

GMCA Audit Committee

Date: 20 November 2020

Subject: GMCA Corporate Risk Register

Report of: Sarah Horseman, Head of Audit and Assurance

PURPOSE OF REPORT

The role of the Audit Committee is to provide regular review over the GMCA governance, risk management and internal control arrangements.

This report supports the Audit Committee in discharging this responsibility by providing the latest update on the corporate risk register for November 2020.

RECOMMENDATIONS:

Audit Committee is requested to consider and comment on the updates to the risk register and the associated actions and assurances provided.

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Risk Management – see Appendix A

Legal Considerations – see Appendix A

Financial Consequences – see Appendix A

Financial Consequences – see Appendix A

Number of attachments included in the report: None

BACKGROUND PAPERS: N/A

TRACKING/PROCESS		
Does this report relate to a major strategic decision, as set out in the GMCA Constitution		No
EXEMPTION FROM CALL IN		
Are there any aspects in this report which means it should be considered to be exempt from call in by the relevant Scrutiny Committee on the grounds of urgency?		No
TfGMC	Overview & Scrutiny Committee	
N/A	N/A	

1 Introduction

- 1.1 The Greater Manchester Combined Authority (GMCA) Corporate Risk Register “CRR” supports the identification and management of key strategic risks to the achievement of organisational objectives and actions considered necessary to mitigate them.
- 1.2 GMCA Chief Executive’s Management Team (CEMT) retains overall ownership and responsibility for the management of risks, actions and assurances being given. Oversight and Scrutiny will be provided by GMCA Audit Committee
- 1.3 Under its terms of reference, Audit Committee oversees the effectiveness of the GMCA risk management arrangements over GMCA and GM Mayoral Functions and this includes high level consideration of the risk management frameworks in respect of police and crime; fire and rescue; and transport. The GMCA (Full Authority) approves the GMCA CRR following consideration by Audit Committee.
- 1.4 Specific risk management arrangements and risk registers for GMP, TfGM and GMFRS will continue to be owned by the Chief Constable, Chief Executive TfGM and Chief Fire Officer respectively.

2 November 2020 Update

- 2.1 This quarterly update of the CRR takes into account the evolving risk landscape as a result of the Covid-19 pandemic and the impact on GMCA and the GM region as we look to implement our one year 'Living with Covid-19 Resilience Plan' as a short term strategy for GMCA.
- 2.2 This version of the risk register combines the Corporate Risk Register and the Covid-19 Risk Register which had been developed in the earlier part of 2020/21 to manage risks arising specifically as a result of the pandemic and the associated changes in working arrangements.
- 2.3 The purpose of the register is to identify the 'high level' risks that have arisen relating to the current national emergency as well as those which impact on GMCA operational service activities, finances and the safety and wellbeing of our staff.
- 2.4 Management of these risks is essential, and this process identified 28 corporate risks, which are of such significance they require close monitoring by Senior Leadership Team (SLT) and CEMT. These are captured under several thematic risk headings to aid understanding, review and analysis. The risks are categorised in line with the timescales for recovery; immediate risk (0-3months); affecting 2020/21 (3-6 months); Living with Covid/Building back better (beyond 6-12months).
- 2.5 The key risk areas relate to the level of financial and economic uncertainty on GMCA and the region, the register also includes key risks in relation to transport and Greater Manchester Fire and Rescue service.

3 Looking ahead

- 3.1 Going forwards, the development and implementation of a standard, organisation-wide GMCA Risk Management Framework will provide a more consistent and robust process for managing and reporting the most critical risks faced at all levels of the organisation.

- 3.2 The “look and feel” of this register may therefore change in the future when the new framework and templates are adopted.
- 3.3 A separate paper is provided to Audit Committee on the proposed risk management framework.

4 Recommendations

- 4.1 Audit Committee is requested to consider and comment on the risk register and the associated actions and assurances provided.

