

| New Risk ID | Risk Title | Risk Description | Risk Owner Job Title | Primary Risk Category | Controls and Mitigations in Place | Residual Risk - Total | Direction of Travel (from previous quarter) | Current Quarter Review Summary |
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| AD001 | 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"> The council's budget management process (MTFS) forecasts demographic growth and pressures over a multi-year period. Budget and performance monitoring and management controls are used throughout the year. The MTFS to 2024 is set and adult social care will continue to undertake initiatives focused on reducing and managing future demand. The council will also liaise with Health to submit COVID returns, understand when funding will cease, the transition process and any communication activities required. | 16 | Same | The service continues to do all it can to manage the budget whilst meeting statutory duties under an increasingly pressured health and social care system. This includes senior sign-off of all high-cost packages, the negotiation of rates (including block contracts), quick reviews of people following discharge from hospital to ensure a proportionate level of care as people recover, the use of equipment and technology wherever suitable and maximising the benefits of enablement services. Planning to deliver 22/23 is well underway and workshops held to start planning for 23/24. Final end of year budget position is also underway. |
| AD016 | 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"> Performance and Commercial Meetings in place with operator which includes representation from LBB finance and a third party consultant (FMG consulting). Information shared with Director of Resources and Executive Director, Adults & Health to aid decision making processes. | 15 | Same | Commercial and legal review was completed by both the council and GLL. A revised annual payment profile including variations to service has been submitted by GLL. The contract variation is currently in draft and expected to be completed in Q1 2022/23. The rising cost of energy is placing significant pressure on forecasts due to the cost of utilities, and commercial discussions are to take place to review the impact. |
| ASS004 | Non-compliance with data protection legislation including GDPR | Council staff and partners failing to follow GDPR legislation including the organisation's policy and processes could lead to data protection breaches resulting in enforcement action and monetary fines, complaints, adverse impact on individuals and claims for compensation. | Assistant Director Assurance | Information Governance | <ol style="list-style-type: none"> Information Management's framework of policies, and a specific data protection toolkit controls is published and regularly reviewed All staff receive e-learning (including at induction) and follow up training offered in more sensitive areas There is effective incident management, and Information Management Governance Groups Council wide Security Board meets quarterly, chair by the SIRO and Security Operations Forum, meets monthly, chaired by the deputy SIRO Key contacts within the council have been receiving guidance Ongoing communications to council staff on information management guidance E-learning reminder to all staff, included in initial induction pack for new starters 6-monthly reporting to CMT for discussion and review. | 16 | Same | Line Managers are responsible for ensuring their officers are completing all mandatory training. The council remains at risk of enforcement action, and a failure of the Data Protection Annual Assessment, due to completion levels remaining below the 95% required. The DP Annual Assessment submission date has been extended for all local authorities to June 2022. The team will continue to chase service areas for appropriate completions in an attempt to improve on completion statistics. |
| C&P002 | Affordability of BXC (Brent Cross West and associated Critical Infrastructure project) | Ineffective management of the Brent Cross budget, adverse macro-economic conditions, or delays caused by third parties could lead to pressure within Her Majesty's Government grant funding budget resulting in increased costs to the council. As the project reaches its final stages the likelihood that cost risks identified earlier in the scheme crystallize increases, putting pressure on both scheme forecast cost and cash flow. | Deputy Chief Executive | Finance | <ol style="list-style-type: none"> The Governance Board has oversight of the project budget and programme, monthly Client Review meetings are in place to review these. Dedicated finance resource provides a direct liaison between the council's finance team and the project. Ensuring mitigation plans are regularly reviewed and pursued to alleviate budget pressures (both cash flow and total cost) through robust project management and governance. Regular updates are provided to both housing and growth and Financial Performance and Contracts Committee (FPCC) to provide an update on mitigations strategy and to inform next steps. | 15 | Same | As reported to Financial Performance and Contracts Committee in March 2022 and in line with all major infrastructure projects, as the construction phase of Brent Cross West Station nears completion the risks identified earlier in the scheme are increasingly likely to crystallise. To mitigate this risk a financial strategy will be agreed in Q1 22/23 that ensures the station construction is completed in a financially sustainable way that does not put pressure on the General Fund. |
