



Open	Threat	SBR R020	Investment & Revenue Activities Director	Programme Delivery	5	5	20	<p>Due to higher than originally anticipated volumes of business cases and change requests due to the pandemic:</p> <ul style="list-style-type: none"> <li>The introduction of enhanced central requirements increasing resource requirements.</li> <li>Uncertainty with delays in the short term in the team following Business Transformation</li> </ul>	<p>There is a potential risk that new project and programme development programmes made to Central Government Business Transformation has resulted in changes in support structures for S&amp;P implementation. In the short term this may have an impact on the ability to implement and embed the S&amp;P across all WMCA project portfolios.</p> <p>This may be exacerbated by new funding streams in response to the Covid pandemic.</p>	<p>Resulting in the potential of investment decisions being made regarding projects and programme development without adequate appraisal having taken place previously. This could possibly lead to poor investment decisions and failure to realise anticipated benefits or value for money, hence it will not be an adverse financial and reputational impact.</p> <p>This would also have the potential impact on compliance with Government requirements.</p> <p>This also places pressure on the ability of the WMCA to secure future funding.</p>	<p>An enhanced operational Single Assurance Framework has been developed and approved by WMCA Board in July 2020. A phased implementation plan was evidenced by 31<sup>st</sup> September 2020 for transition of projects to the new assurance framework. This covered both the Investment Programme and has now expanded to include a number of portfolios.</p> <p>A Strategic S&amp;P Implementation Group with revised membership has been established and self meet on a monthly basis and report progress to S&amp;P.</p> <p>A S&amp;P Implementation Project Manager has now started and is engaging with each Directorate. Target dates to transition existing portfolios in Spring 2022.</p> <p>Additional projects will be undertaken in line with the new WMCA Board approach. September 2022.</p> <ul style="list-style-type: none"> <li>A revised and enhanced tool has been developed to support implementation of S&amp;P.</li> <li>Assurance and Appraisal processes have been implemented in line with S&amp;P requirements.</li> <li>Additional projects are available for governance on the WMCA current pages.</li> <li>Activity volumes are being carefully monitored.</li> <li>Additional projects have been approved and Recruitment and Selection is underway to fill these posts, to date 6 of the 7 posts have been filled. All out of S&amp;P requirements has been delivered to all Directorates and support teams.</li> <li>Options are committed to submitting project positive information for each portfolio and will be working with the Assurance team to plan transition.</li> </ul> <p>The Investment Director is establishing a commercial approach to funding opportunities.</p> <p>An assurance framework has been established to ensure compliance with these requirements.</p> <p>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.</p> <p>The Director of Law &amp; 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.</p> <p>A WMCA single assurance framework has been agreed. Governance requirements for Adult Education Budget, Housing and SO have been established to ensure the adoption of streamlined approaches where relevant.</p> <p>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.</p> <p>Statutory Officers Group meets to monitor and review compliance of governance arrangements. Membership includes the CEO, Section 155 officer (Director of Finance) and the Accounting Officer (Director of Law &amp; Governance).</p> <p>WMCA are currently adopting a hybrid approach to meetings. All key essential Committee/Board members for formal decision-making (if possible) 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 they continue to be socially distanced set points. We continue to review the operation of hybrid meetings to ensure they are working appropriately.</p> <p>Regular consideration is given to the use of a virtual meeting room (Zoom) to ensure that a maximum of 16 of 16 formal distancing remains in place or off site where Board meetings have a higher membership.</p>	Financial	2	5	10	10	30/Jan/2022	Medium / Trust	<p>To mitigate risk there are further elements of the S&amp;P that need to be implemented and embedded:</p> <ol style="list-style-type: none"> <li>The S&amp;P implementation has now been approved and a Project Manager has been appointed to the Project to fully deliver S&amp;P to all WMCA Portfolios.</li> <li>Contracted regular Assurance and Appraisal regarding to S&amp;P and AMAC.</li> <li>Following the review of internal governance arrangements to ensure the effectiveness of assurance arrangements is ongoing as part of a wider review.</li> </ol>	11/12/2022	60	10	N/A	N/A	May/Apr 2022	Regulatory Reporting	N/A Not Escalated	Risk naturally increased in Jul/Aug review		
Open	Threat	SBR R020	Head of Governance	Operations	4	5	20	<p>Failure to adopt or challenge in addressing and embedding adequate financial assurance arrangements Covid-19 may exacerbate potential challenges with governance arrangements further</p>	<p>May lead to the risk of failures in effective decision making arrangements, ineffective or unsuccessful delivery of WMCA objectives and possible legal challenges, impacting on the WMCA's ability to meet its obligations and future aspirations.</p> <p>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 developed business different governance structures have identified different assurance requirements which are adding to pressure to develop bespoke governance arrangements.</p> <p>Initial Governance guidance on social distancing has been reviewed/updated. WMCA continues to adopt a socially distanced hybrid approach to meetings. All key essential Committee/Board members for formal decision-making (if possible) 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 they continue to be socially distanced set points. We continue to review the operation of hybrid meetings to ensure they are working appropriately.