

TRAFFORD COUNCIL

Report to: Accounts and Audit Committee

Date: 25 March 2014

Report for: Information

Report of: Audit and Assurance Manager

Report Title

STRATEGIC RISK REGISTER (SRR) – 2013/14 Quarter 4

Purpose of the Report

The Accounts and Audit Committee is asked to consider this report which contains an update on the strategic risk environment for quarter four, 2013/14. This includes arrangements in place to manage each of the strategic risks.

Recommendation

The Accounts and Audit Committee reviews the 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: None

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, for quarter four 2013/14, is based on information provided by risk owners through January to March 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 September 2013.

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. The Audit & Assurance Service requested current strategic risk owners to provide a summary update on the strategic risks that are under their remit including progress in managing these risks.
- 2.2 **Overall, it is considered that the level of strategic risk faced by the Council remains fairly stable.**
- 2.3 Since the last strategic risk monitoring update was reported to the Accounts and Audit Committee (Quarter two report 2013/14 in September 2013), two strategic risks have been added to the Register. Details are as follows:
 - SR 20 (Risk added in quarter three) – 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 third 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 and could ultimately be a breach of the Data Protection Act.
 - SR21 (Risk added in quarter four) – Ability to support schools in delivering the new national requirement in supplying Free School Meals.

- 2.4 The risk exposure score has remained stable or improved for many risks, with the exception of one.
- SR8 – Demand for eligible services outstrips resources in adult social care: Risk exposure score has increased from 20 (High) to 25 (High).
- 2.5 Four risks have reduced their risk exposure score:
- SR1 - Major regeneration projects do not proceed due to economic and financial constraints has decreased from 15 (Medium) to 8 (Low).
 - SR12 - Statutory targets relating to Adult Social Care services are not met has decreased from 12 (Medium) to 10 (Medium).
 - SR14 - Failure to complete the Business Continuity Programme Project, resulting in an increased risk that the Council may fail to deliver Council services in the event of significant disruption has decreased from 12 (Medium) to 10 (Medium).
 - SR17 -Inability to meet Trafford residents' requests to have burials within the local area due to insufficient land has decreased from 16 (High) to 12 (Medium).
- 2.6 The risk charts on page four show 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 now 21 strategic risks (four of which are considered high level).
- 2.7 Overall, it is considered that the strategic risk environment is stable overall. **Performance in managing the risks has been stable or shown improvement** as highlighted in the summary analysis of each risk on pages 5 to 16.

Comparison of Risk Levels December 2013 and March 2014

IMPACT	Risk Levels – December 2013				
Very High(5)	4	4	2	1	
High (4)	1	3			
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 – 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.

High Risk
Medium Risk
Low Risk

3. Summary Table –Strategic Risks (March 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. (EGP)/(EGP)	8 Low	↑ Improvement	<p>All project risks contained and detailed within individual project plans. Overall, all projects within tolerance.</p> <ul style="list-style-type: none"> • Urmston Phase 2 is now completed. • Altair planning application has been approved. • Funding has been approved for the OTMP, and Land Pooling Agreement on preparation. • Altrincham public realm strategy agreed and phase 1 complete. Procurement of design consultants for phase 2 to commence in February 2014. • Proposals for new Altrincham Library approved at Executive. Anticipated lease completion April 2014. • New operator for Altrincham market appointed and Operating Agreement and Agreement for lease completed (November 2013). • Stretford Masterplan approved (January 2014). • Draft Altrincham Strategy approved (January 2014). • Sale of Carrington by Shell to Langtee 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	20 High	↔ Stable	<ul style="list-style-type: none"> • Trafford took part in a Safeguarding Peer Review in February and received the final letter on 05 June 2013. An action plan in response was agreed and is almost complete. The overall messages about safeguarding were very positive, with recognition of good practice, strong partnership working and a learning organisation. The feedback has been 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

	<p>responsibilities and/ or insufficient numbers of staff, particularly social workers with relevant experience, to provide effective safeguarding services to children and young people. (CFW)/(Supporting Children and Families)</p>			<p>authority safeguarding arrangements in November 2013 and several authorities have now been inspected. Authorities only receive 24 hours 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. We anticipate an early inspection but have no way of knowing when it might happen.</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. • 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
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				<p>reflect the work already undertaken and the work needed for the future.</p> <ul style="list-style-type: none"> • The Family Justice Review recommendations are being progressed and the new court timescales will be implemented in full by April 2014. This requires all Authorities to achieve outcomes for children in shorter timescales and for more expert work to be undertaken by Social Workers rather than additional professionals. • 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.
3	<p>Demand for school places under-estimated and/ or additional school places are not delivered to satisfy increased demand. (CFW)/(Education)</p>	<p>15 Medium</p>	<p>↔ Stable</p>	<ul style="list-style-type: none"> • All children have been allocated places for the 2013/14 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 launched with schools to manage the projected increases working through from the primary sector. A report on the outcome of consultations will be presented to the Executive in April 2014. The Review also addresses the fragmentation of governance arrangements.
4	<p>There continues to be 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>25 High</p>	<p>↔ Stable</p>	<ul style="list-style-type: none"> • The budget for 2014/15 has been balanced, however, even after allowing for a 2% rise in the Council Tax rate and 0.5% increase in the base per year, it is forecasted that a further £49.8m of savings will be required by 2017/18. • Risks surrounding the Business Rates Retention Scheme continue as the Government has not announced comprehensive regulations and accounting practices which are required to fully determine the impact of the Scheme in-year and in future years.