| C&P006 | 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 | <ol style="list-style-type: none"> Formal adoption of the Barnet Sustainability Strategy and delivering the action plan. Secure the resources necessary for delivering the strategy. Ensuring LBB meet commitment in sub-regional policies and strategies LBB have agreed to Housing and regeneration projects adopting the standards in Policy S12 of the draft London Plan | 16 | Same | The council has appointed an Assistant Director for Sustainability and moved the sustainability function under Growth to provide strong corporate leadership in this agenda. Each of the themes within the sustainability framework are being progressed, with clear workstreams and production of the full sustainability strategy. Working groups are being established, including Planning to translate the policy framework into a toolkit of actions to meet the council objectives. |
| C&P008 | Effective utilisation of S106 Income | Inappropriate allocation and drawdown of available S106 income by services across the council within the agreed timescales could lead to freeholders seeking repayment of contributions resulting in expected local infrastructure investments not being realised and significant reputational damage. | Director of Growth | Finance | <ol style="list-style-type: none"> Working group meets quarterly this provides a means of overseeing expenditure RE have lead officer to monitor allocations and ensure planned expenditure is tracked. Ensure S106 funds are drawn down in a timely manner and technically expired funds are recognised as applied where appropriate or suitable use is expedited. A list of expiring funds annually, this is given particular focus in considering allocations. Work with key service areas with the largest unspent amounts to ensure appropriate plans within the capital programme are approved and that schemes are drawing down funds. Clear up any historic draw down of funds that remains incomplete. | 15 | Increased | Risk remains, particularly around highways, transport infrastructure and controlled parking. CSB has instructed a new action to refine the process in these areas in order to reduce the likelihood of delivery issues. |
| C&P026 | Major project delivery failure | Lack of periodic review of project management controls and resource capacity as the capital programme (inc. Hendon and Brent Cross) could lead to projects being delayed and future growth plans undermined resulting in stakeholder dissatisfaction, delays in delivering growth, financial and commercial damage. | Deputy Chief Executive | Finance | <ol style="list-style-type: none"> Project Director appointed for significantly sized projects Additional PMO support appointed Monthly Project meetings and reviews Appropriate Governance Boards established covering each portfolio Integrated programme management office established PMO monitor programme wide resource as well as interfaces between projects. Ongoing action weekly and monthly meetings which feed up to Hendon and Brent Cross Governance boards and other relevant boards. Monthly finance and commercial meetings are now taking place and these review resourcing gaps. A communications plan is in place and a communications specialist is employed to manage comms and stakeholder management and to put in place some required communications tools so that the project can be managed effectively. Governance, project controls and project status to be reviewed at regular frequencies and at project gateways as a | 15 | Same | Residual likelihood score remains as in Q3 whilst new staffing arrangements bed in. There is currently a shortage of project management resources in the market. |
| C&P033 | Lack of liquidity in the financial markets | Economic downturn could lead to higher interest rates (Public / Private sector borrowing) making external funding sources more challenging resulting in worsening viability of developments across the council. | Assistant Director of Development Delivery | Finance | <ol style="list-style-type: none"> Monitor capital markets and also discussions with LBB finance and external development partners on a quarterly basis. Potential to look at alternative funding models. Explore other government funding opportunities. | 15 | New | This is a new risk about economic downturn seeing higher interest rates in both public and private sector borrowing which would making funding more challenging and potentially resulting in declining viability of developments. This is a future risk. The service is continuing to monitor the money market and interest rates. The financial impact puts it at a 15. |

