

## **Manchester City Council Report for Information**

**Report to:** Audit Committee – 11 March 2019

**Subject:** Corporate Risk Register

**Report of:** City Treasurer and Head of Internal Audit and Risk Management

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### **Summary**

It is the role of the Audit Committee “to obtain assurance over the Council’s corporate governance and risk management arrangements, the control environment and associated anti-fraud and anti-corruption arrangements”.

This report supports the Committee in discharging its risk management assurance role by providing the most recent update of the Corporate Risk Register.

### **Recommendations**

Audit Committee is requested to consider the assurance provided by the process for the review of the Corporate Risk Register; and the reported risks and associated actions and assurances.

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### **Wards Affected:**

All

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### **Background documents (available for public inspection):**

- Annual Corporate Risk Management Report and Corporate Risk Register Report. Audit Committee 25 January 2018 and December 2018.

## **1. Introduction and Context**

- 1.1. Audit Committee received an annual progress report in relation to delivery of Risk and Resilience strategic priorities in December 2018. In that report it was noted that the corporate risk register (CRR) was being reviewed as part of the process of 2019/20 business planning refresh; through which, the Council's directorate and partnership business plans and supporting documents, including risk registers, were being updated.
- 1.2. This process has been completed with business planning reports being presented to the Council's Scrutiny Committees in February. This process informed the latest refresh of the CRR which is appended to this report.

## **2. Approach to CRR Refresh**

- 2.1. By analysis of Business Plan risk assessments for Core, Children's Services, Adult Services, Strategic Development, Neighbourhoods and Homelessness, a series of high level, cross cutting risks were identified and captured on the CRR. In addition, the most significant directorate risks were identified on the basis of their potential to impact on the delivery of corporate priorities as set out in the corporate plan. These too, have been added to the CRR.
- 2.2. By aligning corporate and directorate risk processes, a wider corporate risk profile has been captured which focuses on (i) strategic risks to be managed collegiately via Strategic Management Team (SMT) and (ii) risks managed by or led primarily by Strategic Directors and their management teams. This has resulted in an assessment of 8 strategic SMT risks and 24 Director-led risks in the CRR.
- 2.3. Risks have been analysed by themes and the CRR also links risks to the Council's seven Corporate Plan Priorities. These are explained as a glossary of terms and assessment criteria at appendix two.
- 2.4. This analysis was presented to the Governance Assurance Group and onward to the Senior Management Team for review and approval. The CRR captures the main areas of assurance and is a 'living document' and will be subject to ongoing review and formal refresh in line with the timetable set out below.

## **3 CRR Refresh: Timetable**

- 3.1 The calendar for refresh of corporate and Business Plan risk assessments remains as follows:

	Frequency	Q3 2018/19	Q4 2018/19	Q1 2019/20	Q2 2019/20
DMTs update risks	Quarterly	Dec 2018	March 2019	June 2019	Sept 2019
Governance and Assurance Group review and agree the CRR	Quarterly	Jan 2019	April 2019	July 2019	Oct 2019
SMT review and endorse the CRR	Quarterly	Jan 2019	May 2019	August 2019	Nov 2019
Audit Committee review risk management arrangements	Annually	February 2019			

#### 4. Key Points to Note

- 4.1 Using the new model of the highest rated directorate level risks as a core component of the Corporate Risk Register the totality of current risk and split of key directorate risks can be described thematically as follows.

Strategic Risks	High	Medium	Total
Our Partnerships	1	1	2
Our People	1	1	2
Our Performance	2	3	5
Our Finances & Resources	1		1
Manchester People		1	1
Manchester Places			
Statutory & Legal Duties		1	1
<b>Total</b>	<b>5</b>	<b>7</b>	<b>12</b>

Key Directorate Risks	High	Medium	Total
Core	2	3	5
Strategic Development	3	2	5
Neighbourhoods	1	3	4
Adult Services	3	1	4
Childrens Services	1	2	3
Homelessness	2	1	3
<b>Total</b>	<b>12</b>	<b>12</b>	<b>24</b>

- 4.2 No low risks have been included within the risk profile on the basis that these will be managed within directorates and only escalated in the event of a change in their risk profile to a degree where they warrant the active engagement of the relevant Strategic Director(s).

- 4.3 Whilst the approach to capture of corporate risks is significantly different to previous iterations of the CRR, the key themes remain consistent.
- 4.4 Whilst there are five high risks held on the CRR, only one is an entirely new to the CRR. This is Risk 2 that focuses on the unpredictable impacts of a “Hard” or “No Deal” Brexit on the ability of the Council to plan effectively and to continue to deliver a full range of services to businesses and citizens. It is classed as a high risk.
- 4.5 Four additional risks are scored as High. All of these were captured on the previous version of the register, although wording has been amended to capture changes within the risk landscape and in the Council’s response. The risks can be:
- ability to deliver planned savings necessary to assure a balanced budget
  - ability to assure the required capability within the workforce to deliver the requirements of transformation and business as usual.
  - ability to develop effective partnership working to deliver Health and Social Care integration
  - ICT resilience and its potential impacts on core systems and services.