Appendix A - GMCA Corporate Risk Register – November 2020

GMCA STRATEGIC RISKS							RISK ASSESSMENT		REDUCING THE RISK		
ID	RISK CATEGORY	RISK NAME	RISK DESCRIPTION	CAUSE	CONSEQUENCE	RISK OWNER	TIMESCALE	RAG SCORE	EXISTING CONTROLS	TREND	ADDITIONAL COMMENTS / ACTIVITIES / ASSURANCE
CA-1	Strategic	Delivery of Greater Manchester Strategy (GMS) and GMCA one year 'Living with Covid-19' Recovery Plan	<p>Uncertainty over future funding and Government commitment may impact on the continued delivery of GM devolution priorities, Mayoral initiatives and GMS strategic objectives.</p> <p>Inability to deliver on key recovery targets and outcomes in response to Covid-19 pandemic.</p>	<p>Due to ongoing political and economic uncertainty, and the impact of Covid-19 GMCA is exposed to potential changes in government policy that affect planning and finance assumptions in GMS.</p> <p>One year spending review and possible changes in future funding means that some programmes and projects are put at risk where funding is not already secured.</p> <p>The unpredictability of the virus, effects on the region and timescale for recovery.</p> <p>Significant change to planned activity as GMCA focus is on managing the pandemic.</p> <p>Government and stakeholder relationships are compromised.</p>	<p>Potential imbalance between funding and priorities may mean we are unable to fully meet our future devolution plans and GMS/Mayoral objectives and commitments.</p> <p>The talk about potential devolution from Government had increased under the governments 'levelling up'. However, it will be key to ensure words are turned into actions to ensure GM's control over its future direction and delivery of the Greater Manchester Strategy.</p> <p>Reputational impact of not delivering on ambitions.</p>	Eamonn Boylan	2	Amber	<p>Revised one year 'Living with Covid-19' Resilience Plan as a short-term strategy for GMCA prior to the GMS being revised in 2021.</p> <p>Close engagement with Government departments on setting out the key spending and devolutionary priorities.</p> <p>Local Industrial Strategy agreed with Government and published although it does not give complete clarity re national devolution work programmes.</p> <p>Ongoing input into Government departments on key areas of policy – such as GMSF/town Centre development.</p> <p>Performance dashboard.</p>	Increasing	Risk needs to be kept under review as new Government policy evolves, and in the light of Covid-19, BREXIT and Spending Review decisions.
CA-2	Strategic	Covid-19 Emergency response Structures	<p>The ability of GM to respond adequately to national and local measures imposed in response to the Covid-19 pandemic and support residents and businesses.</p>	<p>The Covid-19 position is incredibly volatile both regionally and nationally making the response effort difficult.</p> <p>Uncertainty over financial packages and support made available.</p>	<p>The impact of Covid workload on Senior Leadership Team which is taking away from normal day to day GMCA priorities</p> <p>The risk of GMCA being unable to support partners in managing consequences of locking and unlocking.</p>	Eamonn Boylan	1	Green	<p>GM Emergency response structures including Strategic Coordinating Group and Tactical Support Group are in place and functioning</p> <p>Implementation of the 'Living with Covid-19 Resilience Plan' to deal with the impacts of the pandemic</p> <p>Mayor and Leaders lobbying the Government for the right level of support to GM businesses and residents</p>	Stable	
CA-3	Economic / Political	Brexit Implications	<p>Uncertainty about the future UK relationship with the EU creates a volatile operating environment for the GMC region. Impacts may include economic, financial, social and policy developments to which the GMCA must adapt.</p>	<p>The EU Transition period ends on the 31st December 2020. Currently EU UK negotiations are ongoing but there remains a significant amount of uncertainty over EU/UK trade deal and the impact on the GM economy and businesses.</p>	<p>The impact of the Covid-19 pandemic nationally and locally may mean preparations for Brexit are overlooked and the UK is underprepared. Potential short, medium- or long-term impacts on the economy.</p> <p>GMCA strategy (GMS) and business planning assumptions</p>	Simon Nokes	2	Amber	<p>GM Brexit Readiness Group has been reinstated to monitor the situation. GM Brexit readiness action plan.</p> <p>Ongoing Mayoral, Leaders and Chief Officer engagement with Government Departments.</p> <p>Joint work between GM Readiness Group, LRF and Economic Resilience Taskforce will continue over the coming months, ensuring District BLOs are fully</p>	Increasing	Risk of a no trade deal with EU has substantially increased.

