

Risk ID	Short Risk Title	Long Description	Risk Owner Job Title	Primary Risk Category	Corporate Plan Priority	Controls and Mitigations in Place	Inherent Risk (with no controls)		Residual Risk (with existing controls)			Target Risk		Response Option
							Impact	Likelihood	Impact	Likelihood	Risk Score	Impact	Likelihood	
Strategic Risks (27)														
STR004	Future financial pressures and funding 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. business rates localisation and fair funding review) that affect council services could lead to further reduction of the multi-year budget resulting in non-achievement of MTFS target, reduction in service quality, resident dissatisfaction, deterioration of services, use of reserves and reputational damage.	Chief Executive	Finance	P&R - Medium and long term strategic planning	-Contingency and reserves in place to mitigate the short term impact. -Undertake forward planning, regularly updating budget assumptions and monitoring the Government's fiscal announcements. However, also maintain flexibility within existing plans to instigate recruitment freezes in non-frontline services whilst long term plans are being put into place. -Maintain good contacts with Central Government to remain as informed as possible.	5	4	5	4	20	4	4	Treat
STR033	Implementation of 19/20 savings	If the savings identified for 2019/10 are not fully implemented this could lead to non-achievement of MTFS targets and an overspend on the revenue budget resulting in the use of reserves, reduction in service quality or provision, resident dissatisfaction and reputational damage.	Chief Executive	Finance	P&R - Medium and long term strategic planning	-Monthly budget monitoring	5	5	5	4	20	4	2	Treat
STR034	Debt management	If debts are not managed effectively this could lead to extra borrowing or an overspend on the revenue budget resulting in further financial strain, reduction in service quality or provision, resident dissatisfaction and reputational damage.	Director of Finance/ s151 Officer	Finance	P&R - Medium and long term strategic planning	- Debt management strategy	4	5	4	4	16	3	2	Treat
STR021	Delivery of Ofsted Improvement Plan and strengthening safeguarding	If the Ofsted Improvement Action Plan is not delivered across the partnership quickly enough, this could lead to negative safeguarding outcomes for children, young people and families, services not improving at the pace required; also this may result in negative monitoring reports and future inspection outcomes.	Strategic Director, Children and Young People	Statutory Duty	CE&S - Children's Services Improvement Plan	-Delivery of robust action plan to take recommendations forward. -Monitoring of impact of action plan on outputs and outcomes for children, young people and families, and taking action if outcomes don't improve as expected. -Refresh of the Barnet Safeguarding Children's Partnership functions, membership and work programme. -Leadership from the Chief Executive to drive forward action plan, and galvanise resources from across the council to support improvement (including support services). -Strong communication/engagement plan at all levels of the partnership and organisation, to keep the focus, energy and momentum at all levels (particularly when moving at pace).	5	4	4	4	16	4	3	Treat
STR027	Compliance with Equality Duty	If new processes are not embedded quick enough this could lead to non-compliance with the Public Sector Equality Duty under the Equality Act 2010 resulting in worsening outcomes for Barnet residents and legal action against the council.	Chief Executive	Statutory Duty	P&R - A culture of transparency and accountability	-Equality Policy 2014 in place -Strategic Equalities Objective in place -Corporate Performance Indicators in place -Equality Annual Report in place -Equality commitments to residents published -Equality Champions trained and in place -Mandatory Equality learning and development in place -Equality guidance material and advice available to all staff -Equality Duty is considered when any policy is developed, decided upon, implemented and reviewed -Joint Senior Leadership ownership of improved outcomes for people who have protected characteristics	5	5	4	4	16	4	1	Treat
STR007	Significant adults 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 and public scrutiny.	Chief Executive	Statutory Duty	A&S - Embedding strength-based practice	-Adherence to the London multi-agency safeguarding adults policy and procedures. -Training programme and supervision policy and practice standards. -Quality assurance programme, including case audit, supervision audit, performance monitoring. -Report to CMT Assurance, Barnet Safeguarding Adults Board and PQA sub-group; also to Adults and Safeguarding Committee and Health and Wellbeing Board annually. -Quality assurance ongoing in adult social care. -Provisional Mosaic safeguarding reports are in place.	5	5	5	3	15	5	3	Tolerate
STR013	Brexit	Due to the complex nature of services provided, demographic changes and macro-economic changes, the council may be unable to effectively respond in an agile way to Brexit resulting in not being able to deliver organisational objectives, financial impact and reputational damage.	Chief Executive	Business Continuity	P&R - Medium and long term strategic planning	-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. -Budget modelling takes into account latest population projections, changes in legislation and emerging pressures. Therefore, long-term planning allows for financial planning and certainty but an annual review allows for any emerging pressures to be factored in. - Weekly meetings chaired by DCE on Brexit	5	4	5	3	15	5	1	Treat

