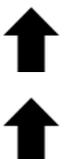


Risk No	Risk – Description of the risk	Management actions already in place to mitigate the risk	Control Opptnty	Trend	Risk Matrix Symbol
	<b>Community Impacts &amp; Risks</b>	<b>Delivering service that customers and citizens need</b>			
<b>A1</b>	Covid 19 coronavirus has continuing implications on the Kirklees community, and the Council. There are additional risks and impacts on the council (and community) in the short and medium term, which relate to community, operational and financial matters	<p>This position requires regular reconsideration as the position can change quickly, and there remains a substantial number of areas of uncertainty.</p> <p>Mitigations need to relate to</p> <ul style="list-style-type: none"> <li>• Infection control and management- as a council activity (see also risk 6)</li> <li>• Management of financial consequences including seeking to spend national grants effectively, and mitigation against the risk of fraud</li> <li>• Social and economic consequences (including appropriate council interventions therein)</li> <li>• Recognition of long covid and other consequent diseases</li> </ul> <p><i>Responsible for this risk –R. Spencer-Henshall and all strategic directors</i></p>	<b>M</b>	  5X4=20	
<b>A2</b>	The council does not adequately safeguard children and vulnerable adults, and those subject to elder abuse, because of increased complexity, referral volumes and a lack of service capacity to respond to the assessed need.	<ul style="list-style-type: none"> <li>• Disclosure &amp; Barring Service (DBS) checking, staff training, supervision, protection policies kept up to date and communicated.</li> <li>• Effective management of social work (and related services); rapid response to any issues identified and from any Safeguarding Practice Reviews (Children), Safeguarding adults reviews and Domestic Homicide Reviews</li> <li>• Active management of cases with media interest</li> <li>• Review of current practices following the child sexual exploitation in other authorities and the emerging requirements.</li> <li>• Ensure that workloads are balanced to resources.</li> <li>• Staff and skill development to minimise dependence on key individuals.</li> <li>• Use of agency staff and or contractors when necessary</li> <li>• Ideal manager training</li> <li>• Development of market sufficiency strategy; consider approaches to support the development of the available service offer both locally and regionally.</li> </ul>	<b>H</b>		

		<ul style="list-style-type: none"> <li>• Ensure competence of the Safeguarding Boards and that they are adequately resourced to challenge and improve outcomes</li> <li>• Adults Safeguarding Board has own specific risk register</li> <li>• Effective listening to messages about threats from other parts of the council and partner agencies</li> <li>• Proactive recognition of Members role as “corporate parent”</li> <li>• Childrens Improvement Board to assist governance and quality improvement</li> <li>• Additional work to ensure that corporate safeguarding activities include appropriate control arrangements.</li> <li>• Ensure effective record keeping</li> <li>• Ensure routine internal quality assessment</li> <li>• Training to ensure that there is a proportionate reaction,</li> <li>• Recognise that referrals may have been suppressed as a result of lockdown and other coronavirus related concerns</li> </ul> <p style="text-align: right;"><i>Responsible for this risk – R Parry and M Meggs</i></p>		4X5=20	
<b>A3</b>	Legacy issues of historical childcare management practices, and particularly, the heightened national attention to Child Sexual Exploitation and historical abuse cases leads to reputational issues, and resource demands to address consequential matters.	<ul style="list-style-type: none"> <li>• Additional resources and expertise allocated to new and historical Child Sex Exploitation (CSE) and other legacy work, as required.</li> <li>• Risk matrix and risk management approach implemented with the police and partners.</li> <li>• Understand relationship with the Prevent strategy, and issues linked to counter terrorism</li> <li>• Take steps per risk 7 to seek to avoid ongoing issues</li> <li>• Ensure effective record keeping</li> </ul> <p style="text-align: right;"><i>Responsible for this risk –M Meggs</i></p>	<b>LM</b>	  4x4=16	
<b>A4</b>	Failure to address matters of violent extremism and related safer stronger community factors, including criminal exploitation, create significant community tension, (and with the potential of safeguarding consequences for vulnerable individuals).	<ul style="list-style-type: none"> <li>• Prevent Partnership Action Plan.</li> <li>• Community cohesion work programme</li> <li>• Local intelligence sharing and networks.</li> <li>• Status as a Prevent Priority Area provides funding for a Prevent Coordinator Post and enables the development of bids for additional funding.</li> <li>• Counter terrorism local profile.</li> <li>• Awareness that campaigns such as black lives matter may give cause to action and reaction.</li> </ul>	<b>M</b>		

