

## TRAFFORD COUNCIL

**Report to:** Accounts and Audit Committee  
**Date:** 19 March 2024  
**Report for:** Discussion  
**Report of:** Audit and Assurance Manager

### Report Title

**Strategic Risk Register 2023/24 (March 2024 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 February 2024 for each risk unless otherwise stated.

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

- 2.1 CLT 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, progress made in managing each risk and further plans.
- 2.3 In terms of changes since the last strategic risk update there has been one new risk added:

- Risk 6 – Risk that rising thresholds of acute population health needs (e.g. mental health, BMI etc) lead to system efforts being increasingly focussing on the short term, responding to presenting need. This detracts from protecting proportionate investment necessary for putting in place and sustaining longer term, more cost-effective approaches for early intervention and prevention to improve population and wellbeing outcomes.

and three changes in the risk scores:

- Risk 1 regards the Council's Medium Term Financial Position – Whilst this is still considered a high risk, given the Council has recently approved a balanced budget, the risk score has reduced from 25 to 20.
  - Risk 14 ("Significant disruption as a consequence of health protection incidents" - Note the description has changed to include measles outbreaks) which shows an increase from a risk score of 8 (Low) to 12 (Medium).
  - Risk 7 (Demand for School Places) which shows a decrease from a score of 20 (High) to 15 (Medium).
- 2.4 The risk charts in section 2.5 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 17 strategic risks which are set out in Section 3.

2.5 **Comparison of Risk Levels November 2023 and March 2024**

**IMPACT** **Risk Levels – November 2023**

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

**LIKELIHOOD**

**IMPACT** **Risk Levels – March 2024**

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

**LIKELIHOOD**

High Risk
Medium Risk
Low Risk

### 3. Strategic Risks (March 2024)

Red (High Risk)	Amber (Medium Risk)	Green (Low Risk)
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Risk Number 1	Likelihood (L)	Impact (I)	Risk Score (L x I) High Medium Low	Change in Risk Score
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 (compounded by the current high levels of inflation) and major changes that are planned concerning the reform of local government funding (Review of Relative Needs and Resources previously Fair Funding) and the review of the business rate retention system with a planned reset potentially in 2026/27 and uncertainty of the sharing arrangements of the 100% GM retention scheme. (Finance & Systems / Finance and Governance).	4	5	20 High	↓ Decrease in Risk Score
<b>Corporate Priorities</b>	All			
<b>Existing Controls and Risk Mitigation</b>	<p>Regular budget bi-monthly monitoring to the Executive, covering all aspects of the Council’s budget, including revenue, capital programme and investment strategy, prudential indicators, reserves, collection fund and school budgets.</p> <p>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.</p> <p>Recurrent pressures identified from in-year budget monitoring are fed into the Medium Term Financial Strategy (MTFS) and as such are reflected within the 2024/25 budget and later years.</p> <p>Implementation and compliance of CIPFA Financial Management Code.</p> <p>A robust Medium Term Financial Strategy and Plan covering a detailed period of 3 years and plus 2 at high level to accommodate a time period of 5 years to highlight the longer term uncertainty and delays in the Fairer Funding review and business rates reset. The MTFP is updated on a regular basis throughout the year and is a key tool in preparation of the draft and final budget papers.</p>			

	<p>Review of earmarked reserves on a triannual basis (draft and final budget preparation and closedown). Review covers adequacy and robustness of each reserve.</p>
<p><b>Update (February 2024)</b> (Recent actions, performance updates, developments, emerging issues etc).</p>	<p>In respect of 2023/24 the Period 8 estimated outturn is a net underspend of £590k. This is an improvement from previous monitors and reflects the effectiveness of our financial management practices and additional controls put in place to contain the forecast adverse outturn anticipated earlier in the year. Significant pressures are being felt in Childrens Placements and Home to School Transport. Higher than anticipated inflation has resulted in excess costs of the local government pay award, however higher interests rates have resulted in a favourable return on investments of surplus cash above budget.</p> <p>It is imperative that effective financial management continues and existing spend controls remain in place during the year to ensure the forecast outturn remains favourable and avoids any undue call on the limited earmarked reserves. Various contingency budgets remain in place and will continue to be released as the year progresses. Any favourable outturn will be used to bolster the Budget Support Reserve to help provide a buffer to manage the budget gap identified in our MTFP.</p> <p>The Final Budget for 2024/25 and MTFS for 2025/27 was approved by Council on 21<sup>st</sup> February 2024. A budget gap of £17.80m in 2024/25 has been bridged by £6.21m of savings and efficiencies, £6.01m increase in Council Tax and £5.58m use of reserves. The estimated budget gap for the next two financial years 2025/26 and 2026/27 stands at £29.6m, with £15.4m in 2025/26.</p> <p>The Director of Finance is required by law to report independently to the Executive and Council his own opinion as to the robustness of the budget estimates and the adequacy of the financial reserves.</p> <p>In his opinion the budget gap cannot be addressed through transformational savings alone and will also need a rebalancing of the Council's overall funding position. During 2023, further work was commissioned to seek external advice of the Council's funding position which concluded that Trafford is one of the lowest funded authorities in the country and that this funding gap is widening each year. Further, that this rebalancing will only be achieved through Government intervention which could come from either a restructure of Local Government finance or additional flexibility to increase Council Tax above the referendum level.</p> <p>Given the size of the remaining gap for 2025/26 and 2026/27 it will be important to ensure sufficient and timely progress is made during the year to achieve material in-roads to reduce the budget deficit. To support the Finance and Change Programme, it is recommended that Executive give consideration to engage with CIPFA to conduct an external assurance review as a prudent next step to look at the Council's financial management and governance arrangements.</p> <p>This pattern is not unique to Trafford, with a recent survey by the Special Interest Group of Municipal Authorities identifying that 26 of their 47 member authorities could issue a Section 114 notice in the next two years, with five currently deciding whether to issue one imminently.</p>

	<p>The Autumn Statement 2023 did not announce any new funding from that announced in the previous year's announcement, however as a result of national lobbying by Members of Parliament, the LGA and County Council Network, highlighting the financial distress within Local Government, further resource of £600m was announced at the Final Settlement in February 2024. Although the additional allocation of funding was welcome news, and is a positive sign that the Government is willing to acknowledge the growing financial pressures within local government, it does not address the totality of the budget deficit locally or nationally over the next three years. <b>Given the overall economic outlook, uncertainty in availability of national resource, increasing demand pressures and size of the budget gap, the overall risk score has remained at 25.</b></p> <p>In respect of the school budgets and the Dedicated Schools Grants, whilst these are kept separate from the Council's budget, they are showing a growing High Needs deficit position, such that by the end of 2023/24 this could be as high as £10.0m, and as high as £44m by 2026/27.</p> <p>Without new interventions the high needs deficit is forecast to continue to increase over the MTFs period and is not financially sustainable. This creates a significant and unresolved financial risk to the Council. The Council is actively engaged with the Department for Education and is part of the Northwest SEND Change Programme Partnership to identify mitigations which may reduce the growth in costs.</p>
<p><b>Further Actions Required / Planned</b></p>	<p>All existing management action needs to continue for the foreseeable future in managing the adverse outturn position in the current financial year. It is essential that the Council preserves its limited earmarked reserves to maintain a cushion to support the financial planning for 2024/25 onwards.</p> <p>The outlook beyond 2024/25 is still extremely challenging and it is essential that the Finance and Change Programme resume the financial planning process early in the financial year to:-</p> <ul style="list-style-type: none"> <li>➤ Maintain close control of the 2024/25 monitoring position;</li> <li>➤ Ensure effective monitoring of the in-year savings programme;</li> <li>➤ Review and mitigate where possible any developing pressures that arise to ensure an unplanned use of reserves is not required;</li> <li>➤ Generate the maximum level of capital receipts as it can from land disposals;</li> <li>➤ Identify opportunities for further savings that will be an essential requirement for 2025/26 and where possible accelerate delivery in 2024/25.</li> <li>➤ Continue to lobby Government department to address the shortcomings in the current model to distribute resources.</li> </ul> <p>Given the size of the remaining gap for 2025/26 and 2026/27 it will be important to ensure sufficient and timely progress is made during the year to achieve material in-roads to reduce the budget deficit. To support the Finance and Change Programme, it is recommended that Executive give consideration to engage with CIPFA to conduct an external assurance review as a prudent next step to look at the Council's financial management and governance arrangements.</p>