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STR023	Commercial viability of strategic suppliers	If the commercial viability of a strategic supplier declines this could lead to operational failures resulting in service disruption/reduction, failure to discharge statutory duties and financial costs.	Deputy Chief Executive	Business Continuity	P&R - Medium and long term strategic planning	-Contract management framework, with policy and procedures for commercial activity. -Contract monitoring takes place monthly with quarterly reporting to Financial Performance and Contracts Committee. -Contract register kept under review with checks on financial status of strategic suppliers. -Contract management arrangements in place, including indicators to identify financial stress. -Business continuity plans in place.	5	4	5	3	15	4	3	Treat
STR028	Impact of insourcing Re and CSG services on performance, contract and finance management	Proceeding with the business case for insourcing services delivered by Re and CSG (subject to committee agreement) without comprehensive and effective change management and risk management could lead to service disruption, temporary or longer-term performance reduction, additional costs, reduced long-term savings, contractual complications with remaining outsourced services, loss of technical knowledge and experience through personnel changes and failure to deliver statutory duties. This could result in additional costs to the council being incurred.	Chief Executive	Finance	P&R - Medium and long term strategic planning	1. Officers identified to carry out financial analysis ahead of choosing which of the business case options will provide best value for money and highest performance. 2. Elected members scrutiny of the business case decision via Full Council. 3. Effective management of "STR008 Successful challenge to the decision-making process" in relation to this insourcing risk.	5	5	5	3	15	5	1	Treat
STR031	Financial controls	If financial controls are not sufficient this could lead to the council not ensuring appropriate administration of public funds resulting in possible financial and reputational losses.	Director of Finance/ s151 Officer	Finance	P&R - Medium and long term strategic planning	-A thorough review of internal controls has been independently completed by Grant Thornton. The action plan that has been developed is in the process of being tested post implementation	5	5	5	3	15	5	1	Treat
STR035	Failure of third party Pension administrator meeting standards	Poor performance levels could result in delays meeting statutory deadlines (e.g. annual benefit statements / valuations) and / or member benefits being inaccurate or paid late resulting in enforcement action by the Pensions Regulator, which can include financial penalties; reputational risk through negative media exposure; and members not receiving the correct benefits or receiving benefits late.	Deputy Chief Executive	Finance	P&R - Medium and long term strategic planning	-Recruitment of a pensions consultant to enhance client side management. -Monthly update meetings to measure progress against data cleanse plan. -Recruitment of a pensions consultant to manage the third part administrator relationship	5	4	5	3	15	3	2	Treat
STR022	Development of Barnet House	Colindale Full Business Case (FBC) has a challenge to remove the liabilities around Barnet House. Failure to buy Freehold and opportunity to negotiate the purchase/early termination of long lease agreement could result in increased costs, reduced margins, reduced stakeholder confidence, reputational damage and reduced revenues.	Deputy Chief Executive	Finance	P&R - Implementing The Way We Work programme	-An option appraisal has been written, which details the available options to maximise value from Barnet House and the Colindale office building. The most financially beneficial option has been confirmed to be moving to Colindale and negotiating an early Barnet House lease surrender Negotiations with the Barnet House freeholder / head-lease holder will take place once the report has been presented at TW3 Board.	5	4	4	3	12	2	3	Treat
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	P&R - Continuing to improve Customer Services	-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. -Barnet Partnership Board meetings.	4	4	4	3	12	4	3	Tolerate
STR001	Ability to attract and retain scarce skills or those in high demand	If the council is unable to attract and retain scarce skills or those in high demand within the labour market there could be an impact on the ability to deliver outcomes for residents and statutory responsibilities resulting in financial pressure, reputational damage and poor customer satisfaction.	Deputy Chief Executive	Statutory Duty	P&R - Medium and long term strategic planning	-Targeted interventions are underway to attract social workers in children's social care, and a further intervention is underway to convert agency social workers to permanent staff. -A new recruitment system is being implemented to improve and streamline the recruitment process making it easier for both hiring managers and prospective candidates. -The council is investing in new office accommodation in Colindale which will provide a new, modern working environment where staff can work in a more flexible, agile way. -The council is investing in its training and development offer so that staff can continuously develop within their profession. Including accessing opportunities presented by the Apprenticeship Levy. -An audit of the staff onboarding process is about to commence reviewing and seeking improvement to the processes for new starters. -Continued roll out of the healthy workplace charter action plan with a rolling monthly programme of healthy initiatives for staff.	4	4	4	3	12	4	2	Treat

