

Risk Register																						
Risk ID	Date Identified	Cause(s)	Risk Event	Effect(s)	Risk Type	Risk Status	Risk Priority	Unlikelihood (1-5)	Impact (1-5)	Inherent Risk score	Date Last Review	Mitigation Plan (Current Controls)	Mitigation Action (New Controls)	Action Owner	Date Action Closed	Unlikelihood (1-5)	Impact (1-5)	Residual Risk score	Comments/Notes / Assumptions	Risk Owner	Resolution Required?	Date Closed
1	51/09/2019	External delivery partners unable to deliver on agreed commitments to CPCA projects	External delivery partners do not meet deadlines, budget or qualitative requirements of their agreements with the Combined Authority	Projects are not delivered on time, budget, or to the required standard	Strategic	Open	Imminent	5	4	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	(i) Ensuring compliance with CPCA project management guidance (ii) Monthly project highlight reporting (iii) 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 Mayor-level political engagement with delivery partners on some projects	CMT Members, PMO, Project Managers	3	4	12	CCC (Key delivery partner) now introducing project management approach, but at an embryonic stage. Cost and timing risks still crystallising on legacy projects.	Director of Delivery & Strategy	N/A		
6	51/09/2019	Change in government policy around devolution	Lack of structural resilience / insufficient internal resources	Failure to maintain BAU due to the devolution 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	4	2	8	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 sufficient 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 builds resilience in case of individual staff members incapacity	Chief Executives	4	1	4		Chief Executives	N/A		
7	51/09/2019	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 insufficient investment in priority projects in the short term.	Strategic	Open	Close	2	4	8	09/06/2021	Establish a permanent and continuous economic insight programme to monitor sector and place impacts of Trade Deal conditions Engagement with business organisation (FSB, CBI etc) stakeholders to augment resources, including business advice and monitoring of sentiment through Chambers Development of an economic recovery strategy from both COVID and BREXIT that stimulate growth in relatively unaffected firms and sectors, whilst evaluating the impacts for those affected 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 relevant 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	51/09/2019	Absence of funding of historic ambitious and long stalled Programmes	Ambitious and long stalled programmes can not proceed due to lack of government funding and/or private investment.	There are major programmes that will require clear and innovative funding strategies if they are to progress. CPCA funding has been used to develop the feasibility and 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	3	9	09/06/2021	Work is progressing at developing the business cases. Stakeholders across the wider geography are working together to tackle the issues around the growth agenda. Getting Board agreement and matching resources will help get a coordinated approach to priorities and bidding for resources. Funding sources have been identified for key schemes and CPCA resources allocated to move projects to those funding decisions.	Strong budget process and funding allocation within CPCA MTFF 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		
10	51/09/2019	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 deployed and managed within. This is fundamental to any proper management process and any reporting that will be required by CPCA Board. Stakeholders and Government. Without this, no prioritisation takes place and there is no clear measurement of outcome or variation. It is the framework for sound decision making	Financial	Open	Imminent	1	5	5	09/06/2021	A comprehensive Medium Term Financial Plan was approved at Board in January which focuses on refreshed priorities to support economic recovery. Regular financial and budget update reports are provided to Committees and to the CPCA Board. Internal Management reporting is being developed alongside the PMO highlight reports.	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	1	3	3		Chief Finance Officer	N/A		
13	51/09/2019	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	3	5	15	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 MCHLG about potential notification of the review outcome. PR to brief Communications team.	CMT Members, PMO Programme Manager, Analysis and Evaluation Manager	2	4	8		Director of Delivery & Strategy	N/A		
14	51/03/2020	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 sustain the operational business of the Combined Authority	Operational	Open	Imminent	4	4	16	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. Developed on digital transformation on virtual exhibitions and online Committee / Board meetings. Liaison with suppliers to ensure continuity of supply chains.	Chief Executives	3	4	12		Chief Executives	N/A		
16	51/03/2020	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 government 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 government guidelines and working with local resilience forum to plan the recovery and restoration of services. Additional budget announcements from govt.	Business Restoration and Business Recovery Groups Board reports - MTFF re-prioritisation towards economic recovery Membership of the SCG (Strategic Recovery Group) - weekly transport recovery group. Mayoral forum Chaired economic recovery group Local economic recovery strategy - will be implemented in October 2020 CSR (3 year) - submitted with Covid-19 mitigating aids.	Chief Executives	3	4	12		Chief Executives	N/A		