## **5. Recommendations**

- 5.1 Audit Committee is requested to consider the assurance provided by the process for the review of the Corporate Risk Register; and the reported risks and associated actions and assurances.

**Appendix One: Strategic Risk Register: Managed by Strategic Management Team**

ID	Level	Theme	Key Corporate Plan Links	Risk Description	Risk Owner	Existing Key Controls and Sources of Assurance	Risk (current) Impact x Likelihood	Areas for Key Actions and Deadlines
1	Strategic	Our Finances and Resources	7	<b>Planned savings</b> are not achieved resulting in increased pressure on reserves and requirement for unplanned savings and cuts to services to made to achieve a balanced budget.	CT	Robust regular process of budget setting, business and delivery plans and budget monitoring in place with assessment of key financial risks.  Reporting to DMTs and SMT; Executive and Scrutiny Committees.	4x4=16 High	Budget reports 2019/20 to Scrutiny, Executive and Council (CT): February and March 2019
2	Strategic	Our Performance	4 7	Consequences of <b>Brexit</b> impact negatively on a range of budget and other assumptions for the Council, partners and residents of the City. These include impacts on business rates, care and health budgets, airport revenues and welfare budgets; as well as wider impacts on recruitment and retention, economic	CEX	Brexit Preparedness Group  Pan GM Planning Session February 2019 and Head of Policy attendance and feedback from GM Brexit Group.  Reporting to Council Resilience Forum and SMT  Engagement via GM Brexit governance arrangements	4x4=16 High	Directorate Brexit risk and report to SMT (DN): February 2019  Directorate risk and response assessments: (DN): February 2019  Risk assessment in budget assumptions and reports (CT): March 2019

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				development, housing and infrastructure projects.		and though AGMA Civil Contingencies and Resilience Unit.		
3	Strategic	Our People	7	<p>Capability of the <b><u>workforce</u></b> is not aligned effectively to key priorities and organisational requirements. This includes:</p> <ul style="list-style-type: none"> <li>● capacity in core managerial and technical disciplines;</li> <li>● leadership capacity and capability to drive change and transformation; and</li> <li>● workforce motivation and engagement.</li> </ul>	CEX	<p>Corporate plan supported by Our People Strategy and staff engagement including Listening in Action, Our Manchester Experience and regular communications.</p> <p>Leadership and wider skills development programmes in place.</p> <p>Directorate workforce development and Bheard improvement plans.</p> <p>Reporting to SMT, Executive and Resources and Governance Scrutiny</p>	4x4=16 High	<p>Communications, Bheard Action Planning and focused work with Senior Leaders (CT, DHR and Director of Communications): Ongoing</p> <p>Leadership briefings via NW Employers (DHR): From March 2019</p>

ID	Level	Theme	Key Corporate Plan Links	Risk Description	Risk Owner	Existing Key Controls and Sources of Assurance	Risk (current) Impact x Likelihood	Areas for Key Actions and Deadlines
4	Strategic	Our Partnerships	2	Failure to achieve the desired and intended outcomes of <b><u>health and social care integration</u></b> increases further pressure on Council and health budgets; and impacts on the ability to achieve improved health outcomes for Manchester residents.	CEX	<p>Active senior leadership engagement in HSC governance with MHCC and MLCO. Joint business and budget planning with MHCC and MLCO in place.</p> <p>Risk managed at SMT level with DASS and other Chief Officers.</p> <p>Review of system wide assurance framework with health and Council audit and risk providers reported to Audit Committee February 2019</p> <p>Reporting to Executive, Health and Wellbeing Board and Health Scrutiny Committee.</p>	4x4=16 High	Coordination of risk frameworks and audit planning / reporting 2019/20 (CT and Head of Audit and Risk Management): April 2019.