		<ul style="list-style-type: none"> <li>Global events can create ongoing potential issues and tensions, (national risk status raised recently) which the council needs awareness and mitigations strategies</li> <li>West Yorkshire Violence Reduction Unit will assist</li> </ul> <p><i>Responsible for this risk – R Parry and M Meggs (&amp; J Greenfield)</i></p>		4x5=20	
<b>A5</b>	Significant environmental events such as severe weather impact on the Council’s ability to continue to deliver services.	<ul style="list-style-type: none"> <li>Effective business continuity and emergency planning (including mutual aid) investment in flood management, gritting deployment plans.</li> <li>Winter maintenance budgets are supported by a bad weather contingency.</li> <li>Operational plans and response plans designed to minimise impacts (e.g. gully cleansing for those areas which are prone to flooding.)</li> <li>Emergency Planning risks for current year reflect risks of (e.g.) staff sickness for both services such as gritting and meeting home care commitments-</li> </ul> <p><i>Responsible for this risk – C Parr</i></p>	<b>M</b>	As a long-term environmental trend  ↑ 4x5=20	
<b>A6</b>	Reconsidered individual and community priorities Understanding the financial and other on-going impact on partner agencies, including the voluntary sectors – such as by funding shortfall, or a redirection of their own resources- in way that reduces their ability to support communities, with an impact on the council.	<ul style="list-style-type: none"> <li>Understand the impacts</li> <li>Consider what types of support the council might provide</li> <li>Engagement in resilience discussions with NHS partners</li> <li>Secure funding as appropriate (e.g consider extension of pooled funds</li> <li>Understanding potential impacts on demand for council services</li> <li>Strengthen partnership arrangements to ascertain whether other funding or cost reduction solutions can be introduced.</li> <li>Assess dependency on voluntary organising, and impacts that coronavirus has on their sustainability, and consider actions.</li> <li>Determine which of these are really adverse</li> </ul> <p><i>Responsible for this risk – R Parry and M Meggs * all strategic directors</i></p>	<b>H</b>	↑  4x4=16	
	<b>The finances of the Council</b>	<b>Keeping the Council solvent</b>			
<b>A7</b>	A failure to achieve the Councils savings plan impacts more generally on the councils finances with the necessity for unintended savings (from elsewhere) to ensure financial stability	<ul style="list-style-type: none"> <li>Significant impacts on incomes and cost pressures on certain service areas</li> <li>Established governance arrangements are in place to achieve planned outcomes at Cabinet and officer level</li> <li>Escalation processes are in place and working effectively.</li> <li>Alignment of service, transformation and financial monitoring.</li> </ul>	<b>MH</b>	↔	

