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TRAFFORD COUNCIL

AGENDA PAPERS FOR ACCOUNTS AND AUDIT COMMITTEE

Date: Wednesday, 19 November 2014

Time: 6.30 pm

Place: Committee Rooms 2 and 3, Trafford Town Hall, Talbot Road, Stretford,
M32 0TH

A G E N D A	PART I	Pages
1. ATTENDANCES		
To note attendances, including Officers and any apologies for absence.		
2. MINUTES		1 - 4
To receive and if so determined, to approve as a correct record the Minutes of the meeting held on 25 September 2014		
3. PRESENTATION ON THE STAR SHARED PROCUREMENT SERVICE		
To receive for information a presentation from the Director of Star Shared Procurement Service		
4. TRANSFORMATION PROGRAMME/ RESHAPING TRAFFORD PRESENTATION		
To receive for information a presentation from the Transformation Programme Manager		
5. 2013/14 ANNUAL AUDIT LETTER		
To receive a report from the Council's External Auditor – Report to follow		

6. AUDIT COMMITTEE UPDATE

To receive a report from the Council's External Auditor - Report to follow

7. TREASURY MANAGEMENT 2014-15 MID-YEAR PERFORMANCE REPORT

5 - 14

To consider a joint report of the Executive Member for Finance and the Director of Finance.

8. BUDGET MONITORING ACTION PLAN

To consider a report of the Director of Finance – Report to follow

9. BUDGET MONITORING REPORT

To consider the following report of the Executive Member for Finance and Director of Finance – Report to follow

10. 2014/15 STRATEGIC RISK REGISTER UPDATE

15 - 58

To consider a report of the Audit and Assurance Manager.

11. AUDIT AND ASSURANCE REPORT FOR THE PERIOD JULY TO SEPTEMBER 2014 (Q2)

To note a report of the Audit and Assurance Manager - Report to follow

12. ACCOUNTS AND AUDIT COMMITTEE - WORK PROGRAMME - 2014/15

59 - 62

To consider a report of the Audit and Assurance Manager.

13. URGENT BUSINESS (IF ANY)

Any other item or items which by reason of special circumstances (to be specified) the Chairman of the meeting is of the opinion should be considered at this meeting as a matter of urgency.

Accounts and Audit Committee - Wednesday, 19 November 2014

Membership of the Committee

Councillors M. Whetton (Chairman), Mrs. L. Evans (Vice-Chairman), J. Baugh, C. Boyes, B. Brotherton, D. Butt and T. Ross.

Further Information

For help, advice and information about this meeting please contact:

Ian Cockill, Democratic Services Officer
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This agenda was issued on **Tuesday, 11 November 2014** by the Legal and Democratic Services Section, Trafford Council, Trafford Town Hall, Talbot Road, Stretford M32 0TH

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ACCOUNTS AND AUDIT COMMITTEE

25 SEPTEMBER 2014

PRESENT

Councillor M. Whetton (in the Chair).

Councillors Mrs. L. Evans (Vice-Chairman), C. Boyes, B. Brotherton, D. Butt and T. Ross

In attendance

Director of Finance (I. Duncan)
Director of Legal & Democratic Services (.J. Le-Fevre)

Finance Manager (D. Muggeridge)
Audit and Assurance Manager (M. Foster)
Investigations Manager (D. Wright)
Principal Audit and Assurance Team Leader (J. Miller)
Democratic Services Officer (R. Smithson)

Also in attendance:

M. Waite, Grant Thornton UK LLP
H. Stevenson, Grant Thornton UK LLP

APOLOGIES

Apologies for absence were received from Councillors J. Baugh

18. MINUTES

RESOLVED: That the Minutes of the meeting held on 6 August 2014 be approved as a correct record and signed by the Chairman.

19. BENEFIT FRAUD INVESTIGATION ANNUAL REPORT 2013/14

The Investigations Manager (Fraud Investigation Service) submitted the Fraud Investigation Service 2013/14 Annual Report. The report outlined the Council's responsibilities towards tackling benefit related fraud that had been perpetrated against it; provided details of the teams' performance during the period April 2013 – March 2014. The report also provided details of the outcomes of activity over this period and outlined the teams' plans for 2014/15.

RESOLVED: That the report be noted.

20. THE AUDIT FINDINGS FOR TRAFFORD COUNCIL - YEAR ENDED 31 MARCH 2014

The Committee was informed that the audit was substantially complete with work being finalised in some areas before an Audit Certificate could be issued. This included obtaining and reviewing the financial management letter of representation.

RESOLVED –

- (1) That the report be noted.
- (2) That the Director of Finance, the Finance Team and all other staff involved in the audit, be thanked for their good work.

21. ANNUAL STATEMENT OF ACCOUNTS 2013/14

Further to Minute No. 15 of the previous meeting held on 8 August 2014, the Director of Finance submitted a report presenting the redrafted Final Accounts for 2013/14, accommodating the changes previously agreed.

RESOLVED –

- (1) That the Final Accounts for 2012/13, be approved.
- (2) That the Director of Finance and his team and the Council's external auditor be commended for their efforts in producing these accounts.

22. ANNUAL GOVERNANCE STATEMENT 2013/14

Further to Minute No. 9 of the previous meeting held on 26 June 2014, the Audit and Assurance Manager submitted a report providing the final version of the 2013/14 Annual Governance Statement.

The final version was substantially the same as the draft with only a small number of update amendments in Section 5 Budget Monitoring.

RESOLVED: That the 2013/14 Annual Governance Statement be approved.

23. BUDGET MONITORING INVESTIGATION ACTION PLAN

The Director of Finance submitted the report to the Committee. At a previous meeting the Committee had received a report setting out findings from the investigation relating to the Council's budget monitoring arrangements. In response to the recommendations made in the report together with additional measures requested by Members, an Action Plan had been agreed to address specific issues raised.

The Chairman highlighted the need for posts to be identified alongside individuals on the action plan items to ensure there was a continuity of responsibility when people left the organisation.

RESOLVED: That the Action Plan be noted.

24. REVENUE BUDGET MONITOR

The Committee received, for information, a joint report of the Executive Member for Finance and Director of Finance detailing the outcomes of the monitoring of the Council's revenue budget for period 3 (April to June 2014) and period 4 (April to July) which had been previously presented to the Executive.

RESOLVED – That the revenue budget monitoring information for the period April to July 2014, be noted.

25. AUDIT AND ASSURANCE REPORT FOR THE PERIOD APRIL TO JUNE 2014 (Q1)

The Audit and Assurance Manager submitted a report summarising the work of Audit and Assurance during the period April to June 2014 and providing on going assurance to the Council on the adequacy of its control environment.

RESOLVED: That the report be noted.

26. ACCOUNTS AND AUDIT COMMITTEE WORK PROGRAMME 2014/15

The Audit and Assurance Manager submitted a report setting out the updated work plan for the Committee for the 2014/15 Municipal Year and outlining the areas to be considered at each of its meetings.

In response to a member's question it was confirmed that the work on Reshaping Trafford was included within the Work Programme.

RESOLVED: That the 2014/15 work programme be noted.

27. EXCLUSION RESOLUTION

RESOLVED: That the public be excluded from this meeting during consideration of the remaining item of business because of the likelihood of disclosure of "exempt information" which falls within Paragraph 3 of schedule 12A of the Local Government Act 1972, as amended.

28. FORENSIC REVIEW OF INTERNAL INVESTIGATION INTO BUDGET MONITORING ARRANGEMENTS AT TRAFFORD COUNCIL

The Committee considered a report on the forensic review carried out by the External Auditor on the internal investigation into the Council's budget monitoring arrangements.

RESOLVED: That the review be noted.

The meeting commenced at 6.30 pm and finished at 8.55 pm

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TRAFFORD COUNCIL

Report to: Accounts & Audit Committee
Executive
Date: 19 November 2014
1 December 2014
Report for: Discussion
Report of: The Executive Member for Finance and Director of Finance

Report Title

Treasury Management 2014-15 Mid-Year Performance Report

Summary

In accordance with the CIPFA Code of Practice adopted by the Council, this report provides an update on the progress of the treasury management activities undertaken for the first half of 2014/15.

- **Debt Activity:-**

No new borrowings to finance the capital programme were taken and due to unfavourable market conditions no debt restructuring exercises were undertaken. At 30 September the Council's external debt was £95.3m.

- **Investment Activity:-**

The priorities when undertaking any investment continue to be security first, liquidity and then rate of return. During the first half of 2014/15 the annualised investment rate of return from proactive cash flow management was 0.71% with income generated from investment interest currently on target to exceed the 2014/15 budgeted provision of £(0.4)m by £(0.1)m. The level of return is 0.36% or £(150)k above the comparable performance indicator of the average 7-day London Interbank **BID** interest rate. At 30 September the Council's level of investments was £69.9m.

- **Prudential Indicators:-**

During the first half of 2014/15 the Council complied with its legislative and regulatory requirements, including compliance with all treasury management prudential indicators.

Recommendations

That the Accounts & Audit Committee & Executive be requested to:

1. To note the Treasury Management activities undertaken in the first half of 2014/15.

Contact person for background papers and further information:

Name: Graham Perkins
Extension: 4017

Background papers: None

Relationship to Policy Framework/Corporate Priorities	Value for Money
Financial	The Council did not encounter any cash flow liquidity difficulties and all investment income was received on time. The projected level of investment income from investments for 2014/15 is £0.5m and exceeds budget by £0.1m. Debt interest payable remains in-line with budget at £5.8m.
Legal Implications:	This is a finance report for noting.
Equality/Diversity Implications	Not applicable
Sustainability Implications	Not applicable
Resource Implications e.g. Staffing / ICT / Assets	Not applicable
Risk Management Implications	The monitoring and control of risk underpins all treasury management activities and these factors have been incorporated into the treasury management systems and procedures which are independently tested on a regular basis. The Council's in-house treasury management team continually monitor to ensure that the main risks associated with this function of adverse or unforeseen fluctuations in interest rates are avoided and security of capital sums are maintained at all times.
Health & Wellbeing Implications	Not applicable
Health and Safety Implications	Not applicable

1. BACKGROUND

- 1.1 Each year in order to comply with the requirements of both the CIPFA Code of Practice on Treasury Management (the Code) and the CIPFA Prudential Code for Capital Finance in Local Authorities (the Prudential Code), the Accounts & Audit Committee together with the Executive will receive the following reports:
- annual treasury strategy for the year ahead (February)
 - mid-year update report (November i.e. this report)
 - annual report describing the activity undertaken compared to the strategy (June).
- 1.2 The Treasury Management Strategy for 2014/15 was approved by Council at its meeting on 19 February 2014 and the policies to be adopted for the year remain unchanged.
- 1.3 This mid-year report has been prepared in compliance with CIPFA's Code of Practice on Treasury Management, and covers the following:
- Economic Update (section 2)
 - Treasury Position (section 3)
 - Debt Activity (section 4)
 - Investment Activity (section 5)
 - Investment Counterparty Criteria (section 6)
 - Risk Benchmarking (section 7)
 - Prudential and Performance Indicators (section 8)
 - Other Activity Update (section 9)
 - Recommendations (section 10)

2. ECONOMIC UPDATE

- 2.1 The main economic headlines during the first half of 2014/15 were as follows:

UK

- GDP in 2013 grew at an annual rate of 2.7% and this trend is set to continue in 2014 with forecasters currently predicting an annual growth rate of 3.1%;
- the 3 month unemployment average continues its downward trend falling to 6.2% for the quarter ending July 2014 compared to 6.6% for the previous quarter;
- rate of inflation (CPI), fell from 1.8% in April 2014 to 1.2% in September, the lowest rate since 2009, with forward indications predicting that this is likely to fall further in 2014 to possibly near to 1%, (Government target rate is 2.0%);
- Monetary Policy Committee (MPC) maintained both the Bank Rate at 0.5% and the level of quantitative easing at £375bn. Markets had been expecting Bank Rate to rise in the first quarter of 2015 however this has now been pushed back until early Summer 2015 at the earliest in response to the MPC October minutes, which revealed that concerns were increasing over UK growth prospects and growing apprehensions of the Eurozone crises returning. This delay in the Bank Rate increasing was also highlighted by the Deputy Governor of Bank of England who stated that rates are likely to stay low for some time yet.

U.S.

- the Federal Reserve announced in October that it was to cease its quantitative easing stimulus programme introduced in 2008, as it was now confident its economic recovery would continue.
- first quarter GDP figures were depressed by exceptionally bad winter weather, but growth rebounded strongly in quarter 2 to 4.6% (annualised);
- the U.S. faces similar debt problems to those of the UK, however as a result of reasonable growth, cuts in government expenditure and tax rises, the annual government deficit has fallen from a peak of \$1tr in 2009 to \$486bn as at 30 September 2014, its lowest level for 6 years.

Eurozone

- the Eurozone continues to face the threat from weak or negative growth as a result from deflation;

- inflation fell further, to reach a low of 0.3% in September 2014 however, this is an average for all EZ countries and includes some countries with negative inflation;
- ECB loosened monetary policy in June 2014 to promote growth and in September it took further action when it cut its benchmark rate to only 0.05%, its deposit rate to -0.2% and commenced a programme of purchases of corporate debt;
- whilst concern in the financial markets for the Eurozone subsided considerably during 2013, there still remain concerns that sovereign debt difficulties exist;
- in October, the European Banking Authority (EBA) & European Central Bank (ECB) both announced the results of their health checks, carried out on all Eurozone banks to determine whether the banks could withstand another financial crisis. Using the banks' financial position as at 31 December 2013, 24 failed the EBA checks and 25 failed ECB checks. These banks now have 9 months to correct their finances or risk being shut down.

2.2 Interest rate forecasts are provided by the Council's treasury management advisors Capita and the table below outlines the latest situation as at mid-September 2014 taking into consideration the above economic conditions:

	2014-15 Original Forecast%	2014-15 Revised Forecast%	2015-16 Revised Forecast%	2016-17 Revised Forecast%
Bank Rate	0.50	0.50	0.88	1.38
Investment Rates				
3 month	0.50	0.53	1.03	1.75
1 Year	0.80	0.90	1.40	2.10
PWLB Loan Rates				
5 Year	2.90	2.53	2.85	3.25
25 Year	4.75	3.87	4.33	4.70

2.3 As a consequence of the current and forecasted economic position as outlined above, the Council will continue to take a cautious approach to its treasury management strategy.

3. TREASURY POSITION

3.1 The Council's debt and investment position at the beginning and midway through the current financial year is as follows:

	31 March 2014			30 September 2014		
	Principal (£m)	Total (£m)	Interest Rate (%)	Principal (£m)	Total (£m)	Interest Rate (%)
DEBT						
Fixed rate:						
- PWLB	41.4			39.3		
- Market	5.0	46.4	6.83	5.0	44.3	6.70
Variable rate:						
- PWLB	0.0			0.0		
- Market	51.0	51.0	5.14	51.0	51.0	5.14
Total debt		97.4	5.95		95.3	5.87
INVESTMENTS						
- Fixed rate	26.9			47.6		
- Variable rate	24.0			22.3		
Total Investments		50.9	0.79		69.9	0.71
NET ACTUAL DEBT		46.5			25.4	

Net actual debt = Total debt less Total Investments

3.2 When reviewing the table above, it is important to note that the investment figures fluctuate daily, reflecting funds that were available on a temporary basis due to timing issues such as precept payments, receipt of grants and progress on the capital programme.

4. DEBT ACTIVITY

4.1 The Council, at 31 March 2014, was under borrowed by £45.9m, as its total Capital Financing Requirement (CFR), the underlying need to borrow for capital purposes, is higher than its actual level of external debt, £143.3m compared to £97.4m respectively and this situation is set to continue for the foreseeable future.

