

TRAFFORD COUNCIL

Report to: Accounts and Audit Committee
Date: 23 November 2023
Report for: Discussion
Report of: Audit and Assurance Manager

Report Title

Strategic Risk Register 2023/24 (November 2023 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 2023 for each risk unless otherwise stated.

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

- 2.1 CLT agree the risks to be included in the strategic risk register and provide updates on risks under their remit.
- 2.2 This report contains an update on each of the strategic risks, including recent developments, progress made in managing each risk and further plans.
- 2.3 In terms of changes since the last strategic risk update there has been three changes in the risk scores:
 - Risk 1 (Medium Term Financial Strategy) which shows an increase from a risk score of 20 (High) to 25 (High).
 - Risk 14 (Business Continuity Planning) which shows an increase from a risk score of 6 (Low) to 9 (Medium).
 - Risk 13 (Joint Ventures) which shows a decrease from a risk score of 15 (Medium) to 10 (Medium).
- 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 16 strategic risks which are set out in Section 3.
- 2.5 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. Future updates to the Committee in early 2024 are expected to include risk management updates on cyber security and also the climate change emergency.

2.6 Comparison of Risk Levels June 2023 and November 2023

IMPACT

Risk Levels – June 2023

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

LIKELIHOOD

IMPACT

Risk Levels – November 2023

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

LIKELIHOOD

High Risk
Medium Risk
Low Risk

3. Strategic Risks (November 2023)

Red (High Risk)	Amber (Medium Risk)	Green (Low Risk)
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Risk Number 1	Likelihood (L)	Impact (I)	Risk Score (L x I) High Medium Low	Change in Risk Score
Continuing uncertainty regarding the Council’s medium term financial position given the reliance that exists on support from Central Government, cost pressures within the existing budget (compounded by the current high levels of inflation) and major changes that are planned concerning the reform of local government funding (Fair Funding) and the review of the business rate retention system with a planned reset potentially in 2025/26 and uncertainty of the sharing arrangements of the 100% GM retention scheme. (Finance & Systems / Finance and Governance).	5	5	25 High	↑ Increase in Risk Score
Corporate Priorities	All			
Existing Controls and Risk Mitigation	<p>Regular budget bi-monthly monitoring to the Executive, covering all aspects of the Council’s budget, including revenue, capital programme and investment strategy, prudential indicators, reserves, collection fund and school budgets.</p> <p>A Finance and Change Programme established (2022) to enhance our structured response to the significant budget issues and to provide strategic direction and proactive governance around the management of our Finance and Change programme.</p> <p>Recurrent pressures identified from in-year budget monitoring are fed into the Medium Term Financial Strategy (MTFS) and as such are reflected within the 2024/25 budget and later years.</p> <p>Implementation and compliance of CIPFA Financial Management Code.</p> <p>A robust Medium Term Financial Strategy and Plan covering a detailed period of 3 years and plus 2 at high level to accommodate a time period of 5 years to highlight the longer term uncertainty and delays in the Fairer Funding review and business rates reset. The MTFP is updated on a regular basis throughout the year and is a key tool in preparation of the draft and final budget papers.</p> <p>Review of earmarked reserves on a triannual basis (draft and final budget preparation and closedown). Review covers adequacy and robustness of each reserve.</p>			

<p>Update (Oct 2023) (Recent actions, performance updates, developments, emerging issues etc).</p>	<p>In respect of 2023/24 the Period 4 estimated outturn is a net overspend of £1.75m. Significant pressures are being felt in Childrens Placements and Home to School Transport. Higher than anticipated inflation has resulted in excess costs of the local government pay award, however higher interests rates have resulted in a favourable return on investments of surplus cash above budget. It is imperative that the adverse outturn is reduced to avoid any undue call on the limited earmarked reserves. Various contingency budgets remain in place and will be released as the year progresses. Further management action may need to be considered, above that already in place, to contain the forecast overspend and updates will be considered at period 6.</p> <p>The Draft Budget for 2024/25 and MTFs for 2025/27 is scheduled for presentation to Executive on 15th November 2023.</p> <p>There is a remaining budget gap of £6.41m in 2024/25, £12.75m 2025/26 and £10.64m in 2026/27.</p> <p>The Director of Finance is required by law to report independently to the Executive and Council his own opinion as to the robustness of the budget estimates and the adequacy of the financial reserves. His opinion will be presented in the final report, however the risk of a S114 notice is expected to increase, due to the rising demand pressures in social care services and the continuing impact of the high levels of inflation on the Council.</p> <p>The Council has minimal financial headroom to absorb financial pressures meaning the likelihood of a S114 remains a real concern during 2024/25, especially if it is unable to contain expenditure within budget during the current financial year and make further tangible progress to delivering further transformational savings required to balance the 2024/25 budget.</p> <p>This pattern is not unique to Trafford, with a recent survey by the Special Interest Group of Municipal Authorities identifying that 26 of their 47 member authorities could issue a Section 114 notice in the next two years, with five currently deciding whether to issue one imminently.</p> <p>Whilst good progress has been made towards reaching a balanced budget position for 2024/25 there is still a significant amount of work to do to achieve this. The Executive have already identified plans to make further progress to do this and these will need developing before the final budget is presented to Council for approval in February 2024.</p> <p>It is important that the focus of the Finance and Change Programme remains on balancing the budget over the medium term. Given the reliance on “corporate” solutions in previous years, more focus will inevitably need to be placed on the making savings on more forward facing services to meet future budget gaps.</p> <p>A key strategy to achieve financial sustainability is to focus on addressing the current funding shortfall when compared to other local authorities and the Council needs to lobby for a rebalancing of this position to Government. Without significant progress here the Authority is highly unlikely to be able to balance budgets through service transformation alone.</p> <p>Until the Autumn Statement is announced on 22nd November 2023, the level of overall Government support will not be known, although given the overall economic outlook and continued high levels of inflation and borrowing costs, it is</p>
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	<p>unlikely that the Government will have little room for manoeuvre. With this in mind the overall risk score has been increased to 25, reflecting an increased likelihood of a less than generous settlement.</p> <p>In respect of the school budgets and the Dedicated Schools Grants, whilst these are kept separate from the Council's budget, they are showing a growing High Needs deficit position, such that by the end of 2023/24 this could be as high as £9.4m, and as high as £44.43m by 2026/27.</p> <p>Without new interventions the high needs deficit is forecast to continue to increase over the MTFS period and is not financially sustainable. This creates a significant and unresolved financial risk to the Council. The Council is actively engaged with the Department for Education and is part of the Northwest SEND Change Programme Partnership to identify mitigations which may reduce the growth in costs.</p>			
<p>Further Actions Required / Planned</p>	<p>All existing management action needs to continue for the foreseeable future in managing the adverse outturn position in the current financial year. It is essential that the Council minimises the draw down from its limited earmarked reserves to maintain a cushion to support the financial planning for 2024/25 onwards. The Corporate Leadership Team will consider further measures that may be required to avoid any deterioration in the estimated outturn in advance of the Period 6 budget monitoring report when a more mature in-year position is known.</p> <p>The outlook beyond 2023/24 is still extremely challenging and the Finance and Change Board will need to continue to develop plans to identify robust saving to address the remaining budget gap for 2024/25 onwards. It is also essential in the run up to the 2023 Autumn Statement that the Council continues to lobby government to highlight not just the precarious financial position that all of local government is facing, but also the unique challenges it faces as a consequence of being one of the lowest funded local authorities in the country.</p> <p>Officers need to continue to work with the DfE and regional partners to identify solutions to control the rising DSG deficit.</p>			
<p>Risk Number 2</p>	<p>Likelihood (L)</p>	<p>Impact (I)</p>	<p>Risk Score (L x I)</p> <p>High Medium Low</p>	<p>Change in Risk Score</p>
<p>Climate Change Emergency (Place / Sustainability and Climate Change)</p>	<p>5</p>	<p>4</p>	<p>20 High</p>	<p>↔ No Change</p>
<p>Corporate Priorities</p>	<p>Addressing our Climate Emergency</p>			

