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**Service Director – Legal, Governance and
Commissioning**

Julie Muscroft

The Democracy Service

Civic Centre 3

High Street

Huddersfield

HD1 2TG

Tel: 01484 221000

Please ask for: Jenny Bryce-Chan

Email: jenny.bryce-chan@kirklees.gov.uk

Friday 16 July 2021

Notice of Meeting

Dear Member

Corporate Scrutiny Panel

The **Corporate Scrutiny Panel** will meet in the **Virtual Meeting - online** at **10.00 am on Monday 26 July 2021.**

This meeting will be live webcast. To access the webcast please go to the Council's website at the time of the meeting and follow the instructions on the page.

The items which will be discussed are described in the agenda and there are reports attached which give more details.

A handwritten signature in black ink, appearing to read 'Julie Muscroft', on a light-colored background.

Julie Muscroft

Service Director – Legal, Governance and Commissioning

Kirklees Council advocates openness and transparency as part of its democratic processes. Anyone wishing to record (film or audio) the public parts of the meeting should inform the Chair/Clerk of their intentions prior to the meeting.

The Corporate Scrutiny Panel members are:-

Member

Councillor Andrew Cooper (Chair)

Councillor Mahmood Akhtar

Councillor James Homewood

Councillor John Taylor

Councillor Charles Greaves

Councillor Alison Munro

Philip Chaloner (Co-Optee)

Agenda

Reports or Explanatory Notes Attached

Pages

1: Membership of the Committee

To receive apologies for absence from those Members who are unable to attend the meeting.

2: Minutes of the Previous Meeting

1 - 4

To approve the Minutes of the meeting of the Committee held on 11 March 2021.

3: Interests

5 - 6

The Councillors will be asked to say if there are any items on the Agenda in which they have disclosable pecuniary interests, which would prevent them from participating in any discussion of the items or participating in any vote upon the items, or any other interests.

4: Admission of the Public

Most debates take place in public. This only changes when there is a need to consider certain issues, for instance, commercially sensitive information or details concerning an individual. You will be told at this point whether there are any items on the Agenda which are to be discussed in private.

5: Deputations/Petitions

The Committee will receive any petitions and hear any deputations from members of the public. A deputation is where up to five people can attend the meeting and make a presentation on some particular issue of concern. A member of the public can also hand in a petition at the meeting but that petition should relate to something on which the body has powers and responsibilities.

In accordance with Council Procedure Rule 10 (2), Members of the Public should provide at least 24 hours' notice of presenting a deputation.

6: Public Question Time

The meeting will hear any questions from the general public.

7: Corporate Portfolio Holder Priorities - 2021/22

The Cabinet Portfolio Holder for Corporate will outline his priorities for 2021/22.

Corporate: Councillor Paul Davies, Cabinet Member for Corporate
Tel: 01484 221000

8: Corporate Directorate Priorities - 2021/22

The Strategic Director Corporate Strategy will outline the Directorate priorities for 2021/22.

Contact: Rachel Spencer-Henshall, Strategic Director Corporate Strategy
Tel: 01484 221000

9: Setting the Panel Work Programme - 2021/22

7 - 12

The Panel will set its work programme for 2021/22.

Contact: Jenny Bryce-Chan, Principal Governance Officer, Tel:
01484 221000

10: Corporate Matrix

13 - 22

The Panel will consider the Corporate Risk Register and Risk Management Action Plan.

Contact: Martin Dearnley, Head of Risk, Financial, IT and Transactional Services. Tel: 01484 221000

11: Date of future Panel meetings

The Panel is asked to note the date of future meetings as follows:

- 16 August 2021
 - 27 September 2021
 - 13 December 2021
 - 7 February 2022
 - 21 March 2022
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Contact Officer: Jenny Bryce-Chan

KIRKLEES COUNCIL

CORPORATE SCRUTINY PANEL

Thursday 11th March 2021

Present: Councillor Andrew Cooper (Chair)
Councillor Mahmood Akhtar
Councillor Will Simpson
Councillor John Taylor

Co-optees: Philip Chaloner

In attendance: Terence Hudson, Head of Technology
Andy Simcox, Service Director for Strategy and
Innovation
Eamonn Croston, Service Director for Finance
Cllr Graham Turner, Cabinet Member

Observers: Councillor Elizabeth Smaje, Chair of Overview and
Scrutiny Management Committee

Apologies: Councillor James Homewood
Councillor John Lawson

1 Minutes of the Previous Meeting

That the minutes of the meeting held on the 1st December 2021 be approved as a correct record.

