

















CORPORATE RISK REGISTER & RISK MANAGEMENT ACTION PLAN








NOVEMBER 2021 (3 public-21/22)





| Risk No | Risk – Description of the risk | Management actions already in place to mitigate the risk | Control Opptnty | Trend | Risk Matrix Symbol |
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| | Community Impacts & Risks | Delivering service that customers and citizens need | | | |
| A1 | Covid 19 coronavirus and or seasonal flu has further 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 • 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 • Ensuring staffing compliance where specific rules apply for example re vaccination (in direct and contracted facilities) <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 • Completion of the development of the Corporate Safeguarding Policy (scrutiny Jan'22, then Cabinet Mar'22) • Review of current practices following the child sexual exploitation in other authorities and the emerging requirements. • Ensure that workloads are balanced to resources, and that this worked is prioritised when there are staff resource availability issues • Staff and skill development to minimise dependence on key individuals. • Use of agency staff and or contractors when necessary | H |  |  |

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| | | <ul style="list-style-type: none"> • Ideal manager training • Development of market sufficiency strategy; consider approaches to support the development of the available service offer both locally and regionally. • 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><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. • Provision of support pathways to assist victims • Understand relationship with the Prevent strategy, and issues linked to counter terrorism • Ensure effective record keeping <p><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, (and with the potential of | <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. | M |  |  |





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| | safeguarding consequences for vulnerable individuals), or national or international incidents (e.g. terrorism), out with the councils control, create significant community tension, with the risk of public disorder, and threats to councillors going about their duties | <ul style="list-style-type: none"> Counter terrorism local profile. Awareness that some campaigns may give cause to action and reaction. (e.g. black lives matter, LGBTQ) 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 Local measures to ensure councillors are/feel protected .(and staff and others) including access to relevant information <p><i>Responsible for this risk – R Parry and M Meggs (& J Greenfield)</i></p> | | 4x5=20 | |
| A5 | Significant environmental events, as a consequence of climate change, and otherwise, 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 Consultancy study advice on how the council might address global warming consequences of higher summer temperature (affecting road surfaces), and more volatile weather conditions, e.g. rain storms <p><i>Responsible for this risk – C Parr</i></p> | M | <p>As a long-term environmental trend</p>  <p>4x5=20</p> |  |
| A6 | Reconsidered individual and community and partner and business sector priorities Understanding the financial and other on-going impact on partner agencies, including the voluntary sectors –in way that reduces their ability to support communities, with an impact on the council. Understand the impact that other | <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. Understand the impact on demand and resources from the broader economic .microsystem | H |  <p>4x4=16</p> |  |







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| | entities have on e.g demands for council service | <ul style="list-style-type: none"> Determine which of these are really adverse <p><i>Responsible for this risk – R Parry and M Meggs * all strategic directors</i></p> | | | |
| | 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. 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> | MH |  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> <p>And potential risks in relation to grant schemes, especially where the council takes on cost or outcome risk</p> | <ul style="list-style-type: none"> Monitor short term loss of income and additional costs (& be sure they are all captured) and recognise these in budget plans Scenario plan for reduced level of demand, post current crisis (e.g. changed customer tastes and priorities))e.g. currently shortfall in car park income) Scenario plan for recurrences of coronavirus or similar Scenario plan for default by debtors- although income collection on council tax, business rates, rents and sundry debtors is in line with expected levels. 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. Assess grant related risks and seek to mitigate (with the grant regime) Proactive monitoring as Universal Credit is introduced Possible financial implications from Heath & Social Care legislation being prompted by government <p><i>Responsible for this risk - E Croston & ET</i></p> | M |  5x5=25 |  |



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| A9 | 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. | <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 (e.g. 5 year expectation of cost increases by one quarter on construction projects) • Renegotiate or retender contracts as appropriate. • Ensure that budgets anticipate likely cost impacts • Seek additional funding as a consequence of government-imposed cost • Determine if increased costs such as energy make efficiency projects more financially attractive, or reduce consumption by less use of heating. <p><i>Responsible for this risk - E Croston & all strategic directors</i></p> | LM |  5x4=20 |  |
| 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><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><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 | <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 | L |  5x5=25 |  |

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| | to meet coronavirus consequence, but it is unclear how long this will continue. Medium term risks remain, as the need to address recent high level of national debt, and inflation/ interest, with other spending areas deemed of greater priority. NHS given all of social care additional tax revenues initially | <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. • Lobby for appropriate shares of NI levies for local authorities- or similar funding . <p><i>Responsible for this risk - E Croston & all strategic director</i></p> | | | |
| | 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), with sufficient time for adequate consideration (e.g. Key Decision Notices) • 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 | <ul style="list-style-type: none"> • Avoid, where possible, over dependence on single suppliers • Seek to build a panel of suppliers who are available and interested in delivering work to council • 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. | MH |  |  |

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| | <p>any incumbent contractors who have failed)</p> <ul style="list-style-type: none"> 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"> 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. 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><i>Responsible for this risk – J Muscroft</i></p> | | 5x4=20 | |
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| 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 governance policies and practices that are clearly communicated to workforce and councillors • Effective management of data, retention and recording. • Compliance with retention schedules. • 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 • 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. • Compliance with IT security policy. • Increased awareness of officers and members as to their obligations, responsibilities etc, through training • Recognising and understanding "cloud" based products and the advantages and risks that they provide • Business continuity procedures. <p><i>Responsible for this risk – J Muscroft & Rachel Spencer Henshall</i></p> | H |  4x5=20 |  |
| A16 | Cyber related threats affecting data integrity and system functionality. | <ul style="list-style-type: none"> • Thorough, understandable security policies and practices that are clearly communicated to workforce and councillors • Recognition of increased risk from homeworking which may increase or Change their perspective -need for additional security, training or other matters. • Compliance with IT security policy. • Increased awareness of officers and members as to their obligations, responsibilities etc, through training • Recognising and understanding "cloud" based products and the advantages and risks that they provide • Business continuity procedures. • Proactive management of cyber issues, including additional web controls | M |  |  |

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| | | <i>Responsible for this risk – T Hudson, A Simcox & Rachel Spencer Henshall</i> | | | |
| A17 | 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. | H |  3x5=15 |  |
| A18 | 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 Housing Building Safety Assurance Board established 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 | H |  5x4=16 |  |
| A19 | 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, | <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 |  |  |

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| | <p>or challenging hours or tasks)</p> <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 | |
| A20 | <p>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. Certain government grants require demonstration of climate commitments, impacting on funding available.</p> | <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 WYMCA 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

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| 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 |

