

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 Management Team (CMT) 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, for quarter two 2013/14, is based on information provided by risk owners through August and September 2013.
- 1.4 The report highlights changes since the previous quarterly update but also as referred to in 2.6 below, key developments since the Committee last received an update in March 2013.

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

- 2.1 Section 3 of this report contains a summary listing of the highest strategic risks identified. The Audit & Assurance Service requested current strategic risk owners to provide a summary update on the strategic risks that are under their remit including progress in managing these risks.
- 2.2 **Overall, it is considered that the level of strategic risk faced by the Council remains fairly stable.**
- 2.3 Since the last strategic risk monitoring update was reported to TPR in July 2013, three strategic risks have been added to the Register and one strategic risk was removed to remain at Directorate level. Details are as follows:
- 2.4 The following strategic risk be removed from the register:
- SR1 – Transformation Programme is not delivered with the speed, scale and degree of innovation required to maintain future financial sustainability.

This is due to the following reason provided:

a) The Programme has maintained, reviewed and improved its robust governance and monitoring arrangements over the last 3 years. These involve the attention of the most senior officers in the organisation; this has resulted in a year on year acceleration of savings realisation against the plan and latterly, an over achievement of benefits profiled.

b) Due to how well embedded and routine the Transformation Programme, its activity and related budget monitoring has become

across all directorates and the Council as a whole, it is now regarded as business as usual rather than an unfamiliar and different way of working.

2.5 The three strategic risks added are:

- SR 17 – Risks relating to the Council’s inability to meet Trafford residents’ requests to have burials within the local area due to insufficient land.
- SR 18 – The Council website is not easily accessible, services are unable to update information or provide service responses fast enough through digital challenges to meet customer expectations. Other channels of communication – face to face, telephone and Member’s surgeries - gain increased numbers of requests due to reliability issues around digital channels.
- SR 19 – Impact and implementation of the Care Bill. The Care Bill was published in May 2013 and outlines new duties and responsibilities for Local Authorities, building on the Government’s “Caring for our Future” White Paper, published last year. Key elements include new rights for carers to assessment and support, national eligibility threshold for care and support, a cap on the costs that people will have to pay for care, financial protection for those with modest wealth, deferred payment agreements, Local Authority responsibility for preventative services and the provision of information and a duty to carry out needs assessments.

2.6 Since the last strategic risk monitoring update was reported to the Accounts and Audit Committee (Quarter 4 report 2012/13 in March 2013), five other risks have been removed from the risk register. This was a result of respective projects / transfers of responsibility being completed with associated issues now being managed at an operational level. These risks were as follows:

- Affordability of long-term accommodation project (SR7 per March 2013 report)
- Continuity and availability of Council systems, infrastructure and telephony services in the run up to, during and following the relocation of the Data Centre from Friars Court in Sale, to the newly built Data Centre in the refurbished Town Hall (SR18 per March report)
- The implementation of the new localised council tax reduction scheme is not implemented on time due to the very short timescale and legal challenges are lodged over the Council’s consultation process and Equality Impact Assessments (SR19 per March report)
- Public Health: transfer of responsibility to the Council April 2013 (SR20 per March report)
- Failure or delay in implementing the Local Welfare Assistance Scheme which replaces the DWP Social Fund in April 2013, putting vulnerable residents at risk and causing reputational damage to the Council (SR22 per March report).

- 2.7 The risk charts below show 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 now 19 strategic risks (four of which are considered high level).
- 2.8 For the risks remaining, it is considered that the strategic risk environment is stable overall. **Performance in managing the risks has been stable or shown improvement** as highlighted in the summary analysis of each risk on pages 5 to 13.

Comparison of Risk Levels June 2013 and September 2013

IMPACT Risk Levels – June 2013

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

LIKELIHOOD

IMPACT Risk Levels – September 2013

Very High(5)		2	4	2	1
High (4)			3	1	
Medium (3)			2	2	2
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. Summary Table –Strategic Risks (September 2013)

Red	Amber	Green
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Risk	Strategic Risk Title / (Directorate) / (Portfolio)	Risk Level	Management of Risk - Direction of Travel *	Comments
1	Major regeneration projects, including Altair, Altrincham Strategic Framework delivery, Old Trafford Master Plan (OTMP) and Carrington development do not proceed due to economic and financial constraints. (EGP) / (EGP)	15 Medium	↔ Stable	<p>All project risks contained and detailed within individual project plans. Overall, all projects within tolerance.</p> <ul style="list-style-type: none"> • Urmston Phase 2 is now completed. • Altair planning application has been received and will be going to the September 2013 Planning Committee. • Funding has been approved for the OTMP. • Altrincham public realm strategy agreed • Proposals for new Altrincham Library as part of redevelopment of existing hospital site going to June Executive.
2	Whilst safeguarding services in Trafford have been inspected and rated by OfSTED as good with good prospects for improvement, this is an area of Council responsibility that requires constant high levels of vigilance to guard against the risk of harm or abuse to Children that could have been prevented through intervention and support of services. In particular, the risk of the Safeguarding Board not being effective in undertaking its duties and responsibilities and/ or insufficient numbers of staff, particularly social workers with relevant experience, to provide effective safeguarding services to children and young people. (CFW)/ (Supporting Children and Families)	20 High	↔ Stable	<p>Trafford took part in a Safeguarding Peer Review in February and received the final letter on 05 June 2013. An action plan in response is being finalised. The overall messages about safeguarding were very positive, with recognition of good practice, strong partnership working and a learning organisation. The feedback has been helpful in confirming for us the areas of continued development and improvement which were already underway and the findings were in line with our own evaluation of strengths and areas of development needed.</p> <p>With regard to the general overview of safeguarding:</p> <ul style="list-style-type: none"> • Partnership working and communication in safeguarding services remain good, both within the CFW and between the CFW, health partners and other agencies. Guidance and direction for staff are good and staff report experiencing professional challenge and support, with accessible managers and clear decision making. • Trafford continues to have a good reputation as an authority, with high numbers of applicants for posts in CFW and positive feedback from staff who

				<p>have come to Trafford from other authorities.</p> <ul style="list-style-type: none"> • Caseloads are high but manageable. The workload management system indicates that staff are working at capacity and this is kept under review on a monthly basis. • Training and support for social work staff has been reviewed to comply with the new national professional capabilities framework that is still in development. Training for experienced workers is now being developed to comply with the new requirements and Trafford has identified a Principal Social Worker for children's services in line with the national requirement. • A partnership response in respect of Early Help for families is a priority as part of the response to the Munro Review of Child Protection and a strategy has been developed to reflect the work already undertaken and the work needed for the future. • The Family Justice Review recommendations are being progressed and the new court timescales will be implemented on 05 August 2013. This will require all authorities to achieve outcomes for children in shorter timescales and work is in hand to address this requirement and manage the potential risks that it poses. • Heightened awareness regionally and nationally around safeguarding – child sexual exploitation. Risks around ensuring all children in Trafford are safe & potential reputation risk is mitigated.
3	Demand for school places underestimated and/ or additional school places are not delivered to satisfy increased demand. (CFW)/ (Education)	15 Medium	↔ Stable	<ul style="list-style-type: none"> • All children have been allocated places for the 2013/14 academic year. • 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. • A two year resource allocation has now been received from DfE and a capital programme is planned in line with projections. • A secondary sufficiency review has been launched with schools to manage the projected increases working through

