

## TRAFFORD COUNCIL

**Report to:** Accounts and Audit Committee  
**Date:** 15 July 2020  
**Report for:** Information  
**Report of:** Audit and Assurance Manager

### Report Title

**Strategic Risk Register 2020/21 (July 2020 update)**

### Summary

The Accounts and Audit Committee is asked to consider this report which provides an update on the strategic risk environment, setting out developments relating to the management of each of the Council's strategic risks.

### Recommendation

The Accounts and Audit Committee notes the report.

### Contact person for access to background papers and further information:

**Name:** Mark Foster – Audit & Assurance Manager.      **Extension:** 1323  
Peter Morris – Senior Audit & Assurance Officer      **Extension:** 2841

### **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 Leadership Team (CLT) provides regular periodic updates on the strategic risk environment and in particular performance in managing the specific risks incorporated within the SRR.
- 1.3 This report is based on information provided by risk owners in June/July 2020 for each risk unless otherwise stated.

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

- 2.1 The Audit & Assurance Service liaised with CLT and senior managers to agree the risks to be included in the strategic risk register and provide updates on risks under their remit, including progress in managing these risks. Section 3 of this report contains an update on the strategic risks previously reported to the Corporate Leadership Team in March 2020. Where applicable, risks have been updated in light of developments in respect of the COVID-19 outbreak.
- 2.2 The risk chart below shows an analysis of the current strategic risks. The chart analyses the levels of risk exposure in terms of impact and likelihood. The number of strategic risks for each risk level is shown. There are currently 15 strategic risks. For each risk listed in Section 3, this includes the relevant Executive Portfolio and Service Directorate.
- 2.3 Since March 2020, there was an increase in the risk scores for two of the risks as a result of the COVID-19 pandemic. These relate to the following:
  - Risk 10 – Breach in Health and Safety increasing from a score of 10 (Medium) to 20 (High).
  - Risk 12 - Delay in completing the Business Continuity (BC) Programme Project, resulting in an increased risk that the Council may fail to deliver Council services in the event of significant disruption increasing from a score of 10 (Medium) to 15 (Medium).
- 2.4 A new risk has been added to the strategic risk register (See Risk 15) in relation to the impact of COVID-19 on Leisure Services.
- 2.5 The overall risk of significant disruption as a result of the COVID-19 pandemic (See Risk 1) was initially reported at the highest risk level (score of 25) to CLT in March 2020 but has recently been reduced to a high level score of 20 reflecting response actions and overall developments in recent months.

2.6 The next strategic risk update will be undertaken through the second quarter of 2020/21 and reported to the Accounts and Audit Committee at its meeting in October 2020.

**Comparison of Risk Levels March and July 2020**

**IMPACT** **Risk Levels – March 2020**

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

**LIKELIHOOD**

**IMPACT** **Risk Levels – July 2020**

Very High(5)		6	6		
High (4)		1	1	1	
Medium (3)					
Low (2)					
Very Low (1)					
	Very Low (1)	Low (2)	Med. (3)	High (4)	Very High (5)

**LIKELIHOOD**

<b>High Risk</b>
<b>Medium Risk</b>
<b>Low Risk</b>

### 3. Strategic Risks (July 2020)

Red	Amber	Green
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<i>Risk</i>	<i>Strategic Risk Title / (Directorate / Portfolio)</i>	<i>Risk Score / Level / Direction of Travel</i>	<i>Management of Risk - Direction of Travel **</i>  <i>(Refer to the key at the end of the report for a detailed explanation)</i>	<i>Comments</i>
1	Significant disruption as a consequence of the COVID-19 outbreak	<b>20 High</b>  (Reduced from 25)		<p>The Council is continuing to work to the GM Pandemic Strategic Response Plan in preparing a coordinated response to the COVID 19 outbreaks in Trafford. The governance arrangements have been set up with the Recovery Coordinating Group Chaired by the Chief Executive of the Council. This acts at the gold command level. We are publishing our Outbreak Management Plan as required on 30<sup>th</sup> June 2020 and have established two new Boards: a Health Protection Board, chaired by Eleanor Roaf (DPH) and a Public Engagement Board, to be chaired by the Leader of the Council. Three further Silver level thematic groups are meeting weekly chaired by Corporate Directors. They are Adults Health and Social Care, Chaired by Diane Eaton, Children's Health and Social Care and Education Chaired by Jill McGregor and Operations and Resilience Group chaired by Sara Saleh and Richard Roe. Terms of reference have been established for all the groups with the key areas that each group will oversee and provide assurance that these critical areas are being addressed. A number of sub groups / and time limited task groups have been established.</p> <p>There has been an ongoing communication programme for residents, staff and partners. New HR arrangements have been issued to staff to facilitate home working. ICT capacity has been enhanced through an increase in VPN licences. Directorates have updated their business continuity plans to focus on critical services. Major changes have been implemented to working practices to ensure that all staff whose job role allows them to work from home are able to do so. A range of programmes to support residents and businesses to mitigate economic impact have been introduced.</p>

