

TRAFFORD COUNCIL

Report to: Accounts and Audit Committee
Date: 20 July 2022
Report for: Discussion
Report of: Audit and Assurance Manager

Report Title

Strategic Risk Register 2022/23 (July 2022 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:

Mark Foster – Audit & Assurance Manager. Email: mark.foster@trafford.gov.uk
Peter Morris – Senior Audit & Assurance Officer. Email: peter.morris@trafford.gov.uk

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/early July 2022 for each risk unless otherwise stated.

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

- 2.1 The Audit & Assurance Service liaises 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.
- 2.2 This report contains an update on each of the strategic risks, including recent developments relating to the risks and progress made in managing each risk.
- 2.3 There has been a decrease in the score for one of the risks since the previous strategic risk update report in March 2022 i.e. Risk 14 (Potential Disruption as a result of Covid-19) which shows a decrease from a risk score of 20 (High) to 12 (Medium). Details relating to the risk are shown in Section 3.
- 2.4 The risk charts in section 2.6 show an analysis of the current strategic risks. The charts analyse 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, set out in Section 3, this includes the relevant Executive Portfolio and Service Directorate
- 2.5 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.

2.6 **Comparison of Risk Levels March 2022 and July 2022**

IMPACT **Risk Levels – March 2022**

Very High(5)		6	5	1	
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

IMPACT **Risk Levels – July 2022**

Very High(5)		6	4	1	
High (4)	1	1	1	1	
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 2022)

Red	Amber	Green
-----	-------	-------

Risk	Strategic Risk Title / (Directorate / Portfolio)	Likelihood (1-5) (A)	Impact (1-5) (B)	Risk Score (A x B)	Change in Risk Score	Comments
1	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 originally expected from April 2021 now delayed until possibly 2024/25 (Finance & Systems /	5	5	25 High	↔ No change	<p>2021/2022 Budget Outturn Position</p> <p>There was an outturn underspend of £1.53m for 2021/22; a range of mitigating actions introduced to manage the budget pressures in year contributed to the positive outturn. An opportunity to further bolster reserves has been taken in order to manage the scale of the challenges the council faces in delivering a sustainable budget over the medium term. Specific reserves have been bolstered to address the escalating levels of inflation and the short-term pressures within Adults, particularly surrounding the increase in discharges from hospital as the health service aims to clear long standing waiting lists.</p> <p>Despite the positive outturn position, escalating pressures are being felt in demand led services such as children's placements and home to school transport and there was a sizeable shortfall in the income generated from the strategic investment programme largely due to delays in the developer loans being drawn down.</p> <p>A significant savings programme of £11.93m was included in the 2021/22 budget of which £8.94m was achieved. A figure of £929k has been included in the 2022/23 budget to reflect savings which will not be achieved.</p> <p>MTFS 2022/2025 and Budget 2022/23</p> <p>In February 2022 the Council approved the updated budget strategy including the final revenue budget proposals for 2022/23 and the Medium Term Financial Strategy (MTFS) for the period 2023/25.</p> <p>The key summary of figures for the revenue budget, based on forecasts at the time were :</p> <p>The budget gap for the three years before applying any of the policy choice savings and</p>

Risk	Strategic Risk Title / (Directorate / Portfolio)	Likelihood (1-5) (A)	Impact (1-5) (B)	Risk Score (A x B)	Change in Risk Score	Comments
	Finance and Governance).					<p>income proposals is estimated to be £38.59m comprising:</p> <ul style="list-style-type: none"> • £41.85m of additional expenditure and funding pressures • £3.26m improvements in funding <p>For 2022/23 there is a gross budget gap of £20.14m consisting of £7.10m COVID-19 pressures and £13.04m BAU.</p> <p>Plans to close the gap in 2022/23 consist of £3.39m additional funding from Council Tax, and £5.32m income generation and savings proposals, use of one off reserves of £7.1m to address COVID pressures and £4.33m use of General Reserve for the remaining gap.</p> <p>The gaps for 2023/24 and 2024/25 are £15.7m and £2.7m respectively, total £18.4m.</p> <p>The Local Government Act 2003 requires the Director of Finance and Systems, the Council's section 151 officer, to report independently to the Council their own opinion as to the robustness of the budget estimates and the adequacy of the financial reserves and the minimum level of reserves. The Director's opinion is included in section 1 of the February 2022 budget report. Further details of the robustness exercises supporting the statement relating to the adequacy of Reserves and Risk Assessment are shown in section 7.</p> <p>Whilst the final budget report highlights the continuing financial challenges over the medium term, of which there are many, the Council's Section 151 Officer remains confident that at this moment the Council can meet these challenges using its robust and resilient financial management platform that has been built pre-pandemic.</p> <p>The current assessment is that, whilst the Council will secure a balanced budget position for 2022/23, Trafford like other local authorities faces serious concerns in achieving a sustainable budget position beyond 2022/23.</p> <p>The proposals set out in the budget report can secure a robust budget for 2022/23 but do require a use of reserves to enable a balanced budget to</p>