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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.	Chief Executive	Business Continuity	CL - Emergency planning, preparedness and response	-The council has a corporate Business Continuity Strategy and Plan, and maintains a network of business continuity leads, with quarterly meetings on this subject.	4	5	4	3	12	4	2	Treat
STR032	Implementation of new recycling and waste collection rounds	If issues with the implementation of the new recycling and waste collection rounds continue into the New Year this could lead to further service disruption and financial strain resulting in resident dissatisfaction and reputational damage.	Chief Executive	Statutory Duty	ENV - Modernising Environmental Services	-Ongoing communication with residents on new/revised collection days. -Additional and narrow access vehicles deployed to complete rounds. -Issues with blocked access and assisted collections followed-up. -Additional resources put into Contact Centre to handle increased volume of customer contacts. -Social media monitored and follow-up daily.	4	5	3	3	9	2	2	Treat
STR019	Fire health and safety (Housing)	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.	Deputy Chief Executive	Health and Safety	HOUS - Building compliance and fire 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 assessments (FRAs) are undertaken and reported and actioned for all residential housing managed by Barnet Homes and main housing association partners.	5	3	5	2	10	4	1	Treat
STR008	Successful challenge to the decision-making process	If statutory obligations to consult 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	P&R - Medium and long term strategic planning	-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
STR010	Potential fraud, bribery or corruption incident	If there are ineffective internal controls, governance arrangements, and policies and procedures are neither fit for purpose nor adhered to, 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.	Director of Finance/ s151 Officer	Finance	P&R - Medium and long term strategic planning	-The council observes financial regulations, internal controls and standing orders, and contract procedure rules. Responsibilities relating to fraud prevention, detections and investigations are set out in the council's constitution. -There is a policy framework in place called the counter-fraud framework which contains counter-fraud, bribery and corruption policy and a whistleblowing policy. -The council also has an employee code of conduct which includes a gifts and hospitality policy, also other HR policies are in place. There is oversight by the Audit Committee. -The council has a dedicated fully qualified Corporate Anti-Fraud Team (CAFT), and an internal audit team who work closely together and have a risk based joint work plan which includes a communication/publicity strategy to ensure fraud risks/issue are identified and the control environment is reviewed as well as consideration and continued planning in relation to new risks and outcomes from internal audits/fraud investigations. -The CAFT also conduct proactive fraud drives and provide Fraud Awareness programmes and advice. CAFT take part national 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 are the only authorised team to conduct financial investigations on behalf of the council under Proceeds of Crime Act.	4	4	3	3	9	3	2	Treat
STR016	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, Children and Young People	Statutory Duty	CE&S - Children's Services Improvement Plan	-A joint motion by councillors to the Full Council in November 2015 resulted in the Barnet's Pledge for Children in Care and Care Leavers. The Children in Care Council has been refreshed and the advocacy service is active across Family Services. A Children's Services Improvement Action Plan is being implemented. The Virtual School has invested in a strong structure and resources are targeted to improve outcomes, through the Personal Education Plan (PEP) process. -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. -A multi-agency forum, Corporate Parenting Officers Group, has been established to track and monitor planning for children in care and care leavers. -Members at Full Council agreed new arrangements for the Corporate Parenting Advisory Group at its meeting on 6 March 2018.	4	4	3	3	9	3	2	Treat

