

# Public Document Pack



**TRAFFORD  
COUNCIL**

## **AGENDA PAPERS MARKED 'TO FOLLOW' FOR ACCOUNTS AND AUDIT COMMITTEE**

**Date: Tuesday, 23 March 2021**

**Time: 6.30 p.m.**

**Place: Virtual meeting**

**PLEASE NOTE: A link to the virtual meeting can be found below:  
<https://www.youtube.com/channel/UCjwbIOW5x0NSe38sgFU8bKg>**

<b>A G E N D A</b>	<b>PART I</b>	<b>Pages</b>
7.	<b>ANNUAL GOVERNANCE STATEMENT (AGS) 2020/21- APPROACH AND TIMETABLE</b>	1 - 8
	To consider a report of the Head of Governance.	
9.	<b>STRATEGIC RISK REGISTER UPDATE</b>	9 - 38
	To consider a report of the Audit and Assurance Manager.	

**SARA TODD**  
Chief Executive

### Membership of the Committee

Councillors B. Brotherton (Chair), C. Boyes, G. Coggins, J. Dillon, N. Evans, J. Lloyd (Vice-Chair), A. Mitchell, R. Thompson and B.G. Winstanley; and Mrs. J. Platt.

### Further Information

For help, advice and information about this meeting please contact:  
Joseph Maloney, Governance Officer,  
Email: [joseph.maloney@trafford.gov.uk](mailto:joseph.maloney@trafford.gov.uk)

This agenda was issued on Thursday 18<sup>th</sup> March 2021 by the Legal and Democratic Services Section, Trafford Council, Trafford Town Hall; Talbot Road, Stretford, Manchester, M32 0TH.

This page is intentionally left blank

## TRAFFORD COUNCIL

**Report to:** Accounts and Audit Committee  
**Date:** 23 March 2021  
**Report for:** Approval  
**Report of:** Head of Governance

### Report Title

**Annual Governance Statement 2020/21 – Approach / Timetable**

### Summary

The preparation and publication of an Annual Governance Statement is necessary to meet the statutory requirement set out in Regulation 6 of the Accounts and Audit Regulations 2015.

This report sets out the action plan / timetable to ensure compliance with the production of an Annual Governance Statement for 2020/21.

In facilitating the production of the Annual Governance Statement, the guidance issued by CIPFA/SOLACE in April 2016 will be used as a reference point during the process.

### Recommendation

The Accounts and Audit Committee is asked to

- (a) Note the timetable / action plan;
- (b) Note that the Committee will have input to reviewing a draft version of the Annual Governance Statement prior to it being finalised and signed off by the Chief Executive and Leader.

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

Name: Alexander Murray – Governance Officer  
Extension: 4250

**Background Papers: None**

## 1. Introduction

- 1.1 The Accounts and Audit Regulations 2015 set out requirements related to the Council's systems of internal control, and the annual review and reporting of those systems.
- 1.2 The Regulations require Councils to have a sound system of internal control which facilitates the effective exercise of the Council's functions and which include the arrangements for the management of risk.
- 1.3 In addition, the Regulations require the Council to conduct a review at least once in a year of the effectiveness of its systems of internal control. Following the review the Council must approve an **Annual Governance Statement** which then accompanies its Statement of Accounts. This assurance statement is made by the Chief Executive and Leader of the Council.
- 1.4 The Annual Governance Statement (AGS) should be prepared in accordance with "proper practices". Proper practices relate to guidance set out in the CIPFA/SOLACE publication "Delivering Good Governance in Local Government Framework" and supporting guidance associated with this. (Referred to in section 2 of this report).
- 1.5 The deadline for completing the AGS this year is the 31<sup>st</sup> July for publishing the draft version and 30<sup>th</sup> September for publishing the final version, which aligns with the deadline for approval of the accounts. In accordance with best practice both the draft and final versions of the AGS will be shared with the Accounts and Audit Committee before they are published.
- 1.6 This report sets out further detail regarding the Council's approach and timetable for producing its AGS for 2020/21.

## 2. Governance

- 2.1 As defined by the International Framework: Good Governance in the Public Sector (CIPFA/IFAC – 2014):

"Governance comprises the arrangements put in place to ensure that the intended outcomes for stakeholders are defined and achieved.

To deliver good governance in the public sector, both governing bodies and individuals working for public sector entities must try to achieve their entity's objectives while acting in the public interest at all times.

Acting in the public interest implies primary consideration of the benefits for society, which should result in positive outcomes for service users and other stakeholders."

2.2 The CIPFA/SOLACE framework provides a structure to assist authorities with their approach to governance and the production of the AGS. The framework and supporting guidance was updated for in 2016 and in producing the 2020/21 AGS, the guidance will be taken into account throughout the process.

2.3 Authorities are required to review their governance arrangements against the principles contained in the Framework. The Framework, as to be applied for the 2020/21 AGS, adopts seven core principles that must be considered when defining good governance:

- Behaving with integrity, demonstrating strong commitment to ethical values, and respecting the rule of law.
- Ensuring openness and comprehensive stakeholder engagement.
- Defining outcomes in terms of sustainable economic, social and environmental benefits.
- Determining the interventions necessary to optimise the achievement of the intended outcomes.
- Developing the Entity's capacity, including the capability of its leadership and the individuals within it.
- Managing risks and performance through robust internal control and strong public financial management.
- Implementing good practices in transparency, reporting, and audit to deliver effective accountability.

2.4 In order to meet the expectations of the Corporate Governance framework, local authorities are expected to do the following:

- Review their existing governance arrangements against the Framework.
- Maintain a local code of governance, including arrangements for ensuring its ongoing application and effectiveness.
- Prepare an **Annual Governance Statement** (As required in the Accounts and Audit Regulations 2015) in order to report publicly on the extent to which they comply with their own code on an annual basis, including how they have monitored the effectiveness of their governance arrangements in the year, and on any planned changes in the coming period.

2.4 Trafford Council's Corporate Governance Code (last updated in July 2019) reflects the core principles outlined in the CIPFA Framework and states the arrangements in place to ensure governance arrangements are reviewed annually and reported on through the AGS. The Code will be updated to reflect the updated CIPFA/SOLACE guidance comprising the principles set out in 2.3.

### **3. Process to Support the Annual Governance Statement**

- 3.1 The Corporate Director for Governance and Community Strategy is responsible for facilitating the production of the AGS which is the Authority's statement on its governance processes.
- 3.2 The proposed timetable for producing the AGS reflects input from Members and Officers to the process.
- 3.3 The following arrangements are in place to enable the production of the AGS in 2020/21:

#### **a) Annual Review of Corporate Governance (Assurance Gathering process)**

The Corporate Director for Governance and Community Strategy is responsible for undertaking an annual assessment to evaluate the position.

This will include an assurance mapping exercise to identify potential sources of assurance available with the aim of:

- Mapping systems / processes in relation to which assurance is required in accordance with the existing CIPFA framework.
- Identifying existing sources of assurance to confirm that key controls / risks are operating / managed effectively. Sources include:
  - **Management Controls** including legal compliance, performance management, and risk and financial reporting functions operating at corporate and directorate level;
  - **Internal assurance** including Internal Audit, other compliance functions and internal review work;
  - **External assurance** e.g. External auditor and other inspectorates, partner's compliance functions etc.

Governance Services will facilitate the coordination and reporting of available assurance evidence, both internal and external. This will require support from managers in providing the appropriate information required.

Significant governance issues will be raised with the Corporate Leadership Team as part of the process for agreeing the content of the AGS.

In addition, as part of this process, the Council's Corporate Governance Code will be updated where applicable to ensure it reflects changes including the updated CIPFA/SOLACE guidance.

#### **b) Production and Approval of the Annual Governance Statement**

- Input from Members and Officers to produce and approve the 2020/21 AGS includes:
  - Directors and senior managers, with co-ordination from Governance Services to contribute to the content of the Statement.
  - CLT, Directors and senior managers to review the adequacy/robustness of the Statement.
  - Chief Executive and Leader to agree the draft AGS.
  - Draft Annual Governance Statement to accompany the draft accounts to be provided to the External Auditor.
  - Draft Annual Governance Statement to be shared with the Accounts and Audit Committee.
  - Accounts and Audit Committee to approve the final version of the AGS, which is signed by the Chief Executive and Leader, and accompanies the Council's final accounts.