	Officers need to continue to work with the DfE and regional partners to identify solutions to control the rising DSG deficit.				
<b>Risk Number 2</b>		<b>Likelihood (L)</b>	<b>Impact (I)</b>	<b>Risk Score (L x I)</b> High Medium Low	<b>Change in Risk Score</b>
<b>Climate Change Emergency (Place / Sustainability and Climate Change)</b>		5	4	20 High	↔ No Change
<b>Corporate Priorities</b>	Addressing our Climate Emergency				
<b>Existing Controls and Risk Mitigation</b>	Climate change can be addressed firstly through adaption - actions that are 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 by reducing our greenhouse gas emissions. It should be noted that the UK accounts for around 2% of global emissions and Trafford will be a small fraction of that. Alone Borough actions cannot possibly hope to affect Climate change – however our effectiveness will come via influencing and leadership to affect wider change. There are also a host of other co-benefits from climate action, such as lower air pollution levels, healthy and active lifestyles, more comfortable homes, reduced energy bills.				
<b>Update (February 2024)</b> (Recent actions, performance updates, developments, emerging issues etc).	<p>The Trafford Park Bee Net Zero Partnership is being launched in March. Working with GMCA and the Growth Company, the Partnership will offer businesses on Trafford Park support to decarbonise.</p> <p>Building on the first phase of feasibility on the Civic Quarter Heat Network, a detailed project development has started to develop an outline business case for a preferred option for the network.</p> <p>More work has been carried out across Trafford to publicise the Energy Company Obligation phase 4 funded Home Energy Improvements for vulnerable and low income households.</p> <p>Working with two schools in Trafford to assess viability for rooftop solar PV, as part of GMCA's Powering our Schools programme.</p> <p>Programme of active travel schemes also underway.</p> <p>Data on the Council's own carbon emissions for 2022/23 shows an 8% reduction since the previous year and a 26% reduction over the last 5 years.</p>				

	<p>Working closely with GMCA and other GM districts in the development of a GM-wide adaptation strategy and action plan.</p> <p>Programme of urban tree planting and woodland creation agreed with City of Trees for the 23/24 planting season under Defra and Forestry Commission funded programmes including Northern Forest, Trees for Climate and Grow Back Greener.</p> <p>Approval of Longford Park NLHF Delivery Phase bid including Longford Brook de-culverting and SUDS scheme, with further work alongside UU and EA, plus successful Defra/Natural England 'Lost Wetlands' feasibility funding for Natural Flood Management and Nature Recovery at the former William Wroe Golf Course site.</p> <p>Partnership work commenced via GMCA Environment Team' Adaptation workstream and working group, looking at hazard mapping across GM to help GM councils understand risk and impact, which will inform future work in Trafford.</p> <p>Partnership work with GMCA, GMEU, Natural England and The Wildlife Trusts on the GM Local Nature Recovery Strategy and preparation for mandatory Biodiversity Net Gain in 2024.</p>
<p><b>Further Actions Required / Planned</b></p>	<p>Planned actions include:</p> <p>Develop and begin delivery of a One Trafford Partnership Decarbonisation Plan – plan now in progress but awaits full completion.</p> <p>Local area Energy Plan to be developed further - GMCA are developing a Strategic Outline Business Case that seeks to identify funding and finance, Trafford is collaborating on the project.</p> <p>Deliver Public Sector Decarbonisation Scheme on Altrincham Leisure Centre – works underway and due for completion in summer 2024.</p> <p>Prepare a pipeline of projects to decarbonisation the corporate estate - Partington and Stretford Leisure centres decarbonisation are part of the PSDS 3c bid (circa £3.5m).</p> <p>Start delivering decarbonisation support to businesses on Trafford Park through the Trafford Park Bee Net Zero Partnership.</p>



Risk Number 3		Likelihood (L)	Impact (I)	Risk Score (L x I) High Medium Low	Change in Risk Score
<p>Trafford Council must ensure that it and 3<sup>rd</sup> parties acting on their behalf are handling personal/ sensitive and commercial data securely both in technology and physical terms and in accordance with legislation and Trafford Council's policies and procedures.</p> <p>The following areas of risk have been identified:</p> <ul style="list-style-type: none"> <li>• Compliance risks</li> <li>• SAR delays</li> <li>• FOI compliance</li> <li>• Data breaches</li> <li>• Mandatory Training</li> </ul> <p>(Legal and Governance) / Finance and Governance)</p>		4	5	20 High	↔ No Change
Corporate Priorities	All				
Existing Controls and Risk Mitigation	<ul style="list-style-type: none"> <li>• Reviews of data incidents: to identify problem areas; and to implement controls to mitigate against reoccurrence.</li> <li>• Mandatory Data Protection and Information Security training modules are in place.</li> <li>• 'Basic' data protection training is in place for staff who do not process personal data in the course of their roles.</li> <li>• DSP Toolkit submission for 2024. This annual activity forms part of the IG annual work plan.</li> <li>• The Council has a Senior Information Risk Owner (SIRO) and Data protection Officer (DPO) to provide independence on the effectiveness of the Council's data protection controls.</li> <li>• A revised security incident management policy to account for the legislative changes has been produced and available to staff on the IG intranet.</li> </ul>				
Update (February 2024) (Recent actions, performance updates,	<ul style="list-style-type: none"> <li>• Reviews of data incidents: to identify problem areas; and to implement controls to mitigate against reoccurrence.</li> </ul>				

developments, emerging issues etc).

- Data breach reports will be reviewed and authorised by the Data Protection Officer to ensure overview and consistency of outcomes and recommendations.
- The service will work with internal audit later in the year to address problem areas and strengthen the controls in place.
- Mandatory Data Protection and Information Security training modules are in place.
- 'Basic' data protection training is in place for staff who do not process personal data in the course of their roles.
  - The service continues to work with the Workforce and Core Strategy to maximise engagement and overall compliance with the mandatory training across the Council.
  - HR now includes compliance data in the monthly workforce report and dashboard. The reporting is reviewed by CLT and DMT, providing greater oversight and accountability across the Council. The compliance rate has been consistently high (89/90%) throughout the year.
  - The Council is procuring a new eLearning system for implementation in April 2024. The aspiration is that this will interact with existing systems, drawing through live data which will enable compliance to be more accurately monitored and promoted.
  - The service has been working with Workforce and Core Strategy to understand and identify responsibility for the training requirements of shared NHS and school staff in respect of data security matters.
- DSP Toolkit submission for 2024. This annual activity forms part of the IG annual work plan.
  - The Council's 2023 submission was prompt and within timescale.
  - The Council was assessed as approaching standards, indicating that the minimum legal standards were met. In collaboration with IT, an action plan was developed and following re-submission, the Council is now assessed as meeting standards. The Council is now meeting more than just the basic legal requirements.
  - Discussion and preparation has commenced with key stakeholders across the Council to assess the requirements and ensure prompt submission for 2024.
  - It is anticipated the Council will continue to meet standards.
- Resources and structure of the team has been reviewed with a view to improving resilience and support for the service.
  - The service redesign is progressing and once complete, will address the current lack of capacity to implement significant change.
  - Staff consultation on the service redesign concluded on 15th December 2023 and the new structure was implemented as of 1<sup>st</sup> January 2024. Recruitment activity has commenced and an Information Governance Manager is in post as of 5<sup>th</sup> February 2024. Associated recruitment activity continues and will stabilise the team and introduce resource at senior and administrative levels.

	<ul style="list-style-type: none"><li>○ Once the new structure of the team is embedded, the full review will be completed and a full programme plan developed and implemented to address identified areas of risk and measures to control/mitigate those risks.</li><li>● The IAB to be reviewed in respect of role and remit and to be re-established.<ul style="list-style-type: none"><li>○ This will be progressed following completion of the service redesign.</li><li>○ Aspirations are to work jointly with Business Intelligence to implement a board that can oversee both Data Governance and IG, and also to align this with IT and Digital and the Digital Strategy in place.</li><li>○ Outline plan/initial thoughts: propose each department nominates an IG Champion to take ownership of all IG issues within the department, full terms of reference to be agreed, information campaign to pitch requirements to service leads, selection/recruitment and post recruitment training for IGCs.</li></ul></li><li>● Timeliness of FOI requests in 2022-2023 against the annual target of 95% set by the ICO:<ul style="list-style-type: none"><li>○ Q1 – 78%</li><li>○ Q2 – 73%</li><li>○ Q3 – 72%</li><li>○ Q4 – 73%</li></ul></li><li>● Timeliness of FOI requests in 2023-2024 against the annual target of 95% set by the ICO:<ul style="list-style-type: none"><li>○ Q1 - 70%</li><li>○ Q2 - 73%</li><li>○ Q3 – 72%</li></ul></li></ul>
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FOI Received 2022/23	2022									2023		
	Apr	May	Jun	Jul	Aug	Sep	Oct	Nov	Dec	Jan	Feb	Mar
Allocated	0	0	0	0	0	0	0	0	1	1	3	3
Completed within 20 w/d	83	86	78	60	58	56	50	68	48	82	68	89
Completed outside 20 w/d	27	21	21	19	24	22	22	19	21	31	25	23
% Completed within 20 w/d	75%	80%	79%	76%	71%	72%	69%	78%	69%	72%	71%	77%
Completed	110	107	99	79	82	78	72	87	69	113	93	112
Completion Rate	100%	100%	100%	100%	100%	100%	100%	100%	99%	99%	97%	97%
<b>Total Received</b>	<b>110</b>	<b>107</b>	<b>99</b>	<b>79</b>	<b>82</b>	<b>78</b>	<b>72</b>	<b>87</b>	<b>70</b>	<b>114</b>	<b>96</b>	<b>115</b>