4.2 The Council's under borrowed position reflects historical decisions taken to fund its borrowing requirement from its own funds (cash supporting its reserves & balances) rather than taking on any new debt. This prudent and cost effective approach continues to be widely adopted by other councils and reflects the high "cost of carry" i.e. the difference between long-term debt interest rates (3.7% 25yr PWLB rate) and the current average return available from short term investments (0.5% 3mth rate).

4.3 For 2014/15 the Council's (CFR) position, is forecasted to fall by £(3.7)m reflecting the difference between the level of new capital expenditure financed by borrowing compared to the statutory minimum revenue provision (the amount set aside from revenue for the repayment of debt).

4.4 However given that the Council's CFR is higher than the actual level of external debt, there is no need for the Council to prematurely reduce its levels of debt, by the value of £(3.7)m. This course of action would incur additional costs from early breakage payments.

4.5 In the current economic climate, debt rescheduling opportunities have been limited due to the high breakage penalty (premium) costs which would need to be incurred. Therefore during the first half of the year no debt restructuring has been undertaken.

5. INVESTMENT ACTIVITY

5.1 In accordance with the Code of Conduct, it is the Council's priority to ensure security of capital and liquidity and to obtain an appropriate level of return which is consistent with the Council's risk appetite. As highlighted in Section 2, it remains a difficult investment market as a result of interest rates continuing to be in line with the 0.5% Bank Rate. Indeed, the Funding for Lending scheme has reduced some market investment rates even further and investment returns are likely to remain low.

5.2 The Council's temporary investments at 30/09/2014 totalled £69.9m and were invested in the following categories;

Sector	Country	Value (£m)
Banks	UK	25.0
Building Societies	UK	5.0
Money Market Funds	UK	6.8
Local Authority	UK	5.0
Banks	Rest of World	28.1
Total		69.9

The maturity structure of the investment portfolio was as follows:

Period	31 March 2014 (£m)	30 September 2014 (£m)
Instant Access	24.0	21.9
Under 1 year	21.9	43.0
Under 3 years	5.0	5.0
Total	50.9	69.9

5.3 During the first half of the year, a total of 184 temporary investments were undertaken by the Council's in house treasury management team in an environment of historically low interest rates. The table below details the results of these activities, which clearly illustrates the Council outperforming the 7day LIBID benchmark, a recognised market performance indicator, by 36 basis points whilst ensuring that all risk was kept to a minimum. Currently the performance for investment interest to be earned for 2014/15 is £0.5m which is £0.1m higher than budget as a result of monies being received ahead of spending requirement.

Average temporary Investment (£m)	Average interest rate earned %	Average 7 day LIBID rate %	Additional interest earned (£k)
83.2	0.71	0.35	150

5.4 None of the institutions in which investments were placed had any difficulty in repaying and the list of institutions in which the Council invests is kept under continuous review.

5.5 During the first half of the year the Council had no liquidity difficulties due to proactive cash flow management and no temporary borrowing was undertaken.

5.6 A breakdown of the Council's investments, as at 30 September 2014 is provided at Appendix A for reference.

6. INVESTMENT COUNTERPARTY CRITERIA

6.1 As highlighted in paragraph 5.1 the primary principle governing the Council's investment criteria is the security of its investments and in order to comply with this, the Council uses a credit methodology based on credit ratings issued by the three main agencies Fitch, Moody's and Standard and Poor's.

6.2 These rating agencies recently announced that during the recent financial crisis, some institutions were provided with a ratings "uplift" due to implied levels of sovereign support. In response to a recent review of this situation by the agencies, these "uplifts" in ratings are to be removed as a result of sovereign governments moving away from a bail out role. It is important to stress that the rating agency amendments do not reflect changes in the underlying status of the institution, merely the removal of that element which has previously been built into the rating for implied Government support.

6.3 Whilst the actual timing of these changes is still subject to discussion, it is not envisaged that it will occur shortly and therefore this issue will be covered in more detail when the 2015/16 Treasury Management Strategy report is presented to Members in February 2015.

6.4 In the meantime should the credit rating agencies amend their ratings accordingly, then investments which mature and are not required for cash flow purposes will, in order to comply with the Council's current Investment criteria, be placed into Money Market Funds which are excluded from this review, until the 2015/16 strategy becomes effective.

7. RISK BENCHMARKING

7.1 In accordance with the Code of Practice and Department for Communities and Local Government Investment Guidance, appropriate security and liquidity benchmarks are used by Officers to monitor the current and future potential risk conditions and undertake any corrective action to the operational strategy if required.

7.2 These benchmarks are simple guides to maximum risk (not limits) and so may be breached from time to time, depending on movements in interest rates and counterparty criteria.

7.3 During the first half of 2014/15 the Director of Finance can confirm that no benchmarks, which were set in the Strategy report in February 2014, were breached as shown from the

information below;

- **Security** – This table shows the benchmark for the Council's investment portfolio for each individual year and reflects the level of potential default when compared to the historic default rates.

	1 year	2 years	3 years
Original maximum default rate	0.09%	0.04%	0.14%
Position at 30.09.14	0.01%	0.04%	0.00%

- **Liquidity** – In respect of this the Council set liquidity facilities/benchmarks of:
Bank overdraft - £0.5m
Liquid short term deposits of at least £15m available with a week's notice.
Weighted Average Life (WAL) benchmark expected to be 6 months, with a maximum of 3 years.

For the first half of 2014/15 the above liquidity arrangements were complied with and at 30 September 2014 the WAL of its investments was 4 months.

- **Yield** - The local measure of the yield benchmark is to achieve a return above the 7 day LIBID rate.

For the first half year of 2014/15 the investment interest return averaged 0.71%, against a 7 day LIBID rate of 0.35%.

- **Origin** – This stipulated that no more than 40% of the Council's total investments to be directly placed with non-UK counterparties at any time.

For the first half of 2014/15 the maximum level during this period was 40%.

8. PRUDENTIAL AND PERFORMANCE INDICATORS

- 8.1 In accordance with CLG Guidance, the CIPFA prudential Code and the CIPFA Code of Practice on Treasury Management, the Council has in place a number of prudential indicators ensuring that the Council's capital expenditure plans and borrowing remain robust, prudent and sustainable.
- 8.2 These indicators were originally set in February 2014 for the forthcoming year and are monitored on a monthly basis. During the first half of 2014/15 it can be reported that no breaches occurred.

9 OTHER ACTIVITY UPDATE

- 9.1 In the Treasury Management 2013/14 Outturn report, Members were informed of the decision by The Co-operative bank to withdraw from the Local Authority market and as a consequence of this, an AGMA Procurement exercise to find a replacement bank for 14 Local Authorities, including 2 from West Yorkshire, has been undertaken.
- 9.2 A total of 3 banks returned tenders for this service which were analysed by the group and following interviews and presentations, Barclays Bank was successfully appointed to provide the banking services effective from 2015.
- 9.3 Within the terms and conditions of the AGMA Framework Agreement, Barclays Bank is to provide the Council's banking service requirements during the next 5 years with an option to extend this for a further 2 years. It is anticipated that during the life of the original 5 year

contract period, a revenue saving in bank charges of approximately £118k could be encountered, however the level of actual saving will be subject to banking activities undertaken.

10 RECOMMENDATIONS

10.1 That the Accounts & Audit Committee & Executive be requested to;

- Note the Treasury Management activities undertaken in the first half of 2014/15.

Other Options

This report has been produced in order to comply with Financial Regulations and relevant legislation and provides an overview of transactions undertaken during the first half of 2014/15.

Consultation

Information for the period 1 April 2014 to 30 September 2014 was obtained from Capita, the Council's external consultants.

Reasons for Recommendation

The report meets the requirements of both the CIPFA Code of Practice on Treasury Management and the CIPFA Prudential Code for Capital Finance in Local Authorities. The Council is required to comply with both Codes through Regulations issued under the Local Government Act 2003.

Finance Officer Clearance *GB*

Legal Officer Clearance HK.....

Director's Signature

Breakdown of Investments as at 30 September 2014

Counterparty	Amount £k	Total £k
UK Institution		
Local Authority		
Greater Manchester Waste Disposal Authority	5,000	5,000
Banks		
Barclays	5,000	
Lloyds	20,000	25,000
Building Societies		
Nationwide	5,000	5,000
Money Market Funds		
Federated	3,000	
Ignis	2,760	
Invesco Aim	380	
Legal & General	630	6,770
Total UK Institutions		41,770
Non UK Institutions		
National Bank of Abu Dhabi	5,000	
Overseas Chinese Banking Corporation	4,000	
Development Bank of Singapore	5,600	
Sumitomo Mitsui Banking Corp. Europe Ltd	3,000	
Svenska Handelsbanken	10,500	28,100
Total Non UK Institutions		28,100
Grand Total		69,870

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TRAFFORD COUNCIL

Report to: Accounts and Audit Committee
Date: 19 November 2014
Report for: Information
Report of: Audit and Assurance Manager

Report Title

STRATEGIC RISK REGISTER (SRR) – 2014/15 (November 2014)

Purpose of the Report

The Accounts and Audit Committee is asked to consider this report which contains an update on the strategic risk environment. This includes arrangements in place to manage each of the strategic risks.

Recommendation

The Accounts and Audit Committee reviews this report.

Contact person for access to background papers and further information

Name: Mark Foster – Audit & Assurance Manager. **Extension:** 1323
Kerry Bourne – Senior Audit & Assurance Officer **Extension:** 4603

Background Papers: Corporate Risk Management Policy and Strategy

1. INTRODUCTION

- 1.1 The Council's Strategic Risk Register (SRR) contains the strategic risks the Council is likely to face in achieving its high level corporate objectives.
- 1.2 In accordance with the Council's Risk Management Policy, the Corporate Management Team (CMT) provides regular periodic updates on the strategic risk environment and in particular performance in managing the specific risks incorporated within the SRR.
- 1.3 This report is based on information provided by risk owners through September and October 2014.
- 1.4 The report highlights changes since the previous quarterly update and also, stated in section 2 below, key developments since the Accounts and Audit Committee last received an update in March 2014.

2. THE STRATEGIC RISK ENVIRONMENT – RISK EXPOSURE AND PERFORMANCE MANAGEMENT

- 2.1 Section 3 of this report contains a summary listing of the highest strategic risks identified which was provided by respective risk owners at the request of the Audit & Assurance Service.
- 2.2 Since the last strategic risk monitoring update was reported to the Accounts and Audit Committee (quarter four report 2014/15 in March 2014), the number of strategic risks has increased from 21 risks to 24 risks. Two strategic risks have been removed from the Register and five strategic risks have been added to the Register. Details are as follows:
 - 2.3 The strategic risks to be removed from the Register are:
 - SR15 – Financial and other implication as a result of coalition Government policy to fast track initially “outstanding” schools and then all other schools to academy status).
The risk to the Council has now stabilised and the likelihood and impact of more primary schools converting to academy status is considered low. Activity will still be monitored through the CYPS Business Delivery Board.
 - SR21 – (Ability to support schools in delivering the new national requirement in supplying free school meals (FSMs)).
Following the receipt of funding and near final implementation of the equipment infrastructure (with work outstanding on only 8 of 57 schools, and all due to be completed around the time this report is issued), all schools required to meet the national requirement of supplying FSMs have complied. It is therefore recommended that the risk be removed from the Strategic Risk Register.
 - 2.4 The strategic risks added to the Register are:

- SR15 (risk added in quarter two) – Implementation of the Special Educational Needs and Disabilities (SEND) reforms set out in the Children and Families Act 2014.
- SR21 (risk added in quarter two) – Failure or delay to implement new Adult Social Care System (Liquid Logic).
- SR22 (risk added in quarter one) – The Transformation Programme savings will not be delivered in full.
- SR23 (risk added in quarter one) – The Reshaping Trafford Council Programme doesn't progress to plan and /or deliver its expected outcomes
- SR24 (risk added in quarter one) – Ability to implement the Early Help (Wellbeing Hub) in Trafford by April 2015. Risks around capacity, timescales, resources, interdependencies and sufficient co-production. New interdependency with health and social care integration programme requires a review of plans and programme governance risking possible delay.

2.5 Three risks have increased their risk exposure score since the last Account and Audit Committee Report:

- SR12 – (Failure of the Adult Safeguarding Service) has increased from medium risk of 10 to a high risk 12.
- SR13 - (Major event leading to inability to deliver critical services to vulnerable people) has increased from a medium risk of 9 to a high risk of 16.
- SR16 – (Adult Social Care Budget 2013/14 & 2014/15: Ability to implement wide range of savings proposals in the current economic conditions) has increased from a medium risk of 15 to a high risk of 25.

2.6 The risk chart on page four shows an analysis of the current strategic risks. The chart analyses the levels of risk exposure in terms of impact and likelihood. The number of strategic risks for each risk level is shown. There are 24 strategic risks (six of which are considered high level). The highest risks reflect risks relating to the Council's medium term financial position (SR4) and risks in relation to managing demand and budgets in Adult Social Care (SR8 and SR16).

Comparison of Risk Levels March 2014 and November 2014

IMPACT **Risk Levels – March 2014**

Very High(5)	4	4	1	2	
High (4)	1	3	1		
Medium (3)		2	1	2	
Low (2)					
Very Low (1)					
	Very Low (1)	Low (2)	Med. (3)	High (4)	Very High (5)

LIKELIHOOD

IMPACT **Risk Levels – November 2014**


Very High(5)	3	7	2	3	
High (4)	1	4	1		
Medium (3)		1	1	1	
Low (2)					
Very Low (1)					
	Very Low (1)	Low (2)	Med. (3)	High (4)	Very High (5)

LIKELIHOOD.