Risk	Strategic Risk Title / (Directorate / Portfolio)	Likelihood (1-5) (A)	Impact (1-5) (B)	Risk Score (A x B)	Change in Risk Score	Comments
						<p>be presented; this is not sustainable beyond 2022/23 and reserves cannot be used to avoid the requirement for permanent savings.</p> <p>As such the medium-term budget strategy has incorporated the requirement to embark on a programme of innovative change to make permanent reductions in net expenditure. The programme will be supported by a Finance and Change Board to provide strategic direction and proactive governance.</p> <p>In order to provide a level of resilience Council reserves have been realigned. A Budget Resilience, Innovation and Change Reserve has been bolstered significantly to provide a cushion and to support the MTFP as the Council continues its recovery from the financial impacts of the pandemic. It will support the budget gap over the short-term and provide the necessary investment in the innovation and change programme which will support us to deliver a balanced budget in later years.</p> <p>Wider economic uncertainty - post Covid-19 pandemic, increasing inflation and conflict in Ukraine :The country is currently facing an unprecedented number of economic challenges including adapting to the wider fall out of the pandemic, the highest inflation rates seen in over 40 years, energy price inflation caused by the conflict in Ukraine and the impact of Brexit.</p> <p>The 2022/23 budget included resources of £7.1m to address a number of anticipated ongoing COVID-19 pressures, representing the loss of the airport dividend of £5.6m and a contingency of £1.5m for unforeseen general pressures.</p> <p>The forecasting of the ongoing impact of Covid is challenging and as such pressures are now being considered as business as usual as our society adapts to the post Covid world. No further resource relating to the impact of COVID-19 after 2022/23 was announced by the Government in the recent Spending Review (SR21) for the period 2022 to 2024.</p>

Risk	Strategic Risk Title / (Directorate / Portfolio)	Likelihood (1-5) (A)	Impact (1-5) (B)	Risk Score (A x B)	Change in Risk Score	Comments
						<p>The demand in children's and adults social care, continues to be monitored carefully to identify the potential for latent demand within the system which was anticipated to be felt over the short to medium term.</p> <p>Wage, contractual and energy inflation pose a significant risk over the short to medium term, particularly the well documented rate of increase and the uncertainty of how long it will continue. The uncertainty is exacerbated by an already unstable supply market, particularly regarding social care provision. Additional resources were identified by the Government in the SR21 to stabilise the market and introduce a care cap on contributions an individual is required to make towards personal care. It is already of concern that the resource identified in the SR21 will be insufficient to meet the evolving pressures.</p> <p>The MTFP is currently being updated to reflect the latest economic position however a large level of uncertainty remains.</p> <p>The Council utilised its favourable outturn in 2020/21 and 2021/22 and general COVID-19 support grants to bolster its COVID-19, Budget Support Reserve, Inflation Risk Reserves and specific earmarked reserves. These reserves will provide sufficient capacity to cushion and to support the MTFP during the change programme and absorb the uncertainty in inflationary pressures during 2022/23.</p> <p><u>Risk Mitigation</u></p> <p>The key activities below provide a further level of risk mitigation (details of all risk mitigation themes are shown in Annex H of the final budget report). Key themes are shown below</p> <ul style="list-style-type: none"> • A Finance and Change Programme established (2022) to enhance our structured response to the significant budget issues and to provide strategic direction and proactive governance around the management of our Finance and Change programme.

Risk	Strategic Risk Title / (Directorate / Portfolio)	Likelihood (1-5) (A)	Impact (1-5) (B)	Risk Score (A x B)	Change in Risk Score	Comments
						<ul style="list-style-type: none"> • Review of earmarked reserves to provide a Budget Resilience, Innovation and Change Reserve with sufficient capacity to cushion and to support the MTFP during the programme. • Bolstering of a specific reserve to smooth the unknown impact of inflationary pressures over the short-term • Continuation of more streamlined and focussed budget monitoring to the Executive on a bi-monthly basis. High risk areas of the budget continue to be monitored on a monthly basis. • Savings Programme monitored on a monthly basis and reported to CLT. • The 22/23 budget provides for a number of contingency items for potential covid pressures (delayed demand, prolonged impact on collection rates). • Early engagement with DLUHC to highlight the significant and growing risks and future uncertainty in financial sustainability • Engagement with Greater Manchester Combined Authority to review GM wide commitments seeking reprioritisation of uncommitted resource.
2	Climate Change Emergency (Place / Sustainability and Climate Change)	5	4	20 High	↔ No change	This is 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

Risk	Strategic Risk Title / (Directorate / Portfolio)	Likelihood (1-5) (A)	Impact (1-5) (B)	Risk Score (A x B)	Change in Risk Score	Comments
						<p>Climate Change can be addressed firstly through adaption (as it is already occurring) - actions 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 Trafford Air Quality and Climate Change Commission is now well established – and a new performance tool is managing progress. Activity is now focussed on businesses, which account for a significant portion of emissions – and most especially SME's. New staff were recruited through 2021– thus improving the Council's overall capacity to address the issue.</p> <p>Work continues on a number of fronts – with the commissioning of two studies looking at the greening of Trafford Park and its transition to a low carbon future. Complimentary to this work is underway to prepare for a heat network around the Civic Quarter, with a funding bid due to be submitted by 1 July 2022. The Public sector decarbonisation programme remains ongoing.</p> <p>The Climate Change Commission continues to meet with new emphasis on the VCSE sector and communications. Despite this good work, risk levels remain high.</p>
3	Trafford Council must ensure that it and 3 rd parties acting on their behalf are handling	4	5	20 High	↔ No change	<p>The following constituent risks make up the overall risk score:</p> <ul style="list-style-type: none"> • Records Management • Subject Access Requests (SAR) Freedom of Information (FOI) / Environmental Information Regulations (EIR) – • Data Breaches <p>Data Security Protection Toolkit</p>

Risk	Strategic Risk Title / (Directorate / Portfolio)	Likelihood (1-5) (A)	Impact (1-5) (B)	Risk Score (A x B)	Change in Risk Score	Comments
	<p>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 identified:</p> <ul style="list-style-type: none"> • Compliance risks • SAR delays • FOI compliance • Data breaches • Mandatory Training <p>(Legal and Governance) / Finance and Governance)</p>					<p>Although progress has been made in individual areas, the overall risk remains high, significant work needs been undertaken over the next 6 to 12 months where areas for improvements have been identified via a recent gap analysis and audit benchmarked against UK GDPR and the NHS DSPT assertions published on 30 June 2022. It is anticipated that by the next monitoring report, there will have been some improvements to lower the overall risk score.</p> <p><u>Records Management</u></p> <p>A review of the Council's record management position is needed and options around the appointment of a specialist with a view to identifying work streams and potential solutions are currently being evaluated. An options paper will be compiled which will set out recommended strategies to ensure that the council is meeting both its compliance and legislative requirements.</p> <p>The council Retention Schedule needs to be reviewed with the engagement of Information Asset Owners and incorporated within the Records Management Policy.</p> <p>Offsite Storage: An audit of all records retained in off-site storage needs to be undertaken in line with the councils review, retain and dispose schedule of records.</p> <p>Hard Copy Files: An assessment of the Council's handling and storage of hard copy records needs to be undertaken to explore the position and present recommendations around data cleansing and retention protocols.</p> <ul style="list-style-type: none"> • Email management: recommendations regarding email management are being developed alongside IT colleagues with the aim of implementing a 2 year retention policy with exception for certain email records where applicable. <p><u>Subject Access Requests (SAR)</u></p>

