

TRAFFORD COUNCIL

Report to: Accounts and Audit Committee
Date: 22 July 2021
Report for: Discussion
Report of: Audit and Assurance Manager

Report Title

Strategic Risk Register 2021/22 (July 2021 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:

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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 2021 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 in March 2021. Where applicable, risks have been updated in light of developments in respect of the COVID-19 pandemic.
- 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 (there were 16 in March 2021 – see 2.5 below re: removal of UA92 risk). For each risk listed in Section 3, this includes the relevant Executive Portfolio and Service Directorate.
- 2.3 Since March 2021, there has been an increase in one of the risk scores. This relates to the following:

Risk 5 – Demand for School Places has changed from a score of 15 (Medium) to a score of 20 (High). This reflects the increase in demand for school places in recent months, particularly in the Sale and Altrincham areas.

- 2.4 There has been a decrease in score for the following risk:
Risk 9 – Breach of Health and Safety has changed from a score of 20 (High) to a score of 15 (Medium).

Further information on the above risks are provided in Section 3.

- 2.5 The UA92 project has moved on substantially since it was initially added to the Strategic Risk Register. UA92 have now signed a lease and taken occupation of two floors of the former Kellogg's building, and are recruiting for their third intake of students. UA92 was envisaged as a catalyst for regeneration in Old Trafford and Clifford, and these plans have also progressed. Outline planning permission has

been achieved for the Lumina Village development and the Civic Quarter Area Action Plan is progressing. In Stretford a Joint Venture between the Council and Bruntwood have acquired Stretford Mall, and are bringing forward proposals for the redevelopment of the Mall and an Area Action Plan for the wider town centre. Whilst there is still much work to be done the risks associated with UA92 have been addressed and it is therefore appropriate to move this from the Strategic Risk register to the Place Directorate register.

- 2.6 As part of the Accounts and Audit Committee work programme, in addition to strategic risk register updates through the year, further updates on specific risks within the strategic risk register will be considered as part of planning future agenda items for the Accounts and Audit Committee work programme.

Comparison of Risk Levels March 2021 and July 2021

IMPACT

Risk Levels – March 2021

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

LIKELIHOOD

IMPACT

Risk Levels – July 2021

Very High(5)			6	5	
High (4)			1	1	2
Medium (3)					
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. Strategic Risks (July 2021)

Red	Amber	Green
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<i>Risk</i>	<i>Strategic Risk Title / (Directorate / Portfolio)</i>	<i>Likelihood (1-5)</i> (A)	<i>Impact (1-5)</i> (B)	<i>Risk Score</i> (A x B)	<i>Change in Risk Score</i>	<i>Comments</i>
1	Significant disruption as a consequence of the COVID-19 outbreak (Authority-Wide)	5	4	20 High	↔ No change	<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.</p> <p>Two boards are in place. A Health Protection Board, chaired by Eleanor Roaf (DPH) and a Public Engagement Board, now chaired by Cllr Freeman</p> <p>Six Silver level thematic groups are meeting bi-weekly chaired by Corporate Directors:</p> <ul style="list-style-type: none"> • Adults Health and Social Care, Chaired by Diane Eaton • Children's Health and Social Care and Education Chaired by Jill McGregor • Infrastructure & Economy – Chaired by Richard Roe • Infrastructure, Environment and Physical Activity – Chaired by Richard Roe • Staffing Digital and Modernisation chaired by Sara Saleh • Resourcing – Chaired by Sara Saleh <p>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>The silver groups report monthly on progress and risk management. The frequency of meetings and reporting is monitored regularly.</p> <p>Additional resources have also been recruited to support the delivery of the recovery activity; reporting through The Health Protection Board</p> <p>There has been an ongoing communication programme for residents, staff and partners.</p>

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						<p>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>With the current high rates of infection in Trafford and the national lockdown in place, the plans for staff returning to work have been put on hold and staff are being encouraged to work from home wherever possible.</p> <p>The vaccination programme is underway, led by the CCG, and while uptake is excellent overall, there are inequalities emerging within this, which we are working to address.</p> <p>We have also recruited a neighbourhood based community engagement team to work in localities on community engagement and behaviour change, and vaccination uptake in relation to COVID.</p>

