

Strategic risks

New Risk ID	Risk Title	Risk Description	Risk Owner Job Title	Primary Risk Category	Controls and Mitigations in Place	Residual Risk - Total	Response Option
STR001	Adults safeguarding	Council services and partners not effectively managing their relevant safeguarding risks 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	<ol style="list-style-type: none"> 1. 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. 2. The council has a comprehensive Learning and Development programme for social care practitioners to support high quality safeguarding practice. 3. 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. 4. A quality board meets monthly to review the findings from mechanism in the quality assurance framework and track any improvement actions agreed. 5. Performance monitoring of safeguarding, happens monthly and quarterly by management team and performance team of Barnet safeguarding adults board. 6. Monthly reporting to executive director along with ad hoc reporting when necessary with clear roles and responsibilities are in place. 7. Implementation of the MASH from June 2019 8. Professional lead for safeguarding and clear responsibilities for those carrying out safeguarding inquiries through line management and Safeguarding Adults Manager (SAM). 	12	Tolerate
STR002	Market capacity	Decreases in the capacity of the social care market (private or voluntary) due to recruitment challenges or staff leaving the sector because of mandatory vaccine requirements could impact service delivery resulting in a failure to meet statutory duties and add additional pressure on staffing and finances.	Executive Director Adults and Health	Statutory Duty	<ol style="list-style-type: none"> 1. For all contracted services due diligence is undertaken at the start of each contract to ensure quality and sustainability of providers. 2. 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. 3. 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. 4. Ongoing work to monitor the sustainability of the sector and explore best use of council resources to support this (including the awarding of inflationary uplifts) 5. Specific support offer in place to support providers with Covid-19, including additional Covid-19 funding to support care 	16	Treat
STR003	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	<ol style="list-style-type: none"> 1. 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. 2. 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. 3. ASC operational managers work with the NHS on the daily basis, to manage demand and pressures. 4. Active monitoring of referral and activity data and discussing any concerns with health partners. 5. Working an integral part of the integrated discharge team and closely monitoring discharge data. 	12	Treat
STR004	Response to emergency or incident	Insufficient resilience management (e.g. Business Continuity, Emergency (BC) Planning, Health & Safety) could lead to the council being unable to respond effectively to an emergency or incident resulting in disruption to services; harm to staff and/or the public; and legal challenge.	Director of Assurance	Business Continuity	<ol style="list-style-type: none"> 1. Current Business Continuity (BC) arrangements including strategy, exercises, training and resources 2. Corporate BC Strategy and Plan in place. Maintenance of BC lead network 3. Identification of Priority1 staff 4. Corporate Health and Safety Management system in place including Health and Safety Policy, risk assessment and review, training, monitoring and reporting performance. 	12	Treat
STR005	Safety from anti-social behaviour and crime (including violence and abuse)	Anti-social behaviour and crime (including hate crime and domestic violence and abuse) could lead to unsafe environments and perceptions of safety resulting in harm to individuals, community tension and increased demand for services.	Director of Assurance	Statutory Duty	<ol style="list-style-type: none"> 1. Working with Barnet Safer Community Partnership, including to deliver the knife crime action plan 2. Working in partnership with the police, including to monitor tensions and local issues and response 3. Delivery of Violence Against Women and Girls Strategy 4. Environmental enforcement (e.g. litter and flyposting), including with Re (Regulatory Services) and Barnet Homes (e.g. noise and pests) and joint action across Estates 5. Effective use of CCTV across the borough 6. Working with the Barnet Multi Faith Forum (BMFF) and Community Together Network to increase engagement with the community 7. Delivering initiatives to encourage and celebrate cohesion such as Together we are Barnet. 	12	Treat