High Risk
Medium Risk
Low Risk



3. Summary Table –Strategic Risks (November 2014)



Red	Amber	Green
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Risk	Strategic Risk Title / (Directorate) / (Portfolio)	Risk Level	Management of Risk - Direction of Travel *	Comments
1	Major regeneration projects, including Altair, Altrincham Strategic Framework delivery, Old Trafford Master Plan (OTMP) and Carrington development do not proceed due to economic and financial constraints. (EGEI)/(Economic Growth and Planning)	8 Low		<p>All project risks contained and detailed within individual project plans. Overall, all projects are within tolerance.</p> <ul style="list-style-type: none"> • Altair planning application has been approved. • Funding has been approved for the OTMP, and Land Pooling Agreement approved by the Executive March 2014 (subject to final agreement and signing, anticipated for Autumn 2014). • Altrincham public realm strategy agreed and phase 1 complete. Procurement of design consultants for phase 2 commenced. • Proposals for new Altrincham Library approved at Executive. Agreement for lease in place. • New operator for Altrincham market appointed and Operating Agreement and Agreement for lease completed (November 2013). • Stretford Masterplan approved (January 2014). Advisers for Lacy Street in place and procurement of public realm design consultants underway (September 2014). • Draft Altrincham Strategy approved (January 2014 and consultation complete (April 2014)). • Sale of Carrington by Shell to Langtree completed and new project governance structure agreed (December 2013).
2	Whilst safeguarding services in Trafford have been inspected and rated by OfSTED as good with good prospects for improvement, this is an area of Council responsibility that requires constant high levels of vigilance to guard against the risk of harm or abuse to children that could have been prevented through intervention and support of services. In particular, the risk of the Safeguarding Board not being effective in undertaking its duties and responsibilities and/ or	20 High		<ul style="list-style-type: none"> • Trafford took part in a Safeguarding Peer Review in February 2013 and received the final letter in June 2013. An action plan in response was agreed and is complete. The overall messages about safeguarding were very positive, with recognition of good practice, strong partnership working and a learning organisation. The feedback was helpful in confirming for us the areas of continued development and improvement which were already underway and the findings were in line with our own evaluation of strengths and areas of development needed. • OFSTED implemented their long awaited new inspection framework for local authority safeguarding arrangements in November 2013 and a number of authorities have now been inspected. Authorities only receive 24 hours'



	<p>insufficient numbers of staff, particularly social workers with relevant experience, to provide effective safeguarding services to children and young people.</p> <p>(CFW)/(Children's Services)</p>		<p>notice of the start of the four week process. Trafford has considered the new criteria for achieving an outcome of "good" and has worked on making sure the information required as soon as the unannounced inspection starts can be available. It is clear from the early inspections that the standard required to achieve an overall outcome for "good" is higher than previously.</p> <ul style="list-style-type: none"> • With regard to the general overview of safeguarding: <ul style="list-style-type: none"> - Partnership working and communication in safeguarding services remain good, both within the CFW and between the CFW, health partners and other agencies. Guidance and direction for staff are good and staff report experiencing professional challenge and support, with accessible managers and clear decision making. - Trafford continues to have a good reputation as an Authority, with high numbers of applicants for posts in CFW and positive feedback from staff who have come to Trafford from other Authorities. However, several high quality managers are in the process of leaving to pursue career opportunities elsewhere and this will mean a short term loss of skill for Trafford that it will be important to replace quickly. - Caseloads are high but manageable. The workload management system indicates that staff are working at capacity and this is kept under review on a monthly basis. - Training and support for social work staff has been reviewed to comply with the new national professional capabilities framework that is still in development. Training for experienced workers is now being developed to comply with the new requirements and Trafford has identified a Principal Social Worker for Children's Services in line with the national requirement. - A partnership response in respect of Early Help for families is a priority as part of the response to the Munro Review of Child Protection and a strategy has been developed to reflect the work already undertaken and the work needed for the future. - The Family Justice Review recommendations have been implemented and the new court timescales are being met but are very challenging. This requires all Authorities to achieve outcomes for children in shorter
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				<p>timescales and for more expert work to be undertaken by Social Workers rather than additional professionals.</p> <ul style="list-style-type: none"> - There remains heightened awareness regionally and nationally around child sexual exploitation. Trafford has a clear strategy and action plan on a partnership basis to manage this potential risk. New statutory guidance has recently been implemented in relation to young people who go missing and this has also been considered and addressed in Trafford.
3	<p>Demand for school places under-estimated and/ or additional school places are not delivered to satisfy increased demand.</p> <p>(CFW)/(Children's Services)</p>	<p>15 Medium</p>		<ul style="list-style-type: none"> • All children have been allocated places for the 2014/15 academic year. • The demand for primary and secondary school places continues to be monitored and capital resources allocated to ensure sufficient places are provided to meet our statutory duty. • A two year resource allocation has now been received from Department for Education (DfE) and a Capital Programme is planned in line with projections. • A secondary sufficiency review has been completed with schools and academies to manage the projected increases working through from the primary sector. An implementation plan is being developed following approval of the outcomes by the Council Executive and Secondary Schools. • Capital implications of the SEN review are also being implemented to meet additional demand for places.
4	<p>Continuing uncertainty regarding the Council's medium term financial position given the reliance that exists on support from Central Government, cost pressures within the existing budget and major changes in the administration of Business Rates resulting in a greater risk being transferred to local government.</p> <p>(T&R)/(Finance)</p>	<p>25 High</p>		<p>The last Comprehensive Spending Review (CSR) was in June 2013 for the years 2014/15 and 2015/16. No further CSR is currently planned, and it may be unlikely that there will be a formal announcement on Local Authority funding ahead of the general election next May. Reasonably reliable indicative figures for Government support only exist for 2015/16 and best estimates are being used for future years. In addition:</p> <ul style="list-style-type: none"> • The budget for 2014/15 has been approved, although it is now recognised that there is budgetary pressure in adult social care for which some in-year measures have been proposed, and residual matters rolled up into the 2015/16 budget planning process. • It is estimated that the total budget pressures facing the Council over the next three years are £57m. Of this some £25m is in respect of 2015/16. • Draft budget proposals have been announced

				<p>for 2015/16 and are now subject to formal consultation.</p> <ul style="list-style-type: none"> • The usual rigour around business cases and the robustness of the Budget will be applied. • A significant provision has been set aside on the balance sheet as at 31 March 2014 which will mitigate to a large extent the risk from backdated rating appeals. Some risks remain in that monies may need to be set aside to fund a future safety net contribution at the time of the next valuation in 2017. Shortfalls against base line caused by any means are 49% funded by the Council up to a safety net of c. £2.4m. Only 24.5% of income above base line can be retained by the Council.
5	<p>Availability of capital resources from sales of surplus assets and Government Grant to support the Capital Programme.</p> <p>(T&R)/(Finance)</p>	<p>9 Medium</p>		<ul style="list-style-type: none"> • Nationally, Government funding has been suppressed and cautious estimates of funding have been assumed by Trafford for its current Capital Programme. The sale of spare Council assets has also been suppressed due to the economy. This has reduced the availability of local discretionary funds. The current plans for 2014/17 maximise the use of LSVT VAT receipts from Trafford Housing Trust. • Historically an element of these has been retained to support a number of environmental warranties e.g. asbestos, given to THT following the transfer of housing stock, but THT has confirmed that no further claims are anticipated. In the event of any future valid claim any cost would need to be met from existing revenue or capital resources. • The Capital Programme and level of available resources continues to be monitored and reported to the Executive on a quarterly basis. As part of the current budget process the 2014/17 Programme has been reviewed to ensure it remains affordable. • The Community Infrastructure Levy represents a potential significant improvement in the availability of funds in the medium term.
6	<p>Ability of partnership working in relation to vulnerable adults and older people.</p> <p>(CFW)/(Adult Social Services and Community Wellbeing)</p>	<p>12 Medium</p>		<ul style="list-style-type: none"> • The Health and Wellbeing Board is established. • The Health and Wellbeing Strategy and underpinning Action Plan is progressing with leads using a report template in partnership with the Clinical Commissioning Group (CCG), and wider stakeholders. • A Health and Wellbeing Programme Delivery Board continues to populate the action plan on a wider partnership footprint. Risks: Lack of clarity and support regarding monitoring and reporting data on a more regular basis than




				<p>annually.</p> <ul style="list-style-type: none"> • The integration of Adult Social Care Operational Services and Trafford Provider Services has continued to progress based on strong project management arrangements. A formal partnership agreement was signed and agreed in October 2013 and agreed by the Full Council Executive. Implementation is in place and being delivered on schedule. • The transfer of community health from Trafford Provider Services to Pennine Care has been successfully completed. • Heightened awareness nationally around safeguarding – elderly and vulnerable adults. Risks around ensuring all elderly and vulnerable adults in Trafford are safe and potential reputation risk is mitigated.
7	<p>Ability of partnership working to release resources with sufficient speed and execution to deliver joint objectives around children. Increased risk from role of National Commissioning Board (NCB) local area team as associate commissioner and lead funding agency for health visiting and some school nursing services.</p> <p>(CFW)/(Children's Services)</p>	<p>15 Medium</p>		<ul style="list-style-type: none"> • Strategic Partnership Agreement (Section 75) for CYPS Integrated Commissioning revised and in place. • Consistent contract management arrangements in place for community health contract. • On-going risk in relation to the fragmentation of commissioning arrangements in the Health Sector. This includes transfer of commissioning responsibilities for some services including Health Visiting to the Council in 2015. • Revised governance arrangements have been established to support delivery of the partnership agreement.
8	<p>Demand for eligible services outstrips resources in adult social care.</p> <p>(CFW)/(Adult Social Services and Community Wellbeing)</p>	<p>25 High</p>		<ul style="list-style-type: none"> • Throughout the summer hospitals have been on a continued high alert. This has seen a continuous demand placed upon the homecare market. • The increase in demand re-hospital discharges has placed a further pressure on the reablement service which has seen an increase in reablement bypasses. • Increased numbers coming through reablement and homecare adding pressure to financial resources. Increase in number of service users who are therefore requiring long-term homecare, causing an increase in required budgets. • Business Delivery Programme Board is responsible for monitoring and managing demand, performance and savings delivery based on a collaborative model, including commissioners, operations, health colleagues, Finance and Performance. • The newly revised resource panel is functioning

				<p>successfully and has seen changes in presentation and the added challenge the forum brings to each and every placement.</p> <ul style="list-style-type: none"> • A Business Case with regard to the reshaping of Trafford offer has been put forward for consideration by elected members which will add to the number of work-streams in managing the demand. • The Telecare offer has been accelerated evidenced by the launch of the Telecare Pledge to all residents in Trafford over 80+. • An external pilot in relation to Assessment and Reablement continues to be delivered to support the overall reablement service. • Strong operational links developed with the hospitals to manage delayed transfer. • Extensive work with University Hospital South Manchester (UHSM) with regard to the correct identification/classification of section 5s has been completed. • Increased activity at UHSM causing increased pressure on Social Care resources has seen a reduction in the overall capacity within the residential and nursing sector. • Actions and activity arising from the Budget Monitoring Investigation Action Plan have and are being implemented and will be updated to the Accounts and Audit Committee.
9	<p>Failure of the Adult Safeguarding Service.</p> <p>(CFW)/(Adult Social Services and Community Wellbeing)</p>	<p>12 Medium</p>		<ul style="list-style-type: none"> • Development and launch of new Safeguarding procedures. • Refresh of Adult Safeguarding Board. • Safeguarding procedures have been reviewed. • Senior Learning & Development post vacant. Impact on sustaining competency in relation to implementation of practice with both internal and external agencies. • Serious Case Review Panel reviewed and in place. • Recent court judgements lowering the threshold for Deprivation of Liberty Orders. This requires increased Social Work capacity and will impact on costs relating to court of protection activity.
10	<p>Breach of health and safety legislation leading to prosecution under the Corporate Manslaughter Act.</p> <p>(T&R)/(Transformation and Resources)</p>	<p>10 Medium</p>		<ul style="list-style-type: none"> • Revised policy and guidance and an accompanying toolkit on managing violence and aggression has been produced. This assists managers and staff in reducing the risk of violence and aggression towards staff and signposts to support available and actions to be taken in response to incidents of violence and aggression. • To meet HSE requirements in respect to ensuring that supervisors are adequately



				<p>trained to properly plan, supervise and ensure that work at height is carried out in a safe manner, a programme has been initiated where supervisors carry out checks that employees are following a safe system of work (regarding work at height) whilst out on site. Training has been provided to all managers and supervisors whose staff work at height, to help them review their safe systems of work and risk assessments in relation to working at height.</p>
11	<p>Council does not agree, adopt and deliver carbon reduction targets.</p> <p>(EGEI)/(Environment and Operations)</p>	<p>12 Medium</p>		<ul style="list-style-type: none"> • Trafford has successfully submitted its CRC return by 31 July 2014. • Trafford will fall out of the CRC Scheme at the beginning of Phase 2 in 2014/15. • Voluntary reporting of Greenhouse Gas information to Department of Energy and Climate Change (DECC) has been made by the 31 July deadline. • The transfer of the Council's energy data to a new system (Systems Link) will take place shortly. • A draft Energy and Water Management Plan has been completed to provide a framework for carbon emissions reduction. • The Council withdrew from the AGMA Non-Domestic Energy Efficiency (NDEE) programme for schools retrofit. The NDEE scheme is currently under review at AGMA level. • The Council is engaging with the Greater Manchester Heat Network Programme looking at projects for Trafford Park. • Latest figures from DECC (2012) show a rise in carbon emissions for the borough from the previous year. This rise is replicated across GM and nationally and is most likely due to a colder summer that year.
12	<p>Performance targets relating to Adult Social Care services are not met.</p> <p>(CFW)/(Adult Social Services and Community Wellbeing)</p>	<p>10 Medium</p>		<ul style="list-style-type: none"> • Monitoring is in place and a range of weekly, monthly and quarterly reports are overseen by Business Delivery Programme Board. • Performance is monitored against national and local performance indicators as per Directorate Performance Framework. The overall improvement in performance evidenced by year has been significant. • It is important to note that the set of Adult Social Care returns is to change from 2014 / 15 and the implications for on-going indicators and targets is, as yet, unclear. • Related to the above, the baseline for the older people permanent residential admissions measure included as part of the Better Care

				<p>Fund (BCF) metrics is calculated using the old methodology in the Adult Social Care Combined Activity Return. From 2014/15, this information will be generated from the new short and long term (SALT) return. There is no indication as to what the overall implications of this will be and the impact on the figures reported.</p> <ul style="list-style-type: none"> • Delay to the implementation of the replacement IT system in Adult Social Care (Liquid Logic) may compromise the ability to produce accurate end year reports across a range of indicators as they will not be based on full year data collection.
13	<p>Major event leading to inability to deliver critical services to vulnerable people.</p> <p>(CFW)/(Adult Social Services and Community Wellbeing)</p>	16		<p>Due to the current levels of demand on eligible services, current demands are outstripping resources available. Any major event such as a flu pandemic would have serious connotations on the ability to escalate current services.</p>
14	<p>Failure to complete the Business Continuity (BC) Programme Project, resulting in an increased risk that the Council may fail to deliver Council services in the event of significant disruption.</p> <p>(T&R)/(Transformation and Resources)</p>	10 Medium		<ul style="list-style-type: none"> • In the Summer 2013 the Business Impact Analysis (BIA) and the Business Continuity Plan (BCP) templates were completely revised and have since been issued with other guidance as a BC Toolkit hosted on the Council's Intranet site. • At the same time the Council's web pages were updated with further information and continue to comply with the Civil Contingencies Act in regard to providing advice to the public and businesses. • Amendments to the Intranet and website pages are completed as necessary by the Emergency Planning Manager and are currently up to date. • The current BC Policy was approved by CMT in December 2013 and will need further amendments to reflect service changes, but will remain broadly the same. • The T&R Directorate have undertaken a table top exercise to test their BC arrangements during an ICT disruption. • An action plan was developed following the disruptive weather in February 2014 in order to better prepare Council services for dealing with similar incidents. • Under the Reshaping Trafford banner the Council will need to ensure that outsourced Council Services have robust BCP. • The Emergency Planning Manager, together with Manchester City Council and AGMA have been looking at the provision of an online e-

				<p>learning package for internal use at Trafford Council. There has been agreement in principle, but the logistics of implementation will have to be worked through.</p> <ul style="list-style-type: none"> • A spread sheet outlining the structure of the Council highlights the current status of business continuity planning across the Authority, using the Red, amber and Green (RAG) system. • An updated position statement is to be presented to CMT in December 2014. • For ease of reference a summary of the RAG spread sheet is outlined below: <ul style="list-style-type: none"> • <u>Children, Families and Wellbeing (Adults and Children)</u>. All BIAs and necessary BCPs were completed in 2013 and are now up for review. • <u>Economic Growth and Prosperity</u>. All BIAs and BCPs were completed in 2013 but will now need updating in the current review to reflect Directorate changes to EGEI. • <u>Environment, Transport and Operations</u>. Still awaiting Environment Strategy, some of Environmental Operations, School Transport and Public Protection. These will all need to be reviewed and also need to reflect the changes to EGEI. • <u>Transformation and Resources</u>. Still awaiting responses from Legal and Democratic, and Culture and Sport. ICT are now in the process of updating their Disaster Recovery/BCP. • <u>Corporate Plan</u>. The completion of the Corporate BCP is dependent on service areas completing their analyses of their business. A draft version is currently being prepared. <p>There has been a tremendous amount of work across all the services updating their plans which in turn will lower the risk of a failure to deliver during a business interruption. Work continues on chasing those services that have analyses outstanding.</p>
15	<p>Implementation of the Special Educational Needs and Disabilities (SEND) reforms set out in the Children and Families Act 2014.</p> <p>(CFW)/(Children's Services)</p>	<p>15 Medium</p>	<p>↑</p>	<p>New Risk</p> <ul style="list-style-type: none"> • SEND requirements of the Children and Families Act came into force on the 1 September 2014. • All new cases are now subject to an Education, Health and Care Plan rather than a Statement of Special Educational Needs. • Transition plan is in place to convert Statements to Education, Health and Care (EHC) Plans. • Local Offer published in September 2014 and consultation on revised policies in line with new Code of Practice to start in October 2014.

