

**Appendix : Q3 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)	Q3 2020/21 Review Summary
							Impact	Likelihood	Risk Score				
Strategic													
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.	Director for Growth	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	20	Same	The second phase of the Discover Barnet campaign is ongoing, alongside a wider programme to support town centre investment and reinvention. The council launched its “work and help” portal in November 2020 to assist residents find work, training and financial support. Wider work is now commencing on a new programme to support all residents in Barnet on employment matters relating to Covid-19, including developing new pathways into growth sectors such as health and care, construction and education.
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.	Director for Growth	Finance	Thriving	1.Dedicated officer in place to engage and support business support; dependency on the council is generally limited to maintaining a focus on council priorities 2.Putting in place SPDs and planning instruments to allow for flexibility in town centre developments 3.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) 4.Work with Town Teams to take responsibility 5.Continue with ongoing work on redeveloping town centres and high streets.	4	4	16	Treat	12	Increased	Changes in the retail sector could lead to a declining health of local town centres resulting in a poor-quality place; loss of business rates and lack of local physical services; and fewer jobs. The second phase of the Discover Barnet campaign has begun. Four officers have been recruited, including a dedicated communications officer. Planning for markets, parklets and activities to drive town centre footfall are ongoing. This risk has increased due to Covid-19 accelerating trends (such as growth of online shopping) and automation, which will have longer-term implications.
STR03	Funding uncertainty due to economic downturn	A downturn in the economy could lead to financial pressures due to a large proportion of council funding coming from council tax and business rates income resulting in a reduction in service quality; non-delivery of the MTFS; and use of reserves.	Director of Resources	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 Government to remain as informed as possible.	4	4	16	Treat	16	Same	The 2021/22 provisional financial settlement for local government has been published providing funding certainty to March 2022. Beyond that date, uncertainty will continue until the Government is able to publish a multi-year spending plan. Local actions continue to focus on monitoring the receipts from council tax and business rates and to ensure that there is clarity on any emerging risks and the mitigations required.
STR16	Environmental sustainability	An inability to adequately manage the environmental impact of residents and business activities (such as air quality, 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	16	Same	The council has set up a cross-council sustainability strategy workshop and services are preparing for the introduction of the Ultra-Low Emissions Zone. Conversations are also in place with TfL regarding the delivery plan for the Long-Term Transport Strategy.
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 Resources	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 Government to ensure costs are recovered through additional funding.	5	3	15	Treat	15	Same	The council publishes budgetary information to Financial Performance and Contracts Committee and Policy and Resources Committee, including Covid-19 impact. The current assessment of costs and funding for Covid-19 response indicates that the overall cost to the council is now broadly funded by Government. The position relative to Section 114 criteria continues to be monitored closely.
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	Clean Safe & Well Run	- Current BC arrangements including strategy, exercises, training and resources - Corporate BC Strategy and Plan in place. - 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	Staffing levels both in the Emergency Planning team and supporting Emergency Response roles have increased over the last three months and this provides greater resilience; however the team is new and relatively untested so will need to await a cycle of exercising or live tests. All Emergency Response plans are being reviewed/refreshed and updated as required to reflect the new increase in remote working and Covid-19. A review of alternative accommodation needs in the event of loss of Colindale will be considered based on service requirements. Borough Resilience Forum BAU meetings are being resumed in addition to Gold/Covid BRF meetings.

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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	The Serious Adults Violence Panel has continued to establish itself as a forum for information sharing and developing actions and plans for cohorts at risk of serious violence. It is interfacing well with other panels and partnership organisations including the Barnet Vulnerable Adolescent at Risk Panel (VARP), Resettlement Panel and the integrated gangs sharing tri borough meetings with local authorities and police is helping to increase the sharing of relevant information of gang and adult violence.
