



north wales economic ambition board  
bwrdd uchelgais economaidd gogledd cymru

Programme Risk Register  
Planning and Development Stage

Ref	Title	Risk Description	A Probability (0-10)	B Impact (0-10)	Risk Value Total (A x B)	Mitigation	Action with	Action by	Status	Ownership
<b>FINAL DEAL</b>										
FD 01	Loss of Personnel with knowledge and background	Turnover of staff and ministers with loss of expertise and relationships with an impact on timescales.  (This applies to the region and both Governments)	8	6	48	(1) Sign final deal by December 2020 (2) Maintaining a strong relationship with both Governments. (3) Programme Office established. (4) Programme SROs and Deputy SROs appointed	NWEAB / UKG / WG	Ongoing	Live	NWEAB
FD 02	Approval of 5CBM	Failure to agree/sign off 5CBMs (by UKG and WG).	4	10	40	(1) Regular face to face meetings with UKG and WG to discuss OBC's. (2) Challenge by NWEAB and Business Delivery Board on the 5CBMs. (3) Programme Business Case template agreed with WG.	NWEAB / UKG / WG	Ongoing	Live	NWEAB
FD 03	Capacity to deliver Final Deal	Capacity within the Partnership to deliver Final Deal by December 2020 particularly in light of Covid-19.	8	8	64	(1) Business Case consultants appointed to support process; (2) Programme SROs and Deputy SROs appointed (3) Recruitment process started	Programme Office	Ongoing	Live	NWEAB
<b>GOVERNANCE</b>										
GO 04	Full participation of partners in the Board	Partners not sufficiently engaged in the Board's work leading to: - <ul style="list-style-type: none"> <li>Insufficient attendance at meetings of the Board by one or more partners;</li> <li>Secondary status for non-LA partners;</li> <li>Disengagement of one or more Las.</li> </ul>	3	8	24	(1) Commitment by all Board members.	All Partners	Ongoing	Live	NWEAB
GO 06	Drafting Governance Agreement 2	Failure to develop a draft Agreement in good time for partners to consider and in readiness for the delivery stage of the final Growth Deal	5	10	50	(1) Legal capacity commissioned (Pinsents) to guide and advise in the drafting of Governance Agreement. (2) Project plan to be developed for GA2. (3) Councils and Partners to give GA2 full consideration. (4) Workshop to discuss GA2 issues.	Heads of Legal	31/08/2020	Live	Heads of Legal
GO 07	Adoption of Governance Agreement 2 and Final Deal Agreement	Risk of Non-adoption of Governance Agreement 2 and/or Final Deal Agreement by one or more partners	7	8	56	(1) Ensuring professional networks are involved in agreeing to the content (Heads of Legal, CFOs and Professional Groups affected) (2) Careful and detailed attention by the partners to	All partners	31/12/2020	Not yet opened	NWEAB

Ref	Title	Risk Description	A Probability (0-10)	B Impact (0-10)	Risk Value Total (A x B)	Mitigation	Action with	Action by	Status	Ownership
						<p>balancing risks and liabilities with benefits – collectively and individually to partners – in both Governance Agreement 2 and the final Deal Agreement itself</p> <p>(3) advocacy of Governance Agreement 2 and the Final Deal Agreement within all partner organisations in advance of formal decision-making to adopt with strong and determined leadership within each partner organisation</p> <p>(4) preparation of a compelling template report supported by legal and financial advice</p> <p>(5) Preparedness to progress additional or disputed functions on an incremental basis, i.e. commence GA2 on a narrower basis if there is dispute over a wider range of functions being delegated to the Joint Committee or living with more reserved matters.</p>				
GO 09	Scrutiny Arrangements	Failure to agree on Scrutiny Arrangements.	6	5	30	<p>(1) Report on Scrutiny Arrangements to the NWEAB.</p> <p>(2) Detailed arrangements to be made within GA2.</p>	Heads of Legal and Exec Group	31/08/2020	Live	NWEAB
GO 11	Public Appointments Process for Chair of the Business Delivery Board	Failure to appoint a Chair to the Business Delivery Board.	6	8	48	(1) NWEAB agreed on 12/06/2020 to pause the recruitment process and review the Business Delivery Group	Programme Office	TBC	Live	NWEAB and Programme Office
<b>FINANCE</b>										
FIN 01	Budget contributions from partners	<p>Failure from partners to agree budget contributions.</p> <p>Insufficient funding contributions from partners.</p>	4	7	28	<p>(1) Budget contributions are incorporated within GA1.</p> <p>(2) NWEAB to agree budget contributions for 2019/20 at the NWEAB meeting on 15/03/2019.</p> <p>(3) NWEAB to agree budget contributions within GA2</p>	Gwynedd and all partners	Ongoing	Live	NWEAB and accountable body CFO
FIN 02	NNDR and capitalisation	<p>The WG have asked the Board to make a proposal on the financial aid it needs from WG to make the NW Growth deal work. The risks are: -</p> <ul style="list-style-type: none"> <li>Unable to agree the ask for NNDR and capitalisation.</li> <li>The region is unable to identify / agree project commitments and profiles soon enough to submit a timely response</li> <li>Ask not accepted</li> </ul> <p>The issue is high impact because of budget limitations within Local Authorities and the requirement to fund the Growth Deal (interest and programme office) in the</p>	3	6	20	<p>(1) A pre-condition of this is to scope the programme and calculate how much it will cost</p> <p>(2) The region needs to commission a piece of work to submit to the WG with a number of well-argued asks including: -</p> <ul style="list-style-type: none"> <li>A rate of NNDR retention,</li> <li>Capitalisation of salaries where possible and</li> <li>Interest subsidy.</li> </ul> <p>(3) Work with elected members to prepare them for a Growth Deal revenue pressure offset by a set of benefits locally and for the region.</p>	All partners	31/08/2020	Live	NWEAB and accountable body CFO

