

CALDERDALE MBC

WARDS AFFECTED: ALL

AUDIT COMMITTEE – 31st MAY 2022

RISK MANAGEMENT ANNUAL REPORT 2021/22

REPORT OF THE HEAD OF INTERNAL AUDIT

1. ISSUE

- 1.1 This Annual Report for Risk Management is brought to Audit Committee to provide Members with assurance that arrangements to manage risks are in place and being effectively used in the delivery of the Council's services.

2. NEED FOR A DECISION

- 2.1 Members are asked to confirm that this annual report provides assurance that the management of risk continues to be a key action in delivering the Council's services.

3. RECOMMENDATIONS

- 3.1 Members note the Council's risk management arrangements for 2021/22 and the future work which will continue to support the Council in meeting its priorities and ambition.

4. RISK MANAGEMENT ARRANGEMENTS

- 4.1 Risk Management underpins everything the Council does, including the delivery of Vision 2024, the Council's three Cabinet priorities and supports our ability to achieve, and where possible exceed, our objectives.
- 4.2 As a Council we are encouraged to be imaginative and innovative, identifying and developing new ideas and new ways of working, so it is essential that robust and effective risk management arrangements are in place. The Audit Committee's role of supporting, reviewing, challenging and championing risk management is a key part of this robustness and underpins the adoption of good practice and governance across the organisation.
- 4.3 Staff and Members are expected to use risk management as an integral part of their everyday work rather than see it as a specific and separate task and the key message that 'Risk Management is everyone's responsibility' underpins the effective delivery of services within the Council, forms the cornerstone of all risk management work and is the core message of all risk management training.
- 4.4 Risk management arrangements included in Appendix A of this report have been developed to support the management of risk, by giving consideration to the Council's

priorities and the challenges and opportunities which these priorities present in the current climate.

5. RISK MANAGEMENT UPDATE FOR 2021/22

The Corporate Risk Manager's role includes ensuring continuous improvement in our risk management arrangements through work with the Council's officers and Members in developing risk awareness and responsibility for risk. Paragraphs 5.1 to 5.8 identify work which has been carried out as part of delivering risk management across the Council for 2021/22 and section 6 identifies future work which will form part of the management of risk in 2022/23.

5.1 GOVERNANCE AND ASSURANCE OF RISK MANAGEMENT

- 5.1.1 The Chartered Institute of Public Finance and Accountancy (CIPFA) and National Audit Office (NAO) acknowledge the vital role Audit Committees have in championing risk management. They also consider that Audit Committees need to be assured that the management of risk is embedded within the Council and underpins not only the management of risk but also the adoption of good practice and governance across the organisation. Bringing this report to Audit Committee forms part of that assurance process.
- 5.1.2 Assurance that risks are being effectively managed is obtained from a variety of sources including horizon scanning of relevant publications, validation through health checks such as the ones carried out by the Councils previous insurers Zurich and talking to other authorities to identify potential new risks. This ensures that the Council has the most effective risk management processes in place.
- 5.1.3 As part of the annual governance assurance process a questionnaire is issued to members of staff asking questions to establish their awareness of the various governance areas. Also, as part of the assurance process within the Council each corporate governance lead is asked to provide an opinion on the strength of the governance arrangements for their governance area. For 2021/22 the Corporate Risk Manager, as the Corporate Lead for Risk Management gave an opinion of 'Strong', being the highest rating, based on the quality of the arrangements in place and the assurance that risks are being managed. This opinion was also supported by the results of the colleague and manager questionnaires.

5.2 TRAINING

- 5.2.1 One of the key strands underpinning risk management awareness are the risk management training workshops provided by the Corporate Risk Manager, both as part of the People Development programme managed by Workforce Development or through focussed risk workshops with service delivery and project teams.
- 5.2.2 Since the last annual report five People Development risk training workshops have been delivered with a further four being planned from now to November 2022 with

attendance by officers from services across all Directorates and at all levels within services.

- 5.2.3 As part of extending the range of available risk management training courses additional training workshops for project managers, auditors and commercialism proposals have been delivered with risk appetite training also being offered to services.
- 5.2.4 A Member training workshop on risk management was provided on the 7th December 2021.
- 5.2.5 Where a specific need is identified such as the requests for training as part of the project management process then service or risk specific training workshops will be offered and delivered throughout the year.

5.3 MANAGING RISKS IN INSURANCE

- 5.3.1 The Corporate Risk Manager and the Council's Insurance Manager continue to work with the Council's insurers and officers across the Council to develop best practice and proactively manage insurance risk. Examples of this are included in the paragraphs which follow.
- 5.3.2 The Insurance team have expanded the validation undertaken on all motor vehicle insurance claims to improve our compliance with the Council's Driving at Work policy. Where a motor vehicle claim is submitted the drivers line manager is advised of any previous motor claims (fault or non-fault) involving the vehicle driver at the time of the incident together with any non-compliances.

This is to enable managers to have informed discussions with their staff regarding vehicle accidents with the ultimate objective being improved driving, reduced vehicle accidents and the resultant disruption and cost to the Council of vehicles being off the road for repair. Where appropriate it will also identify any need for additional driver training

- 5.3.3 The Children's Services Risk Management Group is an excellent example of cross Council collaboration on the management of risk which brings together officers from across the Council to consider the risks faced by children and young adults and ensure that there is early intervention and safeguarding for vulnerable children. It also enables the group to identify where there are potential issues around areas such as information disclosure.
- 5.3.4 One significant risk area regarding contracts is ensuring that external providers have adequate liability insurance. As part of managing this risk, the Insurance Manager has organised necessary training for officers. To support this the Insurance team has also created a Contract Risks toolkit and published various resources on the Council's SharePoint.

5.4 CYBER SECURITY

- 5.4.1 Cyber-crime has been a risk for as long as the internet has existed as this allowed remote access from one computer to another through an unsecured internet connection. As a result of this the failure of cyber security arrangements has become one of the top five key risks for both private and public organisations and the number one threat on the National Risk Register.
- 5.4.2 Cyber interruptions in other Local Authorities have shown that without mitigating actions in place, it can be weeks, or more likely months, before systems are fully restored severely impacting on service delivery. Not only is there the potential for a massive reputational impact and multi million pounds financial costs, it places vulnerable adults and children who rely on the council services, at significant risk.
- 5.4.3 The increasing reliance on twenty-four hours a day, seven days a week ICT provision considerably increases the impacts on service delivery when there is any interruption of ICT provision. This reliance has been compounded by the move away from office-based to home working for some functions. The move to homeworking means that cyber-attacks are more sophisticated and frequent as the “attack surface” i.e. the potential number of sites which can be attacked, has expanded to encompass remote workers in a large number of locations. There is also a risk that the increasing use of 5G mobile devices opens the door to attacks by cyber criminals who can use an unsecured device as a ‘stepping-stone’ into an organisation’s mainframe.
- 5.4.4 To manage the risks it essential that the Council continues to implement alternative methods of delivering its ICT services, to provide resilience for critical services, in the event of a significant cyber interruption. The Corporate Risk Manager has been working with the Director of Public Services, the Business Continuity group, the Lead Officer for ICT and the Digital Transformation and ICT systems officer to address the mitigation of cyber security risks.
- 5.4.5 Ongoing work includes:
- Identifying those Council services which have a critical recovery priority and need to be recovered first in the event of an ICT service interruption.
 - Establishing the specific ICT systems used by each of the critical services to create a prioritised recovery list for ICT.
 - Completing interruption recovery templates which identify how each critical service would continue to deliver its function without ICT. The information from these will be included in the priority service list in the Business Continuity Strategy and will form the basis of a Council wide service recovery plan.
 - Considering how the Council’s data and processing systems can be protected from a cyber-attack by isolating them from the ICT system in Mulcture House.
 - Developing a Cloud first policy for any newly procured third party systems.
 - Developing a programme of work to replace / migrate existing systems based upon the prioritisation contained within the Business Continuity Strategy.
 - Develop a roadmap and budget for the delivery and maintenance of our core infrastructure supporting our internally developed business critical systems.

- Establish a well maintained and current core network infrastructure in a suitable long-term location.

