

TRAFFORD COUNCIL

Report to: Accounts and Audit Committee
Date: 24th November 2022
Report for: Discussion
Report of: Audit and Assurance Manager

Report Title

Strategic Risk Register 2022/23 (November 2022 update)

Summary

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

Recommendation

The Accounts and Audit Committee notes the report.

Contact person for access to background papers and further information:

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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/early November 2022 for each risk unless otherwise stated.

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

- 2.1 The Audit & Assurance Service liaises with CLT and senior managers to agree the risks to be included in the strategic risk register and provide updates on risks under their remit.
- 2.2 This report contains an update on each of the strategic risks, including recent developments relating to the risks and progress made in managing each risk.
- 2.3 Since the last risk update, a new risk has been added to the Strategic Risk Register. This is shown under Risk 7 in Section 3 – "Impact of Statutory Changes". This is in relation to the impact of a number of expected national reforms relating to care and education. Also Risk 8 has been renamed 'Economic Uncertainty' (formerly Economic Impact of Brexit and COVID-19) to reflect the economic climate with the rising cost of living.
- 2.4 There has been a decrease in the score for one of the risks since the previous strategic risk update report in July 2022 i.e. Risk 16 (Business Continuity Planning) which shows a decrease from a risk score of 15 (Medium) to 6 (Low) reflecting progress made to date.
- 2.5 The risk charts in section 2.8 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 now 16 strategic risks which are set out in Section 3.
- 2.6 A number of the areas of risk highlighted are reflected in the Internal Audit Plan for the current year. As part of Internal Audit Planning for 2023/24, Audit will liaise with relevant Directorates to consider further coverage.
- 2.7 As part of the Accounts and Audit Committee work programme, in addition to strategic risk register updates through the year, further updates on specific risks within the strategic risk register will be considered as part of planning future agenda items for the Accounts and Audit Committee work programme.

2.8 **Comparison of Risk Levels July and November 2022**

IMPACT **Risk Levels – July 2022**

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

LIKELIHOOD

IMPACT **Risk Levels – November 2022**

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

LIKELIHOOD

High Risk
Medium Risk
Low Risk

3. Strategic Risks (November 2022)

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	Management of Risk / Further Actions Planned
1	Continuing uncertainty regarding the Council's medium term financial position given the reliance that exists on support from Central Government, cost pressures within the existing budget and major changes that are planned concerning the reform of local government funding (Fair Funding) and the review of the business rate retention system with a planned full reset of business rate baselines originally expected from April 2021 now delayed until possibly 2024/25 (Finance & Systems /	5	5	25 High	↔ No change	<p>2022/23 Period 6 Monitoring Details can be found in the P6 budget monitoring report, however in summary there is an estimated outturn pressure of £6.06m as at period 6 of which £5.5m relates to inflationary pressures. The escalating levels of inflation are a significant risk both in the current financial year and when planning our MTFS for 2023/25.</p> <p>Risk Mitigation 2022/23 It is essential that any in year pressure is managed downwards to avoid any charge being made on the limited level of earmarked reserves the Council holds. Risk mitigations have been identified to manage down the estimate adverse outturn. These include the drawdown of an inflation risk reserve of £3.0m established during closedown 21/22, clarification of additional resources proposed by the Government for Hospital Discharge, bringing forward savings proposals for 23/24 and an extension to the vacancy management process.</p> <p>MTFS 2023/2026 and Draft Budget 2023/24 The MTFS 2023/2026 and Draft Budget 2023/24 was presented to Executive on 24th October 2022. A significant gap remains of £8.52m in 2023/24 after £3.41m additional funding from Council Tax and £11.39m of efficiency savings. There are a large number of material assumptions made within the draft budget which are outside of the Council's control and will be updated once Government spending review announcements are made later in the year. The Council's S151 Officer concluded in the February 2022 budget report that across local government and Trafford is no exception, that there were serious concerns in achieving a sustainable position in future years. The impacts and uncertainty being felt presently, caused largely by the effect of inflation, further compound the reality of this position and make the risk of more S114 notices even more real.</p>

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	Finance and Governance).					<p><u>Risk Mitigation</u></p> <p>The key activities below provide a further level of risk mitigation and are covered in more details in the draft budget report. Key themes are</p> <ul style="list-style-type: none"> • The work of the Finance and Change Programme has been positive and significant progress has made to identify permanent base budget savings. <p>Therefore further work will continue at pace and are covered in detail in the draft budget report, some of the main areas are :-</p> <ul style="list-style-type: none"> • The continuation of scoping and business case development for a number of areas of potential savings that are already identified. Most notably this includes an external review of the Council's learning disability service; • A system wide review of the provision of discharge to assess bed provision to ensure the most optimum and cost efficient service; • A review of vacancy management protocols which will involve temporary freezes on vacancies in all back-office service areas. • Consideration to other changes to staff terms and conditions; • A review of activity across a number of areas including commissioning, business support and remaining discretionary services; <p>Existing Risk Mitigation already in place and reported in previous monitoring reports will continue and include</p> <ul style="list-style-type: none"> • Continued engagement with DLUHC and support from the LGA to highlight the significant and growing risks and future uncertainty in financial sustainability and in particular the low level of resourcing available to the Council when compared with peers <p>Continuation of more streamlined and focussed budget monitoring to the Executive on a bi-monthly basis. High risk areas of the budget continue to be monitored on a monthly basis.</p>