Ref	Title	Risk Description	A Probability (0-10)	B Impact (0-10)	Risk Value Total (A x B)	Mitigation	Action with	Action by	Status	Ownership
		context of cutting local services with reducing government grants due to austerity.								
FIN 03	LA borrowing requirements	Failure to identify and agree LA and partner borrowing requirements. The key risks are: <ul style="list-style-type: none"> <li>Exposure to the cost of interest payments</li> <li>Apportionment of costs between councils and partners</li> </ul>	3	8	24	(1) Sequencing of projects. (2) Continue the good work of the CFOs and involve partner CFOs, producing indicative costs and funding mechanisms for consideration by the Board. (3) Borrowing requirements will vary with the sequencing and profiling of projects.	Programme Office and CFOs	31/08/2020	Live	NWEAB and accountable body CFO
FIN 04	Financial Plan	Failure to agree the Financial Plan	6	10	60	(1) Accountable Body / NWEAB to approve Financial Plan	All partners	31/08/2020	Live	NWEAB and Accountable Body
<b>PROGRAMME OFFICE</b>										
PO 02	Programme Office	Lack of capacity and capability to deliver the programme post Final Deal	5	8	40	(1) ESF funding secured to expand the Programme Office (2) Recruitment underway for phase 1 jobs (3) Review structure ahead of phase 2 jobs to ensure Programme Office has the right capacity/capability.	NWEAB & Programme Office	Ongoing	Live	NWEAB and accountable body
<b>COMISSIONED STRATEGIES AND PROJECTS</b>										
CSP 01	Project Approval Process	Failure to agree a project approval process which will then lead to long and complicated sign off procedures for business cases involving multiple partners and delaying investment.	4	7	28	(1) Agree twin track approach for the 14 projects. (2) Deliver strong 5 Case Business Models. (3) Challenge sessions with UKG and WG. (4) Delegated approval process (delegation from Councils and Partners and governments to the NWEAB).	Lead Director / All partners	31/03/2020	Not yet open	NWEAB
CSP 03	Side Deals	Failure to agree Side Deals and Partnerships with WG	5	8	40	(1) Assign resources to lead on Side Deal discussions. (2) Establish clear work-streams, negotiating processes and accountability for side deals. (3) Early exploration of the appetite for collaboration between Councils to pool resources to sit alongside WG regional teams. (5) Work on MoUs for each partnership between Councils and WG.	All partners	31/12/2020	Not yet open	NWEAB
CSP 04	Project Delivery	Failure to deliver on the projects prompts a review of funding – lose credibility	2	10	20	(1) Agree Final Deal and project approval process; (2) Commitment of resources for the projects. (3) Programme Office in place and managing the projects.	All partners	31/12/2020	Live	NWEAB
CSP 05	Private sector withdrawal	Risk of significant private sector partner withdrawing from a project within the region undermining the region's basic strategy and/or projects.	8	8	64	(1) Secure Final Deal by December 2020; (2) Pipeline of projects. (3) NWEAB to be reactive to any changes within the region, as demonstrated with the withdrawal of Wylfa Newydd. (4) Timely delivery of the deal so that projects remain viable over the deal's development lifetime.	All partners	Ongoing	Live	NWEAB

