

Status	Threat/opportunity	Risk ID	Risk Owner	Risk Category	Likelihood/Probability	Impact	Score	Risk Title	Risk Cause	Risk Description of Uncertain Event	Risk Impact Effect	Controls and measures already in place	Most Significant Risk Impact	Likelihood/Probability	Impact	Current Score	Target Risk Score	Review Date	Risk Response	Further actions required to mitigate risk	Target Resolution Date	Trend	Previous Review Score	Issue Ref	Issue Date	Next Review Date	Additional Risk Impacts	Escalation	Comments
Open	Threat	SR8-R001 Previously S01	Director of Finance	Financial	5	5	25	Financial Assumptions for Investment Programme & Covid 19 effects and response to risk	Due to the challenge in securing income streams covered by political and economic uncertainty along with additional uncertainties caused by Covid 19	There is a potential risk, given the uncertainty of funding that WMCA may not be able to realise the supplementary (or alternative, equivalent) income streams envisaged in the 2018 Devolution deal, leading to the possibility that the programme may not be delivered as originally intended. There is a secondary risk around the "interest rate risk" and the degree to which any upwards movement in the rate of WMCA borrow at exceeds the purchasing power of the grants / funding it has secured to date. It is impossible to predict on the outcome of financial assumptions but, the current situation means it is highly unlikely the previous economic expectations will be met. In considering the draft budget report, WMCA Board (January 2020) noted the risks likely to occur in the 2021/22 financial year.	Leading to failure to deliver the Investment Programme as originally intended resulting in potential negative impacts including: reputational damage, impact on political relationships, service, programme delivery, Client Customer Partner Opportunities for growth compromised, Withdrawal of Constituent member, Government claw back of funds if project end dates do not align with funding deadlines, Reputational Damage, Negative media interest Inability to set high budget Stakeholder relationships compromised/withdrawn Reduced ability to borrow	Use of professional financial modellers and external treasury management experts to continually review the internal/external factors on the Investment Programme model which are then regularly reviewed in line with the programme. Close working with Government to understand the ongoing financial position and help unlock additional income streams. Assessing opportunities to turn grants to loans and/or maximise 3rd party contributions and land value capture. Identify opportunities to fund Investment Programme schemes through other means (i.e. Levelling Up Fund). WMCA continue to work with Central Government on financial issues arising from this situation, ensuring the voice of WMCA is heard by Government as part of discussions around financial and economic support for the region. We have built on existing good relationships with central government to successfully bid for new streams of money e.g. Govt. Britain Building Fund. Opportunities arising from the recent Spending Review are continuing to be assessed.	Reputational	5	5	25	20	Nov/Dec 2021	Reduce/Treat	Continuation of working with Government and constituent authorities regarding the assumptions relating to business rates. Alternative funding and financing streams are being explored with HMT. Future (post current Financial Year) precept options to be explored. We continue to lobby Govt for funding and to explore other opportunities e.g. the Levelling Up Fund announced in November's Spending Review.	01/12/2024	↔	25	N/A	N/A	Jan/Feb 2022	Political Stakeholder Delivery Operations	N/A Not Escalated	
Open	Threat	SR8-R002 Previously S11	Director of Strategy / Senior Leadership Team	Economic	5	5	25	External Factors	Due to external uncertainties such as changes in policy from global EU or government exacerbated by challenges created by Covid 19 and Brexit	The challenge of Covid19 has brought significant change to most areas of the WMCA operations over a concentrated period. Future predictions over the course of the pandemic and its effects are hard to make. There is a danger that continuing risks of Brexit are isolated or overlooked and insufficient planning is undertaken. Risks to the regional economy remain significant over the immediate and medium term. Economic effects of the pandemic in the WM Region is predicted to be affected more severely compared to other regions. There is still a requirement to monitor the situation on a continual basis due to the significant levels of uncertainty in the external environment due to Covid and following Brexit.	Potentially leading to failure to achieve delivery ambitions Operational impacts short, medium or long term impacts on the economy. Potentially resulting reputational damage. Potentially resulting in the attention of Government and partners being on addressing urgent Covid needs and not the core focus of economic growth and sustainable transport which are the core roles of the Combined Authority. Structural economic change may change the nature, cause and solutions to regional social and economic challenges, meaning that our solutions and programmes need to be reviewed.	Economic Impact Group has been established on a multi agency basis across the public and private sector to track and plan for the impact of Covid on the economy and bring forward proposals to mitigate the effects. It is also playing a role in considering Brexit impacts and responses in the region. Economic Recovery activity is overseen and directed by both the SED Board and the Steering Group, with regular reporting to CA Board and in Feb 21 the WMCA Board endorsed 5 strategic challenges to shape the region's response and recovery plan. This is being aligned with the Economic Growth Board. Established fortnightly monitoring process (in collaboration with WM REU (the University of Birmingham), summarising economic conditions, in addition to monthly reporting to SED Board. Regular statistical releases are circulated to inform decision making and are kept under annual review through the publication of the yearly "State of the Region" report.	Economic	5	5	25	TBC	Nov/Dec 2021	Reduce/Treat	Maintain measures already in place. Where vulnerabilities are exposed, undertake specific work with partners to explore solutions (e.g. supported Cabinet Office project about impact of introduction of border import controls) the Chamber/LEP led work about issues to trade disruption). Continued development and delivery of appropriate responses as the situation develops as advised by Government, including the development of a strategy to support the recovery of the economy within the region, supporting the Treasury's wider "Plan for Growth".	Ongoing	↔	25	N/A	N/A	Jan/Feb 2022	Operational Financial	N/A Not Escalated	