				<ul style="list-style-type: none"> • Work underway to establish an integrated referral and assessment service to enable personal budgets linked to EHC Plans.
16	<p>Adult Social Care Budget 2013/14 & 2014/15: Ability to implement wide range of savings proposals in the current economic conditions.</p> <p>(CFW)/ (Adult Social Services and Community Wellbeing).</p>	<p>25 High</p>		<ul style="list-style-type: none"> • The demand management remains a significant risk and is mirrored nationally. The demand pressures will be monitored through the Business Delivery Programme Board on a weekly basis throughout the year. • The revised resource panel will monitor individual placements and add a further level of scrutiny. • The finance sub-groups of the Business Delivery Programme Board will monitor current and projected spend escalating issues as and when needed to the SLT. • The increasing pressure of the Learning Disability (LD) Pooled Fund the Directorate will continue to be a priority linked to in year Recovery Business Cases and 2015/16 Business Cases currently underway. The target of achieving a balanced position over a two year period will be very challenging. The LD Partnership Agreement will be reviewed including revisiting the contribution to the Pooled Budget from the CCG. • Additional pressures from Acute Wards and Homecare Framework. • Actions and activity arising from the Budget Monitoring Investigation Action Plan have and will be updated to the Accounts and Audit Committee.
17	<p>Inability to meet Trafford residents' requests to have burials within the local area due to insufficient land.</p> <p>(EGEI)/(Environment and Operations)</p>	<p>12 Medium</p>		<ul style="list-style-type: none"> • Agreement in principle reached to purchase additional land. • The Council is in dialogue with the landowner, the National Trust to conclude the land acquisition. • The anticipated final purchase date is subject to the agreement by the National Trust. • Additional possibilities are still to be investigated for land adjacent to Urmston Cemetery. • Risk remains medium. However, if the land cannot be purchased by November 2014 we will need to raise the risk to High. • Planning application to be submitted following acquisition.
18	<p>The Council website is not easily accessible, services are unable to update information or provide service responses fast enough through digital</p>	<p>12 Medium</p>		<ul style="list-style-type: none"> • Customers have a greater and growing use and dependency on websites to access up to date information and services, including financial transactions. • Trafford Council's website and supporting infrastructure, including IT, Customer

	<p>challenges to meet customer expectations. Other channels of communication – face to face, telephone and Member’s surgeries - gain increased numbers of requests due to reliability issues around digital channels.</p> <p>(T&R)/ (Transformation and Resources).</p>		<p>Relationship management (CRM) and content updates from all service areas need to be robust to support customers in accessing information and services; and allow them to carry out financial transactions. This also protects and promotes the Council’s reputation.</p> <ul style="list-style-type: none"> • The Council website was re-launched on 1 October 2013 and is far more transactional than the previous version with Apply for It, Book It, Pay for It, Request It and Say It boxes that allow customers to self-serve. All services now have the capability of updating their own web pages and key members of staff throughout all Directorates have received training on the web Content Management System (CMS). • The Customer Strategy sets out the priorities for the Council around channel shift and how we will meet the challenges that creates. • The new CRM System will come on stream in early 2015 and from that point forward services will go live on an incremental basis. This will allow for further customers to self-serve where they can. • The procurement process for the new CRM system has been completed and the contract has been signed. The appointed provider, Asidua, is now on site working with Trafford staff. Trafford’s Implementation Team have had in-depth engagement with 31 services so far to understand requirements, the majority of these services are those going live in phase 1. The Team are continuing to speak to remaining services and updating business cases. • The CRM process was subject to a Local Partnerships review and the outcome was Amber/ Green which is defined as ‘successful delivery appears probable however constant attention will be needed to ensure risks do not materialise into major issues threatening delivery’ • The website now has Browse Aloud functionality. This enables people to access the website whose first language is not English and those who have visual impairments that make reading text difficult. The software translates the text into a number of other different languages chosen from a drop down list. Additionally the top 20 languages can also be translated from text to speech. • Work is nearing completion on the ‘microsites’ (i.e. individual sites linked to the main Council website) to migrate the content into the main
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				<p>website. A rationalisation of these sites was completed too as some had not been updated or accessed for a considerable time. This work has meant that the content of the remaining sites is up to date and relevant.</p> <ul style="list-style-type: none"> • As a result of the CRM work there will be a significant increase in the range of services that can be accessed and reported via the website. • A communications strategy is in place to inform customers and staff of the changes.
19	<p><u>Impact and implementation of the Care Act.</u> Royal Assent was granted to the Care Bill in May 2014 and it is now the Care Act. The Act represents the most significant reform of care and support in over 60 years, putting people and their carers in control of their care and support and introducing a cap on how much people will have to pay for the costs of care in their lifetime. Other key elements include new rights for carers to assessment and support, introduction of a national eligibility threshold for care and support, Local Authority responsibility for preventative services and the provision of universal information.</p> <p>(CFW)/ (Adult Social Services and Community Wellbeing).</p>	<p>15 Medium</p>		<ul style="list-style-type: none"> • Programme Manager, Board and governance arrangements established to oversee the implementation of the Care Act programme. • Eight work streams created to deliver the changes and reforms outlined in the Care Act. • The deliverables and timescales mapped across the programme to ensure Trafford meet the Care Act requirements in a timely manner. • Reporting mechanisms in place to map progress and highlight risks. • Initial financial modelling taken place to understand the financial impact of the Act, further work is planned to build a comprehensive picture.
20	<p>Trafford Council must ensure that information held about citizens, employees, partners, contractors, members and organisations in Trafford is safe in their hands. To be able to assure its partners and the public that this is the case they need to demonstrate that they are handling personal/ sensitive and commercial data securely both in technology and physical terms. They also need to ensure that 3rd parties acting</p>	<p>15 Medium</p>		<ul style="list-style-type: none"> • Citizens and businesses have a right to expect data held about them to be treated in a secure manner and only shared on a need to know basis. • Employees, Partners, Contractors and members have the right to expect data held about them to be treated in a secure manner. • Trafford Council have a responsibility to protect their data and information including building and equipment security. • The Information Security Governance Work Stream have developed all relevant policies, procedures, communication and education including mandatory courses for all employees, partners and members. These policies and

	<p>on their behalf are handling their data sets in accordance with Trafford Council's policies and procedures. This is a corporate risk and the risk to the Council is reputational, financial, adverse publicity and could ultimately be a breach of the Data Protection Act.</p> <p>(T&R)/ (Transformation and Resources).</p>			<p>procedures have been communicated to the Council and the first tranche of training has been rolled out.</p> <ul style="list-style-type: none"> • The annual work plan is successfully being delivered with a completion of the 31 December 2014, with a new work plan being developed to pick up new activities. Information Asset Owner are progressing the embedding of information in the Council's day to day activities. • Information Asset Owners are progressing the embedding of information in the Council's day to day activities. • Corporate Information Governance Groups are assisting in embedding information governance in the culture of the Council by using team meetings and 1:1 supervision as their forum.
21	<p>Failure or delay to implement new Adult Social Care System (Liquid Logic).</p> <p>(CFW)/(Adult Social Services and Community Wellbeing)</p>	<p>20 High</p>	<p>↑</p>	<p>New Risk</p> <ul style="list-style-type: none"> • Business continuity plan is updated to include an interim non Adult Social Care Review System for new and existing business. • Next data migration Round (DM6) will be a full data push and will confirm the length of the data freeze. • Liquid Logic (LL) and Oxford Computer consultants Risks, Assumptions, Issues and Dependencies (OCC RAID) Log updated weekly during project to identify problems and provide solutions. Escalation process established to communicate issues and risks. • Softbox will be used during the data freeze to pay providers and invoice clients until LL recovery plan is complete. Finance data freeze strategy is almost complete and will be presented to the Board for finance. • Finance will be identified to assist with data entry into LL after migration.
22	<p>The Transformation Programme savings will not be delivered in full.</p> <p>(T&R)/ (Transformation and Resources)</p>	<p>15 Medium</p>	<p>← →</p>	<ul style="list-style-type: none"> • The Transformation Portfolio savings targets are reviewed and monitored monthly. • In May, the savings targets were reviewed by TPR. As a result, the savings target is revised from the original value of £5,559k of the £13,659m MTFP savings for 2014/15 to £5,484k of £13,776k. • At August 2014, of the revised savings target £4,746k (86.5%) had been delivered. • Based on the level of savings achieved to date and the governance improvements in place, the risk is being managed proactively.
23	<p>The Reshaping Trafford Council Programme doesn't progress to plan and/or deliver its expected</p>	<p>15 Medium</p>	<p>← →</p>	<ul style="list-style-type: none"> • The programme is still on track to deliver its objectives and is routinely monitored by TPR, CMT and Members. It is envisaged that from April 2015, the Transformation Programme

	outcomes. (T&R)/ (Transformation and Resources)			<p>becomes the 'Reshaping Trafford Council Programme' and all project activity planned links to it. On this basis, the budget consultation process and proposals for 2015/16 will be built around the Reshaping Trafford Council Blueprint.</p> <ul style="list-style-type: none"> The programme was subject to an independent review by Local Partnerships in July 2014. This was completed at the Council's request to provide an objective and strategic level assessment of the programme's outcomes and objectives and confirm the fit with the Council's overall strategy. The review rated the programme as 'amber/red' but acknowledged the programme is still forming and that the budget process for 2015/16 will further shape it. An action plan has been produced which addresses the eight recommendations made by the review and this has been approved and will be implemented in full by February 2015, providing a solid governance foundation for the programme going forward.
24	<p>Ability to implement the Early Help (Wellbeing Hub) in Trafford by April 2015. Risks around capacity, timescales, resources, interdependencies and sufficient coproduction. New interdependency with health and social care integration programme requires a review of plans and programme governance, risking possible delay.</p> <p>(CFW)/(Adult Social Care)</p>	<p>15 Medium</p>	<p>← →</p>	<ul style="list-style-type: none"> Programme Manager in place. Programme Board established. Baseline work has taken place to scope and model the Wellbeing Hub resulting in an initial business case. Engagement work has taken place to co-produce an initial model in conjunction with the public, partners, providers and staff. August 2014 – Hub has now been included with integration to form a combined work programme, as part of Reshaping Trafford 'Early Help Hub and Integration'. This Joint Programme has now been included in Trafford's BCF submission. Work planned to dovetail integration and hub programmes. Further engagement will be required to update partners and stakeholders of the revised plans, and maintain their interest.

* Note: This indicates the direction of travel in respect of performance in managing the risk and not direction of travel of the risk level.

4. STRATEGIC RISK REGISTER (November 2014)

STRATEGIC RISK REGISTER 2014/15			Risk Number	1		
Corporate Priorities	<ul style="list-style-type: none"> Value for money Fighting crime 	Link(s) to Community Strategy Key Objectives	<ul style="list-style-type: none"> Positive environmental impact Better homes Health and improved quality of life for all Strong economy 			
RISK	Major regeneration projects, including Altrincham Strategic Framework delivery, Old Trafford Master Plan (OTMP) and Carrington development do not proceed due to economic and financial constraints.					
Consequences	<ul style="list-style-type: none"> Failure to deliver on promise to community. Negative impact on reputation. Adverse impact on urban regeneration. Failure to deliver the Core Strategy housing and employment growth targets. Negative impact on economic and housing growth in the borough. 					
Controls	<ul style="list-style-type: none"> Lead officers identified. Consultants in advisory role where appropriate. Officer/ member steering groups in place. Regular performance meetings with developer/ key stakeholders. Detailed project plans in place. Altrincham Forward. 					
Risk Assessment	Likelihood	Altrincham = 2 OTMP = 2 Carrington = 2	Impact	Altrincham = 4 OTMP = 4 Carrington = 4	Exposure	Altrincham = 8 OTMP = 8 Carrington = 8 Average = 8
RISK LEVEL			Low Risk (Average)			
Risk Performance Indicators	<p>Altrincham</p> <ul style="list-style-type: none"> CPO confirmed, developer proposals being finalised. Funding strategy dependent upon pre-letting key parts of development. Planning application approved. <p>Altrincham</p> <ul style="list-style-type: none"> Altrincham Forward Board reviews – quarterly. Delivery of pipeline developments, including Graftons (on site), new hospital, interchange and Altrincham (see above). Support of local traders/ organisations/residents. Altrincham Town Team in place (July 2013). Draft Altrincham Strategy approved and consultation completed. <p>OTMP</p> <ul style="list-style-type: none"> Essex Way development complete. Tamworth refurbishment and demolition works on site – completion March 2014 (on track). Hullard refurbishments complete. HCA funding for Shrewsbury Street scheme approved. Project governance structure agreed and in place. Land Pool Agreement approved by Council Executive. Funding approved. <p>Carrington</p>					

	<ul style="list-style-type: none"> • Sale of site by Shell to developer complete (2013). • Outline of spatial concepts being developed. • Engagement with key stakeholders' on-going. • Flixton Road junction improvements complete. • New project governance structure in place with Langtree, the new owners of Carrington and their advisers. 				
Effectiveness of controls and performance indicators	Altair = 3 Altrincham = 4 OTMP = 3 Carrington = 3				
Improvement Actions (ref to action plans)	Regular performance meetings with developers/ key stakeholders to ensure project times and delivery of key mile stones.				
Person or Group Responsible for management of risk	Economic Growth, Environment and Infrastructure (EGEI)				
Previous risk reviews completed:					
<ul style="list-style-type: none"> • G Pickering, Corporate Director PPD. April 2009 • J Valentine, Head of Asset Management. October 2009 • P Harvey, Director of Environment. February 2010 and July 2010 • D Smith/ J Valentine, Head of Strategic Planning & Houses/ Head of Asset Management. May 2010 and January 2011 • D Challis, Asset manager. June 2011 • N Gerrard, Corporate Director EGP & Steph Everett, Growth Delivery Manager. September 2011; and February 2012 • R Haslam, Acting Strategic Planning Manager and J Steward, Interim Economic Growth Lead. August 2012. • S James, Economic Growth Manager. February 2013. • H Jones, Corporate Director EGP. August 2013. 					
Risk Review Date	January 2014	Completed By	Richard Roe	Designation	Head of Growth.
Risk Review Date	September 2014	Completed By	Richard Roe	Designation	Director of Growth and Regulatory Services.

STRATEGIC RISK REGISTER 2014/15		Risk Number		2	
Corporate Priorities		Services focused on the most vulnerable people.	Link(s) to Community Strategy Key Objectives	Bright Futures	
RISK	Whilst safeguarding services in Trafford have been inspected and rated by Ofsted as good with good prospects for improvement, this is an area of Council responsibility that requires constant high levels of vigilance to guard against the risk of harm or abuse to children that could have been prevented through intervention and support of services. In particular, the risk of the Safeguarding Board not being effective in undertaking its duties and responsibilities and/or insufficient numbers of staff, particularly social workers with relevant experience, to provide effective safeguarding services to children and young people.				
Consequences	<ul style="list-style-type: none"> • Harm or abuse of children. • Sanctions/penalties against Service. • Legal liability claims. • Negative impact on reputation. 				
Controls	<ul style="list-style-type: none"> • Monthly meetings of the Director of Children's Services Safeguarding Group. • Independent Chair appointed and Safeguarding Board governance and planning approved. 				

