

Q4 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)	Q4 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.	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 4. Extension of boost and BELS funding to March 2022.	5	4	20	Treat	20	Same	The second phase of the Discover Barnet campaign is still ongoing, alongside a wider programme to support town centre investment and reinvention. Since the council launched its "work and help" portal in November 2020, wider work is now commencing on a new programme to support all residents in Barnet on employment matters relating to Covid-19. This is to be launched in spring 2021, including developing new pathways into growth sectors such as health and care, construction and education. A co-ordinated communications plan to support the post Covid-19 recovery is also being rolled out.
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 year 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	Finance Officers continue to monitor the risk around current council income streams and possible national policy changes affecting them in the future. Any concerns will be reported to the Council Management Team and Policy & Resources Committee and are planned via the usual budget and MTFs planning cycles.
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 plan - Planting trees on highways - Delivery of the long term transport strategy - Developing Barnet's first sustainability strategy.	4	4	16	Treat	16	Same	The council has continued to develop Barnet's first Sustainability Strategy and will continue to engage with cross-council officer working groups and members prior to taking a draft strategy to Policy and Resources Committee later in the year. Services are continuing to prepare for the introduction of the Ultra-Low Emissions Zone, including assessing the impact on staff travel. Conversations are continuing with TfL regarding the delivery plan for the Long-Term Transport Strategy.
STR06	Adults safeguarding	If council services and partners do not effectively manage their 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	- 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 practitioners 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 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, and attendance at virtual multi-disciplinary meetings has improved. Staff are still 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.
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	- 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 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 are significant in care homes, which means there is a greater risk to the financial sustainability of care providers in the borough. The council continues to work with providers to support their financial sustainability through this difficult period, including through the management of various Covid-related grants.
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	- 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. - 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&E delivery board which actively manage plans to control demand pressures in the system. - ASC operational managers work with the NHS on the daily basis, to manage demand and pressures. - Active monitoring of referral and activity data and discussing any concerns with health partners. - Working an integral part of the integrated discharge team and closely monitoring discharge data.	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 thousands of 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.
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	The Emergency Planning team remain reasonably staffed given the ongoing resource requirement to Covid-19, supported by a Graduate and secondments to the BECC. Emergency Responder levels remain sufficient to provide a minimum level of resilience. New staff are now on shift, but have not been tested in a scenario. Emergency Response plans and Service business continuity plans continue to be reviewed in light of the increase in remote working and less reliance on a main office, along with the threat of cyber attacks. Borough Resilience Forum (BRF) BAU meetings have resumed in addition to Gold/Covid BRF meetings.

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	<ul style="list-style-type: none"> - 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.
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	Director of Resources	Finance	Clean, Safe & Well Run	<ul style="list-style-type: none"> -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	12	Same	Number of cases processed and achievement of service levels has improved post transition to WYPF. A first draft of a new data improvement plan is being discussed.
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 & Engagement	Business Continuity	Prevention	<ul style="list-style-type: none"> - 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 orients 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 continue 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 - There is an agreement with the Barnet Together partnership to administrate financial support to those struggling during the pandemic. 	4	3	12	Tolerate	12	Same	The VCS has received funding from the outbreak management fund, in the form of individual grants and a new sustainability fund. A community funding officer is being recruited and will support wider sustainability of the VCS.
STR21	Covid-19 infection rates rise	If Covid-19 infection rates rise this could lead to a further wave and 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 - Vaccinations being rolled-out - Community Collect set up for lateral flow testing - Testing sites for PCR tests - Recovery plan in place and regular status reports to CMT and Members. 	4	3	12	Treat	12	Same	Emergency and business continuity plans remain in place. Services are being asked to review their plans in light of revised working practices and consideration of service delivery going forward. Reporting on recovery plans was paused during the third national lockdown. This resumed in March 2021 with a status update to CMT and monthly reports until June 2021, in line with the Government's roadmap.
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	<ul style="list-style-type: none"> - 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	Arrangements with council partners such as Barnet multi faith forum, Barnet Together partnership and Community Together Network have continued with processes working well. Community relations are currently seen as good and positive.
