












| Risk No | Risk – Description of the risk   | Management actions already in place to mitigate the risk   | Control Opptnty | Trend  |
|---------|--|--|-----------------|--|
|         | <b>Emergency &amp; Immediate Risk</b>  |  |                 |  |
| 0       | The current national emergency as result of the Covid 19 coronavirus has huge 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<br>This is an ever-changing position, which requires regular reconsideration until the current crisis is declared under control/has passed, with a substantial number of areas of uncertainty.  | L               | ↑  |
|         | <b>Community Impacts &amp; Risks</b>   | The current national emergency has a serious and significant risk to the community citizens and services users, with particular concerns about the impact on specific user groups.   |                 |  |
| 1       | The council does not adequately safeguard children and vulnerable adults, as a result of increased complexity, referral volumes and a lack of service capacity to respond to the assessed need.<br><br>This risk may have worsened as a result of the full and partial coronavirus lockdown, with reduced referrals, an unwillingness of third parties to make referrals and a reduced ability to investigate. the basic controls described above remain valid | <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> <li>• Ensure competence of the Safeguarding Boards and that they are adequately resourced to challenge and improve outcomes</li> <li>• Ensure routine internal quality assessment</li> </ul> | H               | ↑<br><br>(Covid related- otherwise probably neutral) |


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|   |  | <ul style="list-style-type: none"> <li>• Take effective action after Safeguarding Practice Reviews (Children), Safeguarding adults reviews and Domestic Homicide Reviews</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>• Ensure effective record keeping</li> </ul> <p><i>Responsible for this risk – R Parry and M Meggs</i></p>   |    | 4x5=20   |
| 2 | 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><i>Responsible for this risk –M Meggs</i></p>   | LM | <br><br>4x4=16  |
| 3 | 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> <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> <li>• Anti-Lockdown protest risks or may create social tensions</li> </ul> <p><i>Responsible for this risk – R Parry and M Meggs (&amp; J Greenfield)</i></p> | M  | <br><br>4x5=20 |

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| 4                                       | 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-. This is always difficult, but more fragility than normal due to covid.</li> </ul> <p><i>Responsible for this risk – C Parr</i></p>   | M  | <br>4x5=20 |
| 5                                       | Risk of infection with a high consequence infectious disease (HCIDs airborne) with the consequent impacts of pressure on services through demand, and a reduced ability to deliver services resultant from staff absences and similar.<br><br>International transmission of HCIDs issues can also affect supply chains with the consequence of availability of products | <ul style="list-style-type: none"> <li>• National mitigation actions controlled through UK Government and devolved administrations.</li> <li>• Advice/instruction to/from, Chief Medical Officer, PHE, Health and Social care system. and schools (from DfE).</li> <li>• More local mitigations controlled through Public Health, Health protection.</li> <li>• Local lockdown processes in line with statutory positions</li> <li>• Business continuity planning and arrangements invoked.</li> <li>• Preparations for risk of recurrence</li> <li>• Understanding supply change and alternatives, and mitigations to retain essential existing suppliers where appropriate</li> <li>• Appropriate advice and Information cascaded to Kirklees citizens and staff</li> </ul> <p><i>Responsible for this risk –Rachel Spencer Henshall &amp; all of ET</i></p> | L  | <br>5x5=25 |
| <b>The UKs relationship with the EU</b> |   |  |    |   |
| 6                                       | The process of establishing new relationships between the UK and the EU lead to the following consequences and impacts: <ul style="list-style-type: none"> <li>• Supply chain issues (probably only a short term risk)</li> </ul>   | These risks are largely addressed elsewhere in the Matrix. Local businesses may consider that coronavirus related risk is a more severe threat now and impacts from the revised trading arrangement are likely to emerge over time; <ul style="list-style-type: none"> <li>• Monitor government proposals and actions, and their impact on council, partner services and local businesses</li> <li>• Working with the WY Combined Authority, and other WY local authorities and partners</li> </ul>  | LM |          |

