

Risk ID	Short Risk Title	Long Description	Risk Owner	Nature of Risk	Controls/mitigations in place	Inherent Risk (without controls)		Residual Risk (with controls in place)			Target Risk		Response Option
						Impact	Likelihood	Impact	Likelihood	Risk Score	Impact	Likelihood	
HIGH IMPACT STRATEGIC RISKS													
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	4	5	2	10	5	2	Tolerate
STR013	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	4	5	2	10	5	1	Treat
STR019	Fire health and safety	Failure to sufficiently manage policies and procedures around health and safety (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	Health and safety policies and processes for managing compliance in respect of the council's estate and homes are in place; health and safety 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	3	5	2	10	5	1	Treat
HIGH IMPACT SERVICE RISKS													
Adults and Communities													
AC008	Non-adherence to safeguarding policies and procedures	Insufficient competent staff (permanent and agency, at all levels) to meet rising demand and complexity could lead to non-adherence with policies and procedures (specifically safeguarding within the Care Act, and London-wide safeguarding policies and procedures), resulting in death or serious harm to individuals, legal challenge, financial loss, decreasing staff morale due to greater pressure and reputational damage.	Head of Safeguarding Adults	Statutory Duty	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.	5	4	5	2	10	5	2	Treat
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 Adult Social Care	Statutory Duty	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.	5	4	5	2	10	5	2	Treat
AC029	Incomplete client records	There is a risk that client and service data in Mosaic (the new social care case management system) could be incomplete due to partial data being migrated from Swift (the old social care case management system) or to data not having been updated on Mosaic in a timely fashion, meaning that the totality of information about an individual and their care is not available. This could lead to issues managing and monitoring client care, which in turn leads a risk of harm to individuals by not having their care and support needs met, unexpected financial consequences, breach of statutory duty.	Adults and Communities Director	Statutory Duty	Data reconciliation commissioned to confirm all relevant data has been migrated. Project plan and resource in place to transfer any missing data. Communications issued to staff and managers on how to resolve any issues with missing client data. Mosaic support tickets monitored to identify any queries relating to missing client data.	5	5	5	2	10	1	1	Treat

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Environment													
SS006	H&S incident	The need for Street Scene staff to work in high risk situations (use of plant and machinery, working on highways, use of chemicals and substances) could lead to a health and safety incident, resulting in harm to employees or members of the public, legal action and reputational damage.	Street Scene Director	Health and safety	Street Scene has a number of controls in place including: training requirement before being deployed, regular briefings - toolbox talks, requirement to wear PPE, policies and procedures, risk assessments - routes looked at individually, supervisory checks, qualifications for use of chemicals, drivers and operating certain machinery, NVQ training and vehicles and machinery are checked daily before they go out of the depot. Street Scene also follows HSE guidance and takes part in audits.	5	3	5	2	10	5	1	Treat
GS015	Personal injury from falling trees	Personal injury risk from falling trees and branches on passers-by and vehicles or property (in streets and open spaces), due to adverse weather conditions could result in: health & safety incidents; high insurance claims; harm to members of the public or employees; legal action, and reputational damage.	Lead Commissioner	Health and safety	Cyclical inspection of street and park trees by qualified staff. SLA with Barnet Homes. Storm procedures aligned with Grounds Maintenance. Budget for emergency works and fell and replace programme.	5	1	5	1	5	5	1	Tolerate
Parking and Infrastructure													
PI013	Enforcement contract extension	The current enforcement contract will cease within 18 months. There is a need to commence a full procurement exercise under the OJEU process. The risk identified in this area is service failure if procurement does not take place in a timely and planned manner.	Commissioning Director & Strategic Lead Effective Borough Travel	Business continuity	The current contract has a clause of an 18 month extension which has been activated. The procurement process will need a specialist resource; and planning is underway for this exercise.	5	1	5	1	5	5	1	Treat
HIGH IMPACT JOINT RISKS													
Barnet Group													
TBG006	H&S / Compliance incident	Failure to adhere to regulatory requirements (asbestos- current and historic, Care Quality Commission, Temporary Accommodation condition, legionella, gas, fire safety, incorrect data records could lead to a health & safety / compliance incident that results in harm / death to staff and public, legal challenge, financial costs, increased risk to individuals, reputational damage.	Barnet Group, Deputy Chief Executive	Statutory duty	<ul style="list-style-type: none"> - Policies and procedures - H&S management system - Training - Induction for new staff - Management structures for contract management - Supplier contracts/agreements for TA providers - Risk assessment - Violent and Abusive register - Vulnerable Tenant password scheme - Risk and compliance team that deals with technical risk - Risk and compliance risk register and action plan - Internal schedule of internal audit - Internal lead for safeguarding - Fire risk assessment - British Safety Council Audit - periodic (every 3 years) - CQC audit (ad hoc as decided by CQC) - Near miss analysis - Root cause analysis - Use of specialist partners 	5	3	5	2	10	5	1	Treat
Regional Enterprise													
PB02	Major project delivery failure - Brent Cross	If project management controls and resource capacity are not periodically reviewed as the programme expands this could lead to the project being delayed and future growth plans undermined resulting in reputational damage, stakeholder dissatisfaction, delays delivering growth, financial and commercial damage.	Deputy Chief Executive (LBB)	Finance	<ul style="list-style-type: none"> - Project Director appointed - Additional PMO support appointed - Monthly Project meetings and reviews - Brent Cross Governance Board established - Integrated programme management office established 	5	4	5	2	10	3	2	Treat