3.4 The planned timetable for the process of producing the AGS is in Appendix 1. This is subject to change following any further guidance from CIPFA.

#### **4. Benefits of the Process**

4.1 It is noted that whilst there is a legislative requirement to complete the AGS, the information provided by the exercise is of benefit to the Council as it enables an assessment of governance arrangements across the Council, and identifies where strengths and areas for development exist in those arrangements. Where significant governance issues are identified, progress can be monitored as required through the year (and reflected within the following year's AGS).

#### **5. Changes for this year's AGS**

5.1 Both of these factors will need to be fully reflected in the content of this year's AGS. The first is the COVID 19 Pandemic which has been a major influence on all aspects of the Council during the 2020/21 financial year. The second is that 2020/21 was the shadow year for the implementation of the Financial Management Code. Both of these factors will take up large sections of this year's AGS as outlined within Appendix 2 which is CIPFA guidance for Council's released earlier in the year. The document describes what is expected to be covered within this year's AGS and provides some suggestions on how this can be done.

This page is intentionally left blank



**Action Plan to enable the production of the Annual Governance Statement for 2020/21**

Actions Required	Completion date
<ul style="list-style-type: none"> <li>Accounts and Audit Committee to receive report outlining the Authority's approach to the Annual Governance Statement for 2020/21.</li> </ul>	23 <sup>rd</sup> March 2021
<ul style="list-style-type: none"> <li>Obtain assurance on risk management processes / management of strategic risks – final update of Strategic Risk Register for 2020/21 to be agreed by CLT and reported to the Accounts and Audit Committee.</li> </ul>	April 2021
<ul style="list-style-type: none"> <li>Production of the Annual Head of Internal Audit Report and opinion – based on work completed by the Audit and Assurance Service during 2020/21 providing assurance relating to key systems, procedures and controls in place across the Council.</li> </ul>	June 2021
<ul style="list-style-type: none"> <li>Review and evaluation of the Authority's actual position in relation to its Corporate Governance Code. Complete collation of evidence to support the production of the draft Statement.</li> </ul>	May/June 2021
<ul style="list-style-type: none"> <li>Production of a first draft of the Annual Governance Statement and updated Corporate Governance Code for review by / comment from senior officers (co-ordinated by Democratic Services in consultation with CLT).</li> </ul>	June 2021
<ul style="list-style-type: none"> <li>Updated Corporate Governance Code and completed Draft Annual Governance Statement for 2020/21 to be agreed by the Chief Executive and Leader and shared with the External Auditor (end of May) and Accounts and Audit Committee (June).</li> </ul>	July 2021
<ul style="list-style-type: none"> <li>Final Annual Governance Statement 2020/21, signed by the Chief Executive and Leader, to be submitted to accompany the final accounts and approved by the Accounts and Audit Committee.</li> </ul>	September 2021

This page is intentionally left blank

## TRAFFORD COUNCIL

**Report to:** Accounts and Audit Committee  
**Date:** 23 March 2021  
**Report for:** Discussion  
**Report of:** Audit and Assurance Manager

### Report Title

**Strategic Risk Register 2020/21 (March 2021 update)**

### Summary

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

### Recommendation

**The Accounts and Audit Committee notes the report.**

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

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/March 2021 for each risk unless otherwise stated.

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

- 2.1 The Audit and Assurance Service liaised with CLT and senior managers to agree the risks to be included in the strategic risk register and provide updates on risks under their remit, including progress in managing these risks. Section 3 of this report contains an update on the strategic risks previously reported in November 2020. Where applicable, risks have been updated in light of developments in respect of the COVID-19 pandemic.
- 2.2 The risk chart below shows an analysis of the current strategic risks. The chart analyses the levels of risk exposure in terms of impact and likelihood. The number of strategic risks for each risk level is shown. There are currently 16 strategic risks. For each risk listed in Section 3, this includes the relevant Executive Portfolio and Service Directorate.
- 2.3 Since November 2020, there was a decrease in the risk scores for two of the risks -
  - Risk 16: University Academy 92 has changed from a score of 15 (Medium) to a score of 9 (Medium).
  - Risk 9: Identifying and safeguarding vulnerable children has changed from a score of 20 (High) to a score of 15 (Medium).
- 2.4 For another risk (Risk 9), in addition to the economic impact of Brexit, this risk now also encompasses consideration of the impact of COVID-19.
- 2.5 The next strategic risk update will be undertaken in quarter 1 of 2021/22 and will be reported to the next meeting of the Accounts and Audit Committee.

## Comparison of Risk Levels November 2020 and March 2021

**IMPACT**

**Risk Levels – November 2020**

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

**LIKELIHOOD**

**IMPACT**

**Risk Levels – March 2021**

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

**LIKELIHOOD**

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

### 3. Strategic Risks (March 2021)

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	Significant disruption as a consequence of the COVID-19 outbreak (Authority-Wide)	5	4	20 High	↔ No change	<p>The Council is continuing to work to the GM Pandemic Strategic Response Plan in preparing a coordinated response to the COVID 19 outbreaks in Trafford. The governance arrangements have been set up with the Recovery Coordinating Group Chaired by the Chief Executive of the Council. This acts at the gold command level.</p> <p>We published our Outbreak Management Plan as required on 30<sup>th</sup> June 2020 and have established two new Boards: a Health Protection Board, chaired by Eleanor Roaf (DPH) and a Public Engagement Board, now chaired by Cllr Freeman. Three further Silver level thematic groups are meeting weekly chaired by Corporate Directors. They are Adults Health and Social Care, Chaired by Diane Eaton, Children's Health and Social Care and Education Chaired by Jill McGregor and HR Group chaired by Sara Saleh. Terms of reference have been established for all the groups with the key areas that each group will oversee and provide assurance that these critical areas are being addressed. A number of sub groups / and time limited task groups have been established.</p> <p>There has been an ongoing communication programme for residents, staff and partners. New HR arrangements have been issued to staff to facilitate home working. ICT capacity has been enhanced through an increase in VPN licences. Directorates have updated their business continuity plans to focus on critical services. Major changes have been implemented to working practices to ensure that all staff whose job role allows them to work from home are able to do so. A range of programmes to support residents and businesses to mitigate economic impact have been introduced.</p> <p>The Health and Social Care Group has progressed both strategic and operational work providing support to Care Homes, Direct Payments services, Home Care, Drug and</p>

<b>Risk</b>	<b>Strategic Risk Title / (Directorate / Portfolio)</b>	<b>Likelihood (1-5)</b> <b>(A)</b>	<b>Impact (1-5)</b> <b>(B)</b>	<b>Risk Score</b> <b>(A x B)</b>	<b>Change in Risk Score</b>	<b>Comments</b>
						<p>Alcohol services and Domestic Abuse and, training for care providers. Commissioners have sought assurance of business continuity from all service providers. The group works closely with CCG , primary care and the Trafford Local Care Organisation</p> <p>The Children’s Social Care and Health is working towards trying to secure placement stability for Looked After Children, staffing resilience for maintaining front line critical services, children’s health and wellbeing, youth justice and cohesion and advising supporting school and educational settings.</p> <p>With the current high rates of infection in Trafford and the national lockdown in place, the plans for staff returning to work have been put on hold and staff are being encouraged to work from home wherever possible.</p> <p>The vaccination programme is underway, led by the CCG, and while uptake is excellent overall, there are inequalities emerging within this, which we are now working to address.</p> <p>We have also identified resources for a neighbourhood based community engagement team to work in localities on community engagement and behaviour change in relation to Covid.</p>
2	Climate Change Emergency (Place / Sustainability and Climate Change)	5	4	20 High	↔ No change	<p>This considered to have a very high likelihood, in that all available indicators suggest that climate change is already occurring and will, if anything, become more prominent. The Impact is considered to be High as a minimum (very high without mitigation) as the consequence of climate change give rise to unpredictable and severe weather events – and events that occur with increasing regularity. These will in turn have significant impacts on our environment, economy and society. Examples could range from changing patterns of food production through to the financial to households and businesses. In short, the impacts are wide ranging and cross cutting in character</p>