5.5 Business Continuity

- 5.5.1 Due to the significant changes in working practices following the Covid pandemic the Councils Business Continuity Strategy and Business recovery plans, with their strong focus on the recovery of a service into alternative office accommodation were out of date. The Strategy and plans therefore needed to reflect the current hybrid home and office base working where the loss of a building could be overcome by increased homeworking.
- 5.5.2 To manage this risk, a comprehensive review of the councils Business Continuity Strategy has been undertaken to reflect the lessons learned from the pandemic, the insight from the health check work carried out by Zurich and the increased global risk around IT. New to the Strategy is the critical priority list which manages the risks of a service interruption by identifying the order services need to be recovered in and the information technology required to deliver those priority services which require recovering.
- 5.5.3 The revised Business Continuity Strategy and the Critical Priority service recovery list was agreed at Corporate Leadership Team on the 10th May 2022.
- 5.5.4 Updated risk assessments are being completed across all service areas and additional cyber security risk assessments are being worked through to better understand the actions that will be taken in the event of a total or partial IT failure.
- 5.5.5 The Business Continuity Strategy recognises that in a critical event it may not be possible to bring services back on-line. The Business Continuity group have prioritised services to give a clear pre-determined focus to IT in the event of a critical incident.
- 5.5.6 External and internal validation of the Councils Business Continuity has informed the review of the Business Continuity Strategy and incident recovery plans and will continue to inform the business recovery arrangements for when there are service interruptions in the future.

The validation has taken the form of:-

- A review by Zurich Municipal in September 2021 of the way the Council managed the delivery of Business Continuity during the first six months of the pandemic to highlight what went well and where/if improvements could be made to the way we respond to a major service interruption.
- An internal lessons learned review by the Covid Business Continuity group looking at individual services over the first year of the pandemic.

5.6 COMMERCIALISM

- 5.6.1 The Corporate Risk Manager is working with a number of services who are exploring the possibility of working commercially. This support helps services in assessing risks at

the option appraisal and business plan stages of working up possible commercial opportunities.

- 5.6.2 The Corporate Risk Manager has also attended commercial governance and service meetings to advise on how risks are to be considered both in the context of the commercial opportunity but also to consider what positive or negative impacts this opportunity may have on other services. The Corporate Risk Manager is also working with the commercialism team to look at all services having a robust business plan by 2024.
- 5.6.3 Commercialism is one of the services in the Council considering the use of risk appetite and tolerance training as part of the risk assessment process for the viability of business plans.

5.7 DIRECTORATE AND STRATEGIC RISK REGISTERS

- 5.7.1 The continuing process of receiving individual Strategic and Directorate risks for review at Audit Committees has gained recognition as risk reporting best practice as it ensures that Members of the Audit Committee receive assurance that the actions in place to manage individual strategic risks are effective. Such an approach helps to build an understanding of the risk and control issues relating to each of the Council's Strategic Risks and the Directorate Risk Registers.
- 5.7.2 The risks of the Covid pandemic continues to reduce. Given this trend it is therefore appropriate that the Covid risk is removed from the Strategic Risk Register and any residual risks are allocated to the appropriate Directorate for inclusion on their Directorate Risk Register. The numbers of infections will continue to be closely monitored to ensure early warning of any changing trends that might impact on the Council.
- 5.7.3 The majority of the impacts of leaving the EU have now reduced to the point where the Leaving the EU risk can be removed from the Strategic Risk Register. There are risks which will continue to be a potential risk impact such as the removal of EU legislation, changes in grant schemes and the need to redraft guidance. These residual risks will be allocated to the appropriate Directorate to be included in their Directorate Risk Registers.
- 5.7.4 As part of a continuing process of bringing Directorate Risk Registers to the Audit Committee three Directorate Risk Registers have been presented to Audit Committee in 2021/22 these being Public Services, Public Health and Children and Young Peoples.

5.8 STRATEGIC RISK REGISTER

- 5.8.1 The Strategic Risk Register has been reviewed by the individual risk lead officers and the revised Strategic Risk Register is attached in Appendix B.
- 5.8.2 The Directorates of Public Health and Children and Young Peoples had joint responsibility for the Strategic Risk 002 'Failure to provide prevention / early intervention'. For clarity of responsibility the single risk has been separated into 002 the Children and Young Peoples Risk and 002A the Public Health Risk.

5.9 MAJOR PROJECTS

- 5.9.1 The Corporate Risk Manager attends the project and programme boards which are in place to monitor the council's delivery of Major Projects to provide advice and assistance in producing risk information to be supplied to board meetings

6. PROPOSED FUTURE RISK MANAGEMENT WORK FOR 2022/23

- 6.1 The Corporate Risk Manager will work with the Commercialism team to deliver training on how risk appetite can influence the creation and development of service business plans and options appraisals with the aim for all services to have a robust business plan in place by 2024. It is intended to extend the risk appetite training across the Council to all services.
- 6.2 As part of continuing to raise the profile of risk management the Corporate Risk Manager will work with Communications to promote 'Risk Management everyone's responsibility'.
- 6.3 The Corporate Risk Manager will continue to bring each Directorate Risk Register to the Audit Committee to ensure that the Committee has assurance around the controls in place. It is proposed that the Regeneration and Strategy Directorate risk register is the next risk register to be brought to the Audit Committee on the 1st August 2022.
- 6.4 The Corporate Risk Manager will continue to liaise with Directorates and Lead officers to ensure that Directorate Risk Registers and the Strategic Risk Register remain up to date
- 6.5 The information from the 2022 Governance Assurance questionnaires clearly identifies the need for a training programme to improve Business Continuity awareness across the Council. Work will be carried out with Director of Public Services and Workforce Development to put in place specific training for lead officers with responsibility for implementing business continuity within their services following a service interruption. There will also be a training programme on business continuity recovery for officers and Members. This training will be supported through e-call messages and the Councils intranet pages.
- 6.6 The results of the Aon Insurance risk management survey which the company completes every two years were published in May 2022. The survey analyses the top ten strategic risks as identified by over 2,400 respondents from the private and public sectors. The Corporate Risk Manager will review the public sector survey results for assurance that the Councils Strategic Risk Register reflects the risks identified in the survey.
- 6.7 The Corporate Risk Manager will continue to attend the Major Projects programme and project boards and work with project leads to ensure that the management of risk is considered as a key part of project delivery from inception to completion.

- 6.8 The Corporate Risk Manager will continue to deliver risk management workshops every two months as part of the People Development training programme and in addition will work with the Member Learning and Development Advisor to offer risk management training to new Members.

7. CONCLUSION

- 7.1 Risk management continues to be a key part of the Council's assurance and governance framework informing and supporting the Council's Annual Governance Statement. The Council continues to manage the changing risk environment working both within the Council and other organisations as appropriate to keep at the forefront of risk management.

197th May 2022

FOR FURTHER INFORMATION ON THIS REPORT CONTACT:

Martin Blower Email: martin.blower@calderdale.gov.uk

DOCUMENTS USED IN THE PREPARATION OF THE REPORT:

Strategic Risk Register

APPENDIX A Our Priorities		
SUSTAINABLE TOWNS <ul style="list-style-type: none"> Jobs Skills 	REDUCE INEQUALITIES <ul style="list-style-type: none"> Equality/Social Cohesion Financial Inclusion Attainment Levels Health Outcomes 	RESPOND TO THE CLIMATE EMERGENCY <ul style="list-style-type: none"> Environment Sustainability Climate change

Our Enablers		
EXCELLENCE IN PERFORMANCE	ONE COUNCIL TRANSFORMATION <ul style="list-style-type: none"> Change programmes Vision 2024 	MAJOR PROJECTS <ul style="list-style-type: none"> Northbridge Station Gateway



Challenges/Opportunities					
Transformational Change For example: <ul style="list-style-type: none"> New ways of working – delivering more with less Meeting customer needs Alternative service delivery 	Partnering and Collaboration For example: <ul style="list-style-type: none"> Public Sector Network (PSN) Leeds City Region 	Commissioning For example: <ul style="list-style-type: none"> Developing an effective market place. Flexible payment structures to reflect reduced budgets 	Information Technology For example: <ul style="list-style-type: none"> Information Security Infrastructure resilience Cloud computing Desktop availability Cyber Security Digital transformation of the way we work 	Financial & Operational For example: <ul style="list-style-type: none"> Loss of experienced staff Income generation Commercial thinking Calderdale Weave 	Compliance and Regulatory For example: <ul style="list-style-type: none"> General Data Protection Regulation (GDPR) Ofsted Key financial systems