Risk	Strategic Risk Title / (Directorate / Portfolio)	Likelihood (1-5) (A)	Impact (1-5) (B)	Risk Score (A x B)	Change in Risk Score	Comments
						<p>The Information Commissioners Office (ICO) had expressed concerns that the Council was failing to adhere to statutory deadlines in the processing of subject access requests (SAR's) subject to UK GDPR.</p> <p>SAR processing is an issue for most LAs across the UK and has resulted in an increase in complaints made to the ICO.</p> <p>The Council responded by securing additional resource and establishing a task and finish group to address the issue.</p> <p>As of January 2021, the Council had a backlog of approx. 149 SAR cases, with an average of 15 new cases being received each month. The IG team were processing an average of 7-10 SAR cases per month.</p> <p>As of January 2022, the Council's backlog SAR cases had been reduced to 4, with an average of 19 SAR cases being processed by the IG team per month.</p> <p>The IG team have also reduced the number of cases which exceeded the statutory response timescales from 104 in September 2020 to 21 in September 2021 to 14 in February 2022.</p> <p>The ICO were informed of the progress that had been made and the Council were formally notified that we were no longer be subject to inspection.</p> <p>Furthermore, the ICO asked the Council to act as an exemplar to other LA's in sharing knowledge and approach to the processing of SAR's and how to tackle case backlogs.</p> <p>Since February 2022 the ICO have received a number of complaints regarding the Council's handling of SARs. As a result of those complaints the Council have been liaising with the ICO and reviewing the circumstances which led to the complaints with a view to remedying any common causes. The ICO will monitor the Council's progress over the coming months.</p>

Risk	Strategic Risk Title / (Directorate / Portfolio)	Likelihood (1-5) (A)	Impact (1-5) (B)	Risk Score (A x B)	Change in Risk Score	Comments
						<p>Work to continue improving SAR processes will continue.</p> <p><u>Freedom of Information (FOI)/ Environmental Information Regulations (EIR)</u></p> <p>The average compliance rate to date had been steadily decreasing month by month, reaching a rate of 41% (responded to within 20 working days) in September 2021. The Team undertook a significant push in January 2022 with the current rate being at 65%. The target compliance rate (and ICO expectation) is 90%.</p> <p>Assessment of this performance shortfall has been undertaken and work is ongoing to implement actions identified and work will continue to determine solutions both in the near term and longer term.</p> <p>Identified actions: Targeted collaboration with teams where delays are being experienced; Rota system implemented across the IG team to improve processing; Reporting mechanisms reviewed; Refocus of resource from SAR cases to FOIs.</p> <p><u>More generally:</u></p> <ul style="list-style-type: none"> • Weekly reports for each directorate have been recommenced. The reports highlight where there are overdue FOI's, and also those becoming due in 1 and 2 weeks as a reminder that a response is due for these. • The IG team have undertaken a number of purge exercises in which we have progressed each overdue FOI with the services directly, has had a positive impact on response times. • We continue to have a number of FOIs breaching the statutory compliance responding timeframe. • The IG team have taken a direct approach in targeting certain areas where there are consistent delays in responses, which also is having a positive impact. The IG team have set

Risk	Strategic Risk Title / (Directorate / Portfolio)	Likelihood (1-5) (A)	Impact (1-5) (B)	Risk Score (A x B)	Change in Risk Score	Comments
						<p>up a fortnightly meeting with colleagues across the Council to discuss all FOIs currently with them, this has also been really positive and the number of overdue FOIs in problem areas has reduced significantly.</p> <ul style="list-style-type: none"> • Transparency on outstanding FOIs has been improved with the introduction of reporting <p><u>Data Breaches</u></p> <p>Position Statement: Between April 2021 and the 6th October 2021, the Information Governance Team has received reports of 40 data breach incidents for investigation. (Avg: 6.5 a month).</p> <p>Between the 6th October 2021 and 31st January 2022, the Information Governance Team has received reports of 23 data breach incidents for investigation. (Avg: 6 a month).</p> <p>The most common types of data breach are:</p> <ul style="list-style-type: none"> • Email sent in error to wrong recipient. • Letter posted to wrong recipient. • Error in redaction of information. • Excessive information shared with professionals by email. • Documents left on office printers. • Documents lost to theft/burglary at employees home. • Lost information. • IT system glitches. <p>The majority of the cases logged at Severity level 3 were found to have risks mitigated through appropriate and timely measures taken and no risks were posed to the rights and freedom of affected individuals.</p> <p>The Governance Manager and Head of Legal and Governance, supported by the SIRO is leading an ongoing review to improve processing and awareness of data incidents:</p> <ul style="list-style-type: none"> ➤ Interim processes which have already been embedded across the IG Service are being

