Appendix A: 3rd party corrections in blue and Opus response

ID No	Risk or Opp	Date Id or Rec	Cause(s)	Risk Event	Effect(s)	Risk Type	Risk Status	Proximity	Inherent Score			Mitigation Plan (Current Controls)	Mitigation Actions (New Controls)	Action Owner	Date Mitigation	Date Action Closed	Residual Score			Comments/Notes /Assumptions	Risk Owner	Escalation Req?/HOT	Date Closed
									Impact (1-5)	Likelihood (1-5)	Risk score						Impact (1-5)	Likelihood (1-5)	Risk score				
1	Risk	01/09/2018	External delivery partners unable to deliver on agreed commitments to CPCA projects	Projects are not delivered on time, budget, or to the required standard.		Strategic	Open	Imminent	4	5	20	09/06/2021	Close working with delivery partners through best-practice project and programme management. Political and senior leadership engagement with partners to ensure effective communication, early warning, and timely and effective escalation of issues.	Monthly project highlight reporting (ii) Monthly budget monitoring (iv) Creation of programme boards to engage partners at senior level in managing larger areas of work (v) regular project reporting to Board and Committees (vi) monitoring delivery partner risk on some projects by direct in-house contracting with the supply chain (vii) achieving increased clarity about roles and responsibilities in the partner landscape (viii) targeted Mayoral-level political engagement with	CMT Members, PMO, Project Managers			4	3	12	CCC (Key delivery partner) now introducing project management approach, but at an embryonic stage. Cost and timing risks still cry-stalking on legacy projects.	Director of Delivery & Strategy	N/A	
2	Risk	01/09/2018	Failure to deliver Mayoral Committed Projects for 2019/20 Business Plan	Failure to deliver Mayoral Committed Projects for 2019/20 Business Plan	This is a large ambitious programme. Failure to deliver progress on programmes & projects identified in a 4 year plan such as the Cambridge Autonomy Metro, will result in major criticism by Government and CPCA funders.	Strategic	Closed	Imminent	4	2	8	09/06/2021	Regular progress updates and monitoring and embleway for the major priority projects in the Business Plan. Clear funding routes have been identified in the initial SOBC for the CAM and A10. Work is targeted to develop those funding streams as the detail business cases are developed. Procurement of key contractors in	CPCA project management approach applied across the portfolio and reviewed in October Regular progress monitoring and reporting at project level, director level and to Leaders Alignment between project management and financial reporting. Prioritisation of projects under constant review.	Director of Delivery & Strategy		31/03/2020		8		End of 19/20 financial year	Director of Delivery & Strategy	N/A	31/03/2020
3	Risk	01/09/2018	Development and changing organisation. Changes to existing support arrangements (Finance)	Lack of people / systems to provide financial support	Finance risk will therefore vary in line with organisational challenges and progress. At this point finance risk can usefully be split into two groups: • Systems / processes with key areas being: upgrading / future proofing a new finance system, embedding delegation and end to end processes (e.g. for example getting projects from concept to delivery • Capacity / prioritisation, again key areas are: confirming resource availability and capacity through the MTFP, developing rigorous project appraisal capabilities, sources and uses of funds.	Financial	Closed	Imminent	5	2	10	09/06/2021				18/08/2020		8		Moved to Corporate Services Risk Register		N/A	18/08/2020
4	Risk	01/09/2018	Forthcoming elections	Changes in Political Management which could lead a change of direction for CPCA	Impact on funding, contractual arrangements and investor confidence in the CPCA	Strategic	Closed	Approaching	2	4	8	09/06/2021	Clarity around existing priorities and contractual obligations.	MTFP, Business Plan, Leaders Strategy meetings in light of the forthcoming election.	Chief Executives		09/06/2021	2	2	4	Elections which result in changes in holders of office may result in programme or organisation review which could lead to changes in priorities of the organisation, particularly as a whole. Mayoral elections which do affect a district or combined authority	Chief Executives	N/A	09/06/2021
5	Risk	01/09/2018	National Change in Administration	National Change in Administration	With the possibility of a General Election in 2019 there's a risk that that the new administrations policies on devolution may differ to that of the current gov-ernment and require a different approach.	Strategic	Closed	Imminent	4	3	12	09/06/2021	CEO and Section 73 Officer actively engaging with MB respective groups. Play-ing a leading role in the de-velopment of GoCam and how CPCA experience can help further this national initiative. Developing stronger links with Government officials	Work at political level to ensure national parties and Whitehall remain committed to dev-olutionary policies, including by engaging with the LGA and with the Metro Mayors grouping.	Chief Executive		13/12/2019		6			Director of Delivery & Strategy	N/A	03/03/2020