<p>Existing Controls and Risk Mitigation</p>	<p>Climate Change can be addressed firstly through adaption - actions that designed to promote greater resilience to more extreme weather events. Secondly it can be addressed through mitigation – actions that are intended to slow or avoid the more severe climatic impacts. These are primarily focussed on reductions in local Carbon Emissions. It should be noted that The UK accounts for around 2% of global emissions and Trafford will be a small fraction of that. Alone Borough actions cannot possibly hope to affect Climate change – however our effectiveness will come via influencing and leadership to affect wider change.</p>
<p>Update (October 2023) (Recent actions, performance updates, developments, emerging issues etc).</p>	<p>Work has been completed on two studies for the greening of Trafford Park; these were reported to the Executive in March 23. A Strategic Partnership established between key actors, meeting on 27.10.23 to agree combined offer of decarb support for Businesses.</p> <p>First phase of feasibility on the Civic Quarter Heat Network has been completed – with Consultants presenting their findings on 5 June. A grant of £209k from the Government was secured in October 23 for the next phase of detailed feasibility.</p> <p>Launch of Energy Company Obligation phase 4 funded Home Energy Improvements – now fully launched and promoted, planned additional promotion through AHSC.</p> <p>Programme of active travel schemes also underway.</p> <p>Programme of urban tree planting and woodland creation agreed with City of Trees for the 23/24 planting season under Defra and Forestry Commission funded programmes including Northern Forest, Trees for Climate and Grow Back Greener.</p> <p>Approval of Longford Park NLHF Delivery Phase bid including Longford Brook de-culverting and SUDS scheme, with further work alongside UU and EA, plus successful Defra/Natural England ‘Lost Wetlands’ feasibility funding for Natural Flood Management and Nature Recovery at the former William Wroe Golf Course site.</p> <p>Partnership work commenced via GMCA Environment Team’ Adaptation workstream and working group, looking at hazard mapping across GM to help GM councils understand risk and impact, which will inform future work in Trafford.</p> <p>Partnership work with GMCA, GMEU, Natural England and The Wildlife Trusts on the GM Local Nature Recovery Strategy and preparation for mandatory Biodiversity Net Gain in 2024.</p> <p>Undertaken a Green Trafford Park study looking at how SUDS and Green Infrastructure opportunities across Trafford Park. On the back of this we are developing a Green Infrastructure Plan and engaging with United Utilities Green Recovery Fund.</p>

Further Actions Required / Planned	<p>Planned actions include:</p> <p>Develop and begin delivery of a One Trafford Partnership Decarbonisation Plan – plan now in progress, but awaits full completion.</p> <p>Local area Energy Plan to be developed further - GMCA are developing a Strategic Outline Business Case that seeks to identify funding and finance, Trafford is collaborating on the project.</p> <p>Deliver Public Sector Decarbonisation Scheme on Altrincham Leisure Centre – works underway and due for completion in summer 2024.</p> <p>Prepare a pipeline of projects to decarbonisation the corporate estate - Partington and Stretford Leisure centres decarbonisation are part of the PSDS 3c bid (circa £3.5m).</p> <p>Net Zero Trafford Park: Develop a delivery plan based on the Greening & Low Carbon Trafford Park studies - Target is to establish a Trafford Park Climate Alliance by 31.03.24.</p> <p>(Note – it is planned that a progress update will be provided to the Accounts and Audit Committee at a future meeting in early 2024).</p>			
Risk Number 3	Likelihood (L)	Impact (I)	Risk Score (L x I) High Medium Low	Change in Risk Score
<p>Trafford Council must ensure that it and 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.</p> <p>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) / Finance and Governance)</p>	4	5	20 High	↔ No Change
Corporate Priorities	All			

<p>Existing Controls and Risk Mitigation</p>	<ul style="list-style-type: none"> • Reviews of data incidents: to identify problem areas; and to implement controls to mitigate against reoccurrence. • Mandatory Data Protection and Information Security training modules are in place. • ‘Basic’ data protection training is in place for staff who do not process personal data in the course of their roles. • DSP Toolkit submission for 2024. This annual activity forms part of the IG annual work plan. • The Council has a Senior Information Risk Owner (SIRO) and Data protection Officer (DPO) to provide independence on the effectiveness of the Council’s data protection controls. • A revised security incident management policy to account for the legislative changes has been produced and available to staff on the IG intranet.
<p>Update (October 2023) (Recent actions, performance updates, developments, emerging issues etc).</p>	<ul style="list-style-type: none"> • Reviews of data incidents: to identify problem areas; and to implement controls to mitigate against reoccurrence. <ul style="list-style-type: none"> ○ Data breach reports continue to be reviewed and authorised by the Head of Legal & Governance to ensure overview and consistency of outcomes and recommendations. • Mandatory Data Protection and Information Security training modules are in place. • ‘Basic’ data protection training is in place for staff who do not process personal data in the course of their roles. <ul style="list-style-type: none"> ○ The service continues to work with the Workforce and Core Strategy to maximise engagement and overall compliance with the mandatory training across the Council. ○ HR now includes compliance data in the monthly workforce report and dashboard. The reporting is reviewed by CLT and DMT, providing greater oversight and accountability across the Council. ○ The Council is procuring a new eLearning system for implementation in April 2024. The aspiration is that this will interact with existing systems, drawing through live data which will enable compliance to be more accurately monitored and promoted. ○ The service has been working with Workforce and Core Strategy to understand and identify responsibility for the training requirements of shared NHS and school staff in respect of data security matters. • DSP Toolkit submission for 2023. This annual activity forms part of the IG annual work plan. <ul style="list-style-type: none"> ○ The Council’s 2023 submission was prompt and within timescale.