	(T&R)/(Finance)			<p>Further, analytical data from the Valuation Office Agency on valuation appeals is limited, making it difficult to determine impact in terms of timing and quantum.</p> <ul style="list-style-type: none"> • Council Tax Base and the demands on the Council Tax Subsidy Scheme would appear to be better than initially planned for, which has made a £1m contribution to the 2014/15 and ongoing sustainable budget. • Service spending continues to be tightly controlled with a forecasted under-spend on the revenue budget of £(0.353)m from services. • The focus of the Executive and Corporate Management Team has now moved to future budgets at a time of significant austerity. Business cases around potential future business models are in development for review by CMT mid to late March.
5	Availability of capital resources from sales of surplus assets and Government Grant to support the Capital Programme. (T&R)/(Finance)	9 Medium	↔ Stable	<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.

6	Ability of partnership working in relation to vulnerable adults and older people. (CFW)/(Adult Social Services)	12 Medium	 Stable	<p>No change in the risk since last update.</p> <ul style="list-style-type: none"> • The Health and Wellbeing Board is established. • The Health and Wellbeing Strategy has been subject to extensive consultation and was signed off by the Board in October 2013. The underpinning Action Plan is under development in partnership with the Clinical Commissioning Group (CCG), and wider stakeholders. • A Health and Wellbeing Programme Delivery Board has been convened to continue the population of the action plan on a wider partnership footprint. • 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 planned from 1 April 2014. • 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	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. (CFW)/(Supporting Children & Families)	15 Medium	 Stable	<ul style="list-style-type: none"> • Strategic Partnership Agreement (Section 75) for CYPS Integrated Commissioning agreed for approval at October Executive. • Consistent contract management arrangements in place for community health contract. • Ongoing risk in relation to the role of NCB's local area team as associate commissioner and lead funding agency for HV and some school nursing services. • Successful transition of Community Health contract to Pennine Care and revised governance arrangements. • Revised Joint Commissioning Executive Group (JCEG) to be established from January 2014.
8	Demand for eligible services outstrips resources in adult	25 High		<ul style="list-style-type: none"> • Winter period has seen an increase in demand re-hospital discharges.

	social care (CFW)/(Adult Social Services)	(Dec. 2013 – 20 : High)	↔ Stable	<ul style="list-style-type: none"> • Increased numbers coming through reablement and homecare adding pressure to financial resources. • Business Delivery Programme Board continues to monitor and manage demand, performance and savings delivery based on a collaborative model, including commissioners, operations, health colleagues, Finance and Performance. The model has been commended by the MJ Awards in relation to its innovative approach. • A Business Case portfolio is in place. • 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 Re-ablement is embedded, and continues to be evaluated. • Strong operational links developed with the hospitals to manage delayed transfer.
9	Failure of the Adult Safeguarding Service (CFW)/(Adult Social Services)	10 Medium	↔ Stable	<p>No change in the risk since the last update.</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
10	Breach of health and safety legislation leading to prosecution under the Corporate Manslaughter Act (T&R)/(T&R)	10 Medium	↔ Stable	<p>No change in the risk since the last update.</p> <ul style="list-style-type: none"> • New guidance has been issued for managers and staff on health and safety training, to ensure that all staff receive the necessary statutory health and safety training required for their job. • The Corporate Health and Safety Policy has been updated to reflect current corporate priorities, structures and arrangements for managing health and safety and to align with minor changes to the law, to ensure that the policy is up to date and relevant. • A Corporate Health and Safety Improvement Plan has been agreed by

				CMT for 2013-14.
11	Council does not agree, adopt and deliver carbon reduction targets. (ETO)/(Highways & Environment) & (EGP)/(EGP)	12 Medium	↔ Stable	<ul style="list-style-type: none"> Trafford successfully submitted its 2013 Carbon Reduction Commitment (CRC) Scheme Annual Report and ordered and surrendered the required number of carbon allowances. Annual Greenhouse Gas Reporting information has been submitted to DECC and published on the Council's website. Installation of Automatic Meter Readers is underway. Progress has also been made on the electronic population of the Council's energy database, which will be upgraded to a new system soon. A refreshed Energy and Water Management Plan, including street lighting and transport, is being prepared to provide a framework for carbon emissions reduction. In December 2012, the government published simplifications to the CRC Energy Efficiency Scheme. The qualification year for Phase 2 of the CRC is 2012/13. Based on new official guidance, under the proposed new arrangements, Trafford will fall out of the CRC Scheme at the beginning of Phase 2 in 2014/15 The Council is engaging with the AGMA Public Buildings Retrofit Team to explore the potential for schools retrofit programme, as well as the Greater Manchester Heat Network Programme looking at a project for Trafford Park.
12	Statutory targets relating to Adult Social Care services are not met. (CFW)/(Adult Social Services)	10 Medium	↑ Improvement	<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.
13	Major event leading to inability to deliver critical services to vulnerable people. (CFW)/(Adult Social Services)	9 Medium	↔ Stable	Business Continuity Plans have been embedded and updated.
14	Failure to complete the Business Continuity (BC)	10 Medium		<ul style="list-style-type: none"> Prior to the final Internal Audit Report, the Business Continuity templates were