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	<ul style="list-style-type: none"> - 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	Partnership processes still operating in a challenging Covid-19 environment. There is an ongoing low number of Child Protection enquiries being explored.
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	<ul style="list-style-type: none"> 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 and Edgware, bidding for GLA and government grants; seeking funding where possible; and working with major landowners to increase footfall. 4.Work with Town Teams to take responsibility 5.Continue with ongoing work on redeveloping town centres and high streets. 	4	3	12	Treat	16	Reduced	Preparation for easing of Covid-19 restrictions and reopening of high streets are ongoing. Activities are being planned to drive footfalls into town centres. The Discover Barnet campaign is ongoing and additional recruitment for further business support activities is being planned with partners. Due to the comprehensive response to the risk in mobilising and delivery, the risk score has reduced from 16 to 12.
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	<ul style="list-style-type: none"> - 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 Board) and Brent Cross Governance Board. - Scheme by Scheme basis, teams will investigate market conditions. 	4	3	12	Tolerate	12	Same	The Growth Covid-19 risk register was reintroduced in January 2021 in response to the third national lockdown, which is shared among Growth & Regeneration Operations Board (GROB).

STR28	Engagement with housing sector on fire safety	Limited engagement with the housing sector could lead to their lack of compliance with Government legislation/ regulations resulting in misinformation; resident dissatisfaction and potentially unsafe housing.	Deputy Chief Executive	Health & Safety	Prevention	<ul style="list-style-type: none"> - Fire Safety Group reconvened bringing together staff from across the council (incl. TBG and RE) - Implementation of Fire Safety action plan - Compliance with MHCLG requirements for identification of buildings over 18m via Delta return (incl. desktop survey/inspection of buildings) - Attend London District Surveyors Association (LDSA) meetings - Liasing with Fire Authority on Fire Risk Assessments - Liasing with MHCLG and Joint Inspection Team (JIT) on specific building compliance - Quarterly reports to Housing & Growth Committee - Comms with Registered Providers and private landlords - Comms to housing sector on access to funding - Listening events with cladding groups - Response to FOI requests - Member support for Inside Housing/End our Cladding Scandal. 	4	3	12	Treat		New	This is a newly identified strategic risk covering aspects of service-level risks previously identified to ensure oversight of the wider risk and potential impact from limited engagement with the housing sector as a whole. The Fire Safety Group, comprising officers from across the council including TBG and RE, has reconvened and is meeting on a regular basis. A member/officer meeting was held with representatives of local cladding groups on 17 March 2021 to listen to residents concerns about cladding/fire safety and provide oversight/clarification of the council's role in fire safety. A Q&A sheet is being drafted and will be circulated to the local cladding groups. This will also be used to inform a new council webpage about fire safety. A meeting was also held between members and local housing associations on 22 March 2021 to discuss fire safety concerns. A briefing paper is being prepared for members which will provide an update on the Fire Safety action plan.
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	<ul style="list-style-type: none"> - Regular review at GROB (Growth & Regeneration Operations Board) - 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. - Developing skills and employment strategy. 	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.
STR29	Delivery of the Barnet Plan	If the Barnet Plan is not delivered, this could lead to a lack of focus on strategic priorities resulting in lost opportunities, poor place for residents and businesses, and increased cost of service delivery.	Chief Executive	Staffing & Culture	Clean Safe & Well Run	<ul style="list-style-type: none"> - Draft Barnet Plan agreed by Policy & Resources Committee - Additional strategy staff recruited to support delivery of the Barnet Plan - Staff recruited into vacant posts in Programmes, Performance & Risk team to monitor/report on delivery of outcomes framework - Community Innovation Fund being implemented. 	3	3	9	Treat		New	The Draft Barnet Plan was agreed by Policy & Resources Committee in March 2021 and will be finalised in Q1 21/22. To help manage delivery, an outcomes framework is being co-designed with colleagues across the council and will focus on Year 1 activities and KPIs. A new Power BI dashboard is being developed, along with new reporting arrangements to senior managers and Members.