</p> <p>Regular consideration is given to the use of a virtual meeting room (Zoom) to ensure that a maximum of 16 of 16 formal distancing remains in place or off site where Board meetings have a higher membership.</p>	<p>Leading to potential of inadequate governance arrangements Financial impact / Regulatory impact Delivery failures</p>	<p>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.</p> <p>The Director of Law &amp; 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.</p> <p>A WMCA single assurance framework has been agreed. Governance requirements for Adult Education Budget, Housing and SO have been established to ensure the adoption of streamlined approaches where relevant.</p> <p>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.</p> <p>Statutory Officers Group meets to monitor and review compliance of governance arrangements. Membership includes the CEO, Section 155 officer (Director of Finance) and the Accounting Officer (Director of Law &amp; Governance).</p> <p>WMCA are currently adopting a hybrid approach to meetings. All key essential Committee/Board members for formal decision-making (if possible) 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 they continue to be socially distanced set points. We continue to review the operation of hybrid meetings to ensure they are working appropriately.</p> <p>Regular consideration is given to the use of a virtual meeting room (Zoom) to ensure that a maximum of 16 of 16 formal distancing remains in place or off site where Board meetings have a higher membership.</p>	Governance	3	4	12	TBC	30/Jan/2022	Medium / Trust	<p>Ongoing programme of risk based internal audits undertaken to provide an independent review that governance arrangements and internal policies are aligned to and remain effective.</p> <p>Corporate Assurance Team and Governance continue to work with new functions to establish appropriate controls and have new functions to establish appropriate controls and have new functions to establish appropriate controls and have new functions to establish appropriate controls.</p> <p>A Review of Governance has commenced, with initial findings to be reported in November 2021.</p> <p>We will continue to monitor national guidance on this from Govt and the LGA and work with the Audit Authorities to ensure a consistent approach where possible. The Regulations on remote meetings expired on 30th May. The Regulations on remote meetings expired on 30th May. The Regulations on remote meetings expired on 30th May. The Regulations on remote meetings expired on 30th May.</p> <p>Representing local government legal and professional officers, meeting to continue with remote meetings was unsuccessful. It is likely that the government will review the position of the regulations in the next year.</p> <p>Until such time as the legislation is revised meeting attendance will continue to be managed on a case by case basis with the support of the Assa's Team</p>	On going	60	12	N/A	N/A	May/Apr 2022	Financial Operations Delivery Legal / Regulatory	N/A Not Escalated			
Open	Threat	SBR R021	Director of Productivity and Skills	Internal Head of Ops	Operations	4	4	10	<p>Due to potential challenges in recruitment coupled with resource shortages which may be exacerbated by the on going Pandemic.</p>	<p>There is a potential risk that the opportunity of the Leadership Team may be impacted by the departure of one of the two Deputy Officers for the CA in their worst positions as well as the small number.</p> <p>Please refer to risk of SBR R020 for information on Covid-19 effects and response.</p>	<p>Resulting in difficulties in the WMCA's ability to establish and deliver the objectives of the Leadership Team. Continued oversight of all functions is maintained by the CEO with weekly individual and Leadership Team review meeting to enable early identification of any issues.</p> <p>A Corporate Management Team of Heads of Service has been established to provide additional leadership support and support to the Strategic Leadership Team in the event of any issues.</p> <p>An Integrated Performance Framework has been established to provide SLT with early warning of any delivery issues.</p> <p>A governance CEO has now been appointed and a recruitment plan in place with anticipated permanent post for Director of Law &amp; Governance to be appointed for November 22. Interim arrangements are also in place to cover the new CEO previous role as MC for Transport for West Midlands following an appointment to job. Interim arrangements for both of the above roles will remain in place until the permanent candidates take up their posts, this provides a level of continuity, additionally the role of Director of Law and Governance there has been a commitment to support a leadership period.</p>	<p>Leadership team is fully established with key individuals who have an experience in their specific field and have established relations with key stakeholders to ensure business continuity in delivery.</p> <p>Continued oversight of all functions is maintained by the CEO with weekly individual and Leadership Team review meeting to enable early identification of any issues.</p> <p>A Corporate Management Team of Heads of Service has been established to provide additional leadership support and support to the Strategic Leadership Team in the event of any issues.</p> <p>An Integrated Performance Framework has been established to provide SLT with early warning of any delivery issues.</p> <p>A governance CEO has now been appointed and a recruitment plan in place with anticipated permanent post for Director of Law &amp; Governance to be appointed for November 22. Interim arrangements are also in place to cover the new CEO previous role as MC for Transport for West Midlands following an appointment to job. Interim arrangements for both of the above roles will remain in place until the permanent candidates take up their posts, this provides a level of continuity, additionally the role of Director of Law and Governance there has been a commitment to support a leadership period.