				<p>from the primary sector. Current projections suggest this will be a major issue from 2017.</p> <ul style="list-style-type: none"> Fragmentation of governance arrangements are making it increasingly difficult to plan places in the secondary sector. Trafford Council is not the admission authority for one (Lostock) of the 18 secondary schools so has limited direct powers in relation to place planning and admissions policies.
4	<p>There continues to be 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 in the administration of Business Rates, Council Tax Support and Local Welfare schemes resulting in a greater risk being transferred to local government. (T&R)/ (Finance)</p>	<p>25 High</p>	<p>↔ Stable</p>	<p>The Council has agreed its budget for 2013/14 and issued a provisional budget for 2014/15.</p> <p>New risks from the local government financial settlement include:</p> <ul style="list-style-type: none"> Risks and rewards in the growth/ reduction in business rates; Changes in the number and cost of Council Tax Benefit claims; The cost of local welfare assistance (replacement of the DWP Social Fund); Reputation risks around budget management. <p>Close monitoring of the financial implications to the Council due to the changes in administration of Business Rates, Council Tax Support and Welfare Reforms is taking place as part of the regular monitoring reports and forecasts remain within budget.</p> <p>Austerity is now expected to last until at least 2017. In addition to reducing funding there continue to be cost pressures and demands on the budget including:</p> <ul style="list-style-type: none"> Increased demand on and in the cost of adult social care. Investment rates continue to be suppressed. Pressure from Transport and Waste Disposal levies. Employee costs – potential risks in this area include for a national pay award, national insurance and pension changes, and the continuing effects of job evaluation. Organisational change costs. <p>The Government has also signalled that</p>

				austerity is likely to continue through to 2017/18. The Spending Review announced on 26 June 2013 reaffirmed the commitment of the Government to tackle the budget deficit by way of spending reductions. The headline reduction for local government is a 10% cut but the actual impact for Trafford will not be known until December 2013.
5	Availability of capital resources from sales of surplus assets and Government Grant to support the Capital Programme. (T&R)/ (Finance)	9 Medium	↔ Stable	<p>Nationally, Government funding has been suppressed and cautious estimates of funding have been assumed by Trafford for its current Capital Programme. The sale of spare Council assets has also been suppressed due to the economy. This has reduced the availability of local discretionary funds. Available resources need to demonstrate a pay back in terms of budget savings and social capital beyond the cost of capital investments.</p> <p>The Capital Programme has been fully reviewed and remodelled as part of the 2012/15 budget process and is monitored and reported on a quarterly basis.</p> <p>The Community Infrastructure Levy represents a potential significant improvement in the availability of funds.</p>
6	Ability of partnership working in relation to vulnerable adults and older people. (CFW)/ (Adult Social Services)	12 Medium	↔ Stable	<ul style="list-style-type: none"> • The Health and Wellbeing Board is established. • The Health and Wellbeing Strategy has been subject to extensive consultation and is scheduled to be signed off by the Board in August 2013. The underpinning Action Plan is under development in partnership with the CCG. • The Public Health Transfer to the Council as the receiving organisation received Public Health Services and staff 'safely', based on a robust Programme Management Approach. • The integration of Adult Social Care Operational Services and Trafford Provider Services has continued to progress based on strong project management arrangements. A formal partnership agreement is due to be signed in October 2013 with full implementation from the 01 April 2014. An Executive Summary of the Integrated Care Model and supporting Action Plan

				<p>has been submitted to the AGMA Leaders Forum by the required deadline of the 13 June 2013.</p> <ul style="list-style-type: none"> • The transfer of community health from Trafford Provider Services to Pennine Care has been successfully completed. • Heightened awareness nationally around safeguarding – elderly and vulnerable adults. Risks around ensuring all elderly and vulnerable adults in Trafford are safe & potential reputation risk is mitigated.
7	<p>Ability of partnership working to release resources with sufficient speed and execution to deliver joint objectives around children. Increased risk from role of National Commissioning Board (NCB) local area team as associate commissioner and lead funding agency for health visiting and some school nursing services. (CFW)/ (Supporting Children & Families)</p>	<p>15 Medium</p>	<p>↔ Stable</p>	<ul style="list-style-type: none"> • Strategic Partnership Agreement (Section 75) for CYPS Integrated Commissioning is being revised following the transition from PCT to CCG. This agreement is on target for approval and implementation in October 2013. • Improved alignment of contract management arrangements and stronger links established to CCG organisational processes. • Increased risk from role of NCB's local area team as associate commissioner and lead funding agency for HV and some school nursing services. • Community Health Services Tender completed with both CYPS and CAMHS lots awarded to Pennine Care and successful transition. • Provider S75 agreement combined with Adult Services to create all age integrated agreement. • Children's Trust Board receives quarterly performance indicator updates.
8	<p>Demand for eligible services outstrips resources in adult social care (CFW)/ (Adult Social Services)</p>	<p>20 High</p>	<p>↔ Stable</p>	<p>No change in the risk since the last update.</p> <ul style="list-style-type: none"> • Business Delivery Programme Board continues to monitor and manage demand, performance and savings delivery based on a collaborative model, including commissioners, operations, health colleagues, Finance and Performance. The model has been commended by the MJ Awards in relation to its innovative approach. • A Business Case portfolio is in place. • The Tele-care offer has been accelerated evidenced by the launch of the Tele-care Pledge to all residents in Trafford over 80+. • An external pilot in relation to Assessment and Re-ablement is underway.

				<ul style="list-style-type: none"> • Strong operational links developed with the hospitals to manage delayed transfer.
9	Failure of the Adult Safeguarding Service (CFW)/ (Adult Social Services)	10 Medium	↔ Stable	<p>No change in the risk since the last update.</p> <ul style="list-style-type: none"> • Development and launch of new Safeguarding procedures. • Refresh of Adult Safeguarding Board. • Safeguarding procedures have been reviewed. • Senior Learning & Development post vacant. Impact on sustaining competency in relation to implementation of practice with both internal and external agencies. • Serious Case Review Panel reviewed and in place
10	Breach of health and safety legislation leading to prosecution under the Corporate Manslaughter Act (T&R) /(T&R)	10 Medium	↔ Stable	<p>No change in the risk since the last update. A programme of audit of Fire Safety in Trafford's schools commenced in February 2013. This will give increased assurance about the Council's arrangements for managing Fire Safety. Arrangements for health and safety training provision are currently under review, to ensure that all staff receive the necessary statutory health and safety training required for their job.</p>
11	Council does not agree, adopt and deliver carbon reduction targets. (ETO)/ (Highways & Environment) & (EGP)/ (EGP)	12 Medium	↔ Stable	<ul style="list-style-type: none"> • Trafford successfully submitted its 2013 CRC Scheme annual report and ordered the required number of carbon allowances, which will be paid for in September 2013. • Annual Greenhouse Gas Reporting information has been submitted to DECC and published on the Council's website. • Installation of Automatic Meter Readers is underway. Progress has also been made on the electronic population of the Council's energy database, which will be upgraded to a new system soon. • The CRC management group comprising officers from ETO, EGP and Audit continues to meet to ensure data robustness and CRC scheme compliance and strengthen forward planning and coordination across services. • A refreshed Energy & Water Management Plan, including street lighting and transport, is being prepared to provide a framework for carbon emissions reduction. • In December 2012, the government

				published simplifications to the CRC Energy Efficiency Scheme. The qualification year for Phase 2 of the CRC is 2012/13. Based on new official guidance, under the proposed new arrangements, Trafford would fall out of the CRC Scheme at the beginning of Phase 2 in 2014/15.
12	Statutory targets relating to Adult Social Care services are not met. (CFW) / (Adult Social Services)	12 Medium	↑ Improvement	<ul style="list-style-type: none"> Monitoring is in place and a range of weekly, monthly and quarterly reports are overseen by Business Delivery Programme Board. Performance is monitored against national and local performance indicators as per Directorate Performance Framework. The overall improvement in performance evidenced by year has been significant.
13	Major event leading to inability to deliver critical services to vulnerable people. (CFW)/ (Adult Social Services)	9 Medium	↔ Stable	Business Continuity Plans have been embedded and updated.
14	Failure to complete 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. (T&R)/ (T&R)	12 Medium	↔ Stable	<p>A spreadsheet has been completed reflecting the re-structure of Directorates and Services. All other activity as stated below is underway.</p> <p>Partnerships & Performance Business Partners are liaising with service groupings to ensure Business Impact Analysis, (BIA) documents are being updated, reflecting the new structures. Plans for Priority 1 & 2 services can then be updated or developed where they are not already in place; and the spreadsheet can then be populated, with critical dates for reviewing BIAs and BC plans. This will help to identify any gaps.</p> <p>Once we are satisfied Service Continuity Plans reflect these new structures, the Corporate plan can be amended and tested.</p> <p>There is an updated draft Business Continuity Policy; and amendments to the council Intranet & Web Site are in progress.</p> <p>A final Internal Audit report is due to be issued in September 2013.</p>

