challenging recruitment market that impacts the ability to recruit and retain the right staff with the right skills, and causes a lack of stability of senior management, this could lead to limitations in the competency and capability of the workforce to deliver statutory responsibilities and / or corporate objectives resulting in potential legal challenge, impact on financial targets - savings and income, reduced service to residents, reduced residents satisfaction, loss of corporate memory and reputational damage	Assistant Chief Executive	Compliance	There is a new unified reward package, focused on improving the offer to the market. We are building the Council's reputation externally, and have a tailored recruitment programme in place, as well as a graduate and apprentice programme. Our "The Way We Work" programme includes new offices in Colindale, and we are overall making Barnet a better place to work.	4	3	12	4	2	Treat	Same
STR002	Capacity for business continuity responsiveness	If there is insufficient resource or capability to deal with crisis, such as those involving critical local infrastructure, and insufficient testing of Business Continuity Plans / incident response plans, the Council may be unable to respond effectively in the event of a crisis resulting in financial loss, disruption to services, resident dissatisfaction and reputational damage	Deputy Chief Executive	Business continuity	The Council has a corporate Business Continuity Strategy and Plan, and we maintain a network of business continuity leads, with quarterly meetings on this subject. We carry out bi-annual desktop tests, including live reporting. Plans are in development to test our arrangements through live scenarios.	4	3	12	4	2	Treat	Increased

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STR006	Complexity of partnership working in the Borough	Differences of geographical footprint and governance structures of key strategic partners (e.g. NHS, NLWA) exacerbated by any changes in leadership may lead to conflicting priorities between partner agencies, including in the use of critical local infrastructure, resulting in non achievement of targets, increased risk of safeguarding incidents, resident dissatisfaction, ineffective allocation of resources and reputational damage	Chief Executive	Statutory Duty	We maintain good relationships with strategic partners, and have aligned our strategic plans where possible. We also hold regular update meetings with these partners, and members and senior officers are represented on key strategic boards.	4	3	12	4	2	Treat	Same
STR011	Impact of change in policies	If there is a change in policies or in priorities across the Council / for specific Committees, this would result in increased workloads across the council associated with reworking of strategies, impacting on finances and ability to operate within budget	Chief Executive	Business continuity	Decisions are made in accordance with legal advice, and the Council undertakes forward planning at the corporate level. The risk to the budget is controlled by the MTFS and business planning process, and members are fully engaged. A draft budget for 2017/18 is out for public consultation, and has been updated to reflect the Local Government Finance Settlement. Briefings have been sent to all councillors and senior management.	4	3	12	4	3	Tolerate	Same
STR012	Potential Health & Safety incident or negative impact on wellbeing of Barnet employees, Members and members of the public	If health & safety / compliance policies & procedures are not sufficiently developed, tested or adhered to by officers, Members or the Council's contractors, this could lead to an incident resulting in harm to Barnet employees/council members/members of the public, legal challenge and reputational damage	Chief Executive	Health and safety	H&S policies and processes around managing compliance are in place (available on the intranet), and the five civic buildings are being managed effectively. There are plans to identify gaps for other council stock (though these are not yet implemented). Training is undertaken so staff can find the right information, with some advertising on the intranet, and first team messaging to staff. Leaflets are distributed among the workforce. We have a web-based portal for referrals, with HR leading on some of these. There is a "split" service, allowing access to additional H&S advice available as required, but alongside Barnet-based staff with H&S knowledge of local issues carrying out monitoring activities (including H&S audits and inspections) as well as a statutory officer in place. We have systems to collect information on incidents, and undertake regular H&S audits and reports to senior officers and Committees.	4	3	12	4	3	Treat	Same
STR008	Successful challenge to the decision-making process	If statutory obligations to consult as are not considered as part of the decision making process by any part of the organisation (retained or commissioned) when they are required to be, this may lead to successful legal challenges to the decision-making process resulting in, judicial review of process, which has implications for officers and Members, and could lead to reputational damage	Chief Executive	Statutory Duty	Corporate advice and guidance on decision-making are in place, with a clearance process. Senior officers and members have oversight of decisions	5	2	10	5	2	Tolerate	Same
