

Q1 2020/21 Corporate Risk Register

Risk ID	Risk Title	Risk Description	Risk Owner Job Title	Primary Risk Category	Corporate Plan Theme	Controls and Mitigations in Place	Residual Risk			Response Option	Previous quarter risk score	Direction of Travel (from previous quarter)	Q1 2020/21 Review Summary
							Impact	Likelihood	Risk Score				
Strategic risks													
STR23	Economic downturn	The economic downturn could lead to business failure (particularly in retail, hospitality and leisure industries) and high local unemployment resulting in financial pressure on residents; increased demand for council services such as temporary accommodation and the long-term economic and societal health of the borough.	Deputy Chief Executive	Finance	Thriving	1. Discretionary business support grants application process in place 2. Business rate relief 3. Suspension of commercial rents on council owned properties	5	4	20	Treat	New	New	This is a new risk about the economic impact of the Covid-19 pandemic on local businesses and residents, which could affect the long-term financial and societal health of the borough. Support is being offered to local businesses such as business support grants; with future actions on encouraging residents to visit centres.
STR22	Sustainability of VCS	Funding and sustainability challenges facing the VCS could lead to a reduction in capacity and growth of preventative services resulting in difficulties accessing services and demand for more complex support, including care.	Assistant Director for Adults Joint Commissioning	Statutory Duty	Healthy	- Adult Social Care Prevention Policy complies with the Care Act 2014 duty to provide or arrange for the provision of services, facilities or resources, or take other steps which it considers will contribute towards preventing or delaying care and support for adults and for carers. - New strengths-based model for Adult Social Care orientates professionals towards prevention and early intervention for both carers and individuals as well as integrating community and peer groups into the model. - Prevention and Wellbeing (P&W) Co-ordination Service - To mitigate the impact of Covid 19 on commissioned services, all commissioned Providers transitioned service offers to virtual or via phone with some exceptions e.g. neighbourhood services continues to offer shopping support. Where commissioned services have ceased aspects of service offer such as Dementia Community Support Services Marillac day care provision they have shifted resources to enhanced phone support/ befriending support. - To mitigate negative impact to VCS, Adults and Health set up a workstream under the Covid 19 Community Response Infrastructure Programme and are working collaboratively with the VCS to manage increased demand and any challenges faced.	5	4	20	Treat	8	Increased	This is a new strategic risk, broadening the Adults & Health service risk (AC016 - Strategic prevention and early intervention) to incorporate the wider VCS. The VCS has played a key role in supporting residents' health and wellbeing in response to Covid-19. However, Covid-19 has presented further risk to VCS financial sustainability. Whilst the current commissioned offer was robust enough to ensure commissioned VCS Providers could respond to Covid-19, the impact of further funding reductions may mean that such a response could not be sustained or replicated in future. For many non-commissioned VCS Providers, Covid-19 has resulted in them no longer having access to traditional income streams which could impact their ability to deliver support. In response to Covid-19, a community infrastructure programme has been established with Barnet Together and £125k funding committed to aid the work of the VCS.
STR16	Environmental sustainability	An inability to adequately manage the environmental impact of resident and business activities (such as air quality, insulation, renewable energy, packaging resource management and climate change) could lead to negative long-term consequences to the local environment resulting in statutory environmental duties and targets not being met; financial consequences; and not protecting the environment for future generations.	Executive Director Environment	Statutory Duty	Clean, Safe & Well Run	-Delivering air quality action plan -Rolling out electric vehicle charging points -Developing a reduction and recycling waste plan -Planting trees on highways (in 1st year - more to do and funding to do this) - Delivery of the long term transport strategy	4	4	16	Treat	20	Reduced	A side effect of Covid-19 has been an improvement in air quality in the borough due to fewer vehicles on the road. Once this period passes, the Green recovery plan aims to maximise the potential changes by improving the longer-term environmental sustainability in day-to-day life.
STR03	Funding uncertainty due to economic downturn	A downturn in the economy could lead to financial pressures due to a large proportion of our funding coming from sources which could be susceptible to fluctuation such as council tax income and business rates income. This could result in a reduction in service quality; non-delivery of the MTFs; and use of reserves.	Director of Finance	Finance	Clean, Safe & Well Run	1. Strategically move the funding base of the Council from being supported by Government Grants to the more stable base of Council Tax income 2. Analysis of monthly collection performance; Analysis of Housing Benefit and Council Tax Support awards and claims to provide early warning signs of pressures 3. Maintaining a specified level of balance within the Council's resilience reserve in addition to appropriate contingency balances to mitigate any in year pressures; 4. Undertake forward planning, regularly updating budget assumptions and monitoring the Government's fiscal announcements. However, also maintain flexibility within existing plans to stem expenditure 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.	4	4	16	Treat	12	Increased	Since the Council set its budget in March 2020, there are a number of significant pressures which will fundamentally impact on the council's overall financial position. Current forecasts indicate a potential impact of Covid-19 on Council Tax and Business rates income of £12.9m. These are being closely monitored and further details are in the June 2020 P&R Report.
STR25	Covid-19 impact on financial sustainability	If the net cost to the council of responding to Covid-19 exceeds the value of reserves available it could lead to the council making emergency decisions or instigating a s114 notice resulting in a stop on all non-essential expenditure.	Director of Finance	Finance	Clean, Safe & Well Run	- Safely switching 'back on' income generating services - Safely exiting services stepped up in order to deal with Covid - Actively managing costs within areas impacted by increased demand - Working with Central Government to ensure costs are recovered through additional funding	5	3	15	Treat	New	New	Since the council set its budget in March 2020, there have been a number of significant pressures which could fundamentally impact the council's overall financial position. In addition, a number of savings across the MTFs period have been identified as at risk of delayed delivery. Current forecasts indicate a potential impact of Covid-19 of £34.5m (pressures, loss of service income and undeliverable MTFs savings). These are being closely monitored and further details were set out in a report to P&R Committee in June 2020.