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2	Climate Change Emergency (Place / Sustainability and Climate Change)	5	4	20 High	↔ No change	<p>This considered to have a very high likelihood, in that all available indicators suggest that climate change is already occurring and will, if anything, become more prominent. The Impact is considered to be High as a minimum (very high without mitigation) as the consequence of climate change give rise to unpredictable and severe weather events – and events that occur with increasing regularity. These will in turn have significant impacts on our environment, economy and society. Examples could range from changing patterns of food production through to the financial to households and businesses. In short, the impacts are wide ranging and cross cutting in character</p> <p>Climate Change can be addressed firstly through adaption (as it is already occurring) - actions that designed to promote greater resilience to more extreme weather events. Secondly it can be addressed through mitigation – actions that are intended to slow or avoid the more severe climatic impacts. These are primarily focussed on reductions in local Carbon Emissions.</p> <p>To progress these matters the Council has prepared a draft Carbon Neutral Action Plan as a means of establishing actions to reduce emissions in Trafford. These will contribute to wider Low Carbon targets across Greater Manchester – and ultimately the UK as part of the National 25 year Environment Plan. The second meeting of the Trafford Air Quality and Climate Change Commission takes place on 7 June, with a new independent chair. Activity is now focussed on businesses, which account for a significant portion of emissions – and most especially SME's. A new officer was added to the team in January and interviews for a principal officer will take place shortly. In turn, these will report to the newly appointed Strategic Planning & Growth manager – thus improving the Council's overall capacity to address the issue.</p>
3	Continuing uncertainty regarding the	4	5	20 High	↔ No change	<p>The 2021/22 budget proposals was agreed by the Council on 17 February 2021. The budget gap in 2021/2022 totalled £25.52m with</p>

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	<p>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 & Systems / Finance and Governance).</p>					<p>£17.18m relating to Business as Usual pressures and £8.34m short term COVID-19 pressures.</p> <p>The budget gap in 2021/22 was met by a combination of new funding, new savings and the use of one off reserves for BAU and COVID-19 pressures. The key elements are :-</p> <ul style="list-style-type: none"> ○ New Funding <ul style="list-style-type: none"> ○ A 4.99% increase in the council tax (1.99% general increase and 3% for adult social care) £5.20m; ○ New and continuing savings programmes of £9.18m; and ○ Use of Budget Support Reserve for BAU pressures £2.80m. ○ Use of Budget Support Reserve for COVID-19 pressures £8.34m <p>The budget gap for 2022/23 and 2023/24 is currently estimated at £11.12m and £10.30m respectively.</p> <p>Income from Strategic Investments of £6.7m is included in the budget, including £3.0m of anticipated income from recirculating previous investments which have been repaid. Due to the magnitude of the income anticipated from our strategic investments, a separate item has been included in the SRR.</p> <p>Impact of the Covid-19 pandemic 2020/21 The outbreak of the virus during 2020/21 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>The impact has been felt across all Council services which financially has placed a burden on expenditure, reduced income streams from fees and charges and impacted funding from council tax and business rates.</p> <p>Gross COVID-19 financial pressures were £51.94m at year end and after the application of Government COVID-19 grants, contributions from the CCG and the facility to spread the</p>

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						<p>shortfall in our Council Tax and Business Rates income over future years, this resulted in a net pressure relating to COVID-19 of £8.82m.</p> <p>The forecasting of the Covid impact during 2020/21 was difficult give the level of uncertainty during the year and the in-year projections were based on prudent/cautious assumptions.</p> <p>The anticipated surge in demand in children's and adults social care did not transpire, however it is anticipated that there is a high potential for latent demand within the system which will be felt over the short to medium term. There is also a high level of uncertainty regarding the wider economic impact and how this will particularly affect business rates income.</p> <p>Outturn 2020/21</p> <p>The COVID-19 pressures above were offset by savings across other service and corporate contingency budgets to arrive at a net underspend of £2.804m</p> <p>The long term impact of the pandemic remains a significant risk for the Council in future years. As such the Council has utilised its favourable outturn and general COVID-19 support grants to bolster its COVID-19, Budget Support Reserves and specific earmarked reserves.</p> <p>Budget 2021/22</p> <p>With regard to the 2021/22 budget which was approved by Council on 17th February 2021, a budget gap of £25.52m was forecast, comprising recurring pressures from 2020/21 (as a direct result of Covid-19) of £8.34m and £17.18m of business as usual pressures. The gap was closed by the one-off use of reserves to cover the impact of the Covid-19 related pressures of £8.34m with the business as usual pressures being addressed by £5.2m additional funding from Council Tax, £2.8m reserves and £9.18m income generation and savings proposals.</p> <p>The impact of COVID-19 and ongoing requirement to make significant business as usual savings reinforces the reason why the uncertainty in the medium term plans appears</p>

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						<p>within the Council's Strategic Risk Register. The key activities below provide a further level of risk mitigation</p> <ul style="list-style-type: none"> As detailed in the 2021/22 budget report and also the period 10 monitor, the Council has reviewed its level of reserves and bolstered those reserves (Budget Support, Business Rates Risk, COVID Risk, Employment Rationalisation, General Reserve) to provide a prudent level of resilience to mitigate the risk of unknown COVID and BAU pressures over the medium term. The 21/22 budget provides for a number of contingency items for potential covid pressures (delayed demand, prolonged impact on collection rates). Provision exists within the revenue budget to start to replenish reserves depleted during the pandemic (Strategic Investments in airport +£0.5m, Leisure Reserve+£0.3m). <p>Longer Term Planning Timescale</p> <p>The impact of the pandemic is likely to be felt over many years and as such, in the preparation of our next budget round, the timescales of our Medium Term Strategy will be extended from a three year to a five year window. This foresight will allow the risks associated with our commercial and strategic income to be considered and give sufficient flexibility and time to adapt given the levels of uncertainty.</p>
4	Trafford Council must ensure that it and 3 rd parties acting on their behalf are handling personal/ sensitive and commercial data securely both in	4	5	20 High	↔ No change	<p><u>Records Management:</u></p> <p>There are ongoing compliance issues being addressed around records management (retention of both physical and electronic records).</p> <ul style="list-style-type: none"> A review of the council's physical storage position from both a compliance and cost perspective is underway and a paper setting out the position and recommended strategies will be produced by the middle of July.