15	Financial and other implication as a result of coalition Government policy to fast track initially “outstanding” schools and then all other schools to academy status. (CFW)/ (Education)	15 Medium	↔ Stable	<ul style="list-style-type: none"> • 17 Trafford schools (12 secondary and 5 primary) have Academy Status. • It is expected academy conversion will accelerate in the next year in the primary sector. • The Department for Education has strongly indicated that any school judged, by Ofsted, to be inadequate should become a sponsored academy as soon as possible. <p>We will continue to:</p> <ul style="list-style-type: none"> • Monitor closely the position regarding the status for schools that currently have expressed an interest to convert and work with the Headteacher and Governing Bodies. • To continue the programme of meetings with senior officers in CFW.
16	Adult Social Care Budget 2013/14: Ability to implement wide range of savings proposals in the current economic conditions. (CFW)/ (Adult Social Services).	15 Medium	↔ Stable	<ul style="list-style-type: none"> • 75% of savings proposals have been delivered. • The demand management remains a significant risk and is mirrored nationally. The demand pressures will continue to be monitored through the Business Delivery Programme Board on a weekly basis throughout the year. • It is currently difficult to project the outturn. The reducing pressure of the Learning Disability Pooled Fund following significant action by the Directorate will continue to be a priority linked to the Recovery Plan which is in place and will see a balanced position over a 2 year period. The L.D. Partnership Agreement will be reviewed including revisiting the contribution to the Pooled Budget from the CCG.
17	Inability to meet Trafford residents’ requests to have burials within the local area due to insufficient land. (ETO) / (Highways and Environment)	16 High	N/A	This is a new risk added to the SRR. See detail provided on pages 30&31of the report.
18	The Council website is not easily accessible, services are unable to update information or provide service responses fast enough through digital challenges to meet customer expectations. Other channels of communication – face to	12 Medium	N/A	<p>This is a new risk added to the SRR.</p> <p>Customers have a greater and growing use and dependency on websites to access up to date information and services, including financial transactions.</p> <p>Trafford Council’s website and supporting infrastructure, including IT, CRM and</p>

	face, telephone and Member's surgeries - gain increased numbers of requests due to reliability issues around digital channels. (T&R) / (T&R).			content updates from all service areas need to be robust to support customers in accessing information and services; and allow them to carry out financial transactions. This also protects and promotes the Council's reputation.
19	Impact and implementation of the Care Bill. The Care Bill was published in May 2013 and outlines new duties and responsibilities for Local Authorities, building on the Governments "Caring for our Future" White Paper, published last year. Key elements include new rights for carers to assessment and support, national eligibility threshold for care and support, a cap on the costs that people will have to pay for care, financial protection for those with modest wealth, deferred payment agreements, Local Authority responsibility for preventative services and the provision of information and a duty to carry out needs assessments. (CFW) / (Adult Social Services).	15 Medium	N/A	This is a new risk added to the SRR. See detail provided on page 32 of the report.

* Note: This indicates the direction of travel in respect of performance in managing the risk and not direction of travel of the risk level.

4. STRATEGIC RISK REGISTER (SEPTEMBER 2013)

STRATEGIC RISK REGISTER 2012/13			Risk Number	1		
Corporate Priorities	<ul style="list-style-type: none"> Value for money Fighting crime Better roads and Pavements 	Link(s) to Community Strategy Key Objectives	<ul style="list-style-type: none"> Positive environmental impact Better homes Health and improved quality of life for all Strong economy 			
RISK	Major regeneration projects, including Altair, Altrincham Strategic Framework delivery, Old Trafford Master Plan (OTMP) and Carrington development do not proceed due to economic and financial constraints.					
Consequences	<ul style="list-style-type: none"> Failure to deliver on promise to community. Negative impact on reputation. Adverse impact on urban regeneration. Failure to deliver the Core Strategy housing and employment growth targets Negative impact on economic and housing growth in the borough. 					
Controls	<ul style="list-style-type: none"> Lead officers identified Consultants in advisory role where appropriate Officer/ member steering groups in place Regular performance meetings with developer/ key stakeholders Detailed project plans in place. Altrincham Delivery Group 					
Risk Assessment	Likelihood	Altair = 3 Altrincham = 3 OTMP = 3 Carrington = 3	Impact	Altair = 5 Altrincham = 5 OTMP = 5 Carrington = 5	Exposure	Altair = 15 Altrincham = 15 OTMP = 15 Carrington = 15 Average = 15
RISK LEVEL			Medium Risk (Average)			
Risk Performance Indicators	<p>Altair</p> <ul style="list-style-type: none"> CPO confirmed, Development Agreement extended to 31 March 2013 and developer proposals being finalised. Funding strategy dependent upon pre-letting key parts of development – possibility of increasing residential element as hotel market not strong in this location. Planning application received and going to the September Planning Committee. <p>Altrincham</p> <ul style="list-style-type: none"> Altrincham Forward Board reviews – quarterly Consultation on Altrincham Town Centre Plan being undertaken (Summer 2012) Delivery of pipeline developments, including Graftons (on site), new hospital, interchange and Altair (see above) Support of local traders/ organisations/residents <p>OTMP</p> <ul style="list-style-type: none"> Essex Way development on-site – completion Summer 2013 Tamworth refurbishment and demolition works on site – completion March 2014 Hullard refurbishments on site – completion December 2013-02-14 HCA funding bid submitted for Shrewsbury Street scheme – decision May 2013 Funding approved. <p>Carrington</p> <ul style="list-style-type: none"> Project meetings with Shell – quarterly Three bidders have been shortlisted. 					

	<ul style="list-style-type: none"> • Outline of spatial concepts being developed • Engagement with key stakeholders ongoing • Flixton Road junction improvements on site – completion December 2013 				
Effectiveness of controls and performance indicators	Altair = 3 Altrincham = 4 OTMP = 3 Carrington				
Improvement Actions (ref to action plans)	Regular performance meetings with developers/ key stakeholders to ensure project time times and delivery of key mile stones.				
Person or Group Responsible for management of risk	Economic Growth and Prosperity (EGP)				
Previous risk reviews completed:					
<ul style="list-style-type: none"> • G Pickering, Corporate Director PPD. April 2009 • J Valentine, Head of Asset Management. October 2009 • P Harvey, Director of Environment. February 2010 and July 2010 • D Smith/ J Valentine, Head of Strategic Planning & Houses/ Head of Asset Management. May 2010 and January 2011 • D Challis, Asset manager. June 2011 • N Gerrard, Corporate Director EGP & Steph Everett, Growth Delivery Manager. September 2011; and February 2012 					
Risk Review Date	August 2012	Completed By	Rob Haslam/ John Steward	Designation	Acting Strategic Planning Manager/ Interim Economic Growth Lead
Risk Review Date	February 2013	Completed By	Stephen James	Designation	Economic Growth Manager
Risk Review Date	August 2013	Completed By	Helen Jones	Designation	Corporate Director – EGP

STRATEGIC RISK REGISTER 2013/14		Risk Number		2		
Corporate Priorities		Link(s) to Community Strategy Key Objectives				
RISK	Whilst safeguarding services in Trafford have been inspected and rated by Ofsted as good with good prospects for improvement, this is an area of Council responsibility that requires constant high levels of vigilance to guard against the risk of harm or abuse to children that could have been prevented through intervention and support of services. In particular, the risk of the Safeguarding Board not being effective in undertaking its duties and responsibilities and/ or insufficient numbers of staff, particularly social workers with relevant experience, to provide effective safeguarding services to children and young people.					
Consequences	<ul style="list-style-type: none"> • Harm or abuse of children • Sanctions/ penalties against Service. • Legal liability claims. • Negative impact on reputation. 					
Controls	<ul style="list-style-type: none"> • Monthly meetings of the Director of Children’s Services Safeguarding Group. • Independent Chair appointed and Safeguarding Board governance and planning approved. 					
Risk Assessment	Likelihood	4	Impact	5	Exposure	20