Open	Threat	SR8-R003 Previously S03	Senior Information Risk Owner (MD, IT/IM) / Head of Governance	Operations	5	5	25	Data Protection & Protective Security	There is a potential that data protection requirements and/or appropriate protective security of WMCA assets, information systems, premises and people may not be adequately maintained.	1. Cyber Crime which includes social engineering (phishing, vishing and smishing), malware attack, direct hacking, theft of data, and/or denial of service of ICT systems and services, is an increasing threat and public sector bodies are regular targets. 2. Human error or the failure of an individual/team to follow data protection legislative requirements, resulting in the loss of data and/or access to data by unauthorised persons. 3. Breached services. A data breach event occurring at a partner organisation with whom we have contracted to process data on our behalf.	Potential impact can include: Harm, damage, loss or misuse of corporate assets resulting in the inability to deliver ICT services to the current requirements, and therefore maintain WMCA operations. A data loss event that results in unauthorised access to data being processed by WMCA. Harm, damage and loss to individuals whose personal data WMCA are responsible for handling. Regulatory and/or legal action against WMCA. Financial and reputational damage.	In accordance with the IA Framework, the WMCA is committed to counter threats and appropriately protect its business and operations. To enable this, the organisation has adopted and continues to monitor adherence to all standards, warnings, advice, guidance and best practice as indicated by the relevant National Technical Authorities (National Cyber Security Centre and the Centre for the Protection of National Infrastructure) and other external experts. The Information Assurance Framework provides an internal information governance hierarchy for risk owners, whose function is to consider and manage Protective Security and Data Protection risk at strategic and operational levels. Mandatory requirements in place for all staff to complete Information Security training, including GDPR, with regular staff awareness and monitoring in place.	Financial	4	4	16	8 to 12	Nov/Dec 2021	Reduce/Treat	Organisational acceptance of a baseline measure on physical and Environmental, Policy and Procedural, and Personnel security. Regular implementation of a baseline measure. Review of continuity requirements in the event of risk materialisation. Regular scenario and resilience based exercises in place to support response preparedness. We continue to monitor the progress of obtaining the Declaration of Adequacy at EU/UK level to enable data transfers to take place post Brexit.	Ongoing	↔	16	N/A	N/A	Jan/Feb 2022	Reputation / Operational / Staff Customer/Client/Partner Regulatory / Legal/ Governance	N/A Not Escalated	
Open	Threat	SR8-R004 Previously S04	CEO / Senior Leadership Team	Political	5	4	20	Stakeholder & Political Relations	Challenging national politics have the potential to significantly impact the devolution agenda, funding and powers of WMCA	There is a risk that as WMCA continues to expand and absorb new recruits and accountability that WMCA's stakeholder & political relations become more pressured. Positive stakeholder and political relations are needed to deliver the ambitions of the organisation. The potential devolution of new powers and budgets from government to the Combined Authority under the Government's "levelling up" proposals, and continued uncertainty on when and how this will be achieved, will increase pressure on financial, operational, governance and scrutiny functions. There may be challenges in maintaining the relationships across the Region which helped to deliver the WMCA. Political relations and expectations will need to be managed.	Potentially leading to Delivery Gaps Budget pressures Financial Governance	Engaging close working with LEPs, constituent and non-constituent members with regular communications in place to ensure all parties are fully engaged. Collaborative working to be maintained and extended where opportunities allow, supporting the joint submission made in the Devolution White Paper in August. Arrangements are being put in place to ensure all stakeholders are kept informed & involved with any Devolution discussions, through the establishment of a Devolution Strategy group. The expectations of all members to be clearly understood and shared with ongoing engagement with all partners and businesses at all stages of the Portfolio delivery. WMCA are developing more regular stakeholder and political engagement to discuss both inflight and emerging opportunities for the wider benefit of the region. This has been supported by detailed stakeholder mapping and engagement activities being undertaken including protocols being established with local authorities. Arrangements that support engagement between Mayor and Portfolio Lead Members are being refreshed to create more time for policy development discussions.	Financial	4	4	16	TBC	Nov/Dec 2021	Reduce/Treat	Regular communication exists and is maintained at various levels. Wide representation at Governance Boards are to be maintained. New opportunities being identified by Leadership Team to maintain and improve relations. Induction process for newly elected political members of WMCA in place. External political uncertainties are likely to contribute to residual risk despite mitigating actions. A review of engagement and involvement in decision-making and policy development	01/08/2022	↔	16	N/A	N/A	Jan/Feb 2022	Operational Governance / Budget/ Funding Political	N/A Not Escalated	
Open	Threat	SR8-R005 Previously S05	Interim Head of HR / Senior Leadership Team	Operations	5	4	20	Capacity and Capability, & Covid 19 effects and response to risk	Due to the possibility of challenges in staffing structures and resourcing and skill gaps. Due to ongoing Covid 19 pandemic there is an increased level of challenge uncertainty surrounding the WMCA's ability to maintain adequate Capacity and Capability.	There is a risk that the capacity and skills amongst managers and officers may not be sufficient or fully aligned to meet the continuing focus for delivery of new and challenging initiatives within WMCA, particularly there are current limited capacity issues in the Procurement due to resourcing gaps. The organisation has moved to a predominantly home working environment. There is a risk that operational efficiency and staff morale and wellbeing could be affected in the long term. The recent update of HMT's requirement to continue to work from home, coupled with the possibility of further lockdowns is likely to exacerbate this risk. Normal control measures could also be strained during this time due to unusual working conditions.	