Risk Management Arrangements					
Policies/Framework	Advice/Support	Training/Guidance	Assurance/ Reporting	Collaboration	Planned for 2022/23
<ul style="list-style-type: none"> Calderdale Risk Management Framework Calderdale Risk Management Strategy Risk Registers <ul style="list-style-type: none"> Strategic Directorate Project/Programme and Service -Partnership Risk Pro-forma Risk Assessment processes Calderdale recovery and restart Covid risk documents 	<ul style="list-style-type: none"> Provision of assistance on the identification, assessment and mitigation of risks Advice to projects and programme boards, partnerships and commercialism to advise on risks Ad-hoc advice on managing risks in the day to day delivery of services 	<ul style="list-style-type: none"> E-call messages Training programme for officers and Members Bespoke training as requested by services Developing the message 'Risk Management – everyone's responsibility Assisting in other services training i.e. the use of risk appetite in business plans 	<ul style="list-style-type: none"> Horizon scanning Consultation with other local authorities Risk workshops Membership of public sector professional organisations Project Gateway and Review Group CLT Directorates Project boards Covid BC group 	<ul style="list-style-type: none"> Association of Local Authority Risk Managers (ALARM) Work with other corporate teams across the authority such as: Health and Safety, Insurance, Commercial Procurement Unit, Information governance; Internal Audit Policy group 	<ul style="list-style-type: none"> Continued collaboration and networking internally and externally Continued development of training programme for officers and Members Working with commercialism team Reporting of Directorate registers to Audit Committee

APPENDIX B

Strategic Risk Register

Version 26

May 2022

Strategic risk register			
Risk	Description	Programme Lead	
001	Failure to provide inclusive growth and thriving towns	Director of Regeneration and Strategy	
002	Failure to deliver prevention/early intervention (Children's)	Director of Children and Young Peoples	
002A	Failure to deliver prevention/early intervention (Public Health)	Director of Public Health	
003	Failure to manage the demand for council services CLOSED	CLOSED	
003	Failure to deliver an enterprising council	Chief Finance Officer	
004	Failure to provide digital innovation	Director of Public Services	
005	Failure to deliver workforce wellbeing and equalities	Chief Executive	
006	CLOSED Failure to deliver change in the way the Council operates	CLOSED	
007	CLOSED	CLOSED	
008	Failure to provide resilience during and after an emergency	Director of Public Services	
009	Failure to deliver budgetary control and manage the reduction in resources	Chief Finance Officer	
010	Building infrastructure management/ Deterioration of the Highway Asset	Director of Regeneration and Strategy	
011	CLOSED	CLOSED	
012	Failure to manage projects effectively	Director of Regeneration and Strategy	
013	Failure to maintain information security	Legal Officer	
014	Failure to protect vulnerable people	Director of Public Services	
015	Failure to manage the risks of leaving the EU (Brexit) CLOSED	CLOSED	
016	Failure to deliver regeneration across the authority	Director of Regeneration and Strategy	
017	Failure to deliver effective interventions to tackle obesity and poor health	Director of Public Health	
018	Failure to address climate change across the authority	Director of Public Health	
019	Failure to address the impacts of the Covid 19 pandemic CLOSED	CLOSED	
020	Failure to ensure Cyber security	Director of Public Services	

Risk 001 Failure to provide inclusive growth and thriving towns					
Change programme		Programme Lead		Risk Lead Officer	
Inclusive growth and thriving towns		Director of Regeneration and Strategy		Assistant Director Economy , Housing and Investment	
Risk Score	Medium (6)	Likelihood	3	Impact	2
Trigger			Consequence		
<ul style="list-style-type: none"> ○ Decline in the local economy or a national recession. ○ Cost of living increases. ○ Resident skills do not match workforce opportunities. ○ Businesses do not support local recruitment, progression routes or fair pay. ○ Lack of investment in town centre infrastructure. ○ Changing patterns in town centre usage. ○ Lack of community engagement. ○ Lack of investment in tackling inequalities or thriving towns. ○ Competing priorities regarding plans for thriving towns. ○ Workforce skills do not match those required to deliver priorities. 			<ul style="list-style-type: none"> ○ Increased numbers of people out of work due to loss of jobs. ○ More people in poverty. ○ Significant increase in the number of people requiring income support and access to the council's support services. ○ Increased numbers of people out of work or in inappropriate / low value jobs. ○ Unable to deliver infrastructure improvements leading to deteriorating town centre environments. ○ Consumers travel to centres outside Calderdale for shopping and leisure, reducing footfall and income to local shops and businesses. ○ Reduced business rate income. ○ Disaffected/disempowered communities. ○ Decrease in civic participation ○ Declining infrastructure ○ Conflict within and between communities ○ Inability to deliver inclusive growth and town improvement activity at scale and pace. 		

Risk 001AP	Failure to provide inclusive growth and thriving towns		Date actions reviewed
Action Plan Lead Officer	Assistant Director Economy , Housing and Investment		
Mitigating actions			
<ul style="list-style-type: none">o Corporate priorities for tackling inequalities and thriving towns.o Tackling inequalities action plan, and work around fuel and food poverty, and debt.o Inclusive economy strategy, and inclusive recovery plano Creation of an Employment and Skills Framework, to support partnership working with key stakeholders and a clearer focus of deliveryo Inclusive Economy Recovery Board (to become Inclusive Economy Board)o Close working with Towns Boardso Close working with Halifax and Brighouse BIDs.o Formation of an employment and skills partnership.o Employment hub and business growth support.o Calderdale Adult Learning provision.o Inclusive growth pilot in Park and Warley and North Halifax strategic programme.o Business rate incentives.o Introduction of WY Fair Work Chartero Towns Fund, Future High Streets Fund and Heritage Action Zone across five town centres.o Investment in towns via Welcome Back Fund.o Community engagement, consultation and intelligence/tension monitoring			Reviewed May 2022

Risk 002 Failure to provide prevention / early intervention for Children and Young Peoples					
Change programme		Programme lead		Risk Lead Officer	
Starting Well – Developing Well		Director of Children and Young People's			
Risk Score	Medium (4)	Likelihood	2	Impact	2
Trigger			Consequence		
<ul style="list-style-type: none"> Failure to understand changing demographics and community needs A widening of inequalities - failure to reduce inequalities and tackle disadvantage Failure to achieve early intervention and prevention by concentrating resources on specialised delivery rather than prevention Failure to meet statutory deadlines under Public Law Outline (PLO) Thresholds are too high and cases are closed based on staff capacity rather than children's needs. Failure to address low levels of achievement by young people and lack of ambition by families Failure to safeguard young people and children Poor planning for demographic changes resulting in insufficient school places Failure to provide safe and effective learning environment (maintained schools) Children's education in turnaround schools may be disadvantaged by the exam assessments based on previous year's work Inability to meet new statutory duties for SEND reforms Failure to recruit and/or retain sufficient staff for effective service delivery 			<ul style="list-style-type: none"> Deprivation and health inequality Gap in health, educational attainment and affluence between communities Increase in the number of children who live, or are born in, poverty The impact of not providing sufficient school places would damage the reputation of the Council and be a statutory breach of duty Children and young adults affected by the impacts of the Covid pandemic on their education may struggle to achieve employment as they leave the education system Impact on employment rates Budget issues and need for realignment Safeguarding issues - increase in the number of children at risk of harm Failure to meet the quality standards required to achieve an overall judgement of Good from Ofsted Poor performance, reputation loss and potentially government intervention Legal challenge Establishment of an external body/imposed consultancy to remove Children's Social Care from the Councils control 		

Risk 002 Failure to provide prevention / early intervention for Children and Young Peoples - Action Plan	Date Reviewed
Mitigating actions	
<ul style="list-style-type: none"> ○ Corporate Planning framework and Corporate Priorities ○ Budget and Medium Term Financial Strategy ○ Children and Young Peoples Strategic Planning Framework – self evaluation, regional and Ofsted challenge and inspection ○ Continued external reviews, including Diagnostics and Peer Reviews to demonstrate assurance of good progress and safe practice ○ Improvement Plan: updated monthly in relation to youth justice and care leavers ○ Children’s Early Intervention Strategy and early help hub, panels and action team funded jointly with West Yorkshire Police ○ Starting Well & Developing Well partnership work reporting to Health & Well Being Board ○ Multiagency Safeguarding HUB, Multi agency approach to child protection work ○ Staff retention schemes: new and improved retention schemes, resulting in less agency workers, less cost to Council and better stability for service delivery ○ Ensure that the current staffing levels and strategic framework are maintained ensuring the right children receive the right intervention at the right time. ○ Provision of maintained schools and annual review of school places ○ Self-Improving school system ○ Covid Recovery Plans in place at all early years, schools and college ○ Governor Training 	Reviewed April 2022