</p>	Operations	3	4	12	6	30/Jan/2022	Medium / Trust	<p>Close working arrangements in place with member authorities in order for all parties to provide mutual support as required.</p> <p>Following appointment of an interim Director of Law and Governance who took office during the first of the May, plans are now underway for recruitment of a permanent replacement for the role later in the year.</p> <p>A Review of phase 1 of business transformation is set for October 2022.</p> <p>There is an ongoing review of governance also to enable decision making and cross authority processes works to be more effective.</p> <p>There is an increase focus on recruiting to the following roles: Commercial Development and Strategic Marketing and succession plan will be in place for end of September and will focus on operational skills and recruitment.</p> <p>There is an increase focus on recruiting to the following roles: Commercial Development and Strategic Marketing and succession plan will be in place for end of September and will focus on operational skills and recruitment.</p>	Feb-22	60	12	N/A	N/A	May/Apr 2022	Delivery Staff	N/A Not Escalated		
Open	Threat	SBR R021	Director of Planning and Regeneration	Managing Director TSMG	Operations	4	4	10	<p>There is a possibility that irregular events and circumstances affecting WMCA revenue, buildings and facilities may disrupt operations and activities. Unplanned events or operating conditions.</p>	<p>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, and potentially that WMCA cannot respond in an effective and timely manner to events that disrupt transport regeneration operations and activities.</p>	<p>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 for failure to realise expected benefits or funding/regulatory/damage, service outages, legal or regulatory breach</p>	<p>A business continuity framework and programme exists and continues to be advanced to ensure the WMCA is prepared to any business disruption in a timely manner.</p> <p>Regular working arrangements and increased reliance from communication methods put in place as a result of remote working have provided evidence of some of these risks.</p> <p>An incident management team and set of hours of On Call arrangements are in place with alternative resources identified at alternative WMCA locations.</p> <p>Independent review by Internal Audit provided 'substantial' impact on corporate business continuity arrangements.</p> <p>Raising business continuity awareness and embedding the programme within the business.</p> <p>Continued engagement and external critical operations.</p> <p>Establishment of multi-agency partnerships with monthly progress updates and review of issues. Major event emergency planning and associated governance structure to review on a regular basis.</p>	<p>A business continuity framework and programme exists and continues to be advanced to ensure the WMCA is prepared to any business disruption in a timely manner.</p> <p>Regular working arrangements and increased reliance from communication methods put in place as a result of remote working have provided evidence of some of these risks.</p> <p>An incident management team and set of hours of On Call arrangements are in place with alternative resources identified at alternative WMCA locations.</p> <p>Independent review by Internal Audit provided 'substantial' impact on corporate business continuity arrangements.</p> <p>Raising business continuity awareness and embedding the programme within the business.</p> <p>Continued engagement and external critical operations.</p> <p>Establishment of multi-agency partnerships with monthly progress updates and review of issues. Major event emergency planning and associated governance structure to review on a regular basis.</p>	Operations	3	3	9	6	30/Jan/2022	Medium / Trust	<p>Having 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 by documents. A new 'on call' operational management team has been established in teams and a new business continuity team site is being established with SLT. All incidents are now reported to C&amp;P as part of the 'organisational readiness' dashboard and share with 'Security Breaching Report'. All on call working closely with Business Resilience to share best practice on TSMG plans to ensure disaster recovery plans are consistent across all teams. ICT and operational requirements are met and to continue following Covid-19 and in light of the new remote working arrangements.</p> <p>WMCA FM team are working on updated Business Continuity Plans and ICT are working with FM as part of the Task and Finish group for this to look at the IT DR plan in conjunction with business requirements.</p> <p>Phase 2 of the Business Continuity Strategy is the review and update of the 30 Summer Lane emergency plan (June 2021). Phase 3 of the plan is the development of a wider corporate and organisational resilience plan (Jan 2022).</p>	On going 12/2022	60	9	N/A	N/A	May/Apr 2022	Service Delivery Regeneration Legal/Reg Branch	N/A Not Escalated	
Open	Threat	SBR R021	Head of Communications Team	Strategic Leadership Team	Programme Delivery	4	5	20	<p>Failure to adopt effective and efficient processes including clear effective communications strategy</p>	<p>May lead to the risk that the reputation of the WMCA may be compromised if the organisation does not present itself as, or deliver an, effective and efficient organisation resulting in negative media coverage or negative stakeholder perceptions and an inability to deliver expectations.</p> <p>Where the WMCA has significant monetary investment and proposals can be put forward, for example the Commonwealth Games, or parts of the transport network, the operation of Arms Length Companies or high profile sporting with cultural events in the region, the WMCA needs to manage the additional reputational risks that are posed as association with these proposals/ events.</p> <p>There is a reputational risk involved in that there is a wider perception that the WMCA is accountable for more than it is, i.e. Delivery of the Commonwealth Games. External political and economic uncertainties may potentially contribute to reputational risk.