			The GMCA is vulnerable to immediate impacts when Britain leaves the EU in addition to attrition impacts emerging from any economic turbulence.		are impacted. Loss of future funding streams. Impact on future GM business growth.				engaged and appropriate preparation made for any emerging issues. Economic Resilience Taskforce developing and testing appropriate responses for any economic shocks that may occur Investment strategy.		
CA-4	Economic	Covid-19 Business Support Funding	A Significant amount of Government grant funding is being managed through the Growth Company Business Growth Hub (GCBGH) to aid businesses, residents and the GM economy during Covid-19 Pandemic. Enabling timely access to this funding to address immediate needs in response to the impact of COVID-19 remains a significant risk.	Our ability to respond quickly to government announcements on new initiatives and financial packages. The requirement to revisit planned funding schemes due to changes in Government funding as GM responds to changing lockdown rules.	The approach and capacity is insufficient to deal with new government initiatives and funding proposals in ensuring the support reaches intended targets. GMCA are fundamentally responsible for delivery of this funding. Our ability to ensure that there is adequate governance arrangements for administration of initiatives and compliance with grant funding conditions is reduced.	Steve Wilson	1	Amber	GMCA working with the Growth Company, Local Authorities and Partners to put a support programme together to help manage delivery of this support and distribute grants in response to local economic circumstances. Two government loans schemes: see bills scheme; build back better loan scheme (underwritten by Govt) are up and running. Working with Growth Company to maximise the use of national or local funding available e.g. retained business rates.	Stable	£60m government funding package for tier 3 Additional support for any business forced to close in tier 3.
CA-5	Finance & Resources	Wider Impact on GMCA and GM District Finances	The financial implications on GMCA and GM Districts from the measures put in place to support residents and businesses through the Covid-19 crisis and direct implications from loss of income and additional expenditure.	Lockdown measures and imposed restrictions which impact the GM economy and business sector. GMs ability to protect the most vulnerable residents and protecting jobs and businesses. The requirement for a partnership approach with Government, Districts and significant partner organisations.	Impact on our ability to lead on the financial recovery of Covid-19 and build back better. Significant financial impact on GM Districts and GMCA budgets, TfGM and Metrolink from a shortfall in funding and loss of income resulting from the first wave of Covid-19. Has the potential to lead to a huge amount of work, significant cost to the GMCA and significant loss of income (retained business rates). Detrimental impact on Business Rates growth for 2020/21 which will reduce the 50% element subsequently retained by the CA. Likely deficit on Local Authority collection funds and a reduction in the overall Council Tax base which will reduce income from GMFRS, Mayoral and PCC	Steve Wilson	1	Red	Greater Manchester submission to the Comprehensive Spending Review and Devolution & Local Recovery White Paper, as our mechanism to secure further powers and resources from Government. Ongoing work to manage and mitigate the financial impact of the crisis as well as work to support other areas of recovery, including both humanitarian and economic elements. Work has commenced with a sub group of treasurers looking at ways to mitigate financial impact in 2020/21 through joint work across GM. This will include: a) £80m package of mitigations from GMCA to support Districts including waste reserves, business rates, reducing the levy to GMCA, deferred funding for bus reform. b) Maintenance of accurate record of COVID related expenditure incurred and forecast including recovery costs c) Lobbying of central government for funding of all COVID costs d) Ensuring all recovery activities are appropriately costed and financed e) Developing opportunities for financial recovery working across GM and within districts	Increasing	

					precepts in cash terms from 2021/22.				f) Reviewing existing pre-COVID investment priorities to determine whether these are still applicable in the short to medium term world but also identifying new priorities which may have emerged f) Support other recovery activities where appropriate		
CA-6	Finance & Resources	Financial Cost of Covid-19 on GMCA Budgets	The impact of unbudgeted Covid-19 costs on GMCA 2020/21 accounts and beyond.	Ongoing costs associated with supporting the GM response to managing the pandemic.	Increased cost pressures on GMCA and partner organisations and uncertainty over the level of costs to be covered by Government.	Steve Wilson	2	Green	Funding request to Government in October to cover Covid specific costs of £36m Review of funding commitments and proposed schemes. Building back better strategy.	Increasing	Continued discussion and lobbying of Government.
CA-7	Environment	Climate Change and Carbon Reduction	Failure to deliver on GM climate change initiatives within the required timescales with consequent impacts on achieving GM's long-term carbon reduction targets.	The scale of the task (to reach the ambitious carbon targets set) is such that there are a number of potential causes of failure: lack of funding; lack of change levers; lack of partner support; lack of sufficient engagement with GM organisations, businesses and citizens; a change in political priorities; failure to successfully lobby national government and global oil, gas and electricity price changes.	Long term climate change risks to population, business and infrastructure. Systemic and complex nature of the issue results in delayed decision making & action. Reputational damage to CA. Risk of disruption from climate protests.	Mark Atherton	3	Amber	1. GM 5 Year Environment Plan (March19) – which includes immediate mitigation and adaptation measures and further innovation measures needed to meet the challenge. 2. Mission based approach being adopted to gain broad cross sectoral support and action. 3. Commitment of funding from Retained Business Rates to support initial delivery against the agenda and external funding opportunities to support substantial change initiatives. 4. Media activity and annual Green Summit to share progress, encourage change and demonstrate Mayoral commitment. 5. Engagement with activist groups to share progress and raise awareness of constraints.	Increasing	Mission based approach - Challenge Groups and T&F groups initiated – responsible for reviewing/'owning' the scale of the challenge and ensuring appropriate joined up actions by all partners Bids submitted for external funding to deliver programmes at scale and development of innovative policy and finance mechanisms. Progress towards targets regularly reviewed through Green City Region Partnership 6 monthly update on GMCA actions in response to its declared Climate Emergency to be reported to CA
CA-8	Commercial	Transport - Metrolink	Significant loss of transport revenue due to Covid-19 and reduced patronage levels; uncertainty over longer term government funding support beyond 2020/21.	Reduced patronage levels since the first wave of Covid-19 and further lockdown restrictions imposed. Patronage fails to reach previous levels as people continue to work from home longer term.	The impact of short, medium- and long-term reduction in patronage levels, with TfGM is forecasting a potential shortfall of between £18 and £26m deficit for 2020/21. Impact of revenue shortfall on repayment of borrowings Funding will not be available for a renewals programme.	Steve Wilson	2	Red	Ongoing discussion with DfT of financial support packages. Government announcement on the next tranche of Government funding for Metrolink is due in October, which should provide a settlement for 2020/21. Longer term shortfall for 2021/22 estimated at £46m.	Increasing	Continued discussion and lobbying of Government. Seeking cost saving measures within overall transport budgets. Rephasing of capital spend, to fund renewals programme.
CA-9	Commercial	Transport - Bus Operators and	Significant loss of bus transport revenue due to Covid-19 and significantly	Impact of Covid on bus service provision, funding	Potential for loss of some services if routes become unviable due to low patronage	Eamonn Boylan	2	Red	Direct financial support to bus operators (Bus Service Support Grants).	Increasing	