		<ul style="list-style-type: none"> <li>Tracker developed which allows all change plans to be in view and monitored on a monthly basis</li> <li>Monthly (and quarterly) financial reporting</li> </ul> <p><i>Responsible for this risk - E Croston &amp; ET</i></p>		4x5=20	
<b>A8</b>	<p>The council has significant financial risks related to</p> <p># Volumes (in excess of budget) of;</p> <ul style="list-style-type: none"> <li>Complex Adult Care services</li> <li>Childrens Care Services</li> <li>Educational high needs</li> </ul> <p># Coronavirus additional costs</p> <p># Coronavirus income impacts on commercial rents and other fees and charges.</p> <p># HRA Rent collection. (UC roll-out)</p> <p># Waste disposal and waste strategy</p>	<ul style="list-style-type: none"> <li>Monitor short term loss of income</li> <li>Monitor additional costs (&amp; be sure they are all captured)</li> <li>Recognise in budget plans</li> <li>Scenario plan for reduced level of demand, post current crisis (e.g. changed customer tastes and priorities)</li> <li>Scenario plan for recurrences of coronavirus or similar</li> <li>Scenario plan for default by debtors- council tax and rents (individual citizens), business rates and commercial rents (businesses), sundry debtors (both)</li> <li>Consider impacts from rent deferrals</li> <li>Seek to recover additional costs where budgets held by other parties or partners</li> <li>Significant service pressures recognised as part of resource allocation</li> <li>Responsibility for budgetary control aligned to Strategic and Service Directors.</li> <li>Examine alternative strategies or amend policies where possible to mitigate growth in demand or reduce costs</li> <li>Utilise supplementary resources to cushion impact of cuts and invest to save.</li> <li>Continue to lobby, through appropriate mechanisms, for additional resources</li> <li>Proactive monitoring as Universal Credit is introduced</li> </ul> <p><i>Responsible for this risk - E Croston &amp; ET</i></p>	<b>M</b>		
<b>A9</b>	<p>Above inflation cost increases, impact on the ability of providers to deliver activities of the specified quality, and or impacting on the prices charged and impacting on the budgets of the Council.</p>	<ul style="list-style-type: none"> <li>Monitor quality and performance of contracts.</li> <li>Be aware of underlying issues through effective communication with service providers and suppliers about likely impact on prices</li> <li>Renegotiate or retender contracts as appropriate.</li> <li>Ensure that budgets anticipate likely cost impacts</li> <li>Seek additional funding as a consequence of government-imposed costs</li> </ul> <p><i>Responsible for this risk - E Croston &amp; all strategic directors</i></p>	<b>LM</b>		

<b>A10</b>	Making inappropriate choices in relation to lending or and borrowing decisions, leads to financial losses.	<ul style="list-style-type: none"> <li>• Effective due diligence prior to granting loans and careful monitoring of investment decisions.</li> <li>• Effective challenge to treasury management proposals by both officers and members (Corporate Governance &amp; Audit Committee) taking account of external advice</li> </ul> <p style="text-align: center;"><i>Responsible for this risk - E Croston</i></p>	<b>MH</b>	 2x5=10	
<b>A11</b>	Exposure to uninsured losses or significant unforeseen costs, leads to the necessity for unintended savings to balance the councils finances. Insurance market unwilling to cover certain risks.-such a clad buildings.	<ul style="list-style-type: none"> <li>• Ensure adequacy of financial revenue reserves to protect the council financial exposure and managed effectively not to impact on the council essential services.</li> <li>• Consider risks and most cost-effective appropriate approach to responding to these (internal or external insurance provision).</li> <li>• Awareness of risk activity that is not insured or uninsurable.</li> </ul> <p style="text-align: center;"><i>Responsible for this risk - E Croston &amp; J Muscroft</i></p>	<b>H</b>	 4x4=16	
<b>A12</b>	The future national budget position and allocation of funding to local authorities causes a loss of resources or increased and under-funded obligations (e.g. in relation to social care), with impact on the strategic plans, Although the government has provided resource to meet coronavirus consequence, but it is unclear the extent to which this will continue- and for how long. In the longer- term risks remain (and may be higher as the need to address recent high level of national debt, and inflation/ interest, and other spending areas deemed of greater priority).	<ul style="list-style-type: none"> <li>• Monitor government proposals and legislation, and their impact on council and partner services.</li> <li>• Continue to lobby, through appropriate mechanisms, for additional resources e.g. Local Government Association (LGA)</li> <li>• Be aware of underlying issues through effective communication with citizens, partners, service providers and suppliers about likely impact on resources</li> <li>• Ensure that budgets anticipate likely impacts</li> <li>• Ensure adequacy of financial revenue reserves to protect the council financial exposure and managed effectively not to impact on the council essential services.</li> </ul> <p style="text-align: center;"><i>Responsible for this risk - E Croston &amp; all strategic directors</i></p>	<b>L</b>	 5x5=25	