  

FOI Received 2023/24	2023									2024		
	Apr	May	Jun	Jul	Aug	Sep	Oct	Nov	Dec	Jan	Feb	Mar
Allocated	1	1	2	2	1	1	3	13	10	61	61	-
Completed within 20 w/d	65	76	75	75	80	68	86	83	61	93	15	-
Completed outside 20 w/d	36	25	28	22	33	25	34	18	12	7	0	-
% Completed within 20 w/d	64%	75%	71%	76%	70%	72%	70%	73%	73%	58%	20%	-
Completed	101	101	103	97	113	93	120	101	73	100	15	-
Completion Rate	99%	99%	98%	98%	99%	99%	98%	89%	88%	62%	20%	-
<b>Total Received</b>	<b>102</b>	<b>102</b>	<b>105</b>	<b>99</b>	<b>114</b>	<b>94</b>	<b>123</b>	<b>114</b>	<b>83</b>	<b>161</b>	<b>76</b>	<b>0</b>

- Not all SAR and FOI requests are processed centrally by the IG team. The Place and Children's Social Care Directorates process their own enquiries which are sent out in the name of individual Directors. The individual requests and supporting information are not held centrally but are held on the systems used by those directorates. There is currently no mechanism in place to secure oversight of these processes, deadlines and timelines of responses being provided by individual directorates.

- As part of the Microsoft 365/Dynamics 365 migration process, discussions are underway between key stakeholders across the Council and as part of those discussions, digital solutions are being explored to improve and automate processes where possible to accurately measure and improve performance.
  - Discussions are also underway with Children's Social Care with aspirations to change how SARs from care leavers are processed. The aim is to be able to disclose in the first instance a bundle of key records that would provide a summary of key events, as this would cut down on the waiting times often involved and therefore improve outcomes but would also ease some pressure in dealing with often voluminous cases.
  - An action plan will be developed to improve compliance rates once capacity has increased with the service redesign. The compliance rates will be reported to the IAB to ensure accountability and continued improvement.

- Records management.
  - As part of the Microsoft 365/ Dynamics 365 migration process, discussions were undertaken between key stakeholders across the Council in respect of retention policies and data archiving policies insofar as they relate to digital data.
  - The ICT service captured SharePoint retention requirements from services across the Council as part of this ongoing work.

	<ul style="list-style-type: none"> <li>○ The Council engaged an external consultant to refresh the Corporate Retention Policy and maintains this engagement to ensure timely and accurate updates.</li> <li>○ Work has commenced in reviewing the position with archived hard copy records so that actions can be put in place to ensure that we can manage this risk and that we have a cost effective solution in place.</li> <li>○ Information Asset Management will be reviewed and refreshed in conjunction with reestablishing the IAB.</li> </ul>			
<b>Further Actions Required / Planned</b>	<ul style="list-style-type: none"> <li>• Mandatory Data Protection and Information Security training modules – work continues to maximise compliance across the Council as identified above.</li> <li>• DSP Toolkit submission for 2024 – work has commenced to ensure prompt compliance with the 2024 submission.</li> <li>• The service redesign continues to be progressed and recruitment activity as part of that process will address the current lack of resource, skill and workforce stability, which is impacting upon the ability to implement significant change. Steps are being taken as identified above to improve performance within current resource capabilities.</li> <li>• The service must develop the review of the IG team function and monitor this on a regular basis.</li> <li>• The service must explore the creation of IG champions across the Council to emulate the function of the IAB and the merits of its reestablishment.</li> <li>• Work is ongoing in connection with the Microsoft 365/ Dynamics 365 migration process as identified above.</li> <li>• Quarterly reporting on Data matters to CLT to be restarted.</li> </ul>			
<b>Risk Number 4</b>	<b>Likelihood (L)</b>	<b>Impact (I)</b>	<b>Risk Score (L x I)</b> High Medium Low	<b>Change in Risk Score</b>
<b>Leisure Services – The Leisure Investment Programme including: -</b> <ul style="list-style-type: none"> <li>• Progress of Leisure Centre refurbishments</li> <li>• Councils ongoing subsidy levels for Trafford Leisure.</li> </ul> <b>(Place/ Authority wide)</b>	<b>4</b>	<b>5</b>	<b>20 High</b>	<b>↔ No Change</b>

<b>Corporate Priorities</b>	Reducing Health Inequalities / Addressing our climate crisis
<b>Existing Controls and Risk Mitigation</b>	<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. Subsequent Executive budget monitoring reports have increased this budget to £56.2m to include for grant funding of £1.3m from Sport England and £2.8m funding relating to the Public Sector Decarbonisation Scheme (PSDS), both relating to Altrincham Leisure Centre. Following the completion of RIBA stage 4 in March 2023, the capital refurbishment budget for Altrincham excluding grant funded PSDS is £20m and in line with the budget agreed by the Executive.</p> <p>The revenue budget approved by Council in February 2022 included support to Trafford Leisure (CIC) of £1.1m for a full range of leisure provision for 2022/23 and over the medium term. This includes an ongoing annual revenue budget of £700k supported by use of reserves accumulated from prior years. This also includes the identification and funding of revenue costs to support business disruption during the leisure centre refurbishment programme. Due to increases in interest rates, affecting the cost of borrowing related to the redevelopment schemes, it is likely that additional subsidy from the Council will be required in future years. To mitigate this risk the Council is working with Trafford Leisure on an ongoing basis to reduce this subsidisation, which has seen the forecasted subsidisation of 22/23 reduced from £1.2m to a final deficit position of £325k. This is a reduction in the forecasted deficit of £865k.</p> <p>To further mitigate this risk, the Council is working to reduce the ongoing subsidisation of Trafford Leisure through developing a revised operating agreement that will ensure the necessary governance and reporting mechanisms are in place including, legal and financial agreements, property leases and service standards. Service outcomes will be aligned to the wider strategic objectives of the Council.</p>
<b>Update (February 2024)</b> (Recent actions, performance updates, developments, emerging issues etc).	<p>Sport England (SE) have confirmed £1.3m of grant funds. In October 2023 SE were approached for a further £300k to improve additional out of scope items including reverberation issues at Altrincham Leisure Centre.</p> <p>The Department for Levelling Up has confirmed £18.3m of grant funding to support the refurbishment of Partington Sports Village.</p> <p>In October the Council were successful in another grant award. This was a total of £263k from the government's Swimming Pools Fund (phase 1 revenue), which will support the in-year position. A further £62k was awarded in February 2024 to support capital works for Urmston Leisure Centre. Stretford and Sale were unsuccessful.</p> <p>PSDS applications for Leisure sites including Stretford and Partington have also been submitted to support the Council's investment and carbon reduction savings and outcomes.</p> <p>In February 2023, the Council executive approved Stretford Leisure Centre to follow Altrincham Leisure centre in the phasing of the leisure investment programme, and that it progresses to the next stage of pre-construction (RIBA stage 3). Full project budget is currently £23.3m. Options have been worked up that consider the cost and impact on design and business case informed by the outcome of the pending PSDS application, outcome is anticipated in March 2024.</p>