STR19	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.	Director of Finance	Finance	Clean, Safe & Well Run	-Recruitment of a pension manager and two supporting staff to enhance client side management and internal scheme governance. -Testing of administration data against employers annual return. -Weekly telephone calls to measure progress against service improvement plans.	3	4	12	Treat	16	Reduced	Performance of the administration function is below the minimum acceptable level. The administrator has successfully implemented home working. Service standards continue to be of concern. Barnet Council and Capita have agreed a remediation plan to address the backlog of outstanding work in the next six months before transfer to West Yorkshire Pension Fund.

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STR17	Strengthening Children's safeguarding	A lack of strong safeguarding arrangements across the council could lead to children/young people suffering significant harm resulting in serious consequences to the child/young person, (e.g. potential death) and the council failing to meet its statutory duties.	Executive Director Children's Services	Statutory Duty	Family Friendly	-Delivery of robust delivery plan to take recommendations forward. -Monitoring of impact of delivery 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 Multiagency Safeguarding Arrangements (MASA) membership and work programme. -Leadership from the Chief Executive, Borough Commander and Lead Officer in the CCG to drive forward action plan, and galvanise resources from across the council and partners to support further 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	4	3	12	Tolerate	12	Same	Controls and mitigations remain in place with a focus on communication channels with all levels of staff and partners being used in the current circumstances.
STR08	Major regeneration schemes	Failure to effectively manage the major regeneration schemes could lead to delays resulting in significant financial implications for the council (e.g. loss of revenue) and local economy.	Deputy Chief Executive	Finance	Thriving	- Steering Groups are in place to discuss the works and ensure there is project documentation. - project boards are in place to discuss and monitor the works. - Regular review at GROB (growth, regeneration, operations boards) and Brent Cross Governance Board.K13 -Scheme by Scheme basis, teams will investigate market conditions.	4	3	12	Tolerate	12	Same	Regeneration programmes have continued to be monitored. Initially, development partners indicated there would be a major impact on programmes (there was a 3-6 months slippage on all projects due to Covid-19) but all projects are now back on site. The risk is being tolerated at a 12, with the existing controls/mitigations in place. The factors potentially impacting the risk are outside the council's control.
STR15	Declining health of town centres	Changes in the retail sector (e.g. online shopping, inflexible leases, high rents) could lead to a declining health of local town centres (with low business survival rates and high vacancy rates) resulting in a poor quality place; loss of business rates and lack of local physical services; and fewer jobs.	Deputy Chief Executive	Finance	Thriving	- Dedicated officer in place to engage and support business support; dependency on the council is generally limited to maintaining a focus on council priorities - Putting in place SPDs and planning instruments to allow for flexibility in town centre developments - Working with developers in north Finchley, bidding for GLA and government grants; seeking funding where possible; and working with major landowners to increase footfall (Cricklewood, Edgware) - Work with Town Teams to take responsibility	3	4	12	Treat	12	Same	Covid-19 has had a significant impact. The council established a recovery working group immediately to respond to the impact on the town centre. Medium to long-term recovery plans are being developed. The council responses are being reported to CMT (23 June 2020) requesting approval to receive further interventions.
STR07	Workforce engagement	Insufficient staff engagement (lack of investment and empowerment) and inadequate succession planning could lead to problems with recruitment and staff dissatisfaction, skilled staff leaving and high vacancy rates resulting in failure to meet statutory duties or council priorities; and workforce and financial pressures.	Chief Executive	Staffing & Culture	The Way We Work	1. A new recruitment system is in place to improve and streamline the recruitment process making it easier for both hiring managers and prospective candidates.-done 2. The council has invested in new office accommodation to provide a new, modern working environment to support flexible working 3. 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. 4. Continued roll out of the healthy workplace charter action plan with a rolling monthly programme of healthy initiatives for staff. 5. Develop and monitor HR improvement plan	4	3	12	Treat	12	Same	A new staff survey is to be rolled out later in 2020. The Assistant Director for HR is finalising the new HR structure to support the organisation with recruitment. HR actions identified on the Covid-19 staff survey will be incorporated into the council's recovery plan as a new BAU is established.
STR20	Dependency on staff to manage urgent issues	A lack of capacity/capability, shared skills/ knowledge or succession planning in the workforce could lead to dependency on a small number of staff to deal with urgent issues resulting in pressure points across the organisation and potential service failure.	Chief Executive	Business Continuity	The Way We Work	- Learning and development opportunities, including opportunities via Apprenticeship Levy - Workforce/succession planning	3	4	12	Treat	12	Same	The Covid-19 pandemic has helped identify areas lacking resilience within the organisation; with areas such as the BECC and Community Support Hub requiring extra staff via redeployment and more co-ordinated working. This has provided development opportunities for officers across the organisation.
STR05	Resilience management	Insufficient resilience management (e.g. Business Continuity, Emergency Planning, H&S) could lead to the council being unable to respond effectively to an emergency or incident resulting in disruption to services; harm to staff or the public; and legal challenge.	Director of Assurance	Business Continuity	Prevention	- Current BC arrangements including strategy, exercises, training and resources - Corporate BC Strategy and Plan in plan. - Maintenance of BC lead network - Identification of P1 staff and relocation venues across the councils sites - Corporate Health and Safety Management system in place: Health and Safety Policy, risk assessment and review, training, monitoring and reporting performance .	4	3	12	Treat	12	Same	The last three months has significantly tested the council's emergency planning resilience and impact to business continuity has been minimal. The BECC has been opened and maintained for several weeks to support the organisation's response to the Covid-19 pandemic. The Borough Resilience Forum (BRF) has been meeting weekly to ensure partners and organisations involved are in a resilient state to respond to any new challenges in the current situation.