2 Interests

No interests were declared.

3 Admission of the public

All agenda items were considered in public session.

4 Deputations/Petitions

No deputations or petitions were received.

5 Questions by members of the public (Written Questions)

No questions were asked.

6 Technology Strategy

Terence Hudson, Head of Technology and Andy Simcox, Service Director for Strategy and Innovation provided the Panel with an update on the council's technology strategy.

Corporate Scrutiny Panel - 11 March 2021

The Panel was informed that the technology strategy is one of the key enabling strategy for the organisation when considering people, access and assets as well as the IT. Since the strategy was discussed at informal strategy approximately twelve months ago, things have changed significantly, and the pandemic has really tested out the strategy.

The Panel was informed that the visions and ambitions of the technology strategy is to *“work together to deliver innovative, effective and sustainable technology services that are designed around our diverse places and the needs of our people, partners and businesses”*.

The ambitions include:

- **Getting the basics right:** In the last twelve months, in response to the pandemic, there has been investment in home working equipment for staff. The next stage was getting people connected and Microsoft Teams connects over 3500 people and partners every day. The focus also shifted to look at the service desk offer as face-to-face contact could no longer be undertaken; therefore, it was important to look at operations and it has proved successful resulting in an improved customer focus and support in service desk operations.
- **Enabling resilient and available infrastructure:** In March 2020, in response to the looming challenge posed by the pandemic, a decision was taken to make significant changes to the network to ensure that four and half thousand people could work at home and, within two weeks of the first lockdown, this was achieved.
- **Connecting people, business and technology** – This is the big story in terms of working with the DfE to provide over 5895 laptops to maintained schools in Kirklees (4595 DfE and 1300 Kirklees). Technology has also been deployed to a number of VCS groups to support their Covid response and devices have been provided to care homes. In general, supporting the fibre network builds across Kirklees.
- **Developing inclusive technology and skills** – An important aspect of this was work was getting 69 councillors online, enabling them to use Teams to attend council meetings virtually.
- **Delivering class leading internet services** – Over 90 virtual council meetings have been held and while occasionally there have been technical issues most of the time it has worked well, and engagement has been good in those meetings. Trusted Covid related content on the website has received over 1.5 million-page hits. In addition, 12,000 business grants have been processed and over 20,000 requests to support people and communities. It's great to know that people can go to the Kirklees website to get the services they require.

The Panel was advised of the lessons learned and next steps which include:

- The technology strategy provided the framework for the Covid response

Corporate Scrutiny Panel - 11 March 2021

- Benefit gained from working closely with partners and the voluntary and community sectors
- Proved technology is an enabler for rapid change when needed
- Move from tactical responses to long term strategic planning and build on the value of partnership working

The Panel welcomed the presentation and thanked the officers for providing an update on the technology strategy and for the work undertaken to enable council meetings and business to continue during the crisis.

RESOLVED

That an update on the strategy be presented to the Panel in March 2022.

7 Council Financial Management Update

Eamonn Croston, Service Director for Finance attended the meeting to provide the Panel with an update on the Council financial management. The Panel was informed that the information being presented outlines:

- Information on in-year financial performance as at Quarter 3 (month 9) including COVID impact, and prospects for a balanced budget position by current year end
- Current and emerging national intelligence and potential impact on the Council's overall financial position; both current year and next financial year, following recent Budget Council approval of budget plans for 2021/22 and following years
- An update on the Council's medium term financial resilience is also included in this financial management update report

In summary, the Panel was informed that at quarter one the prediction was there would be a £7.7 million overspend, particularly in the early days of Covid and the financial pressures this was having on the bottom line. This reduced to £5.5 million forecast overspend by quarter two. As at quarter three, the projection is under £2 million at £1.9 million. From the last quarter and this time, there is confidence that the trajectory could go in the right direction to deliver a break even position as far as possible by year end.