Risk Assessment	Likelihood	4	Impact	5	Exposure	20
RISK LEVEL						
High Risk						
Risk Performance Indicators	<ul style="list-style-type: none"> • Responsibility for the risks are multi-agency and depend on all parties to achieve successful outcomes and sustained improvement. • There were staffing implications arising from the CQC/OFSTED Inspection report in April 2010 around the need to strengthen the role of LADO and the Independent Reviewing Team and the role of Statutory Children's Compliant Service. The issues have been addressed and additional resources identified as appropriate. 					
Effectiveness of controls and performance indicators	<ul style="list-style-type: none"> • The direction of travel is improving. The Service was inspected by OFSTED and CQC in April 2010 and the report concluded that the overall effectiveness of safeguarding and the capacity for improvement were good, with only a few exceptions, performance is better than statistical neighbours and nationally. In addition in December 2010 Children's Services in Trafford were rated as performing excellently by OFSTED and this rating was confirmed for a second year in December 2011. • The Trafford Safeguarding Children's Board (TSCB) remains independently chaired and made good progress against its 2012/13 business plan. A revised business planning process has now been developed linked to the children and young people's strategy and a three year plan is complete. The work of the TSCB sub-groups is robust and they are monitoring and quality assuring safeguarding outcomes for children. • Multi-agency preventative work with children in need is well developed and effective and the number of new children coming into care has recently increased and the current number of child protection plans and children in care is high and reasons for this are analysed regularly with actions taken if appropriate. • Action plans have been developed following recent inspections but all recommendations are very minor. • Partnership working and communication in safeguarding services are good, both within the CYPS and between the CYPS, health partners and other agencies. Guidance and direction for staff are good and staff report experiencing professional challenge and support, with accessible managers and clear decision making. • The CYPS has recruited to a number of posts in recent months. The number of high quality applicants was high indicating Trafford's good reputation as an employer. They are settling into Trafford well and are very positive about their early experiences here. • Caseloads are high but manageable and the workload management system is helping to promote balanced workloads in line with the capability of staff and their level of experience. • Training and support for staff are of consistently high quality, especially the multi-agency training arranged by the TSCB for which take-up is good. • The Munro review of child protection services and the government response indicates Trafford's direction of travel is in line with current thinking and work is in progress to address the Munro recommendations although full clarity is not yet available from government in terms of detailed expectations. • Trafford participated in a Safeguarding Peer Review in February 2013 and the overall messages about safeguarding were very positive with recognition of good practice, strong partnership working and as a learning organisation. The feedback has been helpful in confirming areas for continuous development and improvement. The findings were in line with our own evaluation of strengths and areas for development. 					
Improvement Actions (ref to action plans)	<ul style="list-style-type: none"> • Action plans from recent inspections to be progressed and monitored within CFW. • Actions arising from the 2013 Peer Review of safeguarding have all been actioned. • The Family Justice Review recommendations are being progressed and the new court 					

timescales will be implemented. Authorities are required to achieve outcomes for children in shorter timescales and we will continue to manage potential risks.					
Person or Group Responsible for management of risk			CFW Senior Leadership Team		
Previous risk reviews completed:					
<ul style="list-style-type: none"> • C Pratt, Corporate Director CYPS. April 2009 and October 2009 • M Woodhouse, Interim Corporate Director CYPS. March 2010 and July 2010 • D Brownlee, Corporate Director CYPS. January, April, July, September 2011, January 2012, August 2012, February 2013 and August 2013. • CFW SLT (D Brownlee, L Harper, J Pearce, C Ramsden & C Baker-Longshaw). February 2014. 					
Risk Review Date	October 2014	Completed By	Deborah Brownlee	Designation	Corporate Director CFW

STRATEGIC RISK REGISTER 2014/15			Risk Number		3	
Corporate Priorities		Excellence in Education		Link(s) to Community Strategy Key Objectives		Bright Futures
RISK		Demand for school places underestimated and/ or additional school places are not delivered to satisfy increased demand.				
Consequences		<ul style="list-style-type: none"> • Statutory duty not discharged. • Negative impact on reputation. • Ad hoc expensive provision required. • Disruption to pupils' education. 				
Controls		<ul style="list-style-type: none"> • Thorough review based on most recent birth rates undertaken in January 2012 taking into account recent and planned housing developments. • The comprehensive plan, giving the analysis of and projecting the increased demand for school places considered by the Executive in June 2014 is now being implemented. • Secondary School Sufficiency Review completed and reported to the Council Executive to plan for 2017 and beyond. 				
Risk Assessment	Likelihood	3	Impact	5	Exposure	15
RISK LEVEL		Medium Risk				
Risk Performance Indicators		All children are offered a place at school.				
Effectiveness of controls and performance indicators		The direction of travel remains stable. Planning for school places continues to be an area of risk. All pupils have been placed in schools for the 2014/15 academic year, though not necessarily in the preferred choice of parents. A Capital Programme is in place to address priority areas for expansion in the primary sector up to 2016. Secondary Sufficiency Review has identified options for managing the future projected demand from 2017.				
Improvement Actions (ref to action plans)		<ul style="list-style-type: none"> • Continue to update the review undertaken on most recent birth rates and taking into account recent and planned housing developments. • Monitor the pupil's flows to the independent sectors and non-Trafford schools. • Continue to monitor the demand for primary and secondary school places; produce a plan for meeting these; secure the necessary capital resources and deliver the plan. Current projections suggest that from 2017 the number of secondary school places will be a major issue. • Fragmentation of governance arrangements makes it increasingly difficult to plan places in the secondary sector. Trafford is the Admissions Authority for only one of its 18 secondary schools and, therefore, has limited direct powers in relation to place planning and admissions policies. 				

<ul style="list-style-type: none"> • Update the Executive when Spending Review allocations are published. • Subject to approval, implement the Comprehensive Plan. 					
Person or Group Responsible for management of risk			CFW Senior Leadership Team		
Previous risk reviews completed: <ul style="list-style-type: none"> • C Pratt, Corporate Director CYPS. April 2009 and October 2009 • M Woodhouse, Interim Corporate Director CYPS. March 2010 and July 2010 • D Brownlee, Corporate Director CYPS. January, April, July, September 2011, January 2012, August 2012, February 2013 and August 2013. • CFW SLT (D Brownlee, L Harper, J Pearce, C Ramsden & C Barker-Longshaw). February 2014. 					
Risk Review Date	October 2014	Completed By	Deborah Brownlee	Designation	Corporate Director CFW

STRATEGIC RISK REGISTER 2014/15		Risk Number	4
Corporate Priorities	All Corporate Priorities	Link(s) to Community Strategy Key Objectives	
RISK	<p>There continues to be uncertainty regarding the Council's medium term financial position given the reliance that exists on support from Central Government and that public expenditure reductions are now expected to continue until 2017/18.</p> <p><u>Support from Central Government Cost Pressures</u> The provisional settlement for 2015/16 has been provided, which includes for some grants. The position for the following two years is not known and is unlikely to be considered until after the election of a new government in May 2015.</p> <p>In addition to reducing funding there continues to be cost pressures and demands on the budget including:</p> <ul style="list-style-type: none"> • Increased demand on and in the cost of social care. • Pressure from Transport and Waste Disposal levies. • Employee costs – potential risks in this area include for national pay award, national insurance and pension changes, and the continuing effects of job evaluation. • Organisational change costs. <p>Equally, opportunities for savings through efficiency and economy after five years of austerity budgets are becoming more difficult to find.</p> <p><u>Business Rate Retention</u> The Business Retention Scheme, introduced in April 2013, allows the Council to retain 24.5% of surplus rates collected above a Government determined target, however, the Council is responsible to make up a 49% share any shortfalls. In forecasting income levels, back-dated rating appeals have been a major source of uncertainty as they are large, highly variable, and determined in terms of both timing and level by the Valuation Agency Office which is independent of the Council. To an extent this forecasting uncertainty has now been significantly mitigated by the Council establishing in 2013/14 a provision for such appeals of £37m, to which the Council had to contribute £2.4m. There remains a number of forecasting and other issues such as:</p> <ul style="list-style-type: none"> • The variability of the local economy. • Annual review of the appeals provision. • The unknown impact of the 2017 valuation, including associated appeals. 		

Consequences		<ul style="list-style-type: none"> Reducing level of services across the Authority. Adverse perception of the Authority. Negative impact on reputation. Potential political impact. 				
Controls		<ul style="list-style-type: none"> Likely gross deficit based on best data available for 2015/16 budget year and 2015/18 MTFP period has been updated. The Executive has published its draft budget proposals for 2015/16. The draft budget will reduce from £154.5m to £144.3m (a reduction of 6.6%) and includes a savings programme of almost £24m. These plans will be subject to public consultation, which is due to end on 12 December for most proposals, and the rigours of business case assessment. Prioritisation of budget resource towards demand led budget areas within social care, and other mandatory services. Budget and financial management information systems in place. Regular budget monitoring reports including a Council Tax and Business Rate projections. Government safety net will limit any losses on business rates in a particular year (current annual maximum liability is £2.4m). Reshaping projects widening the scope of realising potential efficiencies through income generation, sharing overheads, introducing technology and investment through partner or contract arrangements. Provisions maintained for anticipated costs of organisational change (employment rationalisation). Smoothing reserves established where necessary for such items as, Treasury Management to avoid changes in the external markets impacting on the budget, and to equalise the costs of the Waste Disposal PFI over the medium term. <ul style="list-style-type: none"> Minimum level of reserves established to provide short term cover for losses. 				
Risk Assessment	Likelihood	5	Impact	5	Exposure	25
RISK LEVEL			High Risk			
Risk Performance Indicators		<ul style="list-style-type: none"> Director of Finance monitoring Council's current year budget. Regular budget/ financial monitoring (Directorates). TPR monitoring transformation and all other savings. 				
Effectiveness of controls and performance indicators		3				
Improvement Actions (ref to action plans)		<ul style="list-style-type: none"> Resource forecasts will be maintained on a regular basis, however, confirmation by the Government of the Local Government Finance Settlement is not expected until late autumn. Improvements to robustness and monitoring processes being actioned. Savings proposals are soon to be subject to public, staff and business consultation, equality impact assessment and a rigorous business case development and robustness review. Variations in both resource levels and savings will be reviewed regularly for CMT and Executive to take remedial action. 				
Person or Group Responsible for management of risk			Director of Finance			
Previous risk reviews completed:						
<ul style="list-style-type: none"> I Duncan, Director of Finance. April 2009; October 2009; February 2010; July 2010, January 2011, September 2012, February 2013 and March 2014. I Kershaw, Head of Financial Management. August 2011 and January 2012. 						

• D Muggeridge, Finance Manager. August 2013.					
Risk Review Date	October 2014	Completed By	Ian Duncan	Designation	Director of Finance

STRATEGIC RISK REGISTER 2014/15				Risk Number	5	
Corporate Priorities			Link(s) to Community Strategy Key Objectives	No specific link		
RISK		Availability of capital resources from sales of surplus assets and Government Grant to support the Capital Programme.				
Consequences		Reduction in ability to deliver capital improvement plans.				
Controls		<ul style="list-style-type: none"> Capital programme and land sales programme reviewed on a quarterly basis and reported to the Executive, including an update on resource availability. Monitor generation of capital receipts. Review of capital expenditure plans accordingly – either continuing to proceed, flexing, rescheduling or postponing as appropriate. 				
Risk Assessment	Likelihood	3	Impact	3	Exposure	9
RISK LEVEL			Medium Risk			
Risk Performance Indicators		<ul style="list-style-type: none"> Capital receipts. Monitoring existing commitments. 				
Effectiveness of controls and performance indicators		4				
Improvement Actions (ref to action plans)		None proposed at present. Values set at realistic levels and some evidence of minor improvements, and new approaches introduced.				
Person or Group Responsible for management of risk			Director of Finance			
Previous risk reviews completed:						
<ul style="list-style-type: none"> I Duncan, Director of Finance. April 2009; October 2009; February 2010; July 2010 and January 2011 I Kershaw, Head of Financial Management. August 2011 J Valentine, Head of Asset Management. January 2012, August 2012 and February 2013. 						
Risk Review Date	August 2013	Completed By	Dave Muggeridge	Designation	Finance Manager	
Risk Review Date	February 2014	Completed By	Graeme Bentley	Designation	Technical Finance Manager	
Risk Review Date	October 2014	Completed By	Ian Duncan	Designation	Director of Finance	

STRATEGIC RISK REGISTER 2014/15				Risk Number	6
Corporate Priorities		<ul style="list-style-type: none"> Services focused on the most vulnerable people Low Council Tax and Value for Money 	Link(s) to Community Strategy Key Objectives	Health & Improved Quality of Life for All.	
RISK		Ability of partnership working with health to deliver joint objectives for vulnerable adults and older people and to improve health inequalities.			
Consequences		<ul style="list-style-type: none"> Not meeting service objectives around key groups of people. 			

	<ul style="list-style-type: none"> • Spend is not best utilised/ limited value for money. • Could lead to reduced service/support to vulnerable persons. 					
Controls	<ul style="list-style-type: none"> • Partnership Boards in place. • Mechanisms in place to support decision-making and deliver governance. • Regular leadership and oversight meetings with Council and NHS Chief Executives. • Leadership and engagement by relevant Chief Officers in respective fields. 					
Risk Assessment	Likelihood	3	Impact	4	Exposure	12
RISK LEVEL			Medium Risk			
Risk Performance Indicators	<ul style="list-style-type: none"> • Signing-off procedures on key agreements and arrangements. • Delivery of health and wellbeing indicators. 					
Effectiveness of controls and performance indicators	<p>3 – There are forums in place which enable Adult Social Services and CCG Commissioners to meet on a regular basis, to ensure the delivery of joint partnership objectives. The Health and Wellbeing Partnership Board has been set up and Public Health responsibilities have been successfully transferred. There are Boards in place to oversee the delivery of joint services e.g. the Mental Health Commissioning Partnership Group and the Integrated Community and Equipment Services Board. There is a positive relationship in place with Pennine Care, Trafford Community Health Provider, based on effective governance and strong partnership working.</p>					
Improvement Actions (ref to action plans)	<ul style="list-style-type: none"> • Work with Health and Wellbeing Partnership to implement Health and Wellbeing Strategy. • Ensuring existing partnerships have governance arrangements in place that are fit for the future. 					
Person or Group Responsible for management of risk	CFW Senior Leadership Team					
Previous risk reviews completed by:	<ul style="list-style-type: none"> • D McNulty, Chief Executive. April 2009. • D Hanley, Deputy Director CWB. February 2010; July 2010 and January 2011. • J Walker, Performance & Partnerships Manager, August 2011 • D Wagstaff, Senior Business Relationship Partner. January 2012 • CWB SMT: (A Higgins, J Wilmott, J Kay & M Grimes). August 2012, CWB SMT: (D Brownlee, L Harper, J Wilmott & J Kay). February 2013 and CFW SMT: (D Brownlee, L Harper, J Wilmott & J Kay). August 2013. • CFW Senior Leadership Team (D Brownlee, L Harper, J Pearce, C Ramsden & C Baker-Longshaw). February 2014. 					
Risk Review Date	October 2014	Completed By	Deborah Brownlee	Designation	Corporate Director CFW	

STRATEGIC RISK REGISTER 2014/15			Risk Number	7
Corporate Priorities	<ul style="list-style-type: none"> • Services focused on the most vulnerable people. • Low Council Tax and Value for Money 	Link(s) to Community Strategy Key Objectives	Health & Improved Quality of Life for All	
RISK	Ability of partnership working to release resources with sufficient speed and execution to deliver joint objectives around children. Increased risk from fragmentation of commissioning arrangements in the health sector.			
Consequences	<ul style="list-style-type: none"> • Not meeting service objectives around key groups of people. • Unable to deliver services to as many people as the Council ought to. • Spend is not best utilised/ limited value for money. • Could lead to reduced service/ support to vulnerable persons. 			
Controls	<ul style="list-style-type: none"> • Children's Trust Board. 			