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2	Climate Change Emergency (Place / Sustainability and Climate Change)	5	4	20 High	↔ No change	<p>This is considered to have a very high likelihood, in that all available indicators suggest that climate change is already occurring and will, if anything, become more prominent. The Impact is considered to be High as a minimum (very high without mitigation) as the consequence of climate change give rise to unpredictable and severe weather events – and events that occur with increasing regularity. These will in turn have significant impacts on our environment, economy and society. Examples could range from changing patterns of food production through to the financial to households and businesses. In short, the impacts are wide ranging and cross cutting in character</p> <p>Climate Change can be addressed firstly through adaption (as it is already occurring) - actions designed to promote greater resilience to more extreme weather events. Secondly it can be addressed through mitigation – actions that are intended to slow or avoid the more severe climatic impacts. These are primarily focussed on reductions in local Carbon Emissions.</p> <p>To progress these matters the Council has prepared a draft Carbon Neutral Action Plan as a means of establishing actions to reduce emissions in Trafford. These will contribute to wider Low Carbon targets across Greater Manchester – and ultimately the UK as part of the National 25 year Environment Plan. The Trafford Air Quality and Climate Change Commission is now well established – and a new performance tool is managing progress. Activity is now focussed on businesses, which account for a significant portion of emissions – and most especially SME's. New staff were recruited through 2021– thus improving the Council's overall capacity to address the issue.</p> <p>Work continues on a number of fronts – with the two studies looking at the greening of Trafford Park and its transition to a low carbon future nearing completion. Complimentary to this work is underway to prepare for a heat network around the Civic Quarter, with a funding now</p>

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						<p>received in principle from BEIS. The Public sector decarbonisation programme remains ongoing.</p> <p>The Climate Change Commission continues to meet with an emphasis on the VCSE sector and communications. Several major companies are now engaged in sharing good practice. Despite this promising work, risk levels remain high.</p>
3	<p>Trafford Council must ensure that it and 3rd parties acting on their behalf are handling personal/ sensitive and commercial data securely both in technology and physical terms and in accordance with legislation and Trafford Council's policies and procedures. The following areas of risk have been identified:</p> <ul style="list-style-type: none"> • Compliance risks • SAR delays • FOI compliance • Data breaches • Mandatory Training <p>(Legal and Governance)</p>	4	5	20 High	↔ No change	<p>The following constituent risks make up the overall risk score:</p> <ul style="list-style-type: none"> • Records Management • Subject Access Requests (SAR) Freedom of Information (FOI) / Environmental Information Regulations (EIR) – • Data Breaches • NHS Data Security Protection Toolkit <p>Although some progress has been made in key individual areas, the overall risk still remains high. Significant work needs been undertaken over the next 12 to 18 months where areas for improvements have been identified via a recent gap analysis and audit benchmarked against UK GDPR and the recent NHS DSPT published on 30 June 2022. It is anticipated that by the next monitoring report, there will have been some improvements to lower the overall risk score.</p> <p><u>Records Management</u></p> <p>A review of the Council's record management position is needed and options around the appointment of a specialist with a view to identifying work streams and potential solutions are currently being evaluated.</p> <p>The council Retention Schedule needs to be reviewed with the engagement of Information Asset Owners and incorporated within the Records Management Policy.</p> <p>Offsite Storage: An audit of all records retained in off-site storage needs to be urgently undertaken in line with the councils review, retain and dispose schedule of records to provide transparency on the position in relation to historical records.</p>

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	/ Finance and Governance)					<p>Hard Copy Files: An assessment of the Council's handling and storage of hard copy records needs to be undertaken to explore the position and present recommendations around data cleansing and retention protocols. This is also crucially linked to the roll-out of MS Office 365.</p> <ul style="list-style-type: none"> Email management: recommendations regarding email management are being developed alongside IT colleagues with the aim of implementing a 2 year retention policy with exception for certain email records where applicable. <p><u>Subject Access Requests (SAR)</u></p> <p>In previous years the Information Commissioners Office (ICO) had expressed concerns that the Council was failing to adhere to statutory deadlines in the processing of subject access requests (SAR's) subject to UK GDPR.</p> <p>Although significant progress has been made in tackling historic backlogs, which was commended by the ICO, there continues to be year on year increases in the number of SAR requests made.</p> <p>As of October 2022, the Council's backlog of SAR cases consists of 22 active cases, where 4 cases still remain within the 1 month deadline and with an average of 10 SAR cases being processed by the IG team per month.</p> <p>However from February 2022 until October 2022, the number of SAR cases that have exceeded the statutory response timescale has increased to 30 cases. A contributing factor to this increase is due to the current lack of staffing resource within the IG team.</p> <p>Since February 2022 the ICO have received a number of complaints regarding the Council's handling of SARs. As a result of those complaints, the ICO will monitor the Council's</p>

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						<p>progress going forward with the potential imposition of a Notice of Undertaking or monetary penalty if the Council does not improve.</p> <p>Work is continuing to improve SAR processes with an emphasis of improving active processing of all active SAR cases by IG officers to help avoid any unnecessary delays with the processing of requests.</p> <p><u>Freedom of Information (FOI) / Environmental Information Regulations (EIR)</u></p> <p>The average compliance rate to date has been steadily increasing month by month from 41% in September 2021, reaching a rate of 65% (responded to within 20 working days) in January 2022. The current rate at October 2022, is 71%. The target compliance rate (and ICO expectation) is 90%.</p> <p>Work is ongoing to implement actions to maintain this upward trend and work will continue to determine solutions both in the near term and longer term.</p> <p>Identified actions: Targeted collaboration with teams where delays are being experienced; Rota system implemented across the IG team to improve processing; Reporting mechanisms reviewed; Refocus of resource from SAR cases to FOIs.</p> <p><u>More generally:</u></p> <ul style="list-style-type: none"> • Weekly reports for each directorate have been recommenced. The reports highlight where there are overdue FOI's, and also those becoming due in 1 and 2 weeks as a reminder that a response is due for these. Service directorates are now sent copies of these reports for their information. • The IG team have undertaken a number of purge exercises in which we have progressed each overdue FOI with the