Risk 002 A Failure to provide prevention / early intervention Public Health					
Change programme		Programme lead		Risk Lead Officer	
Active Borough		Director of Public Health			
Risk Score	Medium (4)	Likelihood	2	Impact	2
Trigger			Consequence		
<ul style="list-style-type: none"> ○ Insufficient staff within Public Health Team to successfully deliver re-procurement plans. Operating in new environment. Re-procurement of this scale not before undertaken. Contract content and/or contract management arrangements are insufficient - Public Health fails in its role. ○ Access to interventions for Young People (NEETs) in the Town Centre prevented due to closure of Information Shop. ○ Failure to achieve targets in <ul style="list-style-type: none"> • Smoking cessation • Reducing uptake by new smokers • Reducing underage cigarette sales and prevent illegal sales • Health Checks (Organisational Risk) NHS Health check • Breast feeding • Childhood obesity for reception and year 6 children • Prevalence of adult obesity ○ Health improvement service continuity from the 1st April 2015 Complaints from service users and stakeholders regarding changed service provision. Reduced public health outcomes. ○ Overtrade on Sexual Health Service Element of CHFT Contract. Growth in demand, inherited contracts and service redesign could lead to contract overtrade ○ Potential legal challenge to a sexual health service procurement in the region involving potential bidders ○ Contract content and/or contract management arrangements are insufficient - Public Health fails in its role. 			<ul style="list-style-type: none"> ○ Failure to deliver financial savings providing additional budget pressures. ○ Failure to release finance for other preventative public health activity having the potential for adverse public health outcomes. ○ Re-procured services are not fit for purpose or the best available. Potential failure for contracts to deliver with adverse impacts on service users. Reputational risk to the Council as a commissioner of services ○ Drop in C-Card activity, Chlamydia screen tests, and stop smoking interventions. ○ Hard to reach group fail to access public health interventions ○ Continued consequences of smoking. ○ Reputational risk to the council due to failure to delivery mandatory requirement. Benefits of health check programme are not achieved (adverse service users outcomes). ○ Reputational risk to the Council in respect of commissioning responsibility. ○ Deterioration of the overall health of the population and increased health inequalities. Increased local social and health costs. ○ Health gains are not achieved ○ Increased prevalence of childhood obesity leading to an increased risk of ill health long-term (diabetes, cancer, heart and liver disease etc. ○ Increased prevalence of adult obesity leading to an increased risk of ill health long-term (diabetes, cancer, heart and liver disease etc.) ○ A potential challenge to procurement of the integrated sexual health service in Calderdale. ○ Potential failure for contracts to deliver with adverse impacts on service users. Reputational risk to the Council as a commissioner of services ○ Increased pressure on Public Health ○ Deprivation and health inequality, Homelessness and potential destitution 		

Risk 002 A	Failure to provide prevention / early intervention - Public Health Action Plan	Date Reviewed
<p style="text-align: center;">Mitigating actions</p> <ul style="list-style-type: none"> ○ Reducing number of individual contracts. Clarity regarding management and monitoring of contracts is currently being undertaken. Work is being prioritised. Work is underway to address staffing shortfall with additional recruitment planned. ○ Youth works and Orange Box were identified as alternative venue from Information Shop. Data is reported ○ Tobacco control alliance being established. Tobacco control strategy and action plan created. Specialist and Level 2 Stop Smoking Services currently commissioned. Enforcement activity regarding illegal and underage sales. ○ Commissioning of an effective programme to deliver Health Checks to the eligible people. Received and monitored data is used to improve the quality of the programme. ○ Local stop smoking service contract. Better Living Service now established (from 1st April 2015) providing lifestyle services, exercise referral, cardiac rehabilitation, MECC, stroke re-enablement, Sexual and oral health SWYPFT contract variations not yet agreed. ○ Breastfeeding recording process in place within Provider. ○ Breast feeding strategy agreed. Breastfeeding peer education support programme and CHFT breastfeeding UNICEF BFI and support being delivered. ○ Commissioned programmes. Health and Wellbeing Board ○ Public Health Improvement Plan ○ Welfare Reform Partnership 		Reviewed April 2022

Risk 003 Failure to deliver an enterprising council					
Change programme		Programme lead		Risk Lead Officer	
Commercialism		Chief Finance Officer		Account Manager Services for Schools	
Risk Score	Medium (6)	Likelihood	2	Impact	3
Trigger			Consequence		
<ul style="list-style-type: none"> o Lack of awareness/understanding of the relevance of commercialisation to local government o Failure to consider integrating demand management into service development o Resistance to the cultural change required o Insufficient skilled and dedicated resource to drive the process o Shortage of knowledge, skills and experience within the organisation to develop commercialism o Staff undertake activities based on commercialism without understanding the boundaries to what they can undertake and the risks involved or fail to take commercial opportunities o Services provided cost more than potential cost recovery o Services are not fit for purpose when trying to develop commercial activity o Failure to manage commercial activity across the organisation o Lack of motivation/incentives for commercial activity undertaken o No agreement as to whether 'profits' from commercial enterprise will be reinvested or returned to the council to support other service delivery o Failure to take the opportunity of bringing in a commercial approach to the councils services through transformation as part of the restart process following lockdown. o Insufficient budget to implement recovery commercial transformation into the restart programmes. o Pressure to reintroduce services rapidly allows insufficient time to produce commercial thinking business plans 			<ul style="list-style-type: none"> o Failure of the Council to be self-financing and sustainable . o Staff do not consider whether there is the opportunity to think commercially, apply commercial principles/practice to their service or consider alternative methods of delivery so opportunities to improve service delivery are lost o The council has inconsistent awareness and application of commercial principles with some services using them effectively and others using them ineffectively or not at all. o The council fails to thrive leading to a reduction in the successes such as MJ Local Government Achievement Awards and failing to deliver Vision 2024. o Income opportunities based on commercial ideas are not considered, addressed, achieved or delivered leading to a loss of potential income or service improvement o Investment is made in commercial activity which is not repaid o Reputational damage to the council from delivering services which are not fit for purpose o Commercialism awareness becomes low priority o Senior management believe that commercialism is better embedded than it really is. o The council's commercial enterprise retaining its income allows the company to grow at the expense of maintaining service delivery. o Failure to use a commercial approach leads to missed opportunities to transform services 		

Risk 003AP	Failure to deliver an enterprising council		Date reviewed
Action Plan Lead Officer		Account Manager Services for Schools	
Mitigating actions			
<ul style="list-style-type: none">○ Re-launch the commercialisation programme under the title of the enterprising council to highlight the importance of value for money as well as income generation○ Aim to make being more enterprising part of business as usual rather than a stand-alone programme○ Offer refresher training to those staff who need it and commercial thinking training to new starters○ Introduce other forms of training linked to being more enterprising e.g. sales and marketing○ Raise profile of commercial champions and ensure champions are engaged○ Ensure that all staff are engaged in commercialism and increase awareness that commercial thinking is all staffs responsibility○ CLT to reiterate the need for commercial thinking as a positive action cascaded out through DLT/ELT and service meetings to reinforce the existing message.○ Promote success stories where commercialism has been used to improve outcomes and reduce resources required to deliver services○ Maintaining governance arrangements over commercial activity through the commercial governance group or other appropriate structures○ Costing of service provision prior to commencement and ensuring that services are fit for purpose before they are marketed○ Provide support to services to develop their business plans and commercial ideas○ Investigation of alternative income streams by tracking what other local authorities are engaging in, encouraging new ideas and horizon scanning○ Liaison with existing and potential new customers○ Set out principles for the use of commercial profit so that there is cross council understanding of whether income comes back to the council or is retained by the company/service○ Regular reporting of income in relation to targets to CLT so that timely mitigating actions can be taken i.e. reduce spend in line with income reduction and reviews of existing and potential new fees and charges○ Link the commercial strategy to the economic growth strategy incorporating social value○ Examining and developing alternative delivery mechanisms where appropriate to the solution required e.g. the local development company for housing purposes○ Researching and undertaking due diligence on alternative investment strategies including property investment○ Build commercialism into the councils services restart process allowing time to consider opportunities before the service is restarted○ Reinforce the opportunities for positive risk taking to deliver improved services.○ Introduce as part of commercial training how risk appetite is a key part of producing an effective business plan.			Reviewed April 2022