	<ul style="list-style-type: none"> ○ The Council was assessed as approaching standards, indicating that the minimum legal standards were met. In collaboration with IT, an action plan was developed and following re-submission, the Council is now assessed as meeting standards. The Council is now meeting more than just the basic legal requirements. ○ Discussion and preparation will commence with key stakeholders across the Council to ensure prompt submission for 2024. <ul style="list-style-type: none"> ● Resources and structure of the team has been reviewed with a view to improving resilience and support for the service. <ul style="list-style-type: none"> ○ The service redesign is progressing and once complete, will address the current lack of capacity to implement significant change. ○ Staff consultation on the service redesign commenced on 2nd October 2023 and once complete, associated recruitment activity will stabilise the team and introduce resource at manager, senior and administrative levels. ○ Once the new structure of the team is embedded, the full review will be completed and a full programme plan developed and implemented to address identified areas of risk and measures to control/mitigate those risks. ● The IAB to be reviewed in respect of role and remit and to be re-established. <ul style="list-style-type: none"> ○ This will be progressed following completion of the service redesign. ○ Outline plan/initial thoughts: propose each department nominates an IG Champion to take ownership of all IG issues within the department, full terms of reference to be agreed, information campaign to pitch requirements to service leads, selection/recruitment and post recruitment training for IGCs. ● Timeliness of FOI requests in 2022-2023 against the annual target of 95% set by the ICO: <ul style="list-style-type: none"> ○ Q1 – 78% ○ Q2 – 73% ○ Q3 – 72% ○ Q4 – 73% ● Timeliness of FOI requests in 2023-2024 against the annual target of 95% set by the ICO: <ul style="list-style-type: none"> ○ Q1 - 70% ○ Q2 - 67% (figure not yet finalised)
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FOI Received 2022/23	2022										2023	
	Apr	May	Jun	Jul	Aug	Sep	Oct	Nov	Dec	Jan	Feb	
Allocated	0	0	0	0	2	0	1	1	2	6	6	
Completed within 20 w/d	83	86	78	60	58	56	50	68	48	82	68	
Completed outside 20 w/d	27	21	21	19	22	22	21	18	20	27	22	
% Completed within 20 w/d	75%	80%	79%	76%	71%	72%	69%	78%	69%	71%	71%	
Completed	110	107	99	79	80	78	71	86	68	109	90	
Completion Rate	100%	100%	100%	100%	98%	100%	99%	99%	97%	95%	94%	
Total Received	110	107	99	79	82	78	72	87	70	115	96	

FOI Received 2023/24	2023										2024	
	Apr	May	Jun	Jul	Aug	Sep	Oct	Nov	Dec	Jan	Feb	
Allocated	5	5	8	12	25	36	60	-	-	-	-	
Completed within 20 w/d	65	76	76	73	77	57	9	-	-	-	-	
Completed outside 20 w/d	32	21	21	15	11	4	0	-	-	-	-	
% Completed within 20 w/d	64%	75%	72%	73%	68%	59%	13%	-	-	-	-	
Completed	97	97	97	88	88	61	9	-	-	-	-	
Completion Rate	95%	95%	92%	88%	78%	63%	13%	-	-	-	-	
Total Received	102	102	105	100	113	97	69	0	0	0	0	

- Not all SAR and FOI requests are processed centrally by the IG team. The Place and Children's Social Care Directorates process their own enquiries which are sent out in the name of individual Directors. The individual requests and supporting information are not held centrally but are held on the systems used by those directorates. There is currently no mechanism in place to secure oversight of these processes, deadlines and timelines of responses being provided by individual directorates.
 - As part of the Microsoft 365/Dynamics 365 migration process, discussions are underway between key stakeholders across the Council and as part of those discussions, digital solutions are being explored to improve and automate processes where possible to accurately measure and improve performance.

- Records management.
 - As part of the Microsoft 365/ Dynamics 365 migration process, discussions were undertaken between key stakeholders across the Council in respect of retention policies and data archiving policies insofar as they relate to digital data.
 - The ICT service captured SharePoint retention requirements from services across the Council as part of this ongoing work.
 - The Council engaged an external consultant to refresh the Corporate Retention Policy and maintains this engagement to ensure timely and accurate updates.

Further Actions Required / Planned	<ul style="list-style-type: none"> • Mandatory Data Protection and Information Security training modules – work continues to maximise compliance across the Council as identified above. • DSP Toolkit submission for 2024 – work will be commenced to ensure prompt compliance with the 2024 submission. • The service redesign continues to be progressed and recruitment activity as part of that process will address the current lack of resource, skill and workforce stability, which is impacting upon the ability to implement significant change. Steps are being taken as identified above to improve performance within current resource capabilities. • The service must develop the review of the IG team function and monitor this on a regular basis. • The service must explore the creation of IG champions across the Council to emulate the function of the IAB and the merits of its reestablishment. • Work is ongoing in connection with the Microsoft 365/ Dynamics 365 migration process as identified above. • Quarterly reporting on Data matters to CLT to be restarted. 			
Risk Number 4	Likelihood (L)	Impact (I)	Risk Score (L x I) High Medium Low	Change in Risk Score
Demand for school places under-estimated and/ or additional school places are not delivered to satisfy increased demand. (Children’s Services / Children’s Services).	4	5	20 High	↔ No Change
Corporate Priorities	Reducing health inequalities / Supporting people out of poverty			
Existing Controls and Risk Mitigation	<ul style="list-style-type: none"> • Thorough review based on GP population data undertaken each year taking into account migration, recent and planned housing developments. • The Education and Early Years Capital Report, giving the analysis of and projecting the increased demand for school places is now being implemented and is updated annually. • Briefings to Leader, Portfolio Holder and Corporate. 			

<p>Update (October 2023) (Recent actions, performance updates, developments, emerging issues etc).</p>	<p>Primary Places: In the normal admissions round for entry into reception in September 2023 there were sufficient places for our residents with surplus places in all areas. This is also projected to be the same for entry to reception in September 2024.</p> <p>However the surge of in-year applications continues to have an impact on primary places and has created pressure in the secondary sector as children move up.</p> <ul style="list-style-type: none"> • In Year 6 every school in Sale East is full and additional children have been admitted above the published admission number. There are only 2 vacancies remaining in Year 2. • In Year 3 every school in Sale West is full and additional children have been admitted above the published admission number. There are only 4 vacancies remaining in Year 6. • In Year 6 every school in Altrincham is full and additional children have been admitted above the published admission number. • This means that there are insufficient places in these year groups in Sale and Altrincham. • After implementation of a range of measures to increase capacity, Sale and Altrincham now have vacancies in every other year group. • Places above the admission number will continue to be allocated through the appeals process and fair access protocol in line with Trafford's determined admission arrangements. <p>Secondary Places: In the normal admissions round for entry into Y7 in September 2023 there was just enough capacity to offer a place to everyone who applied. However, 191 Trafford children, predominantly resident in Altrincham and Sale, could not be allocated places at any of their preferred schools and were allocated places at the nearest school with a vacancy. 110 of these places were in other areas of Trafford. At the end of the allocation every secondary school in Trafford was full and many schools allocated places above their published capacity.</p>
<p>Further Actions Required / Planned</p>	<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 underway at Altrincham College to create an additional 60 places per year group. This was originally scheduled to deliver places from September 2024, but project challenges mean this may now be September 2025. • School rebuild monies secured for Sale High School and Stretford Grammar School. • Capital scheme at Firs Primary School to create 30 additional places per year group now open in Sale West. • Permanent expansions completed at Templemoor Infant School and Moorlands Junior School in Sale East creating 30 additional places per year group from September 2023. All these places now open, with the exception of YR and Y1 as these places are not currently needed.