STR14	Perception of safety	An increase in knife crime in London, hate crime and fake news could lead to a reduction in residents' perceptions of safety in the wider community resulting in an increase in community tension and demand for services.	Assurance Director	Statutory Duty	Clean, Safe & Well Run	- Working with Barnet Safer Community Partnership to deliver the knife crime action plan -Invested in Environmental Enforcement (e.g. litter and flyposting) -Action Days with Police in Partnership with Re (regulatory Services) -effective use of CCTV across the Borough -Work with Barnet Homes on Environmental & regulatory Enforcement (e.g. noise and pests) and joint Action across Estates	4	3	12	Treat	12	Same	There has been a big reduction of serious violence during the Covid-19 pandemic, including knife crime and robbery. The serious adults violence panel has started to provide enhanced information sharing and co-ordinated interventions to adults identified as risk in involvement with violence. There is continued investment into the Barnet zero crime to hate crime partnership, which is delivering hate crime awareness training for staff across the partnership, including outreach and community work with communities across the borough.
STR13	Community cohesion	Insufficient community engagement and/or participation following national and / or local tensions could lead to anti-social behaviour; breakdown of community cohesion resulting in civil unrest and an increase in hate crime.	Deputy Chief Executive	Business Continuity	Clean, Safe & Well Run	- Working in partnership with the Police to monitor tensions and local issues, and response. - Working with the Barnet Multi Faith Forum (BMFF) and Community Together Network to increase engagement with the community. Delivering initiatives to encourage and celebrate cohesion such as Together we are Barnet.	4	3	12	Treat	12	Same	TWAB campaign will still continue but on a smaller scale following larger wide campaign in 2019/20. CTN and engagement with the Volunteer Community sector and BMFF has been more proactive during the current Covid-19 pandemic.

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STR11	Prevention and managing demand	If capacity in the market (private or voluntary) falls this could lead to an unmanageable demand for Adult Social Care services within the current envelope (staffing/financial resources) resulting in a failure to meet statutory duties and additional pressure on staffing and finances.	Executive Director Adults and Health	Statutory Duty	Healthy	<ul style="list-style-type: none"> - 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. There is also a clear provider failure / closure approach to manage closure of homes and safe transition of service users if required. more streamline and better focus on quality. - Working across North Central London to share ideas / learning on quality improvement programmes, including collaborative work with Enfield, Haringey, Camden and Islington councils on residential and nursing care supply, commissioning and quality assurance.. - 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) - Specific support offer in place to support providers with Covid-19, including additional Covid-19 funding to support care providers to remain sustainable through the Covid-19 pandemic 	4	3	12	Treat	12	Same	Covid-19 has had a significant impact on the care market across the country with recent national figures showing an increase in deaths by 95% compared to 2019. This has meant a number of care homes have a higher level of vacancy than usual and for the first time in a number of years, supply outstrips demand. The council is working with providers closely to support them to be financially sustainable throughout this period, with a particular focus on those homes affected by Covid-19.
STR12	Relationship with healthcare providers and partner organisations	Ineffective relationships with healthcare providers and partner organisations such as the NHS could lead to an inability to manage demand resulting in a failure to meet statutory duties and safeguarding of vulnerable residents.	Executive Director Adults and Health	Statutory Duty	Healthy	<ul style="list-style-type: none"> - Joint planning and co-ordination work takes place through the Joint Health and Wellbeing Strategy and other Health and Wellbeing Board work, and at North Central London level through the Sustainability and Transformation Plan process. - At the borough level, there is close working through the joint commissioning unit, the health and wellbeing executive group and the A&E delivery board which actively manage plans to control demand pressures in the early urgent system. ASC operational managers work with the NHS on the daily basis, to manage demand and pressures. - Actively monitoring of referral and activity data and any concerns to the Trust. - Monitoring sign off of DTOC's across Acute, Community and Mental Health NHS trusts. - Work with Barnet CCG has secured additional investment from NHS England to support extra capacity over the Winter. 	4	3	12	Treat	12	Same	The Covid-19 pandemic has significantly changed how the council works with the local health partners in Barnet and across North Central London (NCL). Relationships have strengthened and, working collaboratively, a new Integrated Discharge Team has launched along with a new support offer for care homes. The new CCG has launched and the local Integrated Care Partnership has agreed some initial priorities to be working on collectively.
STR06	Adults safeguarding	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.	Executive Director Adults and Health	Statutory Duty	Healthy	<ul style="list-style-type: none"> - Barnet council and partners have signed up to the multi-London agency procedures safeguarding policies and procedures and adopted across London in Q1 19/20. These have been updated in Q1 20/21, and represent best practice. - The council has a comprehensive Learning and Development programme for social care practitioner to support high quality safeguarding practice. - A quality assurance framework is in place which includes independent case audit programme, supervision audits and direct observations of staff and self-audits to provide reassurance that practice quality is high and identify areas for improvement. - A quality board meets monthly to review the findings from mechanism in the quality assurance framework and track any improvement actions agreed. - Performance monitoring of safeguarding, happens monthly and quarterly by management team and performance team of Barnet safeguarding adults board. - Monthly reporting to executive director along with ad hoc reporting when necessary with clear roles and responsibilities are in place. - Implementation of the MASH from June 2019 - Professional lead for safeguarding and clear responsibilities for those carrying out safeguarding inquiries through line management and Safeguarding Adults Manager (SAM). 	4	3	12	Tolerate	12	Same	The internal audit into safeguarding has now concluded with reasonable assurance. Follow-up action will be taken, particularly to improve the tracking of training compliance. Work has continued to embed the new MASH, though phase two is disrupted as although Family Services have moved to Colindale staff are working remotely due to the Covid-19 pandemic. However, staff are working to ensure that effective links between departments / organisations are maintained during this period. The risk is being tolerated at a 12, with the existing controls/mitigations in place.