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STR006	Strengthening Children's safeguarding	Insufficient safeguarding arrangements across the council could lead to children/young people suffering significant harm resulting in serious consequences to the child/young person and the council failing to meet its statutory duties.	Executive Director Children's Services	Statutory Duty	<ol style="list-style-type: none"> 1. Delivery of robust delivery plan to take recommendations forward. 2. 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. 3. Refresh of the Barnet Multiagency Safeguarding Arrangements (MASA) membership and work programme. 4. 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). 5. Strong communication/engagement plan at all levels of the partnership and organisation, to keep the focus, energy and momentum at all levels. 	12	Tolerate
STR007	Neglecting corporate parenting duty	The council and its partners neglecting to fulfil their duty as Corporate Parents could lead to poorer outcomes for children in care and care leavers across key areas including education, health and placements resulting in an increased gap between children in care/care leavers and their peers in the shorter term and poorer outcomes in the longer term.	Executive Director Children's Services	Statutory Duty	<ol style="list-style-type: none"> 1. 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. 2. 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. 3. A multi-agency forum, Corporate Parenting Officers Group, has been established to track and monitor planning for children in care and care leavers. 4. Members at Full Council agreed new arrangements for the Corporate Parenting Advisory Group at its meeting on 6 March 2018. 	9	Treat
STR008	Environmental sustainability	Climate change could lead to negative long-term consequences to the local environment (such as flooding) 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	<ol style="list-style-type: none"> 1. Rollout of energy reduction initiatives 2. Delivery of annual air quality action plan 3. Rollout of electric vehicle charging points 4. Delivery of the long term transport strategy 5. Procurement of ULEZ compliant vehicles for Streetscene fleet 6. Flood prevention e.g. investment in Silk Stream 	16	Treat
STR009	Unmet customer expectations	Lack of joined up of systems and process 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	<ol style="list-style-type: none"> 1. Demand reduction initiatives with high volume services and CSG agreed with timelines for delivery 2. Customer transformation programme delivering a range of online improvements which should limit the need for customers to call us 3. Safeguards in place to protect service areas that are used by the most vulnerable residents and those that cannot get online 4. Monthly web performance group meetings are held 5. Accessibility reports are run to address shortcomings in accessing content for customers with accessibility needs. 6. Customer Transfer Programme Business (CTP) case in place 	12	Treat
STR010	Market performance and economic downturn	Adverse market performance or an economic downturn could lead to impacts on the pace of development, construction and material costs, supply chain issues, increased business failure, adverse impacts to town centres and increased local unemployment resulting in financial pressure on residents; increased demand for council services such as temporary accommodation and the long-term economic and societal health of the borough.	Deputy Chief Executive	Finance	<ol style="list-style-type: none"> 1. Revise MTFS Growth Modelling to reflect income reduction scenarios for the Council. 2. Appropriate governance in place - Steering Groups in place to discuss the impact of slow growth on the expected income for the Council 3. Continued engagement with developers on regeneration estates (e.g. Argent Related NHG, Countryside Properties, MHT) 4. Production of robust, high quality business cases including sensitivity testing 5. Effective procurement processes and choice of contract type 	20	Treat
STR011	Reduction in capacity of VCS	Funding and sustainability challenges facing the VCS could lead to a reduction in capacity and growth of preventative services, resulting in difficulties accessing services and demand for more complex support, especially for residents in hardship.	Deputy Chief Executive	Business Continuity	<ol style="list-style-type: none"> 1. Increased funding to a new enhanced Barnet Together Voluntary Community Sector (VCS) infrastructure alliance to enable greater support for frontline VCS organisations. 2. Ongoing Barnet Partnership Board meetings 3. Continue to work with all Prevention providers 4. The 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 	12	Tolerate

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STR012	Delivering the Barnet Plan	A lack of focus on strategic priorities, including with partners, could limit the council's ability to deliver the Barnet Plan resulting in lost opportunities, poorer outcomes for residents and businesses, increased cost of service delivery and a lack of trust from residents in the council's ability to deliver on its promises.	Deputy Chief Executive	Staffing & Culture	<ol style="list-style-type: none"> 1. Barnet Plan approved by Council and Delivery and Outcomes Framework monitored by P&R Committee 2. Statutory partnership arrangements include Safer Communities Partnership Board, Children's Safeguarding Board and Health and Wellbeing Board 3. Barnet Partnership Board held every 8 weeks. This has agreed set of working principles, as well as a forward plan. Each meeting investigates a key topic from the Barnet Plan, looking at best practice and collaborative opportunities 4. Community Innovation Fund is operational and Community Participation Strategy approved by CLL Committee 5. New approach and funding agreed for strategic VCS relationship 6. Implementing new approach to strategy support for CMT Barnet Plan theme leads. 	9	Treat
STR013	Cyber security	A cyber attack could lead to the council being unable to operate resulting in widescale disruption and financial cost.	Deputy Chief Executive	Business Continuity	<ol style="list-style-type: none"> 1. Monthly contract management meetings in place to manage the contract and relationship with CSG 2. Monthly Partnership Operations Board for escalation of any issues identified 3. Joint risk being managed by CSG - IT with controls/mitigations in place. 	15	Treat
STR014	Building safety	Lack of a robust process to quality assure building contractors could lead to a breach of statutory compliance, health safety issues resulting in reputational damage to the council, risk of harm or death, delays to delivery of outcomes and financial implications.	Deputy Chief Executive	Health and Safety	<ol style="list-style-type: none"> 1. Health and Safety/quality prioritised as part of scoring during procurement/tender processes. Includes additional background checks, previous performance, exchange of risk information and consideration of proposals to manage risk where necessary. 2. Health and Safety/quality forms a key element of the Council's project delivery gateway process, from initiation all the way through to delivery and handover. 3. Additional assurance sought through Council's SHAW team and where necessary independent assurance through the technical team 4. During construction process on larger schemes the technical team will include an NEC Supervisor to ensure H&S is being managed appropriately on site and reported correctly. 5. On smaller schemes CDM and method statements are requested prior to the start of works. 	8	Treat
STR015	Pandemic type disease outbreak	Another wave of Covid-19 infections or the declaration of another pandemic (such as influenza) could lead to severe resource and capacity issues for the council and partner agencies resulting in an impact on service delivery and the health and wellbeing of residents.	Chief Executive	Statutory Duty	<ol style="list-style-type: none"> 1. Ensure all service areas have a robust response system in place and regularly updated 2. Performing pandemic preparedness exercise across the council and its partners 3. Providing PH leadership and professional advice for the council's pandemic response. 	16	Treat
STR016	Staff wellbeing and mental health	The restrictive measures (such as social distancing, self-isolation and remote working) and socio-economic effects of the Covid-19 pandemic could lead to a rise in prevalence of mental health disorders resulting in decreased staff wellbeing and satisfaction, sickness absence and demand for mental health services.	Chief Executive	Staffing & Culture	<p><u>Prevention</u></p> <ol style="list-style-type: none"> 1. Regular Information and guidance to staff on working practices such as regular breaks, regular contact and communication, physical exercise, via internal comms and through wellbeing hub 2. Employee Assistance Programme (EAP) provides advice and guidance on healthy lifestyles including mental health 3. Wellbeing and mental health training for staff and managers via Organisational Development team <p><u>Intervention</u></p> <ol style="list-style-type: none"> 4. EAP provides confidential support and counselling for staff 5. Able Futures is a government scheme providing support on mental health 6. Mental Health First Aiders provide support to staff and signposting to support 	9	Treat
STR017	Revenue overspend	Central government funding for the council being adversely affected by changes in government policy or budget pressures being higher than anticipated could lead to non-achievement of budget targets and an overspend on the revenue budget resulting in an impact on service provision and / or quality and financial consequences for the council.	Director of Resources	Finance	<ol style="list-style-type: none"> 1. 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 2. Budget setting process validating savings 3. Engaging with colleagues across London and nationally, sectoral experts and keeping informed from media 	12	Treat