RISK LEVEL	
	High Risk
Risk Performance Indicators	<ul style="list-style-type: none"> • Responsibility for the risks are multi-agency and depend on all parties to achieve successful outcomes and sustained improvement; • There were staffing implications arising from the CQC/OFSTED Inspection report in April 2010 around the need to strengthen the role of LADO and the Independent Reviewing Team and the role of Statutory Children's Compliant Service. The issues have been addressed and additional resources identified as appropriate.
Effectiveness of controls and performance indicators	<ul style="list-style-type: none"> • The direction of travel is improving. The Service was inspected by OFSTED and CQC in April 2010 and the report concluded that the overall effectiveness of safeguarding and the capacity for improvement were good, with only a few exceptions, performance is better than statistical neighbours and nationally. In addition in December 2010 children's services in Trafford were rated as performing excellently by OFSTED and this rating was confirmed for a second year in December 2011. • The TSCB remains independently chaired and made good progress against its 2012/13 business plan. A revised business planning process has now been developed linked to the children and young people's strategy and a three year plan is complete. The work of the TSCB sub-groups is robust and they are monitoring and quality assuring safeguarding outcomes for children. • Multi-agency preventative work with children in need is well developed and effective and the number of new children coming into care in 2010/11 reduced. However, the current number of child protection plans and children in care is high and reasons for this are analysed regularly with actions taken if appropriate. • Action plans have been developed following recent inspections but all recommendations are very minor. • Partnership working and communication in safeguarding services are good, both within the CYPS and between the CYPS, health partners and other agencies. Guidance and direction for staff are good and staff report experiencing professional challenge and support, with accessible managers and clear decision making. • The CYPS has recruited to a number of posts in recent months. The number of high quality applicants was high indicating Trafford's good reputation as an employer. They are settling into Trafford well and are very positive about their early experiences here. • Caseloads are high but manageable and the workload management system is helping to promote balanced workloads in line with the capability of staff and their level of experience. • Training and support for staff are of consistently high quality, especially the multi-agency training arranged by the TSCB for which take-up is good. • The Munro review of child protection services and the government response indicates Trafford's direction of travel is in line with current thinking and work is in progress to address the Munro recommendations although full clarity is not yet available from government in terms of detailed expectations. • Trafford participated in a Safeguarding Peer Review in February 2013 and the overall messages about safeguarding were very positive with recognition of good practice, strong partnership working and as a learning organisation. The feedback has been helpful in confirming areas for continues development and improvement. The findings were in line with our own evaluation of strengthens and areas for development.
Improvement Actions (ref to action plans)	<ul style="list-style-type: none"> • Action plans from recent inspections to be progressed and monitored within CFW. • Requirements of the Munro review are being progressed via an implementation plan. • The Family Justice Review recommendations are being progressed and the new court timescales will be implemented. Authorities are required to achieve outcomes for children in shorter timescales and we will continue to manage potential risks.

Person or Group Responsible for management of risk				Corporate Director of CFW	
Previous risk reviews completed:					
<ul style="list-style-type: none"> • C Pratt, Corporate Director CYPS. April 2009 and October 2009 • M Woodhouse, Interim Corporate Director CYPS. March 2010 and July 2010 • D Brownlee, Corporate Director CYPS. January, April, July, September 2011, January 2012, August 2012 and February 2013 					
Risk Review Date	August 2013	Completed By	Deborah Brownlee	Designation	Corporate Director CFW

STRATEGIC RISK REGISTER 2013/14				Risk Number	3	
Corporate Priorities				Link(s) to Community Strategy Key Objectives		
RISK		Demand for school places underestimated and/ or additional school places are not delivered to satisfy increased demand.				
Consequences		<ul style="list-style-type: none"> • Statutory duty not discharged. • Negative impact on reputation. • Ad hoc expensive provision required • Disruption to pupils education 				
Controls		<ul style="list-style-type: none"> • Thorough review based on most recent birth rates undertaken in January 2012 taking into account recent and planned housing developments. • The comprehensive plan, giving the analysis of and projecting the increased demand for school places considered by the Executive in March 2012 now being implemented. 				
Risk Assessment	Likelihood	3	Impact	5	Exposure	15
RISK LEVEL			Medium Risk			
Risk Performance Indicators						
Effectiveness of controls and performance indicators		The direction of travel remains stable. Planning for school places continues to be an area of risk. All pupils have been placed in schools for the 2013/14 academic year, though not necessarily in the preferred choice of parents. A two year resource allocation has been received from the Department for Education and a capital programme planned in line with projections.				
Improvement Actions (ref to action plans)		<ul style="list-style-type: none"> • Continue to update the review undertaken on most recent birth rates and taking into account recent and planned housing developments. • Monitor the potential consequence of the economic recession of parents transferring from private schools to Trafford state schools. • Continue to monitor the demand for primary and secondary school places; produce a plan for meeting these; secure the necessary capital resources and deliver the plan. Current projections suggest that from 2017 the number of secondary school places will be a major issue. • Fragmentation of governance arrangements makes it increasingly difficult to plan places in the secondary sector. Trafford is the Admissions Authority for only one of its 18 secondary schools and, therefore, has limited direct powers in relation to place planning and admissions policies. A secondary school sufficiency review has been launched with schools to manage the projected increases that are coming through the primary sector. • Update the Executive when Spending Review allocations are published. • Subject to approval, implement the comprehensive plan. 				
Person or Group Responsible for management of risk				Corporate Director of CFW		

Previous risk reviews completed:

- C Pratt, Corporate Director CYPS. April 2009 and October 2009
- M Woodhouse, Interim Corporate Director CYPS. March 2010 and July 2010
- D Brownlee, Corporate Director CYPS. January, April, July, September 2011, January 2012, August 2012 and February 2013

Risk Review Date	August 2013	Completed By	Deborah Brownlee	Designation	Corporate Director CFW
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STRATEGIC RISK REGISTER 2013/14		Risk Number	4
Corporate Priorities	All Corporate Priorities	Link(s) to Community Strategy Key Objectives	
RISK	<p>There continues to be 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 in the administration of Business Rates, Council Tax Support and Local Welfare schemes resulting in a greater risk being transferred to local government.</p> <p><u>Support from Central Government Cost Pressures</u> The Government has signalled that austerity is likely to continue through to 2017. High level spending plans for 2015/16 were announced in June 2013 and signalled further funding reductions for local government. In addition to reducing funding there continues to be cost pressures and demands on the budget including:</p> <ul style="list-style-type: none"> • Increased demand on and in the cost of adult social care • Pressure from Transport and Waste Disposal levies • Employee costs – potential risks in this area include for national pay award, national insurance and pension changes, and the continuing effects of job evaluation • Organisational change costs <p><u>Business Rate Retention</u> A new feature of the financial regime from 2013 for local authorities is the Business Rates retention Scheme. This will allow the Council to have a share of 24.5% of any growth in rates above the baseline set for Trafford. However, the Council will become responsible for 49% of any reductions below the baseline. There are a large number of outstanding appeals against business rates that could adversely impact on the Council. These appeals are determined by the Valuation Office Agency.</p> <p><u>Council Tax Support and Local Welfare Scheme</u> Changes in the local Council Tax Support Scheme (replacing the national Council Tax Benefit scheme) and the Local Welfare scheme (replacing the DWP Social Fund) were introduced from April 2013. Both of these changes have resulted in giving the Council greater discretion over their administration.</p>		
Consequences	<ul style="list-style-type: none"> • Reducing level of services across the Authority. • Adverse perception of the Authority. • Negative impact on reputation. • Potential political impact. 		
Controls	<ul style="list-style-type: none"> • The Council's budget for 2013/14 was agreed in February 2013. • Prioritisation of budget resource towards demand led budget areas within social care. • An indicative budget for 2014/15 was also agreed by the Council. • Budget and financial management information systems in place. • Regular (at least monthly) budget monitoring reports including a Council Tax and Business Rate projections. • Liaison with Valuation Office. 		