		Service Provision	reduced patronage levels. There is uncertainty over longer term government funding to support bus operators beyond 2020/21.	and lower patronage levels.	levels. May require local subsidy to keep services operating if Government funding doesn't continue beyond 2020/21. Impact on future bus operator service contracts.				Discussions with Bus operators over implications on services and funding/income requirements.		
CA-10	Commercial	Transport - Bus Reform	There is a risk of delay to the decision on bus reform due to market disruption and impact of covid-19.	Approval and successful Implementation of bus reform deriving from the Bus Services Act 2017 is threatened by financial / resource capacity, and legal challenges alleging failure to comply with legislative and or public/administrative law requirements. Impact of Covid on bus service provision, have meant a significant drop off patronage levels and lower income from fares. Costing for bus reform is based on certain income assumptions. Changes to scope and non realisation of change benefits.	Reputational impact of inability to deliver on Mayoral priorities and GM strategic commitments.	Eamonn Boylan	2	Green	1. Ongoing senior level officer and political engagement with Government. 2. Bus reform project being managed through dedicated TfGM resources and reported through TfGM risk and assurance arrangements. 3. GMCA/Mayor/Districts have agreed a reformed TfGM and to amend the Operating Agreement. 6. Statutory Instrument (Greater Manchester Combined Authority (Functions and Amendment) Order 2019) came into force on 4 April 2019. 7. Reformed GM Transport Committee established and amended Operating Agreement 8. Constitution revised to reflect Mayoral bus powers 9. Assessment of proposed bus franchising scheme completed 10. Audit of assessment recently completed 11. The publication of the assessment and the audit of the assessment was approved by the GMCA on 07.10.2019 12. GMCA also agreed to undertake a consultation in accordance with section 123E of the Transport Act 2000, commencing on 14 October 2019 and ending on 8 January 2020, and agreed the funding for the consultation	Increasing	
CA-11	Operational Delivery	GMFRS - MTA Response (Marauding Terrorist Attack)	Concerns raised regarding GMFRS's capability to deal with such incidents, including specific feedback as part of the HMICFRS Inspection. Specifically, these differences have affected Greater Manchester Fire & Rescue Service's (GMFRS) ability to carry out practical training either as a single service, or as part of a multiagency response	Due to ongoing national differences between the Fire Brigade Union and the Fire and Rescue Service employers regarding whether this is part of the Firefighters role map.	May result in the Service not being able to respond effectively should an incident occur.	Dave Keelan (GMFRS)	2	Red	Merseyside Fire and Rescue Service's MTFA team will be called upon as part of our initial actions for any bomb/explosion/PLATO type incidents. An additional NILO officer has been placed on the Operational Rota to provide extra supervision and guidance to crews should they mobilise to work in a warm zone. GMFRS continues to engage with Rep Bodies to mitigate the risk.	Increasing	
CA-12	Operational Delivery	GMFRS - Built Environment	There is a risk that we are not appropriately engaged with the process resulting in our inability to influence	The Service has an uncoordinated response to the emerging findings from the Grenfell	Due to significant building failures which appear to have resulted from a number of deficiencies over the last 20	Tony Hunter (GMFRS)	3	Red	The analysis of the Grenfell Phase 1 report and identified areas from The Cube will be combined to propose best resource and governance arrangements within the wider PFC, for responding	Stable	