To date, the Council has allocated in excess of £102m COVID business grants (includes £5.2m discretionary grants) across the borough to about 9,500 businesses. The Grant application process for these schemes went live on 17 November 2020. In total, in just 3 months, a further 12,032 payments have been made to over 2,000 eligible businesses, totalling a further £28m.

The budget plans for 2021/22 approved by council reflects the administration's commitment through the rolled forward of existing multi-year plans, in relation to outstanding children's services, investing in our places and tackling the climate

Corporate Scrutiny Panel - 11 March 2021

emergency. This is as well as a strong and sustainable corporate centre; and re-profiling resources into tackling inequalities highlighted by the pandemic.

The Panel was informed that a report will be presented to Cabinet on 16 March affirming the Council's membership of a Leeds City Region Business Rates Pool for 2021/22, comprising the 5 West Yorkshire Councils plus York and Harrogate. The forecast levy income to be retained by the Pool in 20-21/22 is likely to be modest at below £5m, but in spite of the current economic uncertainty, is still considered relatively low risk for Council members to continue to be part of a Pool in 2021/22.

On 22 February 2021, Government published a four-step roadmap to ease restrictions across England and provide a route back to a more normal way of life. Each step will be assessed against 4 tests before restrictions ease, starting with the return of schools on 8 March. The decision on each stage will move cautiously to keep infection rates under control. The roadmap will also provide context for the Chancellor's forthcoming budget statement on 3 March 2021.

The Panel was informed that key highlights from the budget statements includes:

- The extended business rates relief introduced at the start of Covid has been extended into 2021/22 for eligible retail, hospitality, and leisure properties in England. That means 100% relief up to the end of June and 66% relief to the end of March
- Furlough is being extended to the end of September 2021 and the extra £20 per week Universal Credit payment has also been extended to the end of September 2021

A question and answer session followed that covered a number of issues including:

- The overspend on special needs which will put it into a negative reserve is there some indication that this will be address over the next year or two
- Is there a specific methodology to work out how much money the council should receive from the government to ensure the local authority is not out of pocket as a result of Covid
-

RESOLVED

That Eamonn Croston be thanked for providing an update on the Council Financial Management.

KIRKLEES COUNCIL					
COUNCIL/CABINET/COMMITTEE MEETINGS ETC					
DECLARATION OF INTERESTS					
Corporate Scrutiny Panel					
Name of Councillor					
Item in which you have an interest	Type of interest (eg a disclosable pecuniary interest or an "Other Interest")	Does the nature of the interest require you to withdraw from the meeting while the item in which you have an interest is under consideration? [Y/N]	Brief description of your interest		

Signed: Dated:

NOTES

Disclosable Pecuniary Interests

If you have any of the following pecuniary interests, they are your disclosable pecuniary interests under the new national rules. Any reference to spouse or civil partner includes any person with whom you are living as husband or wife, or as if they were your civil partner.

Any employment, office, trade, profession or vocation carried on for profit or gain, which you, or your spouse or civil partner, undertakes.

Any payment or provision of any other financial benefit (other than from your council or authority) made or provided within the relevant period in respect of any expenses incurred by you in carrying out duties as a member, or towards your election expenses.

Any contract which is made between you, or your spouse or your civil partner (or a body in which you, or your spouse or your civil partner, has a beneficial interest) and your council or authority -

- under which goods or services are to be provided or works are to be executed; and
- which has not been fully discharged.

Any beneficial interest in land which you, or your spouse or your civil partner, have and which is within the area of your council or authority.