	<p>Programme Project, resulting in an increased risk that the Council may fail to deliver Council services in the event of significant disruption. (T&R)/(T&R)</p>		<p style="text-align: center;">↑ Improvement</p>	<p>completely revised and have since been issued with other guidance as a Business Continuity Toolkit hosted on the Council's Intranet site.</p> <ul style="list-style-type: none"> • The revamped Council website also provided an opportunity to update the information on the Business Continuity pages. • An updated Business Continuity Policy was approved by CMT on 11 December 2013. • The Head of Partnerships and Performance has agreed that each Corporate Directorate will take part in a Business Continuity exercise in 2014, followed by a corporate event. The first event will be themed around ICT Disaster Recovery and this will take place early April 2014. • A spreadsheet outlining the current structure of the Council, highlighting the current status of business continuity planning across the Authority, using the Red, Amber and Green (RAG) system. An updated position statement will be made to CMT at the beginning of March 2014. • For ease of reference a summary of the RAG spreadsheet is outlined below: <ul style="list-style-type: none"> • <u>Children, Families and Wellbeing (Adults)</u>. All Business Impact Analyses (BIAs) and necessary Business Continuity (BC) plans completed. • <u>Children, Families and Wellbeing (Children)</u>. All BIAs and necessary BC plans completed except Education Standards and Area Support. They are shown Amber in the spreadsheet and are expected mid-December. • <u>Economic Growth and Prosperity</u>. All BIAs and BC plans complete. • <u>Environment, Transport and Operations</u>. Still awaiting Environment Strategy, some of Environmental Operations, School Transport and Public Protection. • Transformation and Resources. Still awaiting responses from Legal and Democratic. The Communications Team, HR and Culture and Sport
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				<p>have this work in progress. ICT are now updating their Disaster Recovery/ BCP.</p> <ul style="list-style-type: none"> • <u>Corporate Plan</u>. If all service plans are finalised by the end of March 2014, the target is to complete a new corporate plan by the end of April 2014. <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.</p>
15	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. (CFW)/(Education)	15 Medium	↔ Stable	<ul style="list-style-type: none"> • 17 Trafford schools (12 secondary and five primary) have Academy Status. • It is expected academy conversion will continue in the next year in the primary sector with notification of another four potential academies received. • The DfE has clarified its expectation that any school judged, by Ofsted, to be inadequate should become a sponsored academy as soon as possible. • Risk has been mitigated by the successful maintenance of the Trafford family of schools and proactive work within academies.
16	Adult Social Care Budget 2013/14: Ability to implement wide range of savings proposals in the current economic conditions. (CFW)/(Adult Social Services).	15 Medium	↔ Stable	<ul style="list-style-type: none"> • 85% of savings proposals have been delivered. • The demand management remains a significant risk and is mirrored nationally. The demand pressures will continue to be monitored through the Business Delivery Programme Board on a weekly basis throughout the year. • It is currently difficult to project the outturn. The reducing pressure of the Learning Disability (LD) Pooled Fund following significant action by the Directorate will continue to be a priority linked to the Recovery Plan which is in place and will see a balanced position over a two year period. The LD Partnership Agreement will be reviewed including revisiting the contribution to the Pooled Budget from the CCG.
17	Inability to meet Trafford residents’ requests to have burials within the local area due to insufficient land. (ETO)/(Highways and Environment)	12 Medium	↔ Stable	<ul style="list-style-type: none"> • Agreement in principal reached to purchase additional land. • Decision of acquisition expected in April 2014. • Anticipated final purchase April 2014. • Additional possibilities also being looked

				<p>at adjacent Urmston Cemetery.</p> <ul style="list-style-type: none"> • Risk reduced to a medium. • 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 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. (T&R)/(T&R).</p>	<p>12 Medium</p>	<p>↑ Improvement</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 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. • 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 next year and will allow for further customers to self-serve where they can. • 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.
19	<p>Impact and implementation of the Care Bill. The Care Bill was published in May 2013 and outlines new duties and responsibilities for Local Authorities, building on the</p>	<p>15 Medium</p>	<p>↔ Stable</p>	<ul style="list-style-type: none"> • A baseline exercise has been completed by the Business Delivery Programme Board and a high level action completed. • Programme Board has been established. • Leads within Programme Board identified for eight work streams.

