

West Midlands Regional Assembly Business Plan 2009-10

Q2 Progress Report April-September 2009

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Business Plan Progress Report

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16th October 2009

Introduction

The Assembly has continued to deliver its work programme and manage its resources effectively whilst preparing for a smooth transition to the post April 2010 regional governance arrangements. We continue to work with our partners in a situation where the region has been hit not only with the current recession; but also the exposure of the long term nature of our relative economic decline compared to the rest of the country; showing that our GDP per head fell below the UK average in 1976 and has never regained that level, even in times of prosperity.

Global economic trends with region-wide impacts such as these require a region-wide response, and the Assembly and its partners have continued to provide this, with the shadow Joint Strategy and Investment Board leading the way. The prompt and effective response made by the West Midlands to the second round of the Regional Funding Advice bidding process, was praised for its integration across housing, transport and regeneration and for its strong focus on deliverability. We identified twenty 'Impact Investment Locations' where Government funding can be focussed to deliver maximum project delivery benefits and, where that investment will have a more than local impact. We look to co-operation from Government departments to act flexibly and release the funding necessary to permit key housing, transport and regeneration schemes to go ahead.

Effective regional working requires a long term strategy steer and we remain committed to our key policies of urban and rural renaissance. The expert Panel report into the Regional Spatial Strategy (RSS) Phase 2 Examination in Public supports this, advising the Minister that, "*the spatial strategy principles are sound and do not need to be weakened in order to accommodate the growth proposed*". In terms of facilitating economic and physical regeneration, the Panel says, "*what we do see to be essential is a sustained focus on investment and regeneration in the major urban areas*".

This strategic approach now needs to be taken forward into the new 'Strategy for the West Midlands' that the Assembly's successor bodies will be preparing from April next year. The Assembly is leading a pan-regional response to the current consultation on the shape of the new regional strategies and we will be confirming that we are willing and able to make them work. We are also aware of the importance of focusing on what will make the biggest difference 'now' and will be working with our partners through the West Midlands Leaders Board to define, agree and deliver these.

Finally, the revision of the RSS has been caught up in the period of change to a single strategy, especially so far as the RSS Phase 3 Revision is concerned. The Assembly is being recommended to abandon the remainder of the Phase 3 process and take forward the individual policy areas as either Interim Policy Statements or recommendations to feed into the future development of the 'Strategy for the West Midlands'.

Priority needs to be given to producing Interim Policy Statements for gypsy and traveller site requirements and for sub-regional apportionment of mineral aggregates following a recent request from the Department of Communities and Local Government.





As we move into month 7 of our final year, we will ensure the focus on delivery and effective financial management remains at the forefront. We are working with the West Midlands Leaders' Board to ensure that local government plays a leading role in the design of the new regional governance structures and is able to play its fullest part in delivering economic, social and environmental regeneration and meeting the challenges of climate change.

A handwritten signature in black ink, appearing to read 'Olwen Dutton', written in a cursive style.

Olwen Dutton
Chief Executive

Reporting Methodology

Each individual work strand of the Business Plan has been reviewed and the enclosed **WMRA Business Plan Progress Report (Work Strands)*** includes a progress column using a symbol system to identify performance progress against the key actions/tasks. Performance monitoring is exception reporting.

	TASK COMPLETED
	TASK ON TARGET (we will deliver on time)
	TASK OFF TARGET (either we will be late or over budget)
	NOT GOING TO HAPPEN

An accompanying **Performance Exception Report** will provide a detailed explanation for those tasks identified as being 'Off Target' or 'Not Going To Happen'.

This report also includes a section on any **Additional Tasks Undertaken** that were not in the original business plan but that have been a key activity during the period.

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Performance Management - Exception Report 30 September 2009

Task off target ☹☹☹		
WS No	Activity	Remedial Action/Reason
15.1	Meetings of the WMRSS Implementation Group have not been held in Q1 and Q2 as the focus of the Group is changing	<p>Consideration currently being given as to the need for new sub-structures to support the work of the Joint Strategy and Investment Board , including possible arrangements to oversee implementation issues (See also SNR work-stream)</p> <p>Consideration of the EiP Panel Report to determine any immediate issues arising that need collective consideration through the existing Group</p>
16.2	Publication of Housing monitoring supplementary report - due Q3	<p>Due to serious capacity constraints, Worcs CC will not be able to deliver this additional work under the 2009/10 Partnership Agreement; reflected in an amended Agreement (August 2009).</p> <p>Discussions are on-going with the Housing team to address this problem, with any possible report being published in Q4 reflecting both 2008/09 data as well as 2007/08 data.</p>

Tasks not going to happen ☠☠☠

WS No	Activity	Remedial Action/Reason
14.1	Scrutiny/Strategic Review Annual report (Electronic). Q2	Scrutiny activity has been wound down there fore there will be no Annual Report; the scrutiny resource has now been redirected to support the substantial transition work programme
30.1	Completion of scrutiny review of Advantage West Midlands: Business Support delivered by Business Link West Midlands	Request from AWM supported by Government Office for the West Midlands that review is discontinued due to impact of recession on Business Link WM
30.3	ERN Regional Accountability Group	Group no longer meeting due to discontinuation of scrutiny function in the majority of Assemblies

Additional Tasks not in the Business Plan

WS No	Activity	Approvals
13.2	Substantive work with AWM to establish the new West Midlands Leaders Board arrangements and the Joint Strategy & Investment Board	Assembly Board
18d	Early work on the new 'Strategy for the West Midlands' in preparation for 2010/11; including the impact on RSS Phase 3	Assembly Board
18e	Sub-regional apportionment of aggregates provision as requested by DCLG on 29 June 2009 Submission of regional advice to DCLG in Q3/4 (requires agreement with DCLG)	Subject to Board Approval
25	Consultation with local authority colleagues on a funding switch within the Regional Housing Pot as a result of the 'Housing Pledge' (switch of funds from Private Sector Renewal to Affordable Housing)	Regional Housing Executive

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Performance Management – Business Plan Progress Report 30 September 2009

New information or amended details are shown in blue.

STAFFING and OPERATIONAL (Work Strands 10-13)					
Strategic Objective: Ensure sound corporate governance, provision of appropriate staffing and operational services and stakeholder engagement Strategic Objective: Ensure better collaboration between partners and organisations that operate both along and across the border between Central Wales and the West Midlands					
Risk Assessment: [10.1] Insufficient staff resource to effectively deliver the work programme – Mitigation; Ring fence internal opportunities; fast and efficient recruitment; work closely with successor body to ensure effective transfer; good communication with staff; contingency budget for EiP support [13.1] Impact on staff (10.1) partners (13.2) and financial ability to deal with the cost implications – Mitigation; Work with successor body to minimise impact on staff and ensure good practice in HR management and legal compliance. Utilise reserves for any related wind-up costs; influence the transition process to ensure continued partnership approach to the SIRS and local government leadership.					
No	INPUT £	Activity/Process	Outputs (KPI)	Outcome	Who
10.1	£1,311,227	Provide an effective and responsive Assembly Secretariat	Sufficient complement of staffing to deliver work programme Q1/2 ☺ Q3/4	Effective and sufficient staffing resource to deliver business plan	CEO
11.1	£500	Corporate Training Plan updated to address staff training needs;	Corporate Training Plan updated and approved Q2 ☺	<ul style="list-style-type: none"> Training needs identified / met 	CEO
13.1	£138,095	Deliver key operational services; Corporate Governance Action Plan; Risk Management; Compliance etc	2008-09 Audit Report Q2 ☺ Final Audit Report Q4/Q1(10-11)	<ul style="list-style-type: none"> Effective operational systems Mitigated Risks Corporate compliance 	CEO
13.2	Reserves	Transfer of statutory functions to successor body; final audit and legal winding up of the Assembly company	Regional SNR Transition Work Programme updated Q1/2/3/4; Timetable and action plan for the transfer of statutory functions to successor body Q2/3; ☺ Assembly wound up Q4	Timely and successful transfer of statutory functions to successor body	AWM/ RA/ WMLB
13.4		Facilitation and co-ordination of Cross Border working in support of Memorandum of Understanding	Core Officer Group Meetings; Specialist working groups; Strategic Forum Meeting (March	Better collaboration between partners and organisations that operate along and across the	Q4 WMRA, WAG and partners

		between Central Wales and the West Midlands	2009) Q1 😊 Forum Event April 😊	border between Central Wales and the West Midlands	
COMMUNICATIONS (Work Strand 14)					
Strategic Objective: To effectively communicate and support the purpose and work of the Regional Housing Body and Regional Housing Executive.					
No.	INPUT £	Activity/Process	Outputs (KPI)	Outcome	Who
14.1	£8,500	Consult and communicate on the RPB and RHE's key activities ensuring positive press and media relations Provide partners with timely information enabling them to engage in the activities of the RPB and RHE Continue to improve communications with regional MPs and MEPs enabling them to engage in the activities of the RPB and RHE Continue to raise awareness of the WMRSS	<ul style="list-style-type: none"> Produce Annual Review Business Plan. Q1 😊 This has been delayed to Q4 to incorporate a summary of Assembly achievements over last 10 years. Scrutiny/Strategic Review Annual report (Electronic) Q2 ☠️ Electronic 'Update' newsletter for policy areas. Q1/2 😊 Q3/4 MP/MEP targeted quarterly electronic newsletter Q1/2 😊 Q3/4 Produce timely press releases (as required) 😊 Produce a quarterly electronic publication to support work of WMRSS, RPB and RHE. Q1/2 😊 Q3/4 	Raised profile for the work of the RPB and RHE Greater comprehension of / engagement with, the RPB and RHE and their work amongst key stakeholders leading to improved delivery	Head of Comms
14.2		Support Regional Marketing Strategy	Support AWM in communicating key messages with Local Authorities as required Q1/2 😊 Q3/4	More positive perception both within and outside the Region	Head of Comms
14.3		Ensure Freedom of Information enquiries are responded to a timely manner	FOI inquiries dealt with effectively and within timescales Q1/2 😊 Q3/4	More positive perception of RPB/RHE accountability	Head of Comms