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	There is ongoing focus throughout the period with Ofsted visit and annual conversation completed. Scrutiny of safeguarding arrangements was undertaken and secure. There is a ongoing low number of Child Protection enquiries being explored
STR22	Sustainability of VCS	Funding and sustainability challenges facing the VCS could lead to a reduction in capacity and growth of preventative services and support not being provided to residents in hardship resulting in difficulties accessing services, demand for more complex support and residents in hardship	Assistant Director for Adults Joint Commissioning/ Assistant Director - Strategy, Communications & Engagements	Business Continuity	The Way We Work	- The council maintains good relationships with strategic partners, and has aligned strategic plans where possible. It also holds regular update meetings with partners, and members and senior officers are represented on key strategic boards -Ongoing Barnet Partnership Board meetings - Continue to work with all Prevention providers - Utilise the wider Covid-19 Community Response Infrastructure Programme as a foundation for future partnership working - Commissioned work through Collaborate to inform future relationship with the VCS- joint work with Barnet Together to develop a long term plan to support local food bank infrastructure and provide a resilient community based support offer to address food insecurity - Take forward workstream within local Integrated Care Partnership focused on Prevention incorporating new innovation fund, building on the grant funding infrastructure created during Covid-19 to support new innovative initiatives in the sector - 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 telephone	4	3	12	Tolerate	15	Reduced	The prevention innovation fund has been further scoped and a job description developed for a community funding post. The transfer of the Essential Supplies Hub management to Barnet Together is nearly complete and is now looking at how to utilise funding for holiday hunger. As the second wave of the pandemic is ongoing, the community response and infrastructure has been reviewed at meetings and activities stepped up. The risk has been reduced from 15 to 12 and set to tolerate.
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	Work on community engagement has continued with ongoing engagement with the Community Together Network and the volunteer community sector. Work has been picked up on asylum seekers, as a result of the Covid-19 pandemic. The Home Office has placed asylum seekers in the borough, with some instances of negative social media activity. Thus far this has not escalated to affect community tensions.
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.	Director for Growth	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. -Scheme by Scheme basis, teams will investigate market conditions.	4	3	12	Tolerate	12	Same	Regeneration programmes have continued to be monitored. There has been regular tracking, review and updates on the impact of Covid-19 on the Regeneration Programme. Development partners continue to assess the financial implications of the pandemic on their business decisions.

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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"> <li>- For all contracted services due diligence is undertaken at the start of each contract to ensure quality and sustainability of providers.</li> <li>- 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.</li> <li>- Working across North Central London to share ideas/learning on quality improvement programmes, including collaborative work with Enfield,</li> </ul>	4	3	12	Treat	12	Same	Covid-19 continues to have a significant impact on the care market with particular impact on the care home sector due to increased deaths, a decrease in demand for care home beds and a number of Covid-19 outbreaks to manage. Vacancy levels average 15% in care homes, which means there is a risk to the financial sustainability of care providers in the borough. The council continues to work with providers on support their financial sustainability through this difficult period.
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"> <li>- 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 Integrated Care System.</li> <li>- At the borough level, there is close working through the integrated care partnership, the joint commissioning unit, the health and wellbeing executive group and the A&amp;E delivery board which actively manage plans to control demand pressures in the system.</li> <li>- ASC operational managers work with the NHS on the daily basis, to</li> </ul>	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 the Integrated Discharge Team has continued (having now supported over 2,000 safe and timely discharges) along with a new support offer for care homes. The local Integrated Care Partnership has agreed some initial priorities to be working on collectively. Work is ongoing with health partners to implement the new arrangements for discharge and continuing healthcare.
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"> <li>- 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.</li> <li>- The council has a comprehensive Learning and Development programme for social care practitioners to support high quality safeguarding practice.</li> <li>- 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.</li> <li>- A quality board meets monthly to review the findings from mechanism in the quality assurance framework and track any improvement actions agreed.</li> <li>- Performance monitoring of safeguarding, happens monthly and quarterly by management team and performance team of Barnet safeguarding adults board.</li> <li>- Monthly reporting to executive director along with ad hoc reporting when necessary with clear roles and responsibilities are in place.</li> <li>- Implementation of the MASH from June 2019</li> <li>- Professional lead for safeguarding and clear responsibilities for those carrying out safeguarding inquiries through line management and Safeguarding Adults Manager (SAM).</li> </ul>	4	3	12	Tolerate	12	Same	The council takes safeguarding very seriously and has a programme of work underway to consolidate and strengthen the quality of practice. Work has continued to embed the MASH, though phase two is disrupted as although Family Services have moved to Colindale staff are working remotely due to the Covid-19 pandemic. 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 and mitigations in place.