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STR024	Tri-borough reorganisation of the Met Police	Reorganisation of the Met Police into a tri-borough format may result in a dip in performance while the changes take place, police resources previously available to Barnet being reallocated to Harrow and Brent, and an increase in police response times due to the service being delivered over a larger geographical area and the relocation of police hubs. These events may ultimately lead to a decrease in community safety, reputational damage and a reduction of public confidence in policing in Barnet.	Strategic Director, Environment	Statutory Duty (the Met Police are responsible for these duties)	CL - Safer communities	-Regular sharing of data including the police staffing numbers and police response times. -Regular meetings with the Met Police borough commander. -Regular monitoring of confidence in police via Resident Perception Surveys by the council and Metropolitan Police surveys. -There is increased collaboration between the Met Police borough commander and Barnet's senior management team. -A monitoring regime has been implemented in advance of the implementation of the Tri-borough reorganisation.	3	5	3	3	9	2	3	Treat
STR017	Exposure to cyber-security attack	Connecting to untrusted networks could expose IT networks to attacks the results of which could compromise the confidentiality, integrity and availability of ICT and the information they store and process.	Chief Executive	Business Continuity	CL - Emergency planning, preparedness and response	-Policies and risk management approaches to protect IT networks developed and implemented; and security controls applied, including patch upgrades. - Process is in place for reporting for breaches of security to SIRO (Senior Information Risk Owner)	4	4	4	2	8	4	2	Tolerate
STR018	Incident management	Failure to respond effectively to an information security incident (e.g. a cyber-security attack) could lead to disruption of IT networks resulting in a loss of access to information assets and disruption to council services.	Chief Executive	Business Continuity	CL - Emergency planning, preparedness and response	-Incident management policies in place to improve resilience and support business continuity, including regular assessment of information assets - Reviewing Incident management as part of wider Business Continuity	4	4	4	2	8	4	2	Tolerate
STR011	Impact of change in policies across the council/for specific committees	If there is a change in policies or in priorities across the council/for specific committees, this could 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	P&R - Medium and long term strategic planning	-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.	4	3	4	2	8	4	2	Tolerate
STR012	Potential health and safety incident or negative impact on wellbeing of Barnet employees, Members and members of the public	If health and safety / compliance policies and 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.	Director of Public Health	Health and Safety	P&R - Medium and long term strategic planning	-Health and safety policies and processes around managing compliance are in place (available on the intranet), and the 95 buildings are being managed effectively. There are plans to identify gaps for other council stock. -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 health and safety advice available as required, but alongside Barnet-based staff with health and safety knowledge of local issues carrying out monitoring activities (including health and safety audits and inspections) as well as a statutory officer in place. -We have systems to collect information on incidents, and undertake regular health and safety audits and reports to senior officers and committees. 1. Health and Safety Training - roll out action plan with mandatory training for all staff. 2. Support - CSG Safety, Health and Wellbeing (SHaW) to support DU Directors in reviewing arrangements for policy implementation, Health and Safety risk review and Health and Safety performance monitoring.	5	4	4	2	8	4	2	Tolerate
STR029	Employer failure to pay contributions to the Pension Fund	If the Pension Fund does not receive the correct amount of contributions from employers to fund employee pension liabilities this could lead to a scheme deficit resulting in member dissatisfaction, reputational damage and legal consequences.	Deputy Chief Executive	Finance	P&R - Medium and long term strategic planning	-Monthly monitoring of contribution payments received by the finance and administration teams. -Reconciliation through annual scheme returns.	4	5	4	2	8	2	1	Treat
STR025	Contractual disputes due to underperforming commissioned services	The potential for contract underperformance or non-delivery of commissioned services could result in disputes between Barnet and its delivery partners which, if unresolved, could lead to ongoing service delivery underperformance, failure to discharge statutory duties, legal/contractual costs, reputational damage and ultimately commissioned services being brought back in-house with the loss of planned savings and guaranteed income.	Commercial Director	Finance	P&R - Medium and long term strategic planning	-Contract performance is measured by monthly/quarterly/annual indicators and the output specification. -Contract performance is monitored via monthly/quarterly performance reports and monthly contract management meetings. -Dispute resolution is supported by a jointly managed issues log, the contract dispute resolution processes including escalation to exceptional meetings and legal support -Service continuity is ensured by provisional service continuity plans. - contractual mechanisms are used where appropriate	5	4	3	3	9	3	2	Treat