6	Risk	01/09/2018	Change in gov-ernment policy around dev-olution	Lack of structural resilience / insuf-ficient internal resources	Failure to maintain BAU due to the dev-olution white paper and known changes of transferring of the transport teams from PCC and CCC, including changes in SLA requirements. Increase in subsidiary companies requiring increased employment to accelerate programmes e.g. CAM	Strategic	Open	Close	2	5	10	09/06/2021	Employed a strategy team to consider and report on the impacts. HR function to allow recruitment of additional transport function. Ensuring we have suf-ficient funding to allow employment.	The Directors meet weekly and are responsible for signing off recruitment to new posts The HR team has been increased to support the organisational structure and recruitment of candidates of calibre. There are staff dedicated to programme-management with a system of monthly project highlight reporting. This enables Directors to move resources to higher risk projects. We are in the process of standardising documentation to create a single source of information which holds commercial, risk & milestone staff dependent projects	Chief Executives			1	4	4		Chief Executives	N/A	
7	Risk	01/09/2018	Potential impact of the new Trade Deal with the EU on delivery of the Combined Authority's Growth Ambition Programme (A)	Potential impact of Brexit on delivery of the Combined Authority's Growth Ambition Programme in the short term.	Potential Financial uncertainty and economic instability leading to insuf-ficient investment in priority projects in the short term.	Strategic	Open	Close	4	5	20	09/06/2021	Establish a permanent and continuous econometric insight programme to monitor sector and place impacts of Trade Deal conditions Engagement with business organization (FSB, CBI etc) stakeholders to augment resources, including business advi-ce and monitoring of sentiment through Chambers Dev-elopment of an economic recovery strategy from both COVID and BEXIT that stimulate growth in relatively unef-fected firms and sectors, while ele-vating the impacts for thos effected by the trade deal	Monthly monitoring of sector economic impacts and daily monitoring of business sentiment and impacts. Weekly monitoring of bulletins from MCHLG, BEIS, HMRC to ensure information is accurate and up to date, recognising funding streams relev-ant to need Engagement with LEP Network and CLGU on funding for additional resources. Monitor For possible impacts resulting from the Trade Deal	Director of Business & Skills [Brexit Lead]			2	2	4		Assumption being that CPCA re-calibrate our objectives to a new GVA figure. With the advent of a trade deal the main residual risk relates to the long term reduction in attractiveness of the UK as an inward investment destination, especially from Europe.	Director of Business & Skills [Brexit Lead]	N/A	
8	Risk	01/09/2018	Absence of funding of historic ambitious and long stalled Programmes	Ambitious and long stalled programmes can not proceed due to lack of gov-ernment funding and/or local contribution. Where funding is available no fund has been announced and gov-ides a &4b opportunity for CPCA bid a list is being prepared.	There are major programmes that will require clear and innov-ative funding strategies if they are to progress. CPCA will need to work with partners to develop Strategic Outline Business Cases/Outline Business Cases for such schemes. CPCA funding is intended to act as a catalyst and an enabler in bringing these schemes forward.	Financial	Open	Close	3	4	12	09/06/2021	Strong budget process and funding allocation within CPCA MTFP and Business Plan Business Case approval by CPCA Board and Stakeholders Ongoing discussions with Whitehall departments about access to national funding programmes, such as LLM	Strong budget process and funding allocation within CPCA MTFP and Business Plan Business Case approval by CPCA Board and Stakeholders Ongoing discussions with Whitehall departments about access to national funding programmes, such as LLM	Directors			2	2	4		Chief Finance Officer	N/A	
9	Risk	30/09/2018	Critical skills shortage/hiring difficulties	Discriminatory practices Hiring unsuitable candidates, Availability of relevant Skills, Availability of candidates	Potential claims High turnover Poor performance Potential impact on the Brexit impact	Financial, Reputational, Strategic	Closed	Imminent	3	4	12	09/06/2021				18/08/2020		4		Moved to Corporate Services Risk Register		N/A	18/08/2020
10	Risk	01/09/2018	Lack of Resource Planning & Financial Management practices	Absence of Resource Planning & Financial Management	The organisation has no clear budget and capital programme that sets out how resources will be deploy-ed and managed within. This is fundamental to any proper management process as it provides a clear steer to officers, the CA, the Stakeholders and Gov-ernment. Without this, no prioritisation takes place and there is no clear measurement of outcome v ambition. It is the Framework for sound decision making	Financial	Open	Imminent	5	3	15	09/06/2021	A cash preference before and Financial Plan was approved at Board in January which focused on refreshed priorities to support economic recovery. Regular budget monitoring reports are presented to Committees and to the CPCA Board. Internal Management reporting is being developed alongside the PMO highlight	Monthly Budget monitoring reports All business cases for capital spend is approved at Board CFO and Monitoring Officer to sign off all business cases and reports Corporate approach to Monitoring & Evaluation and Action.	Chief Finance Officer			3	1	3		Chief Finance Officer	N/A	