STR21	Covid-19 Response & 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"> <li>- Business continuity plans in place</li> <li>- BECC prepared</li> <li>- Recovery plans being developed</li> <li>- Steering Group meeting weekly</li> <li>- CMT receiving weekly updates (each workstream and overview of programme every 6-weeks)</li> <li>- Member involvement via Chairs Briefings/Committee updates</li> <li>- P&amp;R and Theme Committees receiving updates on recovery, as per timetable.</li> </ul>	4	3	12	Treat	12	Same	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 is being given to possible second wave in recovery planning. Recovery planning ongoing and regular updates are being provided to CMT and Members (via Theme Committees). The council has been involved in the securement of venues for the vaccination programme.
STR27	Vaccination redeployment	Should staff be redeployed to support the Covid-19 vaccination programme this could lead to council services being short staffed resulting in council activities not being fulfilled and increased cost if temp staff are needed.	Chief Executive	Business Continuity	Clean Safe & Well Run	<ul style="list-style-type: none"> <li>- Business continuity plans in place</li> <li>- Adaptability within the workplace</li> <li>- List of critical/priority services drawn up</li> </ul>	4	3	12	Treat		New	There is a possibility of the NHS requesting Barnet staff to be redeployed to support the Covid-19 vaccination programme, in roles ranging from administration to immunisations. The risk has been scored at a 12 due to the significant impact it could have on council business as potentially staff may be redeployed for months.
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	<ul style="list-style-type: none"> <li>- Learning and development opportunities, including opportunities via Apprenticeship Levy</li> <li>- Workforce/succession planning</li> <li>- Create issues log identifying key issues and pressure points, including lead staff</li> <li>- Work with Directorates on contingency plans and workforce/succession planning.</li> </ul>	3	4	12	Treat	12	Same	Development is still ongoing for Assistant Directors to ensure they have the necessary skills for their roles. Work has been ongoing to upskill officers to be part of the BECC. The Covid-19 pandemic has seen officers broaden their skills as different issues have arisen. A Learning Management system has been procured and is being rolled out to support development with the aim of a wider skilled cohort of staff.

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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 Resources	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 prior to transition to West Yorkshire Pension Fund (WYPF) was poor. The transition completed on 31 October 2020. Work has commenced with WYPF to agree a new data improvement plan. The score has been reduced from 16 to 12 as a result.
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 CIL, New Homes Bonus and Council Tax growth; and lack of economic potential.	Director for Growth	Finance	Thriving	- 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 action plan is under constant review to ensure relevance in light of a range of emerging challenges. This is being reported to Housing and Growth Committee on a quarterly basis.
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	9	Same	The percentage of audit actions completed in Q2 was 81% against the target of 90% and reported to Audit Committee. Whilst Assurance staff are back in post, other areas of the council are focusing on their ongoing Covid-19 response.
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	CPAP continue to meet and there is ongoing scrutiny of data. A range of provision development is ongoing. Pressure from increased number of unaccompanied asylum seeking children (UASC) through Home Office designated hotels is placing significant pressure on the system.
STR26	Covid-19 pressure on staff	The ongoing pressures of Covid-19 on staff could lead to staffing capacity and resilience being stretched resulting in staff absences and services not being delivered.	Chief Executive	Staffing & Culture	Healthy	- Ongoing communications on staff wellbeing - Employee assistance programme - Managers encourage staff to take annual leave - Scheme for staff to get home office equipment (desks, chairs) - Working with Trade Unions on staff wellbeing - Managers to be sensible about priorities	3	3	9	Treat		New	This is new risk about the physical and/or mental health impact Covid-19 is having on staff. A number of actions are ongoing to support staff throughout the pandemic such as the promotion of wellbeing activities. A paper is being drafted on how the council will work after the pandemic ends.
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	8	Same	The main focus in Q3 has been the ongoing support to implement the new Street Scene data system for bin collections and street cleanliness. The system is in User Acceptance Testing and was ongoing until 27 November. Discussions have commenced on the next phase of the Customer Transformation Programme and the links to the Year 6/7 contract review.