<b>Risk</b>	<b>Strategic Risk Title / (Directorate / Portfolio)</b>	<b>Likelihood (1-5)</b> <b>(A)</b>	<b>Impact (1-5)</b> <b>(B)</b>	<b>Risk Score</b> <b>(A x B)</b>	<b>Change in Risk Score</b>	<b>Comments</b>
				<b>20</b>		<p>Climate Change can be addressed firstly through adaption (as it is already occurring) - actions that designed to promote greater resilience to more extreme weather events. Secondly it can be addressed through mitigation – actions that are intended to slow or avoid the more severe climatic impacts. These are primarily focussed on reductions in local Carbon Emissions.</p> <p>To progress these matters the Council has prepared a draft Carbon Neutral Action Plan as a means of establishing actions to reduce emissions in Trafford. These will contribute to wider Low Carbon targets across Greater Manchester – and ultimately the UK as part of the National 25 year Environment Plan. It is proposed that progress be governed through the expansion of the existing Trafford Air Quality Commission into a Trafford Air Quality and Climate Change Commission. The first meeting of the Commission was held in January 2021 and activity is now focussed on follow up actions. A new officer has been added to the team to help progress these.</p>
3 (4)	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	<b>4</b>	<b>5</b>	<b>20</b> <b>High</b>	<b>↔</b> No change	<p>The 2021/22 budget proposals was agreed by the Council on 17 February 2021. The budget gap in 2021/2022 totalled £25.52m with £17.18m relating to Business as Usual pressures and £8.34m short term COVID-19 pressures.</p> <p>The budget gap in 2021/22 was met by a combination of new funding, new savings and the use of one off reserves for BAU and COVID-19 pressures. The key elements are :-</p> <ul style="list-style-type: none"> <li>○ New Funding <ul style="list-style-type: none"> <li>○ A 4.99% increase in the council tax (1.99% general increase and 3% for adult social care) £5.20m;</li> <li>○ New and continuing savings programmes of £9.18m; and</li> <li>○ Use of Budget Support Reserve for BAU pressures £2.80m.</li> <li>○ Use of Budget Support Reserve for COVID-19 pressures £8.34m</li> </ul> </li> </ul> <p>The budget gap for 2022/23 and 2023/24 is currently estimated at £11.12m and £10.30m respectively.</p>



<i>Risk</i>	<i>Strategic Risk Title / (Directorate / Portfolio)</i>	<i>Likelihood (1-5)</i> <i>(A)</i>	<i>Impact (1-5)</i> <i>(B)</i>	<i>Risk Score</i> <i>(A x B)</i>	<i>Change in Risk Score</i>	<i>Comments</i>
	<p>rate retention system with a planned full reset of business rate baselines expected from April 2021.</p> <p>(Finance &amp; Systems / Finance and Governance).</p>					<p>Income from Strategic Investments of £6.7m is included in the budget, of which an additional £3.0m is anticipated from recirculating previous investments which have been repaid. Due to the magnitude of the income anticipated from our strategic investments, a separate item has been included in the SRR.</p> <p><b>Impact of the Covid-19 pandemic:</b> the outbreak of the virus during 2020/21 has had significant and far reaching implications on the Council and the way it has delivered its services during the response phase and how it will deliver them in the recovery phase.</p> <p>The impact has been felt across all Council services which financially has placed a burden on expenditure, reduced income streams from fees and charges and impacted funding from council tax and business rates.</p> <p>The latest forecast of the in-year Covid related pressures reported to MHCLG and Period 10 monitoring projected an overall gross pressure of £56.8m.</p> <p>The Government has provided a package of support measures to support local authorities, details of which include:-</p> <ul style="list-style-type: none"> <li>○ Four tranches of funding worth £15.3m to support expenditure pressures in 2020/21,</li> <li>○ Support for reductions in Sales, Fees and Charges income, with the Government covering 75% of losses beyond 5% of planned income, estimated to be worth £3.38m</li> <li>○ Phased repayment of Collection Fund deficits over the next 3 years. At the time the 2021/22 budget was prepared the shortfall in income from council tax and business rates was estimated at £4.06m and £5.3m respectively; this will not impact on the budget position in 2020/21 and instead be spread over the following three years. Government has given a commitment to provide support to help councils meet the pressures of irrecoverable tax income and this has been estimated £3.9m for rates and £774k for Council Tax.</li> </ul>

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"> <li>○ Exceptional Support at an individual authority basis for those with unique circumstances</li> </ul> <p>At the time of writing this update the period 10 monitoring position is forecasting an overall net pressure relating to COVID-19 of £5.35m after the application of Government grant support, recharges to CCG and the removal of the Council Tax and Business Rates deficits.</p> <p>The overall budget forecasts are currently indicating some potential savings across other service and corporate contingency budgets which if fully realised should help mitigate the overall Covid-19 pressures to arrive at a net underspend of £2.3m.</p> <p>The forecasting of the covid impact has been difficult give the level of uncertainty during the year. The anticipated surge in demand in children's and adults social care has not transpired, however it is anticipated that there is a high potential for latent demand within the system which will be felt in the next financial year. There is also a high level of uncertainty regarding the medium term wider economic impact and how this will particularly affect business rates income.</p> <p>With regard to the 2021/22 budget which was approved by Council on 17<sup>th</sup> February, a budget gap of £25.52m is forecast, comprising recurring pressures from 2020/21 (as a direct result of Covid-19) of £8.34m and £17.18m of business as usual pressures. The gap was closed by the one-off use of reserves to cover the impact of the Covid-19 related pressures of £8.34m with the business as usual pressures being addressed by £5.2m additional funding from Council Tax, £2.8m reserves and £9.18m income generation and savings proposals.</p> <p>The impact of COVID-19 and ongoing requirement to make significant business as usual savings reinforces the reason why the uncertainty in the medium term plans appears within the Council's Strategic Risk Register. The key activities below provide a further level of risk mitigation</p>

<b>Risk</b>	<b>Strategic Risk Title / (Directorate / Portfolio)</b>	<b>Likelihood (1-5)</b> (A)	<b>Impact (1-5)</b> (B)	<b>Risk Score</b> (A x B)	<b>Change in Risk Score</b>	<b>Comments</b>
						<ul style="list-style-type: none"> <li>As detailed in the 2021/22 budget report and also the period 10 monitor, the Council has reviewed its level of reserves and bolstered those reserves (Budget Support, Business Rates Risk, COVID Risk, Employment Rationalisation, General Reserve) to provide a prudent level of resilience to mitigate the risk of unknown COVID and BAU pressures over the medium term.</li> <li>The 21/22 budget provides for a number of contingency items for potential covid pressures (delayed demand, prolonged impact on collection rates). Provision exists within the revenue budget to start to replenish reserves depleted during the pandemic (Strategic Investments in airport +£0.5m, Leisure Reserve+£0.3m).</li> </ul>
4 (5)	Trafford Council must ensure that it and 3 <sup>rd</sup> parties acting on their behalf are handling personal/ sensitive and commercial data securely both in technology and physical terms and in accordance with legislation and Trafford Council's policies and procedures. The following areas of risk have been identified: <ul style="list-style-type: none"> <li>Compliance risks</li> <li>SAR delays</li> </ul>	4	5	20 High	↔ No change	<p><b><u>Records Management:</u></b></p> <p>There are ongoing compliance issues being addressed around records management (retention of both physical and electronic records).</p> <ul style="list-style-type: none"> <li>A review of the council's physical storage position from both a compliance and cost perspective is underway. A piece of work is following on from this, beginning with a review of the full inventory of boxes in storage.</li> </ul> <p><b><u>Subject Access Requests (SAR):</u></b></p> <p>Progress in addressing SAR Backlogs has been made. There is still an outstanding backlog of SAR. The IG Project team (Created July 2020) has completed its main review of the SAR's backlog and a new operating process has been implemented and an improvement plan is in place. The Information Commissioner's Office (ICO) is expected to review the Council's position in the future although this remains unconfirmed at this stage.</p> <ul style="list-style-type: none"> <li>The IG Team is now working to reduce the outstanding backlog of cases before the summer.</li> </ul>