ID	Level	Theme	Key Corporate Plan Links	Risk Description	Risk Owner	Existing Key Controls and Sources of Assurance	Risk (current) Impact x Likelihood	Areas for Key Actions and Deadlines
5	Strategic	Our Performance	7	<p>Loss of required <b>access to ICT</b> systems impacts on the ability to operate services and deliver to Manchester residents.</p> <p>This could arise from risks relating to core infrastructure (network and applications), hardware obsolescence (WYSE terminals), system availability (unsupported systems, insufficient licenses) or cyber-attack.</p>	CT	<p>Transfer to HCI technology in data centre to improve resilience of core infrastructure.</p> <p>Corporate and Service Business Continuity Plans and robust incident management process in place.</p> <p>Programme of ICT investment with reporting to ICT Board, Capital Strategy Board, SMT, Executive and Scrutiny.</p>	4x4=16 High	Completion of Data Centre Programme to address disaster recovery and improve resilience (CT and Director of ICT): September 2019
6	Strategic	Our Performance	7	<p>Lack of understanding or buy-in to <b>organisational vision and priorities</b> or alignment with partners means overall efforts are not focused efficiently and effectively in key areas and impacts the ability to deliver Corporate Plan Priorities</p>	CEX	<p>Corporate Plan published Business Planning Process in place</p> <p>Staff engagement through LIA, OM and Our People Events</p> <p>Senior Leadership Group and Summits</p>	4x3=12 Medium	Programme of internal communications on corporate and business planning (Director of Communications): Ongoing

ID	Level	Theme	Key Corporate Plan Links	Risk Description	Risk Owner	Existing Key Controls and Sources of Assurance	Risk (current) Impact x Likelihood	Areas for Key Actions and Deadlines
				and goals linked to Our Manchester and GM Strategy.		Corporate Updates to all staff via Team Talk, Buzz and Forum.  Reporting to SMT and BPPG; Executive and Scrutiny.		Publication of Directorate Business Plans (SMT): March 2019
7	Strategic	Our Partnerships	7	Key <b>suppliers</b> of goods and services or other partners fail to develop or deliver required services, due to lack of financial resilience or other factors, impacting the onward ability of the Council to secure required services to Manchester residents. A key risk given inflationary pressures, Brexit and lack of competition in some markets.	CT	Professional Procurement and Commissioning Teams in place to support services in effective management of procurement lifecycle; including supplier due diligence.  Contract management register and risk assessment in place.	3x4=12 Medium	Bankruptcy / Liquidation Policy to enable consistent response to supplier failure (CT): April 2019  Programme of commissioner and contract manager training (CT): Ongoing

ID	Level	Theme	Key Corporate Plan Links	Risk Description	Risk Owner	Existing Key Controls and Sources of Assurance	Risk (current) Impact x Likelihood	Areas for Key Actions and Deadlines
8	Strategic	Statutory & Legal Duties	7	<b><u>Information governance and information technology security</u></b> arrangements, including behaviours of the workforce, partners and suppliers, are insufficient to prevent serious avoidable data losses, breaches or authorised access to systems or data.	CT CS	Governance through CIARG and network of Senior Information risk Officers at Corporate, Departmental and Service Level supported by core IG and ICT security personnel, including Data Protection Officer  Established breach reporting processes for ICT security and information incidents.	3x4=12 Medium	Programme of ICT / IG awareness (CT and CS): Ongoing  Development of policy compliance (enforcement) tools (CT and Director of ICT): March 2019.
9	Strategic	Our Performance	7	Current or proposed <b><u>ICT systems</u></b> essential to business operations and legal compliance are not implemented or maintained (due to being out of support or lack inherent resilience) due to limitations in	CT	Agreed ICT Strategy and investment plan in place.  Prioritisation process via Core ICT Board, ICT Board and Capital Strategy Board.	4x4=16 High	Regular review and refresh of projects via Core ICT Board (CT, CS): Ongoing  Senior sponsorship of critical or flagship projects with robust governance.

ID	Level	Theme	Key Corporate Plan Links	Risk Description	Risk Owner	Existing Key Controls and Sources of Assurance	Risk (current) Impact x Likelihood	Areas for Key Actions and Deadlines
				availability of financial and ICT resources.		Senior sponsorship of critical or flagship projects with robust governance.		
10	Strategic	Our People	7	Changes in <b>senior leadership</b> impact adversely on the capability required to promote and sustain positive organisational change and transformation.	CEX	Roles and responsibilities confirmed through SMT.	4x3=12 Medium	Recruitment of Director of ICT (CT)  Core restructure (CT)  Review of DAS and DASS roles in context of health and social care integration (CEX)
11	Strategic	Manchester People	1 2	Inability to maintain and demonstrate organisation-wide arrangements to <b>safeguard children and vulnerable adults</b> result in harm to those most in need with associated impact on families as well as financial	CEX DCS DAS	Manchester Safeguarding Adults and Safeguarding Childrens Boards.  Statutory roles and assurances through Director of Adult Services and Director of Childrens Services	4x3=12 Medium	Adults Improvement Plan (DAS)