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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 Resources	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	8	Same	The transition of administration services to West Yorkshire Pension Fund was completed to timetable at the end of October 2020. Performance against service standards improved noticeably during November 2020. Discussions are ongoing to agree a new data improvement plan to remedy the data gaps inherited by WYPF.
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. 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	2	8	Tolerate	8	Same	A Learning Management system has been procured and rolled out to support development with the aim of a wider skilled cohort of staff. The staff diagnostic is still ongoing. "Your council, your voice" virtual town hall events were held in Q3 to seek staff views on the development of new values and behaviours.
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 NLWA waste disposal/treatment levy of potentially up to £9 million 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	The Energy Recovery Facility (ERF) procurement is proceeding to timetable. In October 2020, NLWA announced that three construction companies had been shortlisted for the next stage of the ERF procurement. Regular updates and discussions are taking place with Directors of Finance, Directors of Environment and NLWA Members.
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 Resources	Finance	Clean, Safe & Well Run	- Covid-19 has led to a wider review than usual of the financial position as we seek to ensure that LBB finances are stable, and any threats to that are identified early - 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 are 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	6	Same	Budget monitoring and controls are regarded as adequate and the current forecast is that the budget for 2020/21 will return a breakeven or better. This is reported monthly to CMT and onward to Financial Performance & Contracts Committee.
Service Risks													
Adults													
AC002	Failure of care provider	A care provider suddenly being unable to deliver services could lead to HSE breach or harm to individuals resulting in a violation of statutory duty and financial consequences. This risk covers both quality and financial risk to care providers.	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	16	Same	The council is working closely with care providers in the borough, including support with the second wave of Covid-19. There is provision of social care and clinical support to care providers and there is a robust quality assurance and provider concerns process in place if there are any quality issues identified. The council continues to support the care market to access testing and have started to work with care homes to encourage uptake of the vaccine.

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AC004	Surge in demand from the NHS	An unpredictable surge in demand from the NHS in situations where there is limited capacity could lead to the directorate being unable to meet this demand within the NHS's required timescales resulting in financial consequences, operational disruption leading to decisions being made that have unintended negative consequences, potentially for individuals that have been discharged, and increased Government scrutiny.	Director of Adult Social Care	Statutory Duty	Healthy	- System-wide resilience money is available on top of BCF and IBCF funding. These are used across a number of activities whether to create extra capacity, increase assessment capability or support new initiatives such as Discharge to Assess. - There are daily, weekly and monthly meetings between LBB, CCG and NHS Provider Trusts to develop effective system working across Barnet and NCL more widely. - There are regular calls throughout the week which focus on management of patients who are almost ready to leave hospital. - There is active monitoring of referral and activity data with shared performance reports and escalation of issues with partners.	4	4	16	Treat	12	Increased	The risk has increased to 16 due to a multitude of factors such as the second wave of Covid-19, an outbreak of Covid-19 in hospitals and a backlog of Continuing Healthcare assessments.
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 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	15	Same	Following Government instruction in respect of Covid-19, leisure facilities were closed on 5 November 2020 due to the second national lockdown; reopened at the end of lockdown and closed again following the announcement of Tier 4 measures. The council, in partnership with GLL, continue to monitor the effect of Covid-19 on the service, whilst implementing a recovery strategy. In acknowledgement of continued disruption, the service has relaxed performance monitoring and management arrangements, which includes the suspension of all commercial KPIs.
<b>Assurance</b>													
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 a sample of 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. The percentage of audit actions reported as implemented or superseded remains below the target of 90%. Progress had been made where possible, taking into consideration that services continue to focus on Covid-19 response and recovery.
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 a potential fine 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	15	Same	Family Services have made some progress in reducing the overdue matters and are considering their resources. The sign off process in being reviewed to assist turnaround times. The Records and Information Management Team are undertaking a review of the SAR process to ensure it is streamlined as much as possible. This should be completed by end of March 2021. The backlog remains high and therefore the risk level has not changed.
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	The renewal was completed in October 2020. An insurance programme review and actual evaluation are due to be completed shortly, along with a sample report of insurance claims and risk activity.