	<p>Work to progress the revised Operating Agreement between Trafford Leisure and the council is ongoing with engagement of TL board. In November 2023, HMRC issued revised guidance on the status of VAT for Leisure Services. To ensure that the Council can fully realise any benefits from these changes, legal services have commissioned expert external advice to consider the legal, contractual, procurement and subsidy implications. This revised guidance has impacted on the timescales for developing the full operating agreement. A full briefing report has been submitted to the Executive Member for discussion at February 2024 executive briefing including a revised timeline.</p>			
<b>Further Actions Required / Planned</b>	<p>The council has agreed on a deficit position for Trafford Leisure in 23/24 and this includes an agreement on Pay Award to support the attainment of Trafford Leisure as a Real Living Wage employer. The council is currently negotiating an agreed position on the 24/25 budget and uplift to accommodate RLW.</p> <p>A key risk across the investment period has been the financial impact on Trafford Leisure and the ability to maintain business continuity of service provision during the works through a robust displacement programme. With phasing on the Leisure Investment programme now confirmed and using the 23/24 agreed budget position, an independent Leisure Consultant (Max Associates) have completed a 5-year business plan across the leisure estate. This will help provide assumptions on the subsidy required over this period.</p>			
<b>Risk Number 5</b>	<b>Likelihood (L)</b>	<b>Impact (I)</b>	<b>Risk Score (L x I)</b> High Medium Low	<b>Change in Risk Score</b>
<b>Economic Uncertainty affecting residents and businesses. (Place / Authority-wide)</b>	4	4	16 High	↔ No Change
<b>Corporate Priorities</b>	All			
<b>Existing Controls and Risk Mitigation</b>	<p>Due to the trend of interest rates and inflation rises, increased utility costs and Covid-lag and its affects on the workforce, there remains a high degree of economic uncertainty impacting on residents and business. This issue is led by the bigger global and national economic picture and therefore trickles down at the local level. However, there are a number of measures in place to try and support residents and businesses.</p> <p>The Trafford Inclusive Economy Delivery Plan (approved by the Executive in February 2023) is a focused and longer-term plan to complement Corporate and Directorate Priorities. The actions contained within the Plan are ultimately aimed at delivering the Council's Strategic Vision ie. 'Trafford – where all our residents, businesses and communities</p>			

	<p>prosper.’ The Plan has been produced to clearly set out a number of key themes and related projects/activities in a delivery orientated approach.</p> <p>The Plan contains six themes as follows:</p> <ul style="list-style-type: none"> <li>• Business Support</li> <li>• Town Centres -Regeneration-Shared Prosperity Fund</li> <li>• Employment and Skills</li> <li>• Communities, Social Value and VCFSE Support</li> <li>• Climate Change/Green Economy</li> <li>• Development Framework</li> </ul> <p>To support delivery of the Plan, the Council was awarded c£1.8m of UK Shared Prosperity fund monies (to utilise by March 2025) which is a cross-Council approach to support communities and businesses in the borough. The areas of activity include:</p> <ul style="list-style-type: none"> <li>• Inclusive and Vibrant Town Centres</li> <li>• Greening Trafford Park</li> <li>• Social Value Co-ordination</li> <li>• Creative Trafford</li> <li>• Active Trafford</li> <li>• Cycle Hubs</li> <li>• Trafford Heritage Programme</li> <li>• Public Health in Art</li> <li>• Libraries Community Engagement programme</li> </ul>
<p><b>Update (February 2024)</b> (Recent actions, performance updates, developments, emerging issues etc).</p>	<p>The focus continues on delivery of the IEDP and the UK SPF projects which are monitored on a monthly basis. Employment and skills initiatives to support residents are being delivered, such as through the comprehensive job clubs programme and digital inclusion project. Wider activity is being co-ordinated by the GMCA , such as utilisation of the Adult Education Budget. A Business Relationship Programme is currently being developed, in partnership with GM Business Growth Hub and Midas, to develop closer links with key businesses in the borough, what support is required and to gain first-hand knowledge of ‘on the ground issues’. As part of the SPF Inclusive and Vibrant Town Centres project, a grant to support shop front improvements for businesses in the four town centres is also being developed to support their growth and sustainability.</p>



<b>Further Actions Required / Planned</b>	<p>The successful delivery against the IEDP actions will assist in mitigating against the risks around economic uncertainty.</p> <p>The IEDP is a 'live' document and may be amended over time as circumstances changes and new issues arise.</p>			
<b>Risk Number 6</b>	<b>Likelihood (L)</b>	<b>Impact (I)</b>	<b>Risk Score (L x I)</b>  High Medium Low	<b>Change in Risk Score</b>
<p>There is a risk that rising thresholds of acute population health needs (for example mental health, BMI etc) lead to system efforts being increasingly focussing on short term, 'downstream' action (responding to presenting need). This detracts from protecting proportionate investment upstream which is necessary for putting in place, embedding and sustaining longer term, more cost-effective approaches for early intervention and prevention to improve population health and wellbeing outcomes.</p> <p>(Authority-Wide)</p>	4	4	16 High	New Risk
<b>Corporate Priorities</b>	Reducing health inequalities			
<b>Existing Controls and Risk Mitigation</b>	<p>Ringfencing investment of Public Health grant for early intervention and prevention work and not diverting it to prop up service provision.</p> <p>Working collegiately (across the system) to protect investment in and evaluation of the impact of workstreams that are aiming to bolster early intervention and prevention such as Neighbourhood Networks, Community Hubs, social prescribing. Whilst this is undoubtedly the right approach it requires someone within the system to fulfil a role as strategic convenor and this requires dedicated capacity.</p>			
<b>Update (February 2024)</b> (Recent actions, performance updates, developments, emerging issues etc).	<p>Emerging issues:</p> <ol style="list-style-type: none"> <li>1. A significant amount of PH budget is allocated annually to fund CAMHS. There is a risk that if this is rediverted to fund more upstream work it will have a destabilising effect on CAMHS service provision.</li> <li>2. lack of strategic oversight for the various ways that social prescribing is happening across Trafford weakens our ability as a system to draw together meaningful measures of impact. Options paper on future funding of Elemental (system for monitoring social prescribing) tabled by Public Health at February 24 Health and Social Care Board</li> </ol>			

<b>Further Actions Required / Planned</b>	<ol style="list-style-type: none"> <li>1. Further work through Mental Health JSNA to understand population mental health and wellbeing needs to ensure appropriate targeting of resource upstream.</li> <li>2. Preservation of funding invested in early intervention/prevention mental health and wellbeing work and escalation to All Age Mental Health Group of any associated risk of disinvestment because of funding shifting to more acute end services.</li> <li>3. Setting up of a working group to provide strategic oversight of more cohesive approach to social prescribing in Trafford with agreed means for recording and analysing impact.</li> <li>4. Scoping and development of a framework to help collect data to enable us to assess impact of longer-term cross cutting prevention work (e.g. Neighbourhood networks).</li> </ol>				
<b>Risk Number 7</b>		<b>Likelihood (L)</b>	<b>Impact (I)</b>	<b>Risk Score (L x I)</b>  High Medium Low	<b>Change in Risk Score</b>
<b>Demand for school places under-estimated and/ or additional school places are not delivered to satisfy increased demand.</b>  <b>(Children's Services / Children's Services).</b>		3	5	15 <b>Medium</b>	↓ <b>Decrease in Risk Score</b>
<b>Corporate Priorities</b>	Reducing health inequalities / Supporting people out of poverty				
<b>Existing Controls and Risk Mitigation</b>	<ul style="list-style-type: none"> <li>• Thorough review based on GP population data is undertaken each year taking into account migration, recent and planned housing developments.</li> <li>• The Education and Early Years Capital Report, giving the analysis of and projecting the increased demand for school places is now being implemented and is updated annually.</li> <li>• Briefings to Leader, Portfolio Holder and Corporate.</li> <li>• Tailored application advice is provided for parents in areas of high demand to help secure Y7 places for Trafford residents, with a robust communication strategy implemented.</li> <li>• Regular meetings with DfE Place Planning Teams to monitor sufficiency and impact of inbound migration are in place.</li> </ul>				

**Update (February 2024)**

(Recent actions, performance updates, developments, emerging issues etc).

**Primary Places:**

In the normal admissions round for entry into reception in September 2023 and 2024 there were sufficient places for our residents with surplus places in all areas. The most significant surpluses are in the Altrincham planning area and the Stretford planning area.

However the surge of in-year applications continues to have an impact on primary places and has created pressure in the secondary sector as children move up. This is the assessed position at the end of autumn term on 31 December 2023:

- In Year 6 every school in Sale East is full and additional children have been admitted above the published admission number.
- In Year 3 every school in Sale West is full and additional children have been admitted above the published admission number. There are only 4 vacancies remaining in Year 2 and 4 vacancies in Year 6.
- In Altrincham there are only 5 vacancies remaining in Year 6, all within a bulge class that was stepped up.
- This means that there are insufficient places in these year groups in Sale and Altrincham.
- After implementation of a range of measures to increase capacity, Sale and Altrincham now have vacancies in every other year group.
- 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.

**Secondary Places:**

In the normal admissions round for entry into Y7 in September 2023 there was just enough capacity to offer a place to everyone who applied. However, 191 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. 110 of these places were in other areas of Trafford. At the end of the allocation every secondary school in Trafford was full and many schools allocated places above their published capacity.

In the normal admissions round for entry into Y7 in September 2024, the draft position is that there is enough capacity to offer a place to everyone who applied. However, 74 Trafford children could not be allocated places at any of their preferred schools and were allocated places at the nearest school with a vacancy. 31 of these places were in other areas of Trafford. At the end of the allocation every secondary school in Trafford was full and many schools allocated places above their published capacity.