Risk 004 Failure to provide digital innovation					
Change programme		Programme Lead		Risk Lead Officer	
Digital Innovation		Director of Public Services		Corporate Lead for Digital Transformation	
Risk score	Medium (6)	Likelihood	2	Impact	3
Trigger			Consequence		
<ul style="list-style-type: none"> Channel shifts not happening, Lack of investment in technology, Failure to identify and resolve resistance by staff and customers Diminishing resources prevent delivery of corporate priorities Poor digital infrastructure prevents IT based businesses functioning adequately Poor digital infrastructure prevents the move to increased homeworking continuing once the pandemic is passed Insufficient digital innovation prevents the council recovering effectively from the Covid pandemic Cost of digital innovation required to recover from COVID exceeds available budget and resources 			<ul style="list-style-type: none"> Inaccurate and unreliable management information and data collection systems Reliance on collecting basic data manually Equipment failure and loss of data leads to a failure to deliver services Customer criticism Reputation Financial Impact and failure to deliver budget savings Compensation claims Inadequate pace of modernisation Excessive workloads leading to high staff turnover, low staff morale and increased sickness Stakeholder concerns due to negative perceptions leading to investment in other authorities Inability to deliver projects and programmes Poor digital infrastructure prevents IT based businesses functioning adequately Existing businesses relocating outside Unable to deliver service transformation Inability to deliver digital transformation holds back the councils recovery 		

Risk 004AP	Failure to provide digital innovation		Date reviewed
Action Plan Lead Officer	Corporate Lead for Digital Transformation		
Mitigating actions			Under Review
<ul style="list-style-type: none">o <u>Lack of investment in technology.</u> Corporate ICT and Business & Systems continue to support the Council's existing estate including physical hardware (e.g. laptops and VDI), mobile devices, printers (via a third party managed print service provider – Konica) as well as our in-house Oracle-based systems, which will continue to be developed and enhanced to remain fit for purpose for future council requirements. Key decisions regarding known digital infrastructure/ICT investment are being managed/scoped in line with council procurement and other legal/regulatory compliance to planned deadlines e.g.<ul style="list-style-type: none">• Windows 7 migration currently in progress• Virtual Desktops and Windows Server 2008 migration currently in progress• Upgrade of our IP telephony system is currently in progress• upgrade of Office Productivity suite in the next 12 months (a significant outlay / investment to keep pace with latest versions)• Third party systems, including implementation support of new systems procured by the business (e.g. Technology Forge, Highways) will continue to be supported by Business Partnering / User Support functions• Upgrade our in-house systems Oracle hardware infrastructure by 2021.• Expiry of the existing wide area network (WAN) contract with KCOM in 2021.			
<ul style="list-style-type: none">o <u>Diminishing resources prevent delivery of corporate priorities -</u> The council has recently refined its vision and focus around 3 key priority areas. Directorates will be supported by the corporate performance band business intelligence team to enable the resources within services to have sufficient capacity to align and measure their work to these priorities in a more effective and self-service model. Wider control and oversight of corporate resources to meet council priorities and service needs, including digital aspirations, will continue to be managed by the Vacancy Resource Group, via its membership of senior leadership of the council.			
<ul style="list-style-type: none">o <u>Poor digital infrastructure prevents IT based businesses functioning adequately-</u> The following systems and infrastructure are being updated to keep the digital infrastructure fit for purpose<ul style="list-style-type: none">• Windows 7 migration Windows 10; this ensure the devices our staff use are up to date and run supported software to reduce our risk to cyber threats• Upgrade and expansion of our virtual desktop infrastructure; this supports smarter and more flexible ways of working• Upgrade of our IP telephony system; this ensures our telephone system remains fit for purpose and is resilient and reliable.• We are replacing our existing on premises email system and office productivity suite with the latest Cloud based Office 365 product. This product is more flexible and has additional features to enable and support collaborative working.• Upgrade of our server operating systems and server virtualisation platform; this ensures the infrastructure is up to date and more resilient to cyber threats.• Upgrade of the Oracle server infrastructure that underpins our in-house developed key line of business systems (Financials, Revenues and Benefits, Child and Adult Social care)			

Risk 005 Failure to deliver workforce wellbeing and equalities					
Change programme		Programme Lead		Risk Lead Officer	
Workforce health		Chief Executive		Head of HR	
Risk score	Medium (4)	Likelihood	2	Impact	2
Trigger			Consequence		
<ul style="list-style-type: none"> ○ Lack of buy in from service managers into the Wellbeing Strategy and Charter ○ People Development and Wellbeing Strategy fails to deliver improved attendance and reduced sickness ○ For a variety of reasons staff who are unwell do not advise their managers leading to worsening health and sudden long-term sickness ○ Failure to implement improved working conditions either across a service or for individuals who are showing symptoms of poor health. ○ Poor attendance at training events due to staff not considering that the training is for them or unable to get permission from line managers ○ Failure to protect employees with medical conditions such as asthma or Chronic Obstructive Pulmonary Disease (COPD) from respiratory sensitisers when in the workplace. ○ Failure to properly protect employees working with respiratory irritants ○ Failure to eliminate discrimination, harassment or victimisation with regard to a person's age, disability, gender, race, religion or belief, sexual orientation and during pregnancy and maternity. ○ Increased workload and demand on staff due to impact of austerity or other service pressures ○ Increased incidence and complexity of issues unrelated to work ○ Significant increase in the numbers of staff working from home with the consequential impacts of working in isolation rather than with colleagues in an office environment ○ Government advice that staff should return to office working conflicts with the council's guidance. ○ Staff potentially struggling to work from home but for their own reasons are unwilling to trigger the appropriate resolution processes 			<ul style="list-style-type: none"> ○ Workforce health continues to be an issue for the council with short term and long term absences disrupting effective service delivery. ○ Failure to deliver change programme performance measures ○ Covering for long term sickness relies on the use of agency staff (budgetary implications) or using other members of the team to cover some or all of their colleagues work which can lead to those staff becoming ill. ○ Increase in both short and long-term health issues due to staff feeling they are not being offered the same opportunities as other members of staff. ○ Disaffected staff who consider that they are not valued develop a negative attitude towards the council ○ Possible increase in the risk of poor health and wellbeing for staff who are working from home becoming stressed and finding it difficult to function effectively in a homeworking environment. ○ Impact on delivering the councils priorities and vision 2024 		

Risk 005AP	Failure to deliver workforce wellbeing and equalities		Date reviewed
Action Plan Lead Officer	Head of HR		
Mitigating actions			
<ul style="list-style-type: none">○ Communication programme to advise staff that if they consider that their work is making them unwell to seek help○ Ensure staff are aware of the contact system for staff who need to report an illness but are unable to discuss with their manager○ Wellbeing events available / offered to all staff○ Work force wellbeing and equalities is one of the councils transformation programmes○ Line managers have had frequent training or undertaken refresher training in people skills and how to understand people and this is recorded as part of the managers training records○ Wellbeing Board○ Corporate Equalities working group○ Awareness raising through Wellbeing Wednesdays and ecalls○ Consultation with staff○ Ensure that all staff receive regular shared conversations with a focus on their wellbeing○ As part of hybrid working encourage the continued use of Zoom and Microsoft Teams for team meetings to enable homeworking colleagues to interact visually.			Reviewed April 2022

Risk 008 Failure to provide resilience during and after a major incident					
Change programme		Programme Lead		Risk Lead Officer	
		Director of Public Services		Community Safety Partnership/ Corporate Risk Manager	
Risk Score	Medium (6)	Likelihood	2	Impact	3
Trigger			Consequence		
<p>Major incident causing significant disruption to Council services due to:-</p> <ul style="list-style-type: none"> ○ loss of a key building or buildings, ○ ICT network outage ○ Cyber attack ○ Terrorism ○ Storm force winds ○ Severe and prolonged periods of cold weather and heavy snowfall ○ Heavy rainfall or snow melt leading to severe flooding of low lying areas ○ Insufficient budget to purchase road salt or deliver the winter maintenance programme ○ Insufficient volunteers and council staff to be able to effectively recover from a major incident 			<ul style="list-style-type: none"> ○ Damage to key infrastructure. ○ Adverse economic impacts, health and wellbeing impacts and environmental impacts. ○ Failure to deliver some or all of the councils services or deliver our statutory duties to stakeholders. ○ Increased claims on the Council for damage and injury to staff and the public ○ Loss of transport links ○ Loss of communication links ○ Disruption to business ○ Businesses relocate outside Calderdale ○ Increase in the number of houses and businesses unable to get property insurance ○ Property values reduced due to flooding blight ○ Council fails to respond appropriately leading to injury of staff or the public, loss of life, homelessness, and disruption to services. 		

