

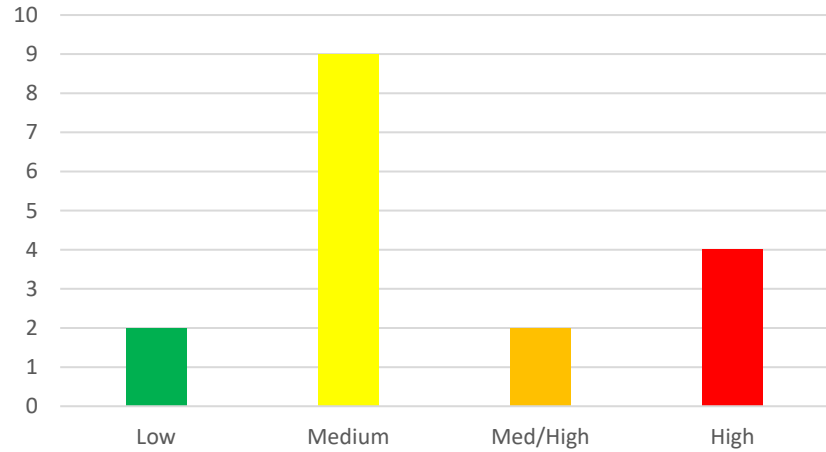
Risk Dashboard

March 2023

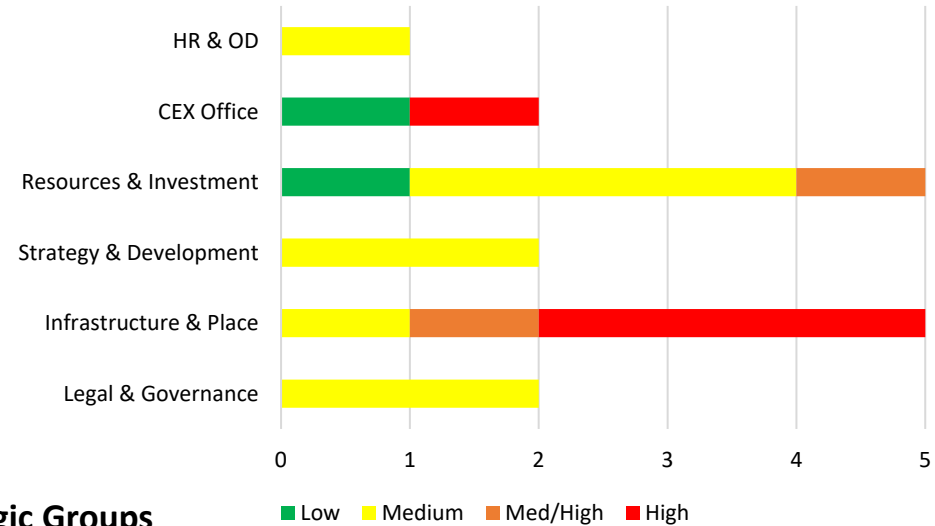
Corporate Risks are defined as being cross cutting, on-going or longer-term and have an impact on SYMCA and its strategic objectives. These risks are owned and updated by Executive Directors as part of their role within the Executive Leadership Team and reported into the Executive Leadership Board and ASRC quarterly.

Corporate Risks by Risk Score

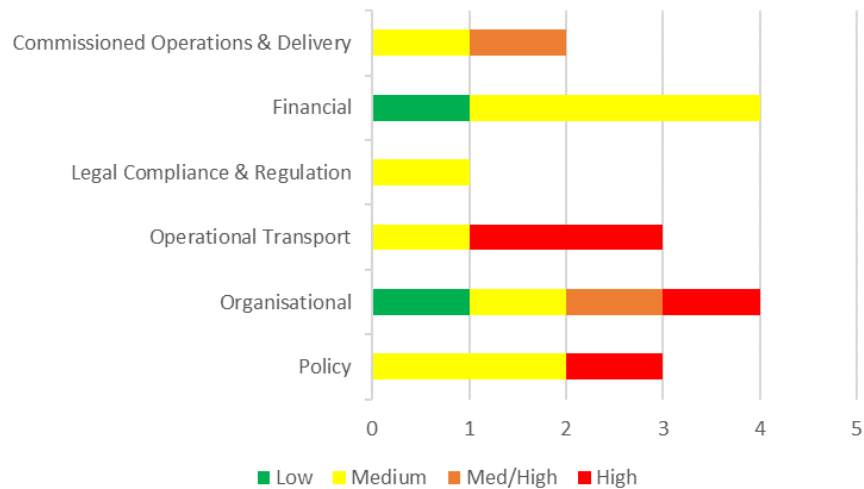
(no change in volume or volume per risk score since last report in Jan 23)