Ref	Title	Risk Description	A Probability (0-10)	B Impact (0-10)	Risk Value Total (A x B)	Mitigation	Action with	Action by	Status	Ownership
						(5) Continued engagement with private sector at Growth Deal and project level.				
CSP 07	Commercial investment opportunity	Loosing commercial investment opportunity	7	8	56	(1) Continuous engagement with the sector; (2) Timely delivery of the deal.	All partners	Ongoing	Live	NWEAB
CSP 08	Preliminary work	NWEAB will need to invest in preliminary work before reaching final deal.	6	8	48	(1) Identify the preliminary work required for projects and programmes; (2) Discuss possibilities to draw down funding early for preliminary work.	All partners	Ongoing	Live	NWEAB
<b>LEGAL AND PROCUREMENT</b>										
LP 02	Procurement	Failure to agree a Procurement Strategy.	4	7	28	(1) Adopt accountable body's procurement strategy.	Accountable Body and Programme Office	31/12/2020	Not yet open	NWEAB
LP 03	Final Deal	Failure to sign the final deal in 15 months	5	10	50	(1) Maintaining a strong dialogue with both Governments, to discuss any issues.	NWEAB	31/12/2020	Not yet open	NWEAB
<b>MONITORING AND EVALUATION PLAN</b>										
MP 02	Monitoring and Evaluation	Failure to develop a Monitoring and Evaluation Plan.	5	5	25	(1) Develop a Monitoring and Evaluation Plan. (2) Develop a performance framework. (3) Central Coordination.	Programme Office	31/12/2020	Not yet open	NWEAB
<b>STAKEHOLDER ENGAGEMENT AND COMMUNICATION</b>										
SEC 01	Stakeholder Engagement and Communication	Failure to comply with the communication protocol.  Reputational damage to partners and projects as well as the overall deal.	5	5	25	(1) Communication Plan and Protocol in place. (2) Communication Plan and Protocol shared with all involved. (3) Recruit Communications and Engagement Officer	All partners	Ongoing	Live	NWEAB

## CLOSED RISKS

Ref	Title	Risk Description	A Probability (0-10)	B Impact (0-10)	Risk Value Total (A x B)	Mitigation	Action with	Action by	Status	Ownership
<b>CLOSED RISKS</b>										
GO 01	Governance Agreement 1	Non-adoption of Governance Agreement 1 by one or more partners	0	10	10	(1) advocacy of Governance Agreement 1 within all partner organisations in advance of formal decision-making to adopt (2) strong and determined leadership within each partner organisation (3) preparation of a compelling template report supported by legal and financial advice	<b>Closed</b>	<b>Closed</b>	<b>Closed</b>	Heads Of Legal

Ref	Title	Risk Description	A Probability (0-10)	B Impact (0-10)	Risk Value Total (A x B)	Mitigation	Action with	Action by	Status	Ownership
MP 01	Risk Register	Failure to develop and update risk register	4	7	28	(1) Develop a risk register for improvement over time and regularly review and update the risk register	Accountable Body, Executive Group and Programme Office	<u>Closed</u>	<u>Closed</u>	NWEAB
GO 03	Transition to Joint Committee	Failure to transition to a formal Joint Committee, with full resourcing, to meet the requirements of Governance Agreement and 1 and in readiness for the delivery stage of the final Growth Deal. Financing (for the accountable body and the programme office) is the main risk to this transition.	1	10	10	(1) GA1 signed and sealed by all parties (2) planned agreement to transition to take place at Board on 01.02.19 (1) preparation for the transition agreed with the Host Authority (2) Report to NWEAB 1 <sup>st</sup> February to effect transition (2) Financing for GA1 to be agreed for 2019/20	Lead CEO and Gwynedd CC	<u>Closed</u>	<u>Closed</u>	NWEAB
GO 05	Identify and Agree the six-month work programme for the Joint Committee pursuant to GA1	The risk is that the work programme is not agreed and insufficiently developed from the outline to be submitted at the 1 <sup>st</sup> February board meeting. All Board members need to buy into the work programme as it will drive the costs of the programme and will give shape to the monitoring of the delivery of the Board's ambitions	3	9	27	(1) The work programme will be developed collectively by the Programme Office for sign off by the Exec Group and the Board. (3) Therefore, moving to appointing/resourcing a Programme Director and a programme office will reduce the risk of an inadequate and ill-thought through work programme that cannot command the Board's support.	The Exec Group and the Board	<u>Closed</u>	<u>Closed</u>	NWEAB
HT 02	Setup challenge sessions with Ministers	Inability or delays in setting up Challenge sessions with UKG and WG.	6	8	48	(1) Submit OBCs and Implementation Plan to both Governments. (2) Set up challenge sessions at an early stage so that dates are in the diaries.	Lead Director / UKG / WG	<u>Closed</u>	<u>Closed</u>	NWEAB
GO 02	Risk of being unable to make and Appointment of the Accountable Body	Non-agreement of a chosen Accountable Body for GA2.	2	10	20	(3) Continuation with Gwynedd as Accountable Body under Governance Agreement 1. (2) Continue negotiations with Gwynedd Council to take the accountable body role.	Lead CEO and Gwynedd CC	<u>Closed</u>	<u>Closed</u>	NWEAB
HT 01	Heads of Terms	Failure to reach Heads of Terms within the agreed timescale.  To deliver a HoTs by 31/07/2019 there is much to be done and that suggests a high risk of not achieving the HoTs in time.  Delay in receiving the HofT document, not giving enough time for the NWEAB to review. Resulting in a delay in the timeline.	2	10	20	(1) Approval of the Implementation Plan as requested by both Governments. (2) Approach to Heads of Terms as stated within letters to both Governments (25/03/2019). (3) Satisfactory OBCs for governments. (4) Challenge Sessions with both Governments Ministers prior to HofT. (4) Maintaining the strong dialogue with both Governments, to discuss any issues.	All partners	<u>Closed</u>	<u>Closed</u>	NWEAB
		Issues in regards to the wording within Heads of Terms – particularly with Phase 2 projects	2	10	20	(1) NWEAB to discuss and draft HofT with both Governments.	All partners	<u>Closed</u>	<u>Closed</u>	NWEAB