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	<p>technology and physical terms and in accordance with legislation and Trafford Council's policies and procedures. The following areas of risk have been identified:</p> <ul style="list-style-type: none"> • Compliance risks • SAR delays • FOI compliance • Data breaches • Mandatory Training <p>(Governance & Community Strategy / Finance and Governance)</p>					<ul style="list-style-type: none"> • Significant improvements to the storage and retention of electronic records will be realised through the implementation of Microsoft 365. It will be recommended that, as part of this, the Local Government Functional Classification Scheme should be adopted. This will mean that poorly maintained shared network area folders will be replaced by a highly structured storage area utilising Sharepoint. <p><u>Subject Access Requests (SAR):</u></p> <p>Progress continues to be made in addressing SAR Backlogs. The IG Project team (Created July 2020) has completed its main review of the SAR's backlog and a new operating process has been implemented and an improvement plan is in place. The Information Commissioner's Office (ICO) is expected to review the Council's position in the future although this remains unconfirmed at this stage.</p> <ul style="list-style-type: none"> • The IG Team has recently completed recruitment activity and, with additional capacity, a significant reduction in the outstanding caseload will be achieved by the end of the year. <p><u>Freedom of Information (FOI)/ Environmental Information Regulations (EIR):</u></p> <ul style="list-style-type: none"> • A twin problem of a growing number of overdue outstanding FOI requests and falling compliance rate was identified at the beginning of the year and is being tackled. An FOI review project has been carried out. This had two primary objectives – to clear the outstanding backlog of requests and to implement process changes to enable sustained performance improvement. New processes and procedures have been developed and are in the process of being implemented. A key change involves the rollout of Iken software across the IG team and this will bring

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						<p>significant improvements to case recording and case management.</p> <ul style="list-style-type: none"> • Significant progress is being made completing and closing outstanding overdue requests which have approximately halved since February. The average compliance rate for 2020/21 to date is 63% (responded to within 20 working days). The target compliance rate (and ICO expectation) is 90%. Actions being taken through the FOI project seek to address this performance shortfall both in the near term and longer term. <p><u>Data Breaches:</u></p> <p>Two significant data breaches had been concluded by the ICO. However, one has recently been reopened due to a complaint.</p> <p>Continued data incidents have reinforced that the most common problem involves correspondence (email or by post) being sent to the wrong address/recipient. This is still happening with greater regularity than it should and has highlighted the need for a renewed focus on training and awareness raising.</p> <p>Legal have worked on revised Process and procedures for data breaches and further work will be done on these during July as a discrete workstream as part of the IG Improvement Project.</p> <ul style="list-style-type: none"> - Effective interim processes are in place in the meantime in the form of weekly DPO Data Incident summary reports for the Head of Governance and SIRO. Significantly speeds up incident reviews and decision making by designated information risk leads. - This is reducing risk from delayed oversight of data incidents. • Significant improvements to triaging of data incidents when reported to team <ul style="list-style-type: none"> - Information Governance Manager (DPO) has twice weekly meetings

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						<p>with IG Officers to triage new data incidents.</p> <ul style="list-style-type: none"> - Enables more serious incidents to be progressed on an urgent basis. - Ensures Incidents are allocated promptly for investigation. <p>Together, the above issues raise the following risks – legal/regulatory (non-compliance with legal requirements), reputational, financial, adverse publicity.</p>
5 (13)	<p>Demand for school places underestimated and/ or additional school places are not delivered to satisfy increased demand.</p> <p>(Children's Services / Children's Services).</p>	4	5	20 High	↑ Increase in risk	<p>In the normal admissions round for entry into reception and year 7 in September 2021 there were sufficient places in all areas for our residents.</p> <p>However in the last 3 months we have seen unprecedented levels of additional demand from families newly resident in Trafford, particularly with children arriving from Hong Kong.</p> <ul style="list-style-type: none"> • In-year applications for primary school places in Sale and Altrincham has increased significantly. There were a total of 421 new applications for primary places made in May and June 2021, 74% of these are new residents and 75% live in Sale or Altrincham. • The majority of primary school vacancies in these areas have now been filled. • In the Altrincham Planning Area every primary school is now full or overfull in current years 4, 5 and 6. • In the Sale East Planning Area every school is full, or overfull in current years R, 2, 4, 5 and 6 and only 2 places remain in Y3. • In the Sale West Planning Area every school is full, or overfull in current years R, 2, 3, 4, 5 and 6 and only 12 places remain in Y1. • This means that there are now insufficient places available in Sale to meet our general duty to provide a school place for our residents. • Places will continue to be allocated, including through appeals process and