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	Clean Safe & Well Run	<ul style="list-style-type: none"> - Learning and development opportunities, including opportunities via Apprenticeship Levy - Workforce/succession planning - Create issues log identifying key issues and pressure points, including lead staff - Work with Directorates on contingency plans and workforce/succession planning. 	3	3	9	Treat	12	Reduced	The council's ongoing Organisational Development programme is going well and momentum is increasing, including a culture change programme, implementation of Learning Management System and various coaching and mentoring programmes. Support with Assistant Directors has continued.
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	<ul style="list-style-type: none"> - 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	9	Same	A number of activities have taken place, and are continuing, to support the wellbeing of staff. The risk remains though while the Covid-19 pandemic situation continues.
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	<ul style="list-style-type: none"> - 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	Multi-agency forums 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.
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	<ul style="list-style-type: none"> - Weekly Council Management Team 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	Performance monitoring of the Corporate Plan (Barnet 2024) remains paused whilst the focus is on Covid-19 and the new Barnet Plan is finalised. Performance monitoring of strategic contracts such as CSG and RE has continued with Q3 20/21 performance reported to Financial Performance & Contracts Committee in March 2021. Risks reviews take place every quarter and high-level risks are reported to Policy & Resources Committee. The percentage of audit actions completed in Q3 21/22 was 76% against the target of 90%, which was reported to Audit Committee. The audit plan will not be delivered in comparison to a typical year due to the impact of Covid-19, which could affect the annual audit opinion.
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"> - Business continuity plans in place - Adaptability within the workplace - List of critical/priority services drawn up. 	4	2	8	Tolerate	12	Reduced	The vaccination programme is progressing well and the draw on council staff so far is not creating unmanageable pressure within service areas.
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	Clean, Safe & Well Run	<ul style="list-style-type: none"> 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	Learning Management System now implemented. Organisational Development agenda continuing apace, including work to embed values and behaviours
STR02	Customer experience	Lack of joined up 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	Clean, Safe & Well Run	<ul style="list-style-type: none"> - 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	Discussions have occurred with strategic partners and an Outline Business Case has been put together for Policy & Resources Committee to provide options and costs. The new Street Scene system went live on a phased approach, with it completing by end January 2021. Feedback has been broadly positive in its early days.

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	<ul style="list-style-type: none"> - Covid-19 has led to a wider review than usual of the financial position as we seek to ensure that council 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 Council Management Team, Financial Performance & Contracts Committee and Policy & Resources Committee. - Mitigating actions to contain overspends are identified and implemented - Achievement of savings tracked and alternative actions indentified 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	The risk is staying the same due to ongoing Covid-19. This has led to a wider review than usual of the financial position as we seek to ensure that council finances are stable, and any threats to that are identified early.
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	<ul style="list-style-type: none"> - 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. Borough Members and Officers were notified in January 2021 that one of the bidders is buying out one of the other bidders, therefore there are two companies progressing in the ERF procurement. Regular updates and discussions continue to take place with Directors of Finance, Directors of Environment and NLWA Members.
Service Risks													
Adults													
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	<ul style="list-style-type: none"> - 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	16	Same	The last quarter saw a significant increase of pressure in both the acute and rehab settings as a result of the surge in Covid-19 seen nationally. This led to higher numbers of Covid-19 positive patients in Barnet Hospital, higher than the first wave in spring 2020. The council also faced the continuing challenge of outbreaks of Covid-19 in care homes, as well as in hospitals, which affected the ability to discharge patients or have them return to their care homes.
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	<ul style="list-style-type: none"> - 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	Leisure facilities have been closed since the third national lockdown on 4 January 2021. During this and past closure periods, the council continued to work with GLL on a recovery plan for services. This is parallel to completing a legal and financial assessment in consideration of financial supplier relief from July 2020 - 31 March 2021 (at an anticipated total value of £1.1m).
Assurance													
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	<ul style="list-style-type: none"> - Audit actions are recorded on Audit Tracker 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 and end of year leave, officers across the council and partners have had less capacity to implement audit actions. The percentage of audit actions implemented or superseded remains below the 90% target.
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	<ol style="list-style-type: none"> External broker supporting Insurance arrangements. Annual review of insurance cover. 	5	3	15	Treat	15	Same	Actuarial provision calculations have been agreed and will be implemented as of 31 March 2021, with premium insurance charges with Finance. An Insurance report of claims and risk activity is being drafted and will be shared with Council Management Team/Heads of Service.