				<p>The Health and Social Care Group has progressed both strategic and operational work providing support to Care Homes, Direct Payments services, Home Care, Drug and Alcohol services and Domestic Abuse and, training for care providers. Commissioners have sought assurance of business continuity from all service providers. The group works closely with CCG , primary care and the Trafford Local Care Organisation</p> <p>The Children’s Social Care and Health is working towards trying to secure placement stability for Looked After Children, staffing resilience for maintaining front line critical services, children’s health and wellbeing, youth justice and cohesion and advising supporting school and educational settings.</p> <p>We are now planning for the safe return of some members of staff to our buildings and for the re-opening of some services, both directly provided and commissioned. WE have been carrying out risk assessments to minimise risks of outbreaks of covid-19 and will be using local and national data to provide intelligence on any areas of concern.</p>
2	<p>The Council does not fulfil its statutory duties and all accompanying policy requirements in terms of identifying and safeguarding vulnerable children.</p> <p>(Children’s Services / Children’s Services).</p>	<p><b>20 High</b></p> <p>(No change)</p>		<p>Safeguarding children 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 early help, identification, assessment and support.</p> <p>Trafford Children’s Services was inspected under the Inspection Local Authority Children’s Service Framework in March 2019 and received an overall rating of inadequate. The sub-judgements were Requires Improvement for children in need of protection, Requires Improvement for children in care and care-leavers and Inadequate for Leadership. Following this judgement a number of actions are being progressed to address the issues:</p> <ul style="list-style-type: none"> <li>• A full Improvement Board has been established with an Independent Chair and attended by senior politicians and senior officers from the Council and key partners.</li> <li>• A full and comprehensive Action Plan has been published, implemented and we are now developing the next stage of this plan.</li> </ul>

				<ul style="list-style-type: none"> <li>• Progress towards improvement is now being monitored by the Department of Education regularly through the Involvement of our Improvement Advisor and DfE link officer.</li> <li>• Ofsted will now conduct a series of quarterly Monitoring Visits with published outcomes to measure our progress. First Monitoring Visit was October 2019, the outcome of this visit is not published. We expected the next Monitoring Visit in March 2020 but this was cancelled due to Covid 19.</li> <li>• Additional resources were released immediately following the inspection to respond in key areas with increased staffing and resources. A further 3 year financial commitment has now been agreed to embed improvements.</li> <li>• Significant changes have been made to the Early Help and Children’s Social Care Front Door processes to improve timeliness and quality of decision making. Discussions are now well developed with partners about an agreed approach to Early Help. There has been significant focus on improving Quality Assurance processes within the service and better reporting to Senior Managers. These changes are starting to inform a better self-view of our quality of practice. There will be a focus on embedding improvements and measuring impact going forward.</li> <li>• During Covid 19 we have established processes to focus on keeping children safe and maintaining placement stability for our cared for children. Our Sit-Reps have shown an average of 75% resilience in all services. There have been regular Incident meetings and sub-groups to ensure safe delivery of practice. We have issued new guidance to staff, initiated an extensive Work from Home programme, used a monitoring process to measure our performance and continued with key aspects of our Improvement Journey.</li> </ul>
3	<p>Demand for school places underestimated and/ or additional school places are not delivered to satisfy increased demand.</p> <p>(Children’s Services)</p>	<p><b>15</b> <b>Medium</b></p> <p>(No change).</p>		<ul style="list-style-type: none"> <li>• 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.</li> <li>• Public consultation for how SEND Provision Capital Funding allocation of £1.75m for 2018-2021 can be spent to create new places or improve facilities in existing provision has been completed.</li> </ul>

	/ Children's Services).			
4	<p>Continuing uncertainty regarding the Council's medium term financial position given the reliance that exists on support from Central Government, cost pressures within the existing budget and major changes that are planned concerning the reform of local government funding (Fair Funding) and the review of the business rate retention system with a planned full reset of business rate baselines expected from April 2021.</p> <p>(Finance &amp; Systems / Finance and Investment).</p>	<p><b>20 High</b> (No change)</p>		<ul style="list-style-type: none"> <li>• The 2019/20 budget was agreed on 20<sup>th</sup> February 2019 by Council in the sum of £169.94m and at year end the budget was underspent by £298k. This included an overspend on service related expenditure of £4.08m mainly relating to additional expenditure in the demand led social care services which was offset by underspending in the corporate budget and funding areas of £4.38m. This included a combination of factors, including additional airport dividend, a release of contingencies and additional income from the Asset Investment Strategy (See Strategic Risk No.13).</li> <li>• This overall position was factored into the budget proposals for 2020/21 which were agreed by the Council on 19 February 2020 when setting a net budget of £175.20m and which addressed a funding gap of £18.50m caused by overall cost pressures of £15.32m and funding reductions of £3.18m.</li> <li>• The budget gap in 2020/21 was met by a combination of new funding, additional income and new savings including:- <ul style="list-style-type: none"> <li>○ A 3.99% increase in the council tax (1.99% general increase and 2% for adult social care) £3.98m;</li> <li>○ Income from strategic investments and the Asset Investment Strategy £6.12m;</li> <li>○ New and continuing savings programmes of £3.93m; and</li> <li>○ Use of Budget Support Reserve £4.47m.</li> </ul> </li> <li>• The significant use of reserves, the majority of which support a major invest to save initiative around children's social care and an emphasis placed on delivery of early help support, mean that combined with the funding uncertainties for 2021/22 and other demand pressures that the budget gap for 2021/22 stands at £15m. This includes for a number of major budget assumptions around future council tax increases and transitional protection from Government following the planned reset of the business rates funding system.</li> </ul> <p><b>Impact of the Covid-19 pandemic:-</b> the outbreak of the virus during March 2020 has had significant and far reaching implications on the Council and the way it has delivered its services during the response phase and how it will deliver them in the recovery phase.</p>