Regional Planning and Environment, Housing and Transport

WMRSS IMPLEMENTATION, MONITORING AND CONFORMITY (Work strands 15, 16, 17)					
Strategic Objective: Maintain an up to date WMRSS Implementation Plan. Provide a robust monitoring system to track the progress and implementation of the WMRSS. Continue to develop the Conformity Protocol for use by the RPB as a key tool for implementing the WMRSS with public and private agencies					
No.	INPUT £	Process	Outputs (KPI)	Outcome	Who
15.1	£20,000 [WS15]	Support an integrated approach to the implementation of the WMRSS and its alignment both with other regional policies and the business plans of key stakeholders.	<p>Provide continued support for the work of the WMRSS Implementation Group (consisting of senior regional and sub-regional stakeholders) to ensure a consistent and integrated approach to the on-going development and updating of the WMRSS Implementation Plan.</p> <p>Ensure at least one meeting of the Group is held each quarter Q1/2 ☹ Q3/4</p>	<p>Alignment of Stakeholders' Business Planning with WMRSS requirements</p> <p>Development of Sub-regional Implementation Frameworks within the WMRSS Implementation Plan</p> <p>Identify key regional and sub-regional infrastructure needs and their relationship to the delivery of WMRSS development proposals</p>	Strategic Adviser Implementation WMRA

15.2		<p>Further development of Implementation Plan to incorporate;</p> <ul style="list-style-type: none"> the implications of Phase Two post EiP 'Proposed Changes' WMRSS Phase Three updates any future developments in on-going implementation and funding mechanisms 	<p>Further development of the WMRSS Implementation Plan to ensure that it remains up to date and relevant as a framework to help guide the implementation of the WMRSS.</p> <p>Update and republish the WMRSS Implementation Plan to incorporate WMRSS Phase Three proposals, for submission to the Secretary of State (Q3 and Q4)</p> <p>(NB : This may need to be reviewed in light of the 'stocktake' of Phase 3 work streams)</p>	<p>Successful defense and promotion of the deliverability of the WMRSS at the EiP</p> <p>Implementation of WMRSS which delivers balanced and sustainable development sensitive to sub-regional needs</p> <p>Provision of an up to date framework to assist on-going implementation processes and programmes and the prioritisation of resource bids within them</p>	<p>Strategic Adviser Implementation WMRA</p>
15.3		<p>Ensure that the WMRSS Implementation Plan is used as a framework to help guide on-going regional implementation processes, programmes and priorities.</p>	<p>Contribute to inter-agency discussions on regional investment priorities</p> <p>Q1/2 ☺ Q3/Q4</p>	<p>Clearer justification for regional priorities and their integrated links with the WMRSS and other regional policies</p>	<p>Strategic Advisor Implementation WMRA</p>
16.1	£194,150 [WS16]	<p>Provide an objective and cost effective assessment of the impact and implementation of the RSS</p>	<p>Data questionnaire issued. Q1 ☺</p> <p>Deadline for data returns. Q3</p> <p>Publish statutory Annual Monitoring Report and satisfy all associated requirements. Q4</p> <p>This will be supported by the following reports & activities:-</p>	<p>To establish progress towards the policies and objectives expressed in the RSS and provide an evidence base for policy review</p>	<p>Strategic Advisor Monitoring WMRA</p>
16.2		<p>To develop monitoring so that the interplay between policy areas and the RSS with other strategies are fully developed.</p>	<ol style="list-style-type: none"> 1) Policy Lead Progress Reports Q3&1 2) Publish Employment Land Study Q3 3) Publish Housing Market Report Q3 5) Annual Stakeholder Conference. Q2. ☺ 6) Policy Lead Progress Reports on 	<p>Provide WMRA and its partners with an enhanced understanding of the regional context and interplay with other strategies</p>	<p>SA Monitoring with</p> <ol style="list-style-type: none"> 2) B'ham 4) Worc CC 6) Worc CC

			Monitoring Q3&1		
16.3		Maintain linkages between the RES and RSS Monitoring frameworks post SNR	Implications for RSS monitoring from SIRS is fed into the annual review process. ☹️	Complementary monitoring of RSS and RES to enable effective approach to the monitoring of the Single Integrated Regional Strategy	SA Monitoring WMRA
17.1	£19,800 [WS 17]	Providing advice and an opinion of general conformity with the WMRSS on Local Development Documents	100% of advice provided to Local Planning Authorities within statutory timescales Q1/2/3/4 ☺️ Conformity Advisers Monitoring Reports Q1&3	Effective implementation of the WMRSS	Snr Advisor Conformity LAs
17.2		Providing WMRSS general conformity advice on planning applications of regional significance	100% of advice provided to Local Planning Authorities within statutory timescales Q1/2☺️ Q3/4	Effective implementation of the WMRSS	Snr Advisor Conformity WMRA
17.3		Providing general conformity advice with the WMRSS in respect of pre-application enquiries.	100% of advice provided to the relevant enquirers within statutory timescales Q1/2 ☺️ Q3/4	Effective implementation of the WMRSS	Snr Advisor Conformity WMRA

WMRSS REVISION PHASE, Two and Three and Partner Engagement (Work strands 18a, 18b, 18c and 20)

Strategic Objective: Implement the WMRSS in line with Government guidance, and agreed time-tables.

Risk Assessment:

[18a.3] Insufficient resources to undertake technical work required to support the representations on the Proposed Changes – Mitigation; Effectively use funding resources and prioritise technical work required to support the representations and draw upon partner organisations to provide..

[18b.2] Failure to adequately engage with GT&Ts on Options consultation – Mitigation: Engagement with GOWM/DCLG and Housing Team to ensure sufficient funding levels. And review budget together with priorities.

[18b.5] Insufficient resources to publish Preferred Option – Mitigation: Engagement with GOWM/DCLG to ensure sufficient funding levels. And review budget together with priorities.

[18b.6] Failure to adequately engage with GT&Ts on Draft Preferred Option consultation – Mitigation: Engagement with GOWM/DCLG and Housing Team to ensure sufficient funding levels. And review budget together with priorities. .

[18c.2] Insufficient resources to obtain consultancy support required to provide specialist advice to RPB – Mitigation; Effectively use funding resources and prioritise consultancy input required to support the EiP and, where appropriate, draw upon partner organisations.

[20.1] Poor engagement from key sectors due to no funding support – Mitigation; Continue to encourage engagement via Board Members and WMRSS consultation.

No.	INPUT £	Process	Outputs (KPI)	Outcome	Who
18a.1	Phase 2 £62,000	Analysis of Phase Two EiP Panel report and consideration of issues arising that need RPB action.	Analysis of Panel report and issues arising reported to RPB. Q3	Ensure the RPB is aware of the Panel's recommendations to the Secretary of State and any issues arising.	Head of Planning WMRA
18a.2		Analysis of Phase Two Proposed Changes and preparation of RPB response.	RPB response to Proposed Changes submitted to Secretary of State. Q4	Ensure that the RPB's views on the Proposed Changes are presented to the Secretary of State.	HOP WMRA
18a.3		Technical Work to address issues identified by the Panel and to support representations to be made to the Proposed Changes. Specific areas of work to be determined in the light of publication of EiP report and Proposed Changes.	Technical Work commenced. Q2&3 😊 Technical Work completed prior to submission of response to Proposed Changes. Q4	Evidence base to support the Region's case in response to Panel report and Proposed Changes.	HOP WMRA
18b.1	Phase 3 £225,716	Produce Phase Three Options Consultation document	Publish Phase Three Options Consultation document Q2 😊	Statutory consultation on draft Options completed	HOP WMRA
18b.2		Phase Three Options Consultation with Gypsies, Travellers and Travelling Showpeople (GT&T)	Options Consultation document for GT&T Sub-regional workshops Q2 😊	Consultation with GT&T interests completed	WMRA Head of Housing
18b.3		Analysis of Options consultation responses	Options consultation responses report Q2 now Q3 😊	Responses to Options consultation taken into account in development of Preferred Option	WMRA Policy Leads
18b.4		Technical work to support development of Policy Statements/ Recommendations	Technical studies to support development of Policy Statements/ Recommendations . Q3 😊	Robust evidence-based Policy Statements/ Recommendations	HOP Policy Leads
18b.5		Develop Phase Three Policy Statements/ Recommendations	Draft Policy Statements/ Recommendations Q3&4 Policy Statements/ Recommendations Q4	Publication of Policy Statements/ Recommendations	HOP Policy Leads