Resulting in difficulties in the WMCA's ability to achieve partners and the organisation's priorities activities including a comprehensive organisation wide transformation programme, within the constraints of the funding pressures set for the organisation. Potentially leading to failure to deliver organisational objectives in line with required deadlines and plans. Organisational inability to respond to changing priorities and new initiatives. Increased demands and pressures on staff could also impact upon wellbeing and attendance / absence levels	Regular communications in place with all staff to maintain engagement across all levels of the organisation. Through the OD work we have done on Business Transformation we have reviewed structures and key resources and capabilities we need and have made significant improvements and recommendations for all enabling services teams. We have recruited a senior and experienced Recruitment partner and will also be recruiting an HR Recruitment Partner shortly. An approach to talent and succession is being progressed including a skills audit to support a more planned approach and a permanent head of procurement has now been recruited and is in place, with recruitment for the wider team underway. The requirement of Agencies and to focus on better quality direct attraction. Tighter controls on resourcing through the resourcing team will enable us to source quality candidates who will have a better recruitment experience. Detailed plans in place to support the continuation of home working for the foreseeable future with limited office space under Covid safe conditions being provided for critical roles only. Initial results of an All Staff survey on WMCA's management of its Covid response has demonstrated the majority of staff have welcomed working from home and productivity has increased. The results have been reviewed in detail to inform the approach to Agile working plans for future and policy development with regard to future working arrangements. A lessons learnt exercise has been completed to assess WMCA's response and inform plans for the preparedness of future emergencies. This has been reviewed by Health & Safety Executive, Compliance, Information Security, Communications, Environment, Health & Safety, and the Board.	Operations	4	4	16	12	Nov/Dec 2021	Reduce/Treat	Development and delivery of the organisation wide Transformation Programme Reset: Rebuild has been established to support the review of systems, processes, structure and culture, and will prepare the organisation in its ability to deliver in a continuing changing environment. Recruiting an Associate Recruitment Partner shortly, who will support the Senior Recruitment Partner. Reviewing approaches to Talent Acquisition to ensure that the right skills can be recruited and retained. An approach to talent and succession is being progressed including a skills audit to support a more planned approach. In addition internal promotion and succession/resource requirements is on the CMT agenda for discussion during May 2021. Talent management to be reviewed with SLT during September 2021 following CMT input. Development and insight in Productivity & Skills and underway in Public Services Reform and Connect is also underway. Recruitment is planned to enable robust workforce planning and management. Monitoring of overall levels of productivity and well being will continue, following HMT's latest advice on home working. The roll of our new Working Strategy has been welcomed by staff, and there has been no variance in either sickness absence rates or in the uptake of our SAP provider 'Case First' app, suggesting that on the whole staff are coping well. The internal audit report of Assurance in how we have responded to the Covid outbreak.	App 22	↔	16	N/A	N/A	Jan/Feb 2022	Delivery Staff	N/A Not Escalated	
Open	Threat	SR8-R006 Previously S15	Director of Strategy / Senior Leadership Team	Economic	2	5	10	Overall Delivery of Devolution Objectives & Covid effects and response to risk	As a result of political uncertainty and changing political priorities of central government, Covid 19 may exacerbate political and economic uncertainties further. Covid 19 may exacerbate political and economic uncertainties further.	There is a potential risk that Government priorities change, meaning that the case for Mayoral Combined Authorities (MCAs) and devolution is undermined. This could mean a re-contraction of MCA functions or new HMT programmes that cut across our delivery plans or undermine our role. This could limit our ability to deliver on our devolution deals, and cause broad reputational damage. There is a risk WMCA cannot respond in an effective or timely manner to respond to the national and regional effects of the Covid 19 pandemic. This will potentially result in significant challenges to the deliverability of the devolution programme within expected timescales.	Potentially leading to the failure of WMCA to deliver Devolution in whole or in part resulting in the possibility of detrimental impact to the local economy and reputational damage.	We continue to maintain close relationships with central government at both political and civil service levels to enable us to both inform and respond to the emerging policy response to the "levelling up" agenda. We make strong arguments for funding on all appropriate occasions. We are involved in regional and national review and planning exercises e.g. Brexit contingency planning. Organisational objectives are monitored and managed by Officers, thematic Boards and also WMCA Board.	Strategic	1	4	4	4	Nov/Dec 2021	Reduce/Treat	Low perceived residual external risk given current government positioning on the devolution agenda. Ongoing	↕	16	N/A	N/A	Jan/Feb 2022	Economic Political Delivery	N/A Not Escalated		
Open	Threat	SR8-R007 Previously S19	Managing Director / IT/IM / Senior Leadership Team	Economic	4	4	16	Longer term economic impact of Covid 19 on bus service provision.	Due to the impact of Covid 19 on bus patronage and revenue and the potential impact this will have on the commercial viability of bus services in the West Midlands, due to Covid 19 and reduced patronage levels, uncertainty over longer term government funding support beyond 2022/21.	The budget for the provision of subsidised bus services within the current policy framework (access standards) is forecast to be under significant pressure for 21/22. For Commercial bus operators are currently being supported through the Covid-19 Business Services Support Grant from the DfT. This is time limited funding enabling operators to maintain their pre-Covid access levels despite the loss of revenue from reduced patronage. It is unlikely, on the majority of routes, that patronage will recover to pre-Covid levels and may therefore affect the commercial viability of some services.	It is forecast that patronage will recover to around 85 to 90% of previous, which would create a £20m funding shortfall to repair the current shortfall. This would likely lead to pressure on IT/IM to step in and financially support services which, if deemed appropriate, would lead to increased budgetary pressures. The alternative would be reduced service provision across the region.	