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						<p>fair access protocol in line with Trafford's determined admission arrangements.</p> <p>School Places & Capital Group and Place Shaping Board have oversight of school place planning and school expansion projects. Key activity to mitigate risk:</p> <ul style="list-style-type: none"> • In the 2020 admission round new capacity has been brought on stream earlier than scheduled to accommodate oversubscription in Sale East, in reception classes and in Year 5 and 6. • Further options being considered in the Sale East planning area to create additional places in September 2023. • In Sale West an emergency measure has been agreed and funded in order to accommodate 10 local reception children in a local school. Every school in that year group is now full. Capital scheme underway to create permanent additional capacity in priority year groups in September 2022 and all year groups by September 2023. • Continue to update and review the most recent GP registration data, taking into account recent and planned housing development and pupil flows to the independent sectors and non-Trafford schools. • Annually review catchment areas for primary schools to ensure that the available places are targeted most effectively. • Implement EYES Schools Admission module for enhanced monitoring and reporting on in-year applications and impact of inbound migration. • Link in with DfE Place Planning Teams to monitor impact of inbound migration, particularly from Hong Kong. • Fragmentation of governance arrangements makes it increasingly difficult to affect the allocation/availability of places in the secondary sector. Trafford is the Admissions Authority for only one of its 19 secondary schools

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						and, therefore, has limited direct powers in relation to place planning and admissions policies.
6	<p>Joint Venture partner fails to deliver services to the required standard or fails to deliver required efficiency savings.</p> <p>(Place / Environment and Regulatory Services)</p>	4	5	20 High	↔ No change	<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 was submitted to agree the next steps. A business case was submitted and Trafford council will be taking the following option:</p> <ul style="list-style-type: none"> ▪ 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. ▪ 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 continue the Amey contract and seek significant improvements to the delivery of existing services. <p>The Covid-19 Crisis has delayed the process of negotiation for this. Amey's performance during this period has continued to be generally good.</p> <p>Discussions between the Council and Amey could not satisfactorily or economically come to a solution to move to an in-House service model. In a paper to the Council in October 2020 the decision to move to the second option was taken. To achieve the significant improvements in the delivery of the contract, the council has subsequently activated the contractual 7 year review clause. This gives a six month review period (with member oversight and resident and stakeholder input) to recommend any changes to the contract for improvements and efficiencies.</p> <p>It should be noted that the efficiencies needed for the 2021/22 COVID affected budgets were achieved with Amey's assistance.</p>

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7	Leisure Services (Place/ Authority wide)	4	5	20 High	↔ No change	<p>All facilities operated by Trafford Leisure Community Interest Company (CIC) were closed from the 20th March 2020, in line with the Government's lockdown.</p> <p>In line with the easing of Government restrictions Altrincham Golf Course and the leisure centres re-opened for a short time mid 2020 but due to Tier 3 status across GM and subsequent full national lock down the Leisure Centres closed again in November 2020. The centres and the golf course re-opened in Spring 2021 in accordance with the easing of lockdown restrictions, and remain at below full capacity. Further easing is dependent on the ending of lockdown restrictions, currently expected on the 19th July 2021.</p> <p>A review of the Council's Leisure Investment Strategy was completed by Max Associates and approved at the January 2021 Executive. This included the recommendation to further explore the options to refurbish Altrincham, Sale and Stretford Leisure Centres and no longer embark on a new developments due to budget pressures on both Trafford Council and Trafford Leisure. A further report on the refurbishment and a new operating agreement will be presented to the Executive in Autumn 2021.</p> <p>The Council were also successful in securing £550k of funding from the Leisure Recovery Fund, to offset some of the loss of income in the previous and current financial year.</p>
8	Economic Impact of Brexit and COVID-19 (Authority-wide)	4	4	16	↔ No change	<p>On 23 June 2016, Britain voted in a referendum to leave the European Union (EU) and on 1 January 2021 the UK left the EU with a Trade Deal covering new rules for how the UK and EU will co-operate, and trade together.</p> <p>Under the Trade & Co-operation Agreement, tariff and quota free trade between the UK and EU will continue as a part of a bilateral trade agreement. However, it is important to note that there are certain issues around the regulatory framework, rules of origin, Northern Ireland status and additional administrative</p>

