

## TRAFFORD COUNCIL

**Report to:** Accounts and Audit Committee  
**Date:** 25 November 2021  
**Report for:** Discussion  
**Report of:** Audit and Assurance Manager

### Report Title

**Strategic Risk Register 2021/22 (November 2021 update)**

### Summary

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

### Recommendation

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

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

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### **Background Papers:**

None

## **1. INTRODUCTION**

- 1.1 The Council's Strategic Risk Register (SRR) contains the strategic risks the Council is likely to face in achieving its high level corporate objectives.
- 1.2 In accordance with the Council's Risk Management Policy, the Corporate Leadership Team (CLT) provides regular periodic updates on the strategic risk environment and in particular performance in managing the specific risks incorporated within the SRR.
- 1.3 This report is based on information provided by risk owners in October/November 2021 for each risk unless otherwise stated.

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

- 2.1 The Audit & Assurance Service liaises with CLT and senior managers to agree the risks to be included in the strategic risk register and provide updates on risks under their remit.
- 2.2 This report contains an update on each of the strategic risks, including recent developments relating to the risks and progress made in managing each risk.
- 2.3 There has been an increase in risk score for one of the risks since the previous strategic risk update report: Risk 1 – Medium Term Financial Position which shows an increase from a risk score of 20 (High) to 25 (High) since July 2021. Details relating to the risk are shown in Section 3.
- 2.4 The risk charts in section 2.6 show an analysis of the current strategic risks. The charts analyse the levels of risk exposure in terms of impact and likelihood. The number of strategic risks for each risk level is shown. There are currently 15 strategic risks. For each risk, set out in Section 3, this includes the relevant Executive Portfolio and Service Directorate.
- 2.5 A further update on the Council's strategic risks will be reported to the Accounts and Audit Committee in the final quarter of 2021/22.

2.6 **Comparison of Risk Levels July 2021 and November 2021**

**IMPACT** **Risk Levels – July 2021**

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

**LIKELIHOOD**

**IMPACT** **Risk Levels – November 2021**

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

**LIKELIHOOD**

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

### 3. Strategic Risks (November 2021)

Red	Amber	Green
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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 (3)	Continuing uncertainty regarding the Council's medium term financial position given the reliance that exists on support from Central Government, cost pressures within the existing budget and major changes that are planned concerning the reform of local government funding (Fair Funding) and the review of the business rate retention system with a planned full reset of business rate baselines originally expected from April 2021 now delayed until possibly 2024/25 (Finance & Systems /	5	5	25 High	↑ Increase in risk	<p><b>2021/2022 Budget Position</b></p> <p>The latest period monitoring for 2021/22 (Period 6) is forecasting an outturn pressure of £2.42m largely associated with a shortfall in the budgeted savings programme and increases in demand in Children's and Adults. This figure also includes the release of substantial contingency items set aside to accommodate in year demand pressures.</p> <p>A sizeable savings programme of £11.93m was included in the 2021/22 budget of which £2.9m is forecast not to be achieved. The consequences of this shortfall will not only impact on the current financial year but will cascade into 2022/23 should they continue not to be met.</p> <p>A range of mitigating actions are in progress to reduce the estimated outturn pressure and these include discussions with Greater Manchester Combined Authority regarding the Business Rate growth pilot sharing agreement, a review of reserves, more frequent reviews of performance of the savings programme by CLT and a review of all non-essential spend.</p> <p><b>MTFS 2022/2027 and Budget 2022/23</b></p> <p>In October 2021 the Executive approved the updated 5 year budget strategy proposals including the draft revenue budget proposals for 2022/23 and the Medium Term Financial Strategy (MTFS) for the period 2023/27.</p> <p>The key summary of figures for the revenue budget, based on current estimates at the time were :</p> <ul style="list-style-type: none"> <li>• The budget gap for the five years before applying any of the draft budget proposals is estimated to be £61.51m comprising:</li> </ul>

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	Finance and Governance).					<ul style="list-style-type: none"> <li>○ £54.41m of business as usual expenditure and funding pressures</li> <li>○ £7.10m of COVID-19 pressures</li> </ul> <ul style="list-style-type: none"> <li>• For 2022/23. There is a gross budget gap of £21.752m consisting of £7.1m COVID-19 pressures and £14.7m BAU.</li> <li>• Plans to close the gap in 2022/23 consist of the one-off use of reserves to cover the impact of the Covid-19 related pressures of £7.1m with the business as usual pressures being addressed by £4.5m additional funding from Council Tax, and £5.5m income generation and savings proposals.</li> <li>• <b>This position already assumes a significant use of earmarked reserves, a position which cannot be replicated in future years due to the limited levels of reserves available to the Council.</b> Therefore, at this stage, a wide range of other budget proposals are under consideration to help bridge the remaining gap for 2022/23 and later years. The remaining gap is £4.65m and priority will be given to closing this before the final budget proposals are presented. A potential list of further opportunities for savings have been identified and will be explored further.</li> <li>• The risks posed by a downturn in the wider economy and the longer term impact of the pandemic will affect both service demand and potentially all of our major sources of income such as the Asset Investment Strategy, Business Rates and Council Tax. Many of these risks are usually managed within our earmarked reserve balances and as part of our obligations to set a balanced and robust budget, we will be reviewing in detail the levels of reserves before the final budget is agreed.</li> </ul> <p>The figures above are currently being refreshed to take account of the outcome of the October</p>