</p>	<p>Leading to the potential of negative media coverage and poor stakeholder perceptions, including key groups such as C&amp;G &amp; Strategic Delivery. The communications department is engaged in all business activity including key groups such as C&amp;G &amp; Strategic Delivery with the Mayor's office to ensure pro-active and consistent messaging to external key groups, SLT, or all times.</p> <p>Head of Communications as all WMCA spokespersons provided with media training.</p> <p>Regional Communications Group established ensuring the sharing of best practice and to facilitate strong relationships with key partners.</p> <p>Programs of financial contributions monitored to enable coverage of WMCA activities or other interventions of possible challenges.</p> <p>Close engagement with other organisations with ongoing management and forward planning of all communication activities.</p> <p>24/7 Media Office is available.</p>	<p>Reputational</p>	4	2	8	8	30/Jan/2022	Medium / Trust	<p>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.</p> <p>SLT are taking responsibility for ensuring positive relationships with key partners.</p> <p>Building better relationships with partners and a continuous programme of staff training to ensure they are delivery best practice.</p>	N/A	60	8	N/A	N/A	May/Apr 2022	Political Stakeholder	N/A Not Escalated			
Open	Threat	SBR R024	Fast Commemwealth Games Regional and National Transport Operations (TFMG)	Programme Delivery	4	4	10	<p>Failure of the WMCA to secure adequate financial resources</p>	<p>There is a risk that the WMCA members and partners will not meet the region's carbon budget objectives set in Dec 2019 and attendant (interim) targets).</p> <p>This is a collective regional commitment (predominant across the agreed Organising Committee (OC) operations budget. Additionally the correct impacts on the BMU PT Network and its recovery period as a result of COVID-19 (medium/long term) may be sufficient to support proposed PT strengthening plans.</p>	<p>The BMU Public Transport Network and its recovery period as a result of COVID-19 (medium/long term) may not be sufficient to support proposed Public Transport strengthening plans. Potentially resulting in delivery challenges and reputational damage to the CA.</p>	<p>TFMG owns the multi-agency BMU Transport Group (BTG) which includes relevant central Government departments (DfM, DfT, Local Authorities) and the OC. WMCA CEO and TFMG are members of the Chief Executive Officers Group (CEOOG) for the Games. Budget for Transport Operations was agreed with WMCA as part of the Major Project Review Group and TFMG continues to work in partnership with BMU22 to develop and deliver a successful transport operation across the region for Spectators for Games time. An Integrated Transport Programme, core plan and financial management processes have been developed that supports the formal funding agreement and progress the delivery of operations for full under TFMG's remit for Games. COVID-19 impacts have been assessed and CBAs are being utilised to ensure revenue contingency can be drawn down if required.</p>	<p>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 the transport programme of work has been reviewed and is reflected in the risk scoring. We are assessing and mitigating these impacts through the programme and cross-party as part of the Games Governance. The recovery of the PT Network and it's resilience for game time operations is being considered alongside development of Games time service levels to enable mitigations planning as we progress towards delivery in 2022.</p>	Reputational	3	4	12	8	30/Jan/2022	Medium / Trust	<p>The new steps for the delivery of the climate change work will be developed in the Year Action Plan (there will be 4 of these in total, up to 2041). This will set out clearly the policies and commitments required to adhere to the carbon reduction targets. This was presented to the CA Board in March (and approved), along with the actions that need to be taken to start delivery of this plan. Next steps are to implement this plan.</p> <p>We continue to press the Government for additional funding for the work on climate change and commitment to consultation with any review of public spending.</p> <p>Additional monitoring of both the work and the team will be reported for delivery as we go forward, although there will be no reporting on the climate change work until the end of the year. The Year Action Plan has been developed to that will enable an accelerated delivery of the work to the Year Action Plan. The Year Action Plan has been developed to that will enable an accelerated delivery of the work to the Year Action Plan. The Year Action Plan has been developed to that will enable an accelerated delivery of the work to the Year Action Plan.</p>	30/06/2022	60	12	N/A	N/A	May/Apr 2022	Delivery Programme Delivery	N/A Not Escalated		
Open	Threat	SBR R025	Director of Health and Public Health Reform	CEO	Programme Delivery	5	5	20	<p>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 regulation.</p>	<p>There is a risk that the WMCA members and partners will not meet the region's carbon budget objectives set in Dec 2019 and attendant (interim) targets).</p> <p>This is a collective regional commitment (predominant across the agreed Organising Committee (OC) operations budget. Additionally the correct impacts on the BMU PT Network and its recovery period as a result of COVID-19 (medium/long term) may be sufficient to support proposed PT strengthening plans.</p>	<p>There are profound implications for the region as a result of a positive global risk of an event occurring which evidence suggests will be costly in human and economic terms. The potential impacts are contributing to climate change with potential to increase health and economic costs.</p> <p>Continuing to assess and address the health of the population by increasing emphasis on reducing air quality (e.g. asthma) and cardiovascular disease (e.g. lung cancer, stroke, heart disease) in some cases leading to death. Air pollution can also an impact on development and development of dementia. This increases pressure on NHS resources e.g. increase hospital admissions.