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						<p>requirements / bureaucracy that are likely to have a direct effect on businesses. For example, businesses must show where their goods were made and where the components in those products come from, to determine whether tariffs are levied on goods into the EU. Also British exporters must register to pay VAT in the EU countries they are exporting to. In addition, the ending of free movement of people from the EU to the UK could have an impact on recruitment and meeting skills gaps.</p> <p>A high level Transition Preparedness Plan identifying key priorities/issues for each Service area has been produced by the Transition Preparedness Group as a focus for activity going forward. The Preparedness Plan is a combination of actions and issues that are monitored and reviewed by the Group on regular basis. In light of the above, and the ongoing effects of the Covid crisis, a review of the previous Brexit Impact Assessment has been produced and a report will be going to the Council's Executive on 26 July 2021. This report also includes an update on the Inclusive Economy Recovery Plan.</p> <p>The Trafford Inclusive Economy Recovery Plan, approved by the Council's Executive in February 2021 complements the above and was produced in light of the effects of the pandemic on the economy and the need to set out key initiatives to steer the borough through recovery. The Plan has not only been set in the context of meeting key issues facing the borough, but also to be complementary to the work of the GM LEP Economic Vision and Build Back Better priorities which sets out to create a better opportunity for a strong and successful recovery.</p> <p>The Plan is a 'live' document and may be amended over time as circumstances changes and new issues arise. Meeting the challenges caused by the Covid pandemic and ensuring an effective recovery will not be easy and will require a strong partnership approach to tackle the issues facing the local economy through to recovery and beyond.</p>

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						<p>The Plan covers the following themes:</p> <ul style="list-style-type: none"> -Business Support and Sustainable Job Creation -Transition Preparedness -Green Economy and Sustainable Job Creation -Sustainable Jobs and Skills Growth for local residents -Inward Investment and Sustainable Job Creation -Funding and Growth -Strategic Sites Development and Job Creation -Improved Town Centres for Residents and Businesses -Increase Visitor Economy
9 (5)	<p>Breach of health and safety legislation leading to prosecution under the Corporate Manslaughter Act and other Health and Safety Regulations.</p> <p>(Strategy and Resources / Finance and Governance).</p>	3	5	15 Medium	↓ Risk Reduced	<ul style="list-style-type: none"> • Risk score has reduced as the risks of COVID transmission within our workplaces continue to be effectively managed through COVID Secure measures, supported by the testing and vaccination programmes. This is closely monitored with the current variant COVID rates increasing regionally and nationally. The risk management strategies include managing occupancy to low levels, home-working where possible, workforce re-integration strategy and support, buildings, service and individual risk assessment approaches, access to PPE where required, Covid rapid testing available for all front line staff from TTH combined with a test and trace local system and refocused mental wellbeing support. • Current Health & Safety Policy and comprehensive arrangements in place. Subject to periodic review as required and available to the workforce via the intranet. • Health and Safety Audit programme in place across all Directorates and schools. This programme includes proactive monitoring of compliance with health & safety law and internal H&S management arrangements. • Policy, arrangements, protocols and guidance for Directorates and schools updated to reflect legislative or organisational changes and any

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						<p>new or emerging risks (in addition, a targeted rolling programme is ongoing).</p> <ul style="list-style-type: none"> • Health & 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. • HSU support in responding to occupational health and workforce referrals to ensure the health, safety and welfare of staff. • Staff consultation processes in place to report and liaise on Health and Safety performance issues. • Competent HSU advisory service with advisors subject to continuing professional development requirements. • Employee Health and Wellbeing Strategy in place which incorporates ill health reduction and mental wellbeing support. • Online training available to support managers and schools in ensuring staff are competent to undertake tasks/role. • Arrangements in place for the health and safety assessment of providers/contractors prior to approval and for subsequent monitoring of performance. <p>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.</p>
10 (9)	<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>	3	5	15 Medium	↔ No change	<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 in place:</p>

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						<ul style="list-style-type: none"> • An Improvement Board has continued to be in place with an Independent Chair (DfE) and attended by senior politicians and senior officers from the Council and key partners. • A full and comprehensive Improvement Plan is being implemented, this is continually reviewed and updated in line with our internal findings from quality assurance • Progress towards improvement continues to be monitored by the Department of Education regularly through the Involvement of our Improvement Advisor and DfE link officer. • Most recent DfE review in May 2021 concluded that: <i>The service has continued to improve throughout the last six months and the council remains driven and committed to improving outcomes for the children, young people and families of Trafford</i> • A monthly REACT meeting continues to take place with DfE regarding LA response to vulnerable children during the Covid pandemic. Our performance relating to visits to children open to CSC, vulnerable children attending school has been consistently strong during the past several months. The DfE report that they are assured that we know our children • Ofsted have conducted a recent Assurance Visit (23 Feb – 10 March 2021) and have confirmed that they have seen progress since the 2019 inspection but that there are further improvements to ensure consistency in the quality of practice that we need to progress. Ofsted feedback was that all of the areas they found as needing to improve had already been identified by the Senior Leadership team, plans are in place to address and that there are the right plans. • 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