	<p>Governments “Caring for our Future” White Paper, published last year. Key elements include new rights for carers to assessment and support, national eligibility threshold for care and support, a cap on the costs that people will have to pay for care, financial protection for those with modest wealth, deferred payment agreements, Local Authority responsibility for preventative services and the provision of information and a duty to carry out needs assessments. (CFW)/(Adult Social Services).</p>			<ul style="list-style-type: none"> • Work taken forward following national guidance when provided. • Programme Manager appointed.
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 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>	<p>15 Medium</p>	<p>↑ Improvement</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. • Following this work an annual work plan has been developed to monitor internal policies and procedures and systematically scan the external environment for any legal or statutory changes in obligations placed on the Council. • Information Asset Owners have been identified in all areas of the Council to ensure that the culture of Information Governance is embedded in the Council’s day to day activities. • Corporate Information Governance Groups have been identified to assist in embedding information governance in the culture of the Council.

21	Ability to support schools in delivering the new national requirement in supplying Free School Meals (FSM) (ETO)/(Environmental Operations)	16 High	New Risk	New Risk – for details of this risk see risk register on pages 38/39 of report.
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* 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 (March 2014)

STRATEGIC RISK REGISTER 2013/14			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 Altair, 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	Altair = 2 Altrincham = 2 OTMP = 2 Carrington = 2	Impact	Altair = 4 Altrincham = 4 OTMP = 4 Carrington = 4	Exposure	Altair = 8 Altrincham = 8 OTMP = 8 Carrington = 8 Average = 8
RISK LEVEL			Low Risk (Average)			
Risk Performance Indicators	<p>Altair</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 Altair (see above). Support of local traders/ organisations/residents. Altrincham Town Team in place (July 2013). Draft Altrincham Strategy approved for consultation (January 2014). <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. Report to Council Executive due March 2014. Land Pool Agreement under development. 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 ongoing. • 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 time times and delivery of key mile stones.				
Person or Group Responsible for management of risk	Economic Growth and Prosperity (EGP)				
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 					
Risk Review Date	August 2012	Completed By	Rob Haslam/ John Steward	Designation	Acting Strategic Planning Manager/ Interim Economic Growth Lead
Risk Review Date	February 2013	Completed By	Stephen James	Designation	Economic Growth Manager
Risk Review Date	August 2013	Completed By	Helen Jones	Designation	Corporate Director – EGP
Risk Review Date	January 2014	Completed By	Richard Roe	Designation	Head of Growth.

STRATEGIC RISK REGISTER		Risk Number	2
2013/14			
Corporate Priorities		Link(s) to Community Strategy Key Objectives	
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. 		

		<ul style="list-style-type: none"> 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 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 strengthens 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. Requirements of the Munro review are being progressed via an implementation plan. 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 and February 2013 						
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	

STRATEGIC RISK REGISTER 2013/14			Risk Number		3	
Corporate Priorities		Link(s) to Community Strategy Key Objectives				
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 2013 is now being implemented. Secondary School Sufficiency Review to plan for 2017 and beyond. 				
Risk Assessment	Likelihood	3	Impact	5	Exposure	15
RISK LEVEL			Medium Risk			
Risk Performance Indicators						
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 2013/14 academic year, though not necessarily in the preferred choice of parents. A two year resource allocation has been received from the DfE and a capital programme planned in line with projections.				
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 potential consequence of the economic recession of parents transferring from private schools to Trafford state schools. Continue to monitor the demand for primary and secondary school places; produce a plan 				

		<p>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.</p> <ul style="list-style-type: none"> • 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. A secondary school sufficiency review has been launched with schools to manage the projected increases that are coming through the primary sector. • 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			
<p>Previous risk reviews completed:</p> <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 and February 2013 					
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

STRATEGIC RISK REGISTER 2013/14		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 Council's grant settlement for 2014/15 is known and the provisional settlement for 2015/16 has been provided. 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 adult 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><u>Business Rate Retention</u> A new financial regime for Business Rates was introduced in April 2013. This will allow the Council to have a share of 24.5% of any growth in rates above the baseline set for Trafford. However, the Council will become responsible for 49% of any reductions below the baseline. The Council has had to set aside £2.4m for</p>		

	losses arising from appeals made by businesses against their rateable values. Despite this there are still a large number of outstanding appeals that could adversely impact on the Council. These appeals are determined by the Valuation Office Agency.					
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"> The Council's budget for 2014/15 was agreed in February 2014. Prioritisation of budget resource towards demand led budget areas within social care. Budget and financial management information systems in place. Regular (at least monthly) budget monitoring reports including a Council Tax and Business Rate projections. Liaison with Valuation Office. Government safety net will limit losses on business rates (Trafford's maximum liability in 2014/15 is £2.4m). 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 Waster Disposal PFI over the medium term. 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 (at least monthly) budget/ financial monitoring (Directorates). TPR monitoring transformation savings. Consideration of the likely position in 2015/18 has been re-assessed. 					
Effectiveness of controls and performance indicators	3					
Improvement Actions (ref to action plans)	<ul style="list-style-type: none"> Will need to refresh MTFP. Other options for savings being developed by Corporate Directors. 					
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 and January 2012. 						
Risk Review Date	September 2012	Completed By	Ian Duncan	Designation	Acting Corporate Director – T&R	
Risk Review Date	February 2013	Completed By	Ian Duncan	Designation	Director of Finance	
Risk Review Date	August 2013	Completed By	Dave Muggeridge	Designation	Finance Manager	
Risk Review Date	March 2014	Completed By	Ian Duncan	Designation	Director of Finance	