Corporate Risks by Executive Level Ownership



Corporate Risks by Strategic Group



Risk Appetite for Strategic Groups

- Commissioned Operational Delivery – Cautious
- Financial – Cautious
- Legal Compliance & Regulation – Averse
- Operational Transport – Cautious
- Organisational – Open
- Policy – Open

Scoring Matrix

Impact	Probability				
	1 Highly Unlikely	2 Unlikely	3 Possible	4 Probable	5 Highly Probable
5 Critical	5	10	15	20	25
4 Serious	4	8	12	16	20
3 Moderate	3	6	9	12	15
2 Minor	2	4	6	8	10
1 Immaterial	1	2	3	4	5

Corporate Risk Heat Map – lines demonstrate the risk score movement from inherent to residual score



High												
Owner	Identifier	Title	Cause and Effects	Inherent Priority	Controls Detail	Residual Priority	Detail	Owner	Assignee	Actions Variable Target	Last Update Text	Last Update Date
John Dowie	Reference: 1092 Prefix: COR0007	Net Zero, Sustainability/ Climate Change	Due to: an inability to galvanise the required level of support, consensus and leadership across the region, from our partners and stakeholders both private and public There is a risk that: the approach is fragmented Resulting in: a failure to achieve the net zero target, by 2040	High (5.5=25)	The MCA strategy requires that the Net Zero response runs through our core programmes.	High (5.5=25)	We are actively working with Sheffield University to develop regional data to understand the impact of our (& partners) programmes and projects to understand the current position and baseline.	Richard Sulley	Richard Sulley	31 Mar 2023	System default target dates have been applied, when the risk inputted. Action actually due 31/3/23	03 Nov 2022
					Working with partners / stakeholders to develop projects that take account of de-carbonisation.		The most impactful interventions to focus the renewal fund upon are being determined through our work with partners e.g. should we carry out additional tree planting and promotion and usage of green power.	Richard Sulley	Richard Sulley	31 Mar 2023	Default target dates were applied when the risk was inputted. Actual target date 31/3/23	03 Nov 2022
					Initial focus on housing retrofit, Electric vehicles (electric buses, car charging) energy, tree planting		Integrating our response to net zero and climate emergency into investment decision making processes.	Richard Sulley	Richard Sulley	31 Mar 2023	Default target dates were applied when the risk was inputted. Actual target date 31/3/23	03 Nov 2022
John Dowie	Reference: 1105 Prefix: COR0009	Bus: Recovery Funding	Due to: Reduced/terminated recovery funding from central government and lower levels of patronage There is a risk that: The network suffers major cuts Resulting in: a spiral of decline	High (5.5=25)	Ongoing dialogue with DfT officials and ministers to shape the existing and future proposals.	High (5.4=20)	Continue to press government for clarity on future funding arrangements from Jan 2023	Tim Taylor	Tim Taylor	20 Jan 2023	Closed: Funding from Jan to March 2023 now known.	17 Jan 2023
					Recovery funding secured until 31 March 2023		Working with bus operators to identify services at most risk of reduction and prepare prioritised list of services for consideration.	Tim Taylor	Tim Taylor	31 Jul 2023	Prioritisation completed ahead of anticipated funding end in October 2022. Extension of BRG and additional local funding will secure services until end July 2023. Further review will be required to determine any changes required at the end of funding.	04 Oct 2022
					Continue payment of concessions at pre-COVID rates until April 2023 on the DfT deflator		Ensure SYSL deliver committed tram service pattern from Oct 2022.	Stephen Edwards	Tim Taylor	09 Oct 2022	Closed: Timetable changes completed 9 October	10 Oct 2022
					Adjustments to pre-COVID rates proportionate to network mileage to allow underspend to be retained and potentially used for future network protection.		Rolling patronage forecast to inform likely service levels	Stephen Edwards	Mark Cowling	31 Dec 2022	Closed: Forecasts produced	24 Oct 2022
					Service change/consultation process in place with operators to ensure early notice of potential changes.		Agree future arrangements for a return to concessionary payments (based on actuals) and opportunity to recycle any underspend to support services	Tim Taylor	Suzanne Hutchinson	31 Mar 2023	Following the extension of BRG payments discussions with operators are progressing at different speeds depending on their patronage levels and their position with regard to funding.	10 Oct 2022