</p> <p>A contributing to lower productivity in the region due to air pollution e.g. asthma, children, those with disabilities, lower income groups who tend to live in housing in urban areas more roads.</p> <p>Potential development to supply chains.</p>	<p>Annual monitoring of progress will be put in place by the WMCA Environment Team, who have undertaken to report annually to the Carbon and the OC. WMCA CEO and TFMG are members of the Chief Executive Officers Group (CEOOG) for the Games. Budget for Transport Operations was agreed with WMCA as part of the Major Project Review Group and TFMG continues to work in partnership with BMU22 to develop and deliver a successful transport operation across the region for Spectators for Games time. An Integrated Transport Programme, core plan and financial management processes have been developed that supports the formal funding agreement and progress the delivery of operations for full under TFMG's remit for Games. COVID-19 impacts have been assessed and CBAs are being utilised to ensure revenue contingency can be drawn down if required.</p> <p>TFMG continues work to effect a modal shift to clean and efficient public transport and active travel addresses medium term carbon reduction goals (e.g. cycle, electric, low carbon) and congestion. The new Movement for Green strategy outlines a key consideration for 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 work.</p>	Economic	2	5	10	10	30/Jan/2022	Medium / Trust	<p>The new steps for the delivery of the climate change work will be developed in the Year Action Plan (there will be 4 of these in total, up to 2041). This will set out clearly the policies and commitments required to adhere to the carbon reduction targets. This was presented to the CA Board in March (and approved), along with the actions that need to be taken to start delivery of this plan. Next steps are to implement this plan.</p> <p>We continue to press the Government for additional funding for the work on climate change and commitment to consultation with any review of public spending.</p> <p>Additional monitoring of both the work and the team will be reported for delivery as we go forward, although there will be no reporting on the climate change work until the end of the year. The Year Action Plan has been developed to that will enable an accelerated delivery of the work to the Year Action Plan. The Year Action Plan has been developed to that will enable an accelerated delivery of the work to the Year Action Plan.</p>	2020	60	10	N/A	N/A	May/Apr 2022	Environmental	N/A Not Escalated		

Open	Threat	SBR 8026	Investment & Commercial Activities Director	Programme Delivery	4	4	14	<p>Due to uncertainties around the potential funding for WMG and its completion as a multi-stakeholder project which is part of the national T&amp;I and Train programme within DGK.</p> <p>There is managed potential risk in that the market requires the national requirements of a vehicle largely oriented (at least) technology, and the extent to which we as a region can build the mix of supply demanded that will be needed to realise maximum economic and social value for the region.</p> <p>Additionally, a WMG has currently no assured guaranteed funding to place beyond March 2022, there is a possibility that continued delivery can not be guaranteed beyond March 2022 if alternative funding is not secured.</p>	<p>Potential resulting in the delivery failure and the need to send down WMG if alternative funding is not secured impacting on Staff. Staff levels within the CA. Operational impacts beyond the T&amp;I Train caused by the A&amp;I gaps created if there are staff levels with a low potential of reputational impact.</p> <p>There is a significant potential financial loss for new revenues. If no further funding is received to continue the work of WMG, then the start up costs have not been spread over many years. 2. Any future digital initiatives that could have utilised the WMG A&amp;I and knowledge base would need to start from new start up costs.</p>	<p>Finance throughout the project are drawn down subject to robust business case criteria within both DGKs (see over arching grant agreement) and within WMG's investment programme mechanism). 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, DGK and other stakeholders. As funding is in arrears and all targets met to date, the risk of any failure to deliver is falling. WMG Ltd have a staff retention plan in place to mitigate changes and impact of staff leaving before March 2022. Some initial amount of funding has been identified to provide a short, scaled back service from WMG after March 2022 and more funding is being sought.</p>	Delivery	2	4	8	6	Jan/Feb 2022	Reduce / Treat	<p>We will continue to monitor the programme according to the contract terms and the profile of funding available and adapt accordingly within the governance framework created for this purpose.</p> <p>WMG is funded until March 2022. A plan is being put in place to address potential staff retention issues as it is important to retain focus on delivering results in the 2022/23 period.</p> <p>Partial funding has been identified and we continue to explore funding routes to retain functionality post March 2022. A majority of funding is support from WMCA, and the budget for 2022/23 will be critical - the outcome to likely to be known Feb 2022.</p>	20/02/2022	60	8	N/A	N/A	May/Apr 2022	Operations/Regulation	N/A	Not Escalated	