Risk	Strategic Risk Title / (Directorate / Portfolio)	Likelihood (1-5) (A)	Impact (1-5) (B)	Risk Score (A x B)	Change in Risk Score	Comments
						<p>developed further to determine more substantive permanent mechanisms of reporting, - Incident reviews and decision making across the process:</p> <ul style="list-style-type: none"> ➤ IG team have weekly meetings with IG Officers to triage new data incidents. Enables more serious incidents to be progressed on an urgent basis. Ensures Incidents are allocated promptly for investigation. ➤ There remains a risk from delayed oversight of data incidents, poor quality reporting and lack of accountability for reporting and recommendation implementation. ➤ As previously identified by Internal Audit, the biggest issue to be addressed is “Squaring the circle” and ensuring that the IG Team’s recommendations are fully implemented – work ongoing to identify solutions. ➤ Recommendations are being reviewed to ensure that they are both practical and effective and to ensure that implementation and success can be measured. ➤ Recommendations will be reviewed to ensure that they are tailored to common types of breaches. The common types of breaches have been evolved somewhat as a result of the pandemic and remote working. ➤ A system to capture data around data incidents is now in place which will inform smarter reporting and increase transparency. ➤ There is a correlation between training take up and number of breaches originating from specific areas. ➤ Actions are being developed to secure commitment from the senior levels across target Directorates to ensure that data protection training is made a priority within agreed timescales. <p>Together, the above issues raise the following risks – legal/regulatory (non-compliance with legal requirements), reputational, financial, adverse publicity.</p> <p><u>Data Security Protection Toolkit</u></p> <ul style="list-style-type: none"> • This an annual piece of work that requires the Council to demonstrate that it is fully

Risk	Strategic Risk Title / (Directorate / Portfolio)	Likelihood (1-5) (A)	Impact (1-5) (B)	Risk Score (A x B)	Change in Risk Score	Comments
						<p>compliant with the minimum data protection standards in order to access and process information from NHS Digital.</p> <ul style="list-style-type: none"> • This piece of work requires significant resource from both IG and ICT. Moreover, it requires the Council to corporately demonstrate commitment in areas such as data protection training and cyber security. • Our last submission was in June 2022 and there are a number of areas where the Council did not fully meet the standards as identified by our Internal Auditors. • The IG team will be rolling out a robust improvement plan for addressing each of the areas identified by internal audit where there have been shortcomings with a deadline for compliance being March 2023 in time for the final audit prior to the next DSPT Toolkit submission.
4	<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	↔ No change	<p>In the normal admissions round for entry into reception and in September 2022 there were sufficient places with a number of surplus place in all areas for our residents.</p> <p>However the surge of in-year applications in 2021 from families newly resident in Trafford, continues to have an impact on primary places and is starting to create pressures in the secondary sector as children move up.</p> <ul style="list-style-type: none"> • In Years 1, 3, 4, 5 and 6 every school in Sale East and Sale West is full and additional children have been admitted above the published admission number. • This means that there are now insufficient places in these year groups in Sale. • Places above the admission number will continue to be allocated through the appeals process and fair access protocol in line with Trafford's determined admission arrangements. • Altrincham has vacancies in every year group, except Years 5 and 6 where there are no vacancies. • In Urmston every reception and Y1 class is full and Infant Class Regulations limit

Risk	Strategic Risk Title / (Directorate / Portfolio)	Likelihood (1-5) (A)	Impact (1-5) (B)	Risk Score (A x B)	Change in Risk Score	Comments
						<p>the number of number of additional children that can be admitted except in a very few limited circumstances.</p> <p>In the normal admissions round for entry into Y7 in September 2022 there was just enough capacity to offer a place to everyone who applied. However, 179 Trafford children, predominantly resident in Altrincham and Sale, could not be allocated places at any of their preferred schools and were allocated places at the nearest school with a vacancy. At the end of the allocation every secondary school in Trafford was full and some schools allocated places above their published capacity.</p> <ul style="list-style-type: none"> • In Altrincham, there are currently 3x Y7, 1x Y8 and 9x Y11 vacancies, all other year groups are full. • In Sale there are 1x Y8, 4x Y10 and 2x Y11 vacancies, all other year groups are full. • In Partington, there is pressure in Y9 with only 1x Y9 vacancy. There are vacancies in all other year groups. • There are vacancies in all current year groups in Stretford and Urmston. <p>School Places & Capital Board 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"> • A capital scheme is underway at Firs Primary School to create 30 additional places from January 2023. • Proposals underway to permanently expand 4 schools from September 2024, 2 in Sale East (1 infant, 1 junior), 1 in Altrincham and 1 in Urmston. • In Altrincham, 15 additional places have been created as an emergency measure in Years 5 and 6 ahead of the permanent expansion proposal. 30 additional places in Y4 and 30 in Y5 to be brought online October 2022. Early stage negotiations

Risk	Strategic Risk Title / (Directorate / Portfolio)	Likelihood (1-5) (A)	Impact (1-5) (B)	Risk Score (A x B)	Change in Risk Score	Comments
						<p>with one additional school with a view to temporarily creating up to 30 additional places.</p> <ul style="list-style-type: none"> • In Sale East, 30 additional Y5 places created ahead of the permanent expansion. • In Sale West, temporary bulge class created 30 additional places in Y5 and 6 through conversion of specialist space. Early stage negotiations with one additional school with a view to temporarily creating up to 30 additional places. • 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. • Regular meetings with DfE Place Planning Teams to monitor sufficiency and impact of inbound migration, particularly from Hong Kong, the Afghanistan resettlement scheme and the Homes for Ukraine scheme. • 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 and, therefore, has limited direct powers in relation to place planning and admissions policies. • Options to permanently expand secondary provision in Altrincham and/or Sale from September 2024 are currently being explored at 3 schools. Additional capacity in temporary accommodation is also being explored for September 2023.