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PH06	Pandemic Influenza type disease outbreak LA business continuity risk	A Declaration of Pandemic Influenza by the World Health Organisation (WHO) could lead to severe resource and capacity issues for the council and partner agencies resulting in an impact on service delivery and the health protection of residents	Director of Public Health	Statutory Duty	A&S - Health and Wellbeing	Secure tools developed to support the recording and updating of cases offline in emergency situations. Barnet multi-agency pan flu preparedness exercises and plans.	5	4	5	4	20	5	4	Tolerate
AC001	Increased overspend to meet statutory duties	LBB could have insufficient resources to meet its statutory duties with regard to adult social care 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. Alternatively, it would lead to a deterioration in the Council's overall financial position. There are reduced opportunities to invest through reserves, service budgets are not currently balanced and this could reduce opportunities to invest in preventative services.	Strategic Director, Adults, Communities and Health	Statutory Duty	A&S - Embedding strength-based practice	The council's budget management process (MTFS) forecasts demographic growth and pressures over a multi-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 new MTFS to 2024 will identify future demand pressures, and the council will undertake initiatives focused on reducing and managing future demand in response. There is a programme of work underway and a pipeline of activity due to commence to maximise existing arrangements for prevention spend and proactively manage other financial risks.	5	5	5	4	20	3	3	Treat
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 and breach of statutory duty.	Head of Integrated Care Quality	Business Continuity	A&S - Integrating local health and social care	For all contracted services due diligence is undertaken at the start of each contract to ensure quality and sustainability of providers. Regular contract monitoring is undertaken with providers, with more visits to higher risk providers. Care Quality advisors support homes through best practice support and supporting staff development. If issues identified then there is a clear provider concerns process to assess risk to individuals and support improvement. There is also a clear provider failure / closure approach to manage closure of homes and safe transition of service users if required. 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. On-going work across the care market to share best practice, support staff development and improve quality of care. Development of a provider support 'offer' to ensure support offered by care quality team is meeting need. Implementing a new approach to monitoring - more streamline and better focus on quality. Working across North Central London to share ideas / learning how quality improvement programmes, including scoping opportunities for a more integrated approach with health. Ongoing work to monitor the sustainability of the sector and explore best use of council resources to support this (including the awarding of inflationary uplifts)	5	5	4	5	20	4	3	Treat
AC031	Budget management	Following the move to the new case management system, delays in resolving issues have limited the ability for the council to produce routine budget reports, which could result in budget issues not being identified and addressed in a timely fashion, leading to overspend.	Assistant Director for Community and Performance	Finance	A&S - Embedding strength-based practice	Workarounds in place to provide financial forecasts.	4	5	4	4	16	1	1	Treat
AC005	Insufficient staffing levels to deliver essential services	The council's financial position could lead to sustained recruitment freeze resulting in reduced capacity to deliver the work of the directorate. A challenging job market (rest of London competing for the limited supply of social workers, qualified occupational therapists and other social care staff across all levels) could lead to difficulties in recruiting and retaining sufficient staff, resulting in insufficient staff to meet demand, reliance on agency workers impacting on budget, inability to carry out quality work, knock on effect on morale, non-statutory duties being de-prioritised.	Assistant Director Ongoing Support	Staffing and Culture	A&S - Integrating local health and social care	Priority posts are being presented to the Chief Executive for permission to recruit. There is a workforce development plan in place to mitigate this risk in the medium to long term.	5	4	4	4	16	4	4	Tolerate

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AC028	Lack of fully functioning case management system	If the programme plan to complete the substantial remedial work required to the Mosaic case management system is not agreed and implemented in a timely manner, the lack of a fully functioning case management system will have an impact on key business processes which may become unable to function, and on data and information which may become incomplete or misunderstood. This may lead in turn to a risk of harm to individuals, lack of compliance with statutory duties, financial loss or penalties, legal challenge, and reputational damage.	Assistant Director for Community and Performance	Statutory Duty	A&S - Embedding strength-based practice	A programme board is in place to drive delivery of a fully functioning case management system (Mosaic) -A new provider, Bettergov, has been appointed to complete the implementation of the system -Regular reports are being used to confirm that frontline social care business processes are running to expectations and that any issues are quickly identified -Mitigation measures are in place to manage specific risks such as provider failure or bad debt, arising from delays to key business processes such as paying invoices or issuing bills to clients -LBB to continue close monitoring of plan and delivery	5	5	5	3	15	1	1	Treat