Through the various mitigations and the declining birth rate we have successfully managed to meet our sufficiency requirements. The governance, systems and processes that are in place mean the position is continuously monitored and action taken.

<b>Further Actions Required / Planned</b>	<b>Actions</b> <p>School Places &amp; 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"> <li>• Capital scheme underway at Altrincham College to create an additional 60 places per year group. This was originally scheduled to deliver places from September 2024, project challenges mean this has slipped to 2025.</li> <li>• School rebuild monies secured for Sale High School and Stretford Grammar School.</li> <li>• Capital scheme at Firs Primary School to create 30 additional places per year group now open in Sale West.</li> <li>• Permanent expansions completed at Templemoor Infant School and Moorlands Junior School in Sale East creating 30 additional places per year group from September 2023. All these places now open, with the exception of YR and Y1 as these places are not currently needed.</li> <li>• Permanent expansion completed at Willows Primary School in Altrincham creating 15 additional places per year group from September 2023. Places now open in Y3, Y4, Y5 and Y6. Places not yet opened in key stage one as not currently needed.</li> <li>• Additional 30 temporary places continue for school year 2023/24 in Y6 bulge class at Broomwood Primary School in Altrincham.</li> <li>• Additional 30 temporary places continue for school year 2023/24 in Y5 bulge class at Woodheys Primary School in Sale West.</li> <li>• Feasibility study underway for permanent expansion proposal at Broadoak School in Partington to create 60 additional places per year group from September 2026.</li> <li>• 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.</li> <li>• Annually review catchment areas for primary schools to ensure that the available places are targeted most effectively.</li> </ul>			
<b>Risk Number 8</b>	<b>Likelihood (L)</b>	<b>Impact (I)</b>	<b>Risk Score (L x I)</b> <b>High</b> <b>Medium</b> <b>Low</b>	<b>Change in Risk Score</b>
<b>Impact of Statutory Inspections (Authority-wide)</b> <p>Children’s Social Care services continue to be subject Inspections of Local Authority Children Services (ILACS) by Ofsted. Local Authority Adult Social Care Departments are subject to an inspection regime from the Care Quality Commission (CQC) which is now live, using a newly developed framework. It is also proposed that Integrated Care Systems will be subject to CQC inspection under the 2022 Health</p>	<b>3</b>	<b>5</b>	<b>15</b> <b>Medium</b>	<b>↔</b> <b>No Change</b>

<p>and Care Act with each Integrated Care Board (ICB) being reviewed to consider how health and social care work together. This is due to come on stream during spring 2024/5.</p> <p>In addition Area SEND inspections for Local Areas (in respect of children and young people with Special educational Needs and Disability including Alternative Provision for education) were introduced in April 2023. This replaced the previous SEND inspection framework and is a partnership inspection conducted by CQC and Ofsted and is an inspection of education, health and care systems.</p> <p>Although these inspections are carried out independently of each other, there is natural overlap between them. Should the outcome of a statutory inspection deem a service to be rated inadequate, then it can have significant reputational risk for the Council (and health partners). It will also have significant financial impact on the Council's Medium Term Financial Plan if additional resources are required to rectify areas identified as requiring immediate improvement by the inspection regime.</p> <p>Ultimately, if the inspections identify systemic failings in service delivery and practice, then the Government has, in certain circumstances, powers to mandate that appointed Commissioners are sent into the Council to directly oversee the functions identified as being inadequate.</p>				
<p><b>Corporate Priorities</b></p>	<p>All</p>			
<p><b>Existing Controls and Risk Mitigation</b></p>	<ul style="list-style-type: none"> <li>• Significant experience of the Ofsted and SEND inspection framework in Children and Young People Services. Systems and processes in place to embed service improvement and management of inspection processes,</li> <li>• Governance in place to ensure activity takes place to demonstrate compliance and continuous improvement in all areas of Children's services.</li> <li>• Children's Social Care Services have been inspected and are no longer judged to be Inadequate.</li> <li>• An Ambitions plan and Ambitions for Children Board is in place to oversee and provide challenge in respect of Children's Social Care Effectiveness.</li> <li>• The risks will be monitored and covered in future budget setting and monitoring reports.</li> <li>• Established partnership governance is in place in respect of SEND. This includes having an independent Chair of the SEND Board</li> </ul>			
<p><b>Update (February 2024)</b> (Recent actions, performance updates, developments, emerging issues etc).</p>	<ul style="list-style-type: none"> <li>• Ofsted/CQC conducted a SEND Area inspection in October 2023 and the report was published on the 27 December 2023. In response to the recommendations contained within the letter, the co-produced SEND Ambitions plan has refreshed to reflect the system wide improvement activity. The SEND Ambitions Plan is inclusive of strengthened wide system governance including health arrangements. Progress against the plan was reported back to Ofsted/CQC on 14 February 2024.</li> <li>• Adult Social Care carried out a self-assessment against the proposed CQC framework and this was appraised by the LGA through a Peer Challenge process in September 2023 with the final report received from the LGA in December 2023. The findings from the Peer Challenge have informed the <i>Improving Lives Everyday</i> Development</li> </ul>			

	Plan which details the required areas of improvement, with a phased approach of delivery over the next two years. Progress against this detailed programme plan is to be overseen by an independently chaired Development Board with the first meeting taking place 26 February 2024.				
<b>Further Actions Required / Planned</b>	See above.				
<b>Risk Number 9</b>		<b>Likelihood (L)</b>	<b>Impact (I)</b>	<b>Risk Score (L x I)</b> High Medium Low	<b>Change in Risk Score</b>
<b>Breach of health and safety legislation leading to prosecution under the Corporate Manslaughter Act and other Health and Safety Regulations.</b>		3	5	15 Medium	↔ No Change
<b>(Strategy and Resources / Finance and Governance)</b>					
<b>Corporate Priorities</b>	All				
<b>Existing Controls and Risk Mitigation</b>	<ul style="list-style-type: none"> <li>• Corporate Health and Safety Management System in place</li> <li>• Corporate Health and Safety Policy and guidance</li> <li>• ‘Your Safety, Your Wellbeing’ health and safety initiative in place to support effective health and safety management.</li> <li>• Six month and annual report to CLT/ JCP and Council. Quarterly JCC reports</li> <li>• Health and Safety Improvement Plan reviewed annually</li> <li>• Robust incident monitoring and investigation</li> <li>• Competent HSU advisory service</li> <li>• Proactive services and school audit programme</li> <li>• Specialist fire safety and moving and handling support in place.</li> <li>• Ongoing programme of staff training</li> <li>• Monitoring arrangements for contractors including the One Trafford Partnership</li> <li>• Delivery of employee health and wellbeing.</li> </ul>				

<b>Update (February 2024)</b> (Recent actions, performance updates, developments, emerging issues etc).	<ul style="list-style-type: none"> <li>• The Trafford Internal Security Review Group has completed an assessment (including incident data analysis) of physical security measure improvements at Trafford Town Hall and Sale Waterside. A report made recommendations for a number of physical improvements at both locations which have now been agreed. The programme of works includes improvements at TTH Multistorey car park, TTH Reception turnstiles, TTH Staff entrance, Sale Waterside reception desk, interview rooms at both sites, improved CCTV provision at both sites and access pass system upgrades.</li> <li>• The Schools Capital Team have coordinated extensive surveys of the potential presence of RAAC (Reinforced Autoclaved Aerated Concrete) in schools where the Council is the responsible body with programmes of investigation in 2019, 2021 and recently in 2023 following the DfE communications. No schools, where Trafford is the responsible body for the school building, have been identified with confirmed or suspected RAAC.</li> <li>• The HSU have recently held meetings with the Estates team at Trafford MBC, where it was discussed that the Estates team will notify the HSU of up-coming projects where the HSU can provide H&amp;S support/advice to the Estates team who will manage the projects.</li> </ul>				
<b>Further Actions Required / Planned</b>	<ul style="list-style-type: none"> <li>• Continued delivery of the schools' health and safety SLA audit programme and service audits as prioritised under the 'Your Safety, Your Wellbeing' initiative.</li> <li>• Delivery of the programme of security physical improvements works at TTH and Sale Waterside as highlighted through the Trafford Internal Security Review Group.</li> </ul>				
<b>Risk Number 10</b>		<b>Likelihood (L)</b>	<b>Impact (I)</b>	<b>Risk Score (L x I)</b>  High Medium Low	<b>Change in Risk Score</b>
<b>The Council does not fulfil its statutory duties and all accompanying policy requirements in terms of identifying and safeguarding vulnerable children.</b>  <b>(Children's Services / Children's Services)</b>		3	5	<b>15</b> <b>Medium</b>	<b>↔</b> <b>No Change</b>
<b>Corporate Priorities</b>	Reducing health inequalities / Supporting people out of poverty				