				<p>During March the impact started to be felt financially with an impact mainly on income streams and the provision of digital solutions and hardware to facilitate a rapid increase in home working. These costs amounted to £1.40m and were financed by Government grant funding.</p> <p>Over the last few months focus has been placed on understanding the full financial implications including the short term impact on income streams and additional expenditure together with the short and medium term effects on overall funding from council tax and business rates.</p> <p>Monthly forecasts are provided to MHCLG with the latest indicating a potential full year impact of £41.44m in 2020/21 and to date Government Grant support of £12.66m has been received, of which £1.4m has been applied in 2019/20. These projections can only be indicative at this stage.</p> <p>Measures undertaken so far include a freeze on non-essential spend and restrictions on the use of service earmarked reserves. A full review of reserves and provisions will be undertaken to assess the scope to support the in-year pressures.</p> <p>There are clearly major risks to the sustainability of council finances and its ability to be able to firstly meet the in-year pressures in 2020/21 and also set a balanced budget in later years. This is because of the anticipated recurrent impacts that are likely to be felt on funding and other strategic income streams. At this stage the Council, along with the rest of local government, is lobbying Government from a number of angles to identify both short and longer term funding solutions which will allow it to set a balanced budget going forward and negate any requirement to consider a S114 notice.</p> <p>In the meantime both the Corporate Leadership Team and Executive have started the process of looking at a range of possible budget options</p>
5	<p>Loss / absence and retention of senior managers to the organisation.</p> <p>(People / Finance and Investment).</p>	<p><b>15</b> <b>Medium</b> (No change).</p>		<ul style="list-style-type: none"> <li>• Strengthening of the senior leadership team - introduction of new roles at Assistant Director level to aid succession planning.</li> <li>• Leadership development &amp; coaching is available for all managers/senior managers across the organisation to support them in leading and engaging their staff through</li> </ul>

				<p>transformational change.</p> <ul style="list-style-type: none"> <li>• An EPIC People Manager offer is in place to ensure managers are conversant with all People management responsibilities.</li> <li>• A succession planning strategy approach helps to retain key skills, whilst up-skilling staff to take on higher graded roles. This approach has yielded several internal succession appointments. Successors will continue to be identified at senior manager level and targeted development initiatives provided to ensure that we are equipped to flex our workforce to react to resource and skills gaps. Each successor will also have access to a coach.</li> <li>• A refreshed performance management approach to the PDR process has been developed. This will enable coaching based development conversations to become the norm and identify senior management potential early.</li> <li>• Trafford Leaders events and leadership conferences are in the diary throughout 2020/21 to enable our senior managers to hear from keynote speakers, benefit from networking opportunities and sharing learning.</li> <li>• EPIC values and a supporting behaviour framework have been developed in line with Trafford's new vision aligned to corporate priorities.</li> <li>• Pro-active attendance management strategy developed and will be rolled out across Trafford with refresher training for managers.</li> <li>• A Health &amp; Well-being strategy is in place with actions to maintain and improve employee morale and well-being.</li> </ul>
6	<p>Trafford Council must ensure that it and 3<sup>rd</sup> parties acting on their behalf are handling personal/sensitive and commercial data securely both in technology and physical terms and in accordance with legislation and Trafford Council's policies and procedures. The following areas of risk have been</p>	<p><b>20 High</b> (Previously increased from 15-Medium to 20- High in March 2020)</p>		<p><b>Records Management:</b> There are currently compliance issues to be addressed around records management (retention of both physical and electronic records).</p> <ul style="list-style-type: none"> <li>• A review of the council's physical storage position from both a compliance and cost perspective is underway. A piece of work is following on from this, beginning with a review of the full inventory of boxes in storage</li> </ul> <p><b>Subject Access Requests (SAR):</b> There is an outstanding backlog of subject access requests (which has increased from c. 70 in October 2019 to 114 as of 05.03.20) awaiting response covering Children's Services. Correspondence has been received from the Information Commissioner's</p>

