

Corporate Risk Register - September 2022

Risks

	Risk	Key Mitigations and Progress	Likelihood	Impact	Rating & Trend		Owner
1	Due to an internal failure of controls, protocols and systems or a malicious attack there is a risk that the Combined Authority (CA) falls victim to a cyber security breach	<ul style="list-style-type: none"> Mandatory data protection and information governance training for staff. Routine monitoring of suspicious e-mails and threat. ICT security policy and Information Governance policies in place. Review and update of ICT Password policy and implementation of a new Acceptable Use policy. Implementation of the Cyber treatment Plan as agreed with Department of Levelling Up, Housing and Communities (DLUHC) plus project to improve the Combined Authority's cyber posture. Implementation of a vulnerability scanning schedule to assess weakness within the CA ICT estate and remediate where necessary. Implementation of a Security Operations Centre to provide 24/7 monitoring of the Combined Authority's IT estate for potential cyber breaches. 	3 Possible	5 Critical	Very high	↑	Director of Corporate & Commercial Services
2	Multiple HIGH and MEDIUM external IT vulnerabilities have been identified in WYCA's external IT perimeter	<ul style="list-style-type: none"> Systems are protected using a firewall. Anti Virus and network monitoring by Thrive. The skype for business service is to be decommissioned shortly, which will reduce some potential vulnerabilities. Technical Security Lead is in post and developing improvements. MCA Digital is addressing the DLUHC issued Cyber Treatment Plan. 	4 Likely	5 Critical	Very high	↑	Head of ICT Services
3	There is a risk that MCard sales will decline due to external factors, changing travel habits, poor customer take up of new ticketing methods/offers	<ul style="list-style-type: none"> Pricing strategy and marketing campaigns and launch of new sales platforms. Mayor's Fares to generate increased patronage and enhance the Mcard brand and feel. Promoting the Mcard mobile app as retail channel of choice and currently (14/09/22) at 78%. 	5 Very Likely	4 Serious	Very high	↔	Head of Passenger Experience
4	Due to operator business failure there is a risk of significant change to bus services.	<ul style="list-style-type: none"> Negotiating/ contacting replacement services. Early warning system for business failure. Close consultation with industry. 	4 Likely	4 Serious	Very high	↔	Head of Mobility Services
5	Due to existing portfolio programmes and projects Carbon zero may not be achieved by 2038	<ul style="list-style-type: none"> Climate Emergency action plan in place. £40m gainshare and £8m TCF funding is available for Net Zero projects (TCF funds fully committed). Full review of all programmes to determine scale of problem Possible de-prioritisation / scope change required 	5 Very Likely	4 Serious	Very high	↔	Director of Delivery
6	Due to insufficient internal technical and corporate services resources (e.g. Legal, Finance, Procurement), there is a risk that the capital programme cannot be delivered or will be delayed	<ul style="list-style-type: none"> New framework agreement with Pinsent's available for external legal advice Monthly meetings held with both Legal and Procurement to review pipeline of work and to prioritise Budget allocation from capital programme agreed by CA to support Corporate Services personnel focussed on Delivery Capital funding provided to support the procurement of external resources Buddying support provided to less experienced Delivery staff to support drafting of technical briefs (e.g. on overage) Dedicated Legal resource agreed to support EZ programme. 	5 Very Likely	4 Serious	Very high	↔	Director of Corporate and Commercial Services / Director of Delivery / Head of Legal and Governance Services
7	Due to the long-term impacts of the COVID-19 pandemic on the regional economy and on travel habits, there is a risk that key corporate objectives cannot be met	<ul style="list-style-type: none"> Research and Intelligence continue to model potential impacts and long-term scenarios Working closely with partners and representative groups to identify possible long-term impacts and develop joint responses Business plans revised for 2022/23 and corporate objectives updated to reflect changing organisational and external environment. 	3 Possible	5 Critical	Very high	↔	Managing Director
8	Due to the negotiations on revised terms and conditions not being accepted by the trade union there is a risk of industrial action.	<ul style="list-style-type: none"> Further consideration of the proposals, further engagement with Unison and staff Ballot result to reject the proposals. Industrial action not being proposed. To seek views of staff and renegotiate with UNISON if required. 	2 Unlikely	4 Serious	Medium	↓	Head of HR