	<ul style="list-style-type: none"> • Permanent expansion completed at Willows Primary School in Altrincham creating 15 additional places per year group from September 2023. Places now open in Y3, Y4, Y5 and Y6. Places not yet opened in key stage one as not currently needed. • Additional 30 temporary places continue for school year 2023/24 in Y6 bulge class at Broomwood Primary School in Altrincham. • Additional 30 temporary places continue for school year 2023/24 in Y5 bulge class at Woodheys Primary School in Sale West. • Feasibility study and scoping underway for permanent expansion proposal at Broadoak School in Partington to create 60 additional places per year group from September 2025, with 30 additional places in temporary accommodation from September 2024. • 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. • Regular meetings with DfE Place Planning Teams to monitor sufficiency and impact of inbound migration. • Exploration of provision of new secondary school in Sale/Altrincham area took pace but not feasible. • 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. • Tailored application advice for Altrincham and Sale parents in the transfer cohort for September 2023 helped secure Y7 places for Trafford residents and robust communication strategy developed. This was replicated for September 2024 cohort. 			
Risk Number 5	Likelihood (L)	Impact (I)	Risk Score (L x I) High Medium Low	Change in Risk Score
Leisure Services – Leisure Investment Programme (Place/ Authority wide)	4	5	20 High	↔ No Change
Corporate Priorities	Reducing Health Inequalities / Addressing our climate crisis			
Existing Controls and Risk Mitigation	In February 2022 Executive approved £52.1m into the capital programme to cover the costs of the proposed refurbishment of Altrincham, Sale and Stretford Leisure Centres. Subsequent Executive budget monitoring reports have increased this budget to £56.2m to include for grant funding of £1.3m from Sport England and £2.8m funding relating to the Public Sector Decarbonisation Scheme (PSDS), both relating to Altrincham Leisure Centre. Following the completion of RIBA stage 4 in March 2023, the capital refurbishment budget for Altrincham excluding grant funded PSDS is £20m and in line with the budget agreed by the Executive.			

	<p>The revenue budget approved by Council in February 2022 included support to Trafford Leisure (CIC) of £1.1m for a full range of leisure provision for 2022/23 and over the medium term. This includes an ongoing annual revenue budget of £700k supported by use of reserves accumulated from prior years. This also includes the identification and funding of revenue costs to support business disruption during the leisure centre refurbishment programme. Due to increases in interest rates, affecting the cost of borrowing related to the redevelopment schemes, it is likely that additional subsidy from the Council will be required in future years. To mitigate this risk the Council is working with Trafford Leisure on an ongoing basis to reduce this subsidisation, which has seen the forecasted subsidisation of 22/23 reduced from £1.2m to a final deficit position of £325k. This is a reduction in the forecasted deficit of £865k.</p> <p>To further mitigate this risk, the Council is working to reduce the ongoing subsidisation of Trafford Leisure through developing a revised operating agreement that will ensure the necessary governance and reporting mechanisms are in place including, legal and financial agreements, property leases and service standards. Service outcomes will be aligned to the wider strategic objectives of the Council.</p>
<p>Update (October 2023) (Recent actions, performance updates, developments, emerging issues etc).</p>	<p>Sport England (SE) have confirmed £1.3m of grant funds. In October 2023 SE were approached for a further £300k to improve additional out of scope items including reverberation issues at Altrincham Leisure Centre.</p> <p>The Department for Levelling Up has confirmed £18.3m of grant funding to support the refurbishment of Partington Sports Village.</p> <p>In October the Council were successful in another grant award. This was a total of £263k from the government's Swimming Pools Fund (phase 1 revenue), which will support the in-year position.</p> <p>A phase 2 application has now been submitted in support of capital costs associated with swimming pools at Sale, Stretford and Urmston.</p> <p>PSDS applications for Leisure sites including Stretford and Partington have also been submitted to support the Council's investment and carbon reduction savings and outcomes.</p> <p>A successful planning application was received for the proposal to place an additional 3G football pitch on Partington Sports Village. This has further been supported by final approval from the Football Foundations Board of Trustees for the grant. This is a grant award of £800k towards the total project cost of £1.04m. The 3G pitch will support the health and wellbeing outcomes for the locality and provide an additional revenue for Trafford Leisure. The delivery of this scheme is ahead of schedule and due for completion.</p> <p>In February 2023, the Council executive approved Stretford Leisure Centre to follow Altrincham Leisure centre in the phasing of the leisure investment programme, and that it progresses to the next stage of pre-construction (public consultation and RIBA stage 3). Full project budget is £20m. Work on the revised business case is currently in play to include a design on budget that doesn't materially impact on the business plan and ability to repay the borrowing</p>

	<p>costs. Options have been worked up that consider the cost and impact on design and business case depending on the outcome of the pending PSDS application. We aim to have a business case ready for decision by November.</p> <p>Work to progress the revised Operating Agreement between Trafford Leisure and the council is ongoing with engagement of TL board.</p>				
Further Actions Required / Planned	<p>The council has agreed on a deficit position for Trafford Leisure in 23/24 and this includes an agreement on Pay Award to support the attainment of Trafford Leisure as a Real Living Wage employer.</p> <p>A key risk across the investment period has been the financial impact on Trafford Leisure and the ability to maintain business continuity of service provision during the works through a robust displacement programme. With phasing on the Leisure Investment programme now confirmed and using the 23/24 agreed budget position, an independent Leisure Consultant (Max Associates) will be conducting a 5-year business plan across the leisure estate. This will help provide assumptions on the subsidy required over this period.</p>				
Risk Number 6		Likelihood (L)	Impact (I)	Risk Score (L x I) High Medium Low	Change in Risk Score
Economic Uncertainty (Place / Authority-wide)		4	4	16 High	↔ No Change
Corporate Priorities	All				
Existing Controls and Risk Mitigation	<p>The Council has developed three new Corporate Priorities and as such there has been a requirement to amend the Inclusive Economy and Recovery Plan to reflect the new Corporate Priorities. The new Plan, the Inclusive Economy Delivery Plan, (considered and agreed by the Executive on the 20 February 2023) maintains the Council's commitment to support businesses to grow and for communities to develop and become resilient. The new Plan has a strong focus on addressing the causes and effects of poverty on residents and seeks to strengthen support for the VCFSE Sector in their support for the most vulnerable residents. As part of supporting businesses within the borough, a successful bid was made under the UK Shared Prosperity Fund Communities and Place Intervention theme which seeks finance to carry out a range of projects across Trafford.</p> <p>As part of the Council's support for businesses, a key focus of activity will be updating the Council's Invest in Trafford website to provide guidance and information to businesses on adapting to new ways of working through Brexit transition with a particular focus on attracting inward investment and exports. As part of the preparedness funding received from Government to help mitigate the effects of Brexit, a series of activities have been identified to spend</p>				