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						<p>services directly, which has had a positive impact on response times.</p> <ul style="list-style-type: none"> We continue to have a number of FOIs breaching the statutory compliance responding timeframe, however this has significantly reduced month by month from January 2022 until October 2022. In January 2022, there were 47 FOI cases that had breached the 20 working day timeframe and as at October 2022, this currently stands at 2 cases. The IG team have taken a direct approach in targeting certain areas where there are consistent delays in responses, which also is having a positive impact. The IG team have set up a fortnightly meeting with colleagues across the Council to discuss all FOIs currently with them, this has also been really positive and the number of overdue FOIs in problem areas has reduced significantly. Transparency on outstanding FOIs has been improved with the introduction of reporting <p><u>Data Breaches</u></p> <p>Position Statement: Between the 6th October 2021 and 31st January 2022, the Information Governance Team has received reports of 23 data breach incidents for investigation. (Avg: 6 a month).</p> <p>Between February 2022 and October 2022, the Information Governance Team has received reports of 52 data breach incidents for investigation. (Average: 6 a month).</p> <p>The average per month remains consistent when compared with data from the previous year</p> <p>The most common types of data breach are:</p> <ul style="list-style-type: none"> Email sent in error to wrong recipient. Letter posted to wrong recipient. Error in redaction of information. Excessive information shared with professionals by email.

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						<ul style="list-style-type: none"> • Documents left on office printers. • Documents lost to theft/burglary at employees home. • Lost information. • IT system glitches. <p>The majority of the cases logged at Severity level 1 & 2 were found to have risks mitigated through appropriate and timely measures taken and no risks were posed to the rights and freedom of affected individuals.</p> <p>The Information Governance Manager/DPO and Head of Legal and Governance, supported by the SIRO is leading an ongoing review to improve processing and awareness of data incidents:</p> <ul style="list-style-type: none"> ➤ Interim processes which have already been embedded across the IG Service are being developed further to determine more substantive permanent mechanisms of reporting, - Incident reviews and decision making across the process: ➤ Rota system implemented across the IG team to allocate new data incidents. Enables more serious incidents to be progressed on an urgent basis. This too ensures that Incidents are allocated promptly for investigation. ➤ There remains a risk from delayed oversight of data incidents, poor quality reporting and lack of accountability for reporting and recommendation implementation. ➤ As previously identified by Internal Audit, the biggest issue to be addressed is “Squaring the circle” and ensuring that the IG Team’s recommendations are fully implemented – work ongoing to identify solutions. ➤ Recommendations are being reviewed to ensure that they are both practical and effective and to ensure that implementation and success can be measured. ➤ Recommendations will be reviewed to ensure that they are tailored to common types of breaches. The common types of breaches have been evolved somewhat as a result of the pandemic and remote working.

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						<p>➤ A system to capture data around data incidents is now in place which will inform smarter reporting and increase transparency.</p> <p>➤ There is a correlation between training take up and number of breaches originating from specific areas.</p> <p>➤ Actions are being developed to secure commitment from the senior levels across target Directorates to ensure that data protection training is made a priority within agreed timescales.</p> <p>➤ Corporate Directors and Service Directors to be notified of all breaches and recommendations provided by IG team, as part of an ongoing process to reduce the number of incidents.</p> <p>Together, the above issues raise the following risks – legal/regulatory (non-compliance with legal requirements), reputational, financial, adverse publicity.</p> <p><u>Data Security Protection Toolkit</u></p> <ul style="list-style-type: none"> • This an annual piece of work that requires the Council to demonstrate that it is fully compliant with the minimum data protection standards in order to access and process information from NHS Digital. • This piece of work requires significant resource from both IG and ICT. Moreover, it requires the Council to corporately demonstrate commitment in areas such as data protection training and cyber security. • Our last submission was in June 2022 and there are a number of areas where the Council did not fully meet the standards as identified by our Internal Auditors. • The IG team will be rolling out a robust improvement plan for addressing each of the areas identified by internal audit where there have been shortcomings with a deadline for compliance being March 2023 in time for the final audit prior to the next DSPT Toolkit submission.

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4	<p>Demand for school places underestimated and/ or additional school places are not delivered to satisfy increased demand.</p> <p>(Children's Services / Children's Services).</p>	4	5	20 High	↔ No change	<p>Primary Places:</p> <p>In the normal admissions round for entry into reception and in September 2022 there were sufficient places for our residents with surplus places in all areas.</p> <p>However the surge of in-year applications in 2021 from families newly resident in Trafford, continues to have an impact on primary places and is starting to create pressures in the secondary sector as children move up.</p> <ul style="list-style-type: none"> • In Years 1, 2, 4 and 6 every school in Sale East is full and additional children have been admitted above the published admission number. There are 3x vacancies in Year 3. • In Years 3, 4 and 5 every school in Sale West is full and additional children have been admitted above the published admission number. There is 1x vacancy in Year 1, 1x in Year 2 and 2x in Year 6. • This means that there are insufficient places in these year groups in Sale. • Places above the admission number will continue to be allocated through the appeals process and fair access protocol in line with Trafford's determined admission arrangements. • After implementation of a range of measures to increase capacity, Altrincham now has vacancies in every year group. • In Urmston there are 2x vacancies in Y1 and Infant Class Regulations limit the number of number of additional children that can be admitted except in a very few limited circumstances. <p>Secondary Places</p> <p>In the normal admissions round for entry into Y7 in September 2022 there was just enough capacity to offer a place to everyone who applied. However, 179 Trafford children, predominantly resident in Altrincham and Sale, could not be allocated places at any of their preferred schools and were allocated places at the nearest school with a vacancy. At the end of the allocation every secondary school in Trafford</p>