Working with bus operators to better understand the likely implications of any reduction or withdrawal of government funding support and assessing this at different levels of patronage. We are proactively engaging with Central Government and the DfT around devolution of funding so that we can better work with operators through the West Midlands Bus Alliance to manage any required changes to the network. Consider review of funding model and access standards in the event of funding not being provided to support uplift and commercial operators making significant changes.	Economic	4	4	16	9	Nov/Dec 2021	Reduce/Treat	We will continue to work closely with bus operators, Government and UTG and ensure that any commercial changes are also considered alongside the tendered network to ensure we make efficient use of all available funding sources. The level of risk to regional bus services will need additional funding to the values between £5m and £35m in 2021/22 (pending rail and £35m to £60m (commercial operator risk) and could result in a review of regional access standards. Preparations are being made to assess a process required to amend access standards in the event of emergency. We will continue to engage with the Central Government and the DfT and lobby for effective funding for bus services during the recovery period to avoid significant impacts to commercial and tendered bus services in the region. In November Government indicated their support for devolving funding for 21/22 but we yet to agree the amount and the terms under which it will be devolved, but indications are positive currently.	10/01/2021	↔	16	N/A	N/A	Jan/Feb 2022	Financial	N/A Not Escalated	
Open	Threat	SR8-R008 Previously S06	Director of Finance	Financial	4	5	20	Commerciality of Covid 19 effects and response to risk	Due to challenging economic conditions and potential changing customer behaviour, this is potentially exacerbated by Covid 19.	There is a potential risk that, having chosen to use commercial company delivery models in some areas, challenging economic conditions and/or regional loss of revenue from investments may result in: a) commercial models not being able to deliver expected benefits and commercial revenue targets and/or b) the structure exposes the Combined Authority to greater financial risk if the delivery model is unsuccessful. There is a risk the current economic situation due to Covid 19 will have a greater impact on the commercial arrangements currently in place or being established.	Resulting in the potential of reputational impact, delivery risk and financial risk	Formal governance structures in place between WMCA and commercial bodies. CA directors appointed to companies providing regular interface between parties. Compliance of all financial accounting arrangements. Assurance & Governance checklist in place to review and confirm satisfactory arrangements are in place for all 'Arms Length companies' The Investment Director provides a commercial perspective on funding opportunities that are presented to WMCA. Adequate expertise brought into the Finance Team to ensure an appropriate amount of rigor and precision exists within all WMCA commercial finance models, reducing the risk of error.	Financial	3	5	15	10	Nov/Dec 2021	Reduce/Treat	Adopting commercial models will allow the WMCA to become less dependent on government as it can diversify funding income. We continue to lobby government to support commercial operators impacted by the pandemic.	01/08/2022	↔	15	N/A	N/A	Jan/Feb 2022	Reputation / Staff Delivery Benefits/ Evaluation & Performance Management	N/A Not Escalated	
Open	Threat	SR8-R009 Previously S12	Investment & Commercial Activities Director	Programme Delivery	5	5	25	Project / Programme Appraisal & Assurance - Ensuring Compliance to National Devolution Commitments	Due to: • Higher than originally anticipated volumes of business cases and change requests due to the Pandemic • The introduction of enhanced control requirements increasing resource requirements. • Uncertainty with capacity in the short term in the team following Business Transformation	There is a potential risk that new project and programme proposals are not effectively appraised or assured in line with the Devolution commitments made to Central Government. Business Transformation has resulted in changes in support structures for SAF implementation. In the short term this has an impact on the capacity to implement and embed the SAF across all WMCA project portfolios. This risk may be exacerbated by new funding streams in response to the Covid pandemic. This may also impact on the ability of the WMCA to secure future funding.	Resulting in the potential of investment decisions being made regarding projects and programme without adequate appraisal having taken place before hand. This could possibly lead to poor investment decisions and failure to realise anticipated benefits or value for money, hence it will have an adverse financial and reputational impact. This would also have the possible impact of non-compliance with Government requirements. This may also impact on the ability of the WMCA to secure future funding.	An enhanced organisational Single Assurance Framework has been developed and approved by WMCA Board in July 2020. A phased implementation plan was endorsed by SLT in September 2020 for transition of projects to the new assurance framework. This started with the Investment Programme and has now expanded to include a number of portfolios. • Reconstitution of SAF Implementation group with revised membership has been established and will meet on a monthly basis and report progress/ issues to SLT. • SAF Implementation Project Manager has now started and is engaging with each Directorate - targeted date to transition existing portfolios in Spring 2022. • SAF Annual refresh will be initiated in line with the terms of WMCA Board Approvals by September 2022. • A revised and enhanced tool kit has been developed to support implementation of the SAF. • Assurance and appraisal processes have been implemented in line with SAF requirements. • Additional guidance is available for guidance on the WMCA Intranet pages. • Activity volumes are being carefully monitored. • Roll out of SAF requirements has been delivered to all Directorates and support teams. • Directors are committed to submitting project pipeline information for each Portfolio and will be working with the Assurance team to plan transition. The Investment Director is establishing a commercial approach to funding opportunities. In addition an integrated Risk, Assurance and Internal Audit review has been established to share information and intelligence.	Financial	2	5	10	10	Nov/Dec 2021	Reduce/Treat	To mitigate risk there are further elements of the SAF that need to be implemented and embedded. 1. The SAF implementation has now been approved and a Project Manager will be developing the Project Plan fully roll out to WMCA Portfolios. 2. Continued regular Assurance and Appraisal reporting to SLT and ARAC. 3. Following the review of internal governance arrangements, embedding of future governance arrangements is ongoing as part of a wider review.	31/12/2022	↔	10	N/A	N/A	Jan/Feb 2022	Regulatory Reputation	N/A Not Escalated	Risk materiality increased in Jul/Aug review