	remaining Brexit finances which will help ensure that businesses and communities in Trafford benefit from any new opportunities that are presented.
Update (October 2023) (Recent actions, performance updates, developments, emerging issues etc).	The Council has been awarded c£1.8m of Shared Prosperity Fund monies over the next two years to deliver against activity identified in Trafford's Communities and Place Investment Plan, delivering a range of projects to support businesses and communities. This complements the Inclusive Economy Delivery Plan which is monitored on a monthly basis.
Further Actions Required / Planned	Delivering against the actions contained within the Inclusive Economy Delivery Plan will be a key focus over the next two years and the successful delivery against the Plan's actions will be key in mitigating the risks around economic uncertainty. The Plan is a 'live' document and may be amended over time as circumstances changes and new issues arise.

Risk Number 7	Likelihood (L)	Impact (I)	Risk Score (L x I) High Medium Low	Change in Risk Score
Impact of Statutory Inspections (Authority-wide) Ofsted have conducted Inspections of Local Authority Children Services since 2018 using an agreed framework which is now well established. Local Authority Adult Social Care Departments will be subject to an inspection regime from the Care Quality Commission (CQC) commencing from December 2023, using a newly developed framework. It is also proposed that Integrated Care Systems will be subject to CQC inspection under the 2022 Health and Care Act with each Integrated Care Board (ICB) being reviewed to consider how health and social care work together. This is not yet in place but may come on stream during 2024/5 – a draft framework has been issued by the CQC. In addition Area SEND inspections for Local Areas (in respect of children and young people with Special educational Needs and Disability including Alternative Provision for education) were introduced in April. This replaced the previous SEND inspection framework and is a partnership inspection conducted by CQC and Ofsted and is an inspection of education, health and care systems. Although these inspections are carried out independently of each other, there is natural overlap between. Should the outcome of a statutory inspection deem a service to be rated inadequate, then it	3	5	15 Medium	↔ No Change

<p>can have significant reputational risk for the Council (and health partners). It will also have significant financial impact on the Council's Medium Term Financial Plan if additional resources are required to rectify areas identified as requiring immediate improvement by the inspection regime.</p> <p>Ultimately, if the inspections identify systemic failings in service delivery and practice, then the Government has, in certain circumstances, powers to mandate that appointed Commissioners are sent into the Council to directly oversee the functions identified as being inadequate.</p>				
Corporate Priorities	All			
Existing Controls and Risk Mitigation	<ul style="list-style-type: none"> • Significant experience of the Ofsted and SEND inspection framework in Children and Young People Services. Systems and processes in place to embed service improvement and management of inspection processes, • Governance in place to ensure activity takes place to demonstrate compliance and continuous improvement in all areas of Children's services. • Children's Services have been inspected and are no longer judged to be Inadequate. • A partnership SEND Ambitions plan has been co-produced and reflects the system wide improvement activity and is inclusive of strengthened wide system governance including health arrangements. • Adult Social Care have carried out a self-assessment against the proposed CQC framework. A Quality Lead has been appointed to oversee the CQC inspection readiness activity linked to existing continuous improvement programme – Improving Lives Every day. An additional staff member has also been seconded into the Quality team to conduct case file audits, working closely with the Quality Lead and Principal Social Worker. • The risks will be monitored and covered in future budget setting and monitoring reports. 			
Update (October 2023) (Recent actions, performance updates, developments, emerging issues etc).	<p>In advance of the formal CQC inspection the adult social care service completed a peer challenge review in September 2023 from the LGA to test the robustness and accuracy of the self-assessment. The outcome of the review has been shared through a draft report and will be used to develop an action plan for any areas requiring improvement in advance of the formal CQC inspection.</p> <p>Trafford Local Area SEND inspection took place 2nd – 20th October 2023 and the letter will be published 8th December 2023. Our SEND Ambitions Plan is being reviewed following the inspection to ensure the findings of the inspection are responded to on a system wide basis.</p>			
Further Actions Required / Planned	See above.			

Risk Number 8		Likelihood (L)	Impact (I)	Risk Score (L x I) High Medium Low	Change in Risk Score
Breach of health and safety legislation leading to prosecution under the Corporate Manslaughter Act and other Health and Safety Regulations.		3	5	15 Medium	↔ No Change
(Strategy and Resources / Finance and Governance)					
Corporate Priorities	All				
Existing Controls and Risk Mitigation	<ul style="list-style-type: none"> • Corporate Health and Safety Management System in place • Corporate Health and Safety Policy and guidance • 'Your Safety, Your Wellbeing' health and safety initiative in place to support effective health and safety management. • Six month and annual report to CLT/ JCP and Council. Quarterly JCC reports • Health and Safety Improvement Plan reviewed annually • Robust incident monitoring and investigation • Competent HSU advisory service • Proactive services and school audit programme • Specialist fire safety and moving and handling support in place. • Ongoing programme of staff training • Monitoring arrangements for contractors including the One Trafford Partnership • Delivery of employee health and wellbeing 				

<p>Update (October 2023) (Recent actions, performance updates, developments, emerging issues etc).</p>	<ul style="list-style-type: none"> The Trafford Internal Security Review Group has completed an assessment (including incident data analysis) of physical security measure improvements at Trafford Town Hall and Sale Waterside. A report made recommendations for a number of physical improvements at both locations which have now been agreed. The programme of works includes improvements at TTH Multistorey car park, TTH Reception turnstiles, TTH Staff entrance, Sale Waterside reception desk, interview rooms at both sites, improved CCTV provision at both sites and access pass system upgrades. The Schools Capital Team have coordinated extensive surveys of the potential presence of RAAC (Reinforced Autoclaved Aerated Concrete) in schools where the Council is the responsible body with programmes of investigation in 2019, 2021 and recently in 2023 following the DfE communications. No schools, where Trafford is the responsible body for the school building, have been identified with confirmed or suspected RAAC. 				
<p>Further Actions Required / Planned</p>	<ul style="list-style-type: none"> Continued delivery of the schools' health and safety SLA audit programme and service audits as prioritised under the 'Your Safety, Your Wellbeing' initiative. Delivery of the programme of security physical improvements works at TTH and Sale Waterside as highlighted through the Trafford Internal Security Review Group 				
<p>Risk Number 9</p>		<p>Likelihood (L)</p>	<p>Impact (I)</p>	<p>Risk Score (L x I)</p> <p>High Medium Low</p>	<p>Change in Risk Score</p>
<p>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>		<p>3</p>	<p>5</p>	<p>15 Medium</p>	<p>↔ No Change</p>
<p>Corporate Priorities</p>	<p>Reducing health inequalities / Supporting people out of poverty</p>				