18b.6		Phase Three Draft Policy Statement Consultation with Gypsies, Travellers and Travelling Showpeople (GT&T)	Sub-regional workshops Q4 Policy Statements Consultation document for GT&T Q4	Consultation with GT&T interests completed	WMRA Head of Housing
18b.7		Assessment of Draft Policy Statements/ Recommendations <ul style="list-style-type: none"> • Sustainability Appraisal of Options (see WS 27) • Rural proofing (see WS35) • Habitat Regulation Assessment 	Draft SA/SEA and Rural Proofing of Phase Three Policy Statements/ Recommendations Q3 SA/SEA and Rural Proofing of Phase Three Policy Statements/ Recommendations completed. Q4	Emerging policies for consultation adequately reflect sustainability and rural issues and possible tests of soundness.	Strategic Adviser Env WMRA
75 18b.8		Phase Three Communication Activity To ensure stakeholder activity and engagement in Phase Three Process.	Events or publications that facilitate Stakeholder engagement in the development of the Phase Three Policy Statements/ Recommendations . Q2, 3 & 4 😊	Greater Regional representation and Participation in Assembly activities.	Head of Comms WMRA
18c.1	CLG c/fwd £100,000 Estimated Partner £30,000	Representation of the RPB at the EiP to explain and promote the submitted WMRSS Phase Two Revision Draft	Representation of the RPB at all sessions at the EiP Q1 😊	To explain and promote the WMRSS Phase Two Revision Draft submitted by the RPB	HOP WMRA
18c.2		Consultancy support at EiP to provide specialist advice	Representation of RPB at all sessions at the EiP Q1 😊	To underpin the Region's case at the EiP	HOP WMRA

URBAN AND RURAL RENAISSANCE (Work Strand 19)

Strategic Objective: Secure vibrant and sustainable communities in urban and rural areas through the implementation of the WMRSS

No.	INPUT £	Process	Outputs (KPI)	Outcome	Who
19.1	£17,550	Support the development of the Rural Renaissance agenda via WMRSS and Phase Three Revision	Policy Lead Progress Reports Q3&1 Rural reference Group and Partners engaged and influencing work plan and technical reports. Q4	Rural communities enhanced in accordance with the WMRSS.	Shrops CC WMRA with key rural partners

19.2		Support for Urban Renaissance Agenda via City Region and sub regional initiatives such as the North Staffordshire Regeneration Partnership. Present evidence to the WMRSS Phase Two Revision Examination in Public.	City Region and sub regional activity clarified and agreement gained to coordinate investment to deliver added value and speed up urban renaissance. Q4	Sub regional initiatives which contribute to the delivery of Urban Renaissance	City Region and sub regional partners inc WMRA
19.3		Advocate the WMRSS Renaissance Agenda via other strategies, organisations and initiatives	External strategies and initiatives with positive links to the WMRSS renaissance agenda. Q4	Renaissance of urban and rural communities in the region.	All regional and sub regional partners

PARTNERING AND ENGAGEMENT (Work Strand 20)

No.	INPUT £	Process	Outputs (KPI)	Outcome	Who
20.1	£0	Seek method to ensure effective partner engagement in SIRS	Agreed method of engagement Q2 ☺ There has been more progress with the Business sector than the Other Stakeholder group, but is still in development for both.	A smooth transition from RSS policies into a SIRS that can be owned by all significant regional partners and which continues to promote urban and rural renaissance.	CEO WMRA

TRANSPORT (Work strand 22)

Strategic Objective:

Implement the Regional Transport Strategy component of the WMRSS, in line with Government guidance, and agreed time-tables.

Risk Assessment:

[22.4] Insufficient resource and capacity – Mitigation: Work with partners to explore funding opportunities

No.	INPUT £	Process	Outputs (KPI)	Outcome	Who
22.1	£32,550	Support WMRSS Revision Phases Two and Three providing input to the Examination in Public process and developing policy options for Phase Three.	Policy Lead Progress Reports that demonstrate timely engagement with processes Q3 and Q1	Behavioural and cultural changes that support the WMRSS	WMRA Strategic Adviser (SA) Transport Policy Lead (Staffs)

22.2		Responding to regional partners' agreement for the need to provide an independent monitoring process to enable effective management of the transport component of the RFA.	Independently monitored RFA transport. Q1, Q2, 😊 Q3 and Q4	Effective tool to enable partners to manage the RFA transport programme.	SA Transport with Regional Transport Officer Sub Group
22.3		Complete transport component of the Region's Climate Change Action Plan (action P5)	Scoping report that provides action plan and input to SIRS evidence base. Q3 and Q4 😊	Clear proposition for how regional transport will address national targets This needs to be aligned with the DaSTS activity 22.4	SA Transport and Policy Lead (Staffs) with regional partners (particularly local transport authorities and AWM)
22.4		Produce evidence base to input to the DaSTS White Paper and support the development of SIRS	Robust evidence base that is appropriate for Q1, Q2, 😊 Q3 and Q4	Appropriate inputs to the emerging White Paper and relevant acknowledgement of transport strategy, policy and delivery issues in the SIRS	SA Transport with Policy Lead (Staffs)

HOUSING (Work Strand 25)

Strategic Objective: Support Phases Two and Three of the WMRSS Revision and prepare for a Partial Revision to the Regional Housing Strategy

Risk Assessment:

[25.1] Insufficient affordable housing being delivered - increased risk due to current economic climate and credit crunch – Mitigation: Promote affordable housing guide. Review performance of delivery agents and take action. Continue to work with sub-regional HMAs and reinforce Government's AH delivery agenda. Continue work with the Housing Corporation / HCA and National Housing Federation.

[25.8] Lack of support from sub-regional HMAs and partners due to uncertainties posed by SNR. Risk grows as SNR uncertainty and end of WMRA comes closer. Local authorities less inclined to have regard to WMRA's influence – Mitigation: Seek greater collaboration with GOWM, HCA and AWM to continue to endorse regional and sub-regional messages

No.	INPUT £	Process	Outputs (KPI)	Outcome	Who
25.1	CLG £22,500	Support Phase Two of the WMRSS Revision process - To maintain the Regional consensus on the accommodation of the housing numbers within the Preferred Option and to support the EIP process in April - June 2009	Policy Lead Progress Reports and written statements WMRSS ph. Two EIP Q1 ☺	Secretary of State confirms outcome of WMRSS Phase Two revision That the housing numbers are delivered in locations which are able to absorb growth in a sustainable manner	Head of Housing with Policy Lead (Staffs CC)
25.2		Support Phase Three of the WMRSS Revision process	Launch Options for revised G & T planning policy and new policy for Travelling Showpeople – hold public consultation events Q2 ☺ Develop Preferred Option for the accommodation of additional G & T sites and Travelling Showpeople sites Q3 / 4	Supporting the RPB in the preparation of Gypsy and Traveller options and preferred option for WMRSS Phase Three New WMRSS G&T / travelling showpeople Policies which meet the needs of both the travelling and settled communities	Head of Housing WMRA
25.3	Estimated Partners Funds £89,987	Administration of the Gypsy and Traveller Site Grant Programme (G&TSGP) by GOWM and HCA and promotion of greater provision by local authorities with GTU and GOWM	RHE to receive bids submitted to G&TSGP and provide a Regional evaluation / recommendation to Ministers. Q3/4	Investment aimed to address shortfall in supply of pitches and improvement in the quality of existing pitches	Head of Housing Annual CLG bids round