STRATEGIC RISK REGISTER 2013/14				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		

STRATEGIC RISK REGISTER 2013/14				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. 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	3 – There are forums in place which enable Adult Social Services and CCG commissioners to meet on a regular basis, to ensure the deliver 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.				
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 					
Risk Review Date	August 2012	Completed By	Anne Higgins, Jo Willmott, Jeremy Kay & Mark Grimes	Designation	CWB Senior Management Team
Risk Review Date	February 2013	Completed By	Deborah Brownlee, Linda Harper, Jo Willmott & Jeremy Kay	Designation	CWB Senior Management Team
Risk Review Date	August 2013	Completed By	Deborah Brownlee, Linda Harper, Jo Willmott & Jeremy Kay	Designation	CFW Senior Management Team
Risk Review Date	February 2014	Completed By	Deborah Brownlee, Linda Harper, John Pearce, Charlotte Ramsden & Carol Baker-Longshaw	Designation	CFW Senior Leadership Team

STRATEGIC RISK REGISTER 2013/14			Risk Number	7
Corporate Priorities	<ul style="list-style-type: none"> • Services focused on the most vulnerable people. • 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 role of National Commissioning Board (NCB) local area team as associate commissioner and lead funding agency for health visiting and some school nursing services.			
Consequences	<ul style="list-style-type: none"> • Not meeting service objectives around key groups of people. 			

	<ul style="list-style-type: none"> • 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. • Joint Commissioning Management Board. • Mechanisms in place to support decision-making and deliver governance. • Regular leadership and oversight meetings with Council and CCG Chief Executives. • 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"> • 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"> • Establishment of the Health and Well-Being Board for Trafford provide 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. • Strategic Partnership (Section 75) for CYPS Commissioning is being revised following the transition from the Primary Care Trust to CCG. • Community health services tender for CYPS and CAMHS completed and awarded to Pennine Care, successful transition and new S75 Agreement approved. • Children's Trust Board receives quarterly performance indicator updates. • CTB successful in bidding for a range of project funding from the LAA reward grant to support partnership delivery of priorities. 					
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. • Provider S75 Agreement combined with Adult Services to create an all age integrated agreement. 					
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 and February 2013 						
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	

STRATEGIC RISK REGISTER 2013/14			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 SMT 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		4 – Delivery of savings is on target but demand for services is increasing and impacting on budget.				
Improvement Actions (ref to action plans)		<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 LD and mental health programmes. 				
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 						
Risk Review Date	August 2012	Completed By	Anne Higgins, Jo Willmott, Jeremy Kay & Mark Grimes	Designation	CWB Senior Management Team	
Risk Review Date	February 2013	Completed By	Deborah Brownlee, Linda Harper, Jo Willmott & Jeremy Kay	Designation	CWB Senior Management Team	
Risk Review Date	August 2013	Completed By	Deborah Brownlee, Linda Harper, Jo Willmott & Jeremy Kay	Designation	CWB Senior Management Team	
Risk Review Date	February 2014	Completed By	Deborah Brownlee, Linda Harper, John Pearce, Charlotte Ramsden & Carol Baker-Longshaw	Designation	CFW Senior Leadership Team	

STRATEGIC RISK REGISTER 2013/14			Risk Number	9
Corporate Priorities	Services focussed on the	Link(s) to Community	•Strong Communities	

	most vulnerable people.	Strategy Key Objectives	•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. • Robust management information and quarterly monitoring in place • Regular multi-agency safeguarding management meeting in place. 					
Risk Assessment	Likelihood	2	Impact	5	Exposure	10
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 						
Risk Review Date	August 2012	Completed By	Anne Higgins, Jo Willmott, Jeremy Kay & Mark Grimes	Designation	CWB Senior Management Team	
Risk Review Date	February 2013	Completed By	Deborah Brownlee, Linda Harper, Jo Willmott & Jeremy Kay	Designation	CWB Senior Management Team	
Risk Review Date	August 2013	Completed By	Deborah Brownlee, Linda Harper, Jo Willmott & Jeremy Kay	Designation	CWB Senior Management Team	
Risk Review Date	February 2014	Completed By	Deborah Brownlee, Linda Harper, John Pearce, Charlotte Ramsden & Carol Baker-Longshaw	Designation	CFW Senior Leadership Team	

STRATEGIC RISK REGISTER 2013/14			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. • Improved support to schools to be provided via SLA. 					
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 from February 2008 report. • Audit & Assurance to undertake a review of the Council's corporate health and safety arrangements. 					
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 • J Arnold, Health & Safety Manager. February 2010; July 2010, January 2011 and August 2011 							
Risk Review Date	August 2012	Completed By	C Hay	Designation	Workforce & Core Strategy Officer		
Risk Review Date	February 2013	Completed By	J Arnold	Designation	Health & Safety Manager		
Risk Review Date	September 2013	Completed By	J Arnold	Designation	Health & Safety Manager		
Risk Review Date	February 2014	Completed By	J Arnold	Designation	Health & Safety Manager.		