<ul style="list-style-type: none"> Government safety net will limit losses on business rates (Trafford's maximum liability in 2013/14 is £2.4m). Provisions maintained for anticipated costs of organisational change (employment rationalisation). Pro-active Treasury Management including regular updates and review by Members. Smoothing reserves established where necessary for such items as, Treasury Management to avoid changes in the external markets impacting on the budget, and to equalise the costs of the Waster Disposal PFI over the medium term. Minimum level of reserves established to provide short term cover for losses. 						
Risk Assessment	Likelihood	5	Impact	5	Exposure	25
RISK LEVEL			High Risk			
Risk Performance Indicators	<ul style="list-style-type: none"> Director of Finance monitoring Council's current year budget Regular (at least monthly) budget/ financial monitoring (Directorates) TPR monitoring transformation savings. Consideration of the likely position in 2015/16 has been re-assessed following the Government's spending plans released in June 2013. 					
Effectiveness of controls and performance indicators	3					
Improvement Actions (ref to action plans)	<ul style="list-style-type: none"> Will need to refresh MTFP Other options for savings being developed by Corporate Directors. 					
Person or Group Responsible for management of risk	Director of Finance					
Previous risk reviews completed:						
<ul style="list-style-type: none"> I Duncan, Director of Finance. April 2009; October 2009; February 2010; July 2010 and January 2011 I Kershaw, Head of Financial Management. August 2011 and January 2012. 						
Risk Review Date	September 2012	Completed By	Ian Duncan	Designation	Acting Corporate Director – T&R	
Risk Review Date	February 2013	Completed By	Ian Duncan	Designation	Director of Finance	
Risk Review Date	August 2013	Completed By	Dave Muggeridge	Designation	Finance Manager	

STRATEGIC RISK REGISTER 2013/14				Risk Number	5	
Corporate Priorities		Link(s) to Community Strategy Key Objectives	No specific link			
RISK	Availability of capital resources from sales of surplus assets and Government Grant to support the Capital Programme.					
Consequences	<ul style="list-style-type: none"> Reduction in ability to deliver capital improvement plans. 					
Controls	<ul style="list-style-type: none"> Capital programme and land sales programme reviewed on a quarterly basis and reported to the Executive, including an update on resource availability. Monitor generation of capital receipts. Review of capital expenditure plans accordingly – either continuing to proceed, flexing, rescheduling or postponing as appropriate. 					
Risk Assessment	Likelihood	3	Impact	3	Exposure	9
RISK LEVEL			Medium Risk			

Risk Performance Indicators	<ul style="list-style-type: none"> • Capital receipts. • Monitoring existing commitments. 				
Effectiveness of controls and performance indicators	4				
Improvement Actions (ref to action plans)	None proposed at present. Values set at realistic levels and some evidence of minor improvements, and new approaches introduced.				
Person or Group Responsible for management of risk	Director of Finance				
Previous risk reviews completed:					
<ul style="list-style-type: none"> • I Duncan, Director of Finance. April 2009; October 2009; February 2010; July 2010 and January 2011 • I Kershaw, Head of Financial Management. August 2011 • J Valentine, Head of Asset Management. January 2012, August 2012 and February 2013. 					
Risk Review Date	August 2013	Completed By	Dave Muggeridge	Designation	Finance Manager

STRATEGIC RISK REGISTER 2013/14				Risk Number	6	
Corporate Priorities	<ul style="list-style-type: none"> • Improving Health & Wellbeing • Low Council Tax • Value for Money 	Link(s) to Community Strategy Key Objectives	Health & Improved Quality of Life for All.			
RISK	Ability of partnership working with health to deliver joint objectives for vulnerable adults and older people and to improve health inequalities.					
Consequences	<ul style="list-style-type: none"> • Not meeting service objectives around key groups of people. • Spend is not best utilised/ limited value for money. • Could lead to reduced service/ support to vulnerable persons. 					
Controls	<ul style="list-style-type: none"> • Partnership Boards in place • Mechanisms in place to support decision-making and deliver governance • Regular leadership and oversight meetings with Council and NHS Chief Executives. • Leadership and engagement by relevant Chief Officers in respective fields. 					
Risk Assessment	Likelihood	3	Impact	4	Exposure	12
RISK LEVEL				Medium Risk		
Risk Performance Indicators	<ul style="list-style-type: none"> • Signing-off procedures on key agreements and arrangements • Delivery of health and wellbeing indicators 					
Effectiveness of controls and performance indicators	3 – There are forums in place which enable Adult Social Services and CCG commissioners to meet on a regular basis, to ensure the deliver of joint partnership objectives. The Health and Wellbeing Partnership Board has been set up and Public Health responsibilities have been successfully transferred. There are Boards in place to oversee the delivery of joint services e.g. the Mental Health Commissioning Partnership Group and the Integrated Community and Equipment Services Board. There is a positive relationship in place with Pennine Care, Trafford Community Health Provider, based on effective governance and strong partnership working.					
Improvement Actions (ref to action plans)	<ul style="list-style-type: none"> • Work with Health and Wellbeing Partnership to implement Health and Wellbeing Strategy. • Ensuring existing partnerships have governance arrangements in place that are fit for the future. 					

Person or Group Responsible for management of risk		Corporate Director CFW			
Previous risk reviews completed by:					
<ul style="list-style-type: none"> • D McNulty, Chief Executive. April 2009. • D Hanley, Deputy Director CWB. February 2010; July 2010 and January 2011. • J Walker, Performance & Partnerships Manager, August 2011 • D Wagstaff, Senior Business Relationship Partner. January 2012 					
Risk Review Date	August 2012	Completed By	Anne Higgins, Jo Wilmott, Jeremy Kay & Mark Grimes	Designation	CWB Senior Management Team
Risk Review Date	February 2013	Completed By	Deborah Brownlee, Linda Harper, Jo Willmott & Jeremy Kay	Designation	CWB Senior Management Team
Risk Review Date	August 2013	Completed By	Deborah Brownlee, Linda Harper, Jo Willmott & Jeremy Kay	Designation	CFW Senior Management Team

STRATEGIC RISK REGISTER 2013/14				Risk Number	7	
Corporate Priorities		<ul style="list-style-type: none"> • Children • Value for Money 	Link(s) to Community Strategy Key Objectives		Health & Improved Quality of Life for All	
RISK	Ability of partnership working to release resources with sufficient speed and execution to deliver joint objectives around children. Increased risk from role of National Commissioning Board (NCB) local area team as associate commissioner and lead funding agency for health visiting and some school nursing services.					
Consequences	<ul style="list-style-type: none"> • Not meeting service objectives around key groups of people. • Unable to deliver services to as many people as the Council ought to. • Spend is not best utilised/ limited value for money. • Could lead to reduced service/ support to vulnerable persons. 					
Controls	<ul style="list-style-type: none"> • Children's Trust Board • Joint Commissioning Management Board • Mechanisms in place to support decision-making and deliver governance. • Regular leadership and oversight meetings with Council and PCT Chief Executives. • Leadership and engagement by relevant Chief Officers in respective fields. 					
Risk Assessment	Likelihood	3	Impact	5	Exposure	15
RISK LEVEL				Medium Risk		
Risk Performance Indicators	<ul style="list-style-type: none"> • Children and Young Persons delivery plan • Signing-off procedures on key agreements and arrangements. 					
Effectiveness of controls and performance indicators	<ul style="list-style-type: none"> • Establishment of the Health and Well-Being Board for Trafford provide a governance structure supporting local planning, integrated strategic needs assessment and ensuring local accountability, promote integrity and partnership and review major service redesigns of health and wellbeing related services provided by the NHS and Local Government. • Strategic Partnership (Section 75) for CYPS Commissioning is being revised following the transition from the Primary Care Trust to Clinical Commissioning Group. This 					

	<p>agreement is on target for approval and implementation in October 2013.</p> <ul style="list-style-type: none"> • Provider Partnership Agreements signed on an interim basis with both CMFT and Bridgewater pending the outcome of tender exercise. • Community health services tender for CYPS and CAMHS completed and awarded to Pennine Care, successful transition. • Children's Trust Board receives quarterly performance indicator updates. • CTB successful in bidding for a range of project funding from the LAA reward grant to support partnership delivery of priorities. 				
Improvement Actions (ref to action plans)	<ul style="list-style-type: none"> • Work closely with CCG following the transfer of commissioning function to GP consortia and establish links with emerging bodies such as National Commissioning Board and Public Health England. • Work with the Director of Public Health to secure new arrangements for Public Health. • Ensuring existing partnerships have governance arrangements in place that are fit for the future. • Provider S75 agreement combined with Adult Services to create an all age integrated agreement. 				
Person or Group Responsible for management of risk			Corporate Director of CFW		
Previous risk reviews completed:					
<ul style="list-style-type: none"> • M Woodhouse, Interim Director CYPS. March and July 2010 • D Brownlee, Corporate Director CYP. January, April, July, September 2011, January 2012, August 2012 and February 2013 					
Risk Review Date	August 2013	Completed By	Deborah Brownlee	Designation	Corporate Director CFW

STRATEGIC RISK REGISTER 2013/14			Risk Number	8		
Corporate Priorities	Quality Care for Adults	Link(s) to Community Strategy Key Objectives	Health & Improved Quality of Life for All			
RISK	Demand for eligible services outstrips resources in adult social care.					
Consequences	<ul style="list-style-type: none"> • Overspend on budgets. • People do not receive services they are eligible for. 					
Controls	<ul style="list-style-type: none"> • Delivery of MTFP and in year savings. • Monitoring of budgets at SMT and service level. • Business Delivery Programme Board established to monitor and manage demand, performance and savings delivery • Business case portfolio in place • Resource allocation system introduced and embedded • Improvements made to re-ablement services/ embedding of telecare offer. • Improved performance data in place, to identify trends in take up of services. • Local business performance indicators developed 					
Risk Assessment	Likelihood	4	Impact	5	Exposure	20
RISK LEVEL			High Risk			
Risk Performance Indicators	<ul style="list-style-type: none"> • Budget monitoring. • Project monitoring. 					
Effectiveness of controls and performance indicators	4 – Delivery of savings is on target but demand for services is increasing and impacting on budget.					