					Maintenance of Protection of Priority Services from reserve and use of wider reserves across SYMCA to support short-term mitigations to June/July 2023		Continue with stakeholder engagement on service changes in October and prioritisation of possible resource	John Dowie	Tim Taylor	31 Jul 2023	Closed: Work completed for October 2022 network change	17 Jan 2023
					Monitor driver resources and recruitment to understand limitations on resource to deliver any uplift in service levels		Agree with ED's and Leaders approach to tendered services from 23 July following BRG extension to 30 June 2023.	Tim Taylor	Tim Taylor	14 Apr 2023	Meetings arranged in Feb and March with ED and LA Leaders	23 Feb 2023
John Dowie	Reference: 1164 Prefix: COR0015	Tram Services	Due to: A delay in concluding future operating model for tram services beyond the current operating concession and then completing transition There is a risk that: the MCA is unable to achieve the delivery of a seamless transition in tram operating model, with delays to building the project team, development of a resilient work plan with time allowance for mitigations and the execution of this delivery plan Resulting in: financial, capability and capacity pressures as well as disruption to tram services	High (5.5=25)	Appointment of an Interim Programme Director (IPD) - Light Rail Transport Operation.	High (5.4=20)	Conclude analysis of options for concession end and take finalised proposals re procurement route the MCA	Pat Bejjer	Pat Bejjer	01 Apr 2022	Closed: On 18 October 2022, the MCA Board agreed that the operating model following the end of the current contract with SYSL in March 2024 would be an "arm's length wholly owned subsidiary" of the MCA.	01 Dec 2022
					Light Rail Development Programme established and key milestones identified		Briefing to key stakeholders on options and risks/benefits	Pat Bejjer	Pat Bejjer	01 Apr 2022	Closed: Throughout the tram operating model option development process, there has been ongoing engagement with district Leaders, Chief Executives and senior colleagues within SYMCA (via meetings, briefings and papers)	01 Dec 2022
					Governance arrangements established to oversee the programme of work (Concession end, Financial Sustainability, Asset Renewal and Future Vision)		Prepare a briefing paper on options for consideration by MCA - Mar-22	Pat Bejjer	Pat Bejjer	01 Apr 2022	Complete	30 Sep 2022
					Reporting and engagement plan established encompassing Management Board, SY Chief Execs, TEB and MCA		Monitor progress on work programme with regular review of milestones	Chris Coleman	Chris Coleman	31 Mar 2023	The Mass Transit and Concession End Programmes are reviewed regularly as part of the LRP Governance process. This includes meetings with the SRO at the LRP Steering Group and LRP Board.	05 Jan 2023
					Tram Project Reserve created to support readiness activity.		Recruitment underway for wider tram concession team, prioritising operational/engineering and PMO roles	John Dowie	To be allocated	31 Oct 2023		
Martin Swales	Reference: 2300 Prefix: COR0022	Doncaster Sheffield Airport Closure.	Due to: the cessation of aviation operations There is a risk that: the area will be subject to direct and indirect job losses Resulting in: a drag on the regional economy and the area becoming less desirable for inward investment.	High (5.5=25)	The MCA continues to engage with all stakeholders to explore opportunities to maintain aviation.	High (5.4=20)	Continuing to work with City of Doncaster Council on their case for CPO.	Martin Swales	Martin Swales	09 Mar 2023	The MCA Executive Team work is ongoing with CDC and the other constituent authorities CEXs	10 Mar 2023
Medium/High												
Owner	Identifier	Title	Cause and Effects	Inherent Priority	Controls Detail	Residual Priority	Detail	Owner	Assignee	Actions Variable Target	Last Update Text	Last Update Date
John Dowie	Reference: 1195 Prefix: COR0017	Transport	Due to: The award of the CRSTS programme funding will provide related regional capital funds for five years from April 2022 and will be closely monitored by DfT There is a risk that: the capacity and capability in the region is insufficient to deliver extensive projects in the programme within timescale Resulting in: the potential damage to the reputation of the MCA and Mayor.	High (5.4=20)	Actions to implement the recommendations of the recent independent BPR implemented through the refreshed Assurance Framework	Medium/High (5.3=15)	Continue to work with Finance on LA submissions to create a pipeline of activity.	Laurie Thomas	Laurie Thomas	01 Apr 2023		