11	Risk	01/10/2018	No Democratic Services SLA in place	Failure to meet statutory deadlines for publication of Committee agendas and minutes	Combined Authority fails to meet deadlines resulting in reputational damage and contravention of the Local Government Act	Reputational, Financial	Closed	Imminent	5	4	20	09/06/2021				18/08/2020		5		Moved to Corporate Services Risk Register		N/A	18/08/2020
12	Risk	26/09/2018	Staff and managers not adhering to CPCA standards of ethics and behaviour	Discriminatory practices. Non compliance with Company policies and procedures (e.g. Whistleblow, Workplace, Fraud, Bullying)	Ethics organisational image and culture. Any reputational damage can also negative impact on recruitment, retention and engagement.	Reputational, Financial	Closed	Imminent	4	4	16	09/06/2021				18/08/2020		5		Moved to Corporate Services Risk Register		N/A	18/08/2020
13	Risk	01/09/2018	First 5 Year Gateway Review of Gainshare Funding (Mar 2021)	Access to Gainshare funding called into question by the Gateway Review evaluation of Gainshare	The Combined Authority is unable to access Gainshare funding	Strategic	Open	Approaching	5	4	20	09/06/2021	Provision of persuasive evidence to the Gateway Review demonstrating the good management and value for money delivered through Gainshare funding. External and internal communication plans to manage either positive or negative outcome.	CMT members to seek intelligence from MHCLG about potential notification of the review outcome. PR to brief Communications team.	S.151 Members, PMO Programme Manager, Assurance and Evaluation			4	2	8		Director of Delivery & Strategy	N/A	15/11/2021
14	Risk	01/03/2020	Covid-19 Pandemic (A)	Disruption to the operation of the Combined Authority	Potential absence of significant numbers of Combined Authority staff undermining the ability to transact the operational business of the Combined Authority	Operational	Open	Imminent	4	5	20	09/06/2021	Developed a business continuity plan based on technological advances (digital transformation)	HR support to staff working remotely Communication with both suppliers and delivery partners All Combined Authority staff are now working from home, with support for remote meetings. Dev-eloped on digital transf-ormation on virtual exhibitions and online Committee / Board meetings. Liaison with suppliers to ensure continuity of supply chains. Liaison with officers, partners to stay in Contact.	Chief Executives			4	3	12		Chief Executives	N/A	
15	Risk	23/09/2020	Staff failing to respond to the requests within the timeframe	Failure to respond to Data Access requests within the designated timeframe	Could lead to intervention by the ICO and may be receive a fine.	Reputation, Financial	Closed	Imminent	4	2	8	09/06/2021				18/08/2020		5		Moved to Corporate Services Risk Register		N/A	18/08/2020
16	Risk	01/03/2020	Covid-19 Pandemic (B)	Disruption of the delivery of the Combined Authority objectives in regard to the short term economic objectives	Economic impact of lockdown in response to Covid-19, may have implications for future gov-ernment funding and for economic activity within the Combined Authority area in the short term.	Strategic	Open	Imminent	4	4	16	09/06/2021	Support to local businesses to weather the Covid-19 lockdown - in co-ordination with the constituent councils Following gov-ernment guidelines and working with local resilience f-orum to plan the recov-ery and restoration of serv-ices. Additional budget announcements from gov-t	Business Resilience and Inclusive Recovery Group Board reports - MTFP re-prioritisation towards economic recovery Membership of the SCG (Strategic Recovery Group) - weekly transport recov-ery group Mayoral f-orum Chaired economic recov-ery group Local economic recov-ery strategy - will be implemented in October 2020 CSR (3 year) - submitted with Covid-19 mitigating asks.	Chief Executives			4	3	12		Chief Executives	N/A	
17	Risk	15/05/2020	Unbudgeted increases in cost for highway s and transport schemes funded by the Combined Authority and delivered by partner agency	Unplanned significant increases in costs lead to requests for additional funding to the Combined Authority to enable schemes to proceed.	The unplanned increases in budget prejudice the Combined Authority's ability to manage its Finances and could ultimately affect the delivery of the Combined Authority's Business Plan and a balanced budget.	Financial	Open	Imminent	3	5	15	09/06/2021	Close working with delivery partners through best-practice project and programme management. Political and senior leadership engagement with partners to ensure effective communication, early warning, and timely and effective escalation of issues. Particular focus on the relationship between scheme design and cost at an early stage	(i) Ensuring compliance with CPCA project management guidance (ii) Monthly project highlight reporting (iii) Monthly budget monitoring (iv) creation of a Transport Programme Board (v) stronger discipline around the composition and working of project boards for individual projects (vi) Regular reporting to Board and Committees (vii) review of historic ov-eruns to establish cause. (viii) updating project management guidance inline with audit recommendations e.g. Lancaster A6	Director of Delivery & Strategy			3	3	9		Chief Executives and Chief Finance Officer	N/A	