STR009	Contract management and clienting of contracts	If commercial and commissioning roles & responsibilities are not clearly defined and realisable or understood by officers and Members, and / or there are inadequate finance controls, this may lead to ineffective contract management & clienting, resulting in delivery of poor level of service, inappropriate decision-making weakening the negotiating position, and financial loss/overspend	Chief Executive	Statutory Duty	We have a contract management framework, with policy and procedures in place for commercial and commissioning activity. The Council's Commercial Team oversee this work, with SROs. We undertake contract monitoring, and members have oversight through the Performance and Contract Monitoring Committee and the Audit Committee. Opportunities for improving this work have been highlighted through the CSG contract review.	4	2	8	3	2	Treat	Same

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STRO10	Potential Fraud, bribery or corruption incident	If there are ineffective internal controls, governance arrangements, and neither fit for purpose nor adhered to policies and procedures, this could lead to the Council being unable to prevent an incident of organised or high value fraud, bribery or corruption resulting in loss of revenue, cost to the business (disposal and prosecution), staffing issues and reputational damage	Section 151 Officer	Finance	<p>The Council observes financial regulations, internal controls and standing orders, and contract procedure rules. There is a counter-fraud framework, including a whistleblowing policy. The Council also has an employee code of conduct, which includes a gifts and hospitality policy, and other HR Policies are in place. There is oversight by the Audit Committee, a dedicated fully qualified independent fraud team (CAFT), and an internal audit team.</p> <p>The CAFT have a risk-based joint work plan (with Internal Audit) and also conduct proactive fraud drives and also the Fraud Awareness Programme and advice. CAFT conduct Fraud Risk Assessments and Data Matching initiatives (such as the National Fraud Initiative) in high fraud risk areas. They are able to respond to referrals of fraud and investigate them through to the appropriate outcome. They work closely with HR where internal fraud also raises disciplinary issues and also are the only authorised team to conduct financial investigations on behalf of the council under Proceeds of Crime Act.</p>	3	3	9	3	3	Treat	Same
STRO13	Effective response to internal and external changes (political and economic)	Due to the complex nature of services provided, demographic changes and macroeconomic changes, the Council may be unable to effectively respond in an agile way to internal and external changes (political and economic) resulting in not being able to deliver organisational objectives, financial impact and reputational damage	Chief Executive	Business continuity	The Council undertakes forward planning at the corporate level, as well as business planning. The corporate risk management framework and audit process also control this risk.	5	2	10	5	1	Treat	Same
STRO14	Implementation of Elections reviews	If the recommendations of the Smith Review into Barnet's election processes & procedures are not implemented, this could lead to an inability to deliver elections in compliance with national legislation and statutory guidance - raising the risk of: a successful challenge of election results, the loss of confidence in the electoral function, and ultimately a court ruling to re-run an election (with subsequent financial consequences and reputational damage)	Chief Executive as the Returning Officer	Statutory Duty	<p>The recommendations of the Heath review were implemented (May/June 2016).</p> <p>The wider electoral services review independent Smith review was completed in November and presented at the November General Functions Committee.</p> <p>In summary, Dr Smith's review found that the Electoral Registration and Elections Services in Barnet has strong and effective professional knowledge and experience and is compliant with both the law and Electoral Commission guidance, but that there are areas in which the services can be challenged to perform at a higher level and achieve beyond compliance.</p> <p>Dr Smith's report proposed 16 recommendations for Barnet's Electoral Registration and Elections services. These recommendations were all accepted by the Council and the Returning Officer and initial responses were presented with further work for full implementation of the review's recommendations within 2017.</p>	4	2	8	4	2	Treat	Same