STR21	Covid-19 infection rates and recovery planning	If Covid-19 infection rates rise this could lead to a second wave and further restrictions on society resulting in disruption to recovery efforts, including economic and social.	Deputy Chief Executive	Finance	Prevention	<ul style="list-style-type: none"> - Business continuity plans in place - BECC prepared - Recovery plans being developed - Steering Group meeting weekly - CMT receiving weekly updates (each workstream and overview of programme every 6-weeks) - Member involvement via Chairs Briefings/Committee updates - P&R and Theme Committees receiving updates on recovery, as per timetable 	4	3	12	Treat	New	New	Test and trace in place and infection rates regularly being monitored by council and regional bodies. Emergency and business continuity plans remain in place and consideration being given to possible second wave in recovery planning. Recovery planning commenced in April 2020, in response to Covid-19. Steering Group set up and weekly sessions held to kick-start programme. An initial workshop focused on the 3Rs was held with Directorate staff on 16 April, which was fed into sessions with CMT on 23 and 30 April. Workstream Leads were identified and a separate session held on 10 June. A report went to P&R Committee on 17 June outlining immediate priorities for recovery. Chairs Briefings were held in July and a Chairs/CMT meeting is planned for 28 July.
STR10	Growth agenda	Failure to manage the growth agenda could lead to a poor quality of place (physical and social infrastructure) resulting in resident dissatisfaction; lack of community; reduced CL, New Homes Bonus and Council Tax growth; and lack of economic potential.	Deputy Chief Executive	Finance	Thriving	<ul style="list-style-type: none"> - Regular review at GROB (growth, regeneration, operations boards) - Scheme by scheme basis, teams will investigate market conditions - Active engagement with Building industry to encourage appropriate development in the borough - Working closely with community to ensure benefits of growth are widely spread and distributed 	5	2	10	Tolerate	10	Same	The Growth Strategy was approved by Housing & Growth Committee in January 2020. An action plan has been published and is currently being worked through. The risk is being tolerated at a 10, with the existing controls/mitigations in place. The factors potentially impacting the risk are outside the council's control.

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STR04	Financial management	If financial management and controls are not sufficient this could lead to budget overspend, non-achievement of MTFs targets and the council not ensuring appropriate administration of public funds resulting in possible financial and reputational losses.	Director of Finance	Finance	Clean, Safe & Well Run	- Challenge to financial forecasts occurs on a regular basis by Finance Business Partners - Regular, in depth reporting is considered by CMT, Financial Performance & Contracts Committee and Policy & Resources Committee. - Mitigating actions to contain overspends identified and implemented - Achievement of savings tracked and alternative actions indentured where not achievable - Officers were reminded of their responsibilities under the Financial Regulations when budgets were set in March 2020. In addition budget holder training is available and a refresh will be rolled out during the year. - A contingency budget is held centrally for any unmanageable, unforeseen pressures	3	2	6	Tolerate	9	Reduced	The council's underlying financial performance is within the target range at present. The risk is being tolerated at a 6, with the existing controls/mitigations in place. The risk score will remain under review as the variables within the position change.
STR18	Neglecting corporate parenting duty	If the council and its partners neglect to fulfil their duty as Corporate Parents this 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.	Executive Director Children's Services	Statutory Duty	Family Friendly	- 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.	3	3	9	Treat	9	Same	There has been close monitoring of Children in Care during the Covid-19 pandemic, with equipment purchased such as IT and Telephones for children who didn't have them so they can complete learning. The DFE has also provided equipment for vulnerable children.
STR01	Non-delivery of services	Ineffective governance, leadership, management or a weak internal control environment could lead to poor quality or non-delivery of services resulting in dissatisfaction; failure to meet statutory duties or council priorities; potential harm to the public; and legal challenge.	Chief Executive	Statutory Duty	Clean, Safe & Well Run	- Weekly CMT meetings with regular oversight of budgets, performance, risk and audit activity - Regular reporting of budgets, performance and risk to Policy & Resources Committee, Financial Performance & Contracts Committee and Theme Committees - Annual audit of performance and risk management frameworks to ensure compliance - Annual audit plan - Monthly Internal Controls Board (ICB) - Regular reporting of audit activity to Audits committee - Controls to mitigate the associated risk, AG020 -- 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.	3	3	9	Treat	6	Increased	A report went to Audit Committee on 14 July 2020 which detailed the new approach to internal audit. Previously internal plans were reported on a quarterly basis, however this has been adjusted due to the Covid-19 pandemic. There will be a two phase plan. The first phase will focus on Covid-19 and will concentrate on testing controls that have been adjusted due to the pandemic such as Finance where financial controls have been adapted to ensure practical in the current circumstances whilst preventing possibilities of financial misconduct. As the financial controls are yet to be tested, the risk score has increased to represent the increased risk. The second phase will be on more traditional risk-based audit in the new BAU when that is established. Previous audit actions will still be followed up. Usual Q4/End of Year performance and risk activity was paused in March 2020 to focus on the emergency response to Covid-19. Corporate staff were redeployed to support the Barnet Emergency Control Centre/CMT with Covid-19 reporting/analysis; recovery planning; and to other critical services such as Registrars. Despite this focus on Covid-19, Q4/End of Year reports were produced for FPC and P&R Committees in mid-June 2020 and for the Director of Environment. The focus for 2020/21 will be on recovery planning and reporting on progress to CMT, P&R and Theme Committees. The annual audit of the Risk Management Framework was completed prior to lockdown and the final audit report received in July 2020. This concluded that there continues to be "a strong risk management culture in place at Barnet Council in which risk owners and champions understand and fulfil their responsibilities relating to risk management".