Risk	Strategic Risk Title / (Directorate / Portfolio)	Likelihood (1-5) (A)	Impact (1-5) (B)	Risk Score (A x B)	Change in Risk Score	Comments
						<ul style="list-style-type: none"> • Specific communication and application advice developed for Altrincham and Sale parents in the transfer cohort for September 2023 to help secure Y7 places for Trafford residents. • Additional monitoring group set up comprising cross directorate senior leadership and Executive members.
5	<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 stating that 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 an opportunity to recommend any changes to the contract for improvements and efficiencies. This process is still ongoing (with member oversight and resident and stakeholder input), notice has</p>

Risk	Strategic Risk Title / (Directorate / Portfolio)	Likelihood (1-5) (A)	Impact (1-5) (B)	Risk Score (A x B)	Change in Risk Score	Comments
						<p>been served to Amey and the contract specifies that a reply will be received in 4 weeks, understandably this may be delayed due to negotiations. We have elongated the process due to COVID interference. A response was received to the 7 year review in May 2022 and we have now commenced evaluation and negotiation.</p> <p>It should be noted that the efficiencies needed for the 2021/22 COVID affected budgets were achieved with Amey's assistance.</p>
6	<p>Leisure Services</p> <p>(Place/ Authority wide)</p>	4	5	20 High	↔ No change	<p>The refurbishment programme will deliver much needed improved facilities that will support the Councils corporate and borough wide strategic priorities. Through tailored place-based programming, centres will help address health inequalities and improve community health and wellbeing outcomes.</p> <p>In February 2022 Executive approved £52.1m into the capital programme to cover the costs of the proposed refurbishment of Altrincham, Sale and Stretford Leisure Centres.</p> <p>The revenue budget and reserves approved by Council in February 2022 included support for a full range of leisure provision for 2022/23 and over the medium term. Leisure operating losses in the region of £1.5m in 2021/22 are currently being supported from Council reserves and one-off external funding.</p> <p>The identification and funding of revenue costs to support business disruption during the refurbishment programme has also been considered and Max Associates have provided a report which identifies these costs, which have been considered as part of the ongoing budget setting process. To further mitigate the risk around this, the Council commissioned independent due</p>

Risk	Strategic Risk Title / (Directorate / Portfolio)	Likelihood (1-5) (A)	Impact (1-5) (B)	Risk Score (A x B)	Change in Risk Score	Comments
						diligence and updates of the business plans for each centre by Max Associates.
7	Economic Impact of Brexit and COVID-19 (Authority-wide)	4	4	16 High	↔ 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 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 a 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 was presented 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</p>

Risk	Strategic Risk Title / (Directorate / Portfolio)	Likelihood (1-5) (A)	Impact (1-5) (B)	Risk Score (A x B)	Change in Risk Score	Comments
						<p>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> <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 <p>The Transition Preparedness Group is currently inviting proposals from service leads for utilising the remaining Preparedness Funding granted to local authorities from the government. This funding can be used to support service delivery that will ensure Trafford's economy can adapt to the changes that arise through Brexit. Those proposals that are taken forward and approved by the Council will aid the delivery of the Inclusive Economy Recovery Plan.</p>
8	Breach of health and	3	5	15 Medium	↔	<ul style="list-style-type: none"> • A project managed and risk assessed programme of safe reintegration to ensure

Risk	Strategic Risk Title / (Directorate / Portfolio)	Likelihood (1-5) (A)	Impact (1-5) (B)	Risk Score (A x B)	Change in Risk Score	Comments
	<p>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>				No change	<p>the health, safety and welfare of the workforce returning to our offices in line with government and public health 'Living with Covid Guidance'. Social distancing measures now lifted but certain measures remain including assessed good ventilation and ongoing monitoring, regular cleaning regimes and sanitising stations in place, guidance and wellbeing support for persons at greater risk from COVID-19, arrangements to monitor and action potential clusters of symptomatic staff absence and continued delivery of mental wellbeing support for staff through our internal support services (Occ. Health and EAP Service, Mental Health First Aid Network, Mental Wellbeing Support initiatives)</p> <ul style="list-style-type: none"> • 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 for 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 new or emerging risks (in addition, a targeted rolling programme is ongoing). • DSE and Homeworking guidance and complex assessment support in place to support our Trafford Smart Working Styles and ensure workstation safety and health. • Health & Safety Unit (HSU) support in the comprehensive assessment and investigation, where required, of health and safety issues or incidents. • HSU support in 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.

Risk	Strategic Risk Title / (Directorate / Portfolio)	Likelihood (1-5) (A)	Impact (1-5) (B)	Risk Score (A x B)	Change in Risk Score	Comments
						<ul style="list-style-type: none"> • 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. • 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. • 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.
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 a priority area of Council responsibility which 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. 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> <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, which 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

Risk	Strategic Risk Title / (Directorate / Portfolio)	Likelihood (1-5) (A)	Impact (1-5) (B)	Risk Score (A x B)	Change in Risk Score	Comments
						<p>Education regularly through the Involvement of our Improvement Advisor and DfE link officer.</p> <ul style="list-style-type: none"> A DfE 6 monthly review was undertaken in January 2022 which resulted in a letter to the Chief Executive dated 3rd March which highlighted that: <i>“A huge strength in Trafford is how children and young people (CYP) run through all conversations. It is evident that achieving the best outcomes for CYP is at the heart of your strategic decisions, you know what good looks like and that’s purely focussed on achieving the best outcomes for CYP. Frontline staff genuinely care about providing the best support to the most vulnerable and recognise how improved systems / practice and structures are, and will, make a real difference for those they support.”</i> <p>There were a number of areas that were highlighted as requiring embedding/further work – Service redesign, workforce stability and quality of social work practice</p> <ul style="list-style-type: none"> We continue to provide monthly assurance data to DfE regarding vulnerable children – contacts/referrals and visits. 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 are seeing our children are safe and we no longer meet with them routinely around those issues A further Monitoring Visit was undertaken by Ofsted in March 2022 (with a focus on Permanence), which was published in May 2022 which will be presented at CYP Scrutiny Committee. It stated: <i>“Services for children in care have shown some improvements since the inspection in 2019. Children are regularly visited by social workers and some assessments & plans are comprehensive and effective.”</i> <p>Similar issues of consistency, impact of service re-design and workforce stability were noted.</p>

