

RISK REGISTER

Register:	Corporate Risk Register
Date:	16-Dec-22

Type	Risk	Consequences	Existing Mitigations	Likelihood	Impact	Rating	Rating at Last Review	Direction of Travel	Further Mitigations	Risk Owner	Last Review Date	Risk/ Issue
Environmental	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.	Why may cause the CA to suffer reputational harm if targets are not met; Unacceptable levels of environmental harm if targets are not met.; Significant resource pressure on delivering our other corporate priorities, particularly in delivering pipelined projects which require environmental assessment	<ol style="list-style-type: none"> Climate and Environment Plan agreed based on the Carbon Emissions Reduction Pathway. Pipeline of schemes in development e.g. Better Homes Hub, Business Sustainability package. Climate and Environment is identified as one of the six Investment Priorities. Gainshare funding allocated to climate and environment Investment Priority. Carbon Impact Assessment tool agreed and embedded into Assurance Framework. All schemes applying through the Assurance Framework must use it. PMA will report cumulative potential carbon reduction impact of schemes. Progress towards the carbon target is reported through the State of the Region. 	5 Very Likely	3 Moderate	High Risk	Medium	▲	1. Delivery of programmes through the Climate and Environment plan.	Director of Strategy, Communications, and Intelligence	16/12/2022	Risk
Reputational	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.	Which may cause significant delays to delivery; an inability to coordinate effective responses to regional challenges	<ol 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. 	2 Unlikely	4 Serious	Medium Risk	Medium	—	<ol style="list-style-type: none"> Continue to strengthen key partnerships Partnership communication strategy being developed Strategic approach to managing relationships to be embedded across the organisation 	Managing Director	03/10/2022	Issue
Safety and Security	Due to the high volume of people and inherent operational risks present in a bus station, transport interchange or CA facility, there is a risk that a major accident or injury occurs at a CA facility	Which may cause serious injury or loss of life to staff, service user or member of the public; financial loss through legal costs or service disruption; loss of public confidence; disruption to services and service users	<ol 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 Risk	High	—		Director of Transport Operations and Passenger Experience	16/12/2022	Risk
Service Delivery and Operational	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.	Which may cause additional pressure on the CA to fund replacement services; disruption or significant alteration to existing services This may also create an opportunity to improve services and reform existing arrangements.	<ol style="list-style-type: none"> Close relationships with operators to obtain early warnings Dialogue with DFT, TFN 	3 Possible	4 Serious	High Risk	High	—	1. Internal work in progress on potential operator models and scenarios	Director of Transport Operations and Passenger Experience	16/12/2022	Risk

Service Delivery and Operational	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	Which may cause significant operational issues, as well as generate resourcing pressures and challenges	1. Continued dialogue with Government 2. Policy and Strategy directorate continuing to monitor emerging national trends	3 Possible	5 Critical	Very High Risk	High	▲	1. Continued work with local LEPs and Combined Authorities. 2. Improved partnership working between the local authorities and combined authority	Managing Director	03/10/2022	Risk
Service Delivery and Operational	Due to over-optimistic profiles, capacity within District partners and recruitment and retention challenges, there is a risk that we fail to fully deliver projects and programmes (e.g. TCF & WYTF) within timescales or budget, or with the anticipated level of benefits	Which may cause harm to the Combined Authority's reputation; loss of / lower future funding allocations and grant approvals; a poor outcome at milestone reviews.	1. Significant monitoring and controls in place through PMA 2. Continuing support to districts through secondment of projects/programme staff 3 Challenge on delivery profiles of individual schemes through Assurance Framework	3 Possible	5 Critical	Very High Risk	Very High	—	1. Annual review of WY+TF & TCF portfolio with Chief Highways Officers [Craig Taylor / Dave Haskins / Mark Ramsden]	Director, Delivery	03/10/2022	Issue
Finance and Resources	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.	Which may cause the suspension of services that threaten our future delivery capability; significant disruption to our ability to increase economic productivity and tackle climate change.	1. Budget discussions taking place with Districts as part of annual budget & business planning process 2. Ongoing Devolution discussions with key stakeholders and Government, including the UK Shared Prosperity Fund.	3 Possible	4 Serious	High Risk	High	—	1. Continuing to Liaise with Government on clarity over funding through UK Shared Prosperity Fund, Levelling-Up Fund 2. Funding sources being considered through annual budget setting process, including Gainshare 3. Indicative Gainshare allocations to be considered by CA in Feb 22 including pipeline development	Director of Inclusive Economy, Skills and Culture	03/10/2022	Issue
Service Delivery and Operational	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	Which may cause reputational damage and the need to fundamentally reconsider organisational business priorities.	1. Research and Intelligence continue to model potential impacts and long term scenarios 2. Working closely with partners and representative groups to identify possible long term impacts and develop joint responses	3 Possible	5 Critical	Very High Risk	Very High	—	Business plans revised for 2022/23 and corporate objectives updated to reflect changing organisational and external environment.	Managing Director	03/10/2022	Risk
Service Delivery and Operational	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 and business as usual activities cannot be adequately provided	Which may cause Possible closure of bus stations if staffing levels not adequate inability to meet demand for business enquiries/ support Reputational damage if business critical services not delivered	1. 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	1 Very Unlikely	4 Serious	Medium Risk	Medium	—		Director of Transport Operations and Passenger Experience	16/12/2022	Issue
Finance and Resources	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	Which may cause inability to deliver against corporate objectives and business plan priorities.	1. Financial scenario undertaken and being continually updated 2. Continued liaison with Government to understand funding opportunities 3. Budget Working Group meeting to oversee response	3 Possible	5 Critical	Very High Risk	Very High	—		Managing Director	03/10/2022	Issue
Reputational	Due to technology limitations, there is a risk to the CA's EDI external view from partners and the public.		An EDI host page is to be created that can better bring into view the EDI related pages on the website. Where the CA has agreed EDI accreditations/charters/definitions, associated actions are to be shaped.	4 Likely	3 Moderate	High Risk	High	—		Director of Strategy, Communications, and Intelligence	03/10/2022	Risk