<p>identified:</p> <ul style="list-style-type: none"> <li>• Compliance risks</li> <li>• SAR delays</li> <li>• FOI compliance</li> <li>• Data breaches</li> <li>• Mandatory Training</li> </ul> <p>(Governance &amp; Community Strategy / Public Safety, Governance and Reform).</p>			<p>Office (ICO) dated 8 March regarding the Council’s non-compliance with a specific request and also querying the position regarding the Council’s backlog of requests. There is a high likelihood this will develop into a more detailed investigation and result in formal regulatory action. The ICO have in the immediate term pared back their regulatory position in light of the Covid-19 pandemic but it remains a priority to reduce the outstanding backlog of cases.</p> <ul style="list-style-type: none"> <li>• The resources of the IG team have now been increased in recognition of the demanding caseload in this area and it is anticipated will help in efforts to address the outstanding volume of cases.</li> </ul> <p><b><u>Freedom of Information (FOI) / Environmental Information Regulations (EIR):</u></b></p> <p>The risks associated with the delays in providing FOI/EIR responses was previously brought to the attention of CLT.</p> <ul style="list-style-type: none"> <li>• The Council was the subject of a number of ICO complaints in Q1 2019/20 about delayed FOI/EIR responses. In concluding a case in June 2019, the ICO indicated that the procedural breach (delay) had been recorded as part of their monitoring activities and any further similar complaints may result in consideration being given to enforcement action. The target compliance rate (and ICO expectation) is 90%. Compliance averaged at 86% for the 6 month period spanning Q2 and Q3 of 2019/20, but dropped to 77% in January 2020. Steps will be taken to ensure the compliance rate is addressed and performance is improved.</li> </ul> <p><b><u>Data Breaches:</u></b> Two significant data breaches have recently been reported to the ICO.</p> <ul style="list-style-type: none"> <li>• The first incident was reported at the end of February. This involved the disclosure of the names and address of adoptive parents to the birth family as a result of the adoption order wrongly being included within a bundle of court papers relating to ongoing care proceedings. The breach has the potential to cause substantial damage and detriment to the individuals affected and could have significant legal, reputational and financial consequences</li> </ul>
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				<p>for the council. The ICO has concluded its investigation and decided not to pursue any further action. However, correspondence remains ongoing in relation to a claim/possible litigation.</p> <ul style="list-style-type: none"> <li>• Data Breach Incident: A further data incident was reported to the ICO in May involving the disclosure of the address (and other information) of a domestic abuse victim and her family to the perpetrator of the violence. The breach has the potential to cause substantial damage and detriment to the individuals affected and could have significant legal, reputational and financial consequences for the council. The ICO has concluded its investigation and decided not to pursue any further action. However, correspondence remains ongoing in relation to a claim/possible litigation.</li> </ul> <p>More generally, recent data incidents have reinforced that the most common problem involves correspondence (email or by post) being sent to the wrong address/recipient. This is happening with greater regularity than it should and has highlighted the need for a renewed focus on training and awareness raising.</p> <ul style="list-style-type: none"> <li>• An IG Communications plan is being developed as an immediate priority to put together some prominent key messages to display in a variety of media (including the Intranet homepage, screen savers, posters, postcards on desks) to ensure staff are aware of the need to check carefully and thoroughly that correspondence contains the correct information, is being sent to the correct customer and to the correct address.</li> </ul> <p><b><u>Mandatory Data Protection and Information Security training</u></b></p> <ul style="list-style-type: none"> <li>• As of 4 March 74% of staff had completed mandatory Data Protection training and 71% had completed Information Security E learning modules. This is an improving picture (and work being carried out to improve the quality of training data will see this figure increase further).</li> <li>• The Data Security and Protection Toolkit,</li> </ul>
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				<p>an annual submission overseen by NHS Digital, requires local authorities delivering Social Care functions to have a minimum <b>95%</b> training completion level in order to meet the necessary standard.</p> <ul style="list-style-type: none"> <li>The 2019/20 Toolkit submission must be submitted by the end of September 2020 so an immediate risk if training completion rates are not rapidly improved is that the council will not meet Toolkit standards.</li> </ul> <p>Together, the above issues raise the following risks – legal/regulatory (non-compliance with legal requirements), reputational, financial, adverse publicity.</p>
7	<p>University Academy 92: failure to implement programme and achieve possible benefits this may bring in terms of regeneration around Stretford and Old Trafford.</p> <p>(Authority wide - Place) / (Housing and Regeneration).</p>	<p><b>15</b> <b>Medium</b> (No change).</p>		<p>University Academy 92 (UA92) was launched in September 2017 to establish a new model of university by bringing together the best of academia, business and sport. It is a unique collaboration involving the Class of 92, Lancaster University, Microsoft, Trafford College and Bruntwood as well as Trafford Council.</p> <p>Trafford Council believe UA92 will help regenerate the area around Stretford and Old Trafford as it presents a fantastic opportunity to revitalise and support local communities to maximise their potential.</p> <p>The Executive has approved that the Council proceed to the next stage of developing the Civic Quarter Masterplan as an Area Action Plan.</p> <p>The official UA92 launch took place on the 19<sup>th</sup> September 2019, and the university has commenced teaching with an initial student intake of 60-70. UA92 have commenced recruitment for the year two student intake, who would commence in September 2020.</p> <p>An outline planning application has been submitted for the redevelopment of the remainder of the former Kellogg's site, and consultation has commenced on the revised Civic Quarter masterplan.</p> <p>Teaching at UA92 continues to be delivered, but has all moved on line. Recruitment for the September intake has been paused following the Covid-19 lockdown. The university sector nationally will face challenges as we enter</p>