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		<ul style="list-style-type: none"> further engagement with staff re the proposals and what would be accepted. Survey to send to staff 					
9	Due to challenges in bringing forward Enterprise Zone sites within Growth Deal funding and occupier incentive timescales, there is a risk that there is insufficient floorspace to generate projected business rates income.	<ul style="list-style-type: none"> Prudent level of income forecasting included within budget projections Head of Investment & Development role to oversee EZ strategy Cross-directorate approach established to link into broader funding opportunities and to maximise Inward Investment reach. 	3 Possible	4 Serious	High	↔	Director of Economic Services
10	Due to the high volume of people present in a bus station, transport interchange or CA facility, there is a risk of accident or injury occurring at a CA facility.	<ul style="list-style-type: none"> Health and safety policies, procedures and processes in place Ongoing staff training Continual monitoring of Health and Safety risks Working with district emergency planning units to share knowledge and develop joint plans 	2 Unlikely	5 Critical	High	↔	Director of Transport & Property Services
11	Due to the increase in, and the breadth of work (in an environment where recruitment is challenging), and significant amount of change within the organisation, there is a risk that staff wellbeing is adversely affected.	<ul style="list-style-type: none"> Significant activity in place to promote wellbeing and signpost staff to support Specific support services in place including Employee Assistance Programme and Mental Health First Aiders Capacity issues being identified and monitored through Senior Leadership Team and Organisational Designs being implemented where required. 	3 Possible	4 Serious	High	↔	Managing Director
12	Due to the need to improve recruitment processes and reach, and current market buoyancy, there is a risk that the CA is not able to fill vacant roles or attract a suitably diverse and skilled workforce, ultimately impacting on the ability to meet corporate objectives.	<ul style="list-style-type: none"> Interim improvements to advertising of vacancies put in place HR advisor appointed to drive targeted recruitment campaign with a focus on diversifying the profile of staff in the organisation Extensive action plan developed and working through to implementation Approach to advertising of roles has been modernised following member and staff feedback, and long-term implementation plan being looked at through Organisational Evolution programme Feasibility of Innovative approaches being trialled within the organisation to increase applications e.g. apprenticeships, modernisation of application systems and processes, market rate flexibility etc. People Plan scheduled in the Organisational Evolution programme revising staff values and behaviours, staff development, staff culture etc. Leaders meet regularly with Staff Diversity Forums and Trade Union colleagues, and staff profile is monitored to ensure the workforce is becoming more representative of the communities they serve. ICS programme in development to ensure that staff profiling data can be analysed and used to inform improvement in recruitment processes. 	3 Possible	4 Serious	High	↔	Director of Corporate & Commercial Services
13	Due to the business failure, sale, or substantial change in bus/rail providers, there is a risk that there is a substantial reduction or alternation of services to customers.	<ul style="list-style-type: none"> Close relationships with operators to obtain early warnings Continued dialogue with Department For Transport, Transport For the North Potential scenarios being modelled. 	3 Possible	4 Serious	High	↔	Director of Transport & Property Services
14	Due to a major unanticipated change in national policy, or an unplanned response to a national emergency situation, there is a risk that organisational objectives cannot be achieved as anticipated and/or there is a need to divert resources.	<ul style="list-style-type: none"> Continued dialogue with Government Policy and Strategy directorate continuing to monitor emerging national trends and action plan accordingly. 	2 Unlikely	5 Critical	High	↔	Managing Director
15	Due to internal capacity, there is a risk that the Equality, Diversity and Inclusion (EDI) objectives for the CA are not met.	<ul style="list-style-type: none"> EDI is now fully embedded as a workstream within the Organisational Evolution programme an EDI Action Plan has been developed. An EDI gap analysis is being completed to identify areas of strength and areas where there are opportunities to develop further. 	4 Likely	3 Moderate	High	NEW RISK	Director of Strategy, Communications, and Policing