			the outcomes, effectively plan for the impact whilst ensuring that we still meet the needs of the Greater Manchester public.	recommendations. GMFRS is not fully engaged in the options for change, resulting in our inability to influence.	years, substantial recommendations from the Grenfell Tower Inquiry, and changes made through Government legislation, the Service is likely to be significantly impacted across all areas.				effectively to emerging challenges with regard to Prevention, Protection and Response within the Built Environment		
CA-13	Operational Delivery	GMFRS - Service Disruption	Due to the impact of the pandemic on the organisation, there is a risk that we will be unable to provide an effective service delivery.	Increased levels of sickness across the organisation due to contracting the virus, self-isolating and/or mental health and stress.	Inability to deliver statutory functions, potential impact on fire cover Potential loss of life - public / firefighter Potential loss of buildings due to fire.	Dawn Docx (GMFRS)	1	Amber	Key policies and processes in place to support operational resilience, staff and signpost to EAP Programmes: Regular and timely communication messages to all staff providing updates on key messages - internally and externally on. Guidance provided to Line Manager regarding supporting colleagues during this period. Degradation Policy COVID-19 Strategy & Response Plan Overtime Arrangements (agreed with FBU) Manager's Handbook Inc. Cleaning Procedures.	Stable	
CA-14	Workforce	GMFRS - Equal, diverse and inclusive workforce	Due to the outcome of the HMICFRS inspection which identified need for improvements in this area along with a range of external drivers and influences including the Thomas Review there is a need to develop a range of attraction, recruitment and retention initiatives which may result in increased success in attracting and recruiting a more diverse workforce	External Inspection Reviews	Failure will lead to the maintenance of an unrepresentative workforce	David Alexander	2	Green	Work is ongoing to develop a range of attraction, recruitment and retention initiatives which may result in increased success in attracting and recruiting a more diverse workforce.	Stable	
CA-15	Workforce	Capacity of Senior Leadership Team	The capacity of the GMCA CEMT/SLT is reduced due to the focus on Covid-19 emergency response work.	The impact of Covid-19 workload which is dominating SLT agenda time and taking away from normal focus on day to day GMCA priorities. Operational efficiency of senior staff is impacted due to prolonged working from home arrangements.	There is a risk that organisational initiatives, business plan objectives and priorities are delayed and don't receive adequate senior manager input and attention or oversight.	Andrew Lightfoot	1	Green	CEMT and SLT are in place and functioning. Attendance remains strong, no gaps in SLT establishment.	Stable	
CA-16	Workforce	Staff Absence	Increased risk of staff absence in GMCA/GMFRS due to Covid-19 and/or caring responsibilities due to ongoing lockdown restrictions.	Rising Covid-19 infection rates across GM.	The risk of staff reporting Covid-19 symptoms and/or the need to self-isolate remains a significant operational risk for all teams. Inability to deliver statutory functions, maintain key	David Alexander	1	Amber	Key policies and processes in place to support operational resilience, staff and signpost to EAP Programmes: Regular and timely communication messages to all staff providing updates on key messages - internally and externally on. Guidance provided to Line Manager regarding supporting colleagues during this period. Degradation Policy COVID-19 Strategy & Response Plan Overtime	Increasing	

					activities and responding to urgent business requests.				Arrangements (agreed with FBU) Manager's Handbook Inc. Cleaning Procedures		
CA-17	Workforce	Staff Mental and Physical Wellbeing	Prolonged tier 3/lockdown restrictions and imposed working arrangements mean this risk is likely to escalate as staff are asked to extend working from home arrangement over the next 6 months. This may affect staff health, wellbeing and morale. GMFRS - In an emergency service there are a range of reasons why people may be impacted by mental health and wellbeing issues, whilst the Authority has a range of existing mechanisms in place there is scope to further develop both managerial and staff support	lockdown restrictions and increased isolation.	Childcare & home schooling are meaning staff are worrying about not getting their work done and also not providing the right support for their family. Physical and mental health negatively impacted due to extended home working and isolated working. Increased levels of sickness due to mental health and stress. Prolonged absence from the work environment affect staff development and learning and induction of new staff. GMFRS - Scope to further develop both managerial and staff support. Failure would lead to unacceptable levels of sickness absence.	David Alexander	2	Amber	Tootal Building and GMFRS HQ remain open for the most vulnerable staff and those unable to work from home. Wellbeing initiatives and resources available for staff. Weekly online briefings from the Mayor, Chief Executive and SLT Members. GMFRS - Health and Wellbeing team undertake range of initiatives to support employee mental health and well-being. This capability has been enhanced as a result of the Covid crisis. Reasons for absence are monitored and tracked. General and specific wellbeing support is in place across the service	Increasing	
CA-18	Workforce	Behaviours and Culture	The Culture of the CA fails to adapt to changing organisational demands which in turn impairs efficiency and delivery.	Conflicts between desired and actual GMCA culture and standards impacts on consistency of approach. Inconsistency of approach could impact efficiency and the potential benefits that derive from integration and collaboration across the GMCA. Stalled progress due to the impact of the Covid pandemic	Culture inertia could result in an inability to retain staff, increase employee relation caseload, and increase pressures on recruitment.	David Alexander	3	Green	1. OD strategy for GMCA as a whole and organisational orientation and induction. OD strategy approved and implemented. 2. Development of Extended Leadership Team and 'lunch and learn / meet the team' sessions to help raise awareness of work across teams. 3. Regular communications from GM Mayor and Chief Executive, including intranet content and all-staff sessions to engage on vision on strategy. 5. Accelerated People Review (with authority to reallocate resources) is ongoing. 6. Staff engagement survey. 7. Pfc has a separate workstream looking at culture of the GMFRS.	Stable	
CA-19	Statutory / Legal	Data Protection Act 2018 compliance	Failure to comply with the requirements of the Data Protection Act 2018 (Inc. GDPR).	Arrangements are insufficiently developed in GMCA to meet obligations placed upon the organisation by Information legislation. Inclusive of Data Protection and	New ways of working increase the risk of failing to comply with GDPR requirements through poor data privacy controls in home working arrangements. Roll out of innovative technology to support new	Phillipa Nazari	2	Red	GMCA IG Board chaired by SIRO. Serious Information Governance Incident Panel to deal with any data breach and ensure robustness of approach.	Stable	Plan to put policies and processes in place.