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				and reputational damage to the Council.		Multi Agency Safeguarding Hub in Childrens		
12	Strategic	Our Performance	1	<b><u>Implementation of new case management system</u></b> (Liquid Logic) does not have the anticipated impact and fails to deliver the necessary improvements in practice, recording, reporting, management oversight and performance.	DCS DAS CT	<p>Programme Management for implementation of the new system has full service and corporate support as a Council wide priority.</p> <p>Engagement in delivery to the required standard is drawn from all levels of the service and organisation as necessary, and professional practitioner scrutiny, challenge and leadership of the system development is robust.</p>	3x4 = 12 Medium	<p>Practice and strategic leads for development and implementation are in place.</p> <p>Service engagement with project management and system development is regular and detailed.</p>

**Appendix Two: Strategic Risk Register: Managed Primarily by Directorate Chief Officers**

ID	Business Plan Area	Theme	Key Corporate Plan Links	Risk Description	Risk Owner	Existing Key Controls and Sources of Assurance	Risk (current) Impact x Likelihood	Areas for Key Actions and Deadlines
D1	Core	Our People	7	<p>Lack of <b><u>capability across the Core</u></b> to lead and engage effectively in development, support, challenge and assurance activity impacts on ability to of Core to drive and support organisational reform, transformation and change as well as operation of effective systems of governance, risk management and control.</p> <p>Includes capacity to support early and effective influence and engagement in key areas such as financial planning, project governance and change programmes including health and social care.</p>	CT CS DHR	<p>Our People Strategy and associated Core Workforce Development Plan.</p> <p>Bheard action planning to support increased motivation and engagement.</p> <p>Prioritisation and Risk Assessment processes in place across services.</p>	4x4=16 High	<p>Core prioritisation approach to be reviewed as part of Core Transformation Programme (CT, CS): Ongoing</p> <p>Recruitment to Director of ICT and Director of HROD posts</p>

ID	Business Plan Area	Theme	Key Corporate Plan Links	Risk Description	Risk Owner	Existing Key Controls and Sources of Assurance	Risk (current) Impact x Likelihood	Areas for Key Actions and Deadlines
				<i>(Part of cross cutting workforce risk on SMT Strategic Risk Register)</i>				
D2	Core	Our Performance	7	Inconsistent understanding and expectations of the <b><u>role of the Core</u></b> increases demands of services to deal with roles and functions that should be / could be better governed and managed in part or in full within other directorates and services.	CT CS DHR	Core Transformation Programme underway to ensure an effective, coordinated Core focused on key priorities.	3x4=12 Medium	Development and delivery of Core Transformation Programme (CT, CS): Ongoing.
D3	Core	Our Finances and Resources	7	Inability to deliver required <b><u>savings attributable to the Core</u></b> due to interdependencies with the actions of other directorates and with other Core services.	CT CS DHR	Core Business Plan and Budget 2019/20  Core Transformation Programme underway will also support identification	3x4=12 Medium	Development and delivery of Core Transformation Programme (CT, CS): Ongoing.

ID	Business Plan Area	Theme	Key Corporate Plan Links	Risk Description	Risk Owner	Existing Key Controls and Sources of Assurance	Risk (current) Impact x Likelihood	Areas for Key Actions and Deadlines
						and delivery of sustainable savings.		
D4	Strategic Dvt	Manchester Places	3 5 6	Failure to deliver the spatial framework, GM Strategy and Our Manchester targets for attractive and <b>increased housing offer</b> and infrastructure improvements attracting new businesses and improving skills impacts on pace of growth in the City and achievement of future financial assumptions over NNDR and Council Tax income.	DSD	Residential Growth Board.  Numerous joint ventures including Manchester Life (Eastern Gateway), Far Eastern Consortium (Northern Gateway), Spinningfield, Mayfield, St Johns, Eastlands Strategic Development Company.  Review of the Manchester Local Plan and officer influence over the GM agenda.	4x4 = 16 High	Continued emphasis on gathering sophisticated market intelligence re market conditions, enabling prediction of market changes and adaptation as a result.  Influence the policy direction of the GM Spatial Framework for planning.

ID	Business Plan Area	Theme	Key Corporate Plan Links	Risk Description	Risk Owner	Existing Key Controls and Sources of Assurance	Risk (current) Impact x Likelihood	Areas for Key Actions and Deadlines
D5	Strategic Dvt	Manchester Places	3	Failure to put in place the necessary arrangements to enable our <b><u>target of a minimum of 25,000 homes over 10 years</u></b> (2025) and which will also meet the political priorities associated with the affordability of those homes.	DSD	<p>Residential Growth Strategy and Delivery Plan set out how the residential pipeline necessary to maintain the City's economic growth will be met.</p> <p>Residential growth governance arrangements provide a strong set of project boards that ensure delivery of residential growth are in place.</p> <p>Detailed policy proposals relating to Affordable Housing approved by Executive in December 2018 will drive future activity.</p> <p>6k homes completed with 14k in the pipeline for delivery by March 2021. Leaves 5k of the original target to identify.</p>	4x4 = 16 High	<p>Develop strategy and priorities for further growth in tax base to maximise income.</p> <p>Mitigation plans developing to manage the impact of Brexit through using public land/funding stimulus.</p> <p>Staffing capacity review to ensure service able to meet demands.</p> <p>Affordable Housing Action Plan back to Executive in 2019.</p> <p>Development activity to be taken forward with JV partners. Council needs to commit staff resource</p>