STRO16	Neglecting Corporate Parenting duty	The Council and its partners neglecting to fulfil their duty as Corporate Parents could lead to poorer outcomes for children in care and care leavers across key areas including education, health and placements, resulting in an increased gap between children in 'care/care leavers' and their peers in the shorter term and poorer outcomes in the longer term.	Strategic Director of Children and Young People	Statutory Duty	<p>A joint motion by Councillors to Full Council in November 2015 resulted in a the Barnet Care Leavers Pledge. The Child in Care council has been refreshed and the advocacy service is active across Family Services. A Child in Care improvement plan is being implemented. The Virtual School has invested in a strong structure and resources are targeted to improve outcomes, including through the PEP process.</p> <p>The 'Onwards and Upwards' care-leaving service is located in a town centre, where care leavers can access support and a broad range of multi-agency services. Strategic links have been developed with key partners</p>	3	3	9	3	2	Treat	Same

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STR017	Exposure to cyber-security attack	Connecting to untrusted networks (such as the Internet) exposes IT networks to attacks that seek to compromise the confidentiality, integrity and availability of ICT and the information they store and process.	Director of Resources	Business Continuity	Policies and risk management approaches to protect IT networks developed and implemented; and security controls applied, including patch upgrades.	4	2	8	4	1	Treat	NEW
STR018	Incident management	An information security incident (e.g. a cyber-security attack) disrupts IT networks leading to a loss of access to information assets and disruption to council services.	Director of Resources	Business Continuity	Incident management policies in place to improve resilience, and support business continuity, including regular assessment of information assets.	4	2	8	4	1	Treat	NEW
STR019	Fire health and safety	Failure to sufficiently manage policies and procedures around H&S (including fire) could lead to an incident that results in structural damage to property, litigation/compliance breach; financial loss, personal injury or death.	Director of Resources	Health and safety	H&S policies and processes for managing compliance in respect of the council's estate and homes are in place; H&S audits and inspections are carried out in accordance with policy; and fire risk assessment (FRAs) are undertaken and reported and actioned for all residential housing managed by Barnet Homes and main housing association partners.	4	2	8	4	1	Treat	NEW
High level service/joint risks												
Adults and Communities (5)												
AC001	Increased overspend to meet statutory duties	Adults & Communities Delivery Unit could have insufficient resources to meet its statutory duties due to operating in an environment in which there is inherent uncertainty in future demand for services, exacerbated by a potential inability to deliver savings, reduced ability to raise income from clients, the rising cost of care, other in year financial pressures due to unexpected demand, the increasing complexity and cost of care packages, and legislative changes. This could result in harm to individuals, legal challenge, worsening budget overspend, and reputational damage.	Adults and Communities Director	Compliance	The Council's budget management process (MTFS) forecasts demographic growth and pressures over a 3 year period. Budget and performance monitoring and management controls are used throughout the year. Work to reduce addressable spend (such as expenditure on agency staff) is being carried out in year. The Joint Strategic Needs Assessment will identify future demand pressures, and the Council will undertake initiatives focused on reducing and managing future demand in response, including the Adults' New Operating Model/ Alternative Delivery Vehicle which focus on reducing demand for services and finding more creative ways to manage complex need.	5	3	15	3	3	Treat	Same
AC002	Failure of care provider	A care provider could suddenly be unable to deliver services, due to: - provider going into administration - failure of regulatory inspection relating to quality of service - care provider chooses not to deliver services - HS&E breach leading to operational disruption to manage the situation, harm to individuals by not having their care and support needs met, unexpected financial consequences, breach of statutory duty,	Head of Integrated Care Quality	Business continuity	For contracted services, extensive due diligence is carried out before and during any contract. The Delivery Unit carries out ongoing contract management and monitoring to ensure it continues to engage with providers, complemented by relationship management work, and monitoring of individuals placed with providers. The Council also works with the market as a whole, making a programme of best practice and improvement initiatives available to the provider sector. A regular report setting out provider risks and concerns is circulated to the DASS and to the DU's Leadership team on a monthly basis and discussed through the regular DASS assurance meeting.	4	4	16	4	3	Treat	Same