25.4		Monitoring	<p>a) To input into the WMRSS Annual Monitoring Report and Annual Housing Market Summary Q3</p> <p>b) To strengthen the monitoring of Capital Housing spend as required by CLG Q4</p> <p>c) To monitor the spend of the national affordable housing programme (NAHP)</p> <p>Q1/2 😊 Q3/4</p>	To provide Regional Housing Executive (RHE) with clarity on performance /delivery of targets of local authorities and RSLs against RHS and WMRSS policies	Head of Housing WMRA
25.5		Advise and co-ordinate the work of the four sub-regional Housing Market Area (HMA) Partnerships to implement the Regional Housing Strategy (RHS)	To support and steer the sub-regional HMA Partnerships in the development of their Sub-Regional Housing Strategies and Single Conversation with the Homes and Communities Agency, to ensure optimum take-up and delivery of Regional Housing Pot resources. To ensure closer working between housing and planning. Q1/2 😊 Q3/4	Sub-regional implementation of the RHS, assisted through an improved understanding of the sub-regional drivers on housing markets/choices, and the resulting strategies required to deliver mixed and balanced communities.	Head of Housing WMRA
25.6		Housing Research Programme to re-fresh shared evidence base and to feed this into issues for the re-fresh of Regional Housing Strategic policy (whether RHS revision or SIRS)	To commission a re-fresh of shared evidence base data and updating research to enable a partial revision of RHS to be undertaken and to update the data which underpinned the RHS 2005. Q1/2 😊 Q3/4	To complete preparations for a partial revision to RHS / contribute to SIRS and continuously improve the evidence base supporting the RHS and the WMRSS, to ensure a sound basis for housing investment decisions	Head of Housing WMRA
25.7		To continue a good working relationship with the new Homes and Communities Agency (HCA) to assist the facilitation of the HCAs Single Conversation with the Sub-Regional Housing Market Area Partnerships To continue working with the National Housing and Planning	Contribute to Government consultations, policy forums and transitional working arrangements as required. Q1/2 😊 Q3/4	To contribute advice to influence the re-organisation of Regional structures and future development of Regional Housing policy, to support delivery of the National Affordable Housing Programme and capital housing allocations to local authorities	Head of Housing WMRA

		Advisory Unit (NHPAU). To continue a good working relationship with Advantage West Midlands (RDA) and undertake joint working on research programmes			
25.8		Single Integrated Regional Strategy (SIRS)	Provide input to the Housing content of the SIRS. Q1/2 😊 Q3/4	To ensure the democratic voice of Local Government and needs of vulnerable groups (e.g. Supported People, Voluntary Sector) are adequately reflected within future Regional Housing Policy	Head of Housing subject to CLG consultation processes WMRA
25.9		Continued expansion of the Kick Start Programme and delivery of all aspects of the Programme	Continue to support local authorities within the Kick Start Partnership to ensure continued regional roll out of the Programme and its range of services, particularly the model for equity loan / home improvement release and the secured private finance. Q1/2 😊 Q3/4	Agreed roll out by sub-regional housing market area and delivery of the Programme.	Head of Housing support to Kick Start Partnership with Birmingham City Council as accountable body

ENVIRONMENT AND WASTE PLANNING (Work Strand 26)

Strategic Objective: Support Phases One, Two and Three of the WMRSS Revision and ensure that new Government guidance on Environment and Waste is heeded and put into practice at the regional level.

No.	INPUT £	Process	Outputs	Outcome	Who
26.1	£39,150	Development of policy and technical work into WMRSS Phase Three Preferred Option	Policy Lead Progress Reports. Q3&1	Preparation of policy to support development of WMRSS Preferred Option.	Strategic Adviser Environment with Solihull & Staff CC

26.2		Participation and preparation for WMRSS Phase Two EiP	Statements prepared Q1 😊	Regional Waste Strategy within the WMRSS. Cross cutting policy on climate change and sustainable communities in WMRSS.	SA Environment and policy leads
26.3		Work with regional agencies NE, EA, EH ,FC etc to secure mutual and shared benefits and engagement in regional policy work	Develop reviews of Regional Biodiversity Strategy Q4 and Regional Forestry Framework Q4	Improved Protection and enhancement of the natural environment	Various partners, dates yet to be agreed SA Environment WMRA/Partners

SUSTAINABLE DEVELOPMENT (Work Strand 27)

Strategic Objective: Support Phases One, Two and Three of the WMRSS Revision by ensuring a robust Sustainability Appraisal is in place. Leading the West Midlands climate change agenda.

No.	INPUT £	Process	Outputs (KPI)	Outcome	Who
27.1	£21,996	Sustainability Appraisal (SA) of WMRSS Phase Three Revision	SA of Phase Three Options Q2 😊 SA of Phase Three Draft Policy Statements and Recommendations . Q4	Fulfill mandatory requirement for WMRSS under Section 39(2) Planning & Compulsory Purchase Act 2004	Policy officer & HOP (WMRA)
27.2		Contributing actions to Delivery of the Regional Climate Change Action Plan including work to deliver action C4 of the Region's Climate Change Action Plan to encourage and support Local Authorities	Development of a regional Climate Change Officer Network with associated resources (meetings, newsletter, website) Q3/Q4	Fulfill commitments of WMRA in Regional Climate Change Action Plan Improved partnership working and dissemination of information. Reduced CO ₂ emissions through more efficient LA activity.	SA Environment & Policy Officer (WMRA)



27.3		(a) Support Sustainability West Midlands to act as SD independent advisor/champion to the Assembly and support West Midlands Sustainable Development Officers Network to secure professional and policy advice (b) Promote RSDF and its use in development and review of all regional strategies	Monitoring Report provided by SWM. Q4	Demonstrate leadership on SD as outlined in DTI/ ODPM/DEFRA's "Securing The Region's Futures"	SWM
				Integration of SD principles	SWM/WMRA

ECONOMY AND ECONOMIC DEVELOPMENT (Work Strand 28)

Strategic Objective: Work closely with AWM and other regional partners ensure detailed input the development of the SIRS

No.	INPUT £	Process	Outputs (KPI)	Outcome	Who
28.1	£10,000	Work with AWM and RFL to shape the development of Single Integrated Regional Strategy and its evidence base, plus the necessary decision making and technical structures.	Develop and implement transition plan. Q4	Establish robust regional arrangements for delivering sustainable economic growth.	WMRA/ / Local Authorities / AWM and key partners.
28.2		Continue to support the Regional Economic Development Officers Group	Regular bi-monthly meetings and collective advice on policy development as required. Q1,2☺ Q3,4	WMRA partners inputs included in strategies and delivery mechanisms.	WMRA/Local Authorities / key partners
28.3		Work with AWM, local authorities and other key partners to help shape sub regional economic delivery arrangements as part of SNR.	Agreement between partners on nature of sub-regional arrangements required to deliver SNR. Q4	Effective sub-regional delivery mechanisms for sustainable economic growth.	WMRA/Local Authorities / key partners
28.4		Work with partners to develop positive responses to the current financial situation	Identification and support for interventions which mitigate impact on region and bring forward economic opportunities and regeneration. Q1,2☺ Q3,4	Mitigation of downturn on communities. Continued implementation of spatial and economic priorities during the downturn.	WMRA/Local Authorities / key partners

Work Strands - Scrutiny & Strategic Review

SCRUTINY AND STRATEGIC REVIEW (Work Strand 30) – including carried forward activities from 2008-09					
Strategic Objective: Provide a robust scrutiny process over AWM's activities and working with regional partners to undertake strategic reviews of key policies and activities to secure greater co-ordination and impact of regional strategies and partnership working.					
Risk Assessment: [30.1] Lack of resources to complete scrutiny work programme; Mitigation - Working with partners to deliver final year commitments					
Task	INPUT £	Process	Outputs (KPI)	Outcome	Who
30.1	£2,500	Completion scrutiny review of Advantage West Midlands: Business Support delivered by Business Link West Midlands	Completion of review and final report produced in Q1 	<ul style="list-style-type: none"> Improved understanding of AWM role Clarification of issues Improved effectiveness of AWM intervention in areas of failure 	Regional Scrutiny Manager & Regional Scrutiny Support Officer
30.2		Ongoing Scrutiny of AWM <ul style="list-style-type: none"> AWM annual report Comments on AWM Corporate documents 	Annual Report to Assembly Q3 Submissions to AWM as requested 😊	Transparent accountability Reinforcing scrutiny issues	Regional Scrutiny Manager
30.3		ERN Regional Accountability Group	4 meetings Q1/2/3/4 	Shared good practice	Regional Scrutiny Manager with Assemblies and partners

Work Strands – Policy Integration & Development

HEALTH (Work strand 31)					
Strategic Objective: Lead the development of Regional Health and Well-Being Strategy					
	INPUT £	Process	Outputs (KPI)	Outcome	Who
31.1	£0	Agree the Working Regional Health and Wellbeing action plan to take forward the Regional Health and Wellbeing Strategy	Action plan agreed and signed up to by partners. Q1 😊	Agreed Regional Health and Wellbeing action plan and actions initiated as set out in the Action Plan	RHP
31.2	Project Funded	Lead and support the delivery of the Big Lottery project portfolio 'Living Well in the WM'	Projects delivering in accordance with milestones set out in their agreements Q1/2 😊 Q3/4 year 2	Project outcomes and outputs agreed with the Big Lottery are met	Living Well Director / WMRA
31.3		Monitor and evaluate the Living Well in the West Midlands	Monitoring systems for the projects set up and in place; Evaluation framework agreed and used to inform work on a quarterly basis Q2 😊	Quarterly reports to BIG and the Assembly with an Annual report in Q4	Living Well Director / WMRA
EUROPE (Work Strand 32)					
Strategic Objective: Ensure the West Midlands is able to influence EU policy and funding programmes to benefit the Region.					
No.	INPUT £	Process	Outputs	Outcome	Who
32.1	£0	Continue to implement new governance arrangements for European working to support key priorities of the European Strategy. Link ESB priorities to SIRS	New governance arrangements in place. Done, and ongoing, delivering strategy 😊 Reports of working groups progress to European Strategy Board. Done and ongoing, delivering strategy 😊 Contribution to visioning of SIRS - highlighting the European aspect of SIRS priorities.	Four priority groups working to Strategic European Officers Group to deliver the European strategy Clear European context 😊demonstrated within the SIRS	Strategic Adviser Europe WMRA/AWM