<p>Existing Controls and Risk Mitigation</p>	<p>Ambitions for Children Board and Ambitions Plan</p> <p>Chief Executive and Lead Member Assurance Meetings in place</p> <p>TSSP Governance strengthened.</p> <p>Policy, Procedures and Guidance in Place</p> <p>Performance Management, Quality Assurance & Supervision Framework in place</p> <p>Investing in Our People Strategy developed and continually reviewed.</p> <p>Organisational Development Programme in relation to Social Work Practice and Oversight in place.</p>
<p>Update (October 2023) (Recent actions, performance updates, developments, emerging issues etc).</p>	<p>The OFSTED ILAC inspection over 3 weeks in November and December 2022 across the range of Early Help & Children' Social Care services judged that the service was no longer Inadequate. This was published in January 2023. The report highlights many areas of good and improving practice. However, there were 6 specific recommendations. An Action Plan highlighting how we are progressing these recommendations was submitted to OSFETD on 12th May 2023. This has been updated in October 2023.</p> <p>In February 2023 the Improvement Notice was lifted as a result Trafford are no longer subject to statutory intervention although our year of support continues.</p> <p>The Improvement Board has been replaced by an Ambitions for Children Board which is chaired by Leader of the Council. This Board has now met on 2 occasions. A refresh of the Ambitions Plan has been undertaken alongside the Performance Scorecard which incorporates the areas highlighted during the inspection.</p> <p>A Quality Assurance framework is in place which brings together a focus on performance, identifies trends and patterns which is then supported by the implementation of the workforce development strategy. This is underpinned by Directorate and Service Plans that brings a focus on improving quality of practice, performance and engagement with stakeholders.</p>
<p>Further Actions Required / Planned</p>	<p>Ambitions for Children Board first meeting to take place.</p> <p>Specific Improvement Plans have been developed to cover the issues raised in the OFSTED Inspection which are relevant to safeguarding, assurance meetings are being established to ensure continued focus and line of sight.</p> <ul style="list-style-type: none"> • Quality of Out of Hours provision (Emergency Duty Team) – Stockport have been commissioned to undertake a Peer Review and Options Appraisal for this service which has commenced. • Support to homeless 16/17-year-olds – DULUC re-visit planned for November 2023 • Supervision

Risk Number 10		Likelihood (L)	Impact (I)	Risk Score (L x I) High Medium Low	Change in Risk Score
<p>A successful Cyber Security Attack could lead to sensitive data being compromised, denial of access to the Council's computing services or severe degradation or loss of control of those services.</p> <p>(Finance & Systems / Finance and Governance)</p>		3	5	15 Medium	↔ No Change
Corporate Priorities	All				
Existing Controls and Risk Mitigation	<ul style="list-style-type: none"> The Council has partnered with an experienced security provider (The Networking People (TNP)) who provide consultation, strategy, and technical steer on all aspects of ICT Security. TNP have detailed processes for data security which are accredited to ISO27001. Their Information Security Management System (ISMS) is audited annually to ensure continuing compliance. The Council continues to maintain its compliance to data and cyber security frameworks such as the Payment Card Industry (PCI) Framework and the Data Security and Protection Toolkit. All Desktop Services are now running Windows 10 which is locked down to a Trafford standard build to avoid further deployment of non-standard software. Encryption defence is installed on all devices. Use of memory sticks and external devices is restricted, and any device will be encrypted. Enforcement of an Acceptable Use Policy across the Council. The Council continues to maintain the best practices set out by Central Government and keeps abreast of current Security trends via 3rd party consultancy and membership of external bodies e.g., Northwest Warning, Advice and Reporting Point (WARP). The Council has partnered with an external company to provide online mandatory training courses that all staff must take and pass within a given time frame. These courses include but are not limited to: Data Protection Act 1998; Fraud Awareness; Freedom of Information Act 2000 & Information Security. 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. 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. 				

	<ul style="list-style-type: none"> • 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 in the final stages of implementation with the majority of the Council's data now being backed up via the cloud solution. • Audits have identified applications exist on the Trafford network that are no longer supported by the software vendor. The unsupported applications are therefore not protected from the latest security threats. Work continues upgrading, replacing, or decommissioning unsupported applications but this will be an ongoing activity. • Creation of an internal Cyber Security Team and recruitment to the two posts was completed in December 2022.
<p>Update (October 2023) (Recent actions, performance updates, developments, emerging issues etc).</p>	<p>An up-to-date Unsupported Software Register has been created and the Cyber Security team have begun working with the other IT teams to identify, assess, and maintain software which carries the biggest risks regarding unsupported software.</p> <p>The newly acquired Vulnerability Management Solution has enabled the IT team to undertake high level vulnerability scanning on both network infrastructure and web applications. Server upgrades are underway based on recommended improvements and upgrades identified by the solution.</p> <p>Opportunities to improve the Council's e-mail security were identified by the Cyber Team and changes have been implemented that have improved the Council's E-mail status from "Medium Risk" to 'Well Configured'. This is an example of the continual improvements being made to the Council's Cyber Security posture now that the Cyber Team is in place.</p>
<p>Further Actions Required / Planned</p>	<p>The business case for investment in an Automated Policy and Compliance Manager solution is to be developed and considered.</p> <p>Investigations into Identity Access Management will be progressed focussed on our Microsoft Active Directory environment.</p> <p>Further progress will be made with implementing the Council's Security Information and Event Management (SIEM) tool on our incumbent product called FortiSiem. A second phase will transfer to the Microsoft Sentinel tool which will provide a more integrated solution.</p> <p>Windows Auto Patching is to be tested and a business case for implementation considered. Windows Auto Patching is a cloud service which automates the process of updating devices. The tool could potentially reduce the work needed to plan and implement Windows updates.</p>

	<p>A Cyber Security Awareness Month will be run during November 2023 throughout the Council. The campaign aims to educate staff and Councillors on the multitude of cyber risks to improve awareness and to instil best practice. Activities will be based on the biggest risks of Phishing; Ransomware; Social Engineering; and Mobile Security. Workshops are planned, content is being designed and formatted, and other methods of obtaining active engagement from users have been considered such as weekly quizzes.</p>				
Risk Number 11		Likelihood (L)	Impact (I)	Risk Score (L x I) High Medium Low	Change in Risk Score
Asset Investment Strategy (Finance & Systems / Finance and Governance).		3	5	15 Medium	↔ No Change
Corporate Priorities	All				
Existing Controls and Risk Mitigation	<p>Approval of acquisitions and investments is made by the Investment Management Board following technical due diligence by external property advisors CBRE, supplemented by cost consultants, valuers and legal advice.</p> <p>Performance monitoring will be undertaken for all investments on a regular basis, looking at the current market conditions, tenant strength and also an annual valuation of the asset. Monitoring is reported to both the Executive and the Investment Management Board.</p> <p>Annual provision will be set aside from the rental income for repayment of debt, together with an element transferred to a risk reserve.</p> <p>In the event of an adverse movement in asset values then consideration will be given to make further charges to the revenue budget.</p> <p>Compliance with the Prudential Code and adherence to statutory guidance.</p> <p>The Council has three joint ventures with Bruntwood and governance arrangements have been developed for these. A Partnership Board exists with equal representation from the Council and JV partner. Cashflow and business plan information is also regularly reported to the Board. Information is also provided separately to the Council's Executive on the trading performance of each Company.</p>				