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|          | <ul style="list-style-type: none"> <li>• The economic outlook (with a lack of clarity) impacting on levels of trade and investment.</li> <li>• Impacting on business rates and housing growth,</li> <li>• Imports attract tariffs, which leads to increased costs -and inflation</li> <li>• Uncertainty about migration impacting on labour markets, particularly in key sectors like health and social care</li> <li>• The general uncertainty affecting the financial markets could lead exacerbate recessionary tendencies.</li> <li>• The potential for increased cuts in core government funding (as a result of economic pressures) in the context of ongoing increases in demand for council services.</li> </ul> | <ul style="list-style-type: none"> <li>• Continue to lobby, through appropriate mechanisms, for additional resources and flexibilities in the use of existing funding streams to e.g. Local Government Association (LGA)</li> <li>• Be aware of underlying issues through effective communication with partners, service providers and suppliers and other businesses about likely impact on prices and resources.</li> <li>• Ensure that budgets anticipate likely cost impacts</li> <li>• Local intelligence sharing and networks.</li> <li>• Continue to work with local employer representative bodies e.g. FSB, MYCCI to make best use of existing resources and lobby for additional resources to support businesses in the post EU period</li> <li>• Service and financial strategies kept under review to keep track of developments related to the UKs changed trading relationship with the EU.</li> <li>• Utilise supplementary resources to cushion impact of any cuts and invest to save.</li> <li>• Ensure (to the extent possible) adequacy of financial revenue reserves to protect the council financial exposure and that they are managed effectively not to impact on the council essential services</li> <li>• Working Group continues to monitor implications.</li> </ul> <p><i>Responsible for this risk –all ET</i></p> |          | 4x4=16  |
|          | <b>The finances of the Council</b>   | The current national emergency has a serious and significant risk to the councils financial position-   |          |   |
| <b>7</b> | A failure to achieve the Councils savings plan impacts more generally on the councils finances with the necessity for unintended savings   | <ul style="list-style-type: none"> <li>• Significant impacts on incomes (as a result of coronavirus impacts and similar), 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> </ul>   | <b>M</b> |  |




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|   | (from elsewhere) to ensure financial stability  | <ul style="list-style-type: none"> <li>• Alignment of service, transformation and financial monitoring.</li> <li>• Tracker developed which allows all change plans to be in view and monitored on a monthly basis</li> <li>• Programme management office established and resourced</li> <li>• Monthly (and quarterly) financial reporting</li> </ul> <p><i>Responsible for this risk - E Croston &amp; ET</i></p>   |   | 4x5=20  |
| 8 | <p>Coronavirus has added significant income risks and imposed additional costs (some of which have been met by government funding) which have a current year and likely medium-term continuing impact. The whole horizon risks also remain in relation to a failure to control expenditure and income within the overall annual council approved budget leads to the necessity for unintended savings (from elsewhere)). The most significant of these risks are related to 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>&amp; Rent Collection impact of Universal Credit rollout (H R A) And in the longer term, the costs of waste disposal.</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</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>• Recognise risk that loss of income may sustain for longer than pandemic period, as customer tastes and priorities change</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> | M | <br><br>5x5=25 |
| 9 | Above inflation cost increases, particularly in the care sector,  | <ul style="list-style-type: none"> <li>• Monitor quality and performance of contracts.</li> </ul>   | M |   |