18	Risk	31/07/2020	Climate Change	Climate change related events, policies and political pressures e.g. policy designed to reduce carbon emissions that restricts growth	Unable to double GVA	Strategic	Open	Close	4	4	16	09/06/2021	Strategic combined authority policies require business cases for the delivery of projects	Preparing an implementation plan f-or the CPCC recommendations. Communicating the CPCC headlines, especially that its recommendations are consistent with an ambitious growth trajectory. Accommodation, travel and internal policies to reduce scope-one & two emissions	Strategic Planning Manger, Head of Comms, Chief Executives			2	4	8		Chief Executives	N/A	
19	Risk	11/11/2020	Covid -19 Pandemic (C)	Disruption of the delivery of the Combined Authority objectives in regard to the long term economic objectives	Economic impact of lockdown in response to Covid-19, may have implications for future gov-ernment funding and for economic activity within the Combined Authority area in the long term.	Strategic	Open	Imminent	4	4	16	09/06/2021	Support to local businesses to weather the Covid-19 lockdown - in co-ordination with the constituent councils Following gov-ernment guidelines and working with local resilience f-orum to plan the recov-ery and restoration of serv-ices. Additional budget announcements from gov-t	Business Resilience and Inclusive Recovery Group Board reports - MTFP re-prioritisation towards economic recovery Membership of the SCG (Strategic Recovery Group) - weekly transport recov-ery group Mayoral f-orum Chaired economic recov-ery group Local economic recov-ery strategy - will be implemented in October 2020 CSR (3 year) - submitted with Covid-19 mitigating asks.	Chief Executives			2	5	10		Chief Executives	N/A	
20	Risk	11/11/2020	Potential impact of the new Trade Deal with the EU on delivery of the Combined Authority's Growth Ambition Programme (B)	Potential impact of the new Trade Deal on delivery of the Combined Authority's Growth Ambition Programme in the long term	Slowing of baseline growth sufficiently to undermine CPCA current and planned interventions, rendering them unable to produce enough additive growth to hit the doubling of GVA target	Strategic	Open	Approaching	4	2	8	09/06/2021	Establish a permanent and continuous econometric insight programme to monitor sector and place impacts of Trade Deal conditions Engagement with business organization (FSB, CBI etc) stakeholders to augment resources, including business advi-ce and monitoring of sentiment through Chambers Dev-elopment of an economic recovery strategy from both COVID and BEXIT that stimulate growth in relatively unef-fected firms and sectors, while ele-vating the impacts for thos effected by the trade deal	Monthly monitoring of sector economic impacts and daily monitoring of business sentiment and impacts. Weekly monitoring of bulletins from MCHLG, BEIS, HMRC to ensure information is accurate and up to date, recognising funding streams relev-ant to need Engagement with LEP Network and CLGU on funding for additional resources. Monitor For possible impacts resulting from the Trade Deal	Director of Business & Skills [Brexit Lead]			3	2	6		raised from green to amber on the basis of business insight being recieved from firms, eg SMEs, that sales are being adversely impacted by new regulations. Need to monitor whether solutions are developed by firms to adapt or not	Chief Executives	N/A	
21	Risk	11/11/2020	MHCLG Review of £100m Housing programme	Up to £45m of Gov-ernment funding not pro-vided, change of end-date of £100m Housing Programme from 31st March 2020 to 31st March 2021 and potential reputational dam-age to CPCA not unlock at Northstowe which MHCLG may not recognise.	£170m programme has shortage of anticipated capital and significantly reduced time and capability to deliver target of 2000 houses and the £100bn programme within the £170m. Potential for signif-icant reputational damage to CPCA housing programme likely.	External	Open	Imminent	5	5	25	09/06/2021	Close working with delivery partners through best-practice project and programme management. Political and senior leadership engagement with partners to ensure effective communication, early warning, and timely and effective escalation of issues. Particular focus on the relationship between scheme design and cost at an early stage	Monthly project highlight reporting (ii) Monthly budget monitoring (iv) creation of a Housing Programme Board (v) stronger discipline around the composition and working of project boards for individual projects (vi) Regular reporting to Board and Committees (vii) review of historic ov-eruns to establish cause. (viii) updating project management guidance inline with audit recommendations e.g. Lancaster A6	Housing Director			3	3	9		Mitigation ongoing with MHCLG discussions to work out practical details for the programme, it's future monitoring and progress reports and providing evidenced claims to enable authorisation of future funding payments.	Chief Executives / Housing Director		