	<ul style="list-style-type: none"> Joint Commissioning Executive Group. Mechanisms in place to support decision-making and deliver governance. Regular leadership and oversight meetings with Council and CCG Senior Officers. Leadership and engagement by relevant Chief Officers in respective fields. 					
Risk Assessment	Likelihood	3	Impact	5	Exposure	15
RISK LEVEL			Medium Risk			
Risk Performance Indicators	<ul style="list-style-type: none"> Health and Wellbeing Action Plan. Children and Young Persons Delivery Plan. Signing-off procedures on key agreements and arrangements. 					
Effectiveness of controls and performance indicators	<ul style="list-style-type: none"> Health and Well-Being Board for Trafford provides a governance structure supporting local planning, integrated strategic needs assessment and ensuring local accountability, promote integrity and partnership and review major service redesigns of health and wellbeing related services provided by the NHS and Local Government. Integration of adult, children and public health commissioning activity planned as part of the Reshaping Trafford proposals. Strategic Partnership (Section 75) for CYPS Commissioning between the Council and CCG. 					
Improvement Actions (ref to action plans)	<ul style="list-style-type: none"> Work closely with CCG following the transfer of commissioning function to GP consortia and establish links with emerging bodies such as National Commissioning Board and Public Health England. Audit Review of S75 Agreement during 2014/15. Development of integrated financial reporting mechanisms to underpin integrated commissioning activity. 					
Person or Group Responsible for management of risk			CFW Senior Leadership Team.			
Previous risk reviews completed:						
<ul style="list-style-type: none"> M Woodhouse, Interim Director CYPS. March and July 2010 D Brownlee, Corporate Director CYP. January, April, July, September 2011, January 2012, August 2012, February 2013 and August 2013. CFW SLT (D Brownlee, L Harper, J Pearce, C Ramsden & C Baker-Longshaw). February 2014. 						
Risk Review Date	October 2014	Completed By	Deborah Brownlee	Designation	Corporate Director CFW	

STRATEGIC RISK REGISTER 2014/15			Risk Number	8
Corporate Priorities	Services focused on the most vulnerable people	Link(s) to Community Strategy Key Objectives	Health & Improved Quality of Life for All	
RISK	Demand for eligible services outstrips resources in adult social care.			
Consequences	<ul style="list-style-type: none"> Overspend on budgets. People do not receive services they are eligible for. 			
Controls	<ul style="list-style-type: none"> Delivery of MTFP and in year savings. Monitoring of budgets at SLT and service level. Business Delivery Programme Board established to monitor and manage demand, performance and savings delivery. Business case portfolio in place. Resource allocation system introduced and embedded. Improvements made to re-ablement services/ embedding of telecare offer. Improved performance data in place, to identify trends in take up of services. Local business performance indicators developed. 			

Risk Assessment	Likelihood	5	Impact	5	Exposure	25
RISK LEVEL			High Risk			
Risk Performance Indicators	<ul style="list-style-type: none"> Budget monitoring. Project monitoring. 					
Effectiveness of controls and performance indicators	3 – Delivery of savings is on target but demand for services is increasing and impacting on budget.					
Improvement Actions (ref to action plans)	<p>A Budget Monitoring Investigation Action Plan has been developed setting out the findings, conclusions and recommendations following the review and was presented to the Accounts and Audit Committee (26 September 2014). Monitoring of progress against the Action Plan will take place to ensure agreed actions are implemented and details of progress will be reported to future Committee meetings. Key actions include:</p> <ul style="list-style-type: none"> Work on delivering in year and future savings. Implement austerity measures. Improved performance data to identify trends in take-up of services. Improved intelligence around take-up by potential service users. Implement learning disability and mental health programmes. New Learning Disabilities sub-group to be established. Service re-designs to seek efficiency options to increase capacity. New framework contracts let for home care with greater capacity. New burdens funding is being prepared by the Department of Health (re: Care Act). Negotiations complete re: the BCF. On-going risk flagged to CFW Senior Leadership Team and included in the budget setting process. 					
Person or Group Responsible for management of risk	CFW Senior Leadership Team					
Previous risk reviews completed:						
<ul style="list-style-type: none"> D Hanley, Director of Operations. April 2009; July 2010 and January 2011 J Walker, Performance & Partnerships Manager. October 2009, February 2010 and August 2011 D Wagstaff, Senior Business Relationship Partner. January 2012 CWB SMT (A Higgins, J Wilmott, J Kay & M Grimes). August 2012 and CWB SMT (D Brownlee, L Harper, J Wilmott & J Kay). February 2013 and August 2013. CFW SLT (D Brownlee, L Harper, J Pearce, C Ramsden & C Baker-Longshaw). February 2014. 						
Risk Review Date	October 2014	Completed By	Deborah Brownlee	Designation	CFW Senior Leadership Team	

STRATEGIC RISK REGISTER 2014/15			Risk Number	9
Corporate Priorities	Services focussed on the most vulnerable people.	Link(s) to Community Strategy Key Objectives		<ul style="list-style-type: none"> Strong Communities Health & Improved Quality of Life for All
RISK	Failure of the Adult Safeguarding Service.			
Consequences	<ul style="list-style-type: none"> Potential harm to vulnerable individuals. Legal action against the Council. Adverse impact on reputation. 			
Controls	<ul style="list-style-type: none"> Updated Safeguarding strategy in place. Discrete Safeguarding team. Training provided to all key staff. Working with a wide range of partners. 			

	<ul style="list-style-type: none"> • Robust management information and quarterly monitoring in place • Regular multi-agency safeguarding management meeting in place. 					
Risk Assessment	Likelihood	3	Impact	4	Exposure	12
RISK LEVEL			Medium Risk			
Risk Performance Indicators	<ul style="list-style-type: none"> • SMT reporting. • Reports to Safeguarding Board. 					
Effectiveness of controls and performance indicators	3					
Improvement Actions (ref to action plans)	<ul style="list-style-type: none"> • Multi-agency review re: extending safeguarding role and responsibilities underway. • Reports on safeguarding incidents, by individual provider, to be introduced. • Implement quality assurance arrangements. • Re-launch communications with public and partners. 					
Person or Group Responsible for management of risk	CFW Senior Leadership Team					
Previous risk reviews completed:						
<ul style="list-style-type: none"> • D Hanley, Deputy Director CWB. April 2009; October 2009; July 2010 and January 2011 • J Walker, Performance & Partnerships Manager. February 2010 and August 2011 • D Wagstaff, Senior Business Relationship Partner. January 2012 • CWB SMT (A Higgins, J Wilmott, J Kay & M Grimes). August 2012 and CWB SMT (D Brownlee, L Harper, J Wilmott & J Kay). February 2013 & August 2013. • CFW SLT (D Brownlee, L Harper, J Pearce, C Ramsden & C Baker-Longshaw). February 2014. 						
Risk Review Date	October 2014	Completed By	Deborah Brownlee	Designation	Corporate Director CFW	

STRATEGIC RISK REGISTER 2014/15			Risk Number	10		
Corporate Priorities	Value for Money	Link(s) to Community Strategy Key Objectives				
RISK	Breach of health and safety legislation leading to prosecution under the Corporate Manslaughter Act.					
Consequences	<ul style="list-style-type: none"> • Possible personal conviction of Officers and/ or Members. • Adverse impact on reputation. • Financial consequences of fines/ legal claims. 					
Controls	<ul style="list-style-type: none"> • Health and Safety Policy. • Procedures in place to ensure legal compliance. • Risk assessments and safe systems of work. • Health and Safety Advisors aligned to each Directorate to provide expertise and support. • Member awareness. • Management training. • Support to schools provided via SLA. • Audit and Assurance review of the Council's corporate health and safety arrangements. 					
Risk Assessment	Likelihood	2	Impact	5	Exposure	10
RISK LEVEL			Medium Risk			
Risk Performance Indicators	<ul style="list-style-type: none"> • Health and Safety team track all accidents/ near misses. • Six month report to CMT/ Executive and Annual Report to Council. • Targets set for accident reduction. • Corporate Health and Safety Improvement Plan reviewed annually. 					

Effectiveness of controls and performance indicators	2				
Improvement Actions (ref to action plans)	<ul style="list-style-type: none"> • Delivery of work plan to implement recommendations in the corporate improvement plan. 				
Person or Group Responsible for management of risk	All				
Risk reviews completed:					
<ul style="list-style-type: none"> • G Pickering, Corporate Director PPD. April 2009 • P Valentine, IBU Manager. October 2009 • C Hay, Workforce & Core Strategy Officer. August 2012 • J Arnold, Health & Safety Manager. February 2010; July 2010, January 2011, August 2011, February 2013, September 2013 and February 2014. 					
Risk Review Date	October 2014	Completed By	J Arnold	Designation	Health & Safety Manager

STRATEGIC RISK REGISTER 2014/15			Risk Number	11		
Corporate Priorities	Low Council Tax and Value for Money.	Link(s) to Community Strategy Key Objectives	<ul style="list-style-type: none"> • Positive Environmental Impact • Better Homes • Strong Economy 			
RISK	Council does not agree, adopt and deliver carbon reduction targets.					
Consequences	<ul style="list-style-type: none"> • Reputation damage to the Council. • Rising energy bills for residents and businesses. 					
Controls	<ul style="list-style-type: none"> • Key stakeholders engaged. • The Energy and Water Management Plan. • E-technology monitoring tools being utilised. 					
Risk Assessment	Likelihood	4	Impact	3	Exposure	12
RISK LEVEL			Medium Risk			
Risk Performance Indicators	<ul style="list-style-type: none"> • Delivery of the Energy and Water Management Plan. • Delivery of the borough-wide Sustainability Strategy. • Corporate Greenhouse Gas Emissions reporting data. • Council falls out of CRC for Phase 2. • Emissions data for the local authority area (published by DECC). 					
Effectiveness of controls and performance indicators	2					
Improvement Actions (ref to action plans)	<ul style="list-style-type: none"> • Review and update the corporate Energy and Water Management Plan. • Review and update the borough-wide Sustainability Strategy and Action Plan. • Implementation of continuous audit reviews and recommendations. 					
Person or Group Responsible for management of risk	Economic Growth, Environment and Infrastructure (EGEI)					
Risk reviews completed: A Hunt, Sustainability Manager. September 2011 and January 2012, August 2012, February 2013, August 2013 and January 2014.						
Risk Review Date	September 2014	Completed By	A Hunt	Designation	Sustainability Manager	
STRATEGIC RISK REGISTER 2014/15			Risk Number	12		
Corporate Priorities	• Lower Council Tax and	Link(s) to Community	Health & Improved Quality			

	Value for Money. • Services focussed on the most vulnerable people	Strategy Key Objectives	of Life for All
RISK	Performance targets relating to Adult Social Care services are not met.		
Consequences	<ul style="list-style-type: none"> • Services fail. • Adverse impact on Council's reputation. • Failure to meet personalisation agenda. 		
Controls	<ul style="list-style-type: none"> • Performance management framework in place (now also captures CCG information). • Established data flows on statutory/ national indicators and performance indicators. • Monitoring in place within service – a range of weekly, monthly and quarterly reports overseen by Business Delivery Board and reported through to SLT. • Mental Health Trust engaged through Partnership meetings. 		
Risk Assessment	Likelihood	2	Impact
			5
			Exposure
			10
RISK LEVEL		Medium Risk	
Risk Performance Indicators	<ul style="list-style-type: none"> • Performance monitored against national and local performance indicators as per Directorate Performance framework. • Action plans implemented, where appropriate, against underperforming targets. 		
Effectiveness of controls and performance indicators	2		
Improvement Actions (ref to action plans)	<p>Ensure the roll out of the new operating model continues to address key personalisation performance indicators.</p> <ul style="list-style-type: none"> • Monitoring is in place and a range of weekly, monthly and quarterly reports are overseen by the Business Delivery Programme Board. • Performance is monitored against national and local performance indicators as per directorate Performance Framework. The overall improvement in performance evidenced by year has been significant. • It is important to note that the set of Adult Social Care returns is to change from 2014/15 and the implications for on-going indicators and targets, as yet, is unclear. • Related to the above, the baseline for the older people permanent residential admissions measures included as part of the BCF metrics is calculated using the old methodology in the ASCCAR Return. From 2014/15, this information will be generated from the new SALT return. There is no indication as to what the overall implications of this will be and the impact on the figures reported. • Delay to the implementation of the replacement IT system in Adult Social Care (Liquid Logic) may compromise the ability to produce accurate end year reports across a wide range of indicators they will not be based on full year data collection. 		
Person or Group Responsible for management of risk	CFW Senior Leadership Team		
Risk reviews completed:	<ul style="list-style-type: none"> • J Walker, Performance & Partnerships Manager. April 2009; October 2009; February 2010; July 2010, January 2011 and August 2011 • D Wagstaff, Senior Business Relationship Partner. August 2011 and January 2012 • CWB SMT (A Higgins, J Wilmott, J Kay & M Grimes). August 2012 and CWB SMT (D Brownlee, L Harper, J Wilmott & J Kay). February 2013 and August 2013. • CFW SLT (D Brownlee, L Harper, J Pearce, C Ramsden & C Baker-Longshaw). February 2014. 		
Risk Review Date	October 2014	Completed By	Deborah Brownlee
			Designation
			Corporate Director
			CFW

STRATEGIC RISK REGISTER 2014/15				Risk Number		13	
Corporate Priorities		Services focused on the most vulnerable people		Link(s) to Community Strategy Key Objectives		Health & Improved Quality of Life for All	
RISK		Major event leading to inability to deliver critical services to vulnerable people.					
Consequences		<ul style="list-style-type: none"> • Interruption to service provision to vulnerable people. • Financial loss to the organisation. 					
Controls		<ul style="list-style-type: none"> • Business continuity plans under development within Directorate with supporting action plans actively monitored. • Plan development with providers. 					
Risk Assessment	Likelihood	4	Impact	4	Exposure	16	
RISK LEVEL			High Risk				
Risk Performance Indicators		Action plan to test and monitor business continuity plans.					
Effectiveness of controls and performance indicators		2 – Full suite of business continuity plans in place.					
Improvement Actions (ref to action plans)		Establish programme for testing business continuity plans.					
Person or Group Responsible for management of risk				CFW Senior Leadership Team			
Previous risk reviews completed:							
<ul style="list-style-type: none"> • D Hanley, Deputy Director CWB. April 2009; July 2010 and January 2011 • J Walker, Performance & Partnerships Manager. October 2009, February 2010 and August 2011 • D Wagstaff, Senior Business Relationship Partner. January 2012 • CWB SMT (A Higgins, J Wilmott, J Kay & M Grimes). August 2012 and CWB SMT (D Brownlee, L Harper, J Wilmott & J Kay). February 2013 and August 2013. • CFW SLT (D Brownlee, L Harper, J Pearce, C Ramsden & C Baker-Longshaw). February 2014. 							
Risk Review Date	October 2014	Completed By	Deborah Brownlee	Designation	Corporate Director CFW		