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"> <li>• FOI compliance</li> <li>• Data breaches</li> <li>• Mandatory Training</li> </ul> (Governance & Community Strategy / Finance and Governance)					<p><b><u>Freedom of Information (FOI) / Environmental Information Regulations (EIR):</u></b></p> <ul style="list-style-type: none"> <li>• A twin problem of a growing number of overdue outstanding FOI requests and falling compliance rate has been identified and is being tackled. An FOI review project is underway with two primary objectives – to clear the outstanding backlog of requests and to implement process changes to enable sustained performance improvement. The project is expected to be completed by the end of March.</li> <li>• Rapid progress is being made completing and closing outstanding overdue requests. The average compliance rate for 2020/21 to date is 63%. The target compliance rate (and ICO expectation) is 90%. Actions being taken through the FOI project seek to address this performance shortfall both in the immediate and longer term.</li> </ul> <p><b><u>Data Breaches:</u></b></p> <p>Two significant data breaches had been concluded by the ICO. However, one has recently been reopened due to a complaint.</p> <p>Continued data incidents have reinforced that the most common problem involves correspondence (email or by post) being sent to the wrong address/recipient. This is still happening with greater regularity than it should and has highlighted the need for a renewed focus on training and awareness raising.</p> <p>Legal have worked on revised process and procedures for data breaches and will be assimilated into the IG Project of Information security between March and June 2021.</p> <p><b><u>Mandatory Data Protection and Information Security training</u></b></p> <ul style="list-style-type: none"> <li>• As of 30 September 2020 - 91% of staff had completed mandatory Data Protection</li> </ul>

<b>Risk</b>	<b>Strategic Risk Title / (Directorate / Portfolio)</b>	<b>Likelihood (1-5)</b> (A)	<b>Impact (1-5)</b> (B)	<b>Risk Score</b> (A x B)	<b>Change in Risk Score</b>	<b>Comments</b>
						<p>training and 89% had completed Information Security E learning modules through a significant push for completion by the IG Team. At the 30<sup>th</sup> January 2021 this stood at 79% and 75% due to the 12 month renewal requirements. Work will be taking place March into April to increase these numbers and lay foundations for maintaining high compliance.</p> <ul style="list-style-type: none"> <li>The Data Security and Protection Toolkit, an annual submission overseen by NHS Digital, requires local authorities delivering Social Care functions to have a minimum <b>95%</b> training completion level in order to meet the necessary standard. Completion for 2021 is the end of June.</li> </ul> <p>Together, the above issues raise the following risks – legal/regulatory (non-compliance with legal requirements), reputational, financial, adverse publicity.</p>
5 (6)	<p>Breach of health and safety legislation leading to prosecution under the Corporate Manslaughter Act and other Health and Safety Regulations.</p> <p>(Strategy and Resources / Finance and Governance).</p>	4	5	20 High	↔ No change	<ul style="list-style-type: none"> <li>Risk level remains high in light of current COVID-19 Pandemic, high levels of COVID transmission locally and nationally and national restrictions. Strategies remain in place and are regularly reviewed to manage this risk. These include managing occupancy to low levels, home-working where possible, workforce re-integration strategy and support, buildings, service and individual risk assessment approaches, access to PPE where required, Covid rapid testing available for all front line staff from TTH combined with a test and trace local system and refocused mental wellbeing support.</li> <li>Current Health &amp; Safety Policy and comprehensive arrangements in place. Subject to periodic review as required and available to the workforce via the intranet.</li> <li>Health and Safety Audit programme in place across all Directorates and schools. This programme includes proactive monitoring of compliance with health &amp; safety law and internal H&amp;S management arrangements.</li> <li>Policy, arrangements, protocols and guidance for Directorates and schools updated to reflect</li> </ul>

<b>Risk</b>	<b>Strategic Risk Title / (Directorate / Portfolio)</b>	<b>Likelihood (1-5)</b> <b>(A)</b>	<b>Impact (1-5)</b> <b>(B)</b>	<b>Risk Score</b> <b>(A x B)</b>	<b>Change in Risk Score</b>	<b>Comments</b>
						<p>legislative or organisational changes and any new or emerging risks (in addition, a targeted rolling programme is ongoing).</p> <ul style="list-style-type: none"> <li>• Health &amp; Safety Unit (HSU) support in the comprehensive assessment and investigation, where required, of health and safety issues or incidents. Facilitates the effective management of risk and statutory compliance.</li> <li>• HSU support in responding to occupational health and workforce referrals to ensure the health, safety and welfare of staff.</li> <li>• Staff consultation processes in place to report and liaise on Health and Safety performance issues.</li> <li>• Competent HSU advisory service with advisors subject to continuing professional development requirements.</li> <li>• Employee Health and Wellbeing Strategy in place which incorporates ill health reduction and mental wellbeing support.</li> <li>• Online training available to support managers and schools in ensuring staff are competent to undertake tasks/role.</li> <li>• Arrangements in place for the health and safety assessment of providers/contractors prior to approval and for subsequent monitoring of performance.</li> <li>• HSU engagement in Health, Safety, Welfare and Security issues relating to the Council's Corporate and Let Estate through Corporate Landlord and associated focused audits and reviews.</li> </ul>
6 (7)	<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 has been submitted to agree the next steps. A business case has been submitted and Trafford council will be taking the following option:</p> <ul style="list-style-type: none"> <li>▪ Consider alternative models of service delivery, including the development of a predominately In-House Service model, with a view to ending the contract with Amey.</li> <li>▪ Should an amicable agreement not be reached with Amey that keeps the council whole and allows services to be undertaken</li> </ul>

<b>Risk</b>	<b>Strategic Risk Title / (Directorate / Portfolio)</b>	<b>Likelihood (1-5)</b> <b>(A)</b>	<b>Impact (1-5)</b> <b>(B)</b>	<b>Risk Score</b> <b>(A x B)</b>	<b>Change in Risk Score</b>	<b>Comments</b>
				<b>20</b>		<p>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> <p>The Covid-19 Crisis has delayed the process of negotiation for this. Amey's performance during this period has continued to be generally good.</p> <p>Discussions between the council and Amey could not satisfactorily or economically come to a solution to move to an in-House service model. In a paper to the council in October 2020 the decision to move to the second option was taken. To achieve the significant improvements in the delivery of the contract, the council has subsequently activated the contractual 7 year review clause. This gives a six month review period (with member oversight and resident and stakeholder input) to recommend any changes to the contract for improvements and efficiencies.</p> <p>It should be noted that the efficiencies needed for the 2021/22 Covid affected budgets were achieved with Amey's assistance.</p>
7 (8)	Leisure Services  (Place/ Authority wide)	<b>4</b>	<b>5</b>	<b>20</b> <b>High</b>	<b>↔</b> No change	<p>All facilities operated by Trafford Leisure Community Interest Company (CIC) were closed from the 20<sup>th</sup> March 2020, in line with the Government's lockdown.</p> <p>In line with the easing of Government restrictions Altrincham Golf Course and the leisure centres were re-opened for a short time mid 2020 but due to Tier 3 status across GM and subsequent full national lock down the Leisure Centres have been closed since November 21 and the golf course from the end of December and remain closed. The re provision of services remain conditional to any changes to national or local lockdown restrictions being lifted. At present 94% of Trafford Leisure staff remain on furlough.</p> <p>Trafford Council has provided an initial pre-Covid loan of £300,000, and a further facility of £840,000 has been made available. The Council have also re-designated the Leisure Centre</p>