Improvement Actions (ref to action plans)	<ul style="list-style-type: none"> • Work on delivering in year and future savings. • Implement austerity measures. • Improved performance data to identify trends in take-up of services. • Improved intelligence around take-up by potential service users. • Implement LD and mental health programmes 				
Person or Group Responsible for management of risk	Deputy Corporate Director CFW/ Director of Service Development, Adult and Community Services				
Previous risk reviews completed:					
<ul style="list-style-type: none"> • D Hanley, Director of Operations. April 2009; July 2010 and January 2011 • J Walker, Performance & Partnerships Manager. October 2009, February 2010 and August 2011 • D Wagstaff, Senior Business Relationship Partner. January 2012 					
Risk Review Date	August 2012	Completed By	Anne Higgins, Jo Willmott, Jeremy Kay & Mark Grimes	Designation	CWB Senior Management Team
Risk Review Date	February 2013	Completed By	Deborah Brownlee, Linda Harper, Jo Willmott & Jeremy Kay	Designation	CWB Senior Management Team
Risk Review Date	August 2013	Completed By	Deborah Brownlee, Linda Harper, Jo Willmott & Jeremy Kay	Designation	CFW Senior Management Team

STRATEGIC RISK REGISTER 2013/14				Risk Number	9	
Corporate Priorities	Quality Care for Adults	Link(s) to Community Strategy Key Objectives		<ul style="list-style-type: none"> •Strong Communities •Health & Improved Quality of Life for All 		
RISK	Failure of the Adult Safeguarding Service.					
Consequences	<ul style="list-style-type: none"> • Potential harm to vulnerable individuals. • Legal action against the Council. • Adverse impact on reputation. 					
Controls	<ul style="list-style-type: none"> • Updated Safeguarding strategy in place. • Discrete Safeguarding team. • Training provided to all key staff. • Working with a wide range of partners. • Robust management information and quarterly monitoring in place • Regular multi-agency safeguarding management meeting in place. 					
Risk Assessment	Likelihood	2	Impact	5	Exposure	10
RISK LEVEL			Medium Risk			
Risk Performance Indicators	<ul style="list-style-type: none"> • SMT reporting. • Reports to Safeguarding Board. 					
Effectiveness of controls and performance indicators	3					

Improvement Actions (ref to action plans)	<ul style="list-style-type: none"> • Multi-agency review re: extending safeguarding role and responsibilities underway. • Reports on safeguarding incidents, by individual provider, to be introduced. • Implement quality assurance arrangements. • Re-launch communications with public and partners. 				
Person or Group Responsible for management of risk	Deputy Corporate Director CFW/ Director of Service Development, Adult and Community Services				
Previous risk reviews completed:					
<ul style="list-style-type: none"> • D Hanley, Deputy Director CWB. April 2009; October 2009; July 2010 and January 2011 • J Walker, Performance & Partnerships Manager. February 2010 and August 2011 • D Wagstaff, Senior Business Relationship Partner. January 2012 					
Risk Review Date	August 2012	Completed By	Anne Higgins, Jo Willmott, Jeremy Kay & Mark Grimes	Designation	CWB Senior Management Team
Risk Review Date	February 2013	Completed By	Deborah Brownlee, Linda Harper, Jo Willmott & Jeremy Kay	Designation	CWB Senior Management Team
Risk Review Date	August 2013	Completed By	Deborah Brownlee, Linda Harper, Jo Willmott & Jeremy Kay	Designation	CFW Senior Management Team

STRATEGIC RISK REGISTER 2013/14				Risk Number	10	
Corporate Priorities	Value for Money	Link(s) to Community Strategy Key Objectives				
RISK	Breach of health and safety legislation leading to prosecution under the Corporate Manslaughter Act.					
Consequences	<ul style="list-style-type: none"> • Possible personal conviction of Officers and/ or Members. • Adverse impact on reputation. • Financial consequences of fines/ legal claims. 					
Controls	<ul style="list-style-type: none"> • Health and Safety policy. • Procedures in place to ensure legal compliance. • Risk assessments and safe systems of work. • Health and Safety Advisors aligned to each Directorate to provide expertise and support. • Member awareness. • Management training • Improved support to schools to be provided via SLA 					
Risk Assessment	Likelihood	2	Impact	5	Exposure	10
RISK LEVEL			Medium Risk			
Risk Performance Indicators	<ul style="list-style-type: none"> • Health and Safety team track all accidents/ near misses. • Six month report to CMT/ Executive and Annual Report to Council • Targets set for accident reduction • Corporate Health and Safety Improvement Plan 					
Effectiveness of	2					

controls and performance indicators					
Improvement Actions (ref to action plans)	<ul style="list-style-type: none"> • Delivery of work plan to implement recommendations from February 08 report. • Audit & Assurance to undertake a review of the Council's corporate health and safety arrangements. 				
Person or Group Responsible for management of risk	All				
Risk reviews completed:					
<ul style="list-style-type: none"> • G Pickering, Corporate Director PPD. April 2009 • P Valentine, IBU Manager. October 2009 • J Arnold, Health & Safety Manager. February 2010; July 2010, January 2011 and August 2011 					
Risk Review Date	August 2012	Completed By	C Hay	Designation	Workforce & Core Strategy Officer
Risk Review Date	February 2013	Completed By	J Arnold	Designation	Health & Safety Manager
Risk Review Date	September 2013	Completed By	J Arnold	Designation	Health & Safety Manager

STRATEGIC RISK REGISTER 2012/13			Risk Number	11		
Corporate Priorities	<ul style="list-style-type: none"> • A Cleaner, Greener Borough • Value for money • Low Council Tax 	Link(s) to Community Strategy Key Objectives	<ul style="list-style-type: none"> • Positive Environmental Impact • Better Homes • Strong Economy 			
RISK	Council does not agree, adopt and deliver carbon reduction targets.					
Consequences	<ul style="list-style-type: none"> • Financial consequences due to lack of CRC compliance • Reputation damage to the Council 					
Controls	<ul style="list-style-type: none"> • Key stakeholders engaged • Low Carbon Infrastructure Delivery Group established • The Energy and Water Management Plan • The Borough –wide Sustainability Strategy • E-technology monitoring tools being utilised 					
Risk Assessment	Likelihood	4	Impact	3	Exposure	12
RISK LEVEL			Medium Risk			
Risk Performance Indicators	<ul style="list-style-type: none"> • Delivery of the Energy and Water Management Plan • Delivery of the borough-wide Sustainability Strategy • Reporting compliance with CRC Energy Efficiency Scheme • Corporate Greenhouse Gas Emissions reporting data • Emissions data for the local authority area (published by DECC) 					
Effectiveness of controls and performance indicators	2					
Improvement Actions (ref to action plans)	<ul style="list-style-type: none"> • Review and update the corporate Energy and Water Management Plan • Review and update the borough-wide Sustainability Strategy and Action Plan • Implementation of continuous audit reviews and recommendations. 					
Person or Group Responsible for management of risk	EGP are primarily responsible for this risk supported by					

ETO					
Risk reviews completed: A Hunt, Sustainability Manager. September 2011 and January 2012, August 2012 and February 2013.					
Risk Review Date	August 2013	Completed By	A Hunt	Designation	Sustainability Manager