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						<p>now well developed with partners about an agreed approach to Early Help.</p> <ul style="list-style-type: none"> • There has been significant focus on improving Quality Assurance processes across 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. Ofsted noted the improvements that have been made in this area and there were assured that the information we can collate from QA processes is giving us the key information that we need to improve practice. • Whole Service redesign is commencing with formal consultation starting on 17 March 2021. This will be significant in how we organise ourselves to deliver the right service to children at the right time in a much clearer way. The workforce have been a part of the process with engagement sessions and follow up 'show & share' sessions with staff. • 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.
11 (10)	A successful Cyber Security Attack could lead to sensitive data being compromised , denial of access to the	3	5	15 Medium	↔ No change	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

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	<p>Council's computing services or severe degradation or loss of control of those services.</p> <p>(Finance & Systems / Finance and Governance)</p>					<p>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"> • 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. • 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. <p>The draft outcome of the assessment was received in March 2020 but the response to the recommendations and action plan was delayed due to the Covid-19 crisis. The responses have now been provided and the final report completed. The responses include:</p> <ul style="list-style-type: none"> • Proposed solutions where the assessment identifies areas for improvement; making the business case for change or investment where appropriate.

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						<ul style="list-style-type: none"> • An agreed improvement plan, the recommendations have been put into a plan and allocated to the ICT teams. • Progress against the recommendations is monitored at the ICT quarterly security meetings. <p>Other controls and activities are:</p> <ul style="list-style-type: none"> • An internal cyber security group has been formed which meets quarterly to review and manage the Council and CCG's cyber defences and processes. • Key IT Managers are attending the National Cyber Security Centre / iNetwork Cyber Resilience Training Programme. • 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. • The Network People (TNP) provide Trafford Council with specialist security advice to help develop, manage and monitor Trafford's security defences and incident response. • 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 was delivered in June. • The PSN report has been received and the identified vulnerabilities split between the infrastructure and network & Telecoms teams. Progress is monitored through 3 weekly meetings and a target to have this completed by 30th November 2020. • Phishing awareness campaign with Purplephish has been procured which will be delivered electronically to all Council and CCG staff. Engaged with the Comms teams to develop the action plan. The comms for the phishing campaign was signed off. The campaign started in December 2020 and will last for 12 months. The campaign is to provide staff with automated, ongoing and regular security awareness training.

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						<ul style="list-style-type: none"> Cyber Essential plus accreditation – We have been informed by Pentest People with whom we are working with to achieve this accreditation that the template has changed. A pre-scoping document has been completed ahead of access to the portal where an online questionnaire will be completed. Progress is monitored at the quarterly IT Security meetings. <p>Cyber Essential plus accreditation (update) – following a meeting with the Pentest People several areas for improvement have been identified before we can achieve both the cyber essentials and the plus accreditation. An improvement plan will be created to address these areas with aim to have these completed by September 2021, support will be required from the business to achieve this date. There are several applications that are no longer supported by the software vendor on the Trafford network, unsupported software does not receive security updates. The Penetration test completed in May 2021 produces a report that will help identify these applications. Business areas using unsupported software will need to identify an alternative or have it removed. MHCLG completed a cyber audit on the Trafford council environment, this produced Cyber Treatment Plan which is being actioned with funding secured through the MHCLG.</p>
12 (11)	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.	3	5	15 Medium	↔ No change	<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 continuity in relation to the following - roles and responsibilities; identification of priorities including completion of business impact analyses (BIA) to identify the impact of</p>

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	(Authority-wide)					<p>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 started to review 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. Procedures will continue to be reviewed across the Council.</p> <p>The onset of the pandemic further impeded progress on the completion of a comprehensive set of plans whilst also improving greater internal resilience.</p> <p>Regulatory and ICT Services have now met to review work undertaken so far, update this and pull together a revised plan for completing the Programme. Internal Audit will also provide input and will join the next meeting in July.</p>
13 (12)	Investment Strategy (Finance & Systems / Finance and Governance).	3	5	15 Medium	↔ No change	<ul style="list-style-type: none"> • In February 2020 the Council agreed to an increase to the Investment Fund to £500m and to date £377m of commitments have been made. • As at 31/3/21 total commitments against the Fund were £336m and this included for the repayment of the senior debt facility related to The Crescent regeneration scheme during 2020/21. The uncommitted balance on the Fund was £164m. • This investment to date has already provided a net benefit to support the revenue budget of £1.67m, £3.12m and £6.37m in 2018/19, 2019/20 and 2020/21 respectively and is projected to contribute £6.70m in 2021/22. • The returns in 2020/21 are approximately £1.1m lower than originally forecast and the specific reasons for this relate predominantly to the impact of the Covid-19 pandemic on some of our key town centre retail asset acquisitions. More specific detail is provided in