Closed	Threat	SBR 8027	Director of Housing and Regeneration	Programme Delivery	4	4	14	<p>Funding secured from HMG for housing and land delivery programme is subject to robust monitoring and governance. Failure to comply with HMG and WMCA governance</p> <p>May lead to the risk of the possibility of funding being withdrawn and reducing the likelihood of secure further funds in future. The Combined Authority Housing &amp; Regeneration priorities and objectives are contingent on the deployment of funding. Funding is subject to robust monitoring and governance. WMG includes both acquisition by WMCA directly and joint venture investment. The ongoing nature of the Covid-19 pandemic on the property market may have consequences for programme delivery. Progress towards HMG targets, and the financial risk profile of the CA's investments and acquisitions. The defining, when necessary, of fund flow for investment and non-constituent members is a core element of Government support for the Housing Deal agreed in 2020 and the Housing and Land Deal are regularly updated on progress. This is a risk to the Combined Authority does not control, with a consequence for securing continuing funding, support and confidence from Whitehall to advance the Combined Authority's outcomes. In addition, there are practical consequences for developer investment, alongside maintaining relationships with local authorities, delivery of objectives and reputational and political damage.</p>	<p>This could potentially 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 WMG programmes such as affordable housing, area carbon housing, jobs and skills development.</p> <p>WMCA is in ongoing dialogue with officials in HMGL, Treasury and HM ID to maintain relationships and confirm progress towards the Housing Deal goals and other requirements of recent funding events such as Broadfield Housing Fund and the National Broadfield Fund recently secured. This could lead to an inability to secure further funding and delivery of housing and wider inclusive growth ambitions in the region. The Single Commissioning Framework approved by the WMCA is a guide deployment of delivered housing and land funds and its associated gateway process is used by WMCA to ensure value for money, risk management, effective cost efficiency and robust reporting to HMG. It ensures WMCA is increasing where there is demonstrable market failure to ensure additionality and wider inclusive growth objectives. Additional checks and balances have been included in the governance process during the pandemic period and following recent funding and testing by external consultants to ensure the appropriate risk analysis and assurances are in place. Securing additional funding via the Broadfield Housing Fund (E26m over 2 years announced in July 2020) and National Broadfield Fund (E26m) provides further security of funding. The WMCA is 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 committed by the Housing and Land Deal. 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 sites of HMG to mitigate risk and maximise public value. Regular dialogue with HMG services to establish WM projects, provide assurance of delivery and secure further opportunities for funding programmes. Development of stakeholder engagement tools and engagement plan for Whitehall. Clear working relationships with Members and Officers at local authorities especially on priority projects and sites. Communications plan for Housing &amp; Regeneration to ensure consistent messaging and that LA and other partners are included and engaged in relevant work. Recent measures adopted include: Introduction of Side Fets for LA &amp; Developer awareness, promotion and consistent messaging. Updated SCP Register for new development partner external marketing. Single document of priority housing and regeneration projects for each council. Roll out of individual Risk Registers on all projects, providing early engagement and efficient notification 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 SCP process and delivery of successful applications. Improved due diligence processes and procedures during the SCP application process.</p>	<p>WMCA is in ongoing dialogue with officials in HMGL, Treasury and HM ID to maintain relationships and confirm progress towards the Housing Deal goals and other requirements of recent funding events such as Broadfield Housing Fund and the National Broadfield Fund recently secured. This could lead to an inability to secure further funding and delivery of housing and wider inclusive growth ambitions in the region. The Single Commissioning Framework approved by the WMCA is a guide deployment of delivered housing and land funds and its associated gateway process is used by WMCA to ensure value for money, risk management, effective cost efficiency and robust reporting to HMG. It ensures WMCA is increasing where there is demonstrable market failure to ensure additionality and wider inclusive growth objectives. Additional checks and balances have been included in the governance process during the pandemic period and following recent funding and testing by external consultants to ensure the appropriate risk analysis and assurances are in place. Securing additional funding via the Broadfield Housing Fund (E26m over 2 years announced in July 2020) and National Broadfield Fund (E26m) provides further security of funding. The WMCA is 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 committed by the Housing and Land Deal. 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 sites of HMG to mitigate risk and maximise public value. Regular dialogue with HMG services to establish WM projects, provide assurance of delivery and secure further opportunities for funding programmes. Development of stakeholder engagement tools and engagement plan for Whitehall. Clear working relationships with Members and Officers at local authorities especially on priority projects and sites. Communications plan for Housing &amp; Regeneration to ensure consistent messaging and that LA and other partners are included and engaged in relevant work. Recent measures adopted include: Introduction of Side Fets for LA &amp; Developer awareness, promotion and consistent messaging. Updated SCP Register for new development partner external marketing. Single document of priority housing and regeneration projects for each council. Roll out of individual Risk Registers on all projects, providing early engagement and efficient notification 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 SCP process and delivery of successful applications. Improved due diligence processes and procedures during the SCP application process.