Open	Threat	SR-020 Previously S05	Head of Governance	Operations	4	5	20	Governance Arrangements & Covid 19 effects and response to risk	Failure to adopt or challenges in adopting and embedding adequate formal governance arrangements. Covid 19 may exacerbate potential challenges with governance arrangements further	As the WMCA is going through a period of growth with absorption of new and emerging priorities there is a risk that existing governance arrangements do not support the delivery of the organisation's objectives. With new devolved budgets, different government departments have specified different assurance requirements which are adding to pressures to develop bespoke governance arrangements. Whilst Government guidance on social distancing has been relaxed/adjusted, WMCA continue to adopt a socially distanced hybrid approach to meetings. Allowing only essential Committee/Board members for formal decision-making (for quorum) to be present within the physical meeting room. With other attendees attending the meeting remotely. Such meetings are still held in a transparent way and are live streamed for public engagement.	Leading to potential of: inadequate governance Negative Financial Impact Legal/Regulatory Impact Delivery Failure	Comprehensive governance arrangements are in place and contained in the WMCA constitution, approved by the Board. A governance review is currently being undertaken to ensure current governance arrangements are satisfactory. The Director of Law & Governance and Monitoring Officer is a member of the Strategic Leadership Team and attends all meetings of the WMCA Board, and responsibility for oversight of all assurance activities, including Internal Audit. A WMCA single assurance framework has been agreed. Governance requirements for Adult Education Budget, Housing and 5G have been established to ensure the adoption of streamlined approaches where required. Governance activities are managed centrally to ensure robust arrangements are in place and conform to all legal requirements. Statutory Officers Group meets to moderate and review compliance of governance arrangements. Membership includes the CEO, Section 151 Officer (Director of Finance) and the Monitoring Officer (Director of Law & Governance). WMCA is currently adopting a hybrid approach to meetings. Allowing only essential Committee/Board members for formal decision-making. (for quorum) to be present within the physical meeting room. With other attendees attending the meeting remotely to ensure a safe meeting environment. Hybrid meetings are being managed on a case by case basis to ensure that the environment is as socially distanced and secure as possible.	Governance	3	4	12	TRC	Nov/Dec 2021	Reduce/Treat	Ongoing programme of risk based Internal audits undertaken to provide an independent review that governance arrangements and internal policies are adhered to and remain effective. Corporate Assurance Team and Governance continue to liaise with new functions to establish appropriate assurance and governance arrangements. A Review of Governance has commenced, with initial findings to be reported in November 2021. We will continue to monitor national guidance on this from Govt and the LGA and work with the Met Authorities to maintain a consistent approach where possible. The Regulations on remote meetings expired on 7th May. Although the High Court challenge of professional bodies representing local government legal and professional officers seeking to continue with remote meetings was unsuccessful, it is likely that the government will	Ongoing	↔	12	N/A	N/A	Jan/Feb 2022	Financial Operations & Delivery Legal/Regulatory	N/A Not Escalated
Open	Threat	SR-021 Previously S09	Director of Productivity and Skills/ interim Head of IT	Operations	4	4	16	Capacity of Leadership Team	Due to potentially challenges in recruitment with excessive workloads which may be exacerbated by the on going Pandemic.	This risk may be exacerbated by the departure of two of the three Statutory Officers for the CA for these vacant positions are not filled in a timely manner. Please refer to risk ref SR-008 for information on Covid 19 effects and response.	Resulting in difficulties in the WMCA's ability to achieve delivery of the organisation's priority activities. Leading to potential delays in delivery.	Leadership team is fully established with key individuals who have an expertise in their specific field and have established relationships with key stakeholders to support the continued delivery of the WMCA agenda. Continued oversight of all functions is maintained by the CEO with weekly individual and Leadership Team review meetings to enable early intervention. A Corporate Management Team of heads of service has been established to provide additional leadership capacity and support to the Strategic Leadership Team by providing regular oversight of organisational policy, development and performance. An integrated Performance Management Framework has been established to provide SLT with early trigger warnings affecting delivery. A programme of Business Transformation is underway to improve the efficiency and effectiveness of the CA. An interim Director of Law and Governance took up post during the 1st week of May 2021 and has completed a full handover with the existing Director of Law and Governance. A permanent CEO has now been appointed and, a recruitment plan in place with anticipated permanent post for Director of Law & Governance to be appointed by November 21. Interim arrangements are also in place to cover the new CEO previous role as MD for Transport for West Midlands following an appointment in July. Interim arrangements for both of the above roles will remain in place until the permanent candidates take up their roles, this provides a level of continuity, additionally in the case of Director of Law and Governance there has been a commitment to support a handover period.	Operations	3	4	12	6	Nov/Dec 2021	Reduce/Treat	Close working arrangements in place with member authorities in order for all parties to provide mutual support as required. Following appointment of an interim Director of Law and Governance who took up post during the first week of May, plans are now underway for recruitment of a permanent replacement for the role later in the year. A review of phase 1 of business transformation is set for October 2021. There is an ongoing review of governance to enable decision making and cross authority process works to best efficiency. There is an increased focus on ensuring in the following areas: HR, Commercial & Investment and Strategic Workforce and succession plans will be in place for end of September and will focus on specialist skills and recruitment plan, this risk can now be managed.	Feb-21	↔	12	N/A	N/A	Jan/Feb 2022	Delivery Staff	N/A Not Escalated