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						<p>was full and some schools allocated places above their published capacity.</p> <ul style="list-style-type: none"> In Altrincham, there is currently 1x Y9 vacancy and all other year groups are full or overfull. In Sale there are 15x Y10 and 6x Y11 vacancies, all other year groups are full. In Partington, there is 1x vacancy in Y7 and no vacancies in Y9. There are limited vacancies in other year groups. There are vacancies in all year groups in Stretford. There are vacancies in all year groups in Urmston but only for boys. There are no vacancies in any school which admits girls. <p>Actions School Places & Capital Board and Place Shaping Board have oversight of school place planning and school expansion projects. Key activity to mitigate risk:</p> <ul style="list-style-type: none"> Capital scheme at Firs Primary School to create 30 additional places per year group from February 2023 in Sale West. Proposals underway to permanently expand Templemoor Infant School and Moorlands Junior School in Sale East to create 30 additional places per year group from September 2023. 30 places in Y5 brought online in temporary accommodation from September 2022. Proposal underway to permanently expand Willows Primary School in Altrincham by 15 places per year group from September 2023. 15 additional places have been created as an emergency measure in Years 5 and 6 ahead of the permanent expansion. 30 additional places in Y4 and 30 in Y5 brought online November 2022 and 30 places in Y2 scheduled for January 2023 at Broadheath Primary School in Altrincham. Additional 30 temporary places in Y5/Y6 in bulge class at Broomwood Primary School in Altrincham. Additional 30 temporary places in Y5/Y6 in bulge class at Woodheys Primary School in

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						<p>Sale West through conversion of specialist space. Option to extend this arrangement for further 2 years from September 2023.</p> <ul style="list-style-type: none"> • Continue to update and review the most recent GP registration data, taking into account recent and planned housing development and pupil flows to the independent sectors and non-Trafford schools. • Annually review catchment areas for primary schools to ensure that the available places are targeted most effectively. • Implement EYES Schools Admission module for enhanced monitoring and reporting on in-year applications and impact of inbound migration. • Regular meetings with DfE Place Planning Teams to monitor sufficiency and impact of inbound migration, particularly from Hong Kong, the Afghanistan resettlement scheme and the Homes for Ukraine scheme. Exploration of provision of new secondary school in Sale/Altrincham area. • Fragmentation of governance arrangements makes it increasingly difficult to affect the allocation/availability of places in the secondary sector. Trafford is the Admissions Authority for only one of its 19 secondary schools and, therefore, has limited direct powers in relation to place planning and admissions policies. • Three options to permanently expand secondary provision in Altrincham and/or Sale from September 2024 were explored. Recommendation to proceed with one proposal in Altrincham to create 60 additional places per year group. Additional capacity in temporary accommodation is also being explored for September 2023. Specific communication and application advice developed for Altrincham and Sale parents in the transfer cohort for September 2023 to help secure Y7 places for Trafford residents.
5	Joint Venture partner fails to deliver services to	4	5	20 High	↔ No change	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

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	<p>the required standard or fails to deliver required efficiency savings.</p> <p>(Place / Environment and Regulatory Services)</p>					<p>steps. A business case was submitted stating that Trafford council will be taking the following option:</p> <ul style="list-style-type: none"> ▪ Consider alternative models of service delivery, including the development of a predominately In-House Service model, with a view to ending the contract with Amey. ▪ Should an amicable agreement not be reached with Amey that keeps the council whole and allows services to be undertaken without detriment by an in house or further procurement measure then the council shall continue the Amey contract and seek significant improvements to the delivery of existing services. <p>The Covid-19 Crisis has delayed the process of negotiation for this. Amey's performance during this period has continued to be generally good.</p> <p>Discussions between the Council and Amey could not satisfactorily or economically come to a solution to move to an in-House service model. In a paper to the Council in October 2020 the decision to move to the second option was taken. To achieve the significant improvements in the delivery of the contract, the council has subsequently activated the contractual 7 year review clause. This gives an opportunity to recommend any changes to the contract for improvements and efficiencies. This process is still ongoing (with member oversight and resident and stakeholder input), notice has been served to Amey and the contract specifies that a reply will be received in 4 weeks, understandably this may be delayed due to negotiations. We have elongated the process due to COVID interference. A response was received to the 7 year review in May 2022 and we have now commenced evaluation and negotiation this is still ongoing as of October 2022.</p> <p>It should be noted that the efficiencies needed for the 2021/22 COVID affected budgets were achieved with Amey's assistance.</p>

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6	Leisure Services (Place/ Authority wide)	4	5	20 High	↔ No change	<p>In February 2022 Executive approved £52.1m into the capital programme to cover the costs of the proposed refurbishment of Altrincham, Sale and Stretford Leisure Centres.</p> <p>The refurbishment programme will deliver much needed improved facilities that will support the Councils corporate priorities. Through tailored place-based programming, centres will help reduce health inequalities and improve community health and wellbeing. The refurbishment designs for incorporate decarbonisation works and will contribute toward corporate CO2 reduction targets.</p> <p>Leisure operating losses in the region of £1.5m in 2021/22 and £0.81 forecasted for 2022/23 are supported from Council reserves and one-off external funding.</p> <p>The revenue budget and reserves approved by Council in February 2022 included support for a full range of leisure provision for 2022/23 and over the medium term.</p> <p>The identification and funding of revenue costs to support business disruption during the refurbishment programme and longer term has been considered as a key risk throughout the budget setting process. To mitigate the risk, the Council is working to reduce the ongoing subsidisation of the Trafford Leisure through a refreshed operating agreement. The council has also commissioned independent due diligence and updates of the business plans for each centre by Max Associates.</p> <p>Altrincham business case and refurbishment programme was approved by the Executive in July 2022, with the centre set for closure on 23rd December 2022 while refurbishment takes place, its anticipated the refurbishments will be completed in the Spring of 2024. Sale and Stretford Centres are scheduled for Executive consideration in the New Year 2023.</p>