</p>	Delivery	1	4	4	4	Jan/Feb 2022	Reduce / Treat	<p>Continued dialogue with civil servants to establish WM projects, provide assurance of delivery and secure further opportunities for funding programmes. Regular reports &amp; programme updates to HMG to demonstrate delivery &amp; outcomes secured. Development of a regional investment prospectus with local authorities, Whitehall, Health Growth Company and 12% 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 risk and focus sessions. Communications plan for Housing &amp; Regeneration to be further developed to ensure consistent messaging and that LA and other partners are included and engaged in relevant work.</p>	06/01/2022	60	4	N/A	N/A	May/Apr 2022	Benefits Realisation/Environmental Programme Delivery/Regulation/People Skills/Regeneration	De-escalated to Director's risk register by agreement of SC on 06/02/22		
Open	Threat	SBR 8028	Managing Director, TRM	Operations	2	4	8	<p>Failure of the health &amp; safety procedures to ensure robust adherence Health &amp; Safety arrangements</p> <p>May lead to the risk that Health &amp; Safety procedures to ensure robust adherence Health &amp; 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.</p>	<p>Failure to provide a safe environment for our users. Health &amp; Safety procedures to ensure robust adherence Health &amp; 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.</p>	<p>Health &amp; safety duties are delivered to ISO45001 standard with ongoing compliance externally assessed 8 monthly. Audit &amp; inspection of all assets undertaken against set schedule to ensure H&amp;S compliance is maintained. Monthly H&amp;S position statement provided to safety Boards of the Organisation's Corporate representatives, including review and analysis of accident, incident and near miss reports. 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. Strategic and operational Health, and Environment (SHE) committees established providing operational and Director engagement.</p>	Health & Safety	2	3	8	4	Jan/Feb 2022	Reduce / Treat	<p>Ongoing engagement with all WMCA departments to ensure adherence of H&amp;S policies by all. Development of policies, procedures and guidance as necessary to ensure robust and sufficient H&amp;S implementation for all areas of the WMCA portfolio. Regular engagement with emergency services and JH&amp;S to provide active management of H&amp;S incidents. 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-opens. Operations setting out operational norms. Further enhancements to Metro H&amp;S implemented to assist staff. Remote Working including the supply of ergonomic equipment to support. Latest H&amp;M 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 activities. H&amp;S reports for re-modification and re-mobilisation of projects, due to Covid-19 continue to be completed, working closely with stakeholders to ensure ongoing compliance with Covid-19 requirements. Ongoing work with 12 Summer Lane Working Group in relation to the recovery of 12 Summer Lane including production of Covid-19 Secure Risk Assessment.</p>	06/01/2022	60	6	N/A	N/A	May/Apr 2022	Regulatory/People Skills	N/A	Not Escalated	
Open	Threat	SBR 8029	Investment & Commercial Activities	Programme Delivery	4	5	20	<p>Due to uncertainties created by the use of Delivery Partners/ Delivery Bodies to deliver Projects/Programmes wholly or partially funded by WMCA Investment Programme. This risk may also be exacerbated if robust monitoring is not in place.</p>	<p>There is a risk that the Delivery Partners/ Delivery Bodies may fail to deliver the agreed scope of the Project/Programme. This is to circumstances beyond their control. And this may not be identified early on and appropriate mitigation of restored mechanisms are not robust.</p>	<p>Monitoring/Arrangements in place with Delivery Partners to ensure timely monitoring and reporting. WMCA assurance framework is in place and resources being brought. Progress of financial contributions reviewed to enable coverage of all WMCA outcomes or early intervention if possible. Recruitment of a dedicated Investment Programme Monitoring and evaluation team in underway with the Senior Portfolio Manager now started and additional Officer starts in December. Funding agreements now in place with most Delivery Partners.</p>	<p>Progression of all the assets, WMCA has effectively brought additional funding for key priorities. Those opportunities to fund delivery and monitoring/oversight through the Single Assurance Framework (S&amp;A) which is being rolled out through a phased implementation plan. A new Monitoring Officer is due to join the CA in December 2022 and this will further enhance/support the ability of the CA to monitor the delivery by Delivery Partners/ Delivery Bodies.</p>	Programme Delivery	2	5	10	6	Jan/Feb 2022	Reduce / Treat	<p>We will continue to ensure that Finance, Governance and Assurance processes support the development to ensure that ASB delivers regional priorities. Review of capacity to be undertaken as a priority task to ensure that sufficient resources are in place to successfully manage ASB. Recommendations from ASB audit will continue to be implemented and reviewed on a monthly basis within the ASB Operational Risk Register.</p>	11/12/2021	60	10	N/A	N/A	May/Apr 2022	Regulation	N/A	Not Escalated