32.2	Project Funded	Further develop EU Connects to facilitate transnational working– to include Life and Marie Curie programmes, and a rural bidding champion. Ensure external funding initially to 2011 and subsequently on to 2013	Unit expanded and working to deliver project plan with future external funding secured. Q1/2 😊 Q3/4	Enhanced partner resource for better co-ordination of specific elements of transnational activity, such as partner search Additional EU funds to region. 😊	SA Europe WMRA /EU Connects
32.3		Continue to Lead transnational priority of the new EU Competitiveness and Employment programme. Concentrating on proposals designed to overcome specific regional economic weaknesses as identified in the Operational Programming document	Priority delivery plan in place projects commissioned. Ongoing 😊	Partners able to work with and learn from other EU regions to meet specific regional economic underperformance, such as the low level of collaboration between universities and business in exploiting commercially viable innovation.	SA Europe/ AWM
32.4	Project Funded	Work with LSC to deliver WM Co-financing Action Plan (funded via ESDF funds)	ESF Co financing manager, and Assistant in post Done Projects beginning to deliver outputs, Q4	Significant WMLB influence over £200m programme	SA Europe WMRA/ Co financing manager

COMMUNITY COHESION [Equality & Diversity] (Work Strand 33)

Strategic Objective: Lead the development of the Region's Community Cohesion agenda.

No.	INPUT £	Process	Outputs (KPI)	Outcome	Who
33.1	Subject to Partner Funding	Develop & oversee implementation of the 2009/10 Action Plan for the Equality & Diversity Partnership, with particular reference to community cohesion	Action Plan for 2009 /10 Q1 😊 This was revised to take account of the successful OPEN project bid and the reorganisation of the E&D partnership as a group, now sitting under the Economic Inclusion Panel Regional Leaders' Summit Q4	Improvements in relation to equality & diversity, social inclusion and community cohesion issues across the region and the "equalities" strands	Director Equalities & Diversity WMRA/EDP

33.2		Continue to work with the regional Equality and Human Rights Commission (EHRC) West Midlands in an advisory capacity	Joint events planned and hosted on key issues throughout the year. We continue to work with EHRC as required	Events on various “equality” strands that meet the needs of both employers and employees	Director E&D
33.3		Provide expert advice on Equality & Diversity, community cohesion and Social Inclusion issues to regional strategies, including RES/WMRSS/RHS Scrutiny Reviews	Reports on the findings for submission to WMRA As required Q1/2/3/4 😊 As necessary	Equality & diversity, social inclusion and community cohesion issues and solutions identified in regional strategies	See work strands 18, 19 and 31
33.4		National Strategies and the European Agenda.	Provide WMRA input into relevant national & EU agendas as required and support the European Social Cohesion Group As required Q1/2/3/4 😊 As necessary	Better understanding of WM community cohesion agenda by Government & EU; delivery of OPEN project	Director E&D

CULTURE (Work Strand 34a)

Strategic Objective: Support the development of the Cultural Strategy and the regions work into 2012 London Olympics.

No.	INPUT £	Process	Outputs (KPI)	Outcome	Who
34a.1	£0	Support policy lead on Phase Three of the WMRSS Revision by ensuring input from the cultural sector	Development of cultural planning Options. Q1 😊 Cultural input into the shaping of a Preferred Option Q2 😊 Q3,4	Cultural input into WMRSS Revision will contribute to the urban/rural renaissance of the Region and help create vibrant sustainable communities	[See WS18] Policy lead Sport England With WMRA & WM Cultural sector input
34a.3		Ensure Culture is fully embedded within the Strategy for the West Midlands	Engagement with key decision makers to champion the importance of culture at a strategic level Q1,2, 😊 Q3,4	Cultural input within the Strategy for the West Midlands will ensure a holistic approach to Regional policy	WMRA

SKILLS (Work Strand 34b)

Strategic Objective: Raise the profile of the regional skills agenda in conjunction with regional partners inc. AWM and LSC.

No.	INPUT £	Process	Outputs	Outcome	Who
34b1	£0	Supporting the Regional Skills Partnership (RSP)	Continuing Assembly involvement in the RSP Board Q1/2 😊 Q3/4	Improved two way information Informed and co-ordinated local and regional activity	Head LG Policy WMRA
34b.2		Ensuring WMRSS and WMRES consistent on skills issues in terms of policy/implementation and delivery	Co-ordination of WMRES Delivery Framework and WMRSS Revision processes. Q1/2 😊 Q3/4	Integration between WMRSS and WMRES on regional skills issues	WMRA / AWM
34b.3		Engagement in the further development of the Regional Skills Action Plan	Broad based revised Action Plan incorporating the roles and responsibilities of local authorities and other Assembly partners. Q4	More joined-up and effective Skills Action Plan.	WMRA/RSP/ AWM/LSC
34b.4		Ensure skills is integrated with 14-19 changes in developing SIRS	Skills properly integrated into Strategy for the West Midlands Q1/2 😊 Q3/4	More effective regional policy.	WMRA/ WMLB/LAs/ LSC/AoC/RSP
34b.5		Ensure the approach taken to rural skills is broader than the traditional land based industries	More appropriate programmes and qualifications for rural areas. Q1/2 😊 Q3/4	Skills support in rural areas meets the needs of individuals and communities.	WMRA/LSC/ LANTRA

RURAL (Work Strand 35)

Strategic Objective: Ensure that rural issues are adequately reflected into regional work and policy.

No.	INPUT £	Process	Outputs (KPI)	Outcome	Who
35.1	£0 (see WS37)	Engagement of the rural interests in regional working and policy development	Support for and engagement with the WM Rural Affairs Forum, the WMRAF Management Committee and Secretariat. Q4	The profile of rural issues and priorities raised in the region. Body of expertise providing support and advice on regional strategies and initiatives which are appropriate for rural areas	Forestry & Rural Affairs Manager WMRA

35.2		Supporting rural policy design development and delivery	Support from WMRA to facilitate the engagement with regional partners and delivery agents. Q4	Effective delivery agencies working at a strategic level to provide technical advice and to ensure that service delivery to rural communities and areas is not unduly disadvantaged	Regional Partners
35.3		Establishment of effective rural stakeholder specialist task groups properly working with WMRAF to rural proof high level strategies and policies	Coordination and support to Task Groups as required: 😊 <ul style="list-style-type: none"> • WMES Connecting to Success implementation • WMRSS Phase 3 Revision • WM Regional Culture Strategy • European funded programmes • Others as required 	Rural areas valued and benefiting from sustainable economic growth, minimised environmental impacts and strengthened communities re not unduly disadvantaged	FRAM with regional partners
35.4		Ensure the approach taken rural skills is broader than the traditional land based industries (see 34b.7 above)	(see 34b.7 above) 😊	(see 34b.7 above)	(see 34b.7 above)

FORESTRY (Work Strand 37)

Strategic Objective: Secure a strong Forestry Framework which influences and supports other key regional strategies.

No.	INPUT £	Process	Outputs (KPI)	Outcome	Who
37.1	Estimated Partner funds £80,000	Lead the development and implementation of the West Midlands Regional Forestry Framework (WMRFF)	Preparation of the rolling action plan 2009-2012 Q1 😊 and completing the fifth year of implementation Q4	Viable inclusive forestry and woodland sector benefiting from co-ordinated activity, closer partnership and networking	WMRFF
37.2		Collecting and collating data and information in order to compile the Annual Report 2007-2008	Publishing Annual Report 2008-2009. Q2 😊	Providing Forum partners, networks and stakeholders with an enhanced understanding of progress of the WMRFF	WMRFF

37.3		Linking the work of the Action Plan Manager to the Assembly policy partnerships and WMRSS Implementation, ensuring a forestry dimension to all policy development/implementation	Reports and updates for Assembly task groups, officer groups and partnerships. Q4	Forestry policy effectively driven into other WMRSS implementation	WMRFF
37.4		Lead the refresh of the West Midlands Regional Forestry Framework (WMRFF) aligning it with new England Strategy and key regional strategies (WMRSS and WMES)	Refreshed Regional Forestry Framework. Q4	Viable inclusive forestry and woodland sector benefiting from co-ordinated activity, closer partnership and networking and contributing to the wider regional agenda	WMRFF

2009-10 Risk Register

Appendix A

The Assembly has undertaken a risk analysis for all work strands. This involved the assessment of a range of likely threats or challenges against a matrix of three levels of likelihood (chance) and consequences (impact) giving a numerical value to indicate priority.