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7	Impact of Statutory Changes (Authority-wide).	4	5	20 High	New Risk	<p>Significant national reform has been prioritised by Government including:-</p> <ul style="list-style-type: none"> ➤ Market Reform and the Fair Cost of Care ➤ Adult Social Care Charging Reform ➤ Opportunity for all (White Paper) - strong schools with great teachers for your child ➤ SEND review (Green Paper) – right support, right place, right time <p>At this stage implementation groups have been set up to consider the implications for Trafford and lobby Government where appropriate. For example dialogue is ongoing with the Local Government Association, Association of Directors of Adult Social Services and the Department of Health and Social Care on the market and charging reforms.</p> <p>An exercise has just been completed on market reform and the fair cost of care to understand the fair cost of providing different types of social care. The output of this was submitted to the DHSC on 14 October 2022. Whilst the exercise was intended to identify an average rate for residential and homecare services the output from the exercise provided a mixed response which required a lot of additional validation meaning that a reliable conclusion could not be drawn. We currently await a response from the DHSC on next steps.</p> <p>This exercise and the planned reforms to the charging for adult social care from October 2023 pose significant risks to the Council. To implement the reforms would require the recruitment of significant numbers of social work assessors which will prove difficult given the current workforce challenges in social care. They will also cause a significant financial burden due to the cap on care costs of £86,000 and the extended means test. This will mean that the Council has responsibility to cover the care costs of more clients given the relatively high numbers of “self-funders” in the current system. The Council is currently developing an approach to understand the real costs of implementing the reforms but early research suggests that once the measures are fully implemented over the next few years then a</p>

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						shortfall between the impact of the reforms in Trafford and the amount of support identified by the Government could be as much as £10m.
8	Economic Uncertainty (Place/ Authority wide)	4	4	16 High	↔ No change	<p>Residents and businesses within Trafford are suffering from the effects of rising inflation, rising interest rates and the cost of living. This is likely to result in a range of economic and wellbeing challenges such as physical and mental health impacts of financial hardship and impact on the local economy due to reduced spending power. In addition, businesses will still require ongoing support and information in response to Brexit and transition arrangements and how this affects their trading abilities.</p> <p>Rising inflation is causing everyday goods and services to increase in price and as wages are generally not rising in line with inflation, this is placing a heavy financial burden on residents. The Bank of England are utilising the raising of base interest rates in an attempt to suppress inflation but this in turn is causing mortgage interest rates to rise for those who are not on a fixed mortgage arrangement or who are coming out of a fixed mortgage deals. There are therefore significant risks to residents who may be unable to afford payments for their homes as well as their energy costs and day to day living costs such as food. For businesses, the increased costs of raw materials, energy and other business costs could lead to business closures, downsizing or scaling back their growth ambitions.</p> <p>In mitigating the risks, the Council is developing a new Inclusive Economy Delivery Plan aimed at supporting both residents and businesses over the period 2022-2025 with a clear focus on job creation, better pay and conditions, upskilling residents and business support measures whilst at the same time promoting carbon reduction measures. The Plan is complemented by the work of the Cost-of-Living Group whose actions have close alignment with the Trafford Poverty Strategy Action Group which supports the delivery of the Poverty Strategy. In addition, the creation of a new Social Value Charter and Action Plan will promote opportunities for businesses to play a more supportive role in meeting the needs of local communities. In</p>

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						addition, businesses will continue to be provided with information that is pertinent to the Brexit transition arrangements.
9	Breach of health and safety legislation leading to prosecution under the Corporate Manslaughter Act and other Health and Safety Regulations. (Strategy and Resources / Finance and Governance).	3	5	15 Medium	↔ No change	<ul style="list-style-type: none"> • A current investigation into a major incident within the borough is in progress. This is being conducted in liaison with enforcing authorities (Police and Health and Safety Executive) with the support of Legal Services, Health and Safety Unit and Insurance Services. Investigatory outcomes will inform any further remedial action. • HSU support in competent HSU advisory service with qualified advisors subject to continuing professional development requirements. • Current Health & Safety Policy and comprehensive arrangements in place and available to the workforce via the intranet. • Policy and guidance for services and schools reviewed and updated to reflect legislative or organisational changes and any new or emerging risks. • Health and safety audit programme in place for monitoring and review of services and schools (including One Trafford Services). This programme includes proactive monitoring of compliance with health & safety law and internal H&S management arrangements. • A health and safety internal initiative 'Your Safety, Your Wellbeing' is being launched in 2022 with dedicated resources to refocus services on managing safety and wellbeing. • DSE and Homeworking guidance and complex assessment support in place to support our Trafford Smart Working Styles and ensure workstation safety and health. • Training available to support managers and schools in ensuring staff are competent to undertake tasks/role. • Arrangements in place for the health and safety assessment of providers/contractors prior to approval and for subsequent monitoring of performance. • Staff consultation processes in place to report and liaise on Health and Safety performance issues.

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						<ul style="list-style-type: none"> • HSU engagement in Health, Safety, and Security issues relating to the Council's Corporate and Let Estate through Corporate Landlord. A current security review continues for Trafford Town Hall and Sale Waterside. • Ongoing office hygiene and infection control measures in place. • Employee Health and Wellbeing Strategy incorporates ill health reduction and internal wellbeing support services (Occ. Health and EAP Service, Mental Health First Aid Network, mental/physical wellbeing support initiatives, staff support groups).
10	<p>The Council does not fulfil its statutory duties and all accompanying policy requirements in terms of identifying and safeguarding vulnerable children.</p> <p>(Children's Services / Children's Services).</p>	3	5	15 Medium	↔ No change	<p>Safeguarding children continues to be a priority area of Council responsibility which requires constant high levels of vigilance to guard against the risk of harm or abuse to children that could have been prevented through early help, identification, assessment and support. Trafford Children's Services was inspected under the Inspection Local Authority Children's Service Framework in March 2019 and received an overall rating of inadequate. The sub-judgements were Requires Improvement for children in need of protection, Requires Improvement for children in care and care-leavers and Inadequate for Leadership. Following this judgement a number of actions are in place:</p> <ul style="list-style-type: none"> • An Improvement Board has continued to be in place with an Independent Chair (DfE) which meets 6 weekly and is attended by senior politicians and senior officers from the Council and key partners. • A full and comprehensive Improvement Plan is being implemented, which is continually reviewed and updated in line with our internal findings from quality assurance • Progress towards improvement continues to be monitored by the Department of Education regularly through the Involvement of our Improvement Advisor and DfE link officer. • A DfE 6 monthly review was undertaken in January 2022 which resulted in a letter to