				recovery phase in student recruitment, with potential reductions in overseas students, and recruitment is therefore expected to be competitive. The Council remains in regular dialogue with UA92 as landlord and key partner.
8	<p>A successful Cyber Security Attack could lead to sensitive data being compromised, denial of access to the Council's computing services or severe degradation or loss of control of those services.</p> <p>(Finance &amp; Systems / Public Safety, Governance and Reform).</p>	<p><b>15</b> <b>Medium</b></p> <p>(No change).</p>		<p>The Council is subject to cyber-attacks on a daily basis but a range of technical solutions and processes are in place to protect Trafford's IT systems and data. The volume and level of sophistication of these attacks is increasing so the Council needs to continuously review and improve how it protects systems and data. The National Cyber Security Centre are reporting increased cyber threats during the Covid-19 crisis as criminals take advantage of vulnerabilities.</p> <p>The increase in home working poses security challenges but solutions have been put in place to maintain cyber security. The rollout of Microsoft Teams and the Pulse Virtual Private Network (VPN) have helped protect the Council's data and systems.</p> <p>There remains a significant risk that the Council's defences could be breached even with effective tools and approaches in place, so it is equally important to ensure the processes for dealing with an attack are effective.</p> <p>A detailed assessment of the Council's and CCG's cyber security technical solutions and processes was completed in February 2020 by internal audit.</p> <p>The assessment:</p> <ul style="list-style-type: none"> <li>• Captured a baseline of the current tools and processes; drawing on a number of existing controls that exist including the annual Penetration Test of the Council's network, and completion of the Data Security and Protection Toolkit for the NHS.</li> <li>• Undertook a thorough assessment of the Council's tools, processes, and controls against the National Institute of Standards and Technologies (NIST) (800-53) Framework, this is a US standard built around public service and widely used in the UK.</li> </ul> <p>The draft outcome of the assessment was received in March 2020 but the response to the recommendations and action plan has been delayed due to the Covid-19 crisis. The response</p>

				<p>is due to be completed in June 2020 and will include:</p> <ul style="list-style-type: none"> <li>Proposed solutions where the assessment identifies areas for improvement; making the business case for change or investment where appropriate.</li> <li>An agreed improvement plan.</li> </ul> <p>Other controls and activities are:</p> <ul style="list-style-type: none"> <li>An internal cyber security group has been formed which meets quarterly to review and manage the Council and CCG's cyber defences and processes.</li> <li>Key IT Managers are attending the National Cyber Security Centre / iNetwork Cyber Resilience Training Programme.</li> <li>Trafford is actively sharing information about potential cyber threats with partners including the North West Warning, Advice and Reporting Point (WARP) and nationally with the NHS CareCert service.</li> <li>The Network People (TNP) provide Trafford Council with specialist security advice to help develop, manage and monitor Trafford's security defences and incident response.</li> </ul> <p>Public Services Network (PSN) compliance is maintained which includes annual vulnerability penetration testing of both the internal and external networks. The 2020 penetration test took place in May and the report is due in June.</p>
9	<p>Failure of the Adult Safeguarding Service.</p> <p>(Adult Services / Adult Social Care).</p>	<p><b>12</b> <b>Medium</b></p> <p>(No change).</p>		<ul style="list-style-type: none"> <li>The responsibility for Adults has been transferred to Adult Social Care through the Principal Social Worker role (May 2019).</li> <li>Serious Case Review Panel (Adults) reviewed and in place, has completed several Learning Reviews, a Safeguarding Adults Review (SAR) has been published, more SAR's have now been commissioned and Independent Authors procured. Learning from these processes will be rolled out to staff. Learning review sessions are being delivered to staff across Adult Social Care (ASC).</li> <li>The process of handling provider notifications has been revised. The notifications will be sent to the Commissioning team giving greater oversight of issues across the care market.</li> <li>As part of the adult improvement programme all referrals into Screening are immediately risk assessed and Safeguarding referrals are prioritised. Jointly with children's services and</li> </ul>