Assurance (2)														
AG020	Audit actions not implemented	If audit actions are not implemented this could lead to a deterioration in the council's control environment and result in the Head of Internal Audit providing a Limited Assurance Annual Opinion.	Head of Internal Audit	Statutory Duty	P&R - A culture of transparency and accountability	Audit actions are recorded within Barnet Performs and discussed at monthly Contract Monitoring meetings (CSG and Re) to encourage implementation - Auditees are emailed asking for updates / evidence in advance of quarterly reporting to Audit Committee - Quarterly meeting to discuss non-implementation with Assurance Director or Chief Exec in attendance - Attendance required at Audit Committee if not implemented - Audit actions are agreed with auditees (as opposed to audit recommendations with management responses) to improve clarity over what is expected in order for audit to assess as implemented - Growth bid submitted for 2019/20 to address risk of increased number of audit actions being raised and subsequent non-implementation / additional follow-up work	4	5	4	4	16	4	3	Treat
AG022	Inability to effectively respond to Major Emergency Incident	The failure to implement the EP2020 recommendations and Resilience Standards for London, could lead to the inability to effectively respond to a major emergency resulting in failure to deliver statutory support of emergency services under the Civil Contingencies Act 2004, increased risk/harm to individuals, legal challenge, financial and reputational.	Assurance Director	Business Continuity	P&R - Emergency planning, preparedness and response	1. Current review of EP and BC arrangements including EP2020 and resilience standards 2. Tested Plans and arrangements in place 3. Interim support arrangements in place in service and also with Haringey EP team in event of major incident	5	5	5	3	15	4	2	Treat
Growth and Corporate Services (2)														
G&C001	Challenge to deliver capital projects with CSG corporate programmes	Lack of capabilities to deliver capital and infrastructure projects within CSG corporate programmes could lead to strategic partners being unable to provide the required specialist resource resulting in projects being delivered over budget and over time.	Deputy Chief Exec	Finance	P&R - Medium and long term strategic planning	1. Continue to monitor via Relevant Programmes Boards and Contract Management Meetings 2. There is ability to take resource from the wider Capita supply chain, at day rate costs. 3. Ability to procure resource from other frameworks, at day rate costs. 4. Prioritisation of capital schemes to ensure appropriate focus of resources.	5	4	5	3	15	5	1	Treat
G&C002	Brent Cross funding strategy	The lack of agreement of a long-term funding strategy could lead to delays in the Brent Cross project specifically the delivery of the Brent Cross Thameslink station resulting in a financial impact to the Council's future income streams.	Deputy Chief Exec	Finance	ARG - Regenerating Brent Cross Cricklewood	1. The risk is being managed by the Brent Cross Governance Board and Assurance Board where Officers were working on finalising a long term funding strategy. 2. There is Short term financing of the project has been agreed to March 2019 which has allowed for more time for a long-term financing agreement.	3	5	3	5	15	3	2	Treat
Environment (3)														
TS013	Passenger transport services move	The handback of NLBP will necessitate the relocation of PTS vehicles with operation to a suitable alternate site, not being able to secure suitable site will result in either incurring additional costs to extend the current lease (subject to availability) or cause disruption to the Home to School transport service for Special Education Need children in and out of borough.	Street Scene Director	Business Continuity	ENV - Delivering transport improvements	Depot move project are currently working on space planning exercise for Watling Carpark and Watling Market combine site. There are 2 other sites being considered as a back up, if Watling Carpark proves to be insufficient space.	5	5	5	4	20	4	3	Treat
PI022	Ongoing Operation of the Central Management System	Risk related to the Harvard Central management system being incapable of operating the street lights and providing reports to the Meter Administrator of the energy consumption usage to inform the monthly energy bills. This is due to the fact that Harvard have gone into Administration and as a consequence obtaining replacement parts and reporting of data may not be possible.	Commissioning Director & Assistant Director Environment	Health and Safety	ENV - Delivering highways improvements	Authority client team has written to the PFI Service Provider Barnet Lighting Services to ask them to immediately identify the impact of Harvard going into administration, including: 1. Identifying historical faults to determine the quantity of spare parts required; 2. to identify current stock levels; 3. Based on 1 and 2 to identify timescale to meet BAU requirements; 4. to formulate an urgent Business Continuity Plan; 5. To identify any issues relating to providing data to the Meter Administrator each month for the electricity billing as failure to provide this would lead to at least a 40% increase in bills.	5	5	5	3	15	5	2	Treat