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						<p>the Chief Executive dated 3rd March which highlighted that: <i>“A huge strength in Trafford is how children and young people (CYP) run through all conversations. It is evident that achieving the best outcomes for CYP is at the heart of your strategic decisions, you know what good looks like and that’s purely focussed on achieving the best outcomes for CYP. Frontline staff genuinely care about providing the best support to the most vulnerable and recognise how improved systems / practice and structures are, and will, make a real difference for those they support.”</i></p> <p>There were a number of areas that were highlighted as requiring embedding/further work – Service redesign, workforce stability and quality of social work practice. A further review is underway.</p> <ul style="list-style-type: none"> • We continue to provide monthly assurance data to DfE regarding vulnerable children – contacts/referrals and visits. Our performance relating to visits to children open to CSC, vulnerable children attending school has been consistently strong during the past several months. The DfE report that they are assured that we are seeing our children are safe and we no longer meet with them routinely around those issues • A further Monitoring Visit was undertaken by Ofsted in July 2022 (with a focus on Children in Need, decision making, assessment and planning), which was published in September 2022 which has been presented at CYP Scrutiny Committee. It stated <i>“A stable leadership team continues to maintain focus on appropriate improvement priorities.”</i> However it was also noted that <i>there is too much variability of practice</i>. Some children have good quality assessments and plans however. • Following this visit each service area has produced an Amplification Plan with a focus on ensuring that ‘most’ rather than ‘some’

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						<p>children received good quality social work practice.</p> <ul style="list-style-type: none"> • The Quality Assurance framework is embedded across the service which is enabling an accurate view about the quality of practice and identifying actions required to further improve. • We have a 3 year workforce development programme which has commenced which will assist alongside effective supervision and performance management frameworks. <p>Work is also currently underway to improve IT systems supporting data reporting within Children's Services. There are a large number of reports that services receive to support them in delivering a good service to children and families and to comply with statutory requirements. There have been some difficulties in generating reports promptly and as a result the Council has been in touch with the IT supplier to resolve these issues. As Children's Services are preparing for another Ofsted re-inspection, any difficulties in terms of our ability to report and have a complete suite of data reports produced promptly represent a risk to the service. As a result, the Council has agreed to migrate the Liquid Logic system to the supplier's hosted solution.</p> <p>A plan is in place which includes consideration of relevant risks and mitigations, with the aim that the migration to the supplier hosted solution will be undertaken in December.</p>
11	A successful Cyber Security Attack could lead to sensitive data being compromised , denial of access to the Council's computing services or	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.</p> <p>In relation to events in and around Ukraine, the National Cyber Security Centre (NCSC) is not aware of any current specific threats to UK organisations. The NCSC called on organisations in the UK to bolster their online</p>

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	severe degradation or loss of control of those services. (Finance & Systems / Finance and Governance)					<p>defences and the Council is doing what it can, which includes regular communications and raising awareness to staff.</p> <p>Although there is the potential of an increased threat, we would expect the Council's defences to protect us in most instances. The Cyber Security risk impact score remains at 5 (very high / extreme) but the likelihood of an attack being successful remains 3 (medium). Risks continue to be monitored and risk levels will be reviewed if intelligence emerges of targeted attacks on the UK.</p> <p>The increase in home working poses security challenges, but solutions have been put in place to maintain cyber security. The rollout of Microsoft Teams, the Pulse Virtual Private Network (VPN), and enhanced Microsoft security features available following the new licencing agreement, from July 2022, help 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. An improvement plan is now in place and activities allocated to the IT teams. An update on progress made was reflected in the follow-up report by Internal Audit issued in July 2022.</p> <p>Delivery of the improvement plan has been slow, and aspects were paused due to capacity challenges. Funding for a Cyber Security Officer post was agreed in 2021 but recruitment proved difficult. After three unsuccessful attempts, a specialist IT recruiter was sourced and we successfully filled the post in September 2022. The cyber security improvement plan is being updated and prioritised, and the pace now set to</p>

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						<p>increase. An additional Cyber Security Administrator is being recruited due to the considerable backlog of improvement work and the scale of the business as usual activities required to maintain the Council's cyber security protection.</p> <p>Other controls and activities are:</p> <ul style="list-style-type: none"> • An internal cyber security group meets monthly to review and manage the Council's cyber defences and processes. Progress against the audit review recommendations is monitored at the meetings. • IT Managers have attended the National Cyber Security Centre / iNetwork Cyber Resilience Training Programme. • Trafford is actively sharing information about potential cyber threats with partners including the North West Warning, Advice and Reporting Point (WARP) and nationally with the NHS CareCert service. • The Network People (TNP) provide Trafford Council with specialist security advice to help develop, manage, and monitor Trafford's security defences and incident response. • A phishing awareness campaign began during 2021 to provide employees and Councillors with ongoing security awareness training. The campaign has successfully raised awareness of phishing risks and continues to run as phishing is one of the main threats. • The IT & Digital Service have undertaken a cyber audit on the Trafford IT environment in conjunction with the Department for Levelling Up, Housing and Communities (DLUHC). A Cyber Treatment Plan has been agreed following the audit, with planned improvement supported by funding. One of the main improvements is a Cloud backup storage solution which was procured in August 2022. This provides offsite secure backups to allow recovery in the event of a cyber-attack and ensure our M365 hosted data is also backed up. We are currently in the process of implementing this solution

