

High-level risks (Service)

New Risk ID	Risk Level	Directorate	Risk Title	Risk Description	Risk Owner Job Title	Primary Risk Category	Controls and Mitigations in Place	Residual Risk - Total	Response Option
AD001	Retained	Adults	Increased overspend to meet statutory duties	Uncertainty about future demand for services, increasing complexity and cost of care packages, legislative changes and, specifically related to COVID, the availability of funding streams, reimbursements, on-going support and future waves could lead to a worsening budget overspend for the service resulting in insufficient resources to meet statutory obligations and a deterioration in the council's overall financial position.	Executive Director Adults and Health	Statutory Duty	<ol style="list-style-type: none"> 1. The council's budget management process (MTFS) forecasts demographic growth and pressures over a multi-year period. 2. Budget and performance monitoring and management controls are used throughout the year. 3. The MTFS to 2024 is set and adult social care will continue to undertake initiatives focused on reducing and managing future demand. 4. The council will also liaise with Health to submit COVID returns, understand when funding will cease, the transition process and any communication activities required. 	16	Treat
AD004	Retained	Adults	Failure of care provider	A care provider suddenly being unable to deliver services could lead to Health and Safety Executive (HSE) breach or harm to individuals resulting in a violation of statutory duty and financial consequences.	Assistant Director for Community and Performance	Business Continuity	<ol style="list-style-type: none"> 1. 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: 2. Regular collection of information (PPE, Covid-19 cases, staffing levels, hospital admissions) to target support where it is needed most 3. Developed a new One Care Home approach, working with health colleagues to provide clinical support to care homes. 4. The service 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. 5. 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). 6. The service are also reviewing business continuity plans with care homes in response to the new mandatory vaccines regulations to ensure that homes a) have plans to deal with staff shortfalls and recruit accordingly and b) assess risks to residents and ensure resident needs can be met 7. The Integrated Care Quality team has recently established a 'markets, sustainability and contracts' function to review risks of provider failure across ASC markets 8. Working across North Central London region to have a co-ordinated approach, share best practice and support care providers across the region. 	16	Treat
AD006	Retained	Adults	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	<ol style="list-style-type: none"> 1. System-wide Covid and resilience money is available on top of Better Care Fund and Improved Better Care Fund 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. 2. There are daily, weekly and monthly meetings between LBB, CCG and NHS Provider Trusts to develop/sustain effective system working across Barnet and North Central London more widely. 3. There are regular calls throughout the week which focus on management of patients who are almost ready to leave hospital. 4. There is active monitoring of referral and activity data with shared performance reports and escalation of issues with partners. 	16	Treat
AD015	Retained	Adults	Leisure management contract - service delivery	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, operations and finances.	Assistant Director Greenspaces & Leisure	Business Continuity	<ol style="list-style-type: none"> 1. The leisure contract continues to be monitored in alignment with the Performance Management Framework to ensure delivery against obligations / commitments and targets are met. 2. Performance and Commercial Meetings in place with operator. 	15	Treat
AD016	Retained	Adults	Leisure management contract - annual payment	Financial performance impacted by Covid-19 and leisure centre closures in 2020/21 could lead to the agreed contract commercial position not being achieved resulting in negative impacts to the agreed Annual Payment Profile with the operator and Medium-Term Financial Strategy (MTFS) savings targets.	Assistant Director Greenspaces & Leisure	Finance	<ol style="list-style-type: none"> 1. Performance and Commercial Meetings in place with operator which includes representation from LBB finance and a third party consultant (FMG consulting). 2. Information shared with Director of Finance and Executive Director, Adults & Health to aid decision making processes. 	15	Treat
RE004	Joint	Assurance	Unsafe/ unhealthy living accommodation in private rented sector	A backlog of cases could lead to vulnerable residents being exposed to unsafe/unhealthy living conditions resulting in statutory duties not being fulfilled.	Head of Housing & Regeneration	Statutory Duty	<ol style="list-style-type: none"> 1. Triage and prioritisation system to target highest risk cases 2. Agreed process in reporting backlogs to LBB. 3. Increase in resources has been agreed 	16	Treat
ENV013	Retained	Environment	Variations to budget for parking	Changes in car usage or behaviour change as a result of external forces (e.g. new working arrangements following the pandemic, new policies/legislation, etc) could lead to an unplanned reduction in income resulting in pressure on the general fund and the ability to fund other projects.	Assistant Director for Parking	Finance	<ol style="list-style-type: none"> 1. Budget setting/monitoring process - monthly reporting 2. Tracking income levels regularly 3. Medium term financial models to be widely shared and understood 4. Strong activity linking to all budget monitoring and close contract management. 	16	Treat