ID	Business Plan Area	Theme	Key Corporate Plan Links	Risk Description	Risk Owner	Existing Key Controls and Sources of Assurance	Risk (current) Impact x Likelihood	Areas for Key Actions and Deadlines
						Proposals/agreed to increase the target to 32k by March 2025.		to service these JV arrangements and to oversee and maintain robust joint Action Plans with partners.
D6	Strategic Dvt	Manchester Places		Inability to develop, design and deliver <b>major infrastructure projects</b> across highways linking with strategic development plans, to time, quality and on budget.	DSD	<p>Arrangements to ensure senior officer and member engagement through project boards; major project governance structures include SMT level Senior Responsible Officers and project boards.</p> <p>Financial approval and reporting on budget and spend via capital gateway processes SMT leadership of Capital Investment Board</p> <p>Reports to Executive and Scrutiny Committee.</p>	4x4=16 High	Ongoing involvement in senior level boards

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D7	Strategic Dvt	Our Finances and Resources	2 7	<p>The <b>operational estate</b> does not meet the Council's needs in the context of required capacity and transformation and opportunities for co-location with partners. The emerging nature of demands and requirements within existing resources could potentially mean that the service cannot meet the requirements as well as being safe, secure and effective within timescales, resulting in ongoing/planned work having to be deprioritised.</p>	DSD	<p>Corporate Landlord, Estates and Facilities in a single function with appropriate resourcing to deliver estates rationalisation and transformation.</p> <p>Strong governance through the Estates Board and Executive Member Estates Board ensures corporate oversight and prioritisation.</p> <p>High level governance ensures high prioritisation of maintenance of the operational estate, stock condition surveys have significantly enhanced knowledge of content, scope and condition and used to inform planned work programmes.</p> <p>Delivery programme to support Property</p>	4x3=12 Medium	<p>Planned security awareness training for all staff (DSD): March 2019.</p> <p>Deliver against 5 Year Estates Strategy that reflects corporate priorities, which includes how we approach Integration and co-location.</p> <p>Plan for potential impacts of Town Hall decant to support renovation and change of use.</p> <p>Deliver planned refurbishment programmes necessary to prepare for releasing the poorer quality assets.</p>

ID	Business Plan Area	Theme	Key Corporate Plan Links	Risk Description	Risk Owner	Existing Key Controls and Sources of Assurance	Risk (current) Impact x Likelihood	Areas for Key Actions and Deadlines
						Rationalisation Strategy, Control processes agreed with Facilities management. Business continuity plan refresh and building continuity plan.		Continue to identify refurbishment schemes that attract capital funding rather than delivery through the Asset Management Plan.
D8	Strategic Dvt	Our Finances and Resources	7	The management of the <u>investment property estate</u> fails to achieve the income targets set within the 3 year budget strategy. Less profitable parts of the portfolio are not offset by opportunities to increase income elsewhere.	DSD	<p>Work will continue to be undertaken to manage the risk associated with those parts of the investment estate.</p> <p>Re-tender of Jacobs contract ensures more robust management of the investment estate but a sharing of risk and reward.</p> <p>Close monitoring of risks to the income arising from onerous legacy leases on a</p>	3x4=12 Medium	<p>Further work around the airport, Wythenshawe Town Centre will ensure that opportunities to increase income are maximised.</p> <p>Further work will be undertaken to increase the City's digital assets.</p> <p>New opportunities to generate long term income will continue</p>

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						small but financially sensitive number of assets		to be explored and evaluated, along with ongoing reviews to ensure costs against the estate are controlled.
D9	N'Hoods	Manchester Places	4 7	The Our Manchester Strategy and approach fails to drive <b><u>resident and community behavioural change</u></b> necessary to reduce dependency and foster neighbourhood improvements. Key strategic priorities are not delivered. This generates additional pressure on Universal services and affects the directorate's ability to deliver required budgetary savings.	DN	<p>Strategy clearly articulated and supported by major communications campaign.</p> <p>Key partner buy in in place and actions being developed collectively.</p> <p>Strategic roadmap and delivery plan are clear and provides framework for performance monitoring.</p>	4x4 = 16 High	<p>Activate and deliver programmes at a neighbourhood level targeted at the needs of communities.</p> <p>Twelve Neighbourhoods selected to test out approaches. Training and development of staff to equip them with the right tools to have different conversations with residents. Resident Engagement Approach in development.</p>