Environment													
PI006	Variations in year 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	<ol style="list-style-type: none"> Budget setting/monitoring process - monthly reporting Tracking income levels regularly Medium term financial models to be widely shared and understood Strong activity linking to all budget monitoring and close contract management. 	4	5	20	Treat	20	Same	Covid-19 continued to have a detrimental effect on immediate and longer-term Parking Income due to drop in demand for paid parking and reduced car journeys. The outturn position for the Special Parking Account for 20/21 is an estimated loss of parking income due to Covid-19 of £10.114m. The underlying budget position is an overspend of £0.086m. The off-street parking account outturn position is an estimated loss of parking income due to Covid-19 of £0.589m, mainly due to economic slowdown, walking or cycling and competition from private parking discounted or free. Excluding this there is an underlying budget position of an overspend of £0.152m.
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	<ol style="list-style-type: none"> 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	A 12-month extension is in the process of being finalised. The risk score remains unchanged whilst long-term arrangements are being finalised.
Growth & Corporate Services													
G&C031	Team resource/capacity to deliver employment schemes	If there are insufficient resources to support employment programmes this could lead to fewer employment schemes for residents in need resulting in unemployment levels not changing.	Director of Growth	Business Continuity	Thriving	<ol style="list-style-type: none"> Resident need is being prioritised to ensure that those furthest from employment remain the focus of scarce resources. Re/LBB maintaining flexible use of Section 106 income to provide an appropriate level of support by multiple service depts. and partners. Continued engagement with developers on regeneration estates (e.g. NHG, Countryside Properties, MHT) Maintain focus on priority communities through employment and skills initiatives on regeneration estates. Use of Section 106 funding to support key employment programmes Ongoing discussion with Argent regarding resources for employment and skills coordination on BXC development. 	4	4	16	Treat	4	Increased	Continuation funding for existing employment and skills programmes has been confirmed. An employment and skills strategic review is underway, which will identify additional resource requirements.

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	Finance	Thriving	1. The 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 has undertaken a deep dive of the AFC and has put in place an efficiency plan that is reviewed monthly in between the client review meetings. 4. a further review will be undertaken in June following completion of the railway works during the major rail possessions in May as the projects risk profile will change subject to those works being completed. the feedback from network rail is that they have a high degree of confidence in completing these works.	5	3	15	Treat	15	Same	Despite budget pressures, the project is progressing well and remains on track to open in 2022. Mace continue to review efficiencies throughout the supply chain, to manage the budget position, and this is reported on monthly at client review.
G&C084	Hendon Hub Redevelopment	If planning, funding and tenant commitment for the Hendon Burroughs redevelopment project is not secured following public consultation/ committee, 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. - Soft market testing of construction procurement.	5	3	15	Treat	15	Same	Heads of terms have been agreed with Middlesex University; and soft market testing on construction routes is to commence. The Section 151 Officer/Director of Resources and programme team are discussing the funding route with KPMG and others. Redevelopment is subject to public consultation/committee decision.
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 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	The Containment Outbreak Management fund has been used to recruit additional resources and the council is working with RE to assist with delivery of contact tracing services. Priorities are: focusing on asymptomatic testing and supporting vaccination rollout. There is a continued risk around Covid-19 variants and the impact locally.
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 resulting 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 and regional political landscape continues to be uncertain. Whilst budgets are actively monitored, a need to find additional savings has been identified.
FIN002	Implementation of savings	If MTFs savings 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. The latest data shows that additional savings will need to be identified for 2021/22.
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 resulting in raised 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	Acquisitions of homes into OpenDoor Homes and HRA stock has continued in Q4 20/21 and whilst the numbers have increased on previous quarters progress has been hampered by Covid-19 restrictions slowing down the surveying and conveyancing processes. All efforts have been made to move rough sleepers out of emergency accommodation and into more permanent homes utilising the £3m of Government funding secured by Barnet Homes, which includes the purchasing of units specifically for rough sleepers into OpenDoor Homes. Supply and demand modelling have been updated to reflect the potential impacts of the pandemic on homelessness in the coming year and plans are being developed in response to expected levels of increased demand.