Any licence (alone or jointly with others) which you, or your spouse or your civil partner, holds to occupy land in the area of your council or authority for a month or longer.

Any tenancy where (to your knowledge) - the landlord is your council or authority; and the tenant is a body in which you, or your spouse or your civil partner, has a beneficial interest.

Any beneficial interest which you, or your spouse or your civil partner has in securities of a body where -

- (a) that body (to your knowledge) has a place of business or land in the area of your council or authority; and
- (b) either -

the total nominal value of the securities exceeds £25,000 or one hundredth of the total issued share capital of that body; or

if the share capital of that body is of more than one class, the total nominal value of the shares of any one class in which you, or your spouse or your civil partner, has a beneficial interest exceeds one hundredth of the total issued share capital of that class.



Name of meeting: Corporate Scrutiny Panel

Date: 26 July 2021

Title of report: Setting the Work Programme for 2021/22

Purpose of report: To consider the areas of work for inclusion in the panel’s work programme for 2020/21.

Key Decision - Is it likely to result in spending or saving £250k or more, or to have a significant effect on two or more electoral wards?	No
Key Decision - Is it in the <u>Council’s Forward Plan (key decisions and private reports)?</u>	Not Applicable
The Decision - Is it eligible for call in by Scrutiny?	Not Applicable
Date signed off by <u>Strategic Director</u> & name Is it also signed off by the Service Director for Finance? Is it also signed off by the Service Director for Legal Governance and Commissioning?	No – The report has been produced for information only and to facilitate the discussions on the panel’s work programme.
Cabinet member portfolio	Corporate

Electoral wards affected: None Specific

Ward councillors consulted: Not Applicable

Public or private: Public

Has GDPR been considered? Yes. There is no personal data contained in this report.

1. Summary

- 1.1 Attached at Appendix 1 is the Panel’s draft Work Programme for 2021/22. Members are asked to review the work programme and to agree the areas of focus to be considered in 2021/22, including the approach to be taken for each issue.
- 1.2 Members are also requested to consider any additional issues that they consider to be of a strategic priority that they would wish to include in the 2021/22 work programme.
- 1.3 The Cabinet Member for Corporate and the Strategic Director, Corporate Strategy has been invited to attend the meeting to assist the Panel in setting its work programme for the year.

- 2. Information required to take a decision**
N/A
- 3. Implications for the Council**
N/A
- 3.1 Working with People**
No specific implications
- 3.2 Working with Partners**
No specific implications
- 3.3 Place Based Working**
No specific implications
- 3.4 Climate Change and Air Quality**
No specific implications
- 3.5 Improving outcomes for children**
No specific implications
- 3.6 Other (e.g. Legal/Financial or Human Resources)**
No specific implications
- 4. Consultees and their opinions**
Not applicable
- 5. Next steps and timelines**
Following the Panel's discussion, the agreed work programme will be taken forward and work will commence on developing the Panel's work schedule for the coming year
- 6. Officer recommendations and reasons**
That the Panel reviews the draft work programme and agree the areas of focus for 2021/22.
- 7. Cabinet Portfolio Holder's recommendations**
Not applicable
- 8. Contact Officer:**
Jenny Bryce-Chan – Principal Governance Officer, Tel: 01484 221000
jenny.bryce-chan@kirklees.gov.uk
- 9. Background Papers and History of Decisions**
Not applicable
- 10. Service Director responsible**
Julie Muscroft – Service Director, Legal, Governance and Commissioning

CORPORATE SCRUTINY PANEL – WORK PROGRAMME 2021/22 (municipal year)

MEMBERS: Councillors: A Cooper (LM) J Homewood, J Taylor, M Akhtar, C Greaves, A Munro
Co-optees: Philip Chaloner