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16	Due to technology limitations, there is a risk to the CA's EDI external view from partners and the public.	<ul style="list-style-type: none"> An EDI host page is to be created that can better bring into view the EDI related pages on the website. All audits have been carried out and website accessibility statements issued. An enhanced digital offer and user experience will be developed. 	4 Likely	3 Moderate	High	NEW RISK	Director of Strategy, Communications, and Policing
17	Due to the role of the organisation broadening under the MCA model, there is a risk that the organisation's processes, systems and structures are insufficient to adequately support the organisation in achieving its objectives.	<ul style="list-style-type: none"> MCA Change Programme now concluded which included significant projects to update systems and processes. MCA Digital programme in delivery to further improve ICT infrastructure and tools. Integrated Corporate Systems project in delivery to modernise the organisation's HR/Finance systems. Corporate objectives have been revised to reflect the organisation's broadened scope and directorate business plans have been designed around these to ensure delivery. The likelihood is expected to reduce in approximately 6 months as the projects referenced deliver. 	3 Possible	3 Moderate	Medium	↔	Director of Corporate & Commercial Services
18	Due to the increased breadth and volume of activities for the organisation under the MCA model, there is a risk that we fail to have in place sufficient capacity or skills to deliver on increasing priorities and responsibilities.	<ul style="list-style-type: none"> Capacity and skills gaps identified through business planning process and partnership work and these are being addressed. Organisational design (OD) processes underway across the organisation to ensure adequate capacity and structure of teams. Whilst ODs are likely to conclude in the near future there remains ongoing pressures related to capacity / recruitment. 	3 Possible	3 Moderate	Medium	↔	Director of Corporate & Commercial Services
19	Due to a legacy/outdated structure and resourcing in the Communications Team, there is a risk that perception management and effective communication of the CA and the LEP are compromised.	<ul style="list-style-type: none"> One structural review took place in 2020 and a significant organisational restructure of the service is underway. 	3 Possible	3 Moderate	Medium	↔	Director of Strategy, Communications & Policing
20	Due to the ambitious approach to tackling the climate emergency adopted by the CA in setting a target of becoming net zero carbon by 2038, there is a risk that the CA will not have the capacity and resources to achieve this ambition, or that some existing priorities may not be delivered due to a shift in focus towards reducing carbon emissions.	<ul style="list-style-type: none"> A Clean Growth policy and action plan are currently in place and Clean Growth continue to be incorporated into core activities through the annual business planning cycle. Wellington House refurbishment plans include carbon cutting measures (solar panels, electric vehicle charging and low-energy lighting). The City Region's Energy Strategy and Delivery Plan also outline a range of partnership projects that will further support clean growth led by the CA. Climate and Environment Plan approved along with £40m gainshare. Every project coming through the Assurance Framework has to set out at Strategic Assessment Stage how it contributes to tackling the climate emergency. Progress is reported through the State of the Region. Carbon Impact Assessment toolkit published and embedded. Climate considerations are central to all strategies and policies. 	4 Likely	3 Moderate	High	↑	Director of Strategy, Communications and Policing
21	Due to the increased profile of the Combined Authority following the transition to the MCA Model, there is a risk that security arrangements in place for individuals and buildings is not sufficient.	<ul style="list-style-type: none"> Security review undertaken for individuals and practical actions being implemented as a result of this Security review of buildings undertaken and practical measures being implemented Training and awareness raising for staff is underway. 	2 Unlikely	4 Serious	Medium	↔	Managing Director

Issues

	Issue	Key mitigations	Likelihood	Impact	Rating & Trend		Owner
1	Due to significant rising inflation including construction and materials costs there is a risk that costs increase significantly across	<ul style="list-style-type: none"> Value engineer and therefore aim to keep costs within project allocations. 	4 Likely	4 Serious	Very high	NEW RISK	Director, Delivery