<p><b>Existing Controls and Risk Mitigation</b></p>	<p>Ambitions for Children Board and Ambitions Plan</p> <p>Chief Executive and Lead Member Assurance Meetings in place quarterly</p> <p>TSSP Governance strengthened.</p> <p>Policy, Procedures and Guidance in Place</p> <p>Performance Management, Quality Assurance &amp; Supervision Framework in place</p> <p>Investing in Our People Strategy developed and continually reviewed.</p> <p>Organisational Development Programme in relation to Social Work Practice and Oversight in place.</p>
<p><b>Update (February 2024)</b> (Recent actions, performance updates, developments, emerging issues etc).</p>	<p>The OFSTED ILAC inspection over 3 weeks in November and December 2022 across the range of Early Help &amp; Children' Social Care services judged that the service was no longer Inadequate. This was published in January 2023. The report highlights many areas of good and improving practice. However, there were 6 specific recommendations. An Action Plan highlighting how we are progressing these recommendations was submitted to OSFETD on 12<sup>th</sup> May 2023. This has been updated in October 2023.</p> <p>In February 2023 the Improvement Notice was lifted as a result Trafford are no longer subject to statutory intervention although our year of support continues.</p> <p>The Improvement Board was replaced by an Ambitions for Children Board which is chaired by Leader of the Council. This Board has now met on 4 occasions. A refresh of the Ambitions Plan has been undertaken alongside the Performance Scorecard which incorporates the areas highlighted during the inspection.</p> <p>A Quality Assurance framework is in place which brings together a focus on performance, identifies trends and patterns which is then supported by the implementation of the workforce development strategy. This is underpinned by Directorate and Service Plans that brings a focus on improving quality of practice, performance and engagement with stakeholders.</p>
<p><b>Further Actions Required / Planned</b></p>	<p>Ambitions for Children Board to continue in place and received an Annual Report regarding the Ambitions Plan. At the next meeting they to receive an overview of the specific actions.</p> <p>Specific Improvement Plans have been developed to cover the issues raised in the OFSTED Inspection which are relevant to safeguarding, assurance meetings are being established to ensure continued focus and line of sight.</p> <ul style="list-style-type: none"> <li>• Quality of Out of Hours provision (Emergency Duty Team) – Service Development Plan in place, commissioning external review and plan to undertake a workshop with ASC and CSC.</li> </ul>



	<ul style="list-style-type: none"> <li>• Support to homeless 16/17-year-olds – DULUC re-visit took place in February 2024 – further actions in progress.</li> <li>• Supervision – commissioned a coaching and mentoring approach for our managers and leaders.</li> </ul>				
<b>Risk Number 11</b>		<b>Likelihood (L)</b>	<b>Impact (I)</b>	<b>Risk Score (L x I)</b> High Medium Low	<b>Change in Risk Score</b>
<b>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.</b>  <b>(Finance &amp; Systems / Finance and Governance)</b>		3	5	15 Medium	↔ No Change
<b>Corporate Priorities</b>	All				
<b>Existing Controls and Risk Mitigation</b>	<ul style="list-style-type: none"> <li>• The Council has partnered with an experienced security provider (The Networking People (TNP)) who provide consultation, strategy, and technical steer on all aspects of ICT Security. TNP have detailed processes for data security which are accredited to ISO27001. Their Information Security Management System (ISMS) is audited annually to ensure continuing compliance.</li> <li>• The Council continues to maintain its compliance to data and cyber security frameworks such as the Payment Card Industry (PCI) Framework and the Data Security and Protection Toolkit.</li> <li>• All Desktop Services are now running Windows 10 which is locked down to a Trafford standard build to avoid further deployment of non-standard software.</li> <li>• Encryption defence is installed on all devices.</li> <li>• Use of memory sticks and external devices is restricted, and any device will be encrypted.</li> <li>• Enforcement of an Acceptable Use Policy across the Council.</li> <li>• The Council continues to maintain the best practices set out by Central Government and keeps abreast of current Security trends via 3<sup>rd</sup> party consultancy and membership of external bodies e.g., Northwest Warning, Advice and Reporting Point (WARP).</li> <li>• The Council has partnered with an external company to provide online mandatory training courses that all staff must take and pass within a given time frame. These courses include but are not limited to: Data Protection Act 1998; Fraud Awareness; Freedom of Information Act 2000 &amp; Information Security.</li> <li>• An internal cyber security group meets monthly to review and manage the Council’s cyber defences and processes. Progress against the audit review recommendations is monitored at the meetings.</li> <li>• IT Managers have attended the National Cyber Security Centre / iNetwork Cyber Resilience Training Programme.</li> </ul>				

	<ul style="list-style-type: none"> <li>• 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 continues to run as phishing is one of the main threats.</li> <li>• The IT &amp; 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. One of the main improvements is a Cloud backup storage solution which was procured in August 2022. This provides offsite secure backups to allow recovery in the event of a cyber-attack and ensure our M365 hosted data is also backed up. We are in the final stages of implementation with the majority of the Council's data now being backed up via the cloud solution.</li> <li>• 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. Work continues upgrading, replacing, or decommissioning unsupported applications but this will be an ongoing activity.</li> <li>• Creation of an internal Cyber Security Team and recruitment to the two posts was completed in December 2022.</li> </ul>
<p><b>Update (February 2024)</b> (Recent actions, performance updates, developments, emerging issues etc).</p>	<p>Trafford Council's first Cyber Security awareness month took place in November 2023. The campaign focussed on staff protecting themselves online in the run up to Christmas as staff who change their behaviour in the personal environment bring that into the office environment. The awareness month was a great success with over 1,550 staff completing cyber security training during the period.</p> <p>80% of the recommendations in the Cyber Security Audit report (2020) have been delivered and the remaining 20% have either been superseded or no longer applicable. A new baseline of the Council's cyber security posture will be captured through a Cyber Assurance Framework (CAF) review scheduled for April. The CAF is a comprehensive approach developed by the National Cyber Security Centre for assessing the extent to which cyber risks are being managed by an organisation. The review will consist of a series of interviews with IT personnel followed by a report including recommended improvements.</p> <p>A Cyber Security Assurance update was presented to the Accounts and Audit Committee on 6<sup>th</sup> February 2024. A 10-minute presentation was followed by 45 minutes of questions from the committee members.</p>
<p><b>Further Actions Required / Planned</b></p>	<p>The business case for investment in an Automated Policy and Compliance Manager solution is to be developed and considered.</p> <p>Investigations into Identity Access Management will be progressed focussed on our Microsoft Active Directory environment.</p> <p>Further progress will be made with implementing the Council's Security Information and Event Management (SIEM) tool on our incumbent product called FortiSiem. A second phase will transfer to the Microsoft Sentinel tool which will provide a more integrated solution.</p>

	Windows Auto Patching is to be tested and a business case for implementation considered. Windows Auto Patching is a cloud service which automates the process of updating devices. The tool could potentially reduce the work needed to plan and implement Windows updates.				
<b>Risk Number 12</b>		<b>Likelihood (L)</b>	<b>Impact (I)</b>	<b>Risk Score (L x I)</b> High Medium Low	<b>Change in Risk Score</b>
<b>Asset Investment Strategy (Finance &amp; Systems / Finance and Governance).</b>		3	5	15 Medium	↔ No Change
<b>Corporate Priorities</b>	All				
<b>Existing Controls and Risk Mitigation</b>	<p>Approval of acquisitions, senior debt lending and other capital investments are made by the Investment Management Board following technical due diligence by external property advisors CBRE, supplemented by cost consultants, valuers and legal advice.</p> <p>Performance monitoring is undertaken for all investments on a regular basis, looking at the current market conditions, tenant strength and also an annual valuation of the asset. Monitoring is reported to both the Executive and the Investment Management Board.</p> <p>Annual provision will be set aside from the rental income for repayment of debt, together with an element transferred to a risk reserve.</p> <p>In the event of an adverse movement in asset values then consideration will be given to make further charges to the revenue budget.</p> <p>Compliance with the Prudential Code and adherence to statutory guidance.</p> <p>The Council has three joint ventures with Bruntwood and governance arrangements have been developed for these. A Partnership Board exists with equal representation from the Council and JV partner. Cashflow and business plan information is also regularly reported to the Board. Information is also provided separately to the Council's Executive on the trading performance of each Company.</p>				