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						<p>2021 Spending Review but more detail is awaited when the Local Government Provisional Financial Settlement is announced in December 2021. The impact of the increases in inflation, National Living Wage and National Insurance Social Care Levy will need to be considered.</p> <p>Income from Strategic Investments of £7.6m is included in the budget, including £3.0m of anticipated income from recirculating previous investments which have been repaid. Due to the magnitude of the income anticipated from our strategic investments, a separate item has been included in the SRR.</p> <p><b>Impact of the Covid-19 pandemic</b> The outbreak of the virus during 2020/21 had significant and far reaching implications on the Council and the way it has delivered its services during the response phase and how it will deliver them in the recovery phase.</p> <p>The impact has been felt across all Council services, which has placed a burden on expenditure, reduced income streams from fees and charges and impacted funding from council tax and business rates. The 2021/22 and 2022/23 budget included resources of £15.4m to address a number of anticipated ongoing COVID-19 pressures. Pressures continue to be monitored as part of the regular bi-monthly monitoring alongside business as usual activity.</p> <p>The forecasting of the ongoing impact of Covid is challenging given the long term consequences on many aspects of the Council's operations. Regular impact returns continue to be submitted to central government. No further resource relating to the impact of COVID-19 after 2022/23 was announced by the Government in the recent Spending Review (SR21) for the period 2022 to 2024.</p> <p>The demand in children's and adults social care, continues to be monitored carefully to identify the potential for latent demand within the system which was anticipated to be felt over the short to medium term. There continues to be a high level</p>

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						<p>of uncertainty regarding the wider economic impact and how this will particularly affect business rates income although the SR21 announced further relief support for certain businesses to reduce the risk of a shortfall in income.</p> <p>The long term impact of the pandemic remains a significant risk for the Council in future years. The Council utilised its favourable outturn in 2020/21 and general COVID-19 support grants to bolster its COVID-19, Budget Support Reserves and specific earmarked reserves.</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.</p> <p><u>Risk Mitigation</u></p> <p>The key activities below provide a further level of risk mitigation</p> <ul style="list-style-type: none"> <li>• Introduction of more streamlined and focussed budget monitoring to the Executive on a bi-monthly basis. High risk areas of the budget continue to be monitored on a monthly basis.</li> <li>• Savings areas for 2021/22 and 2022/23 (draft) have/will be subject to public, staff and business consultation, equality impact assessment where necessary and a rigorous business case development and robustness review. Variations in both resource levels and savings are reviewed regularly for CLT and Executive to take remedial action. A review of all savings programmes is included in regular budget monitoring reports presented to CLT and the Executive.</li> <li>• The Council reviews its levels of reserves on a regular basis throughout the year (closedown, draft budget and final budget). This exercise has enabled the bolstering of those reserves (Budget</li> </ul>

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						<p>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.</p> <ul style="list-style-type: none"> <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> <li>The impact of the pandemic is likely to be felt over many years and as such, in the preparation of our next budget round, the timescales of our Medium Term Strategy have been extended from a three year to a five year window. This foresight will allow the risks associated with such items as our commercial and strategic income to be considered and give sufficient flexibility and time to adapt given the levels of uncertainty.</li> <li>Engagement with Greater Manchester Combined Authority to review GM wide commitments seeking reprioritisation of uncommitted resource.</li> </ul>
2 (1)	Significant disruption as a consequence of the COVID-19 outbreak (Authority-Wide)	5	4	20 High	↔ No change	<p>The Council is continuing to work to the GM Pandemic Strategic Response Plan in preparing a coordinated response to the COVID-19 outbreaks in Trafford. The governance arrangements have been set up with the Recovery Coordinating Group Chaired by the Chief Executive of the Council. This acts at the gold command level.</p> <p>Two boards are in place. A Health Protection Board, chaired by Eleanor Roaf (DPH) and a Public Engagement Board, now chaired by Cllr Freeman</p> <p>Six Silver level thematic groups are meeting bi-weekly chaired by Corporate Directors:</p>



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						<ul style="list-style-type: none"> <li>• Adults Health and Social Care, Chaired by Diane Eaton</li> <li>• Children's Health and Social Care and Education Chaired by Jill McGregor</li> <li>• Infrastructure &amp; Economy – Chaired by Richard Roe</li> <li>• Infrastructure, Environment and Physical Activity – Chaired by Richard Roe</li> <li>• Staffing Digital and Modernisation chaired by Dianne Geary</li> <li>• Resourcing – Chaired by Angela Beadsworth</li> </ul> <p>Terms of reference have been established for all the groups with the key areas that each group will oversee and provide assurance that these critical areas are being addressed. A number of sub groups / and time limited task groups have been established.</p> <p>The silver groups report monthly on progress and risk management. The frequency of meetings and reporting is monitored regularly.</p> <p>Additional resources have also been recruited to support the delivery of the recovery activity; reporting through The Health Protection Board</p> <p>There has been an ongoing communication programme for residents, staff and partners. New HR arrangements have been issued to staff to facilitate home working. ICT capacity has been enhanced through an increase in VPN licences. Directorates have updated their business continuity plans to focus on critical services. Major changes have been implemented to working practices to ensure that all staff whose job role allows them to work from home are able to do so. A range of programmes to support residents and businesses to mitigate economic impact have been introduced.</p> <p>The Health and Social Care Group has progressed both strategic and operational work providing support to Care Homes, Direct Payments services, Home Care, Drug and Alcohol services and Domestic Abuse and, training for care providers. Commissioners have sought assurance of business continuity from all</p>