Risk	Strategic Risk Title / (Directorate / Portfolio)	Likelihood (1-5) (A)	Impact (1-5) (B)	Risk Score (A x B)	Change in Risk Score	Comments
						<ul style="list-style-type: none"> The Quality Assurance framework is embedded across the service which is enabling an accurate view about the quality of practice and identifying actions required to further improve. We have a 3 year workforce development programme which has commenced which will assist alongside effective supervision and performance management frameworks.
10	<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 & Systems / Finance and Governance)</p>	3	5	15 Medium	↔ No change	<p>The Council is subject to cyber-attacks daily, 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 reported increased cyber threats during the COVID-19 crisis as criminals take advantage of vulnerabilities.</p> <p>In relation to events in and around Ukraine, the National Cyber Security Centre (NCSC) is not aware of any current specific threats to UK organisations. The Council's IT and Digital Service will be monitoring risks over the coming weeks and months. The NCSC has called on organisations in the UK to bolster their online defences and we are doing what we can in relation to this which will include communications and raising awareness of staff.</p> <p>We encounter multiple attacks daily so even though there is the potential of an increased threat, we would expect our defences to protect us in most instances. Our view is that the impact score remains at 5 (very high / extreme) but likelihood of an attack being successful remains 3 (medium). Risks will continue to be monitored and risk levels reviewed if intelligence emerges of targeted attacks on the UK.</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>

Risk	Strategic Risk Title / (Directorate / Portfolio)	Likelihood (1-5) (A)	Impact (1-5) (B)	Risk Score (A x B)	Change in Risk Score	Comments
						<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 2020 by Internal Audit. Response to the recommendations was delayed due to the Covid-19 crisis. Responses have now been provided and the final report completed. An improvement plan has been agreed and activities allocated to the IT teams.</p> <p>Delivery of the improvement plan has been slow, and aspects are paused due to capacity challenges. Funding for an additional temporary IT Security Manager post was agreed in 2021 but three attempts to recruit have been unsuccessful. Funding for an additional Cyber Security post has been agreed and alternative approaches to recruit both posts are underway. A specialist IT recruiter is being procured to help and advise on filling these posts as quickly as possible. Once in place both post holders will support delivery of the improvement plan and cyber security risks mitigation.</p> <p>Other controls and activities are:</p> <ul style="list-style-type: none"> • An internal cyber security group meets monthly to review and manage the Council and CCG's cyber defences and processes. Progress against the audit review recommendations is monitored at the meetings. • IT Managers have attended 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

Risk	Strategic Risk Title / (Directorate / Portfolio)	Likelihood (1-5) (A)	Impact (1-5) (B)	Risk Score (A x B)	Change in Risk Score	Comments
						<p>help develop, manage, and monitor Trafford's security defences and incident response.</p> <ul style="list-style-type: none"> • A phishing awareness campaign began during 2021 to provide employees and Councillors with ongoing security awareness training. The campaign has successfully raised awareness of phishing risks and was extended for another year running through to July 2022. • The IT & Digital Service have undertaken a cyber audit on the Trafford IT environment in conjunction with the Department for Levelling Up, Housing and Communities (DLUHC). A Cyber Treatment Plan has been agreed following the audit with planned improvement supported by funding. • Audits have identified applications exist on the Trafford network that are no longer supported by the software vendor. The unsupported applications are therefore not protected from the latest security threats. The IT & Digital Service will work with directorates and business areas to identify alternative solutions so that the risk can be removed. • The procurement of a Cloud backup storage solution is in the final stages and implementation is expected by September 2022. This will provide offline backups with an "air-gap" between the backup mechanism and the copies of the data. This provides additional protection against ransomware attacks. The solution will support disaster recovery by providing access to backups in the event of a major incident that renders the on-premises data and backups unavailable. • Pen test Started at the beginning of June 2022, to date there have been no major vulnerabilities identified, the final report will be published at the end of June 2022. <p>Trafford Council IT and Digital Unsupported Software Position has been clarified and the Business Continuity Project fulfilled its primary objectives to review and revise the Business Continuity plans of each service in the Council.</p>

Risk	Strategic Risk Title / (Directorate / Portfolio)	Likelihood (1-5) (A)	Impact (1-5) (B)	Risk Score (A x B)	Change in Risk Score	Comments
						<p>The Project has delivered a new corporate business continuity policy and plan. The project oversaw the development of business impact assessments (BIAs) and business continuity plans (BCPs) for all departments and it established a new network of Business Continuity Service Leads (BCSLs) across the Council.</p> <p>The project has worked closely with colleagues in IT throughout its lifespan. The project conducted an IT systems audit for non-supported systems. This is the first time this information has been collated and has been presented to IT to manage hereafter.</p> <p>There are several, specific remaining outstanding actions. These are mostly BIAs and BCPs that were unable to be scheduled during the project's timeframe due to the extenuating demands of the particular services involved. Each of these actions has been agreed with the respective service, has an assigned owner and an agreed timescale for completion this summer.</p> <p>The project's recommendations are to be presented in July/August 2022 and the Audit team will conduct a detailed review of the risk exposure in the summer 2022.</p>
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>The Business Continuity Project fulfilled its primary objectives to review and revise the Business Continuity plans of each service in the Council.</p> <p>The Project has delivered a new corporate business continuity policy and plan. The project oversaw the development of business impact assessments (BIAs) and business continuity plans (BCPs) for all departments and it established a new network of Business Continuity Service Leads (BCSLs) across the Council.</p> <p>The project has worked closely with colleagues in IT throughout its lifespan. The project conducted an IT systems audit for non-supported systems. This is the first time this information has been</p>