Ref	Title	Risk Description	A Probability (0-10)	B Impact (0-10)	Risk Value Total (A x B)	Mitigation	Action with	Action by	Status	Ownership
						(5) Share and discuss draft HofT with Executive Officers Group and the NWEAB.				
HT 04	Approval of OBCs	Failure to agree/sign off OBCs (by UKG and WG).	4	10	40	(4) Submit revised OBC's to both Governments by end of March 2019. (5) Regular face to face meetings with UKG and WG to discuss OBC's. (6) Challenge by NWEAB and Business Delivery Board on OBC's. (2) Challenge Sessions with both Governments Ministers prior to HofT.	NWEAB / UKG / WG	<u>Closed</u>	<u>Closed</u>	NWEAB
HT 05	Delay in approval of Implementation Plan	Failure to agree Growth Deal Implementation Plan.  The implementation plan is dependent on achieving a twin track approach and signing Heads of Terms (i.e. knowing what we are going to implement)	5	5	25	(1) Submit Draft Implementation Plan to the Executive Group and NWEAB during March 2019. (2) Submit Draft Implementation Plan to UKG and WG by the end of March 2019. (3) Identify twin track approach for HofT.	NWEAB / UKG / WG	<u>Closed</u>	<u>Closed</u>	NWEAB
GO 10	Agree Terms of Reference with Business Delivery Board	Failure to agree the Terms of Reference for the Business Delivery Board.	3	8	24	(1) Report on the ToFR of the Business Delivery Group presented to the NWEAB on 12/04/2019.	Programme Office and BLG	<u>Closed</u>	<u>Closed</u>	EAB
PO 01	Programme Director	Failure to recruit / appoint Programme Director	5	10	50	(1) Agree on recruitment process. (4) Proceed in a timely fashion.	All partners	<u>Closed</u>	<u>Closed</u>	NWEAB and accountable body
PO 04	Programme Managers	Failure to appoint Programme Managers.	3	6	18	(1) Agree on a recruitment process. (2) Robust and inclusive appointment process.	All partners	<u>Closed</u>	<u>Closed</u>	NWEAB
GO 08	Establish the Sub-Committees	Failure to set up the sub-committees, to meet the requirements set out within the Governance Agreement.  Failure to develop Terms of Reference of Sub-Committees.	6	8	48	(1) Set up the Sub Committees as and when required. (2) Accountable Body's Legal department to support with drafting the terms of reference.	All partners  The Exec Group Initially	<u>Closed</u>	Not yet opened	NWEAB
PO 03	ESF Institutional Capacity Bid	Failure to secure ESF funding to support the work of the Programme Office.	3	6	18	(1) Submit OLT to WEFO in a timely manner. (2) Submit Full Business Plan to WEFO. (3) Secure and agree match funding. (2) Commitment of resources for developing the bid.	Accountable Body / WEFO	<u>Closed</u>	<u>Closed</u>	NWEAB
CSP 02	Business Network North Wales	Risk of Duplication with Welsh Government regionalisation model and lack of support from WG and Councils as a result	6	8	48	(1) Escalation to the Minister. (2) Joint venture to engage support in WG. (3) Clear visibility and accountability to the Board for negotiations. (4) Close joint working between councils to agree a model that has the support of all councils. (5) Report to the NWEAB during September 2019.	All partners	<u>Closed</u>	<u>Closed</u>	Business Network North Wales