				<p>transparency laws. Including expected organisational standards in respect of information management and governance.</p>	<p>ways of working not properly assessed and no information management strategy in place to manage this.</p> <p>Breach of information security through data loss or increased risk of Public Sector susceptibility to cybercrime including phishing attempts, hacking and denial of service attempts from external parties.</p> <p>There is an inability to demonstrate GDPR compliance and ensure effective information management and governance arrangements could result in:</p> <ul style="list-style-type: none"> • Breaches of legislation • Judicial review • Litigation • Claims • Reduced transparency and visibility of information and data • Reputational damage arising from breaches • Loss of public Trust • Inability to secure data sharing agreements with partners / Government. • Detrimental impact on GM wide programmes of work 						
CA-20	Statutory / Legal	Information Security	Organisational arrangements are insufficient to deter, detect and prevent unauthorised access to ICT systems.	<p>Loss of skilled and trained staff to lead on IS security.</p> <p>Requirement to rapidly stand up new digital capabilities at whole organisation scale that support remote working.</p>	<p>Potential loss/misuse of information or data, ICT downtime and costs of remediation.</p> <p>Partner and wider public confidence could be impacted should security issues arise.</p> <p>Ability to pool/share data with third parties could be impacted if the GMCA cannot demonstrate compliance with requirements of the Public Service Network or other security accreditation.</p>	Phil Swan	1	Amber	<p>1. Governance created to support the strategic direction of ICT/Digital and, separately, IG to improve cyber security.</p> <p>2. Majority of ICT infrastructure is based on mature GMFRS network, systems and applications. Further investment being made in technology to secure the network and enable secure multi-agency working. Wide Area Network to PSN standard implemented by end Dec 2018.</p> <p>3. Investment in tools to scan the infrastructure to ensure that vulnerabilities are identified and addressed.</p> <p>4. Support provided through mandatory IS training online (LMS) and information on the GMCA intranet. Training on information security is monitored and tracked through SMT.</p> <p>5. As discussed at the Oct 2020 Information</p>	Stable	<p>1. ICT security policy refresh undertaken in 2019.</p> <p>2. Continued efforts to recruit ICT Security Lead continuing with limited success. Members of ICT acting up to partially cover responsibilities.</p> <p>3. Penetration testing completed in 2019 as part of NCSC (GCHQ) funded security assessment undertaken by NCC.</p> <p>4. Review undertaken alongside IG colleagues to ensure compliance with the NHS Data Sharing & Protection Toolkit, August 2020.</p> <p>5. Consideration of cyber</p>