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								Programme has been developed into "Bringing Services Together for People in Places".
D10	N'Hoods	Manchester Places	4	Overall level of <b>waste management contract performance</b> does not meet Council requirements and resident expectations in terms of waste collection and street cleansing	DN	Waste Management Strategic Board, G&N Programme Board, Performance Contract management Group, Neighbourhoods Scrutiny Committee and significant partnerships register with associated assurance processes.	4x3 = 12 Medium	Ongoing review through agreed governance arrangements plus additional interventions: <ul style="list-style-type: none"> <li>• Bi-annual sessions to be established for Biffa / elected members to meet (2019).</li> <li>• Joint communications plan to be developed with Biffa to improve perceptions of service.</li> </ul>

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D1 1	N'Hoods	Manchester Places	4	Level of positive interventions / interactions with people who are rough sleeping and begging and levels of street cleanliness, aligned to integrated partnership activity are not sufficient to outweigh external factors and avoid negative perceptions of the City Centre as clean, safe, destination of choice for residents and visitors.	DN	<p>Clear performance framework monitored monthly by both City Centre Accountability Board chaired by the Leader and City Centre Co-ordinating Group composed of senior officers responsible for the delivery of objectives.</p> <p>Increasing the range of positive options available through the criminal justice system. Effective use of ASB tools and powers with expertise across the partnership increasing, including the use of business and community impact statements</p> <p>Increase in combined outreach operations between GMP and partners including voluntary sector</p>	3X4 =12 Medium	<p>Work currently taking place to assess whether a City Centre PSPO should be pursued.</p> <p>Ongoing officer engagement with ward councillors</p>

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						<p>leading to improved outcomes</p> <p>Significant progress made in finding accommodation for people sleeping rough in the city centre including 'entrenched'. Introduction of assertive outreach model by rough sleeping team is making impact</p> <p>Increasing awareness of City Centre businesses, and increasing active business support of the partnership approach to ending rough sleeping and begging</p>		
D1 2	N'Hoods	Manchester Places	5	Delivery of service development priorities and associated plans in <b>Highways</b> are not achieved within proposed timescales and budget resulting in inability to deliver Council	DN	<p>Highways Client Board.</p> <p>Portfolio Board monitors capital gateways and revenue spend and forecasting.</p>	4x3 = 12 Medium	Progress recruitment to approved Highways staffing structure

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				priorities including success of the planned major investment in highways improvement.		Highways Improvement Board chaired by DN established providing additional oversight  Capital funding requirements set out in Capital Strategy and approved through capital gateways.  Reporting to Executive and Scrutiny Committees.		
D13	Adults Services	Manchester People	27	Inability to secure <b><u>effective triage at the front door</u></b> results in inappropriate demand into the service and related use of resources. Leads to risk of breaching Care Act 2014 statutory responsibilities relating to information and advice; and increased demand into the service (and therefore	DASS	Adults Improvement Plan.  Member and Senior Officer engagement in MHCC and MLCO governance structures.  Reporting to SMT, Executive and Health Scrutiny Committee.	4x4 = 16 High	Immediate work on front door included in the Improvement Plan focused on potential for additional social work resources  Front door workstream included as part of transformation

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				spend) when needs could have been met at the front door				programme/MLCO
D14	Adults Services	Manchester People		Inability to <b><u>assess and review citizens in a timely, proportionate and consistent and manner</u></b> results in an increased risk of safeguarding and unmet need. Leads to risks of increase in safeguarding enquiries; in vulnerability to threats of judicial review; and in complaints, with consequent impact on service capacity and capability.	DASS	Adults Improvement Plan.  Member and Senior Officer engagement in MHCC and MLCO governance structures.  Reporting to SMT, Executive and Health Scrutiny Committee.	4x4 = 16 High	Progress work in Improvement Plan currently underway to reduce waiting lists; redefine assessment / review process to make it more streamlined, including more devolved decision making; and ensure use of management information is embedded in the service and supports decision making.
D15	Adults Services	Our Partnerships	2	Partnership governance arrangements necessary to deliver key components of <b><u>Health and Social Care integration</u></b> deteriorate over	DASS	Member and Senior Officer engagement in MHCC and MLCO governance structures.	4x4 = 16 High	Review of governance arrangements needed covering MLCO, MHCC and