	<b>Governance</b>	<b>Operating legally and ethically</b>			
<b>A13</b>	The councils arrangements to effectively determine and implement policies, and operational practices, are inadequate, leading to the potential for failure	<ul style="list-style-type: none"> <li>• Open policy development</li> <li>• Open decision making, including full consultation</li> <li>• Effective challenge (between officers, officers and members, and between member)</li> <li>• Proper recording of all decisions</li> <li>• Carefully following all rules and requirements, particularly those related to Financial Procedures Rules and Contract Procedure Rules</li> <li>• Doing basis well- strong training and effective assurance</li> <li>• Clarity of management responsibility and understanding</li> </ul> <p><i>Responsible for this risk – chief executive and all strategic directors</i></p>	<b>H</b>		
	<b>Resource Utilisation</b>	<b>Operating successfully and effectively</b>			
<b>A14</b>	Council supplier and market relationships, including contractor failure leads to; <ul style="list-style-type: none"> <li>• loss of service,</li> <li>• poor quality service</li> <li>• an inability to attract new suppliers (affecting competition, and to replace any incumbent contractors who have failed)</li> <li>• complexities and difficulties in making arrangements in respect of significant and long running major outsource contracts, and their extension and renewal.</li> </ul>	<ul style="list-style-type: none"> <li>• Avoid, where possible, over dependence on single suppliers</li> <li>• More thorough financial assessment when a potential supplier failure could have a wide impact on the council’s operations but take a more open approach where risks are few or have only limited impact.</li> <li>• Recognise that supplier failure is always a potential risk; those firms that derive large proportions of their business from the public sector are a particular risk.</li> <li>• Need to balance between only using suppliers who are financially sound but may be expensive and enabling lower cost or new entrants to the supplier market.</li> <li>• Consideration of social value, local markets and funds recirculating within the borough</li> <li>• Understanding supply chains and how this might impact on the availability of goods and services</li> <li>• Be realistic about expectation about what the market can deliver, taking into account matter such as national living wage, recruitment and retention issues etc.</li> </ul>	<b>MH</b>		

		<ul style="list-style-type: none"> <li>Develop and publish in place market position statement and undertake regular dialogue with market.</li> <li>Effective consultation with suppliers about proposals to deal with significant major external changes</li> <li>Early consultation with existing suppliers about arrangements to be followed at the end of existing contractual arrangements</li> <li>Realign budgets to reflect real costs</li> <li>Commission effectively</li> <li>Ensuring adequate cash flow for smaller contractors</li> </ul> <p style="text-align: center;"><i>Responsible for this risk – J Muscroft</i></p>		5x4=20	
<b>A15</b>	Management of information from loss or inappropriate destruction or retention and the risk of failure to comply with the Council’s obligations in relation to Data Protection, Freedom of Information legislation and the General Data Protection Regulations (GDPR) leading to reputational damage, rectification costs and fines.	<ul style="list-style-type: none"> <li>Thorough, understandable information security policies and practices that are clearly communicated to workforce and councillors</li> <li>Effective management of data, retention and recording.</li> <li>Raised awareness and staff and councillor training</li> <li>Compliance with IT security policy.</li> <li>Compliance with retention schedules.</li> <li>Compliance with information governance policy.</li> <li>Business continuity procedures.</li> <li>Recognition of increased risk from homeworking may increase risks or change their perspective (e.g. destruction of paper records), and whether there is a need for additional security, training or other matters.</li> </ul>	<b>H (INFO)</b>	 4x5=20	
	Cyber related threats affecting data integrity and system functionality.	<ul style="list-style-type: none"> <li>Comply with new legislation around staff access to sensitive data.</li> <li>Council has a Senior Information Risk Owner (“SIRO”) officer and a Data Protection Officer (DPO) who are supported by an Information Governance Board</li> <li>Development of action plan to respond to GDPR requirements and resourcing requirements as appropriate</li> <li>Increased awareness of officers and members as to their obligations</li> <li>Proactive management of cyber issues, including additional web controls</li> </ul> <p style="text-align: center;">Responsible for this risk – J Muscroft</p>	<b>M (CYBER )</b>		