<b>Environment</b>													
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	20	Same	Covid-19 has had a detrimental effect on immediate and longer-term Parking Income due to drop in demand for paid parking and reduced car journeys. The scale of the effect over the full year remains subject to huge uncertainty. As of December 2020, the Parking and Infrastructure revenue forecast for 2020/21 is an overall overspend of £10.72m, which includes a net £10.12m estimated loss of income due to Covid-19. The underlying budget position is an overspend of £0.607m.

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TS013	Passenger Transport Services move	If a new location or lease is not extended for the PTS vehicles 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 two other sites being considered as a back up, if there is insufficient space.	5	3	15	Treat	15	Same	The hand back of North London Business Park (NLBP) will necessitate the relocation of Passenger Transport Service (PTS) vehicles with operation to a suitable alternate site. LBB Estates continue to negotiate an extension to the current lease at NLBP.
PI011	Winter Service	If the gritting depot remains in Harrow, this could lead to a less reactive service in terms of speed of response, resulting in delays in gritting and safety of the Public Highway.	Assistant Director Environment	Business Continuity	Clean, Safe & Well Run	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. A possible site at Mays lane has been explored but it has been identified that it would not be possible to achieve planning permission for this site, so the search continues. 4. Lessons learnt exercise from the 2018/19 gritting season and the review of the Winter Service Plan needs to be undertaken by Regional Enterprise and the plan suitably updated well in advance of the 19/20 winter gritting season due to commence at the end of October 2019. 5. Put arrangements in place to store up to 400T of salt in the Oakleigh Depot as a further contingency measure and order the salt prior to the commencement of the winter season and replenish throughout the season. 6. Exercise to identify additional staff to drive the gritters in case of resources being depleted due to Covid-19.	5	3	15	Treat	10	Increased	The Depot Project Team have been unable to progress a new gritting depot site within the borough and the service continues to be operated from Harrow for this winter season
Growth & Corporate Services													
G&C068	Review of Year 6/7 contracts	Delays to the review of Year 6/7 contracts could lead to the council being in a financial and contractual disadvantaged position resulting in 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.	4	4	16	Treat	16	Same	The review is currently paused whilst resources are prioritised on Covid-19 response. An update will go to Financial Performance and Contracts Committee in March 2021.
G&C077	Affordability of the Thameslink 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 the council.	Deputy Chief Executive (LBB)	Finance	Thriving	1. Governance board has oversight of the project budget, monthly meetings are in place to review this. 2. Dedicated finance Resource has been recruited, providing a direct liaison between LBB finance and the project 3. Mace are currently in the process of a deep dive of the AFC including a review of the efficiency targets including a review of the efficiency targets being progressed.	5	3	15	Treat	15	Same	Despite budget pressures, the project is progressing well and it remains on track to open in 2022. Mace are reviewing the efficiencies throughout the supply chain, to further improve the budget position and this is reported on monthly.
G&C084	Hendon Hub Redevelopment	If planning, funding and tenant commitment for the Hendon Burroughs redevelopment project is not secured, this could lead to the resultant write off of costs to date resulting in a financial loss for the council.	Assistant Director - Estates	Finance	Thriving	- There are a series of pre-applications with both LBB and GLA planners - Soft market testing of funding routes.	5	3	15	Treat	New	New	This is a new risk about the redevelopment of the Burroughs in Hendon for student accommodation, community and green spaces benefits. The estimated costs are between £85-£95m. Due to the cost and stage of the project, the risk is currently scored at a 15, with multiple actions in place to bring the risk down.
Public 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 plan flu to respond to 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	[Pandemic Influenza is a national risk and is recorded on the Borough Resilience Forum Risk Register. Local Authority management of a Pandemic Influenza outbreak is in accordance with the council's category 1 statutory responsibilities and obligations, in line with the Civil Contingencies Act (2004)]. Staff have been mobilised to respond to Covid-19 with a specific focus on public health campaigns, enforcement, local contact tracing, supporting vulnerable residents and supporting vaccination delivery. The containment fund has been used to recruit additional resources and the council is working with Re to assist with delivery of contact tracing services.
Resources													
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 Resources	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 Government to remain as informed as possible.	5	4	20	Treat	20	Same	The national political landscape such as the fair funding review and social care charging green paper are currently on pause pending recovery from the Covid-19 pandemic. Potential changes could still be adverse for the borough and are being held under review.