STRATEGIC RISK REGISTER 2014/15			Risk Number		14		
Corporate Priorities		All corporate priorities		Link(s) to Community Strategy Key Objectives		<ul style="list-style-type: none"> • Health & Improved Quality of Life for All • Better Homes • Positive Environmental Impact • Strong Economy 	
RISK		Failure to complete the Business Continuity (BC) Programme Project, resulting in an increased risk that the Council fails to deliver Council services in the event of significant disruption.					
Consequences		<ul style="list-style-type: none"> • Failure to meet requirements of the Civil Contingencies Act, good practice and Use of Resources Assessment criteria. • Failure to have sufficient plans in place at a service and corporate level to respond effectively to local and widespread disruption, including that caused by emergencies. • Failure to continue the delivery of critical Council services including those vital to human welfare during disruption. • Failure to ensure services that are outsourced under Reshaping Trafford have robust BC 					

	plans. <ul style="list-style-type: none"> Impact on council reputation. 					
Controls	<ul style="list-style-type: none"> Set of templates and guidelines in place to guide service Business Impact Analysis (BIA) and BC planning. Templates are available on the Council's intranet. There is a Council wide Resilience Forum in place, which includes partner agencies, and shares information and best practice in relation to planning for emergencies and service disruption in order to monitor the effectiveness of the plans. The Emergency Planning Manager offers support to individual services to review plans if required. 					
Risk Assessment	Likelihood	2	Impact	5	Exposure	10
RISK LEVEL			Medium Risk			
Risk Performance Indicators	<ul style="list-style-type: none"> All services to undertake a BIA and where the risk level is a one or two, they must complete a BC plan. Testing programme in place with review periods linked to risk. Corporate BC Plan to be produced. Service level and Corporate BC Plans to be tested. 					
Effectiveness of controls and performance indicators	<ul style="list-style-type: none"> Since the Performance Business Partners who assisted with Service BC Planning have moved to a separate service, BIA and BCP will become more the responsibility of individual service areas. The Emergency Planning Manager updates the BC Intranet Site as necessary and maintains a spread sheet of the status of service planning. 					
Improvement Actions (ref to action plans)	<ul style="list-style-type: none"> A planned test in the form of a table top exercise took place within the T&R Directorate. An Action Plan was developed following the disruptive weather in February 2014 in order to better prepare Council services for dealing with similar incidents. BIA documents and where necessary, BC plans, are in place in most Service Areas. An updated BC Policy was approved by CMT on the 11 December 2013. This will now need some further amendments and updates to reflect service changes, but will remain broadly the same. An updated position statement will be made to CMT in December 2014. The Emergency Planning Manager, together with Manchester City Council and AGMA have been looking at the provision of an on-line E-Learning Package for internal use at Trafford Council. There has been agreement in principle, but the logistics of implementation will have to be worked through. 					
Person or Group Responsible for management of risk	Head of Partnerships and Communities					
Previous risk reviews completed:						
<ul style="list-style-type: none"> A Harrison, Temporary Business Continuity Lead. February 2010; May 2010; July 2010 and January 2011. J Stephenson, Head of Partnerships & Performance. August 2011, August 2012, February 2013, August 2013 and February 2014. 						
Risk Review Date	October 2014	Completed By	David Hooley	Designation	Planning Manager	

STRATEGIC RISK REGISTER 2014/15			Risk Number	15
Corporate Priorities			Link(s) to Community Strategy Key Objectives	
RISK	Implementation of the Special Educational Needs and Disabilities (SEND) reforms set out in the Children and Families Act 2014.			

Consequences		<ul style="list-style-type: none"> Lack of integrated planning leading to a failure to meet the needs of children and young people. Unable to meet statutory duties set out in the Special Educational Needs (SEN) Code of Practice. Financial impact on the Dedicated Schools Grant (DSG) High Needs Block. Potential legal/tribunal challenge to Education, Health and Care (EHC) Plans. Political and reputational damage to the Council. 					
Controls		<ul style="list-style-type: none"> Trafford has been a Special Educational Needs and Disabilities Pathfinder since 2011. Well established governance arrangements. Local offer and Policies designed and implemented. EHC conversion. 					
Risk Assessment	Likelihood	3	Impact	5	Exposure	15	
RISK LEVEL			Medium Risk				
Risk Performance Indicators		<ul style="list-style-type: none"> Measures monitored through governance arrangements with headlines to Business Development Group and SLT. Number of EHC Plans. Number of conversions. Number of mediations. Number of tribunals. 					
Effectiveness of controls and performance indicators		<ul style="list-style-type: none"> Implementation plan on target. Local Offer available from September 2014. Consultation on new policies to start in October 2014. Good engagement from parents and other stakeholders in governance arrangements. 					
Improvement Actions (ref to action plans)		<ul style="list-style-type: none"> Independent mediation service to be commissioned from April 2015. 0-25 EHC assessment to be established from April 2015. Progress against all key actions identified in the implementation plan. 					
Person or Group Responsible for management of risk			CFW SLT				
Previous risk reviews completed:							
Risk Review Date	October 2014	Completed By	D Brownlee	Designation	Corporate Director CFW		

STRATEGIC RISK REGISTER 2014/15				Risk Number		16
Corporate Priorities		Services focussed on the most vulnerable people	Link(s) to Community Strategy Key Objectives	Health & Improved Quality of Life for all		
RISK		Adult Social Care Budget 2014/15: Ability to implement wide range of savings proposals in the current economic conditions.				
Consequences		<ul style="list-style-type: none"> Difficulty of implementing wide range of budget savings proposals destabilises provision with potential that people may not receive the services they are eligible for. Not delivering budget savings within agreed timescales leading to an overspend. Potential risk to destabilising the social care market in Trafford arising from implementing wide range of budget savings proposals. 				
Controls		<ul style="list-style-type: none"> Regular monitoring of budget at SLT and service level. Robust plans for implementation of budget savings proposals. Business Delivery Programme Board to monitor and manage savings delivery. Performance data in place to identify trends in take up of service. Market management and intelligence role of CWF Commissioning Officers. 				
Risk Assessment	Likelihood	5	Impact	5	Exposure	25

RISK LEVEL		High Risk			
Risk Performance Indicators	<ul style="list-style-type: none"> Budget monitoring. SLT reporting. Business Delivery Programme Board's role in monitoring and managing savings proposals delivery. 				
Effectiveness of controls and performance indicators	3 <ul style="list-style-type: none"> Each proposal has agreed business case and risk rating. Consultation exercise was completed. Budget savings proposals being closely monitored. Performance data being collected on an on-going basis. 				
Improvement Actions (ref to action plans)	A Budget Monitoring Investigation Action Plan has been developed setting out the findings, conclusions and recommendations following the review and was presented to the Accounts and Audit Committee (25 September 2014). Monitoring of progress against this Plan will take place to ensure agreed actions are implemented and details of progress will be reported to future committee meetings. Key actions include: <ul style="list-style-type: none"> Actions have been assigned to key officers. New budget holders have been confirmed and training completed re: budget management. Revised governance arrangements for budget monitoring have been agreed and are in place with an agreed escalation process. Monitoring of trends and activities linked to changes in spending. Additional in year savings targets to reduce spend. Budget has been rebased (use of Council reserves and Council wide resources). 				
Person or Group Responsible for management of risk	CFW Senior Leadership Team				
Previous risk reviews completed:					
<ul style="list-style-type: none"> J Kay, Finance Manager and D Wagstaff, Senior Business Relationship Partner. March 2012 CWB SMT (A Higgins, J Wilmott, J Kay & M Grimes). August 2012 and CWB SMT (D Brownlee, L Harper, J Wilmott & J Kay). February 2013 and August 2013. CFW SLT (D Brownlee, L Harper, J Pearce, C Ramsden & C Baker-Longshaw). February 2014. 					
Risk Review Date	October 2014	Completed By	Deborah Brownlee	Designation	Corporate Director CFW

STRATEGIC RISK REGISTER 2014/15			Risk Number	17		
Corporate Priorities	<ul style="list-style-type: none"> Low Council Tax and Value for Money Economic Growth and Development 	Link(s) to Community Strategy Key Objectives	<ul style="list-style-type: none"> Positive Environmental Impact 			
RISK	Inability to meet Trafford residents' requests to have burials within the local area due to insufficient land.					
Consequences	<ul style="list-style-type: none"> Impact on MTFP. Reputational damage to the Council. Council does not acquire the required additional burial land. 					
Controls	<ul style="list-style-type: none"> On-going negotiations to acquire new land. Effective project management of land acquisition and development. Capital monies available for purchase. 					
Risk Assessment	Likelihood	3	Impact	4	Exposure	12

RISK LEVEL		Medium Risk			
Risk Performance Indicators	<ul style="list-style-type: none"> Project deadlines for land acquisition established. Compliance with development plan deadlines (to be established). Monitor available burial space in all Council cemeteries. 				
Effectiveness of controls and performance indicators	2				
Improvement Actions (ref to action plans)	<ul style="list-style-type: none"> Agreement in principle reached to purchase additional land. Decision of acquisition expected September 2014. Anticipated final purchase November 2014. Additional possibilities also being looked at adjacent Urmston Cemetery. Risk reduced to medium. Planning application to be submitted following acquisition. 				
Person or Group Responsible for management of risk	Economic Growth, Environment and Infrastructure (EGEI)				
Previous risk reviews completed:					
Phil Valentine, Environment Strategic Business Manager. August 2013 and February 2014.					
Risk Review Date	September 2014	Completed By	Dave Jennings	Designation	Bereavement Services Manager

STRATEGIC RISK REGISTER 2014/15			Risk Number	18		
Corporate Priorities	Reshaping Trafford Council	Link(s) to Community Strategy Key Objectives	<ul style="list-style-type: none"> Strong Communities SC3 Increased overall satisfaction with services in all communities 			
RISK	The Council website is not easily accessible, services are unable to update information or provide service responses fast enough through digital challenges to meet customer expectations. Other channels of communication – face to face, telephone and Member’s surgeries - gain increased numbers of requests due to reliability issues around digital channels.					
Consequences	<ul style="list-style-type: none"> Up to date information about how to access Trafford services via channels which residents prefer is not available. Costs around access to information and services are higher than necessary and customers are less satisfied because the process is not as easy as it should be. 					
Controls	The new Customer Strategy and Communication Strategy will work together to identify customer preferences within Trafford, and put systems, support and staffing in place to meet those needs, allowing easy, self-service to information and services 24/7.					
Risk Assessment	Likelihood	3	Impact	4	Exposure	12
RISK LEVEL		Medium Risk				
Risk Performance Indicators	<ul style="list-style-type: none"> Consultation provides up to date information about residents’ preferences. Customer and Communication strategies developed in line with customer preferences, support reduction in avoidable contact and any future changes to how services are delivered. Customer and Communication systems, staffing and support are in place to deliver the actions plans from those strategies. Successful delivery of new Content Management System (CMS). CMS meets the needs of Trafford Council, including successful links to partner organisations that are responsible 					

	for service delivery now and in the future.				
Effectiveness of controls and performance indicators	<ul style="list-style-type: none"> • Delivery of Customer Strategy - Customer Service Board. • On-going review of CMS Project to ensure delivery. All services now have the capability of updating their own web pages and key members of staff throughout all Directorates have received training on CMS – Sarah Curran • Additional strategic communication support to develop and deliver a Communications Strategy and plans linked to priorities, including the Customer Strategy – Kelly Dooley. 				
Improvement Actions (ref to action plans)	<ul style="list-style-type: none"> • Ensure strong linkages between the Customer Strategy, CMS and Communications Strategy. • Develop Communication action plans linked to Council priorities (link to actions plans). Most will include communication. Ensure we develop a more proactive approach with more planning by services allowing the opportunity to plan communication according to priorities – meet customer requirements, use communication methods that residents use – more digital, less print. Deliver value for money • The Council website was launched on 1 October 2013 and is far more transactional than the previous version with Apply for It, Book It, Pay for It, Request It and Say It boxes allowing customers to self-serve. • The new CRM System will come on stream next year, allowing customers to further self-serve. • The website has Browse Aloud functionality. This enables people to access the website whose first language is not English and those who have visual impairments. • Rationalisation of Council microsites has taken place and the remaining sites have been updated. • As a result of the CRM work there will be a significant increase in the range of service that can be accessed and reported via the website. • A Communications Strategy is in place to inform customers and staff of the changes. 				
Person or Group Responsible for management of risk	<ul style="list-style-type: none"> • Customer Service Board • CMS Project • Interim Marketing and Communications Manager and Communications Team 				
Risk Review Date	September 2013	Completed By	Lynda Fothergill & Communications	Designation	Interim Marketing & Communications Manager
Risk Review Date	February 2014	Completed By	Sarah Curran	Designation	Head of Customer Service
Risk Review Date	October 2014	Completed By	Sarah Curran	Designation	Head of Customer Service

STRATEGIC RISK REGISTER 2014/15			Risk Number	19
Corporate Priorities		Link(s) to Community Strategy Key Objectives		
RISK	<p>Impact and implementation of the Care Act. Royal Assent was granted to the Care Bill in May 2014 and it is now the Care Act. The Act represents the most significant reform of care and support in over 60 years, putting people and their carers in control of their care and support and introducing a cap on how much people will have to pay for the costs of care in their lifetime.</p> <p>Other key elements include new rights for carers to assessment and support, introduction of a national eligibility threshold for care and support, Local Authority responsibility for preventative services and the provision of universal information.</p>			
Consequences	<ul style="list-style-type: none"> • Increased financial pressure due to cost cap and increased responsibilities. 			

