



# Corporate Risk Register 2021-22

Audit and Governance Committee  
19 January 2022



**LIVERPOOL  
CITY REGION**  
COMBINED AUTHORITY

**METRO MAYOR**  
LIVERPOOL CITY REGION

# Corporate Risk Themes



## Devolution Deal

There is a risk that the Liverpool City Region does not meet the specific requirements and expectations set out in its Devolution Deal



## Resilience

There is a risk that the organisation's ability to operate in the event of a major incident may not be adequate and may disproportionately impact the organisation's performance and that of the City Region's economy



## Environment

There is a risk that the LCRCA does not use its position and powers effectively to meet the target for the City Region of being net zero carbon by 2040



## Transport

There is a risk that the role of transport in supporting the social, economic and environmental objectives of the City Region is inhibited by governance and funding models that do not support future public transport recovery and improvement



## Economic Recovery

There is a risk that the LCRCA does not use its position and powers effectively to drive economic recovery and prosperity in the City Region





**Risk 1: Devolution Deal-** There is a risk that the Liverpool City Region does not meet the specific requirements and expectations set out in its Devolution Deal.

Risk Owner: Executive Director of Investment and Delivery

### Controls:

- Assurance Framework approved by Government
- Expertise of key teams
- Budget recognises delivery as a priority
- Spatial Development Strategy
- Use of 'single pot' approach and freedom and flexibility to manage funding deadlines
- Overprogramming of SIF
- Use of Growth Directors as forum to manage project progress
- Regular reporting of SIF performance to identify blockages
- Pipeline development process in place
- Annual Conversation with government and associated feedback
- Provision of Pre-Development Funding to advance projects
- Resource funding to support delivery of projects

# Risk 1: Devolution Deal



## Actions:

- Consideration of central resourcing to support Local Authority projects including opportunities to share resources and availing support services (ie Procurement framework, legal advice etc)
- Need discussion of the merits of having a central bid team, drawing in existing resource with focus on maximising funding opportunities and making the strategic connections.
- Setting clear progress objectives in heads of terms for funding objectives
- Establishment of joint boards/steering groups with constituent local authorities
- Having well developed pipelines across main policy areas: transport, housing, people, place and business eco system so that we are maximising our opportunities in bidding and securing for funds.

- Residual Score:

16

- Timescale:

March 2022

- Progress on completion of actions within timescale:

Green



Risk 2: Resilience - There is a risk that the organisation's ability to operate in the event of a major incident may not be adequate and may disproportionately impact the organisation's performance and that of the City Region's economy

Risk Owner: Executive Director of Corporate Development and Delivery

## Controls:

- System security arrangements
- Expertise and capacity of key teams/staff
- ICT Strategy
- Resilience and recovery arrangements
- ICT Security Policy and Acceptable Use Policies
- Code of Conduct for Employees
- Resilience arrangements in place and tested.
- Control Centre co-ordination
- High Risks Project Steering Group
- Strategic MEL Directorate Meeting
- Provision of Active Travel infrastructure across LCR to maintain connectivity
- "State of Readiness" has been drafted
- Cyber Essentials accreditation achieved
- Cyber Security Incident Response Team (CSIRT) and CSIR workflow being created
- Cyber desk top exercises have been completed and action plans established.
- Desk top exercises have been completed and action plans established.

## Risk 2: Resilience

### Actions:

- Solidify Business Continuity arrangements
- Establish when the pending review of the Civil Contingencies Act is due to progress, with a view to formally recognising the CA as a formal category responder while in the interim working with MRF colleagues to strengthen CA engagement in local arrangements
- Work with Director of Place to establish interconnecting activities on resilience.
- Arrange refresher training for ELT and relevant key officers
- Ensure staff at every level complete relevant mandatory training



- Residual Score:

20

- Timescale:

March 2022

- Progress on completion of actions within timescale:

Amber



Risk 3: Environment - There is a risk that the LCRCA does not use its position and powers effectively to meet the target for the City Region of being net zero carbon by 2040

Risk Owner: Executive Director of Policy, Strategy & Government Relations

### Controls:

- Focus on Net Zero on all lobbying activity with Government including within the CSR submission
- Embedding climate ambitions across all policies, strategies and plans, including Plan for Prosperity
- Expertise of key teams
- Relationships with key stakeholders with specialist knowledge and expertise
- Monthly Climate Partnership Meetings
- Regular reporting on Year 1 Climate Action Plan

## Risk 3: Environment

### Actions:

- Net Zero Carbon approach to all policy development to be implemented
- 'Road to Net Zero' to be developed with appropriate modelling of pathways
- Weekly cross-organisational Net Zero Group
- Stakeholder engagement mapping and coordination
- Building organisational capacity, rolling out Carbon Literacy training



- Residual Score:

20

- Timescale:

March 2022

- Progress on completion of Actions within timescale:

Amber







**Risk 4: Transport Model** - There is a risk that the role of transport in supporting the social, economic and environmental objectives of the City Region is inhibited by governance and funding models that do not support future public transport recovery and improvement  
**Risk Owner: Executive Director of Place (Executive Director of Corporate Services as interim)**

### Controls:

- Monitoring network activity, development of commercial opportunities / reduction in networks and frequencies
- Monitoring return to commercial service levels, recovering patronage levels
- Work closely with DFT and wider transport groups to understand issues and find solutions to funding gaps or adjustments to legislation
- Member of National and Local Resilience Forum
- Project structure in place and progressing to assess the opportunities presented by devolved bus powers
- Ongoing development of Hydrogen Bus pilot
- Ongoing development of green bus routes with Green Bus Routes group established
- Fortnightly Rolling Stock Board meetings established
- Quarterly Risk Workshops for each of the seven Rolling Stock work streams.
- External professional partners appointed to support commercial approach to OLR

## Risk 4: Transport Model

### Actions:

- Contingency planning continues and is ongoing
- Monitor work with MEL (Operator of Last Resort) and progress the work further.
- Road map to recovery in relation to social distancing and revenue generated will reduce the level of liquidity risk. Long term strategic options to be developed for contract model
- Arrange risk workshop to cover all work streams within Bus



- Residual Score:

20

- Timescale:

March 2022

- Progress on completion of actions within timescale:

Red





Risk 5: Economic Recovery - There is a risk that the LCRCA does not use its position and powers effectively to drive economic recovery and prosperity in the City Region  
Risk Owner: Executive Director of Investment and Delivery

### Controls:

- Plan for Prosperity due to be submitted to CA for approval in January 2022 which sets out priorities for our economy and investment
- CA role in grants to business to support in response to pandemic
- Recovery Fund in place
- Relationships with business community, private sector, LEP and partners
- Government engagement to ensure understanding of funding streams to support economic recovery

## Risk 5: Economic Recovery

### Actions:

- Extensive engagement on plan for prosperity, including with LAs, business, academic community and third sector
- Recruit additional Commercial Development and Investment team resource to develop and deliver projects with key external partners/sponsors
- Increased engagement with private sector, ensuring increased partnership/investment in recovery projects
- Develop and deliver recovery projects on prioritised basis
- Horizon scanning for funding opportunities to support economic recovery



- Residual Score:

20

- Timescale:

December  
2022

- Progress on completion of actions within timescale:

Amber