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ENV036	Retained	Environment	Home to School transport service	Not finding a new location or not extending the lease for the PTS vehicles depot 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	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.	15	Treat
CSG003	Joint	Growth & Corporate	IT cyber security	A cyber attack could lead to the council being unable to operate resulting in widescale disruption and financial cost.	Head of Customer & Digital Service	Business Continuity	1. There are multiple-layer fire walls to protect the environment. 2. Annual Security Health Check (PSN Standard) 3. PSN Accreditation 4. 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.	15	Treat
G&C014	Retained	Growth & Corporate	Affordability of BXC (Brent Cross West and associated Critical Infrastructure project)	Ineffective management of the Brent Cross budget or adverse macro-economic conditions could lead to major pressure within Her Majesty's Government grant funding budget resulting in increased costs to the council.	Deputy Chief Executive	Finance	1. The Governance Board has oversight of the project budget, monthly Client Review meetings are in place to review this. 2. Dedicated finance resource has been recruited, providing a direct liaison between the council's finance and the project. 3 Ensuring mitigation plans are pursued to alleviate budget pressures.	15	Treat
G&C019	Retained	Growth & Corporate	Achieving net zero	Failure to ensure growth and development in the borough contributes to the delivery of the Sustainability Strategy could lead to non-delivery of the zero carbon economy resulting in negative impacts to sustainability and environment in the borough.	Director of Growth	Statutory Duty	1. Formal adoption of the Barnet Sustainability Strategy and delivering the action plan 2. Securing the resources necessary for delivering the strategy 3. Ensuring LBB meet commitment in sub-regional policies and strategies LBB have agreed to 4. Housing and regeneration projects adopting the standards in Policy SI2 of the draft London Plan	16	Treat
G&C023	Retained	Growth & Corporate	Demands on infrastructure provision as a result of growth	Lack of identification and delivery of the infrastructure required to enable further growth in the borough could lead to ongoing growth being unsustainable resulting in disadvantages to Barnet residents and viability of the borough's housing target.	Director of Growth	Finance	1. Develop and regularly update the Infrastructure Delivery Plan 2. Steering Groups in place to discuss the infrastructure needs of specific regeneration projects 3. The Council leading on assessing the impact of growth on infrastructure need 4. Infrastructure planning brought back inhouse through the RE contract review	16	Treat
TBG001	Joint	Growth & Corporate	Increased demand for temporary accommodation	Failure to prevent households becoming homeless and a lack of suitable affordable accommodation options could lead to an increased demand for expensive temporary accommodation resulting in increased budget pressures in the General Fund.	Head of Housing & Regeneration	Finance	1. Deliver Homelessness and Rough Sleeping Strategy Objectives of Increase Prevention Activity and Reducing Temporary Accommodation Use by: 2. Ongoing project to look at further ways of reducing homelessness 3. Regular performance indicators and financial monitoring 4. Horizon scanning of legislation changes and lobbying for more funding from Government 5. In house lettings agency for procurement of PRS properties 6. Improve insight and intelligence through housing Supply and demand modelling 7. Links to Housing, Homelessness and Growth Strategies outcomes 8. Increase affordable housing supply through new build and acquisitions programmes 9. Tracking ongoing impact of Homelessness Reduction Act & Covid related economic factors 10. Covid impacts mitigation plan developed and incorporated into budget reporting & setting process	16	Treat

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TBG002	Joint	Growth & Corporate	Health, safety and compliance issues	Barnet Homes' failure to achieve regulatory requirements for the housing stock could lead to health, safety and compliance issues resulting in death to residents, staff and public, legal challenges and financial costs.	Head of Housing & Regeneration	Statutory Duty	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 3. Violent and Abusive register & Vulnerable Tenant password scheme 4. Internal specialist HS&C function 5. Senior officer, Audit & Risk Committee, Resident Board & TBG Board oversight of HS&C 6. Comprehensive schedule of internal audit by Mazars 7. Policies & internal Exec/SMT leads for safeguarding 8. 3rd party expert advisors 9. Involvement on London Councils and MHCLG Directors Fire Safety forums 10. Approved £52m programme of fire safety works to higher risk blocks	15	Treat