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	Combined Authority capital programmes and projects.	<ul style="list-style-type: none"> If this is insufficient the second mitigation is then to look at the project scope to see if elements can be reduced while still continuing to maximise the benefits the scheme will bring. The third mitigation is to assess if schemes with their current scope continue to be fit for purpose given changes to priorities in recent years. This is being considered as part of the funding programme annual reviews over summer 2022. Transforming Cities Fund and WY+ Transport Fund annual reviews Cap CA funding for projects, seek sponsors to underwrite cost over runs / value engineer All Project Managers consider the potential impact inflation rates may have on budgets and delivery Early discussions with funders, Business Energy and Industrial Strategy / Ministry of Housing Communities and Local Government etc 					
2	Due to a lack of progress in agreeing sign off of funding agreements with partners, particularly around clawback clauses there is a risk of control over partner spend, the CA not having clear sight of what has been spent to date, lack of ability to reimburse partners for genuine expenditure on projects and a risk around funding providers withdrawing funding and leaving partners and/or CA liable for sunk costs	<ul style="list-style-type: none"> Work arounds agreed in principle between CA Legal and Partners. 	5 Very Likely	4 Serious	Very high	↔	Director of Delivery
3	Due to over-optimistic profiles, capacity and recruitment and retention challenges, there is a risk that the Combined Authority fails to directly deliver projects funded through fixed capital funding programmes, within the stipulated timescales or budget, or with the anticipated level of benefits	<ul style="list-style-type: none"> Significant monitoring and controls in place through Assurance Process Challenge on delivery profiles of individual schemes through Assurance Framework Ongoing work to widen the advertising reach for vacancies Annual review of WY+ Transport Fund and Transforming Cities Fund portfolio with district partners underway 	3 Possible	5 Critical	Very high	↑	Director of Delivery
4	Due to the financial impacts of the COVID-19 pandemic, there is a risk that the medium to long term financial health of the Combined Authority will be adversely affected	<ul style="list-style-type: none"> Financial scenario modelling undertaken and being continually updated Continued liaison with Government to understand funding opportunities Finance, Resources and Corporate Committee to oversee response The actions are budget monitoring, scenario modelling, closer linkage of business plans and budgets, detailed budget planning process to enable options and choices to be considered. 	3 Possible	5 Critical	Very high	↔	Managing Director
5	Due to rising national inflation, there is a risk that the Combined Authority's costs, including energy will rise significantly.	<ul style="list-style-type: none"> Energy reduction measures designed in to building refurbishments Reforecast of budget to quantify scale of risk across all areas of expenditure to allow decisions to manage this to be taken in good time 	4 Likely	3 Moderate	High	NEW RISK	Director, Corporate and Commercial Services
6	Due to uncertainty surrounding the availability and timing of future funding streams, there is a risk that some key economic support services will cease and the knowledge and expertise we have developed to deliver them will be lost.	<ul style="list-style-type: none"> Continuing to liaise with Government on clarity over funding through UK Shared Prosperity Fund, Levelling-Up Fund Funding sources being considered through annual budget setting process Business cases progressing through the Assurance Framework process to secure funding for delivery from April 23 onwards, with several decisions expected at the October 22 CA meeting 	3 Possible	4 Serious	High	↔	Director of Economic Services
7	Due to different priorities and differential capacity, there is a risk that our relationships with key partners are not sufficiently strong to deliver on objectives.	<ul style="list-style-type: none"> Continue work to strengthen key partnerships Member and Officer representation on formal and informal groups, Panels and Committees across every aspect of the organisation's work. Continued development Team West Yorkshire, partnership away days, Leaders Away Days. 	2 Unlikely	4 Serious	Medium	↔	Managing Director
8	Due to staffing availability issues as a result of an increase in Covid-19 cases and/or self-isolation, there is a risk that frontline services	<ul style="list-style-type: none"> Staffing levels being monitored and individual circumstances being regularly reviewed Individual resilience plans in place for frontline services National guidance on testing and isolating changing which will also help mitigate this risk 	2 Unlikely	4 Serious	Medium	↔	Director of Transport & Property Services

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	and business as usual activities cannot be adequately provided.					

Closed Risk

Closed Risk	Key mitigations	Closing Comments	Likelihood	Impact	Rating & Trend	Owner
Due to the challenges associated with removing the geographic overlaps between the LEP and neighbouring local enterprise partnerships there is a risk that the Leeds City Region LEP may not be fully compliant with 'Strengthening LEPs'	<ul style="list-style-type: none"> • Work programme in place for merger • Governance controls established • Conversations with relevant partners ongoing. • Proactive planning to ensure organisational compliance with Government and legal requirements has commenced. • Data and activity feeding into the development of the LIS has been designed to work across variable geographies (although will have resource implications). • Secure agreement from all relevant partners about future regional collaboration arrangements. 	The Strengthening LEPs review has concluded, our geography has been changed to WY so that it no longer overlaps with York and North Yorkshire, we are compliant with the review. Currently awaiting feedback from Government to respond to our LEP Implementation Plan following the Levelling Up White Paper.	2 Unlikely	4 Serious	Medium ↔	Director, Policy, Strategy and Communications