STRATEGIC RISK REGISTER 2013/14				Risk Number	12	
Corporate Priorities		<ul style="list-style-type: none"> Lower Council Tax and Value for Money. Quality Care for Adults 	Link(s) to Community Strategy Key Objectives		Health & Improved Quality of Life for All	
RISK		Statutory targets relating to Adult Social Care services are not met.				
Consequences		<ul style="list-style-type: none"> Services fail. Adverse impact on Council's reputation. Failure to meet personalisation agenda 				
Controls		<ul style="list-style-type: none"> Performance management framework in place (now also captures PCT information). Established data flows on statutory/ national indicators and performance indicators. Monitoring in place within service – a range of weekly, monthly and quarterly reports overseen by Business Delivery Board and reported through to SMT Mental Health Trust engaged through Partnership meetings. 				
Risk Assessment	Likelihood	4	Impact	3	Exposure	12
RISK LEVEL			Medium Risk			
Risk Performance Indicators		<ul style="list-style-type: none"> Performance monitored against national and local performance indicators as per Directorate Performance framework. Action plans implemented, where appropriate, against underperforming targets. 				
Effectiveness of controls and performance indicators		3 – Effective governance provided by Adult Social care Business Delivery Board.				
Improvement Actions (ref to action plans)		Ensure the roll out of the new operating model continues to address key personalisation performance indicators.				
Person or Group Responsible for management of risk			Performance Manager/ Senior Business Relationship Partner (CWB)			
Risk reviews completed:						
<ul style="list-style-type: none"> J Walker, Performance & Partnerships Manager. April 2009; October 2009; February 2010; July 2010, January 2011 and August 2011 D Wagstaff, Senior Business Relationship Partner. August 2011 and January 2012 						
Risk Review Date	August 2012	Completed By	Anne Higgins, Jo Willmott, Jeremy Kay & Mark Grimes	Designation	CWB Senior Management Team	
Risk Review Date	February 2013	Completed By	Deborah Brownlee, Linda Harper, Jo Willmott & Jeremy Kay	Designation	CWB Senior Management Team	
Risk Review Date	August 2013	Completed By	Deborah Brownlee, Linda Harper, Jo Willmott &	Designation	CFW Senior Management Team	

			Jeremy Kay	
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STRATEGIC RISK REGISTER 2013/14				Risk Number		13	
Corporate Priorities		Quality Care for Adults	Link(s) to Community Strategy Key Objectives		Health & Improved Quality of Life for All		
RISK		Major event leading to inability to deliver critical services to vulnerable people.					
Consequences		<ul style="list-style-type: none"> • Interruption to service provision to vulnerable people. • Financial loss to the organisation. 					
Controls		<ul style="list-style-type: none"> • Business continuity plans under development within Directorate with supporting action plans actively monitored. • Plan development with providers. 					
Risk Assessment	Likelihood	3	Impact	3	Exposure	9	
RISK LEVEL				Medium Risk			
Risk Performance Indicators		Action plan to develop business continuity plans monitored.					
Effectiveness of controls and performance indicators		2 – Full suite of business continuity plans in place.					
Improvement Actions (ref to action plans)		<ul style="list-style-type: none"> • Complete process of establishing business continuity plans • Establish programme for testing plans 					
Person or Group Responsible for management of risk				Deputy Corporate Director CFW/ Director of Service Development, Adult and Community Services			
Previous risk reviews completed:							
<ul style="list-style-type: none"> • D Hanley, Deputy Director CWB. April 2009; July 2010 and January 2011 • J Walker, Performance & Partnerships Manager. October 2009, February 2010 and August 2011 • D Wagstaff, Senior Business Relationship Partner. January 2012 							
Risk Review Date	August 2012	Completed By	Anne Higgins, Jo Willmott, Jeremy Kay & Mark Grimes	Designation	CWB Senior Management Team		
Risk Review Date	February 2013	Completed By	Deborah Brownlee, Linda Harper, Jo Willmott & Jeremy Kay	Designation	CWB Senior Management Team		
Risk Review Date	August 2013	Completed By	Deborah Brownlee, Linda Harper, Jo Willmott & Jeremy Kay	Designation	CFW Senior Management Team		

STRATEGIC RISK REGISTER 2013/14				Risk Number		14	
Corporate Priorities		All	Link(s) to Community Strategy Key Objectives		<ul style="list-style-type: none"> • Health & Improved Quality of Life for All • Better Homes • Positive Environmental Impact • Strong Economy 		
RISK		Failure to complete the Business Continuity (BC) Programme Project, resulting in					

		an increased risk that the Council fails to deliver Council services in the event of significant disruption.					
Consequences		<ul style="list-style-type: none"> • Failure to meet requirements of the Civil Contingencies Act, good practice and Use of Resources Assessment criteria • Failure to have sufficient plans in place at a service and corporate level to respond effectively to local and widespread disruption, including that caused by emergencies • Failure to continue the delivery of critical Council services including those vital to human welfare during disruption 					
Controls		<ul style="list-style-type: none"> • Set of templates and guidelines in place to guide service business continuity planning • Performance Business Partners have responsibility to support Directorates to review plans on an annual basis • Council wide Civil Contingencies Steering Group in place to plan testing of plans and to monitor the effectiveness of the plans 					
Risk Assessment	Likelihood	3	Impact	4	Exposure	12	
RISK LEVEL			Medium Risk				
Risk Performance Indicators		<ul style="list-style-type: none"> • All services to have a Business Continuity Plan • Testing programme in place with review periods linked to risk • Corporate BC Plan to be produced • Service level and Corporate Business Continuity Plans to be tested. 					
Effectiveness of controls and performance indicators		2					
Improvement Actions (ref to action plans)		<ul style="list-style-type: none"> • Testing plan to be developed by the Local Resilience Forum by April 2013 • Many plans have been indirectly tested as a result of the comprehensive Olympics testing programme • Business Impact Analysis documents are in the process of being updated 					
Person or Group Responsible for management of risk			Jayne Stephenson				
Previous risk reviews completed:							
<ul style="list-style-type: none"> • A Harrison, Temporary Business Continuity Lead. February 2010; May 2010; July 2010 and January 2011. • J Stephenson, Head of Partnerships & Performance. August 2011, August 2012 and February 2013 							
Risk Review Date	August 2013	Completed By	J Stephenson	Designation	Head of Partnerships & Performance		

STRATEGIC RISK REGISTER 2013/14			Risk Number	15
Corporate Priorities	Preserving and Improving Educational Excellence	Link(s) to Community Strategy Key Objectives	Bright Futures	
RISK	Financial and other implication as a result of coalition Government policy to fast track initially “outstanding” schools and then all other schools to academy status.			
Consequences	<ul style="list-style-type: none"> • Significant reduction in Dedicated Schools Grant. • Possible reduction in “buy back” arrangements of school services – loss of income. • Possible reduction in purchase of authority wide service contracts e.g. Payroll, Grounds Maintenance, Buildings Maintenance, Legal, Audit, Insurance etc. • Human Resource implications – if we no longer provide services to a substantial number of schools then will not need to maintain (or be able to afford) current staffing levels – unless we substantially increase costs to other schools. • All good and outstanding schools are eligible for independent Academy Status. All 			

	satisfactory schools may convert to Academy Status with good/ outstanding sponsor. • Underperforming schools will be compelled to convert as part of an Academy chain.					
Controls	Monitoring the position of schools who have expressed an interest.					
Risk Assessment	Likelihood	5	Impact	3	Exposure	15
RISK LEVEL			Medium Risk			
Risk Performance Indicators	<ul style="list-style-type: none"> • Twelve secondary and five primary schools have Academy Status. • A number of other secondary schools are giving serious consideration to conversion. • There is a very low level of interest in primary schools although it is anticipated that this will accelerate in the next year. Numbers under constant review. The DfE has indicated that any school judged (by Ofsted) to be inadequate should become a sponsored academy as soon as possible. • Working relationships with schools that have converted to Academy status remain excellent. 					
Effectiveness of controls and performance indicators	<ul style="list-style-type: none"> • SLA improvement programme in place. • Dialogue and review of SLAs agreed for 2013/14 has commenced feedback from schools and has been positive to date and School Improvement Services has achieved buy back of £120,000. • Programme of regular meetings with Academy principles to ensure effective partnership working continue to take place. • Academies have become members of the Schools Joint Negotiating Committee. • Academy schools are represented on the School Funding Forum. 					
Improvement Actions (ref to action plans)	<ul style="list-style-type: none"> • To continue to offer value for money service level agreements to schools who become Academy Status. • To monitor closely the position regarding status of schools that currently have expressed and interest and to work with the Headteacher and Governing Bodies. • To continue the programme of meeting with Senior Officers. 					
Person or Group Responsible for management of risk	Corporate Director CFW/ Director of Finance					
Previous risk reviews completed:						
<ul style="list-style-type: none"> • M Woodhouse, Interim Corporate Director CYPS. July 2010 • D Brownlee, Corporate Director CYPS. January April, July, September 2011, January 2012, August 2012 and February 2013 						
Risk Review Date	August 2013	Completed By	Deborah Brownlee	Designation	Corporate Director CFW	

STRATEGIC RISK REGISTER 2013/14			Risk Number	16
Corporate Priorities	Improving Health & Wellbeing	Link(s) to Community Strategy Key Objectives	Health & Improved Quality of Life for all	
RISK	Adult Social Care Budget 2013/14: Ability to implement wide range of savings proposals in the current economic conditions.			
Consequences	<ul style="list-style-type: none"> • Difficulty of implementing wide range of budget savings proposals destabilises provision with potential that people may not receive the services they are eligible for. • Not delivering budget savings within agreed timescales leading to an overspend. • Potential risk to destabilising the social care market in Trafford arising from implementing wide range of budget savings proposals 			
Controls	<ul style="list-style-type: none"> • Regular monitoring of budget at SMT and service level. • Robust plans for implementation of budget savings proposals. • Business Delivery Programme Board to monitor and manage savings delivery. 			