A16	Health and safety measures are inadequate leading to harm to employees or customers and possible litigious action from them personally and/or the Health and Safety Executive.(and the potential of prosecution and corporate /personal liability)(and in particular issues of fire safety,)	<ul style="list-style-type: none"> <li>• Ensuring appropriate H&amp;S responses re Coronavirus (appropriately balancing statutory obligations, desirable positions and commerciality/business risk)</li> <li>• New Fire Safety Policy approved and being implemented with improved monitoring of fire risk</li> <li>• Prioritised programme of remedial works to buildings to tackle fire safety and other issues</li> <li>• Review work practices to address H&amp;S risks</li> <li>• Monitor safety equipment</li> <li>• Improved employee training as to their responsibilities, as employees and (where appropriate) as supervisors. Improved employee work practices</li> <li>• Approval of additional resources to improve corporate monitoring regime.</li> </ul> <p style="text-align: center;"><i>Responsible for this risk – R Spencer Henshall</i></p>	H	  3x5=15	
A17	Exposure to increased liabilities arising from property ownership and management, including dangerous structures and asbestos, cladding and fire controls with reputational and financial implications.	<ul style="list-style-type: none"> <li>• Active site management</li> <li>• Routine servicing and cleansing regimes (including coronavirus compliance in both operational and managed tenanted commercial property)</li> <li>• Work practices to address risks from noxious substances</li> <li>• Property disposal strategy linked to service and budget strategy</li> <li>• Review of fire risks</li> <li>• Establishment of Housing Building Safety Assurance Board</li> <li>• Develop management actions, categorised over the short to medium term and resource accordingly.</li> <li>• Prioritisation of funding to support reduction of backlog maintenance</li> <li>• Clarity on roles and responsibilities particularly where property management is outsourced</li> </ul> <p style="text-align: center;"><i>Responsible for this risk – C Parr/ D Shepherd</i></p>	H	  4x4=16	
A18	The risk of retaining a sustainable, diverse, workforce, including <ul style="list-style-type: none"> <li>• aging and age profile</li> <li>• encouraging people to enter hard to recruit roles (which often have low pay, or challenging hours or tasks)</li> </ul>	<ul style="list-style-type: none"> <li>• Effective Workforce Planning (including recruitment and retention issues)</li> <li>• Modernise Human Resources policies and processes</li> <li>• Increased accessibility to online training managers/ employees.</li> <li>• Selective use of interim managers and others to ensure continuity of progress regarding complex issues</li> <li>• Ensure robust change processes including Equality Impact Assessments (EIA's) and consultation.</li> </ul>	H		

	<ul style="list-style-type: none"> <li>encouraging entrants to professional roles where pay is often below market levels.</li> <li>and ensuring that the workforce is broadly content, without whom the council is unable to deliver its service obligations.</li> </ul>	<ul style="list-style-type: none"> <li>Understanding difficult to recruit areas</li> <li>Understand market pay challenges</li> <li>Promote the advantages of LG employment</li> <li>Emphasise the satisfaction factors from service employment</li> <li>Engage and encourage younger people through targeted apprenticeships, training, and career development (and recognising that young peoples skills, knowledge, and expectations may be impacted by coronavirus)</li> <li>Ensuring awareness to ensure employees safety and health (including stress)</li> <li>Consider issues about a workforce reflective of the community, inclusion, diversity and coronavirus issues</li> </ul> <p><i>Responsible for this risk – R Spencer Henshall</i></p>		4x4=16	
<b>E18</b>	Compliance with the councils own climate change commitments, and or statutory climate change obligations fails to achieve objectives and ambitions, and or causes unanticipated costs or operational consequences	<ul style="list-style-type: none"> <li>Reconsideration of priorities and potential achievability within timescales</li> <li>Monitoring of achievements/effective project planning and costing</li> <li>Awareness of local consequences such as ensuring appropriate levels of energy efficiency in residential and commercial property, and the financial consequences</li> <li>Being climate aware in design- such as ensuring temperature appropriate road surfacing products, heating and ventilation in new and refurbished property</li> <li>Lobbying for financial and other government support in relation to the costs of meeting obligations</li> <li>WYCA related projects will require assessment of carbon impacts</li> </ul> <p><i>Responsible for this risk – C Parr</i></p>	<b>M</b>	4x4=16	 

All risks shown on this corporate matrix are considered to have a potentially high probability, or impact, which may be in the short or medium horizon

**TREND ARROWS**

Worsening	
Broadly unchanged	
Improving	

**CONTROL OPPORTUNITIES**

H	This risk is substantially in the control of the council
M	This risk has features that are controllable, although there are external influences
L	This risk is largely uncontrollable by the council