STR02	Customer experience	Lack of joined up of systems across the council and strategic partners, skilled staff or training could lead to customer expectations not being met resulting in a poor customer experience or quality of service.	Deputy Chief Executive	Finance	The Way We Work	- Demand reduction initiatives with high volume services and CSG agreed with timelines for delivery - Customer transformation programme delivering a range of online improvements which should limit the need for customers to call us - safeguards in place to protect service areas that are used by the most vulnerable residents and those that cannot get online - Monthly web performance meeting group are held - Accessibility reports are run to address shortcomings in accessing content for customers with accessibility needs.	4	2	8	Treat	12	Reduced	The Customer Service offer has been revised due to the Covid-19 pandemic, with more resources being moved to supporting the Community Hub and essential functions. Recently, the contact centre has become fully operational across all services.
STR24	Delays and errors following the transfer of pension administration services to West Yorkshire Pension Fund	Pension administration will transfer from Capita to West Yorkshire Pension Fund (WYPF) on 31 October 2020. A successful transfer requires that complete and accurate data is transferred from Capita and WYPF have the systems and staff to process the data and provide the administration service. Missing data or lack of resources could lead to a poor service to members.	Director of Finance	Finance	Clean, Safe & Well Run	- A project board has been established and project managers appointed for each party involved with multiple weekly meetings to oversee progress. A detailed project plan is in place and risks identified and being managed.	4	2	8	Treat	New	New	This is a new risk about the transition of pensions administration to West Yorkshire Pension fund. The transition so far is proceeding to timetable and no issues have risen.

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STR09	Increase in the NLWA levy	The expected replacement of the NLWA Energy from Waste (EFW) facility (expected 2026) could lead to an increase in the waste disposal levy of potentially up to £9million per annum and any additional financial cost relating to delays in the construction of the EFW resulting in an increased financial pressure on the council.	Executive Director Environment	Finance	Clean, Safe & Well Run	- Active engagement through officers and NLWA Members - Development of long-term financial strategy - Ongoing analysis of waste data flows	2	3	6	Tolerate	6	Same	Regular updates and discussions taking place with Directors of Finance, Directors of Environment and NLWA Members. The NLWA forward plan stated June 2020 as the provisional date for the decision to start the Energy Recovery Facility (ERF) procurement; there have been no NLWA meetings since this date. NLWA officers have stated they are preparing the papers for the Authority meeting on 25 June 2020, when a report will be brought on the ERF procurement. This risk is being tolerated at a 6, with the existing controls/mitigations in place.
Service risks													
Adults & Health													
PH06	Pandemic type disease outbreak	A Declaration of Pandemic (inc 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 and Prevention	Statutory Duty	Prevention	1. Evoking of Barnet multi-agency pan flu to respond the Covid-19 pandemic. 2. Performing pandemic preparedness exercise. 3. Monitor outbreaks on a local level 4. Local Outbreak Control plan is in place 5. Providing PH leadership and professional advice for the council's pandemic response.	5	4	20	Treat	20	Same	There is ongoing distribution and implementation of Public Health England guidance in relation to Covid-19. A Public Health consultant 'on call' rota has been established to provide support for high risk settings, and to the Barnet Emergency Control Centre. The council is taking part in the NHS 'Test and Trace' programme as a Best Practice Group in the London Network.
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 are on-going funding pressures. Uncertainty about future demand for services, increasing complexity and cost of care packages, legislative changes and, specifically related to COVID, the availability of funding streams, reimbursements and on-going support could lead to a worsening budget overspend for the service and it could lead to a deterioration in the council's overall financial position.	Executive Director Adults and Health	Statutory Duty	Healthy	- 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. The MTF5 to 2024 is set and adult social care will continue to undertake initiatives focused on reducing and managing future demand. The council will also liaise with Health to submit COVID returns, understand when funding will cease, the transition process and any communication activities required.	5	4	20	Treat	20	Same	The 2020/21 budget has been re-aligned to the end of year budget position with an update on key assumptions and risks. The 2020/21 budget will also include initial assumptions of Covid-19 risks which will also be monitored. The Directorate and Finance are working closely to submit required finance returns related to Covid-19.
AC002	Failure of care provider	A care provider suddenly being unable to deliver services could lead to HSE breach, harm to individuals resulting in a violation of statutory duty and financial consequences.	Assistant Director for Community and Performance	Business Continuity	Healthy	-Through the Covid-19 pandemic we have continued to keep in place controls and mitigations to reduce the risk of provider failure within the borough. Actions we're taking to mitigate risk of provider failure through Covid-19 are: • Regular collection of information (PPE, Covid-19 cases, staffing levels, hospital admissions) to target support where it is needed most • Delivery of PPE to care providers where required • Developed a new One Care Home approach, working with health colleagues to provide clinical support to care homes. - We also continue to ensure all new contracted services have due diligence undertaken at the start of each contract to ensure quality and sustainability of providers. If issues are identified then there is a clear provider concerns process, to access risk to individuals and support improvement. There is also a clear provider failure / closure approach to manage closure of homes and safe transition of individuals if required. - Work continues to monitor the sustainability of the sector and explore best use of council resources to support this (including the awarding of inflationary uplifts).	4	4	16	Treat	12	Increased	The council continues to work closely with providers to ensure they have the right support, including funding to support additional costs of delivering care due to Covid-19. The council is undertaking targeted work, alongside health colleagues, with care providers who have been hit hardest due to Covid-19.