Finance and Resources	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	Negative impact on revenue, failure to meet agreed cost targets, budget pressures for the CA.	Pricing strategy and marketing campaigns and launch of new sales platforms	5 Very Likely	4 Serious	Very High Risk	Very High	—	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%. Review and restructure of TPN with keen focus on b2b sales Review of residential MCard sales to seek opportunities from above Potential developments of further products and functionality within the MCard mobile app Potential integration of journey planning tool in the MCard app to encourage one-stop shop and higher volume	Head of Passenger Experience	16/12/2022	Risk
Service Delivery and Operational	Due to operator business failure there is a risk of significant change to bus services. The outlook remains volatile and uncertain into 2023 due to a combination of external factors including - inflation, interest rates, uncertainty on Govt funding beyond March 23, driver shortages, recession/cost of living crisis etc.	Service cancellations/withdrawals, increased tender costs, reduced community accessibility.	Negotiating/ contacting replacement services.	4 Likely	4 Serious	Very High Risk	Very High	—	Early warning system for business failure. Close consultation with industry.	Head of Mobility Services	16/12/2022	Risk
Environmental	Due to existing portfolio programmes and projects Carbon zero may not be achieved by 2038	No realisation of one of the six CA priorities Reputational damage	Climate Emergency action plan in place (but not funded) £40m gainshare and £8m TCF funding is available for Net Zero projects (TCF funds fully committed) Escalated to ILB / SLT	5 Very Likely	4 Serious	Very High Risk	Very High	—	Full review of all programmes to determine scale of problem Possible de-prioritisation/ scope change required	Director of Transport Policy and Delivery	03/10/2022	Risk
Finance and Resources	Due to Covid-19, Brexit and the war in Ukraine, there is a risk inflation will impact on the delivery and affordability of funding programmes. Due to significant rising inflation and energy costs there is a risk that costs increase significantly across Combined Authority programmes and projects.	Funding Programmes are unaffordable and therefore some projects may need to be de-prioritised or outputs / outcomes reduced Potential reduction in external funding drawdown (eg SHDF) Partners may not wish to bid for future external funding (eg SHDF Wave 2) if they have to carry inflation cost Which may cause projects and programmes to need to be re-scoped or deprioritised to remain within funding envelopes, resulting in fewer positive outcomes being delivered for West Yorkshire.	TCF and WY+TF annual reviews Cap CA funding for projects, seek sponsors to underwrite cost over runs / value engineer Escalated to ILB / SLT all Project Managers to consider the potential impact inflation rates may have on budgets and delivery Early discussions with funders, BEIS / MHCLG etc Value engineer and therefore aim to keep costs within project allocations. 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 could be considered as part of the funding programme annual reviews from 22/23.	5 Very Likely	4 Serious	Very High Risk	Very High	—	Full review of WY+TF and TCF projects to determine scale of problem Possible re-prioritisation of projects required	Director of Transport Policy and Delivery	03/10/2022	Issue
Finance and Resources	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	No control over partner spend against projects as they are progressing outside of funding agreements, lack of ability to reimburse partners for genuine expenditure on projects, risk around funding providers withdrawing funding and leaving partners and/or CA liable for sunk costs. Lack of opportunity for overage.	Work arounds agreed in principle between CA Legal and Partners, but not being adhered to, some FA's are now 12-24 months in and not been signed by partners. Escalated to ILB / SLT	5 Very Likely	4 Serious	Very High Risk	Very High	—	See existing controls	Director of Transport Policy and Delivery	03/10/2022	Issue