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STR018	Funding uncertainty due to reduction in local taxation income	Residents experiencing financial hardship 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	<ol style="list-style-type: none"> 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. 5. Investment being made with local businesses and working with the community to raise awareness of and increase support available 	12	Treat
STR019	Internal controls	Ineffective financial management and control could lead to the council not ensuring appropriate administration of public funds resulting in possible financial losses.	Director of Resources	Finance	<ol style="list-style-type: none"> 1. Challenge to financial forecasts occurs on a regular basis by Finance Business Partners 2. Regular, in depth reporting is considered by Council Management Team, Financial Performance & Contracts Committee and Policy & Resources Committee. 3. Mitigating actions to contain overspends are identified and implemented 4. Achievement of savings tracked and alternative actions identified where not achievable 5. Budget holder training is available and a refresh will be rolled out during the year. 6. Additional internal controls have been implemented and recent audit report found increased assurance around internal audit recommendations 7. A contingency budget is held centrally for any unmanageable, unforeseen pressures. 	9	Treat
STR020	New burdens	New burdens, additional demand and/or inadequate funding for additional services could lead to additional and unforecasted budget pressures, resulting in the need to increase or divert resource, reduction in service quality, ability to deliver key services effectively and / or having to use reserves.	Director of Resources	Finance	<ol style="list-style-type: none"> 1. Engaging with colleagues across London and nationally 2. Engaging with sectoral experts and keeping informed from media 3. Monthly monitoring of budgets and scrutiny of any overspend / increase in demand 	9	Treat
STR021	Increase in the North London Waste Authority (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.	Director of Resources	Finance	<ol style="list-style-type: none"> 1. Active engagement through officers and NLWA Members. 2. Development of long-term financial strategy. 3. Ongoing analysis of waste data flows. 	6	Tolerate
STR022	Future of Work	Failure to manage the transition to a post-Covid working environment could lead to missed opportunities for improvement to services and reduced staff engagement resulting in recruitment and retention issues and reduced staff wellbeing.	Director of Resources	Business Continuity	<ol style="list-style-type: none"> 1. Future of Work Programme 2. Managed approach to ensure a safe and productive return to the office environment where this is required 	4	Treat
STR023	Recruitment and retention	Market forces and economic and social issues (such as pandemic recovery, Brexit) could lead to recruitment and retention issues particularly in specialist areas resulting in a failure to meet statutory duties, council priorities and workforce and financial pressures.	Director of Resources	Staffing & Culture	<ol style="list-style-type: none"> 1. EDI Action plan in place 2. Future of Work Programme 3. Staff communication and engagement 	6	Treat
STR024	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	<ol style="list-style-type: none"> 1. Learning and development opportunities, including opportunities via Apprenticeship Levy 2. Workforce/succession planning 3. Create issues log identifying key issues and pressure points, including lead staff 4. Work with Directorates on contingency plans and workforce/succession planning. 	9	Treat

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STR025	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	<ol 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. 	8	Tolerate
STR026	Supply chain uncertainty	Issues in the supply chain arising from events beyond our control (e.g. Brexit, another pandemic, etc) could lead to delays in receiving procured goods and services, tariffs and/or workforce shortages, suppliers becoming insolvent or unable to deliver on their contractual duties resulting in an impact on service delivery and outcomes for the residents.	Director of Resources	Business Continuity	<ol style="list-style-type: none"> 1. Service areas engagement with key providers of critical services to 'stress test' business continuity plans. 	12	Treat