				<p>Greater Manchester Police (GMP) and Mental Health.</p> <ul style="list-style-type: none"> <li>• There is a discrete Adult Protection Line for members of the public to directly contact social care to raise safeguarding concerns.</li> <li>• There are advanced plans for GMP officers to co-locate with the Screening Team to enhance our response to safeguarding referrals. Daily meetings between the Screening team and the Police are in place.</li> <li>• Considerable work completed on incoming safeguarding referrals resulting in significant improvement in the timeliness of allocation</li> <li>• Consultation completed regarding the creation of a separate Safeguarding Hub for Adults Safeguarding notifications. This change will enable thematic analysis and action planning to gain greater oversight of issues. Union response being sought and finalising of Job Descriptions underway. Following this, final sign off sought corporately and 'Go Live' to be agreed.</li> <li>• Mental Capacity Act (MCA) and Deprivation of Liberty Safeguards (DoLS) e-learning available for all staff and use is monitored.</li> <li>• Increased demand presenting at Screening and the Community Team is being managed with additional staff capacity both short and long term and daily risk management reviews with GMP.</li> <li>• Member training has been completed regarding safeguarding.</li> <li>• All deprivation of liberty safeguarding assessments now allocated immediately due to changes in process and improved staffing arrangements.</li> <li>• Planning work is underway for the implementation of new legislation on Liberty Protection Safeguards.</li> <li>• Additional resources in place from January 2019 to end November 2019 to complete the applications to the court of protection for community deprivation arrangements.</li> <li>• Revised internal joint Legal and Social Care Coroners process introduced January 2019. Review completed June 2019.</li> <li>• Legal/Adult Social Care Surgeries introduced to enable proactive planning with legal services to reduce risk of safeguarding, DoLS etc. Joint Quality Improvement Board re-established with Trafford Clinical Commissioning Group to track and support quality improvement in Care</li> </ul>
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				<p>Homes and Homecare.</p> <ul style="list-style-type: none"> <li>• During Covid-19 risk increased as referrals reduced – similar to patterns nationally and similar to patterns in NHS re: A&amp;E use etc. Mitigation – Daily screening and situation advice, adverts on Council Website, media, signposting etc., leaflets in letter boxes, tracking referrals in place, Adults recovery plan underway.</li> </ul>
10	<p>Breach of health and safety legislation leading to prosecution under the Corporate Manslaughter Act and other Health and Safety Regulations.</p> <p>(People / Finance and Investment).</p>	<p><b>20</b> <b>High</b> (Increase from 10 Medium).</p>		<ul style="list-style-type: none"> <li>• Under COVID-19 exposure risk has increased due to ongoing Pandemic. This has increased overall risk score to high. However strategies in place to manage this risk in line with Govt Guidance through increased home-working where possible, workforce re-integration strategy and support, buildings, service and individual risk assessment approaches and access to PPE where required.</li> <li>• Current Health &amp; Safety Policy and comprehensive arrangements in place. Subject to periodic review as required and available to the workforce via the intranet.</li> <li>• Health and Safety Audit programme in place across all Directorates and schools. This programme includes proactive monitoring of compliance with health &amp; safety law and internal H&amp;S management arrangements.</li> <li>• Policy, arrangements, protocols and guidance for Directorates and schools updated to reflect legislative or organisational changes and any new or emerging risks (in addition, a targeted rolling programme is ongoing).</li> <li>• Health &amp; Safety Unit (HSU) support in the comprehensive assessment and investigation, where required, of health and safety issues or incidents. Facilitates the effective management of risk and statutory compliance.</li> <li>• HSU support in responding to occupational health and workforce referrals to ensure the health, safety and welfare of staff.</li> <li>• Staff consultation processes in place to report and liaise on Health and Safety performance issues.</li> <li>• Competent HSU advisory service with advisors subject to continuing professional development requirements.</li> <li>• Employee Health and Wellbeing Strategy in place which incorporates ill health reduction and mental wellbeing support.</li> <li>• Online training available to support managers and schools in ensuring staff are competent to undertake tasks/role.</li> </ul>