<p><b>Update (February 2024)</b> (Recent actions, performance updates, developments, emerging issues etc).</p>	<p>As part of the annual budget setting an updated Investment Strategy was approved by the Council in February 2023 and this strategy will continue to be adopted during 2024/25.</p> <p>The most recent budget monitor reported to Executive in January 2024 reported current year net income which is now forecast at £5.9m with a total level of committed investments of £355m; this included a number of new investments that have been approved by the Investment Management Board in recent months.</p> <p>Security of the Council's investments remains the overriding priority and is why the Strategy focussed on lower-risk assets. The investment properties were acquired for longer term income stream stability and whilst this remains strong there are a small number of properties which are currently the subject to rent reviews in line with lease agreements. The post-Covid working environment, interest rate rises and economic uncertainty have combined to increase the risk environment for the Asset Investment Strategy over the last 12 months. The overall risk score remains currently unchanged given the existing controls but this could change.</p> <p>The income streams from the investment, with the Council's joint venture partner Bruntwood, in Stretford Town Centre is impacted by the town centre regeneration scheme and therefore borrowing costs related to the acquisition of the asset are being financed from the earmarked risk reserve and will be for a temporary period until the redevelopment is completed.</p>			
<p>Further Actions Required / Planned</p>	<p>To continue to review the impact the range of investments is having on the Council's cashflows and borrowing strategy, particularly in light of increases in the Council's borrowing rates from the PWLB over the last 12 months.</p> <p>To continue to review the risk position with regard to each investment asset in light of the wider economic environment.</p> <p>To continue to seek new opportunities to support further regeneration and to provide additional income to achieve budget targets.</p> <p>A number of potential investment opportunities are currently subject to due diligence and final approval for a number of schemes will be sought from Investment Management Board over the next few months.</p>			
<p><b>Risk Number 13</b></p>	<p>Likelihood (L)</p>	<p>Impact (I)</p>	<p>Risk Score (L x I)</p> <p>High Medium Low</p>	<p>Change in Risk Score</p>
<p><b>Loss / absence and retention of staff within the organisation. (Strategy and Resources / Finance and Governance).</b></p>	<p>3</p>	<p>5</p>	<p>15 Medium</p>	<p>↔ No Change</p>

<b>Corporate Priorities</b>	All
<b>Existing Controls and Risk Mitigation</b>	<ul style="list-style-type: none"> <li>▪ People Strategy framed around employee journey and 4 pillars, Attract &amp; Recruit, Engage &amp; Sustain, Grow &amp; Develop and Sustain.</li> <li>▪ CLT Monthly Workforce Report.</li> <li>▪ HRBP continuous review of leadership structure and creation of new senior management roles and interim arrangements to ensure sufficient breadth of leadership capacity and succession.</li> <li>▪ Executive Search Framework in place.</li> <li>▪ Succession planning strategy implemented for business critical &amp; senior posts.</li> <li>▪ Strengthening of the senior leadership team- introduction of new Corporate and Directorate level posts to strengthen leadership capacity.</li> <li>▪ Opportunity for permanent recruitment for critical posts, with relocation available to ensure the widest candidate base.</li> <li>▪ Smart working styles and flexible working.</li> <li>▪ Recognition of high performers through various schemes (Cheers for Peers, EPIC Star &amp; Time to Shine Awards)</li> <li>▪ Access to SOLACE development programme for rising stars to aid succession planning and talent management.</li> <li>▪ Access to Executive Coaching if identified for personal development.</li> <li>▪ Fully funded Leadership and management development/qualification available e.g. Operational Manager to MBA Level.</li> <li>▪ Health &amp; Well-being strategy in place.</li> <li>▪ ‘Your Safety, Your Wellbeing’, campaign launched to refocus on the steps we should all be taking to finish the working day, safe and well every day.</li> <li>▪ Robust wellbeing offer with tools support in place, which is a current review and refresh is being undertaken.</li> <li>▪ Support (OD) to design bespoke personal development plans for senior leaders identified at “risk” or potential for the future/ready for growth.</li> <li>▪ Coaching strategy &amp; offer in place to support personal and professional development with one to one development and wellbeing coaching available to senior managers alongside executive coaching.</li> <li>▪ b- Heard Engagement Survey and analysis of results at senior leadership level supports to identify areas of attention and focus.</li> <li>▪ Leaders Let’s Talk Sessions relaunched in face to face to support senior leadership engagement alongside annual leadership summit.</li> <li>▪ Performance Mgt framework in place (Check-in’s) supporting conversations around wellbeing, performance and career development.</li> </ul>
<b>Update (February 2024)</b> (Recent actions, performance updates, developments, emerging issues etc).	<ul style="list-style-type: none"> <li>▪ Refresh of the people strategy and engagement sessions with key stakeholders.</li> <li>▪ Specific Work with Senior Managers on Wellbeing and Retention about to be undertaken to support the refresh of the people strategy.</li> </ul>

	<ul style="list-style-type: none"> <li>Development of a more formalised succession planning approach is to take place. With the aims of identifying a pool of talent along with development plans to step up into positions as required and adopts a proactive/planning approach alongside development of leadership behaviours.</li> <li>HR toolkit Training for Managers is being developed focusing on supporting and developing training around some of the key policies e.g. attendance management, investigatory skills, Fixed term Contract Training.</li> <li>Wellbeing (as identified in the b-heard 2022 survey for senior managers as an area of focus) was a key theme at October's Leadership Summit, and themes will be carried forward into the new leaders Let's Talk 2024 sessions.</li> <li>Introduction of a new Level 7 Executive Leadership Programme (supported through the apprenticeship levy) with a Public and North-West Focus to support those wishing to Leap into executive leadership.</li> <li>Mutual Aid (if required) and Succession Plans/Interviews in place for key roles that have been/soon to be vacated e.g. Emergency Planning Officer and Strategic Health and Safety Officer.</li> </ul>			
<b>Further Actions Required / Planned</b>	<ul style="list-style-type: none"> <li>Pilot Cohort (Level 7 Executive leadership programme) to take place with colleague volunteers starting in 2024.</li> <li>Relaunch of People strategy. Planned June 2024.</li> <li>Career development pathways from entry level to more senior level to be developed (pending approval from CLT).</li> <li>Framework &amp; approach developed and embedded (talent and succession) along with senior leadership development programme to support those identified as potential/ready for growth.</li> <li>Actions developed and implemented from bespoke Senior Leadership b-Heard workshop.</li> <li>Continued focus on wellbeing at Leaders Let's Talk Events and Leadership Summit.</li> <li>Corporate induction and onboarding to be developed.</li> </ul>			
<b>Risk Number 14</b>	<b>Likelihood(L)</b>	<b>Impact(I)</b>	<b>Risk Score (L x I)</b>  <b>High</b> <b>Medium</b> <b>Low</b>	<b>Change in Risk Score</b>
<b>Significant disruption as a consequence of health protection incidents particularly measles outbreaks.</b>  <b>(Authority-Wide)</b>	<b>4</b>	<b>3</b>	<b>12</b> <b>Medium</b>	<b>↑</b> <b>Increase in Risk Score</b>
<b>Corporate Priorities</b>	Reducing health inequalities			
<b>Existing Controls and Risk Mitigation</b>	UKHSA manage health protection incidents, Trafford Council Public Health Team and DPH are accountable at a place level.			

<b>Update (February 2024)</b> (Recent actions, performance updates, developments, emerging issues etc).	Trafford's Public Health Team continue to work with UKHSA to prepare for, monitor and respond to communicable disease incidents and outbreaks.  The team have been busy supporting Trafford settings with a range of outbreaks over recent months. There is a current risk of measles outbreaks in Greater Manchester, with confirmed cases in 5/10 boroughs. Trafford has been preparing for measles outbreak for 12 months and has no cases at time of drafting this risk.				
<b>Further Actions Required / Planned</b>	<ul style="list-style-type: none"> <li>• Trafford's Health Protection Board is the formal governance route.</li> <li>• Fortnightly multi-disciplinary brief.</li> <li>• Measles specific:             <ul style="list-style-type: none"> <li>○ Multi-agency Measles Preparedness Group established that will transition into an incident management team if required.</li> <li>○ Communication with MFT to ask for mutual aid if required to support measles outbreak if IPC team continue to work at capacity.</li> <li>○ Funding from NHSE/GM ICB to support work to increase MMR update-funding will be used to increase capacity to support programme of work.</li> <li>○ Engagement with GM measles preparedness.</li> <li>○ Local setting specific sessions have been delivered to primary care, early years and education settings and social care colleagues. The sessions include key information about what measles is, how it spreads, how to contact a case and support to improve MMR uptake.</li> <li>○ Communications out to all parents/carers of children in a Trafford early years or education setting.</li> </ul> </li> </ul>				
<b>Risk Number 15</b>		<b>Likelihood(L)</b>	<b>Impact(I)</b>	<b>Risk Score (L x I)</b>  <b>High</b> <b>Medium</b> <b>Low</b>	<b>Change in Risk Score</b>
<b>The One Trafford Partnership fails to deliver services to the required standard or fails to deliver required efficiency savings.</b>  <b>(Place / Environment and Regulatory Services)</b>		2	5	<b>10</b> <b>Medium</b>	<b>↔</b> <b>No Change</b>
<b>Corporate Priorities</b>	All				
<b>Existing Controls and Risk Mitigation</b>	<ul style="list-style-type: none"> <li>• Contract commenced on 4<sup>th</sup> July 2015.</li> <li>• Task and Finish Working Group reported to Exec in Feb 2019.</li> <li>• Appraisal into future service delivery models conducted in July 2019</li> <li>• Review of all council governance on the contract has been undertaken.</li> <li>• Governance structure in place to oversee service delivery at a strategic and operational level.</li> </ul>				