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|    | 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.  | <ul style="list-style-type: none"> <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; R Parry</i></p>   |    | <br>4x4=16   |
| 10 | 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><i>Responsible for this risk - E Croston</i></p>   | MH | <br>2x5=10   |
| 11 | 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.  | <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><i>Responsible for this risk - E Croston &amp; J Muscroft</i></p>   | H  | <br>4x4=16   |
| 12 | <p>The financial regime set by government causes a further loss of resources or increased and under-funded obligations (e.g. in relation to social care), with impact on the strategic plans.</p> <p>This relates to the essential dependence on initial and medium-term financial support from government as a consequence of impact on the council's finances from coronavirus.</p> | <p>The current crisis has resulted in some changes to national finance proposals- but major and fundamental changes to national government funding of crisis costs and implications (e.g. loss of tax and trading revenues) impact more heavily.</p> <p>The government has promised continuing resource to meet coronavirus consequence, but it is unclear if this will be adequate, if the government will seek to risk share, and the financial consequence in the medium term. In the longer- term risks remain.</p> <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> </ul> | L  | <br>5x5=25 |

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|    | Future national budget position and allocation of funding to local authorities.   | <ul style="list-style-type: none"> <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; ET</i></p>   |    |   |
|    | <b>Other Resource &amp; Partnership Risks</b>   | The current national emergency has a serious and significant risk to the councils position with regard to commercial and community suppliers, information management /technology/cyber, health and safety- addressed in more detail in the special report  |    |   |
| 13 | <p>Council supplier and market relationships, including contractor failure leads to;</p> <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> <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> </ul> | MH | <br><br>5x4=20 |

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|    |  | <ul style="list-style-type: none"> <li>• Commission effectively</li> <li>• Ensuring adequate cash flow for smaller contractors</li> </ul> <p><i>Responsible for this risk – J Muscroft</i></p>   |   |                        |
| 14 | <p>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. Cyber related threats affecting data integrity and system functionality. (Volume of working from home may increase risks or change their perspective)</p> | <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 (e.g. destruction of paper records), and whether there is a need for additional security, training or other matters</li> <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><i>Responsible for this risk – J Muscroft</i></p> | <p><b>H</b><br/>(INFO)<br/><b>M</b><br/>(CYBER)</p> | <p>↑</p> <p>4x5=20</p> |
| 15 | <p>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</p>   | <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> </ul>   | <p><b>H</b></p>                                     | <p>↑</p>               |






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|    | /personal liability)(and in particular issues of fire safety,)   | <ul style="list-style-type: none"> <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><i>Responsible for this risk – R Spencer Henshall</i></p>  |   | 3x5=15  |
| 16 | Exposure to increased liabilities arising from property ownership and management, including dangerous structures and asbestos, 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 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><i>Responsible for this risk – C Parr</i></p> | H | <br>4x4=16 |
| 17 | A funding shortfall in partner agencies) leads to increased pressure on community services with unforeseen costs.  | <ul style="list-style-type: none"> <li>• Engagement in resilience discussions with NHS partners</li> <li>• Secure funding as appropriate</li> <li>• Consider extension of pooled funds</li> <li>• Understanding potential impacts on demand for council services</li> <li>• Accept that this may lead to an increase in waiting times</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> </ul> <p><i>Responsible for this risk – R Parry &amp; all ET</i></p>   | L | <br>4x4=16 |
| 18 | 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</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> </ul>   | H |          |

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|    | <p>often have low pay, or challenging hours or tasks)</p> <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>Ensure robust change processes including Equality Impact Assessments (EIA's) and consultation.</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  |
| 19 | National legislative or policy changes have unforeseen consequences with the consequence of affecting resource utilisation or budgets.   | <ul style="list-style-type: none"> <li>Reprioritise activities</li> <li>Deploy additional resources</li> <li>Use of agency staff or contractors where necessary</li> <li>Development of horizon scanning service</li> </ul> <p><i>Responsible for this risk – all ET</i></p>  | L | <br>5x4=20 |
| 20 | 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</li> <li>Effective project planning and costing</li> <li>Awareness of local consequences</li> <li>Awareness of local consequences of national commitments and obligations</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>  | M | <br>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  
20210111

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                                   |

**Risk Factor**    Probability    Likelihood, where 5 is very likely and 1 is very unlikely    Impact    The consequence in financial or reputational    Risk    Probability x Impact