## Assessment Criteria

<b>POSSIBILITY (A)</b>	<b>High</b>	<b>10</b>	<b>10</b>	<b>20</b>	<b>30</b>	<b>40</b>	<b>50</b>	<b>60</b>	<b>70</b>	<b>80</b>	<b>90</b>	<b>100</b>
		<b>9</b>	<b>9</b>	<b>18</b>	<b>27</b>	<b>36</b>	<b>45</b>	<b>54</b>	<b>63</b>	<b>72</b>	<b>81</b>	<b>90</b>
		<b>8</b>	<b>8</b>	<b>16</b>	<b>24</b>	<b>32</b>	<b>40</b>	<b>48</b>	<b>56</b>	<b>64</b>	<b>72</b>	<b>80</b>
	<b>Possible</b>	<b>7</b>	<b>7</b>	<b>14</b>	<b>21</b>	<b>28</b>	<b>35</b>	<b>42</b>	<b>49</b>	<b>56</b>	<b>63</b>	<b>70</b>
		<b>6</b>	<b>6</b>	<b>12</b>	<b>18</b>	<b>24</b>	<b>30</b>	<b>36</b>	<b>42</b>	<b>48</b>	<b>54</b>	<b>60</b>
		<b>5</b>	<b>5</b>	<b>10</b>	<b>15</b>	<b>20</b>	<b>25</b>	<b>30</b>	<b>35</b>	<b>40</b>	<b>45</b>	<b>50</b>
		<b>4</b>	<b>4</b>	<b>8</b>	<b>12</b>	<b>15</b>	<b>20</b>	<b>24</b>	<b>28</b>	<b>32</b>	<b>36</b>	<b>40</b>
		<b>3</b>	<b>3</b>	<b>6</b>	<b>9</b>	<b>12</b>	<b>15</b>	<b>20</b>	<b>21</b>	<b>24</b>	<b>27</b>	<b>30</b>
		<b>2</b>	<b>2</b>	<b>4</b>	<b>6</b>	<b>8</b>	<b>10</b>	<b>15</b>	<b>14</b>	<b>16</b>	<b>18</b>	<b>20</b>
	<b>Rare Possibility</b>	<b>1</b>	<b>1</b>	<b>2</b>	<b>3</b>	<b>4</b>	<b>5</b>	<b>6</b>	<b>7</b>	<b>8</b>	<b>9</b>	<b>10</b>
			<b>1</b>	<b>2</b>	<b>3</b>	<b>4</b>	<b>5</b>	<b>6</b>	<b>7</b>	<b>8</b>	<b>9</b>	<b>10</b>
			<b>Very low</b>		<b>Medium</b>					<b>Very high</b>		
			<b>IMPACT (B)</b>									

## Key

<b>HT</b>	Heads of Terms
<b>GO</b>	Governance
<b>FIN</b>	Finance
<b>PO</b>	Programme Office
<b>CSP</b>	Commissioned Strategies and Projects
<b>LP</b>	Legal and Procurement
<b>MP</b>	Monitoring and Evaluation
<b>SEC</b>	Stakeholder Engagement and Communication

## Version control

Version	Date	Details of changes or comments
V1	11/01/2019	Draft developed
V2	23/01/2019	Draft amended by a small working group
V3	28/01/2019	Draft Amended by Stephen Jones for submission to the NWEAB Exec Group for comment.
V4	29/01/2019	Amendments and Reformatting by Nia Medi Williams
V5		
V6	30/01/2019	Amendments by Stephen Jones (on feedback from the Lead CEO)
V7	02/04/2019	Amendments following the Executive Support Group Meeting on 29/03/2019
V8	02/07/2019	Amendments
V9	02/09/2019	Amendments following the NWEAB meeting on 26/07/2019
V10	01/10/2019	Amendments following the Executive Support Group Meeting on 06/09/2019
V11	16/12/2019	Amendments following the NWEAB meeting on 15/11/2019
V1`2		Update to present to the Executive Group and the NWEAB