

Risk Category MCA Programme Management Risks

Risk Description	Probability	Mitigated probability
1 The number and diversity of new programmes and government funding, each with its own specific complexities, exacerbate the current limitations in the system (MCA Executive and Partners) to respond to bidding rounds to secure resources for programmes to meet Mayor, MCA and LEP priorities.	3	2
2 The number and diversity of new programmes exacerbate the current limitations in the system (MCA Executive and Partners) in terms of capacity and capability to develop and deliver well formed programmes and projects that meet MCA / LEP objectives.	3	2
3 Pace of change and diversity of assurance requirements for different funds requires a range of technical assurance expertise and could mean weaknesses in recommendations made to decision makers.	2	1
4 Scale and complexity of work to implement the Bus Review 7 Point Plan, requiring expertise and resources beyond those that are available could mean a failure to effect the desired changes and deliver the desired SY transport network.	4	2
5 Scale and complexity of the devolution of the Adult Education Budget, with limited capacity and resources results in underperformance not being identified early enough for the MCA to recycle/reallocate funding within the academic year funding window.	3	2
6 CLOSE Scale and complexity of work to deliver the Transforming Cities Funding, to the time limits set by Government, exacerbates the limitations in capacity and capability of transport teams to deliver the scale of the programme.	4	2
7 Failure to collate performance and investment data and risk assessments, adequately analyse and transparently report on performance and benefit realisation outcomes and risks.	3	2
8 The SYPTE/MCA Integration Exercise places considerable strain on the organisation and displaces focus from existing priorities.	3	2
9 UPDATED The pace of delivery on the Brownfield Fund could see the failure to meet Government mandated expenditure targets with funding foregone.	4	3

Key

1 - Remote
2 - Unlikely
3 - Possible
4 - Probable
5 - Highly Probable

Overall/average mitigated probability score

Potential Impact / Consequence if risk materialises	Impact	Mitigated impact
1 a reduced level of grant income awarded to the MCA or LEP.	3	2
2 a lack of investment in SY to deliver the locally agreed interventions leading to an over reliance on national programmes with minimal influence.	3	2
3 public transport services patronage continues to decline resulting in loss of income and failure to meet the priorities of the bus review and the ambition to mitigate climate change.	4	3
4 destabilisation of the FE Sector and problems in provision for adults.	3	2
5 reputational damage, as a result of poor performance or failure to mitigate risks, to the Mayor and the MCA and the Management Board of the MCA Exec.	3	2
6 return of money that cannot be used within a funding window to funding bodies, reducing the amount of funding investment priorities	3	2
7 benefits to South Yorkshire are not maximised, where AEB underspend is not identified early enough to take action to recycle funding.	3	2

Key

1 - Immaterial
2 - Minor
3 - Moderate
4 - Major/Serious
5 - Extreme

Overall/average mitigated impact score

Existing mitigation strategies / controls for the risk category
Development programme leading to trained employees with MSP / Prince 2, Better Business Case or Risk Champion training in place and regularly reviewed
Appraisal Models developed and subject to peer review by relevant government departments
The Assurance and Accountability Framework establishes all processes for the development of business cases, assurance and any post approval change requests and sets out decision making
All schemes report quarterly on milestones, risks. The Programme and Performance Unit summarise information and escalate issues to the Management Board and to the Thematic Boards and LEP / MCA.
Commissioned national AEB expert to lead the devolution of AEB programme, with recent experience of heading arrangements in other devolved administrations
UPDATED The procurement of an independent expert to review Business Processes and identify opportunities for improvement has provided a number of recommendations that are being progressed via a Senior Officer Steering Group with a sub-working level group of project managers.
The creation of a Project Feasibility Fund to resource the early stage development of schemes on a sustainable basis has been recommended to members as part of the Budget for FY 2021/22
DCEX appointed to lead programme of MCA / PTE Integration
Government have been engaged on the potential for flexibility to be afforded to meet expenditure targets
A revenue reserve has been allocated to support the resourcing of the Integration Exercise with further resource allocated through the budget
NEW £5m of revenue resource has been made available to support the delivery of the CRSTS programme.

Key

1-4 Low
5-10 Medium
11-16 Medium-High
17-25 High

Mitigated/Residual risk score

Existing mitigation strategies / controls weaknesses
Frequency of changes to government funding streams, often launched without guidance and the retrospective application of rules, hampers the ability to provide clarity and to update processes and implement training. MCA / LEP has limited influence to address the weakness.
Quality of programme information from Scheme Promoters is not always accurate and therefore milestone and performance reporting makes it difficult to adequately plan and execute mitigation strategies. MCA has influence to address the weakness.
All programme management information is currently processed manually via spreadsheets increasing the potential for errors. MCA has influence to address the weakness.

The timing of the Integration Exercise is ultimately dependent on the passage of legislation through Parliament. The final timing of the legislation may impact upon resourcing plans.

NEW Global and national supply chain pressures are impacting upon delivery mechanisms and contributing to cost inflation and time-delays

		Status update	Interim date	completion date
Action Plan	Task and Finish Group of MCA Executive and LA Economic Development and Transport Teams to be established to consider systems weaknesses (capacity, capability and resources) leading to an options proposal for Members	UPDATED The Senior Officer Steering Group has commissioned a working group of Project Managers from across the region to contribute to task and process focussed improvements within the commissioning and delivery process. This Group has contributed to a number of proposals including funding, assurance, governance, and process change.	Jan-22	Mar-22
	Roll out of Better Business Training to all MCA Executive and external Scheme Promotors, subject to budget constraints	UPDATED In 2019/20 all employees of the MCA, including some within the PTE and Business Advisers, undertook the formal Better Business Cases Training course and examination. Employees who joined the MCA in 2020-21 received induction sessions on the MCA's assurance, procurement and contracting processes. This was partly due to Covid restrictions being in place and partly awaiting HM Treasury's publication of the revised Green Book, which was published in September 2021. Around 140 employees from the MCA and local authorities attended a series of training workshops in Autumn 2021 on the assurance and business case development process following the revisions to the Green Book. However, the intention is still to roll out the formal Better Business Cases training to MCA employees who have not previously been trained as well as to local authority officers. Budget is currently being planned to roll-out the training in 2022-23.	Apr-22	Mar-23
	The resourcing, design, and implementation of a Project Feasibility Fund	The Project Feasibility Fund was created following a reserves adjustment. Deployment of the Fund will be made in line with the work of the Business Process Review Task and Finish Group.	Jan-22	Mar-22
	Implementation of Programme Management System concluded	The Programme Management System is now implemented with the design of reports underway. It is intended to 'go-live' with the system in the new calendar year. Delays reflect capacity constraints and the need to deploy resource to the management of immediate pressures.	Jan-22	Mar-22
	To performance manage and monitor and report on AEB delivery at a provider based level to facilitate recycling of funding.	The MCA has received R04 data. Initial analysis of provider performance shows a mixed picture emerging. Some providers have already delivered over half of their allocation whilst others are yet to claim funding for any delivery. More detailed analysis which compares actual to profile (at this point in the academic year) will need to be produced to better understand and articulate the position. This analysis will also support the PPU team to hold performance review meetings with providers, which will help to create greater focus on reducing provider performance gaps. The next provider data is due in Jan 22.	Jan-22	Mar-22
Risk / Mitigation Owner	Gareth Sutton			