<b>Risk</b>	<b>Strategic Risk Title / (Directorate / Portfolio)</b>	<b>Likelihood (1-5)</b> <b>(A)</b>	<b>Impact (1-5)</b> <b>(B)</b>	<b>Risk Score</b> <b>(A x B)</b>	<b>Change in Risk Score</b>	<b>Comments</b>
						<p>Refurbishment Earmarked Reserve to enable it to be used to provide additional financial support to the end of the financial year.</p> <p>The Council and Trafford Leisure are working on a financial plan to the end of the fiscal year and in January 2021 Trafford Council has made an application to the National Leisure Recovery Fund for the £570,000. A decision on this application was expected mid-February 2021.</p> <p>A review of Council's Leisure Investment Strategy was completed by Max Associates and approved at Council Executive, January 2021. Due to the immediate budget pressures on both Trafford Council and Trafford Leisure this included the recommendation to further explore options to refurbish Altrincham, Sale and Stretford Leisure Centres and no longer embark on new developments in Altrincham and Stretford as previously planned.</p>
8 (9)	Economic Impact of Brexit and COVID-19 (Authority-wide)	4	4	16	↔ No change	<p>On 23 June 2016, Britain voted in a referendum to leave the European Union (EU) and on 1 January 2021 the UK left the EU with a Trade Deal covering new rules for how the UK and EU will co-operate, and trade together.</p> <p>Under the Trade &amp; 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</p>



<b>Risk</b>	<b>Strategic Risk Title / (Directorate / Portfolio)</b>	<b>Likelihood (1-5)</b> <b>(A)</b>	<b>Impact (1-5)</b> <b>(B)</b>	<b>Risk Score</b> <b>(A x B)</b>	<b>Change in Risk Score</b>	<b>Comments</b>
						<p>area has been produced by the Group as a focus for activity going forward. The Preparedness Plan is a combination of actions and issues that are monitored and reviewed by the Group on regular basis. The GMCA has re-established its Preparedness Group which comprises members from the ten LA's and other key stakeholders including GM Growth Hub, TfGM, NHS, Highways England, Manchester Airport, GMP and MHCLG. The work of this group has provided an overarching strategic framework to which Trafford's Transition Preparedness Plan is complementary.</p> <p>In light of the above, and the ongoing effects of the Covid crises, a review of the Brexit Impact Assessment has been commissioned in order to begin to understand the impacts of the Trade Agreement on local businesses, residents and the economy. The review will be funded from the Brexit Preparedness grant monies received by the Council. Any negative impacts on Council service delivery will also be covered, linked to the issues identified in the Transition Preparedness Plan. In addition, the review will also be set in the context of COVID and its effects on business, unemployment and the economy.</p> <p>In addition to the implications of Brexit, the Covid-19 pandemic is unprecedented and is having an adverse impact on residents, businesses and the economy as a whole. For example, Trafford experienced the largest increase in claimant count across GM, at 117% since the onset of the Covid crisis in March 2020 to June 2020. This increase was largely within areas of Trafford that have relatively low unemployment levels with the highest increases in Davyhulme, Ashton upon Mersey and Timperley; conversely the lowest increases have been in Partington, Broadheath and Gorse Hill where unemployment levels are higher. Since June 2020 the claimant count has been relatively stable, consistent with national and GM trends, and stood at 5.1% in January 2021. The increase has been most noticeable among claimants at either pole of the age spectrum with younger claimants aged between 18 and 24 and those over 50 impacted the most.</p>

<b>Risk</b>	<b>Strategic Risk Title / (Directorate / Portfolio)</b>	<b>Likelihood (1-5)</b> <b>(A)</b>	<b>Impact (1-5)</b> <b>(B)</b>	<b>Risk Score</b> <b>(A x B)</b>	<b>Change in Risk Score</b>	<b>Comments</b>
						<p>However with over 9,300 employees being furloughed at the end of Oct 2020, the impact of this on unemployment will be severe if the majority of these jobs are ultimately lost.</p> <p>The Trafford Inclusive Economy Recovery Plan complements the above and has been produced in light of the effects of the pandemic on the economy and the need to set out key initiatives to steer the borough through recovery. The Plan has not only been set in the context of meeting key issues facing the borough, but also to be complementary to the work of the GM LEP Economic Vision and Build Back Better priorities which sets out to create a better opportunity for a strong and successful recovery.</p> <p>The Plan is a 'live' document and may be amended over time as circumstances changes and new issues arise. Meeting the challenges caused by the Covid pandemic and ensuring an effective recovery will not be easy and will require a strong partnership approach to tackle the issues facing the local economy through to recovery and beyond.</p> <p>The Plan covers the following themes:</p> <ul style="list-style-type: none"> <li>-Business Support and Sustainable Job Creation</li> <li>-Transition Preparedness</li> <li>-Green Economy and Sustainable Job Creation</li> <li>-Sustainable Jobs and Skills Growth for local residents</li> <li>-Inward Investment and Sustainable Job Creation</li> <li>-Funding and Growth</li> <li>-Strategic Sites Development and Job Creation</li> <li>-Improved Town Centres for Residents and Businesses</li> <li>-Increase Visitor Economy</li> </ul>
9 (3)	The Council does not fulfil its statutory duties and all	3	5	15 Medium	↓ Risk reduced	Safeguarding children is an area of Council responsibility that requires constant high levels of vigilance to guard against the risk of harm or abuse to children that could have been prevented

<b>Risk</b>	<b>Strategic Risk Title / (Directorate / Portfolio)</b>	<b>Likelihood (1-5)</b> <b>(A)</b>	<b>Impact (1-5)</b> <b>(B)</b>	<b>Risk Score</b> <b>(A x B)</b>	<b>Change in Risk Score</b>	<b>Comments</b>
	<p>accompanying policy requirements in terms of identifying and safeguarding vulnerable children.</p> <p>(Children's Services / Children's Services).</p>					<p>through early help, identification, assessment and support.</p> <p>Trafford Children's Services was inspected under the Inspection Local Authority Children's Service Framework in March 2019 and received an overall rating of inadequate. The sub-judgements were Requires Improvement for children in need of protection, Requires Improvement for children in care and care-leavers and Inadequate for Leadership. Following this judgement a number of actions are being progressed to address the issues:</p> <ul style="list-style-type: none"> <li>• 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.</li> <li>• A full and comprehensive Action Plan has been published, implemented and has also been reviewed in detail to ensure we are making progress.</li> <li>• Progress towards improvement continues to be monitored by the Department of Education regularly through the Involvement of our Improvement Advisor and DfE link officer.</li> <li>• Recent meeting with DfE link officer has confirmed that Trafford has been de-escalated to 'some concern – low risk' following a series of performance reports, meetings and assurances that we understand if children are safe.</li> <li>• Ofsted have conducted a recent Focussed Visit (24 Feb – 10 March 2021) and have confirmed that they have seen progress since the 2019 inspection but that there are improvements that we need to progress. Ofsted feedback was that all of the areas they found as needing to improve had already been identified by the Senior Leadership team, plans are in place to address and that there are the right plans.</li> <li>• Significant changes have been made to the Early Help and Children's Social Care Front Door processes to improve timeliness and quality of decision making. Discussions are now well developed with partners about an</li> </ul>