17	15/05/2020	Unbudgeted increases in cost for highways 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 prejudice delivery of the Combined Authority's Business Plan and a balanced budget.	Financial	Open	Imminent	5	3	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 of 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 project reporting to Board and Committees (vii) review of historic overruns to establish cause (viii) updating project management advice and guidance to ensure it is fit for purpose	Director of Delivery & Strategy	3	3	9		Chief Executives and Chief Finance Officer	N/A		
18	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	CPCA funding an independent climate change commission to provide advice and recommendations on how to deliver Combined Authority ambitions and to achieve net-zero Strategic combined authority policies require business cases for the delivery of projects to be consistent with the net-zero ambition.	Preparing an implementation plan for the CPCC recommendations. Communicating the CPCC findings, especially that its recommendations are consistent with an ambitious growth trajectory Accommodation, travel and internal policies to reduce scope one & two emissions	Strategic Planning Manager, Head of Comm. & Public Affairs, Chief Executives	4	2	8		Chief Executives	N/A		
19	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 government 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 government guidelines and working with local resilience forum to plan the recovery and restoration of services. Additional budget announcements from govt.	Business Restoration and Business Recovery Groups Board reports - MTFF re-prioritisation towards economic recovery Membership of the SCG (Strategic Recovery Group) - weekly transport recovery group. Mayoral forum Chaired economic recovery group Local economic recovery strategy - will be implemented in October 2020 CSR (3 year) - submitted with Covid-19 mitigating aids.	Chief Executives	5	2	10		Chief Executives	N/A		
20	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 additional growth to hit the doubling of GVA target	Strategic	Open	Approaching	2	4	8	09/06/2021	Establish a permanent and continuous economic insight programme to monitor sector and place impacts of Trade Deal conditions Engagement with business organisation (FSB, CBI etc) stakeholders to augment resources, including business advice and monitoring of sentiment through Chambers Development of an economic recovery strategy from both COVID and BREXIT that stimulate growth in relatively unaffected firms and sectors, whilst evaluating the impacts for those affected 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 relevant 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	3	6	raised from green to amber on the basis of business insight being received from firms, esp 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	11/11/2020	MCHLG Review of £100m Housing programme	Up to £40m of Government funding not provided, change of end date of £100m Housing Programme from 31st March 2022 to 31st March 2021 and potential programme loss of 243 housing units at Northshore which MCHLG may not recognise	£100m programme has shortage of unbudgeted capital and significantly reduced time and capability to deliver target of 2000 houses and the £100m programme within the £170m. Potentially significant reputational damage to CPCA housing programme likely.	External	Open	Imminent	5	5	25	09/06/2021	Outcome of review is now known, current programme being closed on 31st March 2021. Board, Committee members and key stakeholders being advised Funding decisions have successfully prioritised on achieving affordable housing plans by supporting all those schemes that could start on site before and March 2021. MCHLG have indicated a willingness to make further funding available to support a further affordable housing programme for the period April 2021 to March 2022 subject to conditions, the practical arrangements for which are being worked upon.	Meetings ongoing with MCHLG to work out the details on how the 2021/22 affordable housing programme will work	Chief Executive / Housing Director	3	3	9	Mitigation ongoing with MCHLG 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.	Housing Director	N/A		
22	06/01/2021	Delivery partner authorities determining that costs incurred in relation to CPCA capital funded projects should not be treated as capital expenditure for the purposes of the relevant finance rules	Grant funding which is expected to be treated as capital expenditure is required to be treated as revenue expenditure by CPCA, as a result of a determination by a partner delivery authority. The risk would be a consequent shortfall in revenue funding to meet the commitment.	Revenue funding deficit	Financial	Open	Approaching	2	3	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	1	3	3		Chief Finance Officer	N/A		
23	25/03/2021	Lack of capacity/resilience in the ICT provision to the CPCA.	Shortfall in the provision of an adequate ICT platform for future need - including software and systems, and equipment. Failure to have access to an application/system needed for the delivery of the CPCA project, programme, or service.	Programme, project, or service disruption.	Operational	Open	Approaching	2	4	8	09/06/2021	The CPCA is in discussions with the current service provider to understand the level of service offer available to the CPCA. The CPCA has commissioned the specialist consultancy "GOCTM" to undertake an ICT needs assessment and future provision plan.	Examination of options for interim support to stabilise the service provision.	All Directors	1	4	4		Chief Executives	N/A		
24	09/06/2021	Post-election onboarding	Changes in Political Management and change in priorities for the CPCA	Impact on funding, contractual arrangements and investor confidence in the CPCA.	Strategic	Open	Approaching	4	2	8	09/06/2021	Clarify around existing priorities and contractual obligations.	MTFF, Business Plan, Leaders Strategy meetings following the election	Chief Executive	2	2	4	Following the election of Mayor Johnson, key programme priorities are involved.	Chief Executive	N/A		
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