AC044	Leisure operator performance against contract	The performance of the leisure operator to deliver against contractual obligations and commitments could lead to the health and wellbeing priorities not being fulfilled resulting in possible consequences to service delivery and finances.	Assistant Director Greenspaces & Leisure	Business Continuity	Healthy	- The leisure contract continues to be monitored in alignment with the Performance Management Framework to ensure delivery against obligations / commitments and targets are met. An unexpected closure of the pools at Finchley Lido Leisure Centre since March (now anticipated to open clearly 2020) will impact the achievement of performance and financial targets/projections. The SPA team are working with the leisure operator to understand and minimise impact. Disrupted service delivery is being absorbed at other leisure facilities where possible and public Comms is being managed.	5	3	15	Treat	12	Increased	All leisure facilities were closed upon Government instruction on 21 March 2020 due to Covid-19. The facilities remain closed in consideration of the existing guidelines, which are not planned to re-open until Q2. A commercial assessment of the Q1 impact has been undertaken in consultation with legal and finance colleagues, which has recommended providing supplier relief during the Q1 period. A Deed of Variation outlining the specific terms of this agreement is currently in draft and awaiting consent from both parties prior to execution.
PH30	Access to H&S advice during Covid-19 pandemic	The Declaration of a Pandemic by the World Health Organisation (WHO) could lead to severe resource and capacity issues for SHaW resulting in a lack of statutory health and safety advice to the Chief Executive, CMT and the council including advice on the management of significant corporate risks.	Director of Public Health and Prevention	Statutory Duty	Clean, Safe & Well Run	1. Evoke business continuity plan 2. Change operating model to reduce pro-active activities and enable resource to provide statutory and risk management advice and support 3. Policy and guidance in place to enable council officers to manage service risk	5	3	15	Treat	New	New	This is a new risk about the lack of resource within the SHaW team to respond to and provide statutory advice. It is expected the risk score will reduce once arrangements with suppliers for ad hoc health and safety professional advice is completed.
Assurance													

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AG020	Audit actions not implemented	If audit advice and / or agreed actions are not implemented, or temporary interim controls during Covid-19 are not adapted once 'BAU' resumes, this could lead to a deterioration in the council's control environment resulting in the Head of Internal Audit providing a Limited Assurance Annual Opinion.	Head of Internal Audit	Statutory Duty	Clean, Safe & Well Run	- Audit actions are recorded within Barnet Performs and discussed at monthly Contract Management Meetings (CSG and Re) to encourage implementation - Auditees are emailed asking for updates / evidence in advance of quarterly reporting to Audit Committee - Monthly Internal Controls Board (ICB) when officers are asked for updates against their actions and challenged if progress not made - 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 - Internal Audit Manager role created, key aspect of role is to manage the follow-up process including new approach to following up Mediums, launched November 2019 (approved by Audit Committee in October 2019)	4	4	16	Treat	16	Same	Due to Covid-19, officers across the council and its partners may have less capacity to implement previously agreed audit actions. At the end of Q4, Internal Audit could not conclude on all audit actions being followed up, due to reduced Internal Audit capacity and officers across the council having more urgent competing priorities. Controls that were previously in place have been adapted to respond to urgent need. When BAU resumes, there is a risk that stricter controls may not be re-introduced. This will be reviewed by Internal Audit as part of the 2020/21 Internal Audit plan.
AG021	Election/ referendum organisation	Due to the Covid-19 pandemic, it may not be possible to conduct the (deferred from May 2020) London Mayor and GLA elections (and any local by-election that should be required) in May 2021 if polling and postal vote venues cannot be used, resulting in financial costs for implementing additional requirements	Chief Executive/ Returning Officer	Statutory Duty	Clean, Safe & Well Run	- Electoral legislation states that the Cabinet Office must fund all 'actual and necessary costs' for the delivery of such an election - LBB has appropriate election reserve to cover those costs that Cabinet Office do not meet for statutory elections (e.g. call centre, security costs, standby resources etc.) - Learnings from previous elections have continually improved corporate preparedness and will inform plans for a snap election - Good engagement with election staff and venue managers widely in place - Alternative site contingencies are in place (inc. for the Count Venue) - additional staff resources have been identified (or have applied) for all election roles - Further 'election staff' recruitment activity to ensure good numbers of staff (and reserves) available at short notice. - Continued dialogue with Allianz Park and RAF Museum to ensure availability for all possible for election count and preparations. - Alternative polling places identified where a current venue's availability is at risk (can be date specific)	5	3	15	Treat	6	Increased	May 2020 elections have been deferred to May 2021, including any local by-elections called within this period. A new related risk has emerged that some Members may fall foul of the 6-month attendance rule which automatically disqualifies them and triggers a by-election. Options to ensure that no Members fall foul have been developed and will be implemented following agreement of the Leader. The review of December 2019 election will go to Constitution and General Purposes Committee later than planned.
AG034	Subject Access Requests statutory deadlines	Failure to meet statutory SAR deadlines and insufficient resource for the management of the SAR process could lead to complaints from customers, enforcement action and monitoring from the ICO, resulting in reputational damage and customer dissatisfaction.	Head of Assurance & Business Development	Statutory Duty	Clean, Safe & Well Run	- Regular performance reporting - IMGG in place to monitor - SAR criteria created to allow time extensions under the Act which should alleviate some case concerns in Family Services - Fortnightly meetings with the RIMT have been put in place	3	5	15	Treat	12	Increased	The backlog of SAR requests has increased in the last quarter, and as a result the risk score has increased. Additional support from the Data Protection Officer has been put in place.