				<ul style="list-style-type: none"> <li>• Arrangements in place for the health and safety assessment of providers/contractors prior to approval and for subsequent monitoring of performance.</li> <li>• HSU engagement in Health, Safety, Welfare and Security issues relating to the Council's Corporate and Let Estate through Corporate Landlord and associated focused audits and reviews.</li> </ul>
11	<p>Joint Venture partner fails to deliver services to the required standard or fails to deliver required efficiency savings.</p> <p>(Place / Environment, Air Quality and Climate Change).</p>	<p><b>20 High</b></p> <p>(No change).</p>		<p>Following the Council's Overview and Scrutiny Committee review into the service delivery of Amey in 2018, a report to Executive on 28 October 2019 has been submitted to agree the next steps. A business case has been submitted and Trafford council will be taking the following option:</p> <ul style="list-style-type: none"> <li>▪ Consider alternative models of service delivery, including the development of a predominately In-House Service model, with a view to ending the contract with Amey.</li> </ul> <p>Should an amicable agreement not be reached with Amey that keeps the council whole and allows services to be undertaken without detriment by an in house or further procurement measure then the council shall;</p> <ul style="list-style-type: none"> <li>▪ Continue the Amey Contract and seek significant improvements to the delivery of existing services".</li> </ul> <p>The risk during any change to the contract of further service standard falls will be mitigated by review measures in the transition agreement and augmentation of the client and support teams.</p> <p>The Covid 19 Crisis has delayed the process of negotiation for this. Amey's performance during this period has been generally good</p>
12	<p>Delay in completing the Business Continuity (BC) Programme Project, resulting in an increased risk that the Council may fail to deliver Council services in the event of significant disruption.</p> <p>(Authority-wide / Public Safety,</p>	<p><b>15 Medium</b></p> <p>(Increase from 10 Medium)</p>		<p>A corporate Coronavirus task and finish group has been established to identify business continuity plans to ensure services can be maintained in the event of a local outbreak. The group will monitor the national and local picture and respond to the changing position.</p> <p>As instructed by the Corporate Leadership Team, services are updating their business continuity plans. This is in the event of managing staffing shortages in particular.</p> <p>A previous internal audit review reported a number of areas for development in business</p>

	Governance and Reform).			<p>continuity in relation to the following - roles and responsibilities; identification of priorities including completion of business impact analyses (BIA) to identify the impact of disruptions; co-ordinated planning including incident management, recovery and resumption plans; monitoring to ensure compliance with the agreed process and testing of plans; and to ensure adequate, accessible records are maintained.</p> <p>As reported previously, a Business Case had been approved by CLT and work has since started to undertake a review of the Business Continuity Management process. In response to the COVID-19 crisis, priority was given to mobilise business critical services to ensure effective business continuity. This, therefore, reflects the risk level increasing. Procedures will continue to be reviewed further across the Council during 2020 as part of the review.</p> <p>A meeting has recently been held between ICT and the Emergency Planning Manager to resume the work around capturing more BIAs from across the organisation in continuing to review and improve existing arrangements.</p> <p>(Refer also to the comments regarding Strategic Risks 1 and 8).</p>														
13	Investment Strategy (Finance & Systems / Finance and Investment).	<p><b>15</b> <b>Medium</b>  (No change).</p>		<ul style="list-style-type: none"> <li>• An updated Asset Investment Strategy was approved in October 2018 to refocus the approach for acquiring new regeneration and investment assets.</li> <li>• In February 2020 the Council agreed to an increase to the Investment Fund to £500m and to date £374m of commitments have been made. This investment to date has already provided a net benefit to support the revenue budget of £1.67m and £3.12m in 2018/19 and 2019/20 respectively.</li> </ul> <table border="1" data-bbox="846 1535 1523 1883"> <thead> <tr> <th>Asset Investment Fund</th> <th>Total £m</th> </tr> </thead> <tbody> <tr> <td><b>Total Investment Fund</b></td> <td><b>500.00</b></td> </tr> <tr> <td></td> <td></td> </tr> <tr> <td><b>Capital investments</b></td> <td></td> </tr> <tr> <td><i>K Site, Stretford:-</i></td> <td></td> </tr> <tr> <td>Equity in Trafford Bruntwood LLP</td> <td>12.25</td> </tr> <tr> <td>Development Loan to Bruntwood</td> <td>12.25</td> </tr> </tbody> </table>	Asset Investment Fund	Total £m	<b>Total Investment Fund</b>	<b>500.00</b>			<b>Capital investments</b>		<i>K Site, Stretford:-</i>		Equity in Trafford Bruntwood LLP	12.25	Development Loan to Bruntwood	12.25
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Sonova House, Warrington	12.17
DSG, Preston	17.39
Grafton Centre incl. Travelodge Hotel, Altrincham	10.84
Trafford Magistrates Court	4.07
The Fort, Wigan	13.93
Sainsbury's, Altrincham	25.59
Brown Street, Hale	7.49
The Crescent, Salford	60.80
CIS building, Manchester	60.00
<i>Stretford Mall &amp; Stamford Quarter:</i>	
Stretford Mall, Equity	8.82
Stamford Quarter, Equity	16.69
Acquisition loan to Bruntwood	25.89
The Hut Group	67.50
Various Development Sites	1.19
<b>Total Capital Investments</b>	<b>356.86</b>
<b>Treasury Investments:</b>	
Albert Estate	17.62
<b>Total Treasury Investments</b>	<b>17.62</b>
<b>Total Investments</b>	<b>374.48</b>
<b>Balance available</b>	<b>125.52</b>