STRATEGIC RISK REGISTER 2012/13			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"> • Financial consequences due to lack of CRC compliance. • Reputation damage to the Council. 		

Controls		<ul style="list-style-type: none"> • Key stakeholders engaged. • Low Carbon Infrastructure Delivery Group established. • The Energy and Water Management Plan. • The Borough –wide Sustainability Strategy. • 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. • Reporting compliance with CRC Energy Efficiency Scheme. • Corporate Greenhouse Gas Emissions reporting data. • 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			EGP are primarily responsible for this risk supported by ETO			
Risk reviews completed: A Hunt, Sustainability Manager. September 2011 and January 2012, August 2012 and February 2013.						
Risk Review Date	August 2013	Completed By	A Hunt	Designation	Sustainability Manager	
Risk Review Date	January 2014	Completed By	A Hunt	Designation	Sustainability Manager	

STRATEGIC RISK REGISTER 2013/14			Risk Number		12	
Corporate Priorities		<ul style="list-style-type: none"> • Lower Council Tax and Value for Money. • Services focussed on three most vulnerable people 	Link(s) to Community Strategy Key Objectives		Health & Improved Quality of Life for All	
RISK		Statutory 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 PCT 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 SMT. • Mental Health Trust engaged through Partnership meetings. 				
Risk Assessment	Likelihood	2	Impact	5	Exposure	10
RISK LEVEL			Medium Risk			
Risk Performance Indicators		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 – Effective governance provided by Adult Social Care Business Delivery Board.				
Improvement Actions (ref to action plans)	Ensure the roll out of the new operating model continues to address key personalisation performance indicators.				
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 					
Risk Review Date	August 2012	Completed By	Anne Higgins, Jo Willmott, Jeremy Kay & Mark Grimes	Designation	CWB Senior Management Team
Risk Review Date	February 2013	Completed By	Deborah Brownlee, Linda Harper, Jo Willmott & Jeremy Kay	Designation	CWB Senior Management Team
Risk Review Date	August 2013	Completed By	Deborah Brownlee, Linda Harper, Jo Willmott & Jeremy Kay	Designation	CFW Senior Management Team
Risk Review Date	February 2014	Completed By	Deborah Brownlee, Linda Harper, John Pearce, Charlotte Ramsden & Carol Baker-Longshaw	Designation	CFW Senior Leadership Team

STRATEGIC RISK REGISTER 2013/14				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	3	Impact	3	Exposure	9	
RISK LEVEL				Medium 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 					
Risk Review Date	August 2012	Completed By	Anne Higgins, Jo Willmott, Jeremy Kay & Mark Grimes	Designation	CWB Senior Management Team
Risk Review Date	February 2013	Completed By	Deborah Brownlee, Linda Harper, Jo Willmott & Jeremy Kay	Designation	CWB Senior Management Team
Risk Review Date	August 2013	Completed By	Deborah Brownlee, Linda Harper, Jo Willmott & Jeremy Kay	Designation	CFW Senior Management Team
Risk Review Date	February 2014	Completed By	Deborah Brownlee, Linda Harper, John Pearce, Charlotte Ramsden & Carol Baker-Longshaw	Designation	CFW Senior Leadership Team

STRATEGIC RISK REGISTER 2013/14		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. 			
Controls		<ul style="list-style-type: none"> • Set of templates and guidelines in place to guide service business continuity planning. • Performance Business Partners have responsibility to support Directorates to review plans on an annual basis. • Council wide Civil Contingencies Steering Group in place to plan testing of plans and to monitor the effectiveness of the plans. 			
Risk Assessment	Likelihood	2	Impact	5	Exposure 10
RISK LEVEL			Medium Risk		
Risk Performance Indicators		<ul style="list-style-type: none"> • All services to have a Business Continuity Plan. • Testing programme in place with review periods linked to risk. • Corporate BC Plan to be produced. • Service level and Corporate Business Continuity Plans to be tested. 			