Risk	Strategic Risk Title / (Directorate / Portfolio)	Likelihood (1-5) (A)	Impact (1-5) (B)	Risk Score (A x B)	Change in Risk Score	Comments
	(Authority-wide)					<p>collated and has been presented to IT to manage hereafter.</p> <p>There are several, specific remaining outstanding actions. These are mostly BIAs and BCPs that were unable to be scheduled during the project's timeframe due to the extenuating demands of the particular services involved. Each of these actions has been agreed with the respective service, has an assigned owner and an agreed timescale for completion this summer.</p> <p>The project's recommendations are to be presented in July/August 2022 and the Internal Audit team will conduct a detailed review of the risk exposure in the summer 2022.</p>
12	Asset Investment Strategy (Finance & Systems / Finance and Governance).	3	5	15 Medium	↔ No change	<ul style="list-style-type: none"> • In February 2022 the Council agreed to a continuation of the Investment Fund of £500m. To date £346m of commitments have been made. • Gross returns from the investments are used to cover the cost of any borrowing required to support the investment, provide for debt repayment and also contribute to a risk reserve. • 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 a further £6.48m in 2021/22. • The returns in 2021/22 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 and also the impact on income when investments are repaid caused by timing differences in identifying new investments to provide a replacement revenue stream. More specific detail is provided in the period 12 budget monitoring report presented to Executive in June. • The revenue budget for 2021/22 and 2022/23 assumes a level of net income from the Asset Investment Strategy of £7.6m. This is a challenging target and therefore in later years of the MTFP this has been reduced by £1.5m

<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>																																																								
						<p>in 2023/24 and a further £0.5m in 2024/25. The level of the investment fund will be reviewed as part of the budget setting for the 2023/24 budget. It will be important that sufficient headroom is left in the fund to cover the cost of a number of planned regeneration schemes in the borough.</p> <ul style="list-style-type: none"> A list of the current commitments as at 31/3/22:- <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>5.49</td> </tr> <tr> <td>Brown Street, Hale</td> <td>6.91</td> </tr> <tr> <td>Former sorting office, Lacy Street, Stretford</td> <td>0.96</td> </tr> <tr> <td>GMP Site, Chester Rd, Old Trafford</td> <td>0.64</td> </tr> <tr> <td>Care Home Purchase</td> <td>2.94</td> </tr> <tr> <td>Various Development Sites/Tamworth</td> <td>0.72</td> </tr> <tr> <td>Sub Total</td> <td>17.66</td> </tr> <tr> <td>Equity:</td> <td></td> </tr> <tr> <td>Stretford Mall, Equity</td> <td>8.82</td> </tr> <tr> <td>K Site, Stretford Equity</td> <td>12.25</td> </tr> <tr> <td>Stamford Quarter, Equity</td> <td>24.69</td> </tr> <tr> <td>Sub Total</td> <td>45.76</td> </tr> <tr> <td>Development Debt:</td> <td></td> </tr> <tr> <td>Bruntwood; K site</td> <td>12.25</td> </tr> <tr> <td>Bruntwood Shopping Centre</td> <td>33.57</td> </tr> <tr> <td>CIS Building, Manchester</td> <td>34.00</td> </tr> <tr> <td>The Hut Group</td> <td>67.50</td> </tr> <tr> <td>Castle Irwell, Salford</td> <td>19.00</td> </tr> </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	5.49	Brown Street, Hale	6.91	Former sorting office, Lacy Street, Stretford	0.96	GMP Site, Chester Rd, Old Trafford	0.64	Care Home Purchase	2.94	Various Development Sites/Tamworth	0.72	Sub Total	17.66	Equity:		Stretford Mall, Equity	8.82	K Site, Stretford Equity	12.25	Stamford Quarter, Equity	24.69	Sub Total	45.76	Development Debt:		Bruntwood; K site	12.25	Bruntwood Shopping Centre	33.57	CIS Building, Manchester	34.00	The Hut Group	67.50	Castle Irwell, Salford	19.00
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	5.49																																																													
Brown Street, Hale	6.91																																																													
Former sorting office, Lacy Street, Stretford	0.96																																																													
GMP Site, Chester Rd, Old Trafford	0.64																																																													
Care Home Purchase	2.94																																																													
Various Development Sites/Tamworth	0.72																																																													
Sub Total	17.66																																																													
Equity:																																																														
Stretford Mall, Equity	8.82																																																													
K Site, Stretford Equity	12.25																																																													
Stamford Quarter, Equity	24.69																																																													
Sub Total	45.76																																																													
Development Debt:																																																														
Bruntwood; K site	12.25																																																													
Bruntwood Shopping Centre	33.57																																																													
CIS Building, Manchester	34.00																																																													
The Hut Group	67.50																																																													
Castle Irwell, Salford	19.00																																																													

					<table border="1"> <tr> <td>Castle Irwell Phase 2</td> <td>12.00</td> </tr> <tr> <td>Hale Library Redevelopment</td> <td>4.60</td> </tr> <tr> <td>Sub Total</td> <td>184.92</td> </tr> <tr> <td></td> <td></td> </tr> <tr> <td>Total Capital Investment</td> <td>328.26</td> </tr> <tr> <td>Albert Estate Investment</td> <td>17.62</td> </tr> <tr> <td>Total Investment</td> <td>345.88</td> </tr> <tr> <td>Balance available</td> <td>154.12</td> </tr> </table>	Castle Irwell Phase 2	12.00	Hale Library Redevelopment	4.60	Sub Total	184.92			Total Capital Investment	328.26	Albert Estate Investment	17.62	Total Investment	345.88	Balance available	154.12
Castle Irwell Phase 2	12.00																				
Hale Library Redevelopment	4.60																				
Sub Total	184.92																				
Total Capital Investment	328.26																				
Albert Estate Investment	17.62																				
Total Investment	345.88																				
Balance available	154.12																				
					<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 £6.31m as at 31/3/22. • All investments are scrutinised by an Investment Management Board which includes cross-party representation. 																