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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 Resources	Finance	Clean, Safe & Well Run	- Monthly budget monitoring. Covid-19 has led to a wider review than usual of the financial position as we seek to ensure that finances are stable, and any threats to that are identified early - 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. All 2020/21 savings have been reviewed. Savings for 2021/22 have been assessed in how they are delivering and deferred. One notable saving in parking income is now unachievable and recognised as a cost in 2021/22 budget setting.
Joint Risks													
The Barnet Group (TBG)													
TBG003	Increase in demand for homelessness services impacting on housing general fund budget	Failure to prevent households becoming homeless could lead to an increased demand for expensive temporary accommodation and raise associated budget pressures in the General Fund.	Head of Housing & Regeneration	Finance	Thriving	1. Deliver Homelessness and Rough Sleeping Strategy Objectives of Increase Prevention Activity and Reducing Temporary Accommodation Use by: - Ongoing project to look at further ways of reducing homelessness (investment in upstream prevention work / using council assets to build more homes) - Regular performance indicators and financial monitoring - Horizon scanning of legislation changes and lobbying for more funding from Government - - In house lettings agency for procurement of PRS properties - Improve insight and intelligence through housing Supply and demand modelling - Links to Housing, Homelessness and Growth Strategies outcomes - Increase affordable housing supply through new acquisitions programme - Tracking ongoing impact of Homelessness Reduction Act .	4	4	16	Treat	16	Same	Acquisition of homes into Open Door Homes continued throughout Q3, however progress continues to be hampered by Covid-19 slowing down the surveying and conveyancing processes. Barnet Homes were successful in securing over £3m of revenue and capital funding to support rough sleepers in 2020/21 and progress moving rough sleepers into more permanent accommodation has been made in Q3.
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	1. Policies and procedures include H&S management system; training; induction for new staff; management structures for contract management 2. Supplier contracts/agreements for TA providers include 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 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	15	Same	Fire safety improvement programme to council stock continues with minor delays due to Covid-19. Large Panel System building works are ongoing with some Covid-19 delays. Cadent have agreed extended dates for West Hendon and Dollis Valley works of February and March 2021. The second national lockdown in November/December 2020 has put compliance targets for some landlord compliance functions under threat due to non-access for Clinically Extremely Vulnerable households.
Re													
JRS1	Environmental Health Income Generation	Covid-19 restrictions could lead to environmental health officers being unable to complete income generating activities resulting in income targets not being met and financial shortfalls.	Head of Counter Fraud	Finance	The Way We Work	Monitoring workforce arrangements in place	4	4	16	Treat	New	New	This is a new risk about the impact Covid-19 is having on Environmental Health Officers from completing income generation activities such as fines, private leasing as examples. There is regular monitoring of income and reporting forecasts. If officers are deployed to the test and trace programme this could impact on income even further. Due to these factors, the risk score is same as the inherent score.
PI021	Capital infrastructure	If there is inadequate funding to allow the council to maintain the Highways Assets this could lead to failures to meet statutory duties resulting in increased third party claims and reputational damage to the council and worsening condition of the highway network	Interim Executive Director - Environment & Assistant Director	Finance	Clean, Safe & Well Run	1. Maintain a strong focus on Asset Management and preventative treatments. Ensure that THE Council pursues all opportunities to secure external funding. 2. Ensure that Asset Management Plans are in place, are robust and provides a range of solutions that are best aligned with likely resources 3. Ensure that appropriate monitoring and inspection is taking place to fully understand the constantly changing condition of all Assets 4. Review the range of materials/methods/options to be adopted with a view of ensuring that limit resources are put to the most appropriate use to maximise the % of network/asset improvements that also maximises the life of the Assets and hence provides best value 5. Seek out all available sources of external funding, including grants etc, and make robust and compelling bids 6. Support the introduction of a Highways Infrastructure Asset Management Plan to drive a risk based approach to asset management.	3	5	15	Treat	15	Same	TfL have clarified the LIP funding level to the council which will support the council's management of the highways. The Network Recovery Plan (NRP) works are progressing well for 2020/21 and the NRP 2021/22 programme is due to have its funding agreed at Environment Committee in January 2021. The development and implementation of a Highways Infrastructure Asset Management Plan was approved by Environment Committee in November 2020.