Effectiveness of controls and performance indicators	2				
Improvement Actions (ref to action plans)	<ul style="list-style-type: none"> • Testing plan to be developed by Partnerships and Performance, (Emergency Planning), and rolled out during 2014 across Directorates. • BIA documents and where necessary, BCP, are in place in most service areas. • An updated BC Policy was approved by CMT on the 11 December 2013. • An updated position statement will be made to CMT in March 2014. 				
Person or Group Responsible for management of risk	Head of Performance and Partnerships				
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 and February 2013 					
Risk Review Date	August 2013	Completed By	Jayne Stephenson	Designation	Head of Partnerships & Performance
Risk Review Date	February 2014	Completed By	Jayne Stephenson & David Hooley	Designation	Head of Performance & Partnerships & Emergency Planning Manager

STRATEGIC RISK REGISTER 2013/14			Risk Number	15		
Corporate Priorities		Excellence in Education		Link(s) to Community Strategy Key Objectives		Bright Futures
RISK	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.					
Consequences	<ul style="list-style-type: none"> • Significant reduction in Dedicated Schools Grant. • Possible reduction in “buy back” arrangements of school services – loss of income. • Possible reduction in purchase of authority wide service contracts e.g. Payroll, Grounds Maintenance, Buildings Maintenance, Legal, Audit, Insurance etc. • Human Resource implications – if we no longer provide services to a substantial number of schools then will not need to maintain (or be able to afford) current staffing levels – unless we substantially increase costs to other schools. • All good and outstanding schools are eligible for independent Academy Status. All satisfactory schools may convert to Academy Status with good/ outstanding sponsor. • Underperforming schools will be compelled to convert as part of an Academy chain. 					
Controls	Monitoring the position of schools who have expressed an interest.					
Risk Assessment	Likelihood	5	Impact	3	Exposure	15
RISK LEVEL			Medium Risk			
Risk Performance Indicators	<ul style="list-style-type: none"> • Twelve secondary and five primary schools have Academy Status. • Two primary schools are in process of converting (March/April 2014) and two special schools have received approval from the Secretary of State to convert (possibly September 2014). • A number of other secondary schools are giving serious consideration to conversion. • There is a very low level of interest in primary schools although it is anticipated that this will accelerate in the next year. Numbers under constant review. The DfE has indicated that any school judged (by OFSTED) to be inadequate should become a sponsored academy as soon as possible. • Working relationships with schools that have converted to Academy status remain 					

	excellent.				
Effectiveness of controls and performance indicators	<ul style="list-style-type: none"> • SLA improvement programme in place. • Dialogue and review of SLAs agreed for 2013/14 has commenced feedback from schools and has been positive to date and School Improvement Services has achieved buy back of £120,000. • Programme of regular meetings with Academy principles to ensure effective partnership working continue to take place. • Academies have become members of the Schools Joint Negotiating Committee. • Academy schools are represented on the School Funding Forum. 				
Improvement Actions (ref to action plans)	<ul style="list-style-type: none"> • To continue to offer value for money SLAs to schools who become Academy Status. • To monitor closely the position regarding status of schools that currently have expressed and interest and to work with the Headteacher and Governing Bodies. • To continue the programme of meeting with Senior Officers. 				
Person or Group Responsible for management of risk	CFW Senior Leadership Team/Corporate Director (T&R)				
Previous risk reviews completed:					
<ul style="list-style-type: none"> • M Woodhouse, Interim Corporate Director CYPS. July 2010 • D Brownlee, Corporate Director CYPS. January April, July, September 2011, January 2012, August 2012 and February 2013 					
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

STRATEGIC RISK REGISTER 2013/14				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 2013/14: 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 SMT 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 CWB commissioning officers. 					
Risk Assessment	Likelihood	3	Impact	5	Exposure	15	
RISK LEVEL				Medium Risk			
Risk Performance Indicators		<ul style="list-style-type: none"> • Budget monitoring. • SLT reporting. 					

	<ul style="list-style-type: none"> 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. 100% of savings proposals delivered. 				
Improvement Actions (ref to action plans)					
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 					
Risk Review Date	August 2012	Completed By	Anne Higgins, Jo Willmott, Jeremy Kay & Mark Grimes	Designation	CWB Senior Management Team
Risk Review Date	February 2013	Completed By	Deborah Brownlee, Linda Harper, Jo Willmott & Jeremy Kay	Designation	CWB Senior Management Team
Risk Review Date	August 2013	Completed By	Deborah Brownlee, Linda Harper, Jo Willmott & Jeremy Kay	Designation	CFW Senior Management Team
Risk Review Date	February 2014	Completed By	Deborah Brownlee, Linda Harper, John Pearce, Charlotte Ramsden & Carol Baker-Longshaw	Designation	CFW Senior Leadership Team

STRATEGIC RISK REGISTER 2013/14			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). 					

	<ul style="list-style-type: none"> • 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 principal reached to purchase additional land. • Decision of acquisition expected April 2014. • Anticipated final purchase April 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			ETO supported by EGP		
Risk Review Date	August 2013	Completed By	Phil Valentine	Designation	Interim Marketing and Communications Manager
Risk Review Date	February 2014	Completed By	Phil Valentine	Designation	Environment Strategic Business Manager.