	<ul style="list-style-type: none"> Increased demand on already stretched capacity due to increased responsibility for assessment and developing of care accounts for all residents requiring care. Potential reputational damage through failure to meet changed responsibilities and duties. 					
<i>Controls</i>	<ul style="list-style-type: none"> Trafford Council are linked in to the Care Act National and Regional Networks. Adult Social Care Business Delivery Board providing overview and scrutiny role in relation to preparations and readiness. Programme Manager in place to oversee the programme of change. Programme Board and governance arrangements in place to oversee the implementation of the Care Act Programme. Eight work streams which link in with existing structures are in place to deliver the changes and reforms outlined in the Care Act. The deliverables and timescales mapped across the programme to ensure Trafford meet the Care Act requirements in a timely manner. The financial reform work stream is undertaking comprehensive financial modelling and will highlight any significant financial impacts. 					
Risk Assessment	Likelihood	5	Impact	3	Exposure	15
RISK LEVEL			Medium			
Risk Performance Indicators	<ul style="list-style-type: none"> Business Delivery Programme Board reporting. SLT reporting. Care Act Programme Board role in co-ordinating, shaping and driving the changes. Programme management approach in place. Timescales and deliverables mapped. 					
Effectiveness of controls and performance indicators	2 – Governance programme management in place but full impact on process, demand, capacity and budgets is still being modelled.					
Improvement Actions (ref to action plans)	<ul style="list-style-type: none"> Complete financial modelling. Finalise proposals for change. Continue involvement in regional and national networks to learn from other areas. 					
Person or Group Responsible for management of risk			Adult Social Care Delivery Board.			
Risk Review Date	August 2013	Completed By	Deborah Brownlee	Designation	Corporate Director CFW	
Risk Review Date	February 2014	Completed By	Deborah Brownlee, Linda Harper, John Pearce, Charlotte Ramsden & Carol Baker-Longshaw	Designation	CFW Senior Leadership Team	
Risk Review Date	October 2014	Completed By	Deborah Brownlee	Designation	Corporate Director CFW	

STRATEGIC RISK REGISTER 2014/15		Risk Number	20
Corporate Priorities	<ul style="list-style-type: none"> Services focused on the most vulnerable people 	Link(s) to Community Strategy Key Objectives	

		• Reshaping Trafford Council				
RISK	<p>Trafford Council must ensure that information held about citizens, employees, partners, contractors, members and organisations in Trafford are safe in their hands. To be able to assure its partners and the public that this is the case they need to demonstrate that they are handling personal/ sensitive and commercial data securely both in technology and physical terms. They also need to ensure that 3rd parties acting on their behalf are handling their data sets in accordance with Trafford Council's policies and procedures. This is a corporate risk and the risk to the Council is reputational, financial, adverse publicity and could ultimately be a breach of the Data Protection Act. (T&R)/(T&R).</p>					
Consequences	<ul style="list-style-type: none"> • Statutory duty not discharged. • Negative impact on reputation. • Unforeseen financial implications • Emotional damage to service users <p>The risk is a mixture of reputational, financial, adverse publicity and could ultimately be a breach of the Data Protection Act resulting in a fine or multiple fines up to £500k.</p>					
Controls	<ul style="list-style-type: none"> • A project to develop policies, procedures, communication and training is complete and training is underway. • Reviews of data breaches have been carried out to identify problem areas, these areas have been given priority to implementing controls to mitigate against reoccurrence. • Mandatory training is being rolled out to all staff • Specific role related training is being rolled out to specialist staff • N3 accreditation through the IG Toolkit. (Access to NHS records)has been completed. • An annual work plan has been developed to improve on current processes and to monitor and enforce best practice, this work plan is making good progress with a completion date for all activities set to the 31 December 2014. 					
Risk Assessment	Likelihood	3	Impact	5	Exposure	15
RISK LEVEL			Medium			
Risk Performance Indicators						
Effectiveness of controls and performance indicators						
<ul style="list-style-type: none"> • An Information Governance Project Board has been set up to oversee the Information Governance work. • The project to develop policies and procedures has been completed. • Training Needs Assessments have been carried out to identify the training requirements of staff, partners, consultants and members. • A communications plan has been developed and a communications campaign took place focusing on protecting information, employees responsibilities, mandatory training and guidelines and toolkits to enable 'best practice' information governance. 						
Improvement Actions (ref to action plans)						
<ul style="list-style-type: none"> • Continue to update the Information Governance Board on progress. • Communication will take the form of informing, education and enforcing over the coming 12 months. • Monitoring of the effectiveness of the campaign will be carried out through system audits, data protection audits, reviews of data flows and reviews/updates of all contracts with 3rd parties and data sharing partners. • The Senior Information Risk Owner (SIRO) will regularly update CMT on the 						

progress of the work plans.					
Person or Group Responsible for management of risk			Wendy Marston – Corporate Director of Transformation & Resources		
Risk Review Date	25 February 2014	Completed By	Paula Titterington	Designation	Records & Information Systems Manager
Risk Review Date	24 September 2014	Completed By	Paula Titterington	Designation	Records & Information Systems Manager

STRATEGIC RISK REGISTER 2014/15				Risk Number	21	
Corporate Priorities		Services focused on the most vulnerable people.	Link(s) to Community Strategy Key Objectives		Health and Improved Quality of Life	
RISK	Failure or delay to implement new Adult Social Care System (Liquid Logic (LL))					
Consequences	<ul style="list-style-type: none"> Impact on service provision, payment to providers, billing, care assessments and reviews. Major capacity issues and increase the risk to service users as the processes would be manual and paper based rather than electronic. Negative impact on the delivery of the Council's Corporate Priorities and the Community Strategy. 					
Controls	<ul style="list-style-type: none"> Business Continuity Plan (BCP) is updated to include an interim non Adult Social Care Review System for new and existing business. Next data migration round (DM6) will be a full data push and will confirm the length of the data freeze. LL and Oxford Computer Consultants Risks, Assumptions, Issues and Dependencies Log updated weekly during project to identify problems and provide solutions. Escalation process established to communicate issues and risks. Softbox will be used during the data freeze to pay providers and invoice clients until LL recovery plan is complete. Finance data freeze strategy is almost complete and will be presented to the Board for finance. Finance will be identified to assist with data entry into LL after migration. Communicate regularly with supplier to minimise risks and identify issues early. Review the work packages against the proposed "Go Live" and extend if possible. Ensure the correct level of resource is available in order to meet the project deadlines. 					
Risk assessment	Likelihood	4	Impact	5	Exposure	20
RISK LEVEL				High Risk		
Risk Performance Indicators	Detailed project plan and periodical milestones.					
Effectiveness of controls and performance indicators	This is a new risk which will be closely monitored. An action plan will be developed to ensure business readiness.					
Improvement Actions (ref to action plans)	<ul style="list-style-type: none"> Develop plan and milestones. Share and shape plans with stakeholders. Coproduce delivery. Monitor capacity of Project Team. Monitor milestones and risk. 					
Person or Group Responsible for management of risk			Identified members of Operational Services and Project Team			
Risk Review	October 2014	Completed By	Deborah	Designation	Corporate Director	

Date		Brownlee		CFW.
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STRATEGIC RISK REGISTER 2014/15				Risk Number	22
Corporate Priorities		<ul style="list-style-type: none"> • Low Council Tax • Value for Money • Reshaping Trafford Council 	Link(s) to Community Strategy Key Objectives		
RISK	The Transformation Programme savings will not be delivered in full				
Consequences	<ul style="list-style-type: none"> • Increased pressure on budgets as a result of securing additional, sustainable savings immediately or in the subsequent year. • Unplanned budget and service impact adversely affecting service provision levels, quality and performance. • Adverse impact on reputation. • In year revision of other project activity which may have adverse consequences. 				
Controls	<ul style="list-style-type: none"> • Transformation Board/CMT. • Transformation, Resources and Performance Group. • Transformation Programme monthly monitoring, exception reporting and benefits realisation monitoring. 				
Risk assessment	Likelihood	3	Impact	5	Exposure 15
RISK LEVEL				Medium Risk	
Risk Performance Indicators	<ul style="list-style-type: none"> • Budget monitoring. • Project monitoring. 				
Effectiveness of controls and performance indicators	<p>The governance arrangements in place are mature and effective with appropriate senior level representation and authority to provide the support, challenge, advice and decision making required.</p> <ul style="list-style-type: none"> • The Transformation Portfolio savings target are reviewed and monitored monthly. • In May, the savings targets were reviewed by TPR. As a result, the saving target is revised from the original value of £5,559k of the £13,659m MTFP savings for 2014/15 to £5,484k of £13,776k. • At August 2014, of the revised savings target £4,746k (86.5%) had been delivered. • Based on the level of savings achieved to date and the governance improvements in place, the risk is being managed proactively. 				
Improvement Actions (ref to action plans)	<ul style="list-style-type: none"> • Work closely with Senior Responsible Officers to identify risk to savings at the earliest opportunity and identify appropriate and considered mitigation plans. • Escalate exceptions to the Transformation Board accordingly. 				
Person or Group Responsible for management of risk		Joanne Hyde – Programme Director			
Risk Review Date	21 May 2014	Completed By	Sarah Maynard	Designation	Transformation Programme Manager
Risk Review Date	2 October 2014	Completed By	Sarah Maynard	Designation	Transformation Programme Manager

STRATEGIC RISK REGISTER 2014/15				Risk Number	23
Corporate Priorities		<ul style="list-style-type: none"> • Low Council Tax. • Value for Money. • Reshaping Trafford Council. 	Link(s) to Community Strategy Key Objectives		

RISK	The Reshaping Trafford Council Programme doesn't progress to plan and/or deliver its expected outcomes.					
Consequences	<ul style="list-style-type: none"> • The new organisational model is not delivered. • Adverse impact on reputation. • Increased pressure on budgets as a result of securing additional, sustainable savings immediately or in the subsequent year via new initiatives. • Unplanned budget and service impact adversely affecting service provision levels, quality and performance. • Adverse impact on other programme activity, due to the significant interdependencies across the programme. • The new organisational model is not underpinned by a shaping demand strategy. 					
Controls	<ul style="list-style-type: none"> • Transformation Board/CMT. • Transformation, Resources and Performance Group. • Transformation Programme monthly monitoring, exception reporting and benefits realisation monitoring. • Supporting Change to Happen Steering Group. • Resource planning. • Provision of sufficient budget to resource the programme. 					
Risk assessment	Likelihood	3	Impact	5	Exposure	15
RISK LEVEL				Medium Risk		
Risk Performance Indicators	<ul style="list-style-type: none"> • Budget monitoring. • Project monitoring. • Executive key decision 1 September 2014. 					
Effectiveness of controls and performance indicators	<ul style="list-style-type: none"> • The governance arrangements in place are mature and effective with appropriate senior level representation and authority to provide the support, challenge, advice and decision making required. • The programme is still on track to deliver its objectives and is routinely monitored by TPR, CMT and Members. It is envisaged that from April 2015, the Transformation Programme becomes the 'Reshaping Trafford Council Programme' and all projects actively planned links on to it. On this basis, the budget consultation process and proposals for 2015/16 will be built around the Reshaping Trafford Council Blueprint. • The programme was subject to an independent review by Local Partnerships in July 2014. This was completed at the Council's request to provide an objective and strategic level assessment of the programme's outcomes and objectives and confirm the fit with the Council's overall strategy. The review rated the programme as 'amber/red' but acknowledged the programme is still forming and that the budget process for 2015/16 will further shape it. An Action Plan has been produced which addresses the eight recommendations made by the review and this has been approved and will be implemented in full by February 2015, providing a solid governance foundation for the programme going forward. 					
Improvement Actions (ref to action plans)	<ul style="list-style-type: none"> • CMT to continue to support understanding of and engagement in the programme, to secure support for it to continue to the original plan with minimal disruption. • Work closely with Senior Responsible Officers to identify risk to projects at the earliest opportunity and identify appropriate and considered mitigations plans. • Escalation of exceptions to plan to CMT/Transformation Board at the earliest opportunity. 					
Person or Group Responsible for management of risk	Wendy Marston – Corporate Director of Transformation and Resources.					
Risk Review	2 October 2014	Completed By	Sarah Maynard	Designation	Transformation	

Date					Programme Manager
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STRATEGIC RISK REGISTER 2014/15				Risk Number	24	
Corporate Priorities	Services focused on the most vulnerable people.	Link(s) to Community Strategy Key Objectives	Health and improved quality of life.			
RISK	Ability to implement the Early Help (Wellbeing Hub) in Trafford by April 2015. Risks around capacity, timescales, resources, interdependencies and sufficient coproduction. New interdependency with health and social care integration programme requires a review of plans and programme governance, risking possible delay.					
Consequences	<ul style="list-style-type: none"> If the Early Help Hub is not implemented it impacts the Council's ability to manage future demand. Hub is now included with the Health and Social Care Integration Programme in Trafford's BCF submission, it is not implemented it will impact on the Council's ability to reduce admissions to acute services. 					
Controls	<ul style="list-style-type: none"> Programme Manager in place. Programme Board established. Baseline work has taken place to scope and model the Wellbeing Hub resulting in an initial business case and project plan. Engagement work has taken place to co-produce an initial model in conjunction with the public, partners, providers and staff. Work planned to bring together integration and hub programmes, their governance and delivery models. Updates being shared and meetings taking place with partners and stakeholders to keep informed and maintain their interest. Revised plans to be shared and shaped with stakeholders. Revised milestones to be agreed and monitored to review risk. 					
Risk Assessment	Likelihood	3	Impact	5	Exposure	15
RISK LEVEL			Medium Risk			
Risk Performance Indicators	Detailed project plan and periodical milestones.					
Effectiveness of controls and performance indicators	At present 2 – as plans are being revised to link with Integration Programme. Once new plans and milestones are agreed effectiveness will increase to 3.					
Improvement Actions (ref to action plans)	Treat the risk. <ul style="list-style-type: none"> Develop plan and milestones. Share and shape plans with stakeholders. Coproduce delivery. Monitor capacity of Project Team. Monitor milestones and risk. 					
Person or Group Responsible for management of risk	Programme Manager – Commissioning Service.					
Previous risk reviews completed:						
<ul style="list-style-type: none"> CFW SLT (D Brownlee, L Harper, D Eaton, J Pearce, C Ramsden and C Baker-Longshaw). June 2014 						
Risk Review Date	October 2014	Completed By	D Brownlee	Designation	Corporate Director CFW	

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TRAFFORD COUNCIL

Report to: Accounts and Audit Committee
Date: 19 November 2014
Report for: Information
Report of: Audit and Assurance Manager

Report Title

Accounts and Audit Committee – Work Programme – 2014/15

Summary

This report sets out the updated work plan for the Committee for the 2014/15 municipal year.

It outlines areas to be considered by the Committee at each of its meetings, over the period of the year. The work programme helps to ensure that the Committee meets its responsibilities under its terms of reference and maintains focus on key issues and priorities as defined by the Committee.

The work programme is flexible and can have items added or rescheduled if this ensures that the Committee best meets its responsibilities.

Recommendation

The Accounts and Audit Committee is asked to note the 2014/15 work programme.

Contact person for access to background papers and further information:

Name: Mark Foster – Audit and Assurance Manager
Extension: 1323

Background Papers: None

Committee Meeting Dates	Areas of Responsibility of the Committee					
	Internal Audit	External Audit	Risk Management	Governance (including Annual Governance Statement)	Anti- Fraud & Corruption Arrangements	Accounts
26 June 2014	Agree Committee's Work Programme for 2014/15 (including consideration of training and development) Training & Development – Draft accounts (provided outside committee)					
	- 2013/14 Annual Internal Audit Report	- Audit Progress Report		- Review 2013/14 draft Annual Governance Statement - Accounts and Audit Committee 2013/14 Annual Report to Council		- Pre-audited 2013/14 accounts update - Treasury Management Annual Performance 2013/14 - Insurance Performance Report 2013/14.
6 August 2014	Special Meeting (included an item listed under Exclusion Resolution - Investigation in to Budget Monitoring Arrangements at Trafford Council).					
						- Review 2013/14 pre-audited accounts - Revenue Budget Monitoring Report Period 12 Outturn
25 September 2014						
	- Q1 Internal Audit Monitoring Report	- Audit Findings Report		- 2013/14 Annual Governance Statement (final version) - Budget Monitoring Investigation Action Plan	- Benefit Fraud Investigation 2013/14 Annual Report / Single Fraud Investigation Service update	- Approval of Annual Statement of Accounts 2013/14 - Budget Monitoring Report.

Committee Meeting Dates	Areas of Responsibility of the Committee					
	Internal Audit	External Audit	Risk Management	Governance (Including Annual Governance Statement)	Anti- Fraud & Corruption Arrangements	Accounts
19 November 2014	Presentation on the STaR Procurement arrangements					
	- Q2 Internal Audit monitoring report	- Annual Audit Letter - Audit Update	- Strategic Risk Register Monitoring Report	Consider improvement actions taken in 2014/15 in respect of 2013/14 governance issues : - Presentation on the Transformation programme / Reshaping Trafford - Budget Monitoring Action Plan update		- Treasury Management : mid-year review - Budget Monitoring Report.
10 February 2015						
	- Q3 Internal Audit monitoring report	- Audit Update - Grant Claims report		- Report on arrangements for 2014/15 Annual Governance Statement - Consider improvement actions taken in 2014/15 in respect of 2013/14 governance issues.		- Treasury Management Strategy - Reserves update - Budget Monitoring Report
24 March 2015						
	- 2015/16 Internal Audit Plan	- Audit Plan - Audit Update	- Strategic Risk Register Monitoring Report	- Consider improvement actions taken in 2014/15 in respect of 2013/14 governance issues.	- Anti Fraud & Corruption / National Fraud Initiative update	- Budget Monitoring Report.

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