AC003	Unacceptable level of quality services provided by care providers	Unacceptable levels of quality of services provided by care provider could lead to additional dedicated Barnet resource needing to be put in place to address the situation, resulting in reduced ability to manage BAU, financial consequences. If the additional resource is not able to address the underperformance of the care provider, this could also lead to harm to individuals, reputational consequences	Head of Integrated Care Quality	Compliance	For contracted services, extensive due diligence is carried out before and during any contract. The Delivery Unit carries out ongoing contract management and monitoring to ensure it continues to engage with providers, complemented by relationship management work, and monitoring of individuals placed with providers. The Council also works with the market as a whole, making a programme of best practice and improvement initiatives available to the provider sector.	4	4	16	3	3	Treat	Same

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AC004	Surge in demand from NHS	An unpredictable surge in demand from the NHS in situations where there is limited capacity could lead to the DU being unable to meet this demand within the NHS's required timescales. This could result in financial consequences, operational disruption leading to rushed decisions being made that have unintended negative consequences, potentially for individuals that have been discharged, and increased central government scrutiny.	Assistant Director Adult Social Care	Compliance	System-wide resilience monies have been made available and these can be used to buy in extra capacity, subject to agreement by the NHS-led Improvement Board. There are monthly system resilience and operational resilience meetings between LBB, CCG and NHS Provider Trusts to discuss & manage pressures in the system, and to deliver action plans. Daily conference calls are in place to deal jointly with events as these happen.	3	5	15	3	3	Treat	Same
AC011	Breach of mental capacity act or code of practice	Insufficient competent staff (permanent and agency, at all levels) to meet rising demand and complexity could lead to breach of the Mental Capacity Act or Code of Practice, resulting in Barnet not acting in someone's best interest (Mental Capacity Act), and as a result serious harm to individuals and/or the ongoing impact of such a breach on an individual's life; legal challenge, financial loss (legal costs) and reputational damage.	Assistant Director Social Care	Compliance	As with safeguarding issues, staff training is in place, supported by practice forums. Quality assurance framework, led by the Quality Board, monitors supervision (and responds to, for example, supervision and other quality audits). Regular case file audits take place (using a pool of auditors from across the Department). Monthly reporting to leadership team on safeguarding activity Monthly quality and safeguarding meeting with DASS includes review of high risk cases. External case file audits are conducted. The Safeguarding Adults Board (multi-agency) meets regularly. Tools are available to support practitioners (e.g. recording templates, assessment tools etc.), as well as learning processes such as safeguarding adult reviews (SARs) and the domestic homicide review process.	4	4	16	5	2	Treat	Increased
Family Services (2)												
FS001	Significant child safeguarding incident	Inappropriate response or poor decision-making around a case leads to a significant children's safeguarding incident, resulting in increased risk of significant harm or death of a child, and reputational damage.	Interim Assistant Director, Family Service	Statutory Duty	The majority of the 2016/17 Practice Improvement Plan has been implemented, and new plan for 2017/18 has been introduced. Delivery of the plan is monitored regularly and overseen by a Board chaired by the Chief Executive. Signs of Safety training is being rolled out as part of the toolkit to implement resilience-based practice across the service and partnership, which supports purposeful practice Supervision and practice standards help to control this risk, as well as quality assurance activity. We provide assurance reports to the lead member, SCB Assurance, Barnet Safeguarding Board, and the Social Work Improvement Board, to ensure scrutiny and oversight. The lead member meets monthly with service leads to provide oversight.	4	4	16	4	3	Tolerate	Same
FS004	Serious gang-related incident	As a result of inappropriate decision making, which could be exacerbated by a lack of timely access to information, a gang and serious youth violence related incident could occur involving one or more young people within the borough resulting in a child death and reputational damage.	Interim Assistant Director, Family Service	Health & Safety	Our Gangs and Serious Youth Violence Strategy is overseen by the Community Safety Partnership Board and Youth Offending Partnership Board. We also have a gangs operational group, and a gangs, missing and child sexual exploitation strategic group. Our gangs operational protocol and screening tool helps control this risk, as well as the Keeping Young People Safe preventative project. A Gangs surgery is in place for professionals and prevention activity is taking place in schools. There is a Serious Incidence Response Protocol in place for the partnership. -A new multi-disciplinary team has been established to deliver intensive, wraparound interventions for high risk adolescents.	4	4	16	4	3	Treat	Same