Work Strand Number	Description of Risk	Likelihood x Impact						Risk Value	Timescale Long / Medium/ Short term	Control and Mitigation (Current and future actions)
		H	M	L	H	M	L			
		3	2	1	3	2	1			
Staffing 10.1	Insufficient staff resource to effectively deliver the work programme; exacerbated by EiP	X	X		X			9 6	Short	Redeployment Policy in place; fast and efficient recruitment; Change Management Plan to provide reassurance to staff, regular staff briefings; contingency budget to support EiP Risk reduces as year progresses and EiP completed
Training 11.1	Insufficient training budget to support/develop staff	X	X			X		6 4	Short	Combined WMLB/WMRA training budget carried forward into 2009-10 may provide some support/buffer Staff savings on empty posts used to support training needs
13.1	Impact on staff (10.1) partners (13.2) and financial ability to deal with the cost implications	X			X			9	Short/ Medium	Change Management Plan to minimise impact on staff and ensure good practice in HR management and legal compliance. Utilise reserves for wind-up costs, etc. Influence the transition process to ensure continued partnership approach to the SIRS and local government leadership.
13.4	Poor/no succession arrangements may impact on sign up to the Memorandum of Understanding		X		X			6	Medium	To ensure competent successor body is identified and future proof partner engagement and buy-in to new regional arrangements.
Comms 14.1	Lack of resources to effectively deliver Communications to support WMRSS, RBP, RHE	X				X		6	Short	Improved time-tabling of events and publications to secure shared costs and/or economies of scale. Stricter prioritisation of work load
14.2	Reputation damaged due to negative press coverage		X			X		4	Short	Build up current levels of engagement with Regional Media
14.3	FOI – not responded to within timescales			X	X			3	Short	Ensure colleagues notify FOI lead as soon as the request is received to ensure maximum time period is available to respond to request

Work Strand	Description of Risk	Likelihood x Impact					Risk Value	Timescale	Control and Mitigation (Current and future actions)
Imp'tation 15.1	Failure to engage effectively key partners in the WMRSS Implementation Group (e.g. through lack of officer capacity)		X			X		4	Short/ Medium All sub-regions are fully committed to engagement in the Group but member 'substitutes' could be identified. As the focus changes, continue to build on existing partnership arrangements and contacts with key agencies and partners. Demonstrate to authorities the important role of the Group in supporting and presenting the WMRA case at the EiP in April, 2009 – Successful EiP
	Inadequate resources available to support the work of the Group		X		X			6	
15.2	Insufficient funds to take forward the development of the Implementation Plan post EiP. Failure of some sub-regions to provide an adequate input to the Implementation Plan Failure to progress integration with the RES delivery framework Failure to demonstrate adequately the deliverability of the WMRSS at the EiP Failure to provide appropriate updating of Implementation Plan to incorporate Phase 3 revisions		X			X		6	Short/ Medium Continue to ensure that there is a collective commitment to the updating of the Implementation Plan at a high level both within strategic authorities and other partner organisations Further utilise the partnership-based approach employed for the previous work. Initiate closer team working with AWM
15.3	Failure of on-going implementation programmes and priorities to take adequate account of the WMRSS Implementation Plan		X			X		6	
Monitoring 16.1	DCLG increase monitoring requirement without commensurate increase in resource allocation.		X			X		4	Medium Via ERN ensure monitoring requirements are kept at a reasonable and realistic level.
16.2	Failure to produce monitoring reports due to lack of resources	X	X			X		4 6†	Short/ Medium Capacity constraints are impacting on the delivery of the Housing Supplementary Report. Detailed planning and prioritisation of the elements of this work stream. Regular review of timetable and priorities in the light of available resources.

Work Strand	Description of Risk	Likelihood x Impact						Risk Value	Timescale	Control and Mitigation (Current and future actions)
			X			X				
16.3	Lack of clarity about monitoring arrangements post SNR		X			X		4	Medium/long	Active engagement in planning post SNR and close working with key partners to ensure integration of monitoring activities.
Conformity 17.1	RPB unable to attend Public Examinations and Inquiries to assist Planning Inspectorate and defend the WMRSS.	X				X		6	Medium	Attendance can be controlled by giving well considered advice and engaging in front loading of Documents so issues are minimised in advance. Conformity advice is clear, comprehensive, consistent and written in such a way as to serve as written reps to Public Examinations.
WMRSS Phase 2 Revision 18a.1	Failure to undertake further work in light of EiP Panel report.		X		X			6	Medium	To prepare a detailed project work plan with key milestones and monitor its implementation. To hold regular officer meetings to develop a response and monitor progress.
18a.2	Failure to prepare RPB representations on the Proposed Changes on time.			X	X			3	Medium	To prepare a detailed project work plan with key milestones and monitor its implementation. To hold regular officer meetings to develop a response and monitor progress.
	Delays with GOWM/DCLG dealing Proposed Changes put at risk timely final Government approval	X			X			9	Short/medium	High level liaison with GOWM and CLG pressure via the ERN
18a.3	Insufficient resources to undertake technical work required to support the representations on the Proposed Changes.	X			X			9	Medium	Effectively use funding resources and prioritise technical work required to support the representations and, where appropriate, draw upon partner organisations.
18b.1	Insufficient resources to publish Options consultation document			X	X			3	Short	Engagement with GOWM/DCLG to ensure sufficient funding levels. And review budget together with priorities.
18b.2	Failure to adequately engage with GT&Ts on Options consultation.	X			X			9	Short	Engagement with GOWM/DCLG and Housing Team to ensure sufficient funding levels. And review budget together with priorities.
18b.3	Insufficient resources to undertake commission consultancy support to analyse consultation responses	X			X			6	Short/Medium	Effectively use funding resources and prioritise technical work required to support the development of Options and draw upon partner organisations to provide.
WMRSS Phase 3 Revision 18b.4	Insufficient resources to undertake technical work	X			X			6	Short	Effectively use funding resources and prioritise technical work required to support the development of Preferred Option and seek to draw upon partner organisations to provide.

Work Strand	Description of Risk	Likelihood x Impact					Risk Value	Timescale	Control and Mitigation (Current and future actions)
		X			X				
18b.5	Insufficient resources to publish Preferred Option Interim Policy Statements	X			X		9		Engagement with GOWM/DCLG to ensure sufficient funding levels. Review budget priorities following abandonment of work on Preferred Option
18b.6	Failure to adequately engage with GT&Ts on Draft Preferred Option consultation Interim Policy Statements	X			X		9	Medium	Engagement with GOWM/DCLG and Housing Team to ensure sufficient funding levels. Review budget priorities and recommission Pat Niner, CURS
18b.7	Failure to integrate the SA/SEA/HRA/Rural Proofing into the development of Options Interim Policy Statements			X	X		3	Short/ Medium	Engagement with GOWM/DCLG to ensure sufficient funding levels. Review budget priorities and reallocate resources following abandonment of work on the preferred option
18b.8	Lack of stakeholder involvement in preparation of policy advice for the Strategy due to resource and/or time constraints		X		X		6	Short/ Medium	Integrate stakeholder engagement activities into the overall work plan to ensure stakeholder input at key stages. Draw on existing groups and networks, including Partnership, officer and Reference Groups to ensure wide engagement through tested channels.
18c.1	Failure to effectively represent the RPB at the Phase 2 EiP, e.g. due to sickness of key staff		X		X		6	Short	To prepare a detailed project work plan with key milestones, incl. contingency plan, and monitor its implementation. To hold regular officer meetings to develop a response and monitor progress.
18c.2	Insufficient resources to obtain consultancy support required to provide specialist advice to RPB	X			X		9	Short	Effectively use funding resources and prioritise consultancy input required to support the EiP and, where appropriate, draw upon partner organisations.
18d	Failure to integrate RSS Phase 3 policy areas into preparatory work for new Strategy for the West Midlands with ongoing work on RSS revision		X		X		6	Medium	Close liaison with RSS Policy Leads, SNR Transition Team, AWM and GOWM to ensure that work is coordinated and delivered on time
18e	Failure to undertake sustainability appraisal of sub-regional apportionment of aggregates provision as requested by DCLG on 29 June 2009			X		X	6	Short	Engagement with GOWM/DCLG to ensure sufficient funding levels. Potential reallocation of funds for technical work to support RSS Phase 3 Request (from GOWM) additional time to undertake work.