SUPPORT: Jenny Bryce-Chan, Principal Governance Officer





FULL PANEL DISCUSSION		
THEME/ISSUE	APPROACH / AREAS OF FOCUS	OUTCOMES / ACTIONS
1. Financial Monitoring		
2. Corporate Opportunities report	<ul style="list-style-type: none"> - Directors to be invited to a panel meeting at least twice a year to provide an update on corporate opportunities - Procurement 	
3. Council Risk Register	<ul style="list-style-type: none"> - Links into the corporate opportunities 	
4. Capital Plan	<ul style="list-style-type: none"> - Standard item and links in with financial monitoring - Procurement and how it feeds into the economic recovery - Libraries review 	
5. Corporate performance	<ul style="list-style-type: none"> - Leader of the council to be invited to talk about WYCA, and its relationship with Kirklees and also to about the West Yorkshire Mayor 	





<p>6. Reopening of services to the public</p>	<p>- How the council is reopening its buildings What buildings do we need and are they in the right place</p>	
<p>7. The People Strategy</p>	<p>- An update on progress later on in the year which should include learning from Covid</p>	
<p>8. Technology Strategy</p>	<p>- An update in approximately 1 year (March 2022)</p>	
<p>9. EU</p>	<p>- An update report on the impact of leaving the EU Jan 2022</p>	
<p>10. Comms Strategy</p>	<p>- Learning from Covid – end of the year</p>	
<p>11. Portfolio holder priorities</p>	<p>- The Cabinet Member for Corporate to share priorities for 2021/22</p>	
<p>12. Inclusion and Diversity</p>	<p>- An update on the inclusion and diversity strategy</p>	
<p>13. Photo ID at Elections</p>	<p>- To brief the panel on ID at elections</p>	




LEAD MEMBER BRIEFING ISSUES		
THEME/ISSUE	APPROACH / AREAS OF FOCUS	LEAD OFFICER
1.		
2.		
3.		
4.		
5.		
6.		





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
Risk No	Risk – Description of the risk	Management actions already in place to mitigate the risk	Control Opptnty	Trend	Project Risk Matrix Symbol
	Community Impacts & Risks	Delivering service that customers and citizens need			
A1	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"> • Infection control and management- as a council activity (see also risk 6) • Management of financial consequences including seeking to spend national grants effectively, and mitigation against the risk of fraud • Social and economic consequences (including appropriate council interventions therein) • Recognition of long covid and other consequent diseases <p><i>Responsible for this risk –R. Spencer-Henshall and all strategic directors</i></p>	M	 5X4=20	
A2	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"> • Disclosure & Barring Service (DBS) checking, staff training, supervision, protection policies kept up to date and communicated. • 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 • Active management of cases with media interest • Review of current practices following the child sexual exploitation in other authorities and the emerging requirements. • Ensure that workloads are balanced to resources. • Staff and skill development to minimise dependence on key individuals. • Use of agency staff and or contractors when necessary • Ideal manager training • Development of market sufficiency strategy; consider approaches to support the development of the available service offer both locally and regionally. 	H		




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







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



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

A10	Making inappropriate choices in relation to lending or and borrowing decisions, leads to financial losses.	<ul style="list-style-type: none"> • Effective due diligence prior to granting loans and careful monitoring of investment decisions. • Effective challenge to treasury management proposals by both officers and members (Corporate Governance & Audit Committee) taking account of external advice <p style="text-align: center;"><i>Responsible for this risk - E Croston</i></p>	MH	 2x5=10	
A11	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"> • Ensure adequacy of financial revenue reserves to protect the council financial exposure and managed effectively not to impact on the council essential services. • Consider risks and most cost-effective appropriate approach to responding to these (internal or external insurance provision). • Awareness of risk activity that is not insured or uninsurable. <p style="text-align: center;"><i>Responsible for this risk - E Croston & J Muscroft</i></p>	H	 4x4=16	
A12	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"> • Monitor government proposals and legislation, and their impact on council and partner services. • Continue to lobby, through appropriate mechanisms, for additional resources e.g. Local Government Association (LGA) • Be aware of underlying issues through effective communication with citizens, partners, service providers and suppliers about likely impact on resources • Ensure that budgets anticipate likely impacts • Ensure adequacy of financial revenue reserves to protect the council financial exposure and managed effectively not to impact on the council essential services. <p style="text-align: center;"><i>Responsible for this risk - E Croston & all strategic directors</i></p>	L	 5x5=25	