Risk 008AP Failure to provide resilience during and after a major incident		Date reviewed
Action Plan Lead Officer	Community Safety Partnership/ Corporate Risk Manager	
Mitigating actions		Reviewed January 2022
<ul style="list-style-type: none">○ Partnership working with Emergency Services and other partners through the West Yorkshire Resilience Forum○ Internal Emergency Planning Liaison Group for key services to review emergency preparedness arrangements○ Internal Corporate Business Continuity Management Group to oversee business continuity arrangements within the Council○ Assessment of risk of different types of emergencies occurring with appropriate specific response plans in place where applicable○ General emergency response and capability arrangements○ Training and exercising of staff and emergency / business continuity arrangements in place to ensure fit for purpose / continuous development○ Debriefing and incident review after significant incidents in order to learn lessons○ Working with communities to enhance individual and community resilience to emergencies○ Council service specific arrangements e.g. winter maintenance plan○ On call staff for key services and Corporate Leadership Team for out of hours issue○ Corporate Emergency incident plan in place and tested○ Specific Emergency Plans and Arrangements in place and tested○ Business impact analysis ongoing○ Salt stocks maintained at a more than adequate level for the duration of the winter period○ Insurance Policies○ Monitor weather warnings○ Implementation of Highways Emergency Procedures○ Calderdale Flood Recovery Programme partnership and flood alleviation programme○ Condition surveys○ Winter Maintenance Programme○ Business recovery plans in place for dealing with severe weather○ Maintain up to date Highways Emergency Procedure Manual Contribute to the update of the Emergency Incident Plan		

Risk 009 Failure to deliver budgetary control and manage the reduction in resources					
Change programme		Programme lead		Risk Lead Officer	
		Chief Finance Officer		Corporate Finance Manager	
Risk score	MEDIUM (6)	likelihood	2	Impact	3
Trigger			Consequence		
<ul style="list-style-type: none"> Changes in government funding leading to shortfall Budget decisions Budget management Reduction in income particularly due to Covid Increase in statutory services costs – heating lighting etc. Inability to recruit and retain key staff. Uncontrollable spend such as resourcing for an Emergency such as the Covid pandemic or government legislation e.g. Leaving the EU Demand pressures Public expectations on service delivery Price and inflationary increases New service responsibilities Failure to deliver savings. Requirement to continue to manage and deliver services during a pandemic leaves the council with a significant budget shortfall Government funding is insufficient to cover the councils costs of Covid 19 Loss of businesses significantly affects business rates income Businesses in a poor financial ask for a continued business rates holiday to enable the business to recover Fraudulent claims or an error with issuing grants On-going impact of Covid upon Council income from fees and charges, business rates and council tax. 			<ul style="list-style-type: none"> Failure to achieve budget resulting in overspend Failure to achieve a balanced budget results in carryover of overspend into following years budget exacerbating the problem Failure to deliver services to budget Low staff morale Unable to deliver services, projects and programmes leading to impacts on vulnerable people Insufficient budget to run services at anticipated post covid levels leading to reductions in service delivery, redundancies and increased risk to the vulnerable people of Calderdale and financial intervention 		

Risk	009AP	Failure to deliver budgetary control and manage the reduction in resources	Date reviewed
Action Plan Lead Officer		Corporate Finance Manager	
Mitigating actions			
<div>Monthly budget monitoring</div> <div>Restriction of budget holders in terms of number and financial limits</div> <div>Service plans</div> <div>Budgetary training and control</div> <div>Improved effectiveness and efficiencies of services through transformation</div> <div>Recruitment and retention policies and strategies</div> <div>Review of future budget holder responsibilities</div> <div>Fundamental review of services and budget allocation</div> <div>Base budget review</div> <div>Head of Service approval for >£100 spend</div> <div>Regular monitoring meetings with Heads of Service</div> <div>Increased use of commercialism</div> <div>Use of reserves and balances</div> <div>Identification of compensatory savings</div> <div>Apply with other Local Authorities to the Department for Levelling Up, Housing and Communities for additional resources</div>			Under Review

Risk 010 Building infrastructure management/ Deterioration of the Highway Asset					
Change programme		Programme lead		Risk Lead Officer	
		Director of Regeneration and Strategy		Corporate Lead for Corporate Assets Assistant Director Strategic Infrastructure	
Risk score	MEDIUM (6)	Likelihood	2	Impact	3
Trigger			Consequence		
Building infrastructure <ul style="list-style-type: none"> Failure of building infrastructure due to essential repairs and maintenance not being carried out through a lack of funding. Inadequate leasing arrangements leaving the responsibility for building repair and maintenance with the Council. Lack of decision and /or funding for the demolition, sale, or restoration of an unused building leads to the structure becoming unsound. Loss of building due to malicious fire setting or through changes in the fire service structure Insufficient capital funding available. No market for surplus property Property requires more funding to make saleable than property is worth Transfer to community group requiring immediate building improvements takes funding from existing building programme Protracted timescales for releasing a property requires unbudgeted building maintenance and management costs Property removed from sale due to external or internal pressures. Building restart not viable due to deterioration during lockdown or no longer required Highways <ul style="list-style-type: none"> Essential and safety critical inspection and maintenance of the highway asset not being carried out owing to reduced revenue and capital funding and reduced staffing levels, resulting in failure of an asset. Increase in the backlog of work resulting in the condition of the asset deteriorating potentially leading to a failure of life-expired assets and retaining walls. Poor resilience; loss of staff, knowledge and expertise; no succession planning Significant revenue savings targets resulting in reduced spend on repairs and maintenance. 			Building infrastructure <ul style="list-style-type: none"> Complete or partial collapse/loss of a building leading to injury or even loss of life to members of the public and/or CMBC staff and loss workplace including loss of equipment, furniture, assets. Loss of community provision. Increased insurance claims (number and value). Political and reputational damage, adverse publicity. Delays in agreeing and delivering the overall strategy of rationalising the estate, creating uncertainty, restricting the ability to take a longer term view and therefore limiting investment opportunities further. Highways <ul style="list-style-type: none"> Failure of the highway asset, e.g. Retaining wall collapse, street lighting column collapse, major deterioration of the roads. Damage to surrounding areas. Impact on the network – closure or restriction of a road with impact on the economy and traffic congestion Impact on economic growth – the highway infrastructure is a critical element in businesses and people moving to an area. 		

Risk 010AP		Building infrastructure management / Deterioration of the Highway Asset		Date reviewed
Action Plan Lead Officer	Corporate Lead for Corporate Assets Assistant Director Strategic Infrastructure			
Mitigating actions				Reviewed April 2022
<ul style="list-style-type: none">○ Improved dialogue with services to understand current / anticipate future service requirements in respect of property.○ Capital bids for budgets to maintain, repair and renovate buildings.○ Programme of increased Health and Safety Assurance work developed for schools and corporate buildings○ Additional funding for critical structural repairs○ Disposal of surplus buildings○ Reduction in the councils building portfolio through disposal programmes○ Member support for decisions relating to building assets.○ Close monitoring of the changes to the fire service provision in Calderdale				

Risk 012 Failure to manage projects effectively

Change programme		Programme Lead		Risk Lead Officer	
		Director of Regeneration and Strategy		Corporate Lead for Major Projects	
Risk Score	Medium (6)	Likelihood	2	Impact	3
Trigger			Consequence		
<ul style="list-style-type: none">○ Increasing number of projects and insufficient resources to deliver those projects leads to project failure and inability to continue to deliver existing council services effectively and efficiently.○ Projects budgets affected by inflationary pressure due to long project development lead time (external funding).○ Lack of leadership positions leads to stretched/high level supervision.○ Lack of coordination between overlapping projects○ Unclear / unrealistic expectations and deadlines and unrealistic development time.○ Lack of revenue funding restrains pipeline development and project management operations management. Also results in limited available training.○ External funding requirements require multiple project management methodologies.○ Lack of ICT infrastructure and systems.○ Forms of contract that allow cost escalation○ Litigious claims focussed contractors.○ The impacts of Covid 19 continue to cause timescale slippage particularly to the supply of imported materials and cost increases due to having to find alternative suppliers			<ul style="list-style-type: none">○ Failure to deliver project outcomes on time and to budget○ Major project overruns leading to significant costs and loss of reputation.○ Increased project costs lead to budget reductions for other services○ Insufficient staff to complete projects and deliver current service leads to service failure or project delay○ Inadequate existing service delivery○ Project cost and programme overruns○ Potential H&S implications.		