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						<p>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>Plans for returning to the office progress to ensure colleagues return to a safe environment and staff returning to the Town Hall and Sale Waterside has increased However whilst rates of infection in Trafford remain high staff are still encouraged to work from home wherever possible avoid face to face meetings unless business critical to do so.</p> <p>The vaccination programme continues, led by the CCG, and while uptake is excellent overall, there are inequalities emerging within this, which we are working to address.</p> <p>The neighbourhood based community engagement team continues to work in localities on community engagement and behaviour change, and vaccination uptake in relation to COVID.</p>
3 (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>

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						<p>Climate Change can be addressed firstly through adaption (as it is already occurring) - actions designed to promote greater resilience to more extreme weather events. Secondly it can be addressed through mitigation – actions that are intended to slow or avoid the more severe climatic impacts. These are primarily focussed on reductions in local Carbon Emissions.</p> <p>To progress these matters the Council has prepared a draft Carbon Neutral Action Plan as a means of establishing actions to reduce emissions in Trafford. These will contribute to wider Low Carbon targets across Greater Manchester – and ultimately the UK as part of the National 25 year Environment Plan. The Trafford Air Quality and Climate Change Commission is now well established – and a new performance tool is managing progress. Activity is now focussed on businesses, which account for a significant portion of emissions – and most especially SME's. New staff have been recruited through 2021 and are now in post – thus improving the Council's overall capacity to address the issue.</p>
4	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	4	5	20 High	↔ No change	<p>Although there is an overarching risk score of 20 (High), this is made up of a number of constituent risks which make up the overall score i.e.</p> <ul style="list-style-type: none"> <li>• Records Management – 20 <b>High</b></li> <li>• Subject Access Requests (SAR) – 5 <b>Low</b></li> <li>• Freedom of Information (FOI) / Environmental Information Regulations (EIR) – 20 <b>High</b></li> <li>• Data Breaches – 15 <b>Medium</b></li> <li>• Data Security Protection Toolkit – 20 <b>High</b></li> </ul> <p><b><u>Records Management</u></b></p> <p>A review of the Council's record management position has been undertaken with a view to identifying work streams and potential solutions. An options paper is being compiled which will set out recommended strategies around the following themes:</p> <ul style="list-style-type: none"> <li>• Retention Schedule: Commit to an update of current subscription OR commence work internally on producing a bespoke Trafford</li> </ul>

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	<p>policies and procedures. The following areas of risk have been identified:</p> <ul style="list-style-type: none"> <li>• Compliance risks</li> <li>• SAR delays</li> <li>• FOI compliance</li> <li>• Data breaches</li> <li>• Mandatory Training</li> </ul> <p>(Governance &amp; Community Strategy / Finance and Governance)</p>					<p>Council records and retention schedule OR commission an external records management expert to producing a bespoke Trafford Council records and retention schedule.</p> <ul style="list-style-type: none"> <li>• Offsite Storage: The Council's current offsite storage contract has been reviewed and a re-tendering exercise has been initiated to ensure VfM and attainment of fiduciary duties.</li> <li>• Hard Copy Files: An assessment of the Council's handling and storage of hard copy records had been underway but was paused as a result of the pandemic. The pandemic has altered the way in which employees are working. A further assessment will now be undertaken to explore the position and present recommendations around data cleansing and hard copy protocols.</li> <li>• Email management: recommendations regarding email management will be developed alongside IT colleagues.</li> </ul> <p><b><u>Subject Access Requests (SAR)</u></b></p> <p>The Information Commissioners Office (ICO) had expressed concerns that the Council was failing to adhere to statutory deadlines in the processing of subject access requests (SAR's) subject to UK GDPR.</p> <ul style="list-style-type: none"> <li>• SAR processing is an issue for most LAs across the UK and has resulted in an increase in complaints made to the ICO.</li> <li>• The Council responded by securing additional resource and establishing a task and finish group to address the issue.</li> <li>• As of January 2021, the Council had a backlog of approx. 149 SAR cases, with an average of 15 new cases being received each month. The IG team were processing an average of 7-10 SAR cases per month.</li> <li>• As of October 2021, the Council's backlog SAR cases has been reduced to 14, with an average of 27 SAR cases being processed by the IG team per month.</li> <li>• The IG team have also reduced the number of cases which exceeded the statutory response</li> </ul>