Open	Threat	SR-022 Previously S13	Director of Housing and Regeneration / Managing Director THWM	Operations	4	4	16	WMCA Resilience	There is a possibility that regular events and circumstances affecting WMCA services, buildings and facilities may disrupt operations and activities. Unanticipated events or operating conditions.	Meaning that WMCA may not be able to respond in an effective and timely manner to events that have the potential to disrupt operations and activities, causing service outages. Also potentially that WMCA cannot respond in an effective and timely manner to events that disrupt transport network operations and activities.	Which may lead to the potential of negative impacts on operational delivery and communication throughout the organisation. Impact on service delivery which may lead to financial loss (or failure to realise expected benefits or funding) reputational damage, service outages, legal or regulatory breach.	An incident management team and out of hours On Call arrangements are in place with alternative workspace identified at alternative WMCA locations. A business continuity framework and programme exists and continues to be advanced to ensure that WMCA can respond to any business disruption in a timely manner. Hybrid working arrangements and increased resilience from operational methods put in place as a result of remote working have provided mitigation of some of these effects. An incident management team and out of hours On Call arrangements are in place with alternative workspace identified at alternative WMCA locations. Independent review by Internal Audit provided 'substantial' rating for corporate business continuity arrangements. Raising business continuity awareness and embedding the programme within the business. Consistent messaging and comes throughout organisation. Establishment of multi agency partnerships with monthly progress updates and review of risk exposure. Major event emergency planning and associated governance structure to review on an ongoing basis.	Operations	3	3	9	6	Nov/Dec 2021	Reduce/Treat	Raising business continuity awareness and embedding the programme within the business, a 'task and finish' group has been established which is being led by the FM team to review and refresh our business continuity key documents. A new 'all staff updates' messaging service has been established in teams and a new business continuity teams site is being established with ICT. All incidents are now reported to CA's part of the 'organisational health' dashboard and share with 'Security Steering Group'. FM are now working closely with Network Resilience to share best practice on THWM plans. ICT to review disaster recovery plan to ensure consistency between ICT and operational requirements are met and update following Covid-19 and in light of the new remote working policies and procedures. WMCA FM team are working on an updated Business Continuity Plan and ICT are now working with FM as part of the 'task and finish' group to ensure the ICT plan in conjunction with business requirements Phase 2 of the Business Continuity Strategy is the review and refresh of the 16 Summer Lane emergency plan (over Q3 2021). Phase 3 of the plan is the development of a wider corporate and organisational resilience plan (Q4 2021).	Ongoing Q4 2021/22	↔	9	N/A	N/A	Jan/Feb 2022	Service Delivery Reputational Damage Legal/Reg Breach	N/A Not Escalated
Open	Threat	SR-023 Previously S08	Head of Communications / Senior Leadership Team	Programme Delivery	4	5	20	Reputation	Failure to adopt effective and efficient processes including clear and effective communications strategy.	Where the WMCA has significant monetary investment and proposals run by partners, for example the Commonwealth Games, or parts of the transport network, the operation of Arms Length Companies or high profile sporting or cultural events in the region, the potential for negative media coverage or stakeholder perception. Resulting in the potential of Reputational damage to the WMCA. Delivery gaps	Leading to the potential of negative media coverage and poor stakeholder perception. Resulting in the potential of Reputational damage to the WMCA. Delivery gaps	An organisational communications strategy is due to be approved by SLT and will be regularly reviewed. The communications strategy outlines principles, objectives, channels and delivery etc of robust communications. The communications department is engaged in all business activity (including the group, such as CWG & Directorate projects, providing regular liaison with the Mayor's office to ensure pro-active and consistent messaging is delivered by all, at all times. Head of Communications and all WMCA spokespersons provided with media training. Regional Communications Group established ensuring the sharing of best practice and to facilitate strong relationships with key partners. Progress of financial contributions monitored to enable coverage of all WMCA successes or early intervention of possible challenges. Close engagement with wider organisations with ongoing management and forward planning of all communication activities. 24/7 Media Office is available.	Reputational	4	2	8	8	Nov/Dec 2021	Reduce/Treat	Communications strategy is reviewed regularly to ensure it is consistent with the organisation's corporate objectives. Ensure that major regional initiatives e.g. Commonwealth Games have clear and transparent governance arrangements in place. SLT are taking on responsibility for ensuring positive relationships with key partners. Building better relationships with journalists and a continuous programme of staff training to ensure they are delivering best practice.	N/A	↔	8	N/A	N/A	Jan/Feb 2022	Political Stakeholder	N/A Not Escalated
Open	Threat	SR-024 Previously S07E	Managing Director, THWM	Programme Delivery	4	4	16	Delivery Commonwealth Games Regional and Spectator Transport Operations (THWM)	Failure of the WMCA to secure adequate financial resources.	The BAU Public Transport Network and it's recovery period as a result of COVID-19 (medium/long term) may not be sufficient to support proposed Public Transport strengthening plans. Periodic as a result of COVID-19 (medium/long term) may not be sufficient to support proposed PT strengthening plans.	The BAU Public Transport Network and it's recovery period as a result of COVID-19 (medium/long term) may not be sufficient to support proposed Public Transport strengthening plans. Periodic as a result of COVID-19 (medium/long term) may not be sufficient to support proposed PT strengthening plans.	THWM chairs the multi-agency Joint Transport Group (JTG) which includes relevant central government departments (DfM, DfT, Local Authorities and the CA, WMCA CEO and THWM MD are members of the Chief Executive Officers Group (CEOOG) for Games. Budget for Transport Operations was agreed with HMG as part of its Major Project Review Group and THWM continues to work in partnership with DfM to develop and deliver a successful transport operation across the region for Spectators for Games time. An integrated Transport Programme, cost plan and financial management processes have been developed that supports the formal funding agreement and progresses the delivery of operations that fall under THWM's remit for Games. COVID-19 impacts have been assessed and OMS are being validated to ensure relevant contingency can be drawn down if required.	