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				<p>time and affect ability to deliver major workstreams through potential:</p> <ul style="list-style-type: none"> <li>● loss of decisive leadership.</li> <li>● divergence in goals between partners.</li> <li>● slow decision making.</li> <li>● conflict between partners.</li> </ul> <p>This results in inability to deliver overall ambitions and anticipated benefits of one or more high priority programmes.</p>		Reporting to SMT, Executive and Health Scrutiny Committee.		MCC, in order to reduce risk highlighted
D16	Adults Services	Manchester People	27	<p><b><u>Loss of access to data</u></b> presents potential risk to citizens and an inability to deliver a safe, effective service with potential impacts on decision making, safeguarding and with GDPR and other legislation. This could be a loss of information</p>	DASS	<p>Reports to ICT Board and SMT.</p> <p>Information risks reported through Directorate management structures, Directorate Senior Information Risk Officer and</p>	4x3=12 Medium	Bespoke plan to be developed and implemented through improvement aiming to mitigate the impact of the cutover period.

ID	Business Plan Area	Theme	Key Corporate Plan Links	Risk Description	Risk Owner	Existing Key Controls and Sources of Assurance	Risk (current) Impact x Likelihood	Areas for Key Actions and Deadlines
				<p>or denial access due to system outages.</p> <p>Current focus on risks arising from operating without a case management system during the minimum 8 day 'cutover' period prior to Liquid Logic 'go live' in 2019.</p>		<p>Corporate Information Assurance and Risk Group.</p> <p>Programme and project governance in place for Liquid Logic with senior officer representation and leadership.</p>		
D17	Children's Services	Manchester People	1	<p>Increased population and the needs of children and families across the City impact on the ability to respond effectively to the complexity and scale of need within available resources. This leads to the chances for children and young people to be safe, happy and successful, attending a 'good' or better school, being compromised.</p>	DCS	<p>Performance Management and Quality Assurance Frameworks in place to support leaders and managers to direct teams and staff and develop effective responses to improve practice and learning to more effectively manage and plan case work towards earlier intervention and more effective planning to reduce complexity.</p>	4x4 = 16 High	<p>Performance Clinics and Edge of Care Working Group are supporting development of analysis and commissioning of interventions matched to need profile, to offer tools to practitioners to tackle complex need and dependency.</p> <p>Locality Plan to be</p>

ID	Business Plan Area	Theme	Key Corporate Plan Links	Risk Description	Risk Owner	Existing Key Controls and Sources of Assurance	Risk (current) Impact x Likelihood	Areas for Key Actions and Deadlines
								delivered over next six months, aimed at ensuring resources are allocated proportionally across teams and localities, and safely reducing demand for social work capacity through early intervention.
D19	Children's Services	Manchester People	1	Insufficient <b>school places</b> to meet the needs of Manchester children 2019/20 and onwards.	DCS	Key leaders from across the Council involved in place planning through Strategic Capital Board.  Reports to Executive and Young People and Scrutiny Committee.	4x3 = 12 Medium	Develop a strategic relationship with the Regional Schools' Commissioner Representation to DfE regarding process and funding.  Align Early Years sufficiency with schools place planning.

ID	Business Plan Area	Theme	Key Corporate Plan Links	Risk Description	Risk Owner	Existing Key Controls and Sources of Assurance	Risk (current) Impact x Likelihood	Areas for Key Actions and Deadlines
D20	Homelessness	Manchester People	2 3	The volume of <b><u>new homelessness referrals</u></b> outstrips the available resources. Service and quality standards deteriorate.	SLHM	<p>Monitoring of actions to reduce demand set out in Homelessness Strategy overseen by Homelessness Partnership and Health Scrutiny Committee.</p> <p>Agreed actions in Homelessness Business Plan monitored by Executive Member and Health Scrutiny Committee.</p> <p>Actions in 2018/19 included:</p> <p>Doubling in size of outreach team in 2018/19 to support targeting of services.</p> <p>Staff within the customer service team and appointment based approach assist in triaging cases and signposting to appropriate services.</p>	4x4 = 16 High	<p>Actions in Homelessness Business plan presented to Executive February 2019 include:</p> <p>Investment in homelessness prevention and accommodation budgets.</p> <p>Invest in prevention services further upstream to reduce demand through the front door.</p> <p>Work with Registered Providers to provide prevention advice</p> <p>Ensure appropriate data available to monitor demand.</p>