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						<p>timescales from 104 in September 2020 to 21 in September 2021.</p> <ul style="list-style-type: none"> <li>The ICO has been informed of the progress that has been made to date and the Council has now been formally notified that we will no longer be subject to inspection.</li> <li>Furthermore, the ICO have asked the Council to act as an exemplar to other LA's in sharing knowledge and approach to the processing of SAR's and how to tackle case backlogs.</li> <li>Work to continue improving SAR processes will continue.</li> </ul> <p><b><u>Freedom of Information (FOI)/ Environmental Information Regulations (EIR)</u></b></p> <ul style="list-style-type: none"> <li>The average compliance rate to date has been steadily decreasing month by month, reaching a rate of 41% (responded to within 20 working days) in September 2021. The target compliance rate (and ICO expectation) is 90%.</li> <li>Initial assessment of this performance shortfall has been undertaken with some immediate actions identified and work will continue to determine solutions both in the near term and longer term.</li> <li>Identified actions: Targeted collaboration with teams where delays are being experienced; Rota system implemented across the IG team to improve processing; Reporting mechanisms reviewed; Refocus of resource from SAR cases to FOIs.</li> </ul> <p><b><u>Data Breaches</u></b></p> <p>Position Statement:</p> <ul style="list-style-type: none"> <li>Since April 2021 to 6th October 2021, the Information Governance Team has received reports of 40 data breach incidents for investigation</li> <li>The most common types of data breach are: <ul style="list-style-type: none"> <li>Email sent in error to wrong recipient.</li> <li>Letter posted to wrong recipient.</li> <li>Error in redaction of information.</li> <li>Excessive information shared with professionals by email.</li> </ul> </li> </ul>

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						<ul style="list-style-type: none"> <li>- Documents left on office printers.</li> <li>- Documents lost to theft/burglary at employees home.</li> <li>- Lost information.</li> <li>- IT system glitches.</li> <li>• The majority of the cases logged at Severity level 3 were found to have risks mitigated through appropriate and timely measures taken and no risks were posed to the rights and freedom of affected individuals.</li> </ul> <p>The Head of Governance is leading an ongoing review to improve processing and awareness of data incidents:</p> <ul style="list-style-type: none"> <li>- Interim processes which have already been embedded across the IG Service are being developed further to determine more substantive permanent mechanisms of reporting, - Incident reviews and decision making across the process: <ul style="list-style-type: none"> <li>➤ IG team have weekly meetings with IG Officers to triage new data incidents. Enables more serious incidents to be progressed on an urgent basis. Ensures Incidents are allocated promptly for investigation.</li> </ul> </li> <li>- There remains a risk from delayed oversight of data incidents, poor quality reporting and lack of accountability for reporting and recommendation implementation</li> <li>- As previously identified by internal audit the biggest issue to be addressed is “Squaring the circle” and ensuring that the IG Team’s recommendations are fully implemented – work ongoing to identify solutions: <ul style="list-style-type: none"> <li>➤ Recommendations are being reviewed to ensure that they are both practical and effective and to ensure that implementation and success can be measured</li> <li>➤ Recommendations will be reviewed to ensure that they are tailored to common types of</li> </ul> </li> </ul>

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						<p>breaches. The common types of breaches have been evolved somewhat as a result of the pandemic and remote working</p> <ul style="list-style-type: none"> <li>- A system to capture data around data incidents is now in place which will inform smarter reporting and increase transparency: <ul style="list-style-type: none"> <li>➤ There is a correlation between training take up and number of breaches originating from specific areas.</li> <li>➤ Actions are being developed to secure commitment from the senior levels across target Directorates to ensure that data protection training is made a priority within agreed timescales.</li> </ul> </li> </ul> <p>Together, the above issues raise the following risks – legal/regulatory (non-compliance with legal requirements), reputational, financial, adverse publicity.</p> <p><b><u>Data Security Protection Toolkit</u></b></p> <ul style="list-style-type: none"> <li>• This an annual piece of work that requires the Council to demonstrate that it is fully compliant with the minimum data protection standards in order to access and process information from NHS Digital.</li> <li>• This piece of work requires significant resource from both IG and ICT. Moreover, it requires the Council to corporately demonstrate commitment in areas such as data protection training and cyber security.</li> <li>• Our last submission was June 2021 and there were 4 areas where the Council did not meet the minimum standards. These consist of: <ul style="list-style-type: none"> <li>- No Business Continuity Plan covering data and cyber security</li> <li>- Software that is unsupported</li> <li>- Need to ensure cyber security certification is in place for all IT system suppliers</li> </ul> </li> <li>• The Council submitted an improvement plan in which we put forward proposals for</li> </ul>

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						<p>addressing each of these areas with a deadline for compliance of 31st December 2021. An update report on progress to date, prepared by the Chief Digital Officer, is to be shared with CLT later in November 2021.</p> <ul style="list-style-type: none"> <li>In previous years the Council has struggled to ensure that we have met the target for corporate data protection training: <ul style="list-style-type: none"> <li>A new DSP Toolkit sub team to be established from within the IG team with clear roles and responsibilities</li> <li>Alternatives to the current data protection training modules are to be considered.</li> <li>Consideration being given to methods of ensuring that training is undertaken in a timely fashion.</li> </ul> </li> </ul>
5	<p>Demand for school places underestimated and/ or additional school places are not delivered to satisfy increased demand.</p> <p>(Children's Services / Children's Services).</p>	4	5	20 High	↔ No change	<p>In the normal admissions round for entry into reception and year 7 in September 2021 there were sufficient places in all areas for our residents.</p> <p>However in year applications continue at a high level, especially from families newly resident in Trafford, particularly with children arriving from Hong Kong.</p> <p>In-year applications for primary school places in Sale continue to be an issue. In Years 1,3,4,5 and 6 every school in Sale East and Sale West is full and additional children have been admitted above the published admission number.</p> <ul style="list-style-type: none"> <li>This means that there are now insufficient places available in Sale to meet our general duty to provide a school place for our residents.</li> <li>Places above the admission number will continue to be allocated through the appeals process and fair access protocol in line with Trafford's determined admission arrangements</li> <li>Altrincham does have limited vacancies in every year group.</li> <li>In the Urmston Planning area every reception class is full and Infant Class Regulations limit the number of number of additional children that can be</li> </ul>