<b>Risk</b>	<b>Strategic Risk Title / (Directorate / Portfolio)</b>	<b>Likelihood (1-5)</b> <b>(A)</b>	<b>Impact (1-5)</b> <b>(B)</b>	<b>Risk Score</b> <b>(A x B)</b>	<b>Change in Risk Score</b>	<b>Comments</b>
						<p>agreed approach to Early Help. There has been significant focus on improving Quality Assurance processes within the service and better reporting to Senior Managers. These changes are starting to inform a better self-view of our quality of practice. There will be a focus on embedding improvements and measuring impact going forward. Ofsted noted the improvements that have been made in this area and there were assured that the information we can collate from QA processes is giving us the key information that we need to improve practice.</p> <ul style="list-style-type: none"> <li>• Whole Service redesign is commencing with formal consultation starting on 17 March 2021. This will be significant in how we organise ourselves to deliver the right service to children at the right time in a much clearer way. The workforce have been a part of the process with engagement sessions and follow up 'show &amp; share' sessions with staff.</li> <li>• During Covid-19 we have established processes to focus on keeping children safe and maintaining placement stability for our cared for children. Our Sit-Reps have shown an average of 75% resilience in all services. There have been regular Incident meetings and sub-groups to ensure safe delivery of practice. We have issued new guidance to staff, initiated an extensive Work from Home programme, used a monitoring process to measure our performance and continued with key aspects of our Improvement Journey.</li> </ul>
10 (13)	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	3	5	15 Medium	↔ No change	<p>The Council is subject to cyber-attacks on a daily basis but a range of technical solutions and processes are in place to protect Trafford's IT systems and data. The volume and level of sophistication of these attacks is increasing so the Council needs to continuously review and improve how it protects systems and data. The National Cyber Security Centre are reporting increased cyber threats during the Covid-19 crisis as criminals take advantage of vulnerabilities.</p> <p>The increase in home working poses security challenges but solutions have been put in place to maintain cyber security. The rollout of Microsoft</p>

<b>Risk</b>	<b>Strategic Risk Title / (Directorate / Portfolio)</b>	<b>Likelihood (1-5)</b> <b>(A)</b>	<b>Impact (1-5)</b> <b>(B)</b>	<b>Risk Score</b> <b>(A x B)</b>	<b>Change in Risk Score</b>	<b>Comments</b>
	loss of control of those services.  (Finance & Systems / Finance and Governance)					<p>Teams and the Pulse Virtual Private Network (VPN) have helped protect the Council's data and systems.</p> <p>There remains a significant risk that the Council's defences could be breached even with effective tools and approaches in place, so it is equally important to ensure the processes for dealing with an attack are effective.</p> <p>A detailed assessment of the Council's and CCG's cyber security technical solutions and processes was completed in February 2020 by Internal Audit.</p> <p>The assessment:</p> <ul style="list-style-type: none"> <li>• Captured a baseline of the current tools and processes; drawing on a number of existing controls that exist including the annual Penetration Test of the Council's network, and completion of the Data Security and Protection Toolkit for the NHS.</li> <li>• Undertook a thorough assessment of the Council's tools, processes, and controls against the National Institute of Standards and Technologies (NIST) (800-53) Framework, this is a US standard built around public service and widely used in the UK.</li> </ul> <p>The draft outcome of the assessment was received in March 2020 but the response to the recommendations and action plan was delayed due to the Covid-19 crisis. The responses have now been provided and the final report completed. The responses include:</p> <ul style="list-style-type: none"> <li>• Proposed solutions where the assessment identifies areas for improvement; making the business case for change or investment where appropriate.</li> <li>• An agreed improvement plan, the recommendations have been put into a plan and allocated to the ICT teams.</li> </ul>

<b>Risk</b>	<b>Strategic Risk Title / (Directorate / Portfolio)</b>	<b>Likelihood (1-5)</b> <b>(A)</b>	<b>Impact (1-5)</b> <b>(B)</b>	<b>Risk Score</b> <b>(A x B)</b>	<b>Change in Risk Score</b>	<b>Comments</b>
						<ul style="list-style-type: none"> <li>• Progress against the recommendations is monitored at the ICT quarterly security meetings.</li> </ul> <p>Other controls and activities are:</p> <ul style="list-style-type: none"> <li>• An internal cyber security group has been formed which meets quarterly to review and manage the Council and CCG's cyber defences and processes.</li> <li>• Key IT Managers are attending the National Cyber Security Centre / iNetwork Cyber Resilience Training Programme.</li> <li>• Trafford is actively sharing information about potential cyber threats with partners including the North West Warning, Advice and Reporting Point (WARP) and nationally with the NHS CareCert service.</li> <li>• The Network People (TNP) provide Trafford Council with specialist security advice to help develop, manage and monitor Trafford's security defences and incident response.</li> <li>• Public Services Network (PSN) compliance is maintained which includes annual vulnerability penetration testing of both the internal and external networks. The 2020 penetration test took place in May and the report was delivered in June.</li> <li>• The PSN report has been received and the identified vulnerabilities split between the infrastructure and network &amp; Telecoms teams. Progress is monitored through 3 weekly meetings and a target to have this completed by 30<sup>th</sup> November 2020.</li> <li>• Phishing awareness campaign with Purplefish has been procured which will be delivered electronically to all Council and CCG staff. Engaged with the Comms teams to develop the action plan. The comms for the phishing campaign was signed off. The campaign started in December 2020 and will last for 12 months. The campaign is to provide staff with automated, ongoing and regular security awareness training.</li> <li>• Cyber Essential plus accreditation – We have been informed by Pentest People with whom we are working with to achieve this accreditation that the template has changed.</li> </ul>

<b>Risk</b>	<b>Strategic Risk Title / (Directorate / Portfolio)</b>	<b>Likelihood (1-5)</b> <b>(A)</b>	<b>Impact (1-5)</b> <b>(B)</b>	<b>Risk Score</b> <b>(A x B)</b>	<b>Change in Risk Score</b>	<b>Comments</b>
						<p>A pre-scoping document has been completed ahead of access to the portal where an online questionnaire will be completed. Progress is monitored at the quarterly IT Security meetings.</p> <p>Cyber Essential plus accreditation (update) – following a meeting with the Pentest People several areas for improvement have been identified before we can achieve both the cyber essentials and the plus accreditation. An improvement plan will be created to address these areas with aim to have these completed by September 2021, support will be required from the business to achieve this date.</p>
11 (14)	<p>Delay in completing the Business Continuity (BC) Programme Project, resulting in an increased risk that the Council may fail to deliver Council services in the event of significant disruption.</p> <p>(Authority-wide)</p>	3	5	15 <b>Medium</b>	↔ No change	<p>A corporate Coronavirus task and finish group has been established to identify business continuity plans to ensure services can be maintained in the event of a local outbreak. The group will monitor the national and local picture and respond to the changing position.</p> <p>As instructed by the Corporate Leadership Team, services are updating their business continuity plans. This is in the event of managing staffing shortages in particular.</p> <p>A previous internal audit review reported a number of areas for development in business continuity in relation to the following - roles and responsibilities; identification of priorities including completion of business impact analyses (BIA) to identify the impact of disruptions; co-ordinated planning including incident management, recovery and resumption plans; monitoring to ensure compliance with the agreed process and testing of plans; and to ensure adequate, accessible records are maintained.</p> <p>As reported previously, a Business Case had been approved by CLT and work has started to review the Business Continuity Management process. In response to the COVID-19 crisis, priority was given to mobilise business critical services to ensure effective business continuity. This, therefore, reflects the risk level increasing. Procedures will continue to be reviewed across the Council.</p>