Risk ID	Short Risk Title	Long Description	Risk Owner Job Title	Primary Risk Category	Corporate Plan Priority	Controls and Mitigations in Place	Inherent Risk (with no controls)		Residual Risk (with existing controls)			Target Risk		Response Option
							Impact	Likelihood	Impact	Likelihood	Risk Score	Impact	Likelihood	
PI011	Winter Service	As a result of relocating the gritting depot from Barnet to Harrow there is a risk that the associated increased travel time will be detrimental to the ability to deliver an effective service in terms of speed of response and in particular the possibility that this may prevent the three eastern routes from being treated within the required timescale which may lead to road traffic accidents, associated insurance claims and even non-compliance with statutory duty in extreme cases.	Strategic Director, Environment	Business Continuity	ENV - Delivering highways improvements	1. Contingency site found (at Gateway Services - Highways England site) and implemented. 2. Legal Agreement has been signed by Highways England granting the free use of the Gateway Services site to reload up to four of the Barnet gritting vehicles in times of snow. 3. Information supplied to the Property Team on the Service depot requirements - this is now in the hands of the Property Team to find a suitable site and is ongoing. 4. Relevant contacts at TfL identified and daily exchange of plans/information implemented. 5. Lessons learnt exercise from the 2017/18 gritting season and the review and subsequent changes in operations is planned and underway in advance of the 2018/19 winter gritting season due to commence in October 2018. The intention of this exercise is to make changes that will improve service outcomes, including changes that will assist in reducing timescales of completing gritting operations.	5	4	5	3	15	5	2	Treat
Joint Risks (5)														
Customer Support Group (4)														
CSG 99	Brexit uncertainty leads to increase in the cost of goods and services	Uncertainty around Brexit may lead to tariffs and/or workforce shortages being enforced resulting in increased cost of goods and services.	Strategic Lead Commercial	Finance	P&R - Medium and long term strategic planning	Adult Services, Family Services and Street scene are managing risks associated with their major supplier workforces and reporting to Brexit group. Brexit Group is getting national updates.	4	5	4	4	16	3	2	Treat
CSG 100	Brexit uncertainty leads to delays in receiving procured goods and services	Uncertainty around Brexit may lead to delays in receiving procured goods and services due in particular to supply chain delays and this may have impact on the delivery of service quality and outcomes for residents.	Strategic Lead	Business Continuity	P&R - Medium and long term strategic planning	Risk has been highlighted to service areas, especially construction and energy/fuel. 'Brexit Group is getting national updates.	4	5	4	4	16	3	2	Treat
CSG07	Quality of CSG finance support falls below required standard	Inadequate resourcing and/or poor processes could lead to incomplete or misleading financial information resulting in sub-optimal financial performance and poor value for money outcomes.	Head of Finance	Finance	P&R - Medium and long term strategic planning	-Weekly meetings to discuss issues and challenges and current staffing provision. -Temporary staff appointed to cover vacancies.	5	5	5	3	15	2	3	Treat
CSG08	Misstatement of pension fund	The lack of appropriate resourcing and non-escalation of issues to the appropriate manager could lead to a misstatement of pension fund statutory accounting and reporting (errors and delays) resulting in a qualified audit report, cost overruns/variations from auditor and associated reputational damage.	Head of Finance	Statutory duty	P&R - A culture of transparency and accountability	An improvement plan is in place to improve membership data, reducing the risk of material errors within valuations underpinning the pension fund valuation All recommendations contained within the draft 2017/18 Pension Fund ISA260 document will be implemented in full Additional controls will be implemented in relation to debts outstanding to the pension fund to reduce the risk of them becoming irrevocable	4	5	3	5	15	2	1	Treat
Re (1)														
OP27	Affordability of the Thames Link project	If the Thames link project becomes un-affordable this could lead to the project not going ahead and potentially the grant being clawed back from government, this would result in LBB being liable for any abortive costs, this would also have an impact on the viability of Brent Cross South.	Deputy Chief Executive (LBB)	Finance	ARG - Regenerating Brent Cross Cricklewood	1. Governance board has oversight of the project budget, monthly meetings are in place to review this. 2. Dedicated finance Resource is being recruited and will report to Finance Manager 3. Re are exploring whether the grant is at risk should the project not go ahead.	5	3	5	3	15	3	1	Treat