- To mitigate the risks of the approach nationally recognised investment advisors are being used as part of the due diligence process with emphasis placed on securing investments in low risk assets.
- Each year all investments are reviewed as part of a risk assessment process by our advisors together with an annual valuation. This review takes account of the rental market, financial health of the tenants and whether anything is likely to impact on future income streams. Since the outbreak of Covid-19 more frequent reviews have been undertaken to identify the potential risk to income streams. The impact is mitigated to some extent due to the broad range of asset classes in the Council's portfolio, including offices, retail and industrial assets. The vast majority of income is derived from tenants that are considered to be low, or below average, risk according to credit agencies Experian and Dunn and Bradstreet. In respect of the loan

				<p>portfolio, these are made a prudent loan to value levels and to borrowers of good covenant.</p> <ul style="list-style-type: none"> <li>• The annual revaluation exercise is used to determine if an appropriate level of debt repayment is being made. It is inevitable there will be changes in valuation year on year but the risks of downward movements in value are being mitigated through a diversified portfolio of assets.</li> <li>• Further risk mitigation is being undertaken through the creation of a “Risk Reserve” through the ring-fencing of an element of the returns and an allowance for debt repayment (in accordance with national regulations).</li> <li>• All investments are scrutinised by an Investment Management Board which includes cross-party representation.</li> <li>• When evaluating potential opportunities extensive legal and property due diligence is undertaken which places a significant emphasis on security and liquidity and includes for example an assessment of the financial strength of the tenants and market sector, length of unexpired lease, location, asset condition and residual land value.</li> <li>• As part of the budget proposals for 2020/21 it was proposed to increase the budget to £500m. The increase will allow borrowing to be undertaken which will be used to finance construction costs on a number of regeneration schemes that are being developed in the borough, including the K Site in Old Trafford, Sale Magistrates Court and Grafton Centre. No additional borrowing will be undertaken unless there is a robust business case behind each project.</li> <li>• The impact of the Coronavirus is already having a marked impact on global economies with a significant impact on stock markets worldwide and potential cuts in interest rates. The impact of this on the Council’s investments is being closely monitored and regular updates are being received from our external advisors. It is inevitable that there will be an impact on rental streams, particularly from some of our town centre investments and for this reason additional resources have been set aside from the commercial income streams to bolster reserves in 2019/20 by £3.50m.</li> </ul>
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14	Impact of Brexit. (Authority-wide)	<b>16 High</b>  (No change).		<p>Whilst the UK has agreed the terms of its EU departure, both sides still need to decide what their future relationship will look like, which means that there still remains a degree of uncertainty. This will be worked out during the 'Transition Period', which begins immediately after Brexit day and is due to end on 31 December 2020. During this 11-month period, the UK will continue to follow all of the EU's rules and its trading relationship will remain the same. So at the moment, there is no change.</p> <p>In late 2018 the Council commissioned a study, Brexit: An Economic Impact Assessment for Trafford (published in February 2019) to understand the implications on the economy under a Deal and No Deal scenario, and on Council service delivery. A number of the recommendations identified in the Assessment have been enacted including the Council's Brexit co-ordination role being formalised with the Corporate Director for Place acting as the Senior Responsible Officer for monitoring its impact and reporting to CLT. Also an internal project group, the Trafford Brexit Impact Group, has been established to provide the cross-Council mechanism to plan, coordinate, monitor and mitigate against the impacts of Brexit on the Council. The Group has produced a Brexit Preparedness Plan which is a 'live' document to identify key issues and activities to mitigate risk. It will also work with key stakeholders to help deal with the impacts of Brexit on the economy of the borough as a whole, such as the GM Combined Authority. The Trafford Resilience Forum leads on emergency planning and works closely with GM in the Resilience Forum that is co-ordinating with all 10 Local Authorities on civil contingency planning for a No Deal Brexit.</p>
15	Leisure Services (Place/Authority wide)	20	New Risk	<p>All facilities operated by Trafford Leisure Community Interest Company (CIC) were closed from the 20<sup>th</sup> March 2020, in line with the Government's lockdown. Whilst some members have continued to pay direct debits the vast majority of income to Trafford Leisure has been lost in this time. Trafford Leisure have been able to mitigate some of this loss, with 94% of staff being placed on furlough in line with the Government's scheme, fixed property costs, the 20% top up on furloughed staff and other costs have created a severe financial strain, exacerbating an already difficult position.</p>

				<p>Trafford Council has provided an initial pre-Covid loan of £300,000, and a further facility of £840,000 has been made available.</p> <p>The Council and Trafford Leisure are working on a financial plan to the end of the fiscal year, and a wider review of the Council's leisure strategy in light of the challenging financial position, the condition of leisure assets and the Council's recovery plan.</p> <p>In line with the easing of Government restrictions Altrincham Golf Course is now open, but no date has been given for when indoor leisure facilities will be able to re-open.</p>
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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.

<b>Key:</b>	
	= Improvement in management of the risk.
	= No change in management of the risk.
	= Deterioration in management of the risk.