<p>Update (October 2023) (Recent actions, performance updates, developments, emerging issues etc).</p>	<p>As part of the annual budget setting an updated Investment Strategy was approved by the Council in February 2023. This included a number of relatively minor amendments and maintained the key objective of the Strategy to support regeneration with a priority to in-borough projects.</p> <p>The most recent budget monitor reported to Executive in September 2023 reported an improvement to the current year net income which is now forecast at £5.9m (compared to a budget of £5.7m) with a total level of committed investments of £350m; this included a number of new investments that have been approved by the Investment Management Board in recent months.</p> <p>Security of the Council's investments remains the overriding priority and is why the Strategy focussed on lower-risk assets. The investment properties were acquired for longer term income stream stability and whilst this remains strong there are a small number of properties which are currently the subject to rent reviews in line with lease agreements. The post-Covid working environment, interest rate rises and economic uncertainty have combined to increase the risk environment for the Asset Investment Strategy over the last 12 months. The overall risk score remains currently unchanged given the existing controls but this could change.</p> <p>The income streams from the investment, with the Council's joint venture partner Bruntwood, in Stretford Town Centre is impacted by the town centre regeneration scheme and therefore borrowing costs related to the acquisition of the asset are being financed from the earmarked risk reserve and will be for a temporary period until the redevelopment is completed.</p>				
<p>Further Actions Required / Planned</p>	<p>To continue to review the impact the range of investments is having on the Council's cashflows and borrowing strategy, particularly in light of increases in the Council's borrowing rates from the PWLB over the latter part of 2022/23.</p> <p>To continue to review the risk position with regard to each investment asset in light of the wider economic environment.</p> <p>To continue to seek new opportunities to support further regeneration and to provide additional income to achieve budget targets.</p> <p>A number of potential investment opportunities are currently subject to due diligence and final approval for a number of schemes will be sought from Investment Management Board over the next few months.</p>				
<p>Risk Number 12</p>		<p>Likelihood (L)</p>	<p>Impact (I)</p>	<p>Risk Score (L x I) High Medium Low</p>	<p>Change in Risk Score</p>

Loss / absence and retention of staff within the organisation. (Strategy and Resources / Finance and Governance).		3	5	15 Medium	↔ No Change
Corporate Priorities	All				
Existing Controls and Risk Mitigation	<ul style="list-style-type: none"> ▪ People Strategy framed around employee journey and 4 pillars, Attract & Recruit, Engage & Sustain, Grow & Develop and Sustain. ▪ CLT Monthly Workforce Report. ▪ HRBP continuous review of leadership structure and creation of new senior management roles and interim arrangements to ensure sufficient breadth of leadership capacity and succession. ▪ Executive Search Framework in place. ▪ Succession planning strategy implemented for business critical & senior posts. ▪ Strengthening of the senior leadership team- introduction of new Corporate and Directorate level posts to strengthen leadership capacity. ▪ Opportunity for permanent recruitment for critical posts, with relocation available to ensure the widest candidate base. ▪ Smart working styles and flexible working. ▪ Recognition of high performers through various schemes (Cheers for Peers, EPIC Star & Time to Shine Awards) ▪ Access to SOLACE development programme for rising stars to aid succession planning and talent management. ▪ Fully funded Leadership and management development/qualification available e.g. Operational Manager to MBA Level. ▪ Health & Well-being strategy in place. ▪ ‘Your Safety, Your Wellbeing’, campaign launched to refocus on the steps we should all be taking to finish the working day, safe and well every day. ▪ Robust wellbeing offer with tools support in place, which is a current review and refresh is being undertaken. ▪ Support (OD) to design bespoke personal development plans for senior leaders identified at “risk” or potential for the future/ready for growth. ▪ Coaching strategy & offer in place to support personal and professional development with one to one development and wellbeing coaching available to senior managers alongside executive coaching. ▪ b- Heard Engagement Survey and analysis of results at senior leadership level supports to identify areas of attention and focus. ▪ Leaders Let’s Talk Sessions relaunched in face to face to support senior leadership engagement alongside annual leadership summit. ▪ Performance Mgt framework in place (Check-in’s) supporting conversations around wellbeing, performance and career development. 				
Update (October 2023) (Recent actions, performance updates,	<ul style="list-style-type: none"> ▪ Refresh of the people strategy and engagement sessions (including senior managers) ongoing. 				

developments, emerging issues etc).	<ul style="list-style-type: none"> ▪ Development of a more formalised succession planning approach is to take place. With the aims of identifying a pool of talent along with development plans to step up into positions as required and adopts a proactive/planning approach. ▪ HR toolkit Training for Managers is being developed focusing on supporting and developing training around some of the key policies e.g. attendance management, investigatory skills, Fixed term Contract Training. ▪ Wellbeing (as identified in the b-heard 2022 survey for senior managers as an area of focus) was a key theme at October's Leadership Summit, and themes will be carried forward into the new leaders Let's Talk 2024 sessions. ▪ Introduction of a new Level 7 Executive Leadership Programme (supported through the apprenticeship levy) with a Public and North-West Focus to support those wishing to Leap into executive leadership. ▪ Mutual Aid (if required) and Succession Plans/Interviews in place for key roles that have been/soon to be vacated e.g. Emergency Planning Officer and Strategic Health and Safety Officer. 			
Further Actions Required / Planned	<ul style="list-style-type: none"> ▪ Pilot Cohort (Level 7 Executive leadership programme) to be planned once programme fully developed and dates confirmed. ▪ Relaunch of People strategy, Planned late 2023/early2024. ▪ Outline and deploy training to support succession and talent development at a senior level. ▪ Framework & approach developed and embedded (talent and succession) along with senior leadership development programme to support those identified as potential/ready for growth. ▪ Actions developed and implemented from bespoke Senior Leadership b-Heard workshop. ▪ Continued focus on wellbeing at Leaders Let's Talk Events 2024 			
Risk Number 13	Likelihood(L)	Impact(I)	Risk Score (L x I) High Medium Low	Change in Risk Score
Joint Venture partner fails to deliver services to the required standard or fails to deliver required efficiency savings. (Place / Environment and Regulatory Services)	2	5	10 Medium	↓ Decrease in Risk Score
Corporate Priorities	All			
Existing Controls and Risk Mitigation	<ul style="list-style-type: none"> • Contract commenced on 4th July 2015. • Task and Finish Working Group reported to Exec in Feb 2019. • Appraisal into future service delivery models conducted in July 2019 • Review of all council governance on the contract has been undertaken. • Governance structure in place to oversee service delivery at a strategic and operational level. • Business Continuity Plan in place but is being reviewed to reflect current issues. 			