Work Strand	Description of Risk	Likelihood x Impact					Risk Value	Timescale	Control and Mitigation (Current and future actions)	
Urban and Rural 19.1	Rural issues perceived not given due prominence			X	X			3	Medium	Secure resource/capacity for rural proofing at key stages Work with the Rural Affairs Forum
19.2	Changing support and ambitions for City Regions threatens the implementation of WMRSS.		X		X			6	Short	Facilitate engagement of City Region 'players' at all levels to secure ownership and implementation of WMRSS.
19.3	Urban and rural renaissance ambitions not recognised in other regional strategies.			X	X	X		3 6†	Medium	Promote urban and rural renaissance issues with Concordat partners and delivery agencies. Engage partners in preparation for the Strategy for the West Midlands
Partnering 20.1	Disengagement from key sectors due to no funding support	X			X			9	Short/ medium	Continue to encourage engagement via Board Members and WMRSS consultation. Establish new partnership working arrangements under the WMLB
20.1	Disengagement of LA policy leads due to budget pressures	X			X			9	Short/ medium	Establish new partnership working arrangements under the WMLB
Transport 22.1	Unforeseen outcome from WMRSS Examination in Public. Adequate info not forthcoming to monitor deliverability of RFA schemes in the 20 Impact Investment Locations		X		X			6 9†	Short	Encourage partner organisations to take 'ownership' of the RFA process via the 'Star Chamber' Scrutiny revised RTS to ensure that the RTS influences where appropriate (including National Policy, RES, LDFs, LTPs, Planning Applications).
22.2	Delays in Govt response to the RFA Regional partners unable to agree independent process		X		X			6	Short	WMLB and AWM to work closely with GOWM Assembly/successor body takes lead on behalf of partners
22.3	Transport climate change work subsumed in DaSTS (22.4)	X			X			9	Short	Work with partners to explore funding opportunities.
22.4	Insufficient resource and capacity to progress multiple strategic transport initiatives [RFA, DaSTs, Sustainable Cities, etc]	X			X			9	Short	Work with partners to explore funding and staffing opportunities.
Housing 25.1	Insufficient affordable housing being delivered - increased risk due to current economic climate and credit crunch	X			X			9	Short- medium	Promote affordable housing guide. Review performance of delivery agents and take action. Continue to work with sub-regional HMAs and reinforce Government's AH delivery agenda. Continue work with the Housing Corporation / HCA and National Housing Federation.

Work Strand	Description of Risk	Likelihood x Impact						Risk Value	Timescale	Control and Mitigation (Current and future actions)
25.4	Failure to deliver Regional Housing Allocations Strategy 2008/2011 - increased risk due to current economic climate, credit crunch and possible impact on delivery of National Affordable Housing Programme		X		X			6	Short – medium	Early work with partners and Homes and Communities Agency (HCA) / seek advice from CLG & GOWM at earliest opportunity.
25.7	Lack of Support from partner organisations, GOWM, HCA, AWM			X	X			3	Short	Ensure partner colleagues fully involved in RHE work programme / awareness of implications posed by RHE failing to deliver. Address SNR uncertainties as far as possible
25.8	Lack of support from sub-regional HMAs and partners due to uncertainties posed by SNR. Risk grows as end of RA approaches. LAs less inclined to have regard to WMRA influence.	X				X		6	Short / medium	Seek greater collaboration with GOWM, HCA and AWM to continue to endorse regional and sub-regional messages Stratford on Avon DC intend to withdraw from the South Housing Market Area Partnership. Need to find a way of continuing joint working. WMRA are in discussion with GOWM regarding this.
25.9	Lack of expansion of Kick Start Partnership (increased risk with regards to loan model in current economic climate)	X	x		X	X		6	Short / medium	Work with Kick Start Partnership to promote the Programme to all local authorities in the Region to ensure take up. Continue to monitor and review delivery of the Programme Actual 'Housing Pledge' (11th September 2009) switch of funds from the Kick Start funding stream to Affordable Housing reduces the impact of the Programme.
Environm't 26.1	Insufficient capacity /funding to contribute policy advice for the RSS to EIP and develop policy for WMRSS Ph 3 Preferred Option	X			X			3	Medium	Develop strong partnerships, clear time-table and secure support from key players, especially AWM and Natural England
Sustainabl eDevelop't 27.1	Lack of resources to fulfil mandatory requirement for WMRSS under section 39(2) of Planning & Compulsory Purchase Act 2004			X	X			3	Short	Engagement with GOWM/DCLG to ensure sufficient funding levels. And review budget together with priorities.
27.2	Lack of resources to deliver WMRA responsibilities in Regional Climate Change Action Plan leading to lack of stakeholder engagement and credibility	X					X	3	Short/ Medium	Engagement with GOWM and other stakeholders to seek support for, and delivery of, Climate Change Action Plan. Lobby other stakeholders to seek alternative sources of funding and review budget together with priorities. Integrate into preparatory work for the Strategy

Work Strand	Description of Risk	Likelihood x Impact						Risk Value	Timescale	Control and Mitigation (Current and future actions)
27.3	Lack of resources to deliver WMRA responsibilities in Regional Climate Change Action Plan leading to lack of stakeholder engagement and credibility	X				X		6	Medium	Engagement with GOWM and other stakeholders to seek support for, and delivery of, Climate Change Action Plan. Lobby other stakeholders to seek alternative sources of funding and review budget together with priorities.
27.4	Lack of funding to support SWM/regional SD champion resulting in loss of credibility of WMRA/SWM		X			X		4	Medium	Engagement with GOWM/DCLG to ensure sufficient funding levels and review budget together with priorities.
Economy 28.1	SIRS/SNR arrangements are ineffective in progressing the SIRS objectives		x		x			6	Medium	Through on-going interaction at officer and member level. Development and implementation of an SNR Transition Plan.
28.3	Sub-regional delivery mechanisms are not developed		X		X			6	Medium	Continue to work with local authorities and partners in development of local economic assessment duty and the Strategy for the West Midlands
28.4	Insufficient capacity to engage effectively in economic downturn work		X		X			6	Medium	Increased importance given to economic work and development network of expertise from local authorities and other partners
Scrutiny 30.1	Lack of engagement in the scrutiny process	X			X			9	Short and Medium	Scrutiny function to cease in July 2009. Working with partners to ensure engagement with final review Scrutiny Activity Discontinued
Health 31.1	Partners not supporting Regional Health Partnership	X			X			3	Long	Ensure adequate engagement of partners, encouraging participation with the development of the Health and Well-Being Strategy and action plans
31.2	Lack of engagement from key partners with respect to the Health and Wellbeing Strategy consultation and action planning	X				X		6	Medium	Use of networks and communication links to encourage response to the consultation process. Pro-actively market consultation events – revise Action Plan to reflect real deliverables
31.3	Lack of funding for strategy implementation work		X		X			6	Medium	Seek avenues of funding and 'in kind' contributions through the Regional Health Partners to sustain work
31.4	Big Lottery Fund withdraw funding		X				X	2	Short	Continue to engage with BIG, provide robust monitoring and gateway Review mechanisms of projects and meet required deadlines
Europe 32.1	No European context to Strategy; loss of impetus of Regional European Strategy, missed opportunities for EU awareness engagement and funding		X		X			6	Medium to long	Develop initial work presented to ESB in December 2009. Understanding of SIRS process by SA. Engagement of officers and members at relevant points.

Work Strand	Description of Risk	Likelihood x Impact						Risk Value	Timescale	Control and Mitigation (Current and future actions)
				X			X			
32.2	Grant funding expires and no further funding available to sustain EU Connects project			X			X	1	Short	Ensure successful project delivery and demonstrate added value to secure funding to sustain project
32.3	WMRA asked to lead the Transnational Priority (approx £500k pa over 7 years)			X			X	1	Short	Mitigation; keep Assembly Board and partners well informed of progress.
32.4	Failure to influence cofinancing programme to significant degree		X		X			6	Medium	Ensure robust systems to involve the Local Authority sector at key stages and high level of negotiation skills of ESF manager.
Social Inc 33.1	Lack of co-ordination on social, cohesion, equality & diversity issues within the region. More difficult to raise issue – no single route to Govt.	X					X	6	Medium	Continue to work with Partners including DCLG to raise awareness of related issues and influence others to ensure that they are not overlooked Transfer of E&D partnership into the Economic Inclusion Panel structure
33.3	Lack of social capital, equality & diversity issues reflected in regional strategies. Negative impact on sustainable, economic and cohesion aspects, such as access to services.		X		X			6	Medium	Continue to work with regional stakeholders, such as the Concordat Partners, as well as GOWM/DCLG to ensure that the region and related aspects or issues are represented. Transfer of E&D partnership into the Economic Inclusion Panel structure
33.4	As above for national and European strategies – West Midlands one of the largest regions in Europe.		X		X			6	Medium	Continue to work with regional stakeholders, such as the Concordat Partners, as well as GOWM/DCLG to ensure that the region and related aspects or issues are represented.
	Failure to deliver commitment to the OPEN project due to lack of resources		X				X	6	Medium	Ensure effective partner involvement and commitment throughout the 3 year project plan
Culture 34a.1	There will no longer be a Regional Cultural Consortium - WMRSS may not properly reflect and integrate all cultural issues		X				X	4	Medium	Engagement with the four DCMS Regional Bodies to guarantee the cultural sector's involvement in WMRSS Phase Two & Three Revisions.
34a.2	Opportunities not identified and potential benefits from Olympics not maximised		X		X			6	Long	Continuing involvement in WM Leadership Group and engagement with regional partners.
Skills 34b.2	Regional skills priorities fail to reflect and address needs of regional strategies especially WMRSS		X				X	4	Medium	Broaden involvement in development of Regional Skills Partnership priorities.