ID	Business Plan Area	Theme	Key Corporate Plan Links	Risk Description	Risk Owner	Existing Key Controls and Sources of Assurance	Risk (current) Impact x Likelihood	Areas for Key Actions and Deadlines
						Advice contract focusing upon prevention of homelessness		Invest in Housing Solutions staff to manage the demand
D2 1	Homelessness	Manchester Places	2 4	<b><u>Increases in numbers of homeless people</u></b> on the streets results in negative impact on reputation of Council and the City.	SLHM	<p>Monitoring of actions via Homeless Strategy, Homelessness Partnership and Health Scrutiny.</p> <p>Communications strategy in place.</p> <p>City Centre Accountability Board supported by multi agency fora with focus on City Centre including strategies to reduce rough sleeping.</p> <p>Regular update and progress reports to partners including the Business Improvement District Board.</p>	3x3 = 9 Medium	<p>Development of outcomes frameworks to deliver objectives of Homelessness Strategy to address demand.</p> <p>Ongoing delivery of governance and oversight through City Centre Accountability Board.</p> <p>Actions in Homelessness Business plan presented to Executive February 2019</p>

## Key to Terms and Acronyms

### 1. Themes

Our Partnerships	Primary impacts on delivering outcomes through partnerships and key suppliers at national, regional, GM, City or local level.
Our People	Primary impacts linked to the workforce capability, capacity, skills, motivation and engagement.
Our Performance	Primary impacts on delivering on stated priorities, targets and agreed performance standards.
Our Finances & Resources	Primary impacts on financial and other (non workforce resources) including ICT, information and premises
Manchester People	Primary impacts on Manchester residents, service users and those who engage with universal or specialist series across the City; including children and adults.
Manchester Places	Primary impacts on Manchester neighbourhoods and place, including infrastructure, transport, housing, leisure and other universal services for residents and visitors.
Statutory & Legal Duties	Primary impacts on legal duties and compliance with legislation

### 2. Corporate Plan Links

1	<b>Young People:</b> From day one, support Manchester's children to be safe, happy, healthy and successful, fulfilling their potential, and making sure they attend a school graded 'good' or better
2	<b>Healthy, Cared-for People:</b> Work with partners to enable people to be healthy and well. Support those who need it most, working with them to improve their lives
3	<b>Housing:</b> Ensure delivery of the right mix of good-quality housing so that Mancunians have a good choice of quality homes
4	<b>Neighbourhoods:</b> Work with our city's communities to create and maintain clean and vibrant neighbourhoods that Mancunians can be proud of.

5	<b>Connections:</b> Connect Manchester people and places through good-quality roads, sustainable transport and better digital networks
6	<b>Growth that Benefits Everyone:</b> To support our priorities, we need to continue to promote and drive sustained economic growth and job creation that benefits everyone
7	<b>Well-Managed Council:</b> Support our people to be the best and make the most of our resources.

### 3. Risk Owners

CEX	Chief Executive, Joanne Roney
CT	Deputy Chief Executive and City Treasurer, Carol Culley
CS	City Solicitor, Fiona Ledden
DCS	Director of Childrens Services, Paul Marshall
DASS	Director of Adult Services, Bernadette Enwright
DSD	Director of Strategic Development, Eddie Smith
DN	Director of Neighbourhoods, Fiona Worrall
DHR	Director of HROD Lynne Ridsdale
DPH	Director of Public Health, David Regan
SLHM	Strategic Lead- Homelessness and Migration, Nicola Rea

#### 4. The Risk Continuum: Risk Scoring Guidelines

Risk Impact and Likelihood scores are attributed from within a sliding scale. Definitional statements are described in broad terms and there is a requirement to consider each risk within the continuum and apply specialist understanding or experience to apply a risk score.

Score	Impact	Likelihood
5	<p>Life threatening / multiple serious injuries.            Severe impact on Priority 1 or Key Service performance.            Intense political and media scrutiny i.e. national media coverage / prolonged local media coverage.            Possible legislative, criminal, or high profile civil action against the Council, members or officers.            Cessation of core activities.            Failure of major projects/programmes.            Finance impacts that cannot be managed from within financial Directorate resources.            Statutory intervention triggered.            Impact on the whole Council.</p>	<p>High likely that risk will be realised (60%)</p>
3	<p>Threat to the health and wellbeing of one or more individuals. Potential for workdays lost to injury/stress            Additional scrutiny required by management and internal committees.            Service impacts require co-ordinated directorate response.            Some local media attention requiring corporate intervention.            Failure of projects with directorate impact            Core activities continue to be delivered but reasonable adjustment required to focus resources at priority areas            Budgetary realignment required to manage impacts.</p>	<p>Medium/Low likelihood (circa 30%)</p>
1	<p>Injuries / stress requiring only limited medical intervention.            Limited additional scrutiny required by management.            Risk unlikely to receive local media coverage.</p>	<p>Whilst possible the likelihood of the risk being</p>

	<p>Short-term disruption of activities / service performance. Internal policies and regulations not complied with. Finance impacts managed with minimal impact.</p>	<p>realised is considered low (&lt;5%)</p>
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