									Governance Board, additional ICT security features are available but will require organisational engagement and they will change practices. A proposal for this being worked up with IG colleagues for the SIRO to consider.		security Insurance and threat monitoring: Enhanced threat monitoring now in place.
CA-21	Statutory / Legal	Business Continuity and Contingency Planning	Failure to have in place an adequate organisational wide BC plan for GMCA to respond to a major incident or lower level disruption to service. (This risk excludes GMFRS)	Lack of robust policy, procedures and process for BC and organisational resilience.	Lack of a coordinated and focussed response, which could result in major service disruption. Potential loss of key business systems / data. Staff welfare Reputational damage Potential non- compliance with CCA legislation.	Julie Connor	1	Amber	1. Specific Fire and Rescue Service BC Plan. 2. Multi- agency emergency response through GM Resilience Forum. 3. ICT business continuity plans to cope with untoward incidents. Key applications identified and managed. Initial assessment of priority assigned. Information Asset Owners identified at Leadership level.	Stable	
CA-22	Statutory / Legal	Organisational Governance and Decision Making	Increased risk of non-adherence to formal governance processes and the effectiveness of organisational decision making, scrutiny and oversight.	Ongoing requirements for leadership team and staff to work remotely from home and follow social distancing rules.	May lead to delayed or ineffective decision making, a lack of transparency or appropriate level of scrutiny. Potential for legal challenge over decisions taken.	Liz Treacy	1	Amber	CEMT and SLT continue to hold virtual meetings hosted via Microsoft Teams to allow decisions to be taken. GMCA Constitution; Financial regulations and emergency procedures. New Regulations have been introduced allowing Boards and Committees to meet remotely and GMCA Governance team are supporting on live streaming of public Committee meetings.	Stable	Annual Governance Statement (AGS) and Code of Corporate Governance to reflect legislative arrangements and emergency procedures operated under Covid-19 pandemic.
CA-23	Reputational	Independent Reviews	Our ability to respond to the outcome of public inquiries.	Public inquiry Report and Recommendations	Negative impact on public confidence in GM's ability to respond adequately to the outcome of these reviews. GMFRS may face a significant amount of scrutiny in a public arena, which could impact the workforce and the Services reputation.	Andrew Lightfoot	2	Amber	CSE: Oversight and reporting to GM Mayor and Deputy Mayors, GMCA, Scrutiny Committees and Police and Crime Panel. Engagement through Deputy Chief Executive, lead Chief Executive for Children and Chief Constable to build support across GM to complete part three of the review to provide assurance on current practice. Manchester Arena Inquiry: Identification of resources to support preparation for the inquiry, including liaison with our insurers and with GMCA. Robust preparations undertaken in conjunction with BLM. Communications and staff welfare plans being developed. Ongoing internal reviews of learning (inquiry preparation)	Increasing	

									Regular updates to CLT Briefing to Deputy Mayor/Director of Police Fire and Crime		
CA-24	Operational Delivery	GM Waste & Recycling Contract	(a) Contractor(s) fails to perform as required by the Contract. (b) Construction of new facilities are delayed. (c) Recyclable materials value reduce as a result of global commodity trends or the quality of the material collected is not high enough (d) National Waste and Resources Strategy results in change to collection, treatment or disposal requirements (e) A no-delay Brexit affects services (e.g. fuel shortages, supplies import delays, loss of drivers etc.)	Causes generated by Brexit and changes to Government policy.	The Contracts do not achieve intended financial, service, social and environmental outcomes Income from commodities decreases and/or costs of processing increase and/or costs of rejection increase and/or materials are managed in a less environmentally favourable manner and/or recycling performance decreases Additional collection costs and/or claims from disposal contractor for changes in waste flows or composition; potential redundancy of facilities and/or procurement of new contracts due to imposed requirements of National Strategy. Brexit: some services may have to be reduced	David Taylor	3	Green	Robust performance management framework in place to incentivise performance. Transfer of knowledge from advisory team to core Waste team. Experienced contract management team in place utilising existing contract management systems. Core GMWDA team transferred to GMCA provides continuity and knowledge transfer. Additional contract management resources being recruited. Management of progress through project planning and contractor liaison. Operational risk register in place. Oversight by Waste Committee. Tracking of global commodity prices to give transparency, 2 year communications and engagement plan with focus on contamination and improve quality of recyclables collected. Joint group with WCAs to develop responses to consultation documents. Brexit contingency plan provided by Suez and other contractors' advise of their mitigations.	Stable	
CA-25		Capital Programme Delivery /Governance	Regeneration, infrastructure and investment funding (Growth Deal, Transport Grant etc.) awarded to GMCA is not spent in line with spending profile and this impacts future year financial awards.	Delays in progressing schemes due to Covid-19 and challenging economic conditions.	Failure to deliver the capital programme and delays in delivery of schemes by districts and TfGM could result in reductions to future funding allocations and increased risk of clawback. Impact on the ability to secure value for money and achievable outcomes set out in the GMS. Measurement of impacts and outcomes may not be effective in supporting future decision making. Lack of confidence from key partners and funders could impact future funding awards	Eamonn Boylan	3	Green	Single Pot Assurance Framework . Gateway processes for scheme appraisal and approvals. Reports to Chief Executive's Investment Group (CXIG) and GMCA Board on scheme progress and delivery of the Capital Programme. Mature TfGM governance arrangements and reporting into the GMCA. For major transport schemes, reliance is placed on TfGM to oversee programme delivery, budget profiling and expenditure forecasts. Oversight by Scrutiny Committee, TfGM Committee and sub committees. Performance monitoring framework linked to GMS and GMCA business plan.	Stable	
CA-26	Operational Delivery	Covid 19 - Delivery of Work & Skills Externally	Work & Skills Directorate currently manage in excess of £200m of external funding that	Lockdown and further local restriction have meant that work and skills provider delivering	Those GM residents in most need may be unable to access support at time when many require additional support in	Gemma Marsh	3	Amber	A covid contingency plan to support Greater Manchester Work & Skills Programme was agreed in March 20. The plan built was built around the emergency policy government put in place - PPN	Stable	