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						<p>admitted except in a very few limited circumstances.</p> <p>School Places &amp; Capital Group and Place Shaping Board have oversight of school place planning and school expansion projects. Key activity to mitigate risk:</p> <ul style="list-style-type: none"> <li>• A capital scheme is underway at Firs Primary School to create 30 additional places from September 2022.</li> <li>• Proposals underway to permanently expand 4 schools from September 2024, 2 in Sale East (1 infant, 1 junior), 1 in Altrincham and 1 in Urmston</li> <li>• In Altrincham area, 15 additional places have been created as an emergency measure in Years 5 and 6 at Willows Primary School with the intention to propose a permanent expansion from 45 to 60 places in each year group.</li> <li>• Initial engagement with school in Sale West where may be possible to convert a specialist space into emergency places in Year 5 and 6.</li> <li>• Continue to update and review the most recent GP registration data, taking into account recent and planned housing development and pupil flows to the independent sectors and non-Trafford schools.</li> <li>• Annually review catchment areas for primary schools to ensure that the available places are targeted most effectively.</li> <li>• Implement EYES Schools Admission module for enhanced monitoring and reporting on in-year applications and impact of inbound migration.</li> <li>• Link in with DfE Place Planning Teams to monitor impact of inbound migration, particularly from Hong Kong and the Afghanistan resettlement scheme.</li> <li>• Fragmentation of governance arrangements makes it increasingly difficult to affect the allocation/availability of places in the secondary sector. Trafford is the Admissions Authority for</li> </ul>

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						only one of its 19 secondary schools and, therefore, has limited direct powers in relation to place planning and admissions policies.
6	<p>Joint Venture partner fails to deliver services to the required standard or fails to deliver required efficiency savings.</p> <p>(Place / Environment and Regulatory Services)</p>	4	5	20 High	↔ No change	<p>Following the Council's Overview and Scrutiny Committee review into the service delivery of Amey in 2018, a report to Executive on 28 October 2019 was submitted to agree the next steps. A business case was submitted and Trafford council will be taking the following option:</p> <ul style="list-style-type: none"> <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 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.</li> </ul> <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. This process is still ongoing and is due to conclude in late 2021 due to COVID interference.</p>

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						It should be noted that the efficiencies needed for the 2021/22 COVID affected budgets were achieved with Amey's assistance.
7	Leisure Services  (Place/ Authority wide)	4	5	20 High	↔ No change	<p>Following the easing of government restrictions all facilities operated by Trafford Leisure (CIC) reopened to the public in Spring 2021. Since the ending of restrictions on 19<sup>th</sup> July 2021, all facilities have remained open running a programme of activities alongside an online offer. While user numbers are increasing, facilities are operating at below full capacity.</p> <p>A review of the Council's Leisure Investment Strategy was completed by Max Associates and approved at the January 2021 Executive. This included the recommendation to further explore the options to refurbish Altrincham, Sale and Stretford Leisure Centres.</p> <p>Alliance Leisure have been appointed to assist with development of the refurbishment programme. Survey and cost analysis work is ongoing to provide a level of cost certainty and inform a further report to Executive in December 2021. Work has commenced on the immediate maintenance works identified including updated Fire Risk Assessments.</p> <p>The Council were successful in securing £550k of funding from the Leisure Recovery Fund, to offset some of the loss of income in the previous and current financial year.</p>
8	Economic Impact of Brexit and COVID-19 (Authority-wide)	4	4	16	↔ No change	<p>Update below was provided in July 2021 and a further update will be included in the next strategic risk update report in Q4 2021/22:</p> <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</p>

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						<p>status and additional administrative requirements / bureaucracy that are likely to have a direct effect on businesses. For example, businesses must show where their goods were made and where the components in those products come from, to determine whether tariffs are levied on goods into the EU. Also British exporters must register to pay VAT in the EU countries they are exporting to. In addition, the ending of free movement of people from the EU to the UK could have an impact on recruitment and meeting skills gaps.</p> <p>A high level Transition Preparedness Plan identifying key priorities/issues for each Service area has been produced by the Transition Preparedness Group as a focus for activity going forward. The Preparedness Plan is a combination of actions and issues that are monitored and reviewed by the Group on regular basis. In light of the above, and the ongoing effects of the Covid crisis, a review of the previous Brexit Impact Assessment has been produced and a report was presented to the Council's Executive on 26 July 2021. This report also includes an update on the Inclusive Economy Recovery Plan.</p> <p>The Trafford Inclusive Economy Recovery Plan, approved by the Council's Executive in February 2021 complements the above and was produced in light of the effects of the pandemic on the economy and the need to set out key 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</p>