Closed	Threat	SBR 8029	Director of Productivity and Skills	Programme Delivery	3	4	12	<p>There is a risk of reputational damage if there is not enough evidence to show that the WMCA ASB funding has been used effectively to support residents into meaningful jobs.</p>	<p>Development of ASB represents a significant opportunity to demonstrate the impact of local centres of skills training on communities and jobs, through the ability to align c.£20m a year skills funds to better meet the needs of residents and businesses. There is the risk that providers may be times not be able to respond to changing demands or deliver with a needed, meaning that residents will not have the other they need. There is a risk of any further Covid measures impacting on providers ability to effectively deliver training and/or supporting learners into positive progression outcomes. There is a risk that poor tracking and data collection will limit our ability to demonstrate the impact the funding is making particularly in moving people into work and progressing them in careers.</p>	<p>Deliver could be impacted if providers are either unable to respond to the changing skills landscape or unwilling to implement training aligned to our priorities. Possible reputational damage amongst government departments and officials, and local providers, if there is a failure to have adequate impact through delivery across the region. The Productivity and Skills team have reviewed service levels and requirements with college service teams to ensure that the appropriate resource is scheduled to support the business needs. Failure to discharge our legal obligations to ensure statutory settlement provision is available to WM residents. Although very unlikely to ever occur, failure to deliver adequate impact &amp; results could lead to reputation of funding being mismanaged/ misused or control of funding/delivery transferred. There is a risk of possible reputational damage if there is any further impact from Covid on providers and their ability to deliver face to face or virtual learning, leading to a potential failure to deliver provision requirements and lower the impact across the region we aspire to align to our objectives.</p>	<p>Progression of all the assets, WMCA has effectively brought additional funding for key priorities. Those opportunities to fund delivery and monitoring/oversight through the Single Assurance Framework (S&amp;A) which is being rolled out through a phased implementation plan. A new Monitoring Officer is due to join the CA in December 2022 and this will further enhance/support the ability of the CA to monitor the delivery by Delivery Partners/ Delivery Bodies.</p>	Delivery	2	2	4	4	Jan/Feb 2022	Reduce / Treat	<p>Continuing to ensure that Finance, Governance and Assurance processes support the development to ensure that ASB delivers regional priorities. Review of capacity to be undertaken as a priority task to ensure that sufficient resources are in place to successfully manage ASB. Recommendations from ASB audit will continue to be implemented and reviewed on a monthly basis within the ASB Operational Risk Register.</p>	06/01/2022	60	4	N/A	N/A	May/Apr 2022	Regulatory/People Skills/Regeneration/Financial	De-escalated to Director's risk register by agreement of SC on 06/02/2022	
Open	Threat	SBR 8021	Director of Finance	Financial	4	5	20	<p>Reduced levels of reserves / resources which are available to deal with fiscal shocks</p> <p>The revenue budget in recent years has been supported by reserves and other use of funds. The nature of this funding limits the degree to which WMCA is able to specify direct funding towards specific priorities for change/growth and also reduce the extent to which WMCA has the financial capacity to offset risks with local authority counterparts being the recent pandemic and related / unmitigated scenarios in revenue and capital markets.</p>	<p>Potential to lose the requirement to divert funding from other regional priorities.</p>	<p>In the case of the pandemic, WMCA has effectively brought additional funding for key priorities. Those opportunities to fund delivery and monitoring/oversight through the Single Assurance Framework (S&amp;A) which is being rolled out through a phased implementation plan. A new Monitoring Officer is due to join the CA in December 2022 and this will further enhance/support the ability of the CA to monitor the delivery by Delivery Partners/ Delivery Bodies.</p>	<p>Continuing to ensure that Finance, Governance and Assurance processes support the development to ensure that ASB delivers regional priorities. Review of capacity to be undertaken as a priority task to ensure that sufficient resources are in place to successfully manage ASB. Recommendations from ASB audit will continue to be implemented and reviewed on a monthly basis within the ASB Operational Risk Register.</p>	Financial	4	5	10	10	Jan/Feb 2022	Reduce / Treat	<p>Continuing to ensure that Finance, Governance and Assurance processes support the development to ensure that ASB delivers regional priorities. Review of capacity to be undertaken as a priority task to ensure that sufficient resources are in place to successfully manage ASB. Recommendations from ASB audit will continue to be implemented and reviewed on a monthly basis within the ASB Operational Risk Register.</p>	11/12/2021	60	20	N/A	N/A	May/Apr 2022	Regulation/Delivery	N/A	Not Escalated
Open	Threat	SBR 8022	Exec Director TRM	Operations	3	3	20	<p>Metro - 20T fleet suspension (Suspension of all services from 13 December). TRM Risk ID: 1242.</p>	<p>Metro - 20T fleet suspension (Suspension of all MML services from 13 December). Temporary repairs were being undertaken which is in progress. The temporary repairs can no longer be assumed to be sufficient for the safe operation of the train.</p>	<p>Impact on MML train operators and potential impact on WMCA operations projects. Reputational impact.</p>	<p>Repair programme of fleet in action - undertaken in conjunction with the manufacturer under contract. For suspension of services, communication report on all passengers arriving to and departing except Metro tickets, issue of guidance to metro passengers and direction of customers to buy/fair tickets. Working with rail and bus operators to strengthen services for increased passenger numbers to ensure positive transport options for affected customers.</p>	<p>Operations</p>	3	3	20	15	Jan/Feb 2022	Reduce / Treat	<p>Ongoing monitoring of fleet in conjunction with manufacturer and repair programme to ensure that sufficient resources are in place to successfully manage ASB. Recommendations from ASB audit will continue to be implemented and reviewed on a monthly basis within the ASB Operational Risk Register.</p>	06/01/2022	60	15	SBR 8021	11/12/2021	May/Apr 2022	Financial	From Director's	Transferred to issue 590