STRATEGIC RISK REGISTER 2013/14				Risk Number	18	
Corporate Priorities	Reshaping Trafford Council	Link(s) to Community Strategy Key Objectives	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 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. • Ongoing 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 – Lynda Fothergill 			
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. 			
Person or Group Responsible for management of risk		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

STRATEGIC RISK REGISTER 2013/14			Risk Number	19
Corporate Priorities		Link(s) to Community Strategy Key Objectives		
RISK	<u>Impact and implementation of the Care Bill.</u> The Care Bill was published in May 2013 and outlines new duties and responsibilities for Local Authorities, building on the Governments “Caring for our Future” White paper, published last year. Key elements include new rights for carers to assessment and support, national eligibility threshold for care and support, a cap on the costs that people will have to pay for care, financial protection for those with modest wealth , deferred payment agreements, Local Authority responsibility for preventative services and the provision of information and a duty to carry out needs assessments.			
Consequences	<ul style="list-style-type: none"> • Increased financial pressure due to cost cap and increased responsibilities. • 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. 			
Controls	<ul style="list-style-type: none"> • The Bill is currently subject to consultation and Trafford Council are drafting a response and linking in with National and regional networks 			

	<ul style="list-style-type: none"> Adult Social Care Business Delivery Board providing overview and scrutiny role in relation to preparations and readiness. 					
Risk Assessment	Likelihood	5	Impact	3	Exposure	15
RISK LEVEL			Medium			
Risk Performance Indicators						
Effectiveness of controls and performance indicators	This is a new risk which will be closely monitored. An action plan has already been developed to ensure business readiness.					
Improvement Actions (ref to action plans)						
Person or Group Responsible for management of risk	CFW Senior Leadership Team					
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	

STRATEGIC RISK REGISTER 2013/14		Risk Number	20
Corporate Priorities	<ul style="list-style-type: none"> Services focused on the most vulnerable people Reshaping Trafford Council 	Link(s) to Community Strategy Key Objectives	
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 underway 		

		<ul style="list-style-type: none"> • Reviews of data breaches are underway to identify problem areas • Mandatory training is being rolled out to all staff • Specific role related training is being rolled out to specialist staff • A project underway to gain N3 accreditation through the IG Toolkit. (Access to NHS records) • An annual work plan has been developed to improve on current processes and to monitor and enforce best practice 				
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 made significant improvements to prepare the council for managing their information in line with information governance guidelines. • Training Needs Assessments are in the process of being carried out to identify the training requirements of staff, partners, consultants and members. • A communications plan has been developed and a communications campaign will be underway before Easter 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 and Information Systems Manager	

STRATEGIC RISK REGISTER 2013/14			Risk Number	21
Corporate Priorities	Low Council Tax and Value for Money	Link(s) to Community Strategy Key Objectives	Health and improved quality of life for all.	
RISK	Ability to support schools in delivering the new national requirement in supplying Free School Meals (FSM).			
Consequences	<ul style="list-style-type: none"> • Failure to deliver the capital funding requirements (to ensure infrastructure/equipment) placed with the LEA to deliver FSM. • Failure to deliver administer additional FSC funding and delivery of additional meals. • Reduction in current standard of FSM. • Negative impact on reputation. • Adverse impact on catering service. 			

	<ul style="list-style-type: none"> • Failure to deliver new national requirement. • Negative impact on other contracts held with schools. 					
Controls	<ul style="list-style-type: none"> • Lead officers identified. • Schools SLA group. • Analysis of needs (infrastructure/administration/delivery) started. • Project plans being developed. 					
Risk assessment	Likelihood	Infrastructure/equipment = 4 Administration of funding = 3 Delivery of additional meals = 4 Overall = 4	Impact	Infrastructure/equipment = 5 Administration of funding = 4 Delivery of additional meals = 4 Overall = 4	Exposure	Infrastructure/equipment = 5 Administration of funding = 3 Delivery of additional meals = 4 Overall = 16
RISK LEVEL			High Risk (Average)			
Risk Performance Indicators	<ul style="list-style-type: none"> • Educations Buildings Group (EBG) takes responsibility for co-ordination and allocation of capital monies to schools (including VA schools who are required to find 10% of the capital themselves). • Capital monies, Schools Revenue and DFC are utilised where appropriate to ensure implementation of the additional FSMs can be delivered. • A project group be established (EBG, Schools SLA Group, Access Trafford – FSM data collection and the Catering Service). • Investigation and analysis of individual schools needs in relation to equipment, staffing, suppliers, serving times, implementation costs, variable meal costs. • Information guidance to schools/parents on application requirement for FSM. • Implementation of data collection/analysis of FSM uptake. 					
Effectiveness of controls and performance indicators	Infrastructure/equipment = 2 Administration of funding = 3 Delivery of additional meals = 3					
Improvement Actions (ref to action plans)	Regular performance meetings with developers/key stakeholders to ensure project time and delivery of key milestones.					
Person or Group Responsible for management of risk	Environment Transport and Operations (ETO)					
Risk Review Date	January 2014	Completed By	Phil Valentine	Designation	Environment Strategic Business Manager	