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						<p>the final budget monitoring report presented to Executive on 21 June 2021.</p> <ul style="list-style-type: none"> A list of the current commitments as at 31/3/21 is detailed below:- <table border="1"> <thead> <tr> <th>Asset Investment Fund</th> <th>Total £m</th> </tr> </thead> <tbody> <tr> <td>Total Investment Fund</td> <td>500.00</td> </tr> <tr> <td>Property Purchase:</td> <td></td> </tr> <tr> <td>Sonova House, Warrington</td> <td>12.17</td> </tr> <tr> <td>DSG, Preston</td> <td>17.39</td> </tr> <tr> <td>Grafton Centre incl. Travelodge Hotel, Altrincham</td> <td>10.84</td> </tr> <tr> <td>The Fort, Wigan</td> <td>13.93</td> </tr> <tr> <td>Sainsbury's, Altrincham</td> <td>25.59</td> </tr> <tr> <td>Sub Total</td> <td>79.92</td> </tr> <tr> <td>Property Development:</td> <td></td> </tr> <tr> <td>Sale Magistrates Court</td> <td>4.80</td> </tr> <tr> <td>Brown Street, Hale</td> <td>7.49</td> </tr> <tr> <td>K Site, Stretford Equity</td> <td>12.25</td> </tr> <tr> <td>Former sorting office, Lacy Street, Stretford</td> <td>0.96</td> </tr> <tr> <td>Care Home Purchase</td> <td>2.23</td> </tr> <tr> <td>Various Development Sites</td> <td>0.43</td> </tr> <tr> <td>Sub Total</td> <td>28.16</td> </tr> <tr> <td>Equity:</td> <td></td> </tr> <tr> <td>Stretford Mall, Equity</td> <td>8.82</td> </tr> <tr> <td>Stamford Quarter, Equity</td> <td>16.69</td> </tr> <tr> <td>Sub Total</td> <td>25.51</td> </tr> <tr> <td>Development Debt:</td> <td></td> </tr> <tr> <td>Bruntwood; K site</td> <td>12.25</td> </tr> <tr> <td>The Crescent, Salford (*)</td> <td>0</td> </tr> <tr> <td>Bruntwood Shopping Centre</td> <td>25.57</td> </tr> <tr> <td>CIS Building, Manchester</td> <td>60.00</td> </tr> <tr> <td>The Hut Group</td> <td>67.50</td> </tr> <tr> <td>Castle Irwell, Salford</td> <td>19.00</td> </tr> <tr> <td>Sub Total</td> <td>184.32</td> </tr> <tr> <td></td> <td></td> </tr> <tr> <td>Total Capital Investment</td> <td>317.91</td> </tr> <tr> <td>Albert Estate Investment</td> <td>17.62</td> </tr> <tr> <td>Total Investment</td> <td>335.53</td> </tr> <tr> <td>Balance available</td> <td>164.47</td> </tr> </tbody> </table>	Asset Investment Fund	Total £m	Total Investment Fund	500.00	Property Purchase:		Sonova House, Warrington	12.17	DSG, Preston	17.39	Grafton Centre incl. Travelodge Hotel, Altrincham	10.84	The Fort, Wigan	13.93	Sainsbury's, Altrincham	25.59	Sub Total	79.92	Property Development:		Sale Magistrates Court	4.80	Brown Street, Hale	7.49	K Site, Stretford Equity	12.25	Former sorting office, Lacy Street, Stretford	0.96	Care Home Purchase	2.23	Various Development Sites	0.43	Sub Total	28.16	Equity:		Stretford Mall, Equity	8.82	Stamford Quarter, Equity	16.69	Sub Total	25.51	Development Debt:		Bruntwood; K site	12.25	The Crescent, Salford (*)	0	Bruntwood Shopping Centre	25.57	CIS Building, Manchester	60.00	The Hut Group	67.50	Castle Irwell, Salford	19.00	Sub Total	184.32			Total Capital Investment	317.91	Albert Estate Investment	17.62	Total Investment	335.53	Balance available	164.47
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						<ul style="list-style-type: none"> • 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 portfolio, these are made at prudent loan to value levels and to borrowers of good covenant. • 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. • Further risk mitigation is being undertaken through the bolstering 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). The reserve level was £5.98m as at 31/3/21. • All investments are scrutinised by an Investment Management Board which includes cross-party representation. • 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

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						<p>sector, length of unexpired lease, location, asset condition and residual land value.</p> <ul style="list-style-type: none"> • Coronavirus has had a marked impact on global economies with a significant impact on stock markets worldwide and cuts in interest rates. The impact of this on the Council's investments has been closely monitored and regular updates have been received from our external advisors. It is inevitable that there has been an impact on rental streams, particularly from some of our town centre investments. This impact has been closely monitored and reported through the Council's bi-monthly financial reporting process. • As certain investments are repaid the programme relies on these being replaced by suitable alternatives. The budget for 2021/22 assumes that new schemes will deliver £3m of benefit. Should this not occur, pressure will be faced in the annual revenue budget. This risk has been partially mitigated by the inclusion of a balance within the calculation of the minimum level of General Reserve, based on an assumed risk that 25% may not be delivered. • As part of the Asset Investment Programme, the Council has entered into three joint venture arrangement with Bruntwood Works to acquire three key sites in the Borough, namely the former Kellogg's HQ site in Old Trafford, Stretford Mall and the Stamford Quarter. The primary reason for acquisition of the assets was for regeneration and no assumptions are included in the budget for any additional income from the assets to support Council services. Significant master planning and options appraisal work is currently being undertaken around each assets and further updates will be provided to the Executive throughout the course of the year.
14	Loss / absence and retention of senior managers to	3	5	15	↔ No change	<ul style="list-style-type: none"> • Strengthening of the senior leadership team – through introduction of Assistant Director level posts to aid succession planning for senior leadership roles. • Professional coaching is available for all managers/senior managers across the