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						<p>with initial workloads onboarded. Estimated completion is December 2022.</p> <ul style="list-style-type: none"> Audits have identified applications exist on the Trafford network that are no longer supported by the software vendor. The unsupported applications are therefore not protected from the latest security threats. Work continues on upgrading, replacing or decommissioning unsupported applications but this will be an ongoing activity. <p>The results from the annual penetration test have been analysed and opportunities to strengthen the Council's defences have been added to the improvement plan.</p>
12	Asset Investment Strategy (Finance & Systems / Finance and Governance).	3	5	15 Medium	↔ No change	<ul style="list-style-type: none"> In February 2022 the Council agreed to a continuation of the Investment Fund of 500m. To date £342m of commitments have been made. Gross returns from the investments are used to cover the cost of any borrowing required to support the investment, provide for debt repayment and also contribute to a risk reserve. This investment to date has already provided a net benefit to support the revenue budget of £1.67m, £3.12m, £6.37m and £6.49m since 2018/19. Returns in 2022/23 are £5.67m and whilst this is still a positive net return it is approximately £1.6m lower than budget. The reasons for this relate predominantly to the impact of the Covid-19 pandemic on some of our key town centre retail asset acquisitions, the ongoing regeneration works at those assets 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 2022. The position is also hampered by the current national economic conditions. Inflation will have a direct impact on construction costs and the cost of borrowing is also increasing. Both these factors are impacting on the viability of developments which means that new investment opportunities are reducing.

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						<p>Therefore it is becoming increasing difficult to maintain the budgeted level of income through the Strategy.</p> <ul style="list-style-type: none"> • The revenue budget 2022/23 assumes a level of net income from the Asset Investment Strategy of £7.6m. This is a challenging target and therefore in later years of the MTFP this has been reduced by £1.5m in 2023/24 and a further £0.5m in 2024/25. The level of the investment fund will be reviewed as part of the budget setting for the 2023/24 budget. It will be important that sufficient headroom is left in the fund to cover the cost of a number of planned regeneration schemes in the borough. • To mitigate the risks of the approach nationally recognised investment advisors are being used as part of the due diligence process with emphasis placed on securing investments in low risk assets. • Each year all investments are reviewed as part of a risk assessment process by our advisors together with an annual valuation. This review takes account of the rental market, financial health of the tenants and whether anything is likely to impact on future income streams. Since the outbreak of Covid-19 more frequent reviews have been undertaken to identify the potential risk to income streams. The impact is mitigated to some extent due to the broad range of asset classes in the Council's portfolio, including offices, retail and industrial assets. The vast majority of income is derived from tenants that are considered to be low, or below average, risk according to credit agencies Experian and Dunn and Bradstreet. In respect of the loan portfolio, these are made at prudent loan to value levels and to borrowers of good covenant. • The annual revaluation exercise is used to determine if an appropriate level of debt repayment is being made. It is inevitable there will be changes in valuation year on year but the risks of downward movements in value are being mitigated through a diversified portfolio of assets.

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						<ul style="list-style-type: none"> • Further risk mitigation is being undertaken through the bolstering of a “Risk Reserve” through the ring-fencing of an element of the returns and an allowance for debt repayment (in accordance with national regulations). The reserve level was £6.31m as at 31/3/22. • All investments are scrutinised by an Investment Management Board which includes cross-party representation. • 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.
13	Loss / absence and retention of staff within the organisation. (Strategy and Resources / Finance and Governance).	3	5	15	↔ No change	<ul style="list-style-type: none"> • Strengthening of the senior leadership team – through introduction of Assistant Director level posts to aid succession planning for senior leadership roles. • Professional coaching (for development and wellbeing) is available for all managers/senior managers across the organisation to support them in leading and engaging their staff through transformational change and/or to support leaders with their health and wellbeing. • An EPIC People Manager offer is in place to ensure managers are conversant with all People management responsibilities. • Fully funded apprenticeships/qualifications from Operational to Senior Leadership (Level 7/MBA) and variety of apprenticeships at level 6 in role specific areas are available to support development. • A succession planning strategy approach helps to retain key skills, whilst up-skilling staff to take on higher graded roles. This approach has yielded several internal succession appointments. Successors will continue to be identified at senior manager level and targeted development initiatives provided to ensure that we are equipped to flex our workforce to react to resource and skills gaps. Each successor will also have access to a coach, if required.

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						<ul style="list-style-type: none"> • A refreshed performance management approach to the PDR process has been developed and launched. The framework makes clear reference to career development conversations (Broaden, Deepen, Step Up), which should support us to identify senior management potential early. • Trafford Let's Talk Leaders events have been refreshed and will be planned in periodically. There are opportunities for senior leaders to hear from our corporate leaders, keynote speakers, benefit from networking opportunities and sharing learning. Attendance also includes any colleagues stepping up or if relevant to their development. • EPIC values and a supporting behaviour framework have been developed in line with Trafford's vision aligned to corporate priorities. • Pro-active attendance management strategy developed and will be rolled out across Trafford with and EPIC manager Module to support the implementation of knowledge and skills. • A Health & Well-being strategy is in place with actions to maintain and improve employee morale and well-being. • Corporate Wellbeing Principles have been defined and regularly promoted along with support and resources advertised on our newly created health, safety and wellbeing pages. • Internal resources available to bespoke development plans for senior leaders identified at risk or potential for future/ready for growth. • Our Engagement Survey took place in June 2022. Analysis of the results from this survey at senior leadership level will help identify areas of focus and further actions/support required. • Development of a more formalised succession planning approach is currently underway. This will help to identify a pool of talent along with development plans to step