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| C&P037 | Capex and revenue project costs | The combined risk of construction cost increases; through inflation, changes in scope and lower than anticipated revenue projections could lead to the project being less financially viable than the approved business case resulting in increased costs and a potentially lower premium for LBB. | Assistant Director of Development Delivery | Finance | <ol style="list-style-type: none"> 1. Value engineer to manage any potential cost overspending. 2. Managing the design and cost plan process. 3. Implementation of robust procedure in place to manage workstreams and cash flow within the approved budget forecast. 4. Adjusted the construction procurement strategy to reflect the market which comprises a two-stage tender process that enables a preferred contractor to be selected at the second stage to work with the council on an agreed tender price. | 15 | New | This is a new risk, escalated from the project risk register. Due to volatile market conditions, there has been a significant increase in costs due to inflationary pressures, which needs to be managed by the council. There is also concern that the investment market may be impacted adversely. Measures are in place to manage these risks as far as possible. |
| 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 MTF5 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 | Same | The service is continuing to actively engage with development partners and contractors to understand implications of cost inflation and supply chain pressures. They are also undertaking sensitivity modelling for the delivery of the council's capital programme over the next 5 years. Project and governance management structures will continue to remain in place and are being kept under review to ensure fit for purpose. Mitigations are being managed across a number of Boards, including Strategic Planning Operations Board, Growth and Regeneration Operations Board, Town Centre Strategy Board and Employment and Skills Board. Since last quarter inflation has risen sharply and the war in Ukraine has significantly contributed to the rise in energy cost as well as various pressures on supply chain for raw material. |
| C&P055 | Winter service depot | The winter service lease agreement with Harrow coming to an end could lead to the council being unable to find an alternative location for winter service provision resulting in business continuity implications if the service cannot be provided and a breach of statutory duties. | Street Scene Director | Business Continuity | <ol style="list-style-type: none"> 1. There is a Depot Board in place to review strategic requirements for the services provided at Barnet depots. 2. Board to agree an interim arrangement for when we vacate Harrow Depot until the permanent salt barn and plant storage has been finalised. | 15 | Same | Depot board in active discussions with Harrow senior management team regarding future tenure and eventual departure from their forward drive depot location. |
| CSG003 | 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 | <ol style="list-style-type: none"> 1. There are multiple-layer firewalls to protect the environment. 2. Annual Security Health Check (Public Sector Network (PSN) Standard). 3. PCI Accreditation. 4. Annual review of over 100 cyber security controls, aligned with ISO 27001. 5. Anti-virus on the server estate. 7. Subscribe to National Cyber Security Centre (NCSC) early warning system and web check. 8. Receive weekly updates from NCSC to confirm vulnerability status. 9. Receive weekly and critical updates from Microsoft/ Capita. 10. Annual Cyber Security training and awareness for staff. 11. 24hr Emergency Response | 15 | Same | PSN certification has been received. The website health check also happened in the quarter and recommended actions will be implemented by late April 2022. The push for information and security training among staff is continuing; it is still below the 95% required threshold. Currently, completed training averaging around 70% across the council. |
| 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. 4. Learning portal - mandatory training on Information Management/cyber security for staff 5. Remote working audit completed 6. Regular audits undertaken 7. PCI (payment card industry) accreditation 8. Management and oversight of the actions being carried out by CSG on the council's behalf (captured in the joint risk register). 9. BC leads have provided plans in case of a cyber security event | 15 | Same | Business Continuity leads have provided a plan about what to do in case of a cyber-attack. Funding has been received from the Department for Levelling Up to roll out training. PSN certification has now been received. The website health check also happened in the quarter and recommended actions have been received which are due to be implemented by late April 2022. The push for information and security training among staff is still continuing, it is still below the 95% required threshold. Currently, completed training is averaging around 70% across the council. The controls and mitigations have been updated. |