<b>Risk</b>	<b>Strategic Risk Title / (Directorate / Portfolio)</b>	<b>Likelihood (1-5)</b> (A)	<b>Impact (1-5)</b> (B)	<b>Risk Score</b> (A x B)	<b>Change in Risk Score</b>	<b>Comments</b>																										
						<p>The continuation of the pandemic has further impeded progress on the completion of a comprehensive set of plans. However it has simultaneously meant that services have greater internal resilience as more have adapted to the continued disruption caused by Covid-19.</p> <p>In respect of development regards ICT, following a workshop with MHCLG a funding application has been made to improve our backup infrastructure.</p> <p>(Refer also to the comments regarding Strategic Risks 1 and 11).</p>																										
12 (15)	Investment Strategy (Finance & Systems / Finance and Governance).	3	5	15 Medium	↔ No change	<ul style="list-style-type: none"> <li>In February 2020 the Council agreed to an increase to the Investment Fund to £500m and to date £377m of commitments have been made.</li> <li>The facility agreement at The Crescent (£44.32m) has been repaid in 2020/21, meaning the balance of the approved £500m which is available for further investment is £166.67</li> <li>This investment to date has already provided a net benefit to support the revenue budget of £1.67m, £3.12m and £7.43m in 2018/19, 2019/20 and 2020/21 respectively and is projected to contribute £6.70m in 2021/22.</li> </ul> <table border="1"> <thead> <tr> <th>Asset Investment Fund</th> <th>Total £m</th> </tr> </thead> <tbody> <tr> <td><b>Total Investment Fund</b></td> <td><b>500.00</b></td> </tr> <tr> <td><b>Cost</b></td> <td></td> </tr> <tr> <td>K Site, Stretford:-</td> <td></td> </tr> <tr> <td>Equity in Trafford Bruntwood LLP</td> <td>12.25</td> </tr> <tr> <td>Development Loan to Bruntwood</td> <td>12.25</td> </tr> <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>Trafford Magistrates Court</td> <td>4.65</td> </tr> <tr> <td>The Fort, Wigan</td> <td>13.93</td> </tr> <tr> <td>Sainsbury's, Altrincham</td> <td>25.60</td> </tr> <tr> <td>Brown Street, Hale</td> <td>7.49</td> </tr> </tbody> </table>	Asset Investment Fund	Total £m	<b>Total Investment Fund</b>	<b>500.00</b>	<b>Cost</b>		K Site, Stretford:-		Equity in Trafford Bruntwood LLP	12.25	Development Loan to Bruntwood	12.25	Sonova House, Warrington	12.17	DSG, Preston	17.39	Grafton Centre incl. Travelodge Hotel, Altrincham	10.84	Trafford Magistrates Court	4.65	The Fort, Wigan	13.93	Sainsbury's, Altrincham	25.60	Brown Street, Hale	7.49
Asset Investment Fund	Total £m																															
<b>Total Investment Fund</b>	<b>500.00</b>																															
<b>Cost</b>																																
K Site, Stretford:-																																
Equity in Trafford Bruntwood LLP	12.25																															
Development Loan to Bruntwood	12.25																															
Sonova House, Warrington	12.17																															
DSG, Preston	17.39																															
Grafton Centre incl. Travelodge Hotel, Altrincham	10.84																															
Trafford Magistrates Court	4.65																															
The Fort, Wigan	13.93																															
Sainsbury's, Altrincham	25.60																															
Brown Street, Hale	7.49																															



					<table border="1"> <tr> <td>The Crescent, Salford</td> <td>0.00</td> </tr> <tr> <td>CIS Building, Manchester</td> <td>60.00</td> </tr> <tr> <td>Stretford Mall &amp; Stamford Quarter</td> <td></td> </tr> <tr> <td>Stretford Mall, Equity</td> <td>8.82</td> </tr> <tr> <td>Stamford Quarter, Equity</td> <td>16.69</td> </tr> <tr> <td>Acquisition Loan to Bruntwood</td> <td>25.57</td> </tr> <tr> <td>The Hut Group</td> <td>67.50</td> </tr> <tr> <td>Castle Irwell Development Loan</td> <td>19.00</td> </tr> <tr> <td>Former sorting office, Lacy Street, Stretford</td> <td>0.96</td> </tr> <tr> <td>Various Development Sites</td> <td>0.50</td> </tr> <tr> <td><b>Total Capital Investment</b></td> <td><b>315.71</b></td> </tr> <tr> <td>Albert Estate Treasury Investment</td> <td>17.62</td> </tr> <tr> <td><b>Total Investment</b></td> <td><b>333.33</b></td> </tr> <tr> <td><b>Balance available</b></td> <td><b>166.67</b></td> </tr> </table>	The Crescent, Salford	0.00	CIS Building, Manchester	60.00	Stretford Mall & Stamford Quarter		Stretford Mall, Equity	8.82	Stamford Quarter, Equity	16.69	Acquisition Loan to Bruntwood	25.57	The Hut Group	67.50	Castle Irwell Development Loan	19.00	Former sorting office, Lacy Street, Stretford	0.96	Various Development Sites	0.50	<b>Total Capital Investment</b>	<b>315.71</b>	Albert Estate Treasury Investment	17.62	<b>Total Investment</b>	<b>333.33</b>	<b>Balance available</b>	<b>166.67</b>
The Crescent, Salford	0.00																																
CIS Building, Manchester	60.00																																
Stretford Mall & Stamford Quarter																																	
Stretford Mall, Equity	8.82																																
Stamford Quarter, Equity	16.69																																
Acquisition Loan to Bruntwood	25.57																																
The Hut Group	67.50																																
Castle Irwell Development Loan	19.00																																
Former sorting office, Lacy Street, Stretford	0.96																																
Various Development Sites	0.50																																
<b>Total Capital Investment</b>	<b>315.71</b>																																
Albert Estate Treasury Investment	17.62																																
<b>Total Investment</b>	<b>333.33</b>																																
<b>Balance available</b>	<b>166.67</b>																																
					<ul style="list-style-type: none"> <li>• 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.</li> <li>• 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.</li> <li>• The annual revaluation exercise is used to determine if an appropriate level of debt repayment is being made. It is inevitable there will be changes in valuation year on year but the risks of downward movements in value are being mitigated through a diversified portfolio of assets.</li> </ul>																												

<b>Risk</b>	<b>Strategic Risk Title / (Directorate / Portfolio)</b>	<b>Likelihood (1-5)</b> <b>(A)</b>	<b>Impact (1-5)</b> <b>(B)</b>	<b>Risk Score</b> <b>(A x B)</b>	<b>Change in Risk Score</b>	<b>Comments</b>
						<ul style="list-style-type: none"> <li>• 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).</li> <li>• All investments are scrutinised by an Investment Management Board which includes cross-party representation.</li> <li>• When evaluating potential opportunities extensive legal and property due diligence is undertaken which places a significant emphasis on security and liquidity and includes for example an assessment of the financial strength of the tenants and market sector, length of unexpired lease, location, asset condition and residual land value.</li> <li>• As part of the budget proposals for 2020/21 it was proposed to increase the budget to £500m. The increase will allow borrowing to be undertaken which will be used to finance construction costs on a number of regeneration schemes that are being developed in the borough, including the K Site in Old Trafford, Sale Magistrates Court and Grafton Centre. No additional borrowing will be undertaken unless there is a robust business case behind each project.</li> <li>• 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.</li> <li>• As certain investments are repaid the programme relies on these being replaced by suitable alternatives. The budget for 2021/22 assumes that new schemes will deliver £3m of benefit. Should this not occur, pressure will be faced in the annual revenue budget. This risk has been partially mitigated by the inclusion of a balance within the calculation of the minimum</li> </ul>

<b>Risk</b>	<b>Strategic Risk Title / (Directorate / Portfolio)</b>	<b>Likelihood (1-5)</b> <b>(A)</b>	<b>Impact (1-5)</b> <b>(B)</b>	<b>Risk Score</b> <b>(A x B)</b>	<b>Change in Risk Score</b>	<b>Comments</b>
						level of General Reserve, based on an assumed risk that 25% may not be delivered. <ul style="list-style-type: none"> <li>The Risk Reserve, which is maintained through ring fenced income from investments, is due to grow in 2020/21 by £1.44m to a year end position of £5.33m.</li> </ul>
13 (10)	Demand for school places underestimated and/or additional school places are not delivered to satisfy increased demand.  (Children's Services / Children's Services).	3	5	15	↔ No change	<ul style="list-style-type: none"> <li>The demand for primary and secondary school places continues to be monitored and capital resources allocated to ensure sufficient places are provided to meet our statutory duty.</li> <li>Public consultation for how SEND Provision Capital Funding allocation of £1.75m for 2018-2021 can be spent to create new places or improve facilities in existing provision has been completed.</li> </ul>
14 (11)	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"> <li>Strengthening of the senior leadership team - introduction Assistant Director level posts to aid succession planning for senior leadership roles.</li> <li>Leadership development &amp; coaching is available for all managers/senior managers across the organisation to support them in leading and engaging their staff through transformational change.</li> <li>An EPIC People Manager offer is in place to ensure managers are conversant with all People management responsibilities.</li> <li>A succession planning strategy approach helps to retain key skills, whilst up-skilling staff to take on higher graded roles. This approach has yielded several internal succession appointments. Successors will continue to be identified at senior manager level and targeted development initiatives provided to ensure that we are equipped to flex our workforce to react to resource and skills gaps. Each successor will also have access to a coach.</li> <li>A refreshed performance management approach to the PDR process has been developed. This will enable coaching based development conversations to become the</li> </ul>