Rural 35.3	Insufficient priority for rural issues in regional strategy and delivery mechanisms.			X	X			3	Short	Strengthen rural proofing and the role and activities of the Regional Rural Affairs Forum and supporting groups.
Forestry 37.1	Failure to get buy-in to Action Plan 2007-2010		X			X		4	Medium	Furthering engagement with partners and work programmes.
37.3	Lack of partnership funding for Action Plan Manager and work programmes		X			X		4	Medium	Lobby GOWM, AWM, Forestry Commission, Natural England and Environment Agency seeking avenues of alternative funding and review budget together with priorities.

WMRA Business Plan 2009-10 - Financial Tables

Table 1 - Six Month Activity Report (April to September 2009)

The table below provides detail of actual expenditure for the period April to September set against the original budget and bid profile. It also shows the CLG activity and other funded activity separately, including an explanation of variances related to CLG funding.

INCOME	WS	Budget	CLG Funds	Others	Apr-Sept	Q2 Actual	CLG Variance
CLG Assembly Funding	1	2,113,946	2,113,946		1,031,061	1,031,061	0
CLG Contingency for EiP	2	100,000	100,000		100,000	100,000	0
Partners Support RHE [WS25]	3	89,987		89,987	89,987	154,178	
Other Partners EiP [WS18c]	4	30,000		30,000	30,000	0	
Forestry/Rural Partners [WS37]	5	80,000		80,000	80,000	116,021	
Other General Projects	6	0				117,851	
Social Cohesion Partners	7					79,320	
Living Well & EU Connects	8					1,350,965	
Total		2,413,933	2,213,946	199,987	1,331,048	2,949,396	0
EXPENDITURE							
Corporate							
Staffing	10	1,298,939	1,298,939		659,564	626,726	-32,838
Staff Training (CPD)	11	500	500		500	575	75
Operational	13	138,095	138,095		79,847	85,036	5,189
Communications	14	8,500	8,500		5,500	4,291	-1,209
Sub Total		1,446,034	1,446,034	0	745,411	716,628	-28,783
Planning, Housing & Transport							
Implementation	15	20,000	20,000		7,500	0	-7,500
Monitoring	16	194,150	194,150		91,825	50,299	-41,526
Conformity	17	19,800	19,800		9,900	3,600	-6,300
RSS Revision Phase Two	18a	62,000	62,000		18,000	1,654	-16,346
RSS Revision Phase Three	18b	225,716	225,716		97,550	59,496	-38,054

RSS Examination in Public	18c	100,000	100,000		100,000	44,357	-55,643
Urban & Rural Renaissance	19	17,550	17,550		8,775	0	-8,775
Transport	22	32,550	32,550		8,775	8,775	0
Housing	25a	22,500	22,500		11,250	11,250	0
Housing Partners	25b	119,987		119,987	44,993	154,178	
Environment	26	39,150	39,150		19,575	19,575	0
Sustainable Development	27	21,996	21,996		5,000	5,000	0
Economy	28	10,000	10,000		5,000	0	-5,000
Legal Expenses	29	0			0	0	0
Sub Total		885,399	765,412	119,987	428,143	358,184	-179,144
Strategic Review	30	2,500	2,500		2,500	0	-2,500
Policy Integration & Development							
Health	31	0			0	0	0
Europe & International Policy	32	0			0	0	0
Social Cohesion	33	0			0	79,320	
Culture & Skills	34	0			0	0	0
Rural	35	0			0	0	0
Sub Total		0	0	0	0	79,320	0
Other Activities							
Forestry	37	80,000		80,000	40,000	116,021	
Other	38					117,851	
Living Well	39					1,436,331	
EUConnects	40					-85,366	
Sub Total		80,000	0	80,000	40,000	1,584,837	0
Total		2,413,933	2,213,946	199,987	1,216,054	2,738,969	-210,427

Explanation of CLG Variances at Q2

Income:

The CLG income [WS1] was as profiled but there has been additional significant partner and project income [WS3-8] during the period that was not included in the original budget. The RHE partners had identified £30,000 from their funds if needed to 'top up' the EiP budget [WS4] but this has not been necessary and the funds revert back to RHE [WS3]. For the purpose of this report the expenditure figure is matched to income.

Expenditure:

CLG funds available for Q1 and Q2 activity were underspent by £210,427 at the end of the first six month period and £55,643 of this figure related to EiP contingency. The core work programme variance was around 14% under profiled spend and this can be explained in the most part by late local authority invoices.

[WS10] Staffing was underspent due to vacant posts not being filled in preparation for new arrangements; however we anticipate the full allocation to be required to meet the cost of temporary additional resources place during the latter half of the year or possible wind up costs when identified.

[WS13&14] There are small variations in operational and communication costs but both are expected to fully utilise budgets over the year and a small increase is expected in the communications budget as part of the Q2 proposed virements.

[WS15&17] Implementation and Conformity will utilise the budget over the year but at the end of September a number of local authority invoices were outstanding for policy lead activities.

[WS16] Monitoring budget is expected to be reduced slightly in line with some cost savings in the year and the variance at Q2 is predominantly due to late invoices.

[WS19] Urban & Rural Renaissance variance is due to local authority invoices being outstanding for policy lead activities.

- [WS28] Economy activity was slow to start but expenditure is now expected in the last half of the year, although it is likely the budget will be reduced.
- [WS30] Scrutiny and strategic review work has now effectively ceased and the small budget available is now being redirected to other activities.

Examination in Public Contingency Fund

A contingency budget of £100,000 [WS2] was drawn down in April for the Examination in Public (EiP). The EiP costs incurred at 30 September [WS18] was £45,357 with an amount of £55,643 remaining. The Assembly team is currently reviewing the recently issued Panel Report to ascertain any necessary resulting activities for which this remaining budget would be utilised. This budget has so far covered the cost of preparatory work, training for participants, additional resources during the EiP, meeting room hire, legal advice, expert witnesses, etc and may yet be required for policy statements relating to work being carried forward into the new 'Strategy for the West Midlands'.

CLG request for Sub-Regional Allocation of Aggregates

On 29 June 2009, CLG requested the Assembly to carry out work to establish a Sub-regional apportionment of aggregates provision. At the time, we sought additional funding from CLG to meet the cost of this activity which was an addition to the agreed budget and business plan. As we conclude the Q2 review of the 2009-10 Business Plan and Budget, we now feel that we could identify resources from the existing budget allocation of £2,213,946 for this work. A proposed revised budget is outlined in Table 2.

Table 2 – Revised Budget

At Q2 review we have identified a number of necessary virements to meet changing work programmes needs and these are set out as a revised CLG budget below.

INCOME	WS	Original Budget	REVISED Budget	Virement	Reason
CLG Assembly Funding	1	2,113,946	2,113,946		
CLG Contingency for EiP	2	100,000	100,000		
Partners Support RHE [WS25]	3				
Other Partners EiP [WS18c]	4				
Forestry/Rural Partners [WS37]	5				
Total		2,213,946	2,213,946		
EXPENDITURE					
Corporate					
Staffing	10	1,298,939	1,298,939	0	
Staff Training (CPD)	11	500	10,000	9,500	Need to identify a training budget
Operational	13	138,095	138,095	0	
Communications	14	8,500	11,500	3,000	Enable Assembly Final Report at wind up
Sub Total		1,446,034	1,458,534		
Planning, Housing & Transport					
Implementation	15	20,000	12,500	-7,500	Work programme changed due to EIP etc
Monitoring	16	194,150	182,150	-12,000	Identified cost savings enable DaST contribution
Conformity	17	19,800	19,800	0	
RSS Revision Phase Two	18a	62,000	62,000	0	
RSS Revision Phase Three	18b	225,716	215,216	-10,500	Projected changes to work programme will enable establishment of legal budget for wind up and aggregates allocation work
RSS Examination in Public	18c	100,000	100,000	0	
Urban & Rural Renaissance	19	17,550	17,550	0	
Transport	22	32,550	42,550	10,000	Fund a contribution to DaST work
Housing	25a	22,500	22,500	0	

Housing Partners	25b			0	
Environment	26	39,150	39,150	0	
Sustainable Development	27	21,996	21,996	0	
Economy	28	10,000	10,000	0	
Legal Expenses	29		10,000	10,000	Legal advice re wind up issues
Sub Total		765,412	755,412		
Strategic Review	30	2,500	0	-2,500	Scrutiny function ceased, resources refocused
Policy Integration & Development					
Health	31				
Europe & International Policy	32				
Social Cohesion	33				
Culture & Skills	34				
Rural	35				
Sub Total		0			
Sub Total		0			
Total		2,213,946	2,213,946	0	

There may yet be further changes resulting from the EiP Report and evolving work on the Strategy for the West Midlands and transition to the West Midlands Leaders Board and AWM; a further internal budget review will therefore be undertaken at Q3 to ensure effective financial management during the final months of the Assembly.