| 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. | Director of Growth | Statutory Duty | <p>Continue to implement the schemes highlighted in the Sustainability Strategy Framework, including:</p> <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 Street Scene fleet 6. Flood prevention e.g. investment in Silk Stream 7. Retrofit of housing and buildings across the borough, making use of the Green House Gas (GHG) and Public Sector Decarbonisation Scheme (PSDS) 8. Continued tree planting 9. Support businesses and partner organisations in making sustainable change 10. Support environmental outcomes through the council's Social Value Policy. | 16 | Same | Following approval of the council's Sustainability Strategy Framework at Policy and Resources Committee on 9 December 2021, officers have continued work to develop the Sustainability Strategy. This has included conducting engagement events with residents, young people, businesses, partner organisations, and interest and community groups, in order to gauge the opinions of residents on this matter and inform the development of the Sustainability Strategy. The results of this engagement will be presented to Policy and Resources Committee later in the year. Additionally, officers have continued to implement projects that support the Sustainability Strategy, including the rollout of electric vehicle charge points and the application for funding to support council retrofits. |
| TBG002 | 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 | <ol style="list-style-type: none"> 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 E52m programme of fire safety works to higher risk blocks | 15 | Same | Good progress on delivery of the E52m fire safety programme during Q4, with all but 3 tower blocks with operational sprinkler systems now installed. HPL cladding at the 3 towers on the Whitefields estate have been removed and risk mitigation works at LPS blocks Stanhope and Holmsdale House continue to progress well whilst plans are developed for the future use of the site. Covid-19 related measures have been scaled back in respect of working in residents homes in line with wider society. |

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| C&P040 | Relationship with Transport for London | Financial difficulties facing TfL following Covid pandemic could lead to a substantial reduction in Local Implementation Plan (LIP) funding for LBB, or possibly no funding at all for the foreseeable future resulting in loss of skills and resources providing some of the statutory functions of LBB as a highway/traffic authority and impact the ability of Barnet to perform some of its statutory duties in the areas of road safety, traffic management, sustainable transport, etc. | Director of Highways and Transportation | Finance | <ol style="list-style-type: none"> 1. Build through regular liaison a thorough understanding of TfL's likely future funding levels and policy direction. 2. Seeking internal adjustment of budgets and programmes in accordance with any TfL funding gaps. 3. Regular contact with TfL to ascertain likely future funding levels and policy direction. 4. Proactive adjustment of budgets and programmes in accordance with any arising funding decreases. | 16 | Same | Negotiations between TfL and central government have resulted in limited funding being made available to London boroughs, covering the period between 25 February until 24 June 2022. No further progress has been reported on agreeing a longer term financial settlement. Delay in this settlement will have significant impact on borough funding. Regular meetings are taking place between Barnet and London Boroughs representatives with TfL and a number of letters have been sent to TfL to highlight our concerns with uncertainty and lack of funding. Executive Director, Environment and Strategic Lead Commissioner, Highways, have continued holding meetings with TfL, London Councils and other London local authorities to emphasise the risks and concerns with uncertain future. The dialogues will continue until the future longer term financial position is clarified. |
| RE004 | Unsafe/unhealthy living accommodation in private rented sector | A backlog of HMO licensing casework built up during the pandemic and work on the Homes for Ukraine project could lead to identification of issues being slower and all proactive activity to search for unlicensed properties being delayed resulting in residents being exposed to unsafe/unhealthy living conditions. | Head of Housing & Regeneration | Statutory Duty | <ol style="list-style-type: none"> 1. Triage and prioritisation system to sustain resources on highest risk cases. 2. Tracking of backlog cases to ensure that the list of properties still requiring a site visit and assessment is known. | 16 | Same | Draft SPIR is now complete and the SPIR is awaiting Capita's final costing and sign off. The initial budget allocation of £100k has identified as less than will be required to fully complete the backlog; however it will allow for all sites to be investigated and the level of risk understood. In addition, a £950k of budget provision will be required to support the additional licensing schemes set up and operation over the first 18 months (until the end of the Re contract). It is forecasted that this cost will be recovered through fee income, but potentially over a longer period of time, and therefore the cashflow implications will need to be addressed prior to completing a SPIR. |