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						up into positions as required and adopts a proactive/planning approach.
14	Significant disruption as a consequence of COVID-19 and winter pressures (Authority-Wide)	3	4	12 Medium	↔ No change	<p>COVID restrictions have now ended, and we have now moved to a steady state; transitioning activity and governance back to BAU. Recovery governance and silver groups have been stood down. Increases in risk levels will be reported through the existing council governance structures.</p> <p>The risk score has been reduced to medium, recognising the continued risk of new COVID variants and potential challenges in the autumn. While rates fell over the summer, they are now starting to rise and is anticipated that this will continue through the autumn and winter. There is also an increasing risk of circulating flu and of co-infection.</p> <p>All project level risks have been reviewed, with residual risks assigned to appropriate owners. Business continuity plans have also been revised.</p> <p>A COVID Contain capability has been retained to continue necessary activities and to be in a position to respond quickly and effectively if we see a new variant / further surge. A tool kit is under development so that governance arrangements can be stood up quickly if required.</p> <p>The neighbourhood based community engagement team continues to work in localities on community engagement and behaviour change, and vaccination uptake.</p> <p>Our ongoing communication programme for residents, staff and partners continues</p> <p>New hybrid working practices have been established to support ways of working for our staff.</p>
15	Failure of the Adult Safeguarding Systems and	2	4	8 Low	↔ No change	<ul style="list-style-type: none"> The risk score reduced in likelihood earlier this year due to a number of improvements to the safeguarding practice which have taken place over the last 18 months;

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	<p>Processes to prevent an adult at risk of abuse or neglect from being harmed or a failure of the council to adequately safeguard an adult at risk from neglect or abuse.</p> <p>(Adult Services / Adult Social Care).</p>					<ul style="list-style-type: none"> • The Safeguarding Hub was launched on the 7th of June 2021, creating one central point for all safeguarding referrals into Adult Social Care. The Safeguarding Hub will also be responsible for managing organisational safeguarding and complex safeguarding issues such as self-neglect and hoarding, coercion and control, and capacitated adults who are making unwise decisions where the risk is remaining or increasing and previous attempts to engage have failed. The Safeguarding Hub will also represent ASC at multi-agency meetings such as the Daily Risk Meeting, MARAC, MAPPA, and Prevent. • The process of handling provider concern notifications is more focused on reporting higher numbers of low level concerns and providing rich data across the care market. • Provider concern data is routinely reviewed in the Joint Quality Improvement Board to detect trends and provide a coordinated partnership response to adverse reporting through support and prevention in the first instance. • We have established a devoted Adult Protection phonenumber for members of the public to directly contact social care to raise safeguarding concerns. • Work has commenced on developing the newly implemented Adult Safeguarding Hub into a multiagency safeguarding hub which aims to include GMP, IDVAs, Probation, GMMH, Health, Drug and Alcohol Services, and Housing within the service to provide a holistic multi agency response to safeguarding concerns. • Daily Risk Meetings, for the optimum management of individual cases, takes place with ASC, GMP, Children Social Care, Mental Health, and Achieve (Drug & Alcohol Service). This enhanced information sharing provides a multi-agency review of cases attended by the police in the previous 24 hours. • All safeguarding referrals received are triaged using a written risk assessment on receipt by the Adult Safeguarding Hub.

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						<ul style="list-style-type: none"> • Considerable work completed on incoming safeguarding referrals resulting in significant improvement in the timeliness of allocation. • Learning Lessons from adverse cases through Safeguarding Adult Review Panel (SAR) and Adult Learning and Improvement Committee (LIC) disseminated to staff across Adult Social Care (ASC). • We have an internal joint Legal and Social Care Coroners process embedded in to practice, this is being reviewed for effectiveness throughout 2022 • Targeted monitoring areas set by DASS and co-chairs of Joint Quality Improvement Board where concerns re quality or safety of providers is highlighted through usual reporting mechanisms. • Joint chairing arrangements introduced for MARAC as part of the MARAC review completed. A task and finish group is in place monitoring the effectiveness of the revised arrangements. • Response to Safeguarding Adult Review from the TSSP to optimise “lessons learnt” has been strengthened and includes managerial representation at strategic meetings that manage multi-agency safeguarding (DASS and JQIB), greater emphasis on practice change and embedding new ways of working. • Trafford is a national outlier with regards to the number of safeguarding referrals received. This is due to procedural issues as a result of North West Ambulance Service. This service is changing the way in which referrals are made into LA allowing referrals to be classed as early help rather than referring all cases in as safeguarding. The implementation of this process should significantly reduce referral numbers and bring Trafford in line with other areas. This is due to commence between the 7th and 14th of Nov 22. <p>Mental health services have highlighted concerns regarding completing safeguarding enquiries. The data that we have suggests otherwise as numbers of complete enquiries</p>

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						have improved. This will be monitored and reviewed on a regular basis.
16	<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>	2	3	6 Low	Decrease in Risk Score ↓	<p>The Business Continuity Project fulfilled its primary objectives to review and revise the Business Continuity plans of each service in the Council.</p> <p>The Project has delivered a new corporate business continuity policy and plan. The project oversaw the development of business impact assessments (BIAs) and business continuity plans (BCPs) for all departments and it established a new network of Business Continuity Service Leads (BCSLs) across the Council.</p> <p>The project has worked closely with colleagues in IT throughout its lifespan. The project conducted an IT systems audit for non-supported systems. This is the first time this information has been collated and has been presented to IT to manage hereafter.</p> <p>There are several, specific remaining outstanding actions. These are mostly BIAs and BCPs that were unable to be scheduled during the project's timeframe due to the extenuating demands of the particular services involved. Each of these actions has been agreed with the respective service, has an assigned owner and an agreed timescale for completion.</p> <p>The initial project has been completed and reported. Internal Audit have undertaken a review and have provided an initial draft report. This acknowledges progress made and highlights areas for further action. An action plan is to be agreed regards further developments required going forward.</p>