22	Risk	06/01/2021	Delivery partner authorities determining that costs incurred in relation to CPCA capital f-unded projects should not be treated as capital expenditure for the purposes of the rules and finance rules	Grant funding which is expected to be treated as capital expenditure is required to be treated as rev-enue expenditure by the CPCA as a result of a determination by a partner delivery authority.	Rev-enue funding deficit	Financial	Open	Approaching	3	2	6	09/06/2021	Discussions with Delivery Partners including constituent authorities. Ensure that grant determination letters are explicit in the expectation that capital grant funds will be used only for capital purposes.		All Directors			3	1	3		Chief Finance Officer		
23	Risk	25/03/2021	Lack of capacity/resilience in the ICT provision to the CPCA	Lack of capacity/resilience to deliver an adequate ICT platform for future need - including software and hy-screens, and equipment. Failure to deliver the range of applications/syses needed for the delivery of the CPCA project,	Programme, project, or serv-ice disruption.	Operational	Open	Approaching	2	4	8	09/06/2021	The CPCA is in discussions with the current serv-ice provider to understand the lev-el of serv-ice off-er available to the CPCA. The CPCA is also considering engaging a Consultancy / SI/CCTM to undertaken an ICT needs assessment and future provision plan.		All Directors			1	4	4		Chief Executives		
24	Risk	15/09/2021	Insuf-ficient internal resource to deliver the Authority's priorities	Key priorities not delivered	Key priorities, especially new ones identified for the new May-oral term, would remain unaddressed.	Delivery	Open	Approaching	5	4	20	15/09/2021	Mayoralty and Business Board to ensure that priorities being established and recruited to	Recruitments under way and MTFS bids being considered	CMT			2	4	8	Assumes recruitments are successful	Chief Executive		
25	Risk	15/11/2021	Lack of political agreement on f-orward strategy	Absence of agreed forward strategy	Inability to allocate funding to Board members' priorities, or to take ef-fective long and medium term decisions.	Strategic	Open	Imminent	4	5	20	15/11/2021	New Sustainable Growth Ambition Statement developed and submitted to Board; 2022-23 Business Plan process opened; MTFP process under way; daily-day discussions between Leaders planned for January 2022 Leaders' meetings; Mayoral Election; Leaders' meetings; liaison with member authorities' new fairer relationships		Directors of Strategy and Finance			2	4	8		Chief Executive	No	
26	Risk	15/11/2021	D-LUHC confirming no future funding for a bespoke CPCA Housing Programme	Ongoing role beyond expiration of the aff-ordable housing programme in March 2022 f-or the housing team	Uncertainty about the future role of the housing team and associated resourcing requirements beyond seeing out the completion over the next 24 months of the aff-ordable housing programme to March 2022. for which dif-ficier resources are required.	Strategic	Open	Approaching	5	4	20	15/11/2021	Ongoing discussions with MHCLG regarding potential ongoing housing programmes. Is there a role for CPCA between Homes England and housing providers/dev-elopers? Internal review of potential future CPCA organisation structure, where does housing support benc sit in the organisation in the future? Discussions with MHCLG and Treasury to reflect the lack of future direct financial support from gov-ernment identification of what sort of future skills and		Chief Executive/Housing Portfolio Holder/Housing Director			5	4	20	Assumes no other direct funding will be available	Housing Director/CEO	No	
27											0								0				
28											0								0				
29											0								0				
30											0								0				
31											0								0				
32											0								0				
33											0								0				
34											0								0				
35											0								0				
36											0								0				
37											0								0				
38											0								0				
39											0								0				
40											0								0				
41											0								0				
42											0								0				
43											0								0				
44											0								0				
45											0								0				
46											0								0				
47											0								0				
48											0								0				
49											0								0				
50											0								0				
51											0								0				
52											0								0				
53											0								0				
54											0								0				
55											0								0				
56											0								0				
57											0								0				
58											0								0				
59											0								0				
60											0								0				