Reputational	3	4	12	8	Nov/Dec 2021	Reduce/Treat	We are continuing to work in partnership with Government, the Organising Committee, Birmingham City Council, other authorities and operators to ensure a successful Games for the region. The impact of COVID-19 on this programme of work has been reviewed and is reflected in the risk scoring. We are assessing and mitigating these impacts/risks through the programme and cost partner as part of the Games Governance. The recovery of the PT Network and it's resilience for games time operations is being considered alongside development of Games time resilience levels to enable mitigations planning as progress towards delivery in 2022.	30/06/2021	↔	12	N/A	N/A	Jan/Feb 2022	Delivery Program Delivery	N/A Not Escalated
Open	Threat	SR-025 Previously S14	Director of Inclusive Growth and Public Service Reform/ CEO	Programme Delivery	5	5	25	Delivering the 2041 Carbon Budget reduction	Due to a variety of challenging and uncertain structural and operational factors including the pace of transition within key industries and sectors, and the scale of government investment and legislation.	This is a collective regional commitment relevant across the three LEP areas it is underpinned by a number of pre-conditions and determinants that are outside of WMCA's direct control.	There are profound implications for the region as part of a headline global risk of severe warming which evidence suggests will be costly to human and economic terms. The potential impacts are: • contributing to climate change with potential for extreme weather events, • continuing to affect adversely the health of the population by increasing symptoms of respiratory (e.g. asthma) and cardiovascular disease (e.g. lung cancer, strokes, heart disease) in some cases leading to death. Air pollution can also impact on child development and development of dementia. This increases pressure on NHS resources e.g. increase hospital admissions, • contributing to lower productivity in the region due to work absence for health reasons • exacerbating health inequalities as certain groups in society are more susceptible to high levels of air pollution e.g. elderly, children, those with disabilities, lower income groups who tend to live in housing in urban areas near roads • Potential disruption to supply chains.	Annual monitoring of progress will be put in place by the WMCA Environment Team, who have also undertaken to report annually to the Carbon Disclosure Project. But the scale of the renewed commitment of WMCA (alongside that of its members and partners) requires a step change. A climate change strategy has been developed and priorities identified through a paper prepared to the CA Board in June 2020 (WMCA24 - a programme for implementing an environmental recovery). Actions from this paper are now being taken forward and a Five Year Plan was presented to the CA Board and agreed in March, outlining the actions that will be required from 2021-2026 to stay on course for net zero by 2041. As part of the approval of the Five Year Plan, budget was provided to create 3 new roles for the Five Year Plan and five new roles for Energy Capital. This significantly enhances our ability to deliver against the programmed targets. Supporting progress with sustainability partners in aligning the five year budget cycles required under the UK Climate Change Act. THWM continues work to effect a modal shift to clean and efficient public transport and active travel addresses medium term carbon reduction goals as well as shorter term concerns over clean air and congestion. The new Movement for Growth strategy will have carbon as a key consideration in future transport measures. The Environment Team is also working with other parts of the CA (including Housing and Land and Productivity and Skills) to ensure that net zero is embedded across the CA's work.	Economic	2	5	10	10	Nov/Dec 2021	Reduce/Treat	The next steps for the delivery of the climate change work will be to develop a Five Year Action Plan (there will be 4 of these in total, up to 2041). This will set out clearly the policies and investments required to adhere to the carbon reduction timetable. This was presented to the CA Board in March (and approved), along with the action that needs to be taken to start delivery of the plan. Next steps are to implement this plan. We continue to press the Government for additional funding for the work on energy and environment in connection with any review of public spending. 2026	2026	↔	10	N/A	N/A	Jan/Feb 2022	Environmental People	N/A Not Escalated
Open	Threat	SR-026 Previously S07D	Investment & Commercial Activities Director	Programme Delivery	4	4	16	Delivery - West Midlands 5G	Due to uncertainties around the continued funding for WMGSG and its complexities in a multi-stakeholder project which is part of the national Testbeds and Trials programme within DCMS.	Additionally WMGSG has currently no secured guaranteed funding in place beyond March 2022, there is a possibility that continued delivery can not be guaranteed beyond March 2022 if alternative funding is not secured.	Potential resulting in the delivery failures and the need to wind down WMGSG if alternative funding is not secured impacting on Staff, Skills levels within the CA. Operational impacts beyond the SLT Team caused by the 5G trials created if there are staff losses. With a low potential of reputational impact. There is a significant potential Financial Loss for two reasons. 1. If no further funding is received to continue the work of WMGSG, then the start up costs have not been spread over many years. 2. Any future digital initiative that could have utilised the WMGSG skill and knowledge base would need to incur new start up costs.	Finances throughout the project are drawn down subject to robust business case criteria within both DCMS (via an over-arching part agreement) and within WMCA (via investment programme mechanisms). The governance structure further reinforces this via an arms length, wholly owned subsidiary company of WMCA, overseen by an independent Chair held ultimately to account by a joint venture board - each with senior representation from WMCA, DCMS and other stakeholders. As funding is in arrears and targets met to date, the risk of any failure to deliver is falling. WMGSG has a staff retention plan in place to mitigate chances and impact of staff leaving before March 2022. Some small amount of funding has been identified to provide a short scaled back service from WMGSG after March 2022 and more funding is being sought.	Delivery	2	4	8	6	Nov/Dec 2021	Reduce/Treat	We will continue to monitor the programme according to market realities and the profile of funding available and adapt accordingly within the governance framework created for this purpose. WMGSG is funded until March 2022. A plan is being put in place to address potential retention issues as it is important to retain focus on delivering results for the 2022/23 year. Partial funding of staff leaving before March 2022. Some small amount of funding has been identified to provide a short scaled back service from WMGSG after March 2022 and more funding is being sought. The outcome is likely to be known Feb 2022.	18/01/2022	↔	8	N/A	N/A	Jan/Feb 2022	Operations & Reputational	N/A Not Escalated