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						<p>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	<p>Breach of health and safety legislation leading to prosecution under the Corporate Manslaughter Act and other Health and Safety Regulations.</p> <p>(Strategy and Resources / Finance and Governance).</p>	3	5	15 Medium	↔ No change	<ul style="list-style-type: none"> <li>• Covid Safe risk management measures remain in place as staff return to the office in a managed way through the reintegration process. Measures supported by the testing and vaccination programmes. This is closely monitored with the current variant COVID rates increasing regionally and nationally. The risk management strategies include managing occupancy rates to allow for Covid Safe controls to remain effective and manage transmission, hybrid work style to support occupancy rates and staff wellbeing, COVID safe building measures for distancing, hygiene, face coverings and ventilation, 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> </ul>

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						<ul style="list-style-type: none"> <li>• Policy, arrangements, protocols and guidance for Directorates and schools updated to reflect legislative or organisational changes and any new or emerging risks (in addition, a targeted rolling programme is ongoing).</li> <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>
10	The Council does not fulfil its statutory duties and all accompanying policy requirements in terms of identifying and safeguarding vulnerable children.	3	5	15 Medium	↔ No change	<p>Safeguarding children is an area of Council responsibility that requires constant high levels of vigilance to guard against the risk of harm or abuse to children that could have been prevented through early help, identification, assessment and support.</p> <p>Trafford Children's Services was inspected under the Inspection Local Authority Children's Service Framework in March 2019 and received an overall rating of inadequate. The sub-judgements were Requires Improvement for children in need of protection, Requires Improvement for children in care and care-</p>

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	(Children's Services / Children's Services).					<p>leavers and Inadequate for Leadership. Following this judgement a number of actions are in place:</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 Improvement Plan is being implemented, this is continually reviewed and updated in line with our internal findings from quality assurance</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>• Most recent DfE review in September 2021 highlighted that: <i>The progress of improvement continues at a steady pace with continued strong corporate, political and partner commitment. The permanent senior leadership team are now well established. There is now a good line of sight to practice, both through the council performance, quality assurance systems and practice forums that have been developed and increasingly through the Trafford Strategic Safeguarding Partnership.</i></li> <li>• A monthly REACT meeting continues to take place with DfE regarding LA response to vulnerable children during the Covid pandemic. Our performance relating to visits to children open to CSC, vulnerable children attending school has been consistently strong during the past several months. The DfE report that they are assured that we are seeing our children are safe.</li> <li>• Ofsted have conducted a Monitoring Visit (28<sup>th</sup> - 29<sup>th</sup> September 2021) which will be published in due course. They found that leaders have an accurate picture of the service through effective governance and</li> </ul>

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				15		<p>reporting. There has been instability in the social work workforce which is compounded by weaknesses in first line management and oversight by Safeguarding Children Unit (Conference Chairs) meaning that there has been an impact upon children in terms of drift and delay. There were no cases formally raised where children were felt to be at risk during the visit.</p> <ul style="list-style-type: none"> <li>• The Quality Assurance framework is embedded across the service which is contributing to an accurate view about the quality of practice.</li> <li>• The Service Re-design is being implemented from 4<sup>th</sup> October 2021. Workers will move into their new teams with current caseloads which will transition over the next 6-8 weeks to where they 'belong'.</li> <li>• During Covid-19 we have maintained processes to focus on keeping children safe and maintaining placement stability for our cared for children. Our 'Sit-Reps' show an improving picture of resilience in all services (average 80%). There have been regular Incident meetings and sub-groups to ensure safe delivery of practice. We have issued guidance and reminders 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>
11	A successful Cyber Security Attack could lead to sensitive data being compromised , denial of access to the Council's computing services or severe degradation	3	5	15 Medium	↔ No change	<p>The Council is subject to cyber-attacks daily, but a range of technical solutions and processes are in place to protect Trafford's IT systems and data. The volume and level of sophistication of these attacks is increasing so the Council needs to continuously review and improve how it protects systems and data. The National Cyber Security Centre reported increased cyber threats during the COVID-19 crisis as criminals take advantage of vulnerabilities.</p> <p>The increase in home working poses security challenges, but solutions have been put in place to maintain cyber security. The rollout of Microsoft Teams and the Pulse Virtual Private</p>



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	<p>or loss of control of those services.</p> <p>(Finance &amp; Systems / Finance and Governance)</p>					<p>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 2020 by Internal Audit. Response to the recommendations was delayed due to the Covid-19 crisis. Responses have now been provided and the final report completed. An improvement plan has been agreed and activities allocated to the IT teams.</p> <p>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. Progress against the audit review recommendations is monitored at the IT quarterly security meetings.</li> <li>• IT Managers have attended 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 most recent test was conducted over the summer 2021 and a remediation plan is being compiled.</li> </ul>

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						<ul style="list-style-type: none"> <li>• A phishing awareness campaign has been delivered during 2021 by Purplephish to all Council employees and Councillors. The campaign provides employees with ongoing and regular security awareness training and has successfully raised awareness of phishing risks. This subscription service was extended for another year in July 2021 which runs through to July 2022.</li> <li>• The IT Service have undertaken a cyber audit on the Trafford IT environment in conjunction with the Ministry of Housing, Communities and Local Government (MHCLG). A Cyber Treatment Plan has been agreed following the audit with planned improvement supported by MHCLG funding.</li> <li>• The MHCLG and internal audits have identified applications exist on the Trafford network that are no longer supported by the software vendor. The unsupported applications are therefore not protected from the latest security threats. The IT Service will work with directorates and business areas to identify alternative solutions so that the risk can be removed.</li> </ul>
12	<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>	<p>↔ No change (See comments)</p>	<p>A report was presented to CLT to note the delays in progressing the Council's Business Continuity (BC) Plan and the actions required to move this work forward. This included the support needed for Council wide commitment to the development of a BCP and for the identification of a project resource.</p> <p>The report also highlighted the inter dependency between the Council's IT Disaster Recovery Plan (DRP - managed by the IT and Digital Service) and individual services' Business Continuity Plans. A separate report by the Chief Digital Officer, was also presented to CLT in September 2021 updating on the work to date and planned actions in relation to development of a DRP and to strengthen cyber security.</p> <p>Following this meeting the BC Programme was relaunched, with the Director of Growth &amp; Regulatory Services assigned as the Senior Responsible Officer (SRO), Emergency Planning</p>