	<ul style="list-style-type: none"> <li>Business Continuity Plan in place but is being reviewed to reflect current issues.</li> </ul>															
<b>Update (February 2024)</b> (Recent actions, performance updates, developments, emerging issues etc).	<ul style="list-style-type: none"> <li>7 year review of all contract services to improve systems, processes and communication within the contract – Update to Council presented September 2023, met with support from all sides. Completion of the legal documents is envisaged by the end of the financial year.</li> <li>Uplift in performance noted as part of the 7 year Review particularly in waste.</li> <li>Take over of Amey has lessened the risk of parent company changes. New management showing commitment to invest and commitment to the leader and senior officers.</li> <li>Reviewed the work programme which includes service improvement plans, cyclical plans for all transactional services, health and safety risk assessments and methods of working. refresh of all business continuity plans to ensure services are maintained in the event of planned or unplanned events.</li> <li>Reorganisation of Client team has been completed. This has strengthened resilience and knowledge base and increased capacity to deliver projects.</li> <li>As part of 7 year review complete reorganisation by TUPE of recycling team back from Amey on June 1<sup>st</sup> 2023.</li> <li>In September 2023 moved likelihood of risk down to 2 from 3, This reflects the improved relations between the Council and Amey.</li> </ul>															
<b>Further Actions Required / Planned</b>	7 year review to be finished with improved governance for the contract taking into account improved working relationship. Rebate mechanism to be finalised for Capital and legal agreement to be ratified by end of financial year 2023/4 (slight delay due to legal negotiations).															
<b>Risk Number 16</b>	<table border="1"> <thead> <tr> <th></th> <th>Likelihood(L)</th> <th>Impact(I)</th> <th>Risk Score (L x I)</th> <th>Change in Risk Score</th> </tr> </thead> <tbody> <tr> <td></td> <td></td> <td></td> <td>High Medium Low</td> <td></td> </tr> <tr> <td> <b>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. (Authority-wide)</b> </td> <td>3</td> <td>3</td> <td>9 Medium</td> <td>↔ No Change</td> </tr> </tbody> </table>		Likelihood(L)	Impact(I)	Risk Score (L x I)	Change in Risk Score				High Medium Low		<b>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. (Authority-wide)</b>	3	3	9 Medium	↔ No Change
	Likelihood(L)	Impact(I)	Risk Score (L x I)	Change in Risk Score												
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<b>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. (Authority-wide)</b>	3	3	9 Medium	↔ No Change												
<b>Corporate Priorities</b>	All															
<b>Existing Controls and Risk Mitigation</b>	Corporate Business Continuity Plan and Policy in place, updated 2022. All services provided a Business Continuity Service Lead (BCSL) as a Single Point of Contact. BCSL's offered and received a one to one session to complete Business Impact Analyses (BIAs) and Business Continuity Plans (BCPs). CLT sighted on all work undertaken and have full agreement. Testing of plans undertaken, and recommendations shared with BCSL's. Business continuity shared portal established, and all plans and documents stored on a SharePoint.															



<p><b>Update (February 2024)</b> (Recent actions, performance updates, developments, emerging issues etc).</p>	<p><b>(From Oct 2023 update.</b> Service leads have been contacted in April in order to progress the 2023 update of the Business Impact assessments and Business Continuity Plans – as both need to be ‘living’ documents taking account of changes in circumstance and risk. The lessons of the ‘Mighty Oak Exercise’ on a national power outage need to be factored into this process. Services who were unable to complete BIAs and BCPs in 2022 have been approached to facilitate completion this year.</p> <p>In September 2023 the Emergency Planning Manager who has day to day oversight of Business Continuity left the Council. Whilst responsibility for Business Continuity rests with individual services, this lack of oversight inevitably increases the risk that procedures will not be completed in a timely fashion. Accordingly, the risk score has been increased.</p> <p>New Emergency Planning Manager now in post from Jan 2024, with attendance in Feb 2024 at training for the Certificate in Business Continuity Institute (CBCI). Once completed this new V7 certification will provide grounding for a review and update to the existing BC arrangements within the council, the response mechanisms, supply chains reliance’s and Strategic, Tactical &amp; Operational BC plans.</p>				
<p><b>Further Actions Required / Planned</b></p>	<p>Further consideration regards progressing action plan in respect of audit recommendations made.</p> <p>Annual review of all BIAs and BCPs will need to be completed and signed off by relevant senior officers.</p>				
<p><b>Risk Number 17</b></p>		<p>Likelihood (L)</p>	<p>Impact (I)</p>	<p>Risk Score (L x I)</p> <p>High Medium Low</p>	<p>Change in Risk Score</p>
<p><b>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. (Adult Services / Adult Social Care)</b></p>		<p>2</p>	<p>4</p>	<p>8 Low</p>	<p>↔ No Change</p>
<p><b>Corporate Priorities</b></p>	<p>Reducing health inequalities, Supporting people out of poverty</p>				
<p><b>Existing Controls and Risk Mitigation</b></p>	<p>A range of mitigating controls have been put in place including:</p> <ul style="list-style-type: none"> <li>Establishing a Safeguarding Hub June 2021 to create one central point for all safeguarding referrals into Adult Social Care. The Safeguarding Hub also represents ASC at multi-agency meetings such as the Daily Risk Meeting, MARAC, MAPPA, and Prevent for consistency of approach.</li> <li>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.</li> </ul>				

	<ul style="list-style-type: none"> <li>• A devoted Adult Protection phoneline for members of the public to directly contact social care to raise safeguarding concerns.</li> <li>• Daily Risk Meetings, for the optimum management of individual cases, takes place with ASC, GMP, Children Social Care, Mental Health, and Achieve (Drug &amp; Alcohol Service). This enhanced information sharing provides a multi-agency review of cases.</li> </ul>
<p><b>Update (February 2024)</b> (Recent actions, performance updates, developments, emerging issues etc).</p>	<p><b>Operational safeguarding</b> The LGA Peer Review report has now been received and signed off. The report did identify the safeguarding hub as a strength of Trafford's operational safeguarding model, but questioned if the current model made the best use of resources for operational safeguarding overseen in the locality teams. In Feb 2024, the LGA identified a consultant to conduct the 5 day feasibility review of operational safeguarding. This review is now scheduled to take place in April 2024 and as planned will look at quantitative and qualitative data to give an independent in- depth review of our operational practice model.</p> <p>The Business Intelligence team have brought in additional consultation to support ASC to created dashboard for all performance data to enable better analysis and monitoring of performance data - this will include a safeguarding adults dashboard.</p> <p><b>Strategic Safeguarding Adults updates</b></p> <p>A decision was made in Feb 2024 that the Trafford Strategic Safeguarding Partnership (TSSP) that covered both safeguarding adults and children would be revised, creating a separate Safeguarding Adults Board to focus on adult safeguarding. Some shared resources and sub- groups will remain to ensure alignment and best use of resources. A separate Safeguarding Adults Board will ensure there is a strong aligned approach across the relevant partners organisations to drive multi-agency operational practice.</p> <p>A multi-agency performance group is being established which will be a sub- group of the Safeguarding Adults Board entitled the Safeguarding Effectiveness sub- group. This group will utilise the safeguarding dashboard that is being created and also oversee data from partners organisations to ensure that safeguarding adults multi-agency performance is analysed and informs improvement work.</p> <p>An effective Safeguarding Adults Review (SAR) sub-group has been established and the Adults Board Manager has oversight of all current SARs and processes are in place to capture any potential new ones.</p>
<p><b>Further Actions Required / Planned</b></p>	<ul style="list-style-type: none"> <li>• Planned review of resources and leads for strategic safeguarding adults in ASC.</li> <li>• Possible additional actions that result from the LGA Feasibility review.</li> </ul>