Open	Threat	SR-027 Previously S07F	Director of Housing and Regeneration	Programme Delivery	4	4	16	Delivery Milestones - Housing and Regeneration	Funding secured from HMG for housing and land delivery programmes is subject to robust monitoring and governance. Failure to comply with HMG and WMCA governance.	The updating, where necessary, of local plans for constituent and non-constituent members is a core element of Government support for the Housing Deal agreed in 2018 and the Housing and Land Boards are regularly updated on progress. This is a risk the Combined Authority does not control, with a consequence for securing continuing funding, support and confidence from Whitehall to achieve the Combined Authority's outcomes. In addition, there are potential consequences for developer investment, alongside maintaining relationships with local authorities, delivery of objectives and reputational and political damage.	This could potentially cause or result in funding gaps, delivery gaps, reputational damage. This could lead to an inability to secure further funding, inability to deliver key projects, impact on wider benefits delivered or planned from HBS programmes such as affordable housing, zero carbon housing, jobs and skills development.	The WMCA, its local authority partners and business sector representatives are currently co-developing a number of business cases to HMG to secure further funding and support, as commissioned by the Housing and Land Delivery Board. This builds on the approved Covid 19 recovery plan which assessed and analysed the challenges and opportunities brought about by Covid-19 and a series of interventions, including asks of HMG to mitigate risk and maximise public value. Regular dialogue with local servants to establish WMGSG progress, provide assurance of delivery and secure further opportunities for funding programmes. Development of stakeholder engagement tools and engagement plan for Whitehall. Close working relationships with Members and Officers of local authorities especially on priority projects and sites. Communications plan for Housing & Regeneration to ensure consistent messaging and that LA and other partners are included and engaged in relevant work. Recent measures adopted include: Introduction of Slide Pack for LA & Developer awareness, promotion and consistent messaging. Updated SCF Brochure for new development partner awareness/marketing. Single document of priority housing and regeneration projects for each council. Roll out of Delivery & Spend programmes for continued monitoring across all successful applications. Roll out of individual Risk Registers on all projects, providing early engagement and efficient mitigation measures with all relevant stakeholder from conception to completion. Increased team capacity and experience, including additional external specialist support, to deliver timely, effective and continued monitoring of the SCF process and delivery of successful applications. Improved due diligence processes and procedures during the SCF application process. New business process reported in real time. Funding Schedule monitoring group.	Delivery	1	4	4	4	Nov/Dec 2021	Reduce/Treat	Continued dialogue with civil servants to establish WMGSG progress, provide assurance of delivery and secure further opportunities for funding programmes. Regular reports & programme updates to HMG to demonstrate delivery & outcomes secured. Development of a regional investment prospectus with local authorities, West Midlands Growth Company and LEPs to maximise private sector investment into key projects and programmes. Development of stakeholder engagement tools and engagement plan for Whitehall and private sector investors and developers. Continue close working relationships with Members and Officers at local authorities. Meetings of officer steering group to include workshops and task and finish sessions. Communications plan for Housing & Regeneration to be further developed to ensure consistent messaging and that LA and other partners are included and engaged in relevant work.	Ongoing	↔	4	N/A	N/A	Jan/Feb 2022	Benefits Realisation Environmental Delivery Stakeholder Funding People Skills Reputational	N/A Not Escalated
Open	Threat	SR-028 Previously S10	Managing Director, THWM & Director of IT	Operations	2	4	8	Health & Safety	Failure of the WMCA to adopt and embed adequate Health & Safety arrangements.	The WMCA is now accountable for the delivery of Metro Operations & a number of project construction sites with the growing number of infrastructure projects in delivery.	Health & safety duties are delivered to ISO45001 standard with ongoing compliance externally assessed 6 monthly. Audit & Inspection of all assets undertaken against set schedule to ensure H&S compliance is maintained. Monthly H&S position statement provided to satisfy Board of the Organisation's Corporate responsibilities, including review and analysis of accident, incident and near miss reports. Health & safety obligations are considered in the development of all projects and programmes. Strategic and operational Safety, Health, and Environment (SHE) committees established providing operational and Director engagement.	Health & Safety	2	3	6	4	Nov/Dec 2021	Reduce/Treat	Expansion of scope of ISO45001 accreditation to incorporate all WMCA activities. Covid 19 response: Covid-19 Risk Assessments have been produced for all operational environments, with particular attention paid to Transport Operations as the network re-mobilises. Operational Guidelines have been produced for Transport Operations setting out operational norms. Further enhancements to PPE measures introduced to assist staff with Remote Working including the supply of ergonomic equipment if required. Latest H&M Government guidance has been reviewed and feedback provided on its application within the organisation. Guidance has been produced setting out the management framework and procedure for 'Covid 19 secure' safe workplaces. H&S impacts to the mobilisation and re-mobilisation of projects due to Covid 19 continue to be considered, working closely with stakeholders to ensure ongoing compliance with Covid 19 requirements. Ongoing work with 16 Summer Lane Working Group in relation to the recovery of 16 Summer Lane including production of Covid-19 Secure Risk Assessment.	Ongoing	↔	8	N/A	N/A	Jan/Feb 2022	Reputational legal People Staff	N/A Not Escalated	