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.	Deputy Def Executive	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 Temporary Accommodation 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	The fire safety improvement programme to council stock continues with some delays due to Covid-19. Large Panel System building was completed at West Hendon. The third national lockdown in Q4 20/21 has impacted on some landlord compliance functions, due to residents refusing access and increased number of people shielding until 31 March 2021 on Government advice. There is a high compliance risk on Your Choice Barnet care homes.
CSG													
CSG123	IT cyber security	A cyber attack could lead to the council being unable to operate resulting in widespread disruption and financial cost.	Commercial and Customer Services Director	Business Continuity	Clean, Safe & Well Run	- There are multiple-layer fire walls to protect the environment. - Annual Security Health Check (PSN Standard) - PSN Accreditation - Annual review of over 100 cyber security controls, aligned with ISO 27001 - Quarterly scanning of externally facing websites. - Monthly scanning (Monthly) of the estate for vulnerabilities and follow up activities to remediate. - Monthly patching cycle of the server estate. - Anti-virus on the server estate. - Subscribe to National Cyber Security Centre (NCSC) early warning system and web check. - Receive weekly updates from NCSC to confirm vulnerability status. - Receive weekly and critical updates from Microsoft/ Capita. - Run books which are reviewed quarterly as how to respond to potential various cyber security threat scenarios. - Multi-factor Authentication for colleagues to access the estate. - Complex passwords. - A process to identify inactive accounts when leavers are not notified to the CSG IT – thus disabling the account. - Alerting and monitoring for suspicious e-mails. - Notification of those working abroad. - Reviewing the list of those working abroad and curtailing access for un-notified persons. - Third party access is controlled via Token access granted on a case by case basis. - End point devices have encrypted and locked down unless by exception.	5	3	15	Treat	New	New	This is a new risk identified in light of cyber security attack on LB Hackney. Extensive controls/mitigations in place, but due to level of impact risk score at 15.

JR51	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	Healthy	- Monitoring workforce arrangements in place - Gradual return to Business As Usual plan has been agreed between LBB and Re.	4	4	16	Treat	16	Same	A Contract Management Meeting was held in mid-March 2021 and a phased return to Business As Usual was agreed following advice from Public Health. The Regulatory Services Director is investigating how to achieve this.
JR3	Appeals and Public Inquiry impact on resources	Appeals and public inquiries made against enforcement notices could lead to pressure on resources resulting in work commitments not being delivered and legal challenge.	Commissioning Lead - Planning	Statutory Duty	Thriving	1.Continued liaison with Officers Working Group 2.Special measures for handling of the application in place (rota of staff in place to remove comments from website including at weekend, mandatory briefing of all planners, targeted and all Members sessions and communications, extended consultation, liaison with HB Public Law, provision of Q&As to all planners and Members).	4	4	16	Treat	6	Increased	The impact of processing the Golders Green Hippodrome application on the rest of the service has been significant and is being mitigated as much as possible through existing resource plans. The main concern is the potential impact on availability of senior officers and competing priorities due to the high-profile nature of the application and potential legal challenges that may arise. Due to this, the risk has increased to 16.
JR60	Unsafe/ unhealthy living accommodation in private rented sector	A backlog of case could lead to vulnerable residents being exposed to unsafe/unhealthy living conditions resulting in statutory duties not being fulfilled.	Head of Counter Fraud	Statutory Duty	Healthy	1. Triage and prioritisation system to target highest risk cases 2. Agreed process in reporting backlogs to LBB.	4	4	16	Treat	12	Increased	A Contract Management Meeting was held in mid-March 2021 and a phased return to Business As Usual was agreed following advice from Public Health colleagues. No agreements have been reached on additional resources or KPI relief. The risk score has increased to reflect that higher priority cases may have not been investigated and additional actions are needed to correct this.
PIO21	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 worsening condition of the highway network.	Executive Director - Environment	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	3	5	15	Treat	15	Same	The council has agreed an additional three years of funding for the NRP programme. The service is still seeking pressure funding for revenue expenditure pending Policy and Resources Committee.