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						<p>Manager as Programme Manager, project management resource provided by the Modernisation Team and subject matter expertise from the GMCCRU. A project plan was drawn up, based on the following timeframe:</p> <p><b>Phase 1</b> Staff engagement &amp; governance (Aug – Oct 2021). Briefing paper to CLT due 3<sup>rd</sup> November</p> <p><b>Phase 2</b> BIA workshops &amp; clinics (Oct - Dec 2021). Starting with Place and moving to Adults, Corporate Strategy and Children's.</p> <p><b>Phase 3</b> Development &amp; testing of BCPs (Jan -Mar 2022). Further details have been provided to the Audit Team on how these support delivery of the outstanding audit recommendations.</p> <p>Phase 1 of the BC Programme is now underway, with the work scheduled to be completed by the end of March 2022. Internal Audit will continue to monitor progress, and following completion of the programme it is proposed that a post implementation review will be conducted by Audit in Quarter 1 2022/23. This will provide additional assurance to support the Annual Governance Statement Improvement Plan, Strategic Risk Register and the NHS DSPT self-assessment.</p> <p>Please also refer to comments relating to Risk 1 COVID-19 and Risk 11 'Cyber Security Attack'.</p> <p>With the above developments it is expected that the overall risk level should reduce and a possible reduction in risk score will be considered as the programme progresses through the rest of 2021/22.</p>
13	Asset 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>• Current commitments against the Fund: As at 31/3/21 total commitments against the Fund are £336m and this included for the repayment of the senior debt facility related to The Crescent regeneration scheme during</li> </ul>

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						<p>2020/21. The uncommitted balance on the Fund was £164m.</p> <ul style="list-style-type: none"> <li>This investment to date has already provided a net benefit to support the revenue budget of £1.67m, £3.12m and £6.37m in 2018/19, 2019/20 and 2020/21 respectively and is projected to contribute £6.27m in 2021/22.</li> <li>The returns in 2021/22 are approximately £1.3m lower than originally forecast and the specific reasons for this relate predominantly to the impact of the Covid-19 pandemic on some of our key town centre retail asset acquisitions and also the impact on income when investments are repaid caused by timing differences in identifying new investments to provide a replacement revenue stream. More specific detail is provided in the period 6 budget monitoring report presented to Executive in November.</li> <li>A list of the current commitments as at 31/3/21 is detailed below:-</li> </ul> <table border="1"> <thead> <tr> <th><b>Asset Investment Fund</b></th> <th><b>Total £m</b></th> </tr> </thead> <tbody> <tr> <td><b>Total Investment Fund</b></td> <td><b>500.00</b></td> </tr> <tr> <td><b>Property Purchase:</b></td> <td></td> </tr> <tr> <td>Sonova House, Warrington</td> <td>12.17</td> </tr> <tr> <td>DSG, Preston</td> <td>17.39</td> </tr> <tr> <td>Grafton Centre incl. Travelodge Hotel, Altrincham</td> <td>10.84</td> </tr> <tr> <td>The Fort, Wigan</td> <td>13.93</td> </tr> <tr> <td>Sainsbury's, Altrincham</td> <td>25.59</td> </tr> <tr> <td><b>Sub Total</b></td> <td><b>79.92</b></td> </tr> <tr> <td><b>Property Development:</b></td> <td></td> </tr> <tr> <td>Sale Magistrates Court</td> <td>4.80</td> </tr> <tr> <td>Brown Street, Hale</td> <td>8.82</td> </tr> <tr> <td>K Site, Stretford Equity</td> <td>12.25</td> </tr> <tr> <td>Former sorting office, Lacy Street, Stretford</td> <td>0.96</td> </tr> <tr> <td>Care Home Purchase</td> <td>2.23</td> </tr> <tr> <td>Various Development Sites</td> <td>0.43</td> </tr> <tr> <td><b>Sub Total</b></td> <td><b>29.50</b></td> </tr> <tr> <td><b>Equity:</b></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> </tbody> </table>	<b>Asset Investment Fund</b>	<b>Total £m</b>	<b>Total Investment Fund</b>	<b>500.00</b>	<b>Property Purchase:</b>		Sonova House, Warrington	12.17	DSG, Preston	17.39	Grafton Centre incl. Travelodge Hotel, Altrincham	10.84	The Fort, Wigan	13.93	Sainsbury's, Altrincham	25.59	<b>Sub Total</b>	<b>79.92</b>	<b>Property Development:</b>		Sale Magistrates Court	4.80	Brown Street, Hale	8.82	K Site, Stretford Equity	12.25	Former sorting office, Lacy Street, Stretford	0.96	Care Home Purchase	2.23	Various Development Sites	0.43	<b>Sub Total</b>	<b>29.50</b>	<b>Equity:</b>		Stretford Mall, Equity	8.82	Stamford Quarter, Equity	16.69
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<b>Balance available</b>	<b>163.13</b>																														