Risk 012AP	Failure to manage projects effectively		Date reviewed
Action Plan Lead Officer	Corporate Lead for Major Projects		
Mitigating actions			
<ul style="list-style-type: none">○ Capacity - The council is creating an internal training scheme to develop its own project managers. Review levels of support required in other disciplines such as legal, conveyancing and land registration and use project capital to purchase additional support○ Ensure honest and clear reporting of the potential costs and risks to ensure that projects are effectively and adequately resourced so that project outcomes can be fully delivered○ Ensure skilled major projects lead in place, ensure there are fully trained project and programme leads who can demonstrate effective ownership and management of the project process at project/ programme board and Senior Officer level.○ Continuous monitoring, assessment and review of project and programme delivery plan progress○ Regular and effective project reviews and reporting of projects and issues surrounding those projects to project boards and Project Overview Group○ Additional governance arrangements under development where there are multiple projects in a programme area i.e. South East Calderdale Project Team, HTCOS, WY+TF etc.○ Clarity on risks is key as part of pre start report and scrutiny process including saying no where there are unrealistic expectations○ Adopted OGC P3M approach as the standard for project leads on major projects and ideally other projects leads within the council. New project methodology is being produced to become the council standard for all projects.○ JCT contracts are being replaced by NEC4 contract documentation where appropriate. Contract Management training has been provided to Project Managers. Prevent officers making localised amendments to the contract documentation unless unavoidable.○ Consider how using the appropriate guidance and procurement law, the introduction of strategic alliance sourcing/similar to build up longer term relationships with quality contractors who are committed to the borough. Revisit contract documentation following lessons learnt to remove any confusion in the contract documentation			Reviewed May 2022

Risk 013 Failure to maintain information security

Change programme		Programme Lead		Risk Lead Officers	
		Legal Officer			
Risk Score	Medium(6)	Likelihood	2	Impact	3
Trigger			Consequence		
<ul style="list-style-type: none"> Information has been stolen, lost, altered without authorisation, misused or cannot be accessed or data integrity has been compromised. Accidental or deliberate release of information to unauthorised persons by any means e.g. phone conversation, paper documents and electronic means. Loss or theft of mobile computing devices e.g. laptop, personal data assistant. Loss or theft of unencrypted storage media e.g. paper, CD, USB stick and disks. Accidental or deliberate damage to Council networks/systems e.g. virus infection, denial of service attack, environmental hazard. Unauthorised access to networks/systems e.g. hacking, malicious code infection. Accidental or deliberate deletion or destruction of records Deliberate deletion or destruction of records by ransomware Systems at end of life have vulnerabilities in their operating systems Insider threat – disgruntled employees attacking the council Poor “hygiene” of data e.g. failure to maintain or incorrect retention schedules? Malicious cyber- attack (external system hacking to cause disruption or for financial gain)) Incorrect accesses granted to the wrong staff leading to a data flow to the wrong people Inappropriate sharing of log in details Escalation of privileges? Failure to implement information security policies Increased use of Artificial intelligence can lead to information distortion attacks Insufficient funding leads to out of date security software Insufficient training of staff on Information governance and security leads to an information breach. Working at home in isolation increases the likelihood of staff failing to notice a phishing email or system hack Working from home for extended periods may increase the need for sensitive files to be kept at homes 			<ul style="list-style-type: none"> Inappropriate service delivered. Litigation. Loss of service. Breach of confidentiality Financial loss. Loss of user confidence and damage to Council's reputation Failure to meet legislative obligations Decision Notice issued to the Council by the Information Commissioner County Court judgement against the Council for breach of Data Protection Act. Damages awarded as a result of individuals or organisations suing the Council Fines for failing to prevent the data breach Successfully hacking the councils systems either through a phishing email or direct attack will cause significant disruption to the delivery of council services for weeks and potentially have a massive financial cost to the council. Implement policy for ensuring the security of any personal data which may be taken home and reinforce through e-call Potential ICO fine or penalty 		

Risk 013AP	Failure to maintain information security		Date reviewed
Action Plan Lead Officer			
Mitigating actions			
<ul style="list-style-type: none">○ Patching regime to manage system vulnerabilities in 3rd party software○ Anti-virus measures○ Ransomware protection systems○ Filtering of Internet & Email activity○ Encryption of mobile devices○ Mobile Device Management software○ Usage policies e.g. Policy on Internet and E-Mail Usage, ICT Code of Practice, IG Code of Practice, Mobile Device Usage & Security Policy○ Guidance on legislation e.g. Data Protection, Freedom of Information Acts.○ Protocols for the release of documents from store○ Backup procedures, Disaster recovery plans, Equipment Inventory Retention schedules○ Risk Management procedures○ Protective Monitoring policy for monitoring & intrusion detection –○ Logging and Monitoring tools.○ Code of Conduct for Council Employees (Disclosure of Information 2.2 – 2.6)○ Implemented Information Security Management System (ISMS)○ Increase information to staff on how to identify a phishing attack and manage information security			Reviewed April 2022
○			

Risk 014 Failure to protect vulnerable people					
Change programme		Programme Lead		Risk Lead Officer	
		Director of Public services			
Risk Score	Medium (6)	Likelihood	2	Impact	3
Trigger			Consequence		
Increasing energy costs Increasing food costs Reductions/ closure of services for the elderly and vulnerable Withdrawal of benefit(s) /Welfare Reform Deprivation and health inequality Increased care costs Not identifying people at risk Failure to prevent exploitation of migrant workers Failure to enforce legislation for people with disabilities Failure to help prevent hate crime and repeat victimisation Failure to provide safeguarding Closure of help lines and local drop in centres Failure to prevent bullying in schools Failure to implement vetting and barring scheme Failure to understand community needs and align service delivery to them Failure of commissioned services. The impacts of Covid 19 and the Ukranian war has increased the number of people who can be identified as vulnerable particularly through job loss or migration and this escalates the issue of existing vulnerable people being unable to access essential services such as health care and foodbanks			Exploitation of vulnerable people Fear of crime Homelessness Living or being born into poverty Major injury at work if employed in the grey economy Increased health care costs due to unhealthy living Failure to obtain education. Significant increase in the number of vulnerable people using the councils services puts additional pressure on those services. Risk of the most vulnerable disappearing off the radar		

Risk 014AP	Failure to protect vulnerable people		Date reviewed
Action Plan Lead Officer			
Mitigating actions			
<ul style="list-style-type: none">○ Business and Economy Strategy○ Public Health Improvement Plan○ Active Travel○ Welfare Reform Partnership○ Children’s Strategic Planning Framework○ Community Safety Partnership○ Children’s Early Intervention Strategy○ Self -Improving school system			Reviewed March 2022

Risk 016 Failure to deliver regeneration across the authority

Change programme		Programme Lead		Risk Lead Officer	
Vision 2024		Director of Regeneration and Strategy		Assistant Director Economy , Housing and Investment	
Risk Score	Medium	Likelihood	2	Impact	3
Trigger			Consequence		
<ul style="list-style-type: none"> ○ Failure to engage with or understand diverse and changing communities. ○ Loss of a major employer. ○ Failure of town centres to adapt to changing patterns of demand post pandemic. ○ Failure to build sufficient new homes to meet potential demand whether these are new build or conversions of existing buildings ○ Poor or patchy availability of digital technology ○ Failure to deliver improved road and rail transport links. ○ Perceived unfair resource and service distribution ○ Workforce skills do not match those required to deliver priorities ○ Increasing construction and energy costs / supply chain restrictions 			<ul style="list-style-type: none"> Failure to deliver cohesive and resilient communities Failure to address and manage crime and disorder Reduction in numbers of people employed, or reductions in income. People move away to find work. Reduced footfall and town centre vibrancy Vacant office space Reduced business rates Insufficient housing to meet housing demand results in migration away from the towns or completely out of the authority, impact on house prices and disruption of families and communities. Increased journey times. Increased emissions. Conflict between and within communities Missed funding opportunities and greater pressures on council resources Delays to delivery 		

Risk 016AP	Failure to deliver regeneration across the authority		Date reviewed
Action Plan Lead Officer	Assistant Director Economy , Housing and Investment		
Mitigating actions			
<ul style="list-style-type: none">○ Inclusive Economy Strategy and Inclusive Recovery Plan○ Visitor Economy Strategy○ Housing Strategy and Housing Delivery Test action plan○ Local Plan close to adoption○ Increased business engagement capacity via Place Development Team○ Collaboration with Halifax and Brighouse BIDs○ Covid business grants and rate relief○ Business start up and growth support programmes○ Town centre public realm improvements via Towns Fund, Future High Street Fund and Heritage Action Zone○ Towns Boards○ Collaboration with Together Housing and delivery mechanisms including Registered Provider and private sector partnerships○ Infrastructure investment via WYCA – CRSTS / Corridor Improvement Programme○ Development of Spatial Priority Areas to focus investment from West Yorkshire Combined Authority○ Career grade roles, internal development programmes.			Reviewed May 2022