	<ul style="list-style-type: none"> • Performance data in place to identify trends in take up of service. • Market management and intelligence role of CWB commissioning officers. 				
Likelihood	3	Impact	5	Exposure	15
RISK LEVEL			Medium Risk		
Risk Performance Indicators	<ul style="list-style-type: none"> • Budget monitoring. • SLT reporting. • Business Delivery Programme Board's role in monitoring and managing savings proposals delivery. 				
Effectiveness of controls and performance indicators	<p>3</p> <ul style="list-style-type: none"> • Each proposal has agreed business case and risk rating. • Consultation exercise was completed. • Budget savings proposals being closely monitored. • Performance data being collected on an on going basis. • 100% of savings proposals delivered. 				
Improvement Actions (ref to action plans)					
Person or Group Responsible for management of risk	Corporate Director CFW				
Previous risk reviews completed:					
<ul style="list-style-type: none"> • J Kay, Finance Manager and D Wagstaff, Senior Business Relationship Partner. March 2012 					
Risk Review Date	August 2012	Completed By	Anne Higgins, Jo Willmott, Jeremy Kay & Mark Grimes	Designation	CWB Senior Management Team
Risk Review Date	February 2013	Completed By	Deborah Brownlee, Linda Harper, Jo Willmott & Jeremy Kay	Designation	CWB Senior Management Team
Risk Review Date	August 2013	Completed By	Deborah Brownlee, Linda Harper, Jo Willmott & Jeremy Kay	Designation	CFW Senior Management Team

STRATEGIC RISK REGISTER 2013/14			Risk Number	17		
Corporate Priorities	<ul style="list-style-type: none"> • Low Council Tax and Value for Money • Economic Growth and Development 	Link(s) to Community Strategy Key Objectives	<ul style="list-style-type: none"> • Positive Environmental Impact 			
RISK	Inability to meet Trafford residents' requests to have burials within the local area due to insufficient land.					
Consequences	<ul style="list-style-type: none"> • Impact on MTFP • Reputational damage to the Council • Council does not acquire the required additional burial land. 					
Controls	<ul style="list-style-type: none"> • On-going negotiations to acquire new land • Effective project management of land acquisition and development • Capital monies available for purchase 					
Risk Assessment	Likelihood	4	Impact	4	Exposure	16
RISK LEVEL			High Risk			
Risk Performance	<ul style="list-style-type: none"> • Compliance with project deadlines for land acquisition (to be established) 					

Indicators	<ul style="list-style-type: none"> • Compliance with development plan deadlines (to be established) • Monitor available burial space in all Council cemeteries 				
Effectiveness of controls and performance indicators	2				
Improvement Actions (ref to action plans)	<ul style="list-style-type: none"> • Re-establish project team and review membership • Review land acquisition project plan and deadlines • Review site development plan and deadlines • Engage with Planning to establish necessary permissions for development • Increase capital monies available for purchase. 				
Person or Group Responsible for management of risk			ETO supported by EGP		
Risk Review Date	August 2013	Completed By	Phil Valentine	Designation	Environment Strategic Business Manager

STRATEGIC RISK REGISTER 2013/14			Risk Number	18	
Corporate Priorities	Reshaping Trafford Council	Link(s) to Community Strategy Key Objectives	Strong Communities SC3 Increased overall satisfaction with services in all communities		
RISK	The Council website is not easily accessible, services are unable to update information or provide service responses fast enough through digital challenges to meet customer expectations. Other channels of communication – face to face, telephone and Member’s surgeries - gain increased numbers of requests due to reliability issues around digital channels.				
Consequences	<ul style="list-style-type: none"> • Up to date information about how to access Trafford services via channels residents’ prefer is not available. • Costs around access to information and services are higher than necessary and customers are less satisfied because the process is not as easy as it should be. 				
Controls	The new Customer Strategy and Communication Strategy will work together to identify customer preferences within Trafford, and put systems, support and staffing in place to meet those needs, allowing easy, self-service to information and services 24/7.				
Likelihood	3	Impact	4	Exposure	12
RISK LEVEL			Medium Risk		
Risk Performance Indicators	<ul style="list-style-type: none"> • Consultation provides up to date information about residents preferences. • Customer and Communication strategies developed in line with customer preferences, support reduction in avoidable contact and any future changes to how services are delivered. • Customer and Communication systems, staffing and support are in place to deliver the actions plans from those strategies. • Successful delivery of new Content Management System (CMS). CMS meets the needs of Trafford Council, including successful links to partner organisations that are responsible for service delivery now and in the future. 				
Effectiveness of controls and performance indicators	<ul style="list-style-type: none"> • Delivery of Customer Strategy - Customer Service Board. • Ongoing review of CMS Project to ensure delivery – Sarah Curran • Additional strategic communication support to develop and deliver a Communications Strategy and plans linked to priorities, including the Customer Strategy – Lynda Fothergill 				

Improvement Actions (ref to action plans)						<ul style="list-style-type: none"> • Ensure strong linkages between the Customer Strategy, CMS and Communications Strategy. • Develop Communication action plans linked to Council priorities (link to actions plans). Most will include communication. Ensure we develop a more proactive approach with more planning by services allowing the opportunity to plan communication according to priorities – meet customer requirements, use communication methods that residents use – more digital, less print. Deliver value for money • New website design and content editing and update by services across the Council is on track for launch on 1 October 2013.
Person or Group Responsible for management of risk			Customer Service Board CMS Project Interim Marketing and Communications Manager and Communications Team			
Risk Review Date	September 2013	Completed By	Lynda Fothergill and Communications	Designation	Interim Marketing and Communications Manager	

STRATEGIC RISK REGISTER 2013/14				Risk Number	19
Corporate Priorities		Link(s) to Community Strategy Key Objectives			
RISK	<u>Impact and implementation of the Care Bill.</u> The Care Bill was published in May 2013 and outlines new duties and responsibilities for Local Authorities, building on the Governments “Caring for our Future” White paper, published last year. Key elements include new rights for carers to assessment and support, national eligibility threshold for care and support, a cap on the costs that people will have to pay for care, financial protection for those with modest wealth , deferred payment agreements, Local Authority responsibility for preventative services and the provision of information and a duty to carry out needs assessments.				
Consequences	<ul style="list-style-type: none"> • Increased financial pressure due to cost cap and increased responsibilities • Increased demand on already stretched capacity due to increased responsibility for assessment and developing of care accounts for all residents requiring care • Potential reputational damage through failure to meet changed responsibilities and duties 				
Controls	<ul style="list-style-type: none"> • The Bill is currently subject to consultation and Trafford Council are drafting a response and linking in with National and regional networks • Adult Social Care Business Delivery Board providing overview and scrutiny role in relation to preparations and readiness. 				
Likelihood	5	Impact	3	Exposure	15
RISK LEVEL			Medium Risk		
Risk Performance Indicators					
Effectiveness of controls and performance indicators	This is a new risk which will be closely monitored. An action plan has already been developed to ensure business readiness				
Improvement Actions (ref to action plans)					
Person or Group Responsible for management of			Adult Social Care Business Delivery Board		

risk					
Risk Review Date	August 2013	Completed By	Deborah Brownlee	Designation	Corporate Director CFW