<p>Update (October 2023) (Recent actions, performance updates, developments, emerging issues etc).</p>	<ul style="list-style-type: none"> • 7 year review of all contract services to improve systems, processes and communication within the contract – Update to Council presented September 23, met with support from all sides. • Uplift in performance noted as part of the 7 year Review particularly in waste. • Take over of Amey has lessened the risk of parent company changes. New management showing commitment to invest and commitment to the leader and senior officers. • Reviewed the work programme which includes service improvement plans, cyclical plans for all transactional services, health and safety risk assessments and methods of working. refresh of all business continuity plans to ensure services are maintained in the event of planned or unplanned events. • Reorganisation of Client team has been completed. This has strengthened resilience and knowledge base and increased capacity to deliver projects. • As part of 7 year review complete reorganisation by TUPE of recycling team back from Amey on June 1st 2023. Moved likelihood risk down to 2 from 3. 			
<p>Further Actions Required / Planned</p>	<p>7 year Review to be finished with improved governance for the contract taking into account improved working relationship. Rebate mechanism to be finalised for Capital and legal agreement to be ratified by Christmas 2023.</p>			
<p>Risk Number 14</p>	<p>Likelihood(L)</p>	<p>Impact(I)</p>	<p>Risk Score (L x I) High Medium Low</p>	<p>Change in Risk Score</p>
<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. (Authority-wide)</p>	<p>3</p>	<p>3</p>	<p>9</p>	<p>↑ Risk Increased</p>
<p>Corporate Priorities</p>	<p>All</p>			
<p>Existing Controls and Risk Mitigation</p>	<p>Corporate Business Continuity Plan and Policy in place, updated 2022. All services provided a Business Continuity Service Lead (BCSL) as a Single Point of Contact. BCSL's offered and received a one to one session to complete Business Impact Analyses (BIAs) and Business Continuity Plans (BCPs). CLT sighted on all work undertaken and have full agreement. Testing of plans undertaken, and recommendations shared with BCSL's. Business continuity shared portal established, and all plans and documents stored on a SharePoint.</p>			

<p>Update (Oct 2023) (Recent actions, performance updates, developments, emerging issues etc).</p>	<p>Service leads have been contacted in April in order to progress the 2023 update of the Business Impact assessments and Business Continuity Plans – as both need to be ‘living’ documents taking account of changes in circumstance and risk.</p> <p>The lessons of the ‘Mighty Oak Exercise’ on a national power outage need to be factored into this process. Services who were unable to complete BIAs and BCPs in 2022 have been approached to facilitate completion this year.</p> <p>In September 2023 the Emergency Planning Manager who has day to day oversight of Business Continuity left the Council. Whilst responsibility for Business Continuity rests with individual services, this lack of oversight inevitably increases the risk that procedures will not be completed in a timely fashion. Accordingly the risk score has been increased.</p>				
<p>Further Actions Required / Planned</p>	<p>Further consideration regards progressing action plan in respect of audit recommendations made.</p> <p>Annual review of all BIAs and BCPs will need to be completed and signed off by relevant senior officers.</p> <p>Interviews have taken place for a replacement Emergency Planning Manager – but a replacement officer is yet to be confirmed.</p>				
<p>Risk Number 15</p>		<p>Likelihood (L)</p>	<p>Impact (I)</p>	<p>Risk Score (L x I) High Medium Low</p>	<p>Change in Risk Score</p>
<p>Significant disruption as a consequence of health protection incidents and winter pressures (Authority-Wide)</p>		<p>2</p>	<p>4</p>	<p>8 Low</p>	<p>↔ No Change</p>
<p>Corporate Priorities</p>	<p>Reducing health inequalities</p>				
<p>Existing Controls and Risk Mitigation</p>	<p>We no longer have any dedicated resources to reduce the risk of Covid, or to respond to any outbreaks. However, by and large we are now seeing high levels of both acquired and natural immunity, and we are continuing to offer regular vaccination to high risk groups. We continue to support care homes and front line workers with infection prevention control measures, and in the absence of a new variant with high morbidity/mortality and high rates of vaccine escape, we are moving into endemic management.</p>				
<p>Update (October 2023) (Recent actions, performance updates, developments, emerging issues etc).</p>	<p>Since the last update in February 2023, all dedicated resources for management of Covid-19 have been withdrawn.</p> <p>The risk score remains at low to medium, recognising the continued risk of new COVID variants and potential challenges next winter. Rates continue to fluctuate, although in the summer the risk of co-infection with co-circulating flu and other infections, reduces.</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>New hybrid working practices have been established to support ways of working for our staff especially when feeling unwell or following a positive COVID test.</p>			
Further Actions Required / Planned	As predicted in February, with the reduction in dedicated resources along with the reduction in rates, the likelihood of a significant outbreak has reduced but the impact, should this occur, would be high.			
Risk Number 16	Likelihood (L)	Impact (I)	Risk Score (L x I) High Medium Low	Change in Risk Score
Failure of the Adult Safeguarding Systems and Processes to prevent an adult at risk of abuse or neglect from being harmed or a failure of the council to adequately safeguard an adult at risk from neglect or abuse. (Adult Services / Adult Social Care)	2	4	8 Low	↔ No Change
Corporate Priorities	Reducing health inequalities, Supporting people out of poverty			
Existing Controls and Risk Mitigation	<p>A range of mitigating controls have been put in place including:</p> <ul style="list-style-type: none"> Establishing a Safeguarding Hub June 2021 to create one central point for all safeguarding referrals into Adult Social Care. The Safeguarding Hub also represents ASC at multi-agency meetings such as the Daily Risk Meeting, MARAC, MAPPA, and Prevent for consistency of approach. 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. A devoted Adult Protection phoneline for members of the public to directly contact social care to raise safeguarding concerns. 			

	<ul style="list-style-type: none"> • 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.
<p>Update (October 2023) (Recent actions, performance updates, developments, emerging issues etc).</p>	<p>ASC had a 5 day LGA Peer review September this year. Currently we have not received the full report, but we have been given a presentation with initial findings. A number of questions were raised by the peer review team relating to safeguarding operational practice in terms of the operational model and whether our current model is the best use of resources and adequately supports the safeguarding work in the locality teams. There is likely to be more detail on the peer review team's findings in the full report that is due mid November. However, given the questions raised ASC has put in a bid to LGA for 5 days consultancy in November/December to conduct a feasibility review of operational safeguarding. The review will look at quantitative and qualitative data to give an independent in depth review of our operational practice model.</p> <p>Strategic safeguarding The new safeguarding adults board manager and board chair are both now in post. Work is underway to identify priority work in relation to strategic safeguarding to ensure a well-functioning safeguarding adults board.</p>
<p>Further Actions Required / Planned</p>	<p>Further actions may be identified for operational safeguarding following the LGA 5 day consultancy feasibility review.</p> <p>Actions will be identified for strategic safeguarding and a plan of work mapped out.</p>