Risk 017 Failure to facilitate a physical activity programme across the authority					
Change programme		Programme Lead		Risk Lead Officer	
Vision 2024		Director of Public Health		Director of Public Health	
Risk Score	MEDIUM (4)	Likelihood	2	Impact	2
Trigger			Consequence		
<ul style="list-style-type: none"> ○ Reduced support and sponsorship for physical activity by local businesses ○ Insufficient staff within Public Health Team to deliver physical fitness interventions ○ Failure to achieve targets in - <ul style="list-style-type: none"> ➤ Giving up smoking, ➤ Health Checks (Organisational Risk) NHS Health check, ➤ Childhood obesity for reception and year 6 children ➤ Adult obesity ○ Failure to deliver early intervention and prevention in Public Health target areas ○ Failure to reduce inequalities and tackle disadvantage in access to physical activities ○ Failure to identify vulnerable people who are at risk from not undertaking physical activities. ○ Covid 19 increases the number of people at risk particularly those who have become vulnerable through the impacts of the pandemic but are not picked up as they have not requested assistance from the council 			<p>Increased pressure on health and social care services</p> <p>Increased health 'costs' for people who require to be cared due to avoidable ill health</p> <p>Challenges sustainability of health and social care system</p> <p>Lower productivity due to poor health across the economy</p> <p>Continued increase in pressure on the councils resources</p>		

Risk 017AP	Failure to facilitate a physical activity programme across the authority		Date reviewed
Action Plan Lead Officer		Director of Public Health	
Mitigating actions			
<ul style="list-style-type: none">Physical activity strategy in place across organisationExecutive leadership of physical activity programmeAnnual Community level monitoring of Physical activity in place with Sport EnglandCalderdale one of 12 pathfinders across the country for reducing levels of inactivityDedicated governance and delivery structures in place to deliver physical activity actions and policy			Reviews March 2022

Risk 018 Failure to address climate change across the authority					
Change programme		Programme Lead		Risk Lead Officer	
Vision 2024		Director of Public Health		Green Economy Manager	
Risk Score	High (9)	Likelihood	3	Impact	3
Trigger			Consequence		
<ul style="list-style-type: none"> ○ The Council does not reduce organisational carbon emissions targets in line with our policy commitments ○ The Borough does not reduce CO2 emissions in line with our policy commitments ○ UK and International efforts to achieve significant, fast cuts to CO2 emissions fail ○ Air Quality Action areas fail to deliver target reductions ○ Potential intervention actions such as renewable energy, public transport improvement, district heating, Better Homes Yorkshire and business Resource Efficiency Fund fail to progress / deliver at required scale ○ Government funding and policy to support climate change projects does not appear, or is inadequate in scale ○ Roadway improvements fail to deliver air quality targets 			<p>Increased risk of climate impacts - particularly flooding, moorland fires, heat waves and water shortages, with consequent impacts on population health, the economy, biodiversity, supply chains, and demand for Council support services</p> <p>Continued high levels of CO2 emission locally, nationally and internationally put us on a trajectory for increased global warming and higher, stronger climate change impacts in Calderdale beyond 2024</p> <p>Increased levels of dissatisfaction with local and national government as an increasingly climate aware population question why governments have been ineffective in the face of a crisis and the declared climate emergency</p> <p>A lack of effective regulation / support could open the door to unscrupulous dealers peddling ineffective, expensive technologies as “solutions”</p> <p>Poorly thought through climate policy could also have unintended consequences on business and individuals (e.g. simply increasing carbon tax as a way to encourage fossil fuel reduction would, without support schemes for low carbon transition, force more people into fuel poverty and push energy-heavy business into liquidation).</p>		

018AP	Failure to address climate change across the authority		Date reviewed
Action Plan Lead Officer	Green Economy Manager		
Mitigating actions			Reviewed January 2022
<ul style="list-style-type: none">Leadership: Cabinet Climate Change Committee and Climate Emergency Officer Forum established 2019Analysis: Emissions Reductions Pathway Study 2021 sets out a zero carbon roadmap.Calderdale Climate Action Plan - in development.Air Quality: Introduction of Air Quality Action areasCouncil assets – for estate, deliver Public Sector Decarbonisation Fund Project and internal use of the local £1m net zero fund. Future work needed to progress long term strategy. For vehicles, plan for future fleet replacement to clean fleet with associated chargepoint infrastructure as needed.Businesses: Re-Biz Resource efficiency fund for local businesses (WYCA)Housing: household energy improvements through the Better Homes scheme and other available funds (Green Homes Local Authority led project)Ensure that all new homes are more environmentally friendly through the planning process. Prepare and adopt supplementary planning document (SPDs) to support the Local Plan.Street scene: implement Green and Healthy Streets policy to support modal shift and wellbeingCommunity Communications & Engagement: Establish strong links with Community Groups; Business & Young People / Schools as priority stakeholder groups to help us communicate and influence more widely in the Borough. Climate Action Training internally to CMBC staff. Community portion of the local £1m Net Zero fund will support community work - proposed new local Community Fund for Calderdale endowment will both publicise and fund climate action.Travel and Transport: Introduction of electrical charging points for electric vehicles (EV); encouraging taxis and delivery vehicles to use hybrid / electric power; Station Gateway project and Elland Rail Station projects; work with WYCA and LCR on EV strategy for the region and on transportation and public transportation strategyLand; Land Use & Biodiversity Progress plans to plant trees on Council land, launch Sphagnum moss demonstrator project, continue to support community groups working on natural flood management, habitat restoration & biodiversityWork to explore how Ecological Emergency and Climate Adaptation work can integrate with Climate Emergency			

Risk 020 Failure to ensure Cyber security

Change programme		Programme Lead		Risk Lead Officers	
		Director of Public Services		Corporate Lead for ICT	
Risk Score	HIGH (9)	Likelihood	3	Impact	3
Trigger			Consequence		
<ul style="list-style-type: none"> ○ Loss or theft of mobile computing devices e.g. laptop, personal data assistant, mobile phone. ○ Accidental or deliberate damage to Council networks/systems e.g. virus infection, denial of service attack, environmental hazard. ○ Unauthorised access to networks/systems e.g. hacking, malicious code infection. ○ Deliberate deletion or destruction of records by ransomware ○ Systems at end of life have vulnerabilities in their operating systems ○ Insider threat – disgruntled employees attacking the council ○ Malicious cyber- attack (external system hacking to cause disruption or for financial gain)) ○ Incorrect accesses granted to the wrong staff leading to a data flow to the wrong people with possible inappropriate use ○ Inappropriate sharing of log in details ○ Failure to implement information security policies ○ Increased use of Artificial intelligence can lead to information distortion attacks ○ Insufficient funding leads to out of date security software ○ Insufficient training of staff on cyber security leads to an information breach. ○ Working at home in isolation increases the likelihood of staff failing to notice a phishing email or system hack. ○ Failure to cancel users IT access when they leave the council 			<ul style="list-style-type: none"> ○ Loss of service. ○ Breach of confidentiality ○ Financial loss. ○ Loss of user confidence and damage to Council's reputation ○ Failure to meet legislative obligations ○ Fines for failing to prevent the data breach ○ Successfully hacking the councils systems either through a phishing email or direct attack will cause significant disruption to the delivery of council services for weeks and potentially have a massive financial cost to the council. ○ Possible complete loss of Councils ICT services 		

Risk 020AP	Failure to ensure Cyber security		Date reviewed
Action Plan Lead Officer	Cyber Security Officer / Corporate Lead for ICT		
Mitigating actions			
<ul style="list-style-type: none">○ Patching regime to manage system vulnerabilities in 3rd party software○ Anti-virus measures○ Ransomware protection systems○ Filtering of Internet & Email activity○ Encryption of mobile devices○ Mobile Device Management software○ Usage policies e.g. Policy on Internet and E-Mail Usage, ICT Code of Practice, IG Code of Practice, Mobile Device Usage & Security Policy○ Backup procedures, Disaster recovery plans, Equipment Inventory Retention schedules○ Business Recovery plans○ Protective Monitoring policy for monitoring & intrusion detection –○ Logging and Monitoring tools.○ Implemented Information Security Management System (ISMS)○ Increase information to staff on how to identify a phishing attack and manage information security○ Continue to roll out Windows 365○ Increase use of the cloud○ Secure backups separate from the ICT system○ Systems used by services identified in critical priority categories			Reviewed February 2022