<b>Risk</b>	<b>Strategic Risk Title / (Directorate / Portfolio)</b>	<b>Likelihood (1-5)</b> <b>(A)</b>	<b>Impact (1-5)</b> <b>(B)</b>	<b>Risk Score</b> <b>(A x B)</b>	<b>Change in Risk Score</b>	<b>Comments</b>
						<p>norm and identify senior management potential early.</p> <ul style="list-style-type: none"> <li>Trafford Leaders events and leadership conferences are in the diary throughout 2021/22 to enable our senior managers to hear from our corporate leaders, keynote speakers, benefit from networking opportunities and sharing learning.</li> <li>EPIC values and a supporting behaviour framework have been developed in line with Trafford's vision aligned to corporate priorities.</li> <li>Pro-active attendance management strategy developed and will be rolled out across Trafford with refresher training for managers.</li> <li>A Health &amp; Well-being strategy is in place with actions to maintain and improve employee morale and well-being.</li> </ul>
15 (16)	<p>Failure of the Adult Safeguarding Service.</p> <p>(Adult Services / Adult Social Care).</p>	3	4	12 Medium	↔ No change	<p>The responsibility for Adults has been transferred to Adult Social Care through the Principal Social Worker role (May 2019).</p> <ul style="list-style-type: none"> <li>Serious Case Review Panel (Adults) reviewed and in place, has completed several Learning Reviews, a Safeguarding Adults Review (SAR) has been published, more SAR's have now been commissioned and Independent Authors procured. Learning from these processes will be rolled out to staff. Learning review sessions are being delivered to staff across Adult Social Care (ASC).</li> <li>The process of handling provider notifications has been revised. The notifications will be sent to the Commissioning team giving greater oversight of issues across the care market.</li> <li>As part of the adult improvement programme all referrals into Screening are immediately risk assessed and Safeguarding referrals are prioritised. Jointly with children's services and Greater Manchester Police (GMP) and Mental Health.</li> <li>There is a discrete Adult Protection Line for members of the public to directly contact social care to raise safeguarding concerns.</li> <li>There are advanced plans for GMP officers to co-locate with the Screening Team to enhance our response to safeguarding referrals. Daily meetings between the Screening team and the Police are in place.</li> </ul>

<b>Risk</b>	<b>Strategic Risk Title / (Directorate / Portfolio)</b>	<b>Likelihood (1-5) (A)</b>	<b>Impact (1-5) (B)</b>	<b>Risk Score (A x B)</b>	<b>Change in Risk Score</b>	<b>Comments</b>
						<ul style="list-style-type: none"> <li>• Considerable work completed on incoming safeguarding referrals resulting in significant improvement in the timeliness of allocation</li> <li>• Consultation completed regarding the creation of a separate Safeguarding Hub for Adults Safeguarding notifications. This change will enable thematic analysis and action planning to gain greater oversight of issues. Union response being sought and finalising of Job Descriptions underway. Following this, final sign off sought corporately and 'Go Live' to be agreed.</li> <li>• Mental Capacity Act (MCA) and Deprivation of Liberty Safeguards (DoLS) e-learning available for all staff and use is monitored.</li> <li>• Increased demand presenting at Screening and the Community Team is being managed with additional staff capacity both short and long term and daily risk management reviews with GMP.</li> <li>• Member training has been completed regarding safeguarding.</li> <li>• All deprivation of liberty safeguarding assessments now allocated immediately due to changes in process and improved staffing arrangements.</li> <li>• Planning work is underway for the implementation of new legislation on Liberty Protection Safeguards.</li> <li>• Applications to the court of protection for community deprivation arrangements completed.</li> <li>• Revised internal joint Legal and Social Care Coroners process introduced January 2019. Review completed June 2019. Now embedded in to practice.</li> <li>• Legal/Adult Social Care Surgeries introduced to enable proactive planning with legal services to reduce risk of safeguarding, DoLS etc.</li> <li>• Joint Quality Improvement Board re-established with Trafford Clinical Commissioning Group. Jointly chaired by DASS (Trafford Council) and Deputy Chief Nurse supported by primary care, pharmacy to track and support quality improvement in care homes, homecare, deliver improvements in practice, and embed learning and overall aims</li> </ul>

<b>Risk</b>	<b>Strategic Risk Title / (Directorate / Portfolio)</b>	<b>Likelihood (1-5)</b> <b>(A)</b>	<b>Impact (1-5)</b> <b>(B)</b>	<b>Risk Score</b> <b>(A x B)</b>	<b>Change in Risk Score</b>	<b>Comments</b>
				<b>9</b>		<p>to improve quality and safeguarding of vulnerable adults in Trafford.</p> <ul style="list-style-type: none"> <li>• During Covid-19 risk increased as referrals reduced – similar to patterns nationally and similar to patterns in NHS re: A&amp;E use etc. Mitigation – Daily screening and situation advice, adverts on Council Website, media, signposting etc., leaflets in letter boxes, tracking referrals in place, regular contact with residents known to social care, community hubs in place across the borough to support those people shielding and in need of access to food, medication, information and advice including welfare rights advice via CAB, Adults recovery plan underway.</li> <li>• Reports on safeguarding incidents, by individual provider, to be introduced and moved to commissioning team to enhance market improvement plans. Ongoing developments to be added intelligently and data supported.</li> <li>• Annual Safeguarding plan completed.</li> <li>• Annual report for safeguarding Board completed.</li> <li>• SAR process fully embedded into Trafford Strategic Safeguarding Board (TSSB).</li> <li>• Target monitoring areas set by DASS and chair of Joint Quality Improvement Board to include neglect, falls and medication errors, and providers operating below the good or outstanding and improvement plans/support implemented in readiness for restart of CQC inspection regime.</li> </ul> <p>We have introduced a new quality assurance framework and accreditation tool (SPARQ) within the Supported Living service and will be extending this approach across other internal services. This new assurance process complements our safeguarding policy and procedures.</p>
16 (12)	University Academy 92: failure to implement programme and achieve possible benefits this	3	3	<b>9</b> <b>Medium</b>	↓ Risk reduced	University Academy 92 (UA92) was launched in September 2017 to establish a new model of academia, business and sport. It is a unique collaboration involving the Class of 92, Lancaster University, Microsoft, Trafford College and Bruntwood as well as Trafford Council.

<b>Risk</b>	<b>Strategic Risk Title / (Directorate / Portfolio)</b>	<b>Likelihood (1-5)</b> <b>(A)</b>	<b>Impact (1-5)</b> <b>(B)</b>	<b>Risk Score</b> <b>(A x B)</b>	<b>Change in Risk Score</b>	<b>Comments</b>
	<p>may bring in terms of regeneration around Stretford and Old Trafford.</p> <p>(Authority wide - Place) /Housing and Regeneration</p>					<p>Trafford Council believe UA92 will help regenerate the area around Stretford and Old Trafford as it presents a fantastic opportunity to revitalise and support local communities to maximise their potential.</p> <p>The official UA92 launch took place on the 19<sup>th</sup> September 2019, and the university have commenced recruitment for the year three student intake, who would commence in September 2021.</p> <p>An outline planning application has been approved for the redevelopment of the remainder of the former Kellogg's site, and consultation has commenced on the revised Civic Quarter masterplan. The Council and Bruntwood are progressing with plans to submit a reserved matters planning application later in 2021.</p> <p>Teaching at UA92 continues to be delivered, but has all moved on line. The university sector nationally will face challenges as we enter recovery phase in student recruitment, with potential reductions in overseas students, and recruitment is therefore expected to be competitive. The Council remains in regular dialogue with UA92 as landlord and key partner.</p>

This page is intentionally left blank