Service Delivery and Operational	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	Funding agreements delayed leading to subsequent delays in payment of eligible spend and / or inability to demonstrate 'commitments' to government on specific funding programmes. Increased costs due to requirement for external support. Poor contract management of external resources impacting on deliverables and VfM Delays in procuring / instructing external advisers to act on CA's behalf.	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	4 Likely	4 Serious	Very High Risk	Very High	—	RfDs to SLT for additional resource to support the delivery of CRSTS and Gainshare Further discussion may be required on SLAs Progression of decisions on Legal & Commercial ODS required from SLT	Director of Finance and Commercial Services	16/12/2022	Risk
Finance and Resources	Due to rising national inflation and energy costs there is a risk that the Combined Authority's costs, including energy will rise significantly.	Which may cause significant extra cost to the organisation for which additional funding will need to be found.	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 Risk	High	—	Wellington House refurbishment has introduced measures to reduce energy costs and increase efficiency e.g. installation of solar panels Further work required to scope measures on other CA assets such as bus stations	Director of Finance and Commercial Services	16/12/2022	Issue
Safety and Security	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.		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 Risk	High	—		Managing Director	03/10/2022	Risk
Service Delivery and Operational	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.		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 Risk	High	—		Director of Finance and Commercial Services	03/10/2022	Risk
Legal and Compliance	Due to internal capacity, there is a risk that the Equality, Diversity and Inclusion (EDI) objectives for the CA are not met.		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 Risk	High	—		Director of Strategy, Communications, and Intelligence	03/10/2022	Risk

Transformational Change	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.		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 Risk	Medium	—		Director of Finance and Commercial Services	16/12/2022	Risk
Service Delivery and Operational	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.		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 Risk	Medium	—		Director of Finance and Commercial Services	16/12/2022	Risk
Reputational	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.		One structural review took place in 2020 and a significant organisational restructure of the service is underway.	3 Possible	3 Moderate	Medium Risk	Medium	—		Director of Strategy, Communications, and Intelligence	03/10/2022	Risk
Safety and Security	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.		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 Risk	Medium	—		Managing Director	03/10/2022	Risk
Finance and Resources	Due to challenges in bringing forward Enterprise Zone sites within Growth Deal / GBF funding and occupier incentive timescales, there is a risk that there is insufficient occupied floorspace to generate projected business rates income.	Which may cause a requirement to use corporate reserves to meet the shortfall; Harm to future service provision which is revenue dependant, with subsequent impact on ability to deliver economic objectives set out in the SEP.	1. Prudent level of income forecasting included within 20/21 - 22/23 budget projections 2. Dedicated HoS in place to focus on residual sites (Jan 22)	3 Possible	4 Serious	High Risk	High	—		Director of Inclusive Economy, Skills and Culture	16/09/2022	Risk
Reputational	Due to the negotiations on revised terms and conditions not being agreeable to the trade union and staff there is a risk of industrial action and reputational damage	Which may result in Unison advising members against agreeing to the proposals, and result in the new Terms and Conditions not being implemented.	Ongoing engagement with trade unions post negotiation stage. Delay on Mcard causing a delay in seeking agreement and implementation. TU undertaking indicative ballot to seek agreement to move towards ballot for acceptance or rejection	2 Unlikely	4 Serious	Medium Risk	High	▼	Detailed negotiations with the TUS on all aspects of the proposals and early sight of employee handbook etc. TU undertaking indicative ballot to seek agreement to move towards ballot for acceptance or rejection	Head of HR	08/03/2022	Risk
Reputational	Due to a lack of resources, sufficient partner support or effective performance measures, there is a risk that the benefits of the CA and LEP aren't communicated successfully to the region	Which may cause a reduction in perceived impact of LEP/CA work; weakened partnership or public relations; increased lack of partner buy-in	1. Continued embedding of communications service and strategy	3 Possible	3 Moderate	Medium Risk	Medium	—	1. Continuing development of performance and reporting measures and metrics 2. Development of refreshed communications and marketing strategy. 3. Internal communications to be developed to ensure that all parts of the organisation understand their role in sharing information with the communications and marketing team, so that progress can be communicated effectively with all relevant audiences.	Director of Strategy, Communications, and Intelligence	01/11/2021	Issue