AG052	Insurance and risk management	If the council fails to arrange adequate insurance of assets or implement risk recommendations this could lead to significant financial loss (e.g. Loss of buildings) and claims resulting in substantial financial penalties and outlays.	Assurance Director	Finance	Clean, Safe & Well Run	1. External broker supporting Insurance arrangements. 2. Annual review of insurance cover	5	3	15	Treat	15	Same	There has been close liaison with insurance brokers over the Covid-19 risk and implications on insurance policy cover and claims e.g. school travel. Renewal documentation is being prepared for discussions in advance of October renewal.
Finance													
FIN002	Implementation of 20/21 savings	If the savings identified for 20/21 are not fully implemented this could lead to non-achievement of MTFs savings targets and an overspend on the revenue budget resulting in an impact on services and financial consequences for the council.	Director of Finance	Finance	Clean, Safe & Well Run	- Monthly budget monitoring - Budget setting process validating savings	5	4	20	Treat	20	Same	Monthly monitoring arrangements and budget setting processes are in place to manage the risk. Overall position is unclear until M2 data is clarified. Given the impact of Covid-19 in terms of financial costs and disruption to the council, the process for medium term budget setting has been delayed.
FIN001	Impact of uncertainty on finances	The uncertainty of the national and regional political landscape, legislative changes and local government funding could lead to changes that affect council services and result in a further reduction of the multi-year budget.	Director of Finance	Finance	Clean, Safe & Well Run	- 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	20	Treat	15	Increased	In response to Covid-19, the Government has made a series of policy announcements, initially at Budget 2020, and then throughout March, April and May. A complex picture of initiatives has emerged, some of which have been supported by additional funding; some that will lead to reductions in both council tax and business rates receipts; some that require administration by local authorities of grants to businesses; and then a range of measures with wider financial implications. Given the impact of the pandemic in terms of financial costs and disruption to the council, the process for medium term budget setting has been delayed. A revised methodology incorporates the recovery work (also seen on this Committees agenda) together with the revised Corporate Plan. The impact of Covid-19 has introduced greater uncertainty than had existed in determination of the controls and mitigations.
Growth & Corporate Services													
G&C068	Review of Year 6/7 contracts	Due to market uncertainty, the timescales of the Year 6/7 contracts could lead to the council being in a financial and contractual disadvantage position resulting a financial losses and cost.	Commercial and Customer Services Director	Finance	Clean, Safe & Well Run	- Commercial and Customer Services Director is having ongoing discussions with Members and CMT	5	4	20	Treat	New	New	This is a new risk identified in the current situation where there is great market uncertainty due to Covid-19. Work is ongoing on understanding the market impact and the timescales the council can work to. Due to the potential significant financial cost/loss to the council, the risk has been scored at a 20.
G&C037	Ineffective budget management of strategic contracts	A lack of clarity on roles and responsibilities could lead to ineffective budget management of strategic contracts resulting in financial loss to the council.	Commercial and Customer Services Director	Finance	Clean, Safe & Well Run	1. Monthly budget monitoring meetings ongoing 2. Inflation change request and volumes are managed. (including CR tracker) 3. Review of contractual provisions against budget	4	4	16	Treat	12	Increased	Whilst budget monitoring reporting has improved, the impact of Covid-19 could result in an overspend. Work is ongoing to develop a better understanding of the financial picture to determine next steps.

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G&C032	Economic uncertainty impact on training and apprenticeship	If there are delays to construction caused by economic uncertainty, this could lead to a reduction in the delivery of training and apprenticeship opportunities resulting in people being unable to get into work and finding better employment and an impact on the local economy.	Director of Growth	Business Continuity	Thriving	1. Distribute employment and skills delivery across different sectors including construction and retail 2. Continued engagement with developers on regeneration estates (e.g. NHG, Countryside Properties, MHT) 3. Maintain focus on priority communities through employment and skills initiatives on regeneration estates. 4. Ongoing discussion with Argent regarding resources for employment and skills co-ordination on BXC development	4	4	16	Treat	12	Increased	Covid-19 has seriously impacted construction with a knock-on effect on construction apprentices and training. The team is pro-actively working with developers, Further Education and training providers to plan for the safe re-opening of sites; additional apprenticeship/training programmes are also being developed.
Environment													
TS013	Passenger Transport Services move	If a new location or lease is not extended for the PTS vehicles past December 2020 this could lead to a disruption to the Home to School transport service for Special Education Need children in and out of borough resulting in increased costs and potential service disruptions.	Street Scene Director	Business Continuity	Clean, Safe & Well Run	1. Depot move project are currently working on space planning exercise for Oakleigh Depot and adjacent sites. There are 2 other sites being considered as a back up, if there is insufficient space.	5	4	20	Treat	20	Same	The PTS team has relocated to Building 4 at NLBP allowing the council to terminate the Building 2 lease. The lease for Building 4 is until December 2020 with further extensions subject to the outcome of future site acquisitions and agreement with owners of the site.
PI006	Variations in year on budget for parking	If there are uncertain or fluctuating levels of non-compliance linked to parking, parking transactions or an overspend within the service; this could lead to unanticipated variations in year which could affect the achievement of the budgeted net surplus, resulting in a reduced surplus to fund planned activities and increased pressure on the general fund.	Infrastructure and Parking Manager	Finance	Thriving	1. Budget setting/monitoring process - monthly reporting 2. Tracking income levels regularly - and reported to parking transformation board 3. Medium term financial models to be widely shared and understood 4. Strong activity linking to all budget monitoring and close contract management 5. New contract provides line pricing for each activity so strong link to income and expenditure at a fixed rate. 6. Ensuring temporary resource or rapid recruitment in place where any vacancies arise 7. Alternative plans can be accelerated	4	5	20	Treat	12	Increased	Covid-19 has had a massively detrimental effect on immediate and longer-term Parking Income. The scale of the effect over the full year remains subject to huge uncertainty, but a loss in normal income of at least £6million is currently forecast with the entire £2.6million MTF savings target also at severe risk.