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						<p>(in accordance with national regulations). The reserve level was £5.98m as at 31/3/21.</p> <ul style="list-style-type: none"> <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>• 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 level of General Reserve, based on an assumed risk that 25% may not be delivered.</li> <li>• As part of the Asset Investment Programme, the Council has entered into three joint venture arrangement with Bruntwood Works to acquire three key sites in the Borough, namely the former Kellogg's HQ site in Old Trafford, Stretford Mall and the Stamford Quarter. The primary reason for acquisition of the assets was for regeneration and no assumptions are included in the budget for any additional income from the assets to support Council services. Significant master planning and options appraisal work is</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>
						currently being undertaken around each assets and further updates will be provided to the Executive throughout the course of the year.
14	Loss / absence and retention of senior managers to 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 – through introduction of Assistant Director level posts to aid succession planning for senior leadership roles.</li> <li>• Professional coaching is available for all managers/senior managers across the organisation to support them in leading and engaging their staff through transformational change and/or to support leaders with their health and wellbeing.</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 and launched. The framework makes clear reference to career development conversations (Broaden, Deepen, Step Up), which should support us to identify senior management potential early.</li> <li>• Trafford Let's Talk Leaders events are in the diary throughout 2021/22 to enable our senior managers to hear from our corporate leaders, keynote speakers, benefit from networking opportunities and sharing learning.</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 and EPIC manager Module to support the implementation of knowledge and skills.</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>
						<ul style="list-style-type: none"> <li>• A Health &amp; Well-being strategy is in place with actions to maintain and improve employee morale and well-being.</li> <li>• Corporate Wellbeing Principles have been defined and regularly promoted along with support and resources advertised on our newly created health, safety and wellbeing pages.</li> <li>• Internal resources available to bespoke development plans for senior leaders identified at risk or potential for future/ready for growth.</li> <li>• Fully funded and supported apprenticeships/qualifications available from operational manager level to MBA level.</li> </ul>
15	<p>Failure of the Adult Safeguarding Service.</p> <p>(Adult Services / Adult Social Care).</p>	3	4	12 Medium	↔ No change	<ul style="list-style-type: none"> <li>• The responsibility for Adults has been transferred to Adult Social Care through the Principal Social Worker role (May 2019).</li> <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>• Staffing challenges across the service continue which could impact the delivery of safeguarding responses. Work is ongoing with colleagues in HR to support in recruitment and retention of staff.</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>• All referrals received into the Safeguarding Hub are risk assessed on the day of receipt.</li> <li>• The Daily Risk Meeting continues to be held on a daily basis with input from ASC, CSC, GMP, Mental Health and Achieve.</li> <li>• There is a discrete Adult Protection Line for members of the public to directly contact social care to raise safeguarding concerns.</li> </ul>



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						<ul style="list-style-type: none"> <li>Phase 2 of the Adult Safeguarding Consultation has commenced with work being completed to progress the Safeguarding Hub into a Multi-Agency Safeguarding Hub with GMP, Probation, and TDAS forming part of the MASH and continued work being completed to on-board, GMMH, Achieve, Housing and Health Services</li> <li>Considerable work completed on incoming safeguarding referrals resulting in significant improvement in the timeliness of allocation.</li> <li>Mental Capacity Act (MCA) and Deprivation of Liberty Safeguards (DoLS) e-learning available for all staff and use is monitored.</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 Chief Nurse supported by primary care, pharmacy to track and support quality improvement in care homes, homecare, deliver improvements in practice, and embed learning and overall aims to improve quality and safeguarding of vulnerable adults in Trafford.</li> <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</li> </ul>

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						<p>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.</p> <ul style="list-style-type: none"> <li>• Reports on safeguarding incidents, by individual provider, to be introduced and joint work completed with the commissioning team to enhance market improvement plans. Ongoing developments to be added intelligently and data supported.</li> <li>• Data intelligence improvement work being completed with performance and the TSSP to enhance safeguarding data collection.</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> <li>• Co-chairing approach to Multi-Agency Risk Assessment Conferences (MARAC) introduced and review of MARAC carried out to strengthen the domestic abuse response in Trafford.</li> <li>• The Safeguarding Hub was launched on the 7th of June 2021, creating one central point for all safeguarding referrals into Adult Social Care. The Safeguarding Hub will also be responsible for managing organisational safeguarding and complex safeguarding issues such as self-neglect and hoarding, coercion and control, and capacitated adults who are making unwise decisions where the risk is remaining or increasing and previous attempts to engage have failed. The Safeguarding Hub will also represent Adult Social Care at multi-agency meetings such as</li> </ul>

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						<p>the Daily Risk Meeting, MARAC, MAPPA, and Prevent.</p> <ul style="list-style-type: none"> <li>We have introduced a new quality assurance framework and accreditation tool (SPARQ) within the Supported Living service and will be extending this approach across Ascot House and Care at Home July onwards. This new assurance process complements our safeguarding policy and procedures. We are also exploring a post to provide leadership governance and support to all provider services.</li> </ul>