| TBG001 | 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 | <p>Deliver Homelessness and Rough Sleeping Strategy Objectives of Increase Prevention Activity and Reducing Temporary Accommodation Use by:</p> <ol style="list-style-type: none"> 1. Ongoing project to look at further ways of reducing homelessness. 2. Regular performance indicators and financial monitoring. 3. Horizon scanning of legislation changes and lobbying for more funding from government. 4. In house lettings agency for procurement of PRS properties. 5. Improve insight and intelligence through housing Supply and demand modelling. 6. Links to Housing, Homelessness and Growth Strategies outcomes. 7. Increase affordable housing supply through new build and acquisitions programmes. 8. 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 | Same | Positive progress in this area continued in Q4, with the overall number of households in temporary accommodation reducing further to 2115, the lowest number in over a decade. This is testament to effective mitigation measures in respect of preventing homelessness, procuring private sector rented accommodation and increasing the supply of new affordable homes through building and buying. |
| TBG003 | Viability of the Housing Revenue Account business plan | External pressures such as above projected interest rates, changes in legislation and carbon neutrality on the Housing Revenue Account (HRA) could lead to the HRA business plan becoming economically unviable resulting in a reduction in service provision to residents or the general fund needing to support the HRA. | Head of Housing & Regeneration | Finance | <ol style="list-style-type: none"> 1. Housing Revenue account business plan model provided by Savills. 2. The HRA Business Plan is monitored twice yearly by Housing and Growth Committee. 3. Plans to develop and acquire new council homes 4. Advanced borrowing - money borrowed in advance whilst interest rates are low. | 16 | Increased | Update of HRA business plan approved by Housing and Growth Committee and Policy and Resources Committee in February 2022. A review of the accounting treatment of regeneration costs is underway that may help 'strengthen' the plan. Awaiting updated financial position to assess levels of forward borrowing that can be taken and impact on the HRA business plan. Barnet Homes Asset Management Strategy update in progress with a Q1 completion date. Increased risk score relates to rising interest rates; therefore increased likelihood. |
| C&P038 | 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. | 20 | Same | Covid-19 continued to have a detrimental effect on immediate and longer-term Parking Income in Q4 due to a drop in demand for paid parking and reduced car journeys. At the time of writing, the outturn position for the Special Parking Account for 21/22 is an estimated loss of parking income due to Covid-19 of £3.92m. The underlying budget position is an overspend of £0.805m. The off-street parking account outturn position is an estimated loss of parking income due to Covid-19 of £0.230m, 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 £0.060m. The expectation is that reduced like-for-like income will continue into 22/23. |
| C&P039 | Governance arrangements with contractors | Lack of established clear roles, responsibilities and governance arrangements with all contractors (CSG, RE, NSL) could lead to the outsourced delivery model failing resulting in reduced quality of service, safety of the highway and budget position. | Assistant Director for Parking | Statutory Duty | <ol style="list-style-type: none"> 1. Regular contract management meetings 2. Improved KPIs and penalties in the new enforcement contract 3. Horizon scanning for risks to contractors | 16 | Same | The risk score has remained the same in Q4 due ongoing negotiations with Re on the delivery and implementation of CP2 schemes within the CP2 programme, and lack of clarity on whether the parking team will be able to raise Works Orders with the term maintenance contractor to ensure compliant, enforceable schemes are in place. During Q4 the NSL parking enforcement contract KPIs are still under review and it is anticipated further detail will be reported on the outcome of KPI negotiations at the end of next quarter. |
| 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 | Same | Borough Resilience Forum lessons learnt exercise is being organised to take place by end of June 2022. This will allow the organisation and the emergency response system to review where preparedness can be strengthened. UK Health Security Agency (UKHSA) has communicated roles and responsibilities of LAS vs UKHSA in the next phase and local resources have been adapted to meet those needs. |