SS018	Challenge to recruitment and retention in Street Scene	Difficulties recruiting and retaining appropriate staff could lead to low staff morale and an increase in use of agency staff, impacting on service quality/delivery and financial cost.	Street Scene Director	Staffing and Culture	Clean, Safe & Well Run	1. Utilising multiple markets 2. Channels for recruitment.	4	4	16	Treat	16	Same	Permanent positions are being offered to frontline agency staff. Works to reduce the reliance on agency staff is ongoing but has been affected by Covid-19. This work will be prioritised through the remainder of the year as the service moves back toward business as usual.
SS020	Remedial works at Oakleigh Depot	Remedial works at Oakleigh Road depot could lead to service disruption for up to 9 months, impacting on business continuity and delivery of services, and resulting in resident dissatisfaction.	Street Scene Director	Business Continuity	Clean, Safe & Well Run	1. There is a weekly review meeting taking place with the contractor and the updates are provided to the steering group chaired by the Chief Executive. 2. Regular staff briefings	5	3	15	Treat	20	Reduced	A series of controls have been put in place, such as the implementation of a one-way traffic system and monitoring of ground movement at the Depot. Work to stabilise Oakleigh Depot continue to be implemented. Sheet piling and ground anchor installations are now complete and work is taking place around the Thames Water Culvert.
TS015	Change in LEZ and expansion of ULEZ	Due to emission changes and expansion of ULEZ, a number of council vehicles will need to be replaced or retrofitted with compliant technology, this could lead to increased costs resulting in budget pressures and operational issues.	Street Scene Director	Business Continuity	Clean, Safe & Well Run	1. The control is to either replace the current fleet or retrofit exhaust system to be compliant.	5	3	15	Treat	15	Same	Council vehicles will need to be replaced or retrofitted with compliant technology to meet the minimum emission standard in Low Emission Zones (LEZ) and Ultra Low Emission Zones (ULEZ) by October 2020. An order for 31 RCV's has been placed, in addition to the 12 that will be due at the end of the month. Capital has been approved to undertake the replacement of the remaining fleet vehicles.
Joint risks													
The Barnet Group (TBG)													
TBG14	Covid-19 Impact on delivery	Staff shortages, due to Covid-19, could lead to non-compliance with gas, electric, legionella and fire standards, resulting in Your Choice Barnet services being suspended or closed due to contamination.	Head of Housing Strategy	Health & Safety	Prevention	1. Operations staff are working from home. Service levels have however deteriorated due to IT issues. 2. PPE obtained and in stock. 3. Residents shielding or self isolating mean that works are having to be carried out at the earliest opportunity after these periods have ended. There is still resistance from customers to allowing repairs contractors to enter homes. Operational procedures (including logging of self-isolation dates) have been adapted for these circumstances and are working effectively. 4. YCB has closed non-essential services (such as Rosa Morison and Community Space) and re-assigned staff where possible. Ongoing discussions with Council as to plans in the event any of the care homes are compromised.	4	4	16	Treat	New	New	Throughout lockdown Barnet Homes have delivered essential services in line with Government directives and advice, with strong linkages with LBB regarding the approach to staff and resident safety. Recovery plans for all services have been developed and are at various stages of implementation. Financial and performance implications of Covid-19 are being closely monitored.

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TBG006	H&S/compliance incident	If Barnet Homes fail to achieve regulatory requirements for the housing stock this could lead to health, safety and compliance issues resulting in death to staff and public, legal challenges and financial costs.	Group Director of Operations & Property - TBG	Statutory Duty	Thriving	<ul style="list-style-type: none"> 1. Policies and procedures <ul style="list-style-type: none"> - H&S management system - training - induction for new staff - management structures for contract management 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 2. Supplier 3. involvement on London Councils and MHCLG Directors Fire Safety forums 4. A programme of fire safety works to high-rise blocks has been developed and approved by the Housing Committee on 21/06/18 	5	3	15	Treat	10	Increased	Wherever possible and safe to do so, the fire safety programme has continued; however inevitably there have been some Covid-19 related delays. Covid-19 has meant that gaining access into residents' homes to perform essential compliance checks such as gas, electrical and water system tests has become more difficult and the Health and Safety Executive have issued guidance for landlords which is being closely adhered to by Barnet Homes.
Customer & Support Group (CSG)													
CSG55	Poor delivery of pension service by administration team	Poor management of pension administration could lead in scheme members experiencing delays in receiving benefits and have a poor customer experience resulting in enforcement actions by the regulator such as fines.	Director of Finance	Finance	Clean, Safe & Well Run	<ul style="list-style-type: none"> - Review and monitor pension service - CSG and scrutiny by the pension board on a quarterly basis. - Contractual remedy where appropriate. - Monthly update meetings to measure progress against service improvement plans. 	4	4	16	Treat	16	Same	The position is unchanged; although the number of member complaints has reduced. The remediation plan and the change of administrator remains key to maintaining member satisfaction. The transition is ongoing for West Yorkshire Pension Fund to take over administration of the Pensions service.
Regional Enterprise (RE)													
OP27	Affordability of the Thames Link project	If the Brent Cross budget is not managed effectively this could lead to major pressure within the HMG grant funding budget resulting in increased costs to council.	Deputy Chief Executive (LBB)	Finance	Thriving	<ul style="list-style-type: none"> 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 the finance manager 3. Re are exploring whether the grant is at risk should the project not go ahead. 	5	3	15	Treat	15	Same	All costs continue to be monitored jointly by Re and the council. All expenditure and financial decisions are managed by the Board.