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Customer and Support Group (CSG) (4)												
CSG13	IT service adequacy	Inability of current infrastructure to handle multiple service applications due to portfolio of systems not being managed properly, with many approaching end-of-life, resulting in outdated and unusable systems, poor-performing systems and potential security breaches	Head of Information Management	Business continuity	Network design is validated through Public Services Network certification and Capita third party assurance. Dedicated infrastructure staff within Capita are focused on the control of the Barnet infrastructure. Capacity checks on wireless network are currently taking place to increase speed and resilience.	4	4	16	4	2	Treat	Same
CSG26	Inadequate Awareness of LBB staff	cause: Inadequate security controls & governance training for LBB staff event: Loss of sensitive personal information or breach of data protection consequence(s): Contractual & DPA breaches, breaches of PCI compliance obligations, penalties & compensation	Information Security Manager	Information Governance	Training and awareness of all LBB staff in place- regular briefings and reminders PSN compliance in place and Capita group security standards applied to all projects Council Security forum, PEN tests, PCI tests and PSN compliance assessments in place and reviewed annually Audits completed on processes and controls with good compliance reported	5	3	15	2	2	Treat	Same
CSG35	Staffing resource	Due to a high turnover of staff if the correct inductions are not conducted we are at risk of procedures not being adhered to. This can vary from incorrect DPR's being produced to procurement and spend of service providers	Head of Estates	Compliance	An induction programme for new starters is to be developed as soon as possible. This will include training and learning of authority policies and governance procedures. It will also include training on the use of all systems .	4	4	16	4	1	Treat	New (Jun 17)
CSG38	Income target	The current income projection may not be sufficient to cover the required income target in order to support the authorities forecasts which could place financial pressures on a budget that is already projecting an overspend resulting in reputational and financial damage.	Head of Estates	Finance	CSG is reviewing its case priorities to identify resources who will lead on the quick win initiative programme, this will work in conjunction with the investment model.	3	5	15	1	1	Treat	New (Jun 17)
Regional Enterprise (Re) (3)												
RE001	Development pipeline: Property build exceeds target cost	LBB are unable to commission the construction of the properties specified within the development pipeline at the target cost defined within the business plan due to: - construction inflation - team skills and experience - design that pushes up costs - team skills and experience - ineffective management of delivery - All of which could results in reduced profit or loss on properties, potential abandonment of the project and lose sunk costs, reputational damage - a sales/costs balanced design approach	Deputy Chief Executive (LBB)	Financial	Development Management provided by GL Hearn - Project management toolkit (gateway process) - Contingency within the target cost - competitive procurement process - current contractor prices are being challenged through a benchmarking process - Schemes have been re-appraised and value engineered at supply chain costs - negotiations with the selected contractor are continuing	4	4	16	3	3	Treat	Same
PB13	Development Tranche 1	Due to viability issues with Tranche 1, the wider growth targets for the Joint venture may not be achieved. This could lead to reduced stakeholder confidence, reputational damage, and reduced revenues.	Barnet Partnership Director (Capita)	Financial	A revised Business plan is to be agreed by ARG July 17. The progress of this and Tranche 1 is being monitored by the Development Pipeline Project board	4	4	16	3	3	Treat	Same
PB14	Development Tranche 4 Risk to BP	There could be a failure to take tranche 4 sites forward to Planning in 2017 to achieve the growth targets in the business plan as a result of our inability to identify the next tranche of sites, reach commercial agreements and progress to planning. This could lead to increased costs, reduced margins, reduced stakeholder confidence, reputational damage, reduced revenues.	Barnet Partnership Director (Capita)	Financial	The Development Pipeline Board has ring-fenced 13 sites for viability and affordability assessments to be undertaken. The progress of this and Tranche 1 is being monitored by the Development Pipeline Project board.	4	4	16	2	3	Treat	Same