Risk	Strategic Risk Title / (Directorate / Portfolio)	Likelihood (1-5) (A)	Impact (1-5) (B)	Risk Score (A x B)	Change in Risk Score	Comments
						<ul style="list-style-type: none"> • 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. • 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 2022/23 assumes that new schemes will deliver £1m 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.

Risk	Strategic Risk Title / (Directorate / Portfolio)	Likelihood (1-5) (A)	Impact (1-5) (B)	Risk Score (A x B)	Change in Risk Score	Comments
13	Loss / absence and retention of senior managers to the organisation. (Strategy and Resources / Finance and Governance).	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 organisation to support them in leading and engaging their staff through transformational change and/or to support leaders with their health and wellbeing. • An EPIC People Manager offer is in place to ensure managers are conversant with all People management responsibilities. • We also offer a range of fully funded apprenticeships/qualifications from Operational to Senior Leadership (Level 7/MBA) and variety of apprenticeships at level 6 in role specific areas to support development. • 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 run regularly and are an opportunity for senior leaders to hear from our corporate leaders, keynote speakers, benefit from networking opportunities and sharing learning. Attendance also includes any colleagues stepping up or if relevant to their development. • EPIC values and a supporting behaviour framework have been developed in line with Trafford's vision aligned to corporate priorities.

Risk	Strategic Risk Title / (Directorate / Portfolio)	Likelihood (1-5) (A)	Impact (1-5) (B)	Risk Score (A x B)	Change in Risk Score	Comments
						<ul style="list-style-type: none"> • 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. • Corporate Wellbeing Principles have been defined and regularly promoted along with support and resources advertised on our newly created health, safety and wellbeing pages. • Internal resources available to bespoke development plans for senior leaders identified at risk or potential for future/ready for growth. • Our next Engagement Survey is taking place in June 2022. Analysis of the results from this survey at senior leadership level will help identify areas of focus and further actions/support required.
14	Significant disruption as a consequence of the COVID-19 outbreak (Authority-Wide)	3	4	12 Medium	Decrease in Risk Score ↓	<p>COVID restrictions have now ended, and we have now moved to a steady state; transitioning activity and governance back to BAU. Recovery governance and silver groups have been stood down. Increases in risk levels will be reported through the existing council governance structures.</p> <p>The risk score has been reduced to medium, recognising the continued risk of new COVID variants and potential challenges in the autumn.</p> <p>All project level risks have been reviewed, with residual risks assigned to appropriate owners. Business continuity plans have also been revised.</p> <p>A COVID Contain capability has been retained to continue necessary activities and to be in a position to respond quickly and effectively if we see a new variant / further surge. A tool kit is under development so that governance arrangements can be stood up quickly if required.</p>

Risk	Strategic Risk Title / (Directorate / Portfolio)	Likelihood (1-5) (A)	Impact (1-5) (B)	Risk Score (A x B)	Change in Risk Score	Comments
						<p>The neighbourhood based community engagement team continues to work in localities on community engagement and behaviour change, and vaccination uptake.</p> <p>Our ongoing communication programme for residents, staff and partners continues</p> <p>New hybrid working practices have been established to support ways of working for our staff.</p>
15	<p>Failure of the Adult Safeguarding Systems and Processes to prevent an adult at risk of abuse or neglect from being harmed or a failure of the council to adequately safeguard an adult at risk from neglect or abuse.</p> <p>(Adult Services / Adult Social Care).</p>	2	4	8 Low	↔ No change	<ul style="list-style-type: none"> • In the previous risk update, the risk score reduced in likelihood due to a number of improvements to the safeguarding practice over the last 12 months; • 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. • The process of handling provider concern notifications is more focused on reporting higher numbers of low level concerns and providing rich data across the care market. • Provider concern data is routinely reviewed in the Joint Quality Improvement Board to detect trends and provide a coordinated partnership response to adverse reporting through support and prevention in the first instance. • We have established a devoted Adult Protection phoneline for members of the public to directly contact social care to raise safeguarding concerns. • Work has commenced on developing the newly implemented Adult Safeguarding Hub into a multiagency safeguarding hub which aims to include GMP, IDVAs, Probation,

Risk	Strategic Risk Title / (Directorate / Portfolio)	Likelihood (1-5) (A)	Impact (1-5) (B)	Risk Score (A x B)	Change in Risk Score	Comments
						<p>GMMH, Health, Drug and Alcohol Services, and Housing within the service to provide a holistic multi agency response to safeguarding concerns.</p> <ul style="list-style-type: none"> • Daily Risk Meetings, for the optimum management of individual cases, takes place with ASC, GMP, Children Social Care, Mental Health, and Achieve (Drug & Alcohol Service). This enhanced information sharing provides a multi-agency review of cases attended by the police in the previous 24 hours. • All safeguarding referrals received are triaged using a written risk assessment on receipt by the Adult Safeguarding Hub. • Considerable work completed on incoming safeguarding referrals resulting in significant improvement in the timeliness of allocation. • Learning Lessons from adverse cases through Safeguarding Adult Review Panel (SAR) and Adult Learning and Improvement Committee (LIC) disseminated to staff across Adult Social Care (ASC). • We have an internal joint Legal and Social Care Coroners process embedded in to practice, this is being reviewed for effectiveness throughout 2022 • Targeted monitoring areas set by DASS and co-chairs of Joint Quality Improvement Board where concerns re quality or safety of providers is highlighted through usual reporting mechanisms. • Joint chairing arrangements introduced for MARAC as part of the MARAC review completed. A task and finish group is in place monitoring the effectiveness of the revised arrangements. • Response to Safeguarding Adult Review from the TSSP to optimise “lessons learnt” has been strengthened and includes managerial representation at strategic meetings that manage multi-agency safeguarding (DASS and JQIB), greater emphasis on practice change and embedding new ways of working.