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	the organisation. (Strategy and Resources / Finance and Governance).					<p>organisation to support them in leading and engaging their staff through transformational change and/or to support leaders with their health and wellbeing.</p> <ul style="list-style-type: none"> • An EPIC People Manager offer is in place to ensure managers are conversant with all People management responsibilities. • 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. • A refreshed performance management approach to the PDR process has been developed and launched. The framework makes clear reference to career development conversations (Broaden, Deepen, Step Up), which should support us to identify senior management potential early. • Trafford Let's Talk Leaders events are in the diary throughout 2021/22 to enable our senior managers to hear from our corporate leaders, keynote speakers, benefit from networking opportunities and sharing learning. • EPIC values and a supporting behaviour framework have been developed in line with Trafford's vision aligned to corporate priorities. • Pro-active attendance management strategy developed and will be rolled out across Trafford with and EPIC manager Module to support the implementation of knowledge and skills. • A Health & Well-being strategy is in place with actions to maintain and improve employee morale and well-being.
15	Failure of the Adult Safeguarding Service.	3	4	12 Medium	↔ No change	<ul style="list-style-type: none"> • The responsibility for Adults has been transferred to Adult Social Care through the Principal Social Worker role (May 2019). • Serious Case Review Panel (Adults) reviewed and in place, has completed several Learning Reviews, a Safeguarding Adults

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	(Adult Services / Adult Social Care).					<p>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).</p> <ul style="list-style-type: none"> • 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. • 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 Greater Manchester Police (GMP) and Mental Health. • There is a discrete Adult Protection Line for members of the public to directly contact social care to raise safeguarding concerns. • 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. • Considerable work completed on incoming safeguarding referrals resulting in significant improvement in the timeliness of allocation. • Mental Capacity Act (MCA) and Deprivation of Liberty Safeguards (DoLS) e-learning available for all staff and use is monitored. • 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. • Member training has been completed regarding safeguarding. • All deprivation of liberty safeguarding assessments now allocated immediately due to changes in process and improved staffing arrangements. • Planning work is underway for the implementation of new legislation on Liberty Protection Safeguards.

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						<ul style="list-style-type: none"> • Applications to the court of protection for community deprivation arrangements completed. • Revised internal joint Legal and Social Care Coroners process introduced January 2019. Review completed June 2019. Now embedded in to practice. • 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. Jointly chaired by DASS (Trafford Council) and Deputy Chief Nurse supported by primary care, pharmacy to track and support quality improvement in care homes, homecare, deliver improvements in practice, and embed learning and overall aims to improve quality and safeguarding of vulnerable adults in Trafford. • During Covid-19 risk increased as referrals reduced – similar to patterns nationally and similar to patterns in NHS re: A&E use etc. Mitigation – Daily screening and situation advice, adverts on Council Website, media, signposting etc., leaflets in letter boxes, tracking referrals in place, regular contact with residents known to social care, community hubs in place across the borough to support those people shielding and in need of access to food, medication, information and advice including welfare rights advice via CAB, Adults recovery plan underway. • Reports on safeguarding incidents, by individual provider, to be introduced and moved to commissioning team to enhance market improvement plans. Ongoing developments to be added intelligently and data supported. • Annual Safeguarding plan completed. • Annual report for safeguarding Board completed. • SAR process fully embedded into Trafford Strategic Safeguarding Board (TSSB). • Target monitoring areas set by DASS and chair of Joint Quality Improvement Board to

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						<p>include neglect, falls and medication errors, and providers operating below the good or outstanding and improvement plans/support implemented in readiness for restart of CQC inspection regime.</p> <ul style="list-style-type: none"> • The Safeguarding Hub was launched on the 7th of June 2021, creating one central point for all safeguarding referrals into Adult Social Care. The Safeguarding Hub will also be responsible for managing organisational safeguarding and complex safeguarding issues such as self-neglect and hoarding, coercion and control, and capacitated adults who are making unwise decisions where the risk is remaining or increasing and previous attempts to engage have failed. The Safeguarding Hub will also represent ASC at multi-agency meetings such as the Daily Risk Meeting, MARAC, MAPPA, and Prevent. • We have introduced a new quality assurance framework and accreditation tool (SPARQ) within the Supported Living service and will be extending this approach across Ascot House and Care at Home July onwards. This new assurance process complements our safeguarding policy and procedures. We are also exploring a post to provide leadership governance and support to all provider services.