		Funded Programmes supporting GM Residents	<p>support GM Residents to improve their skills and progress into employment, which include AEB and Working Well programmes.</p> <p>The national and local restrictions in place in relation to Covid-19 have a major impact on how Work and Skills contract continue to be delivered in GM.</p> <p>Potential financial instability of the providers base in GM.</p> <p>Potential underspend in grant funding and lower than expected performance against targets set by of funders.</p>	<p>contracts in GM are unable to delivery the face to face provision to GM residents that are key element of their contracts.</p> <p>Most contracts are delivered on a PBR basis therefore providers ability to draw down funding could be seriously impacted upon, thus creating some financial instability, particularly for smaller providers.</p>	<p>developing transferable skills to support them in the labour market or support addressing health or other related barriers into employment.</p> <p>GM would not have a provider base that was strong enough to respond to demand, at a time of greater need to support GM residents and businesses who have been hit by immediate impact, as well as longer-term implications for the local economy.</p>				<p>02/20 in relation to supplier relief. The plan was based around a 12 month period with quartely reviews. This allowed most providers to move over to cost payment model in order to address financial instabilty issues.</p> <p>Maybe a need for further consideration post March 21, depending on how the position with the pandemic progresses.</p> <p>Providers have tasked with developing alternative methods of delivery during this period to ensure that those in need, could access the services and these are review as part of the ongoing contract managment.</p> <p>Robust contract management processes are in place, along with open book contract management.</p> <p>Working closely with DWP and other government department to align our approach to contract mangement during the pandemic</p> <p>Working with finance/procurement colleagues in the use of Company Watch - a due dillegence system designed to assess the financial standing of companies.</p>		
CA-27	Operational Delivery	Digital risks	<p>GM Full Fibre grant funding awarded to GMCA by DCMS is not spent in line with spending profile and this impacts programme delivery.</p>	<p>Delays in progressing implementation work mainly due to Covid-19 impacting ability to access sites, pace of providing wayleaves and permits, and supplier quality issues.</p>	<p>Failure to deliver full programme and expected level of connectivity to sites across GM which may impact some areas of GM more than others.</p> <p>Impact on subsequent economic and social benefits of improved fibre connectivity.</p>	Phil Swan	2	Red	<p>Micro- management of supplier including fortnightly Framework Board meetings being established.</p> <p>Close working with councils, FRS and TFGM.</p> <p>Intense stakeholder engagement with DCMS which has already enabled approx £1M of grant to be carried over into Q1 2021.</p>	Increasing	

					Impact on downstream public sector benefits that are expected to emanate from the FF network. Reputational impact with stakeholders in GM and with DCMS.					
CA-28	Operational Delivery	Digital risks	The HSCP steps back from continued funding for the GM Digital Platform, specifically the health element of this work being delivered via Salford Royal FT as part of the joint programme with GMCA.	Financial pressures on HSCP. Concerns from sections of the health system for any available funding to be used elsewhere.	The HSCP element of the programme ends and costs could fall to GMCA alone for which there is insufficient budget resulting in closure or heavy reduction in scope. Impact on delivery of Early Years digitisation across GM plus several other initiatives. Undermine data sharing and use across GM significantly.	Phil Swan	1	Amber	Close engagement with SRFT and HSCP, plus Health Innovation Manchester to determine a way of progressing this challenge. Revised draft model of HSCP Digital governance structure agreed through intervention of Sara Todd and Andrew Lightfoot with HSCP and HIM. SRFT themselves potentially will likely continue to fund elements of the programme to benefit the Northern Care Alliance. A review of the cost base of the Digital Platform and team supporting it is underway.	Stable

The Risk Continuum: Risk Scoring Guidelines

Timescale	RAG Score / Status of risk
1. This is a current risk issue	Red – Risk not yet mitigated and significant problem that must be addressed in the short term and requiring close attention
2. 3-6 months - impacting FY 2020/21	Amber – Risk being mitigated partially but requires monitoring and/or additional control measures required prior to next formal review
3. Long term risk, living with Covid/building back better	Green – Risk Under Control to an acceptable level