	Governance	Operating legally and ethically			
A13	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"> • Open policy development • Open decision making, including full consultation • Effective challenge (between officers, officers and members, and between member) • Proper recording of all decisions • Carefully following all rules and requirements, particularly those related to Financial Procedures Rules and Contract Procedure Rules • Doing basis well- strong training and effective assurance • Clarity of management responsibility and understanding <p><i>Responsible for this risk – chief executive and all strategic directors</i></p>	H		
	Resource Utilisation	Operating successfully and effectively			
A14	Council supplier and market relationships, including contractor failure leads to; <ul style="list-style-type: none"> • loss of service, • poor quality service • an inability to attract new suppliers (affecting competition, and to replace any incumbent contractors who have failed) • complexities and difficulties in making arrangements in respect of significant and long running major outsource contracts, and their extension and renewal. 	<ul style="list-style-type: none"> • Avoid, where possible, over dependence on single suppliers • 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. • 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. • 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. • Consideration of social value, local markets and funds recirculating within the borough • Understanding supply chains and how this might impact on the availability of goods and services • Be realistic about expectation about what the market can deliver, taking into account matter such as national living wage, recruitment and retention issues etc. 	MH		




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

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"> • Ensuring appropriate H&S responses re Coronavirus (appropriately balancing statutory obligations, desirable positions and commerciality/business risk) • New Fire Safety Policy approved and being implemented with improved monitoring of fire risk • Prioritised programme of remedial works to buildings to tackle fire safety and other issues • Review work practices to address H&S risks • Monitor safety equipment • Improved employee training as to their responsibilities, as employees and (where appropriate) as supervisors. Improved employee work practices • Approval of additional resources to improve corporate monitoring regime. <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"> • Active site management • Routine servicing and cleansing regimes (including coronavirus compliance in both operational and managed tenanted commercial property) • Work practices to address risks from noxious substances • Property disposal strategy linked to service and budget strategy • Review of fire risks • Establishment of Housing Building Safety Assurance Board • Develop management actions, categorised over the short to medium term and resource accordingly. • Prioritisation of funding to support reduction of backlog maintenance • Clarity on roles and responsibilities particularly where property management is outsourced <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"> • aging and age profile • encouraging people to enter hard to recruit roles (which often have low pay, or challenging hours or tasks) 	<ul style="list-style-type: none"> • Effective Workforce Planning (including recruitment and retention issues) • Modernise Human Resources policies and processes • Increased accessibility to online training managers/ employees. • Selective use of interim managers and others to ensure continuity of progress regarding complex issues • Ensure robust change processes including Equality Impact Assessments (EIA's) and consultation. 	H		

	<ul style="list-style-type: none"> encouraging entrants to professional roles where pay is often below market levels. and ensuring that the workforce is broadly content, without whom the council is unable to deliver its service obligations. 	<ul style="list-style-type: none"> Understanding difficult to recruit areas Understand market pay challenges Promote the advantages of LG employment Emphasise the satisfaction factors from service employment 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) Ensuring awareness to ensure employees safety and health (including stress) Consider issues about a workforce reflective of the community, inclusion, diversity and coronavirus issues <p><i>Responsible for this risk – R Spencer Henshall</i></p>		4x4=16	
E18	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"> Reconsideration of priorities and potential achievability within timescales Monitoring of achievements/effective project planning and costing Awareness of local consequences such as ensuring appropriate levels of energy efficiency in residential and commercial property, and the financial consequences Being climate aware in design- such as ensuring temperature appropriate road surfacing products, heating and ventilation in new and refurbished property Lobbying for financial and other government support in relation to the costs of meeting obligations WYCA related projects will require assessment of carbon impacts <p><i>Responsible for this risk – C Parr</i></p>	M	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