					Immediate resource planning for the next stage submission of CRSTS, deadline January 2022.		Additional team members to support the work will be requested through the annual business planning process.	To be allocated	To be allocated	01 Apr 2023		
					Working with Finance to support LAs in developing and submitting project proposals efficiently for CRSTS by April 2022 (to note CRSTS proposals are made up of 80-100 individual projects).		Agreement reached with the MCA for disbursement of the CRSTS revenue grant, working with Districts to agree their individual plans.	To be allocated	To be allocated	01 Apr 2023		
Gareth Sutton	Reference: 1224 Prefix: COR0021	Heightened Cyber Security Threat	Due to: an increase in the number of cyber-attacks, due to the increasing reliance on digital There is a risk that: there is a successful cyber attack Resulting in: operational disruption, data corruption, systems outage and loss of finances.	High (5.5=25)	Anti-virus software, updated hourly, installed across all infrastructure.	Medium/High (5.3=15)	Enhance employee awareness and reporting of current threat types, volume and attacks prohibited.	Nick Brailsford	Nick Brailsford	31 Mar 2023	Dashboards are being prepared to highlight cyber issues. These will be uploaded to the Intranet.	12 Jan 2023
					Mimecast, Advanced Threat Protection, installed and always evolving to address current threats, covers email filtering to identify and block impersonators and filtering attachments for abnormalities for the IT team to check prior to release.		Further analysis and work to be undertaken to address utilised dated legacy systems - required as a milestone towards achieving Cyber Essentials Accreditation.	Dave Bradwell	Dave Bradwell	30 Jun 2023	Closed: Cyber Essentials has now been achieved.	12 Jan 2023
					Web-filtering to restrict and prohibit unauthorised access and data loss.		Achieve Cyber Essentials accreditation (Basic by 31.12.22)	Nick Brailsford	Nick Brailsford	31 Dec 2022	Closed: Cyber essentials, basic, achieved	09 Jan 2023
					An IT Policy exists and is updated as necessary, last updated in 2021.		Reconsider the structure of the IT Team, to include administrator resource to support the generation of the reports for Management Board and wider executive management to raise awareness.	Nick Brailsford	Nick Brailsford	30 Jun 2023	Proposal on hold and dependent of the recruitment of a Head of IT	09 Jan 2023
					Password policy exists implementing good practice to build strong access controls including multi-factor authentication.		External phishing exercise undertaken with a report prepared that details performance and offers recommendations. Internal comms work now underway to draw attention to the findings.	Nick Brailsford	Nick Brailsford	31 Mar 2023		
					Activity monitoring takes place including how people access the system.							
					Phishing attacks, internal testing takes place.							
Software patching takes place to ensure software updates are carried out.												
Annual outsourced penetration testing, which is part of the Cyber Essentials requirements.												
Physical security enhancements including restricting a non-employee plugging a laptop into MCA network.												
Enhance Management Board reporting of attacks and their management.												
Achieved Cyber Essentials accreditation Basic by 31.12.22												
Medium												
Owner	Identifier	Title	Cause and Effects	Inherent Priority	Controls Detail	Residual Priority	Detail	Owner	Assignee	Actions Variable Target	Last Update Text	Last Update Date
Gareth Sutton	Reference: 1005 Prefix: COR0001	Adult Education Budget Performance	Due to: potential under performance within the programme There is a risk that: we fail to deliver all of the planned academic year outputs for the region and its people within the year Resulting in: back loading and adverse reputational impact on the MCA and partners.	High (4.4=16)	Performance monitoring meetings with all providers are underway to understand planned delivery volumes and their delivery intentions.	Medium (4.2=8)	Further performance analysis is being undertaken at the mid-year point to test outputs achieved to date and forecast to the end of the programme.	Sue Sykes	Sue Sykes	30 Aug 2022	Closed: Completed	10 Jan 2023
					Performance reporting to Management Board has taken place to highlight the delivery challenges.		Performance analysis and monitoring will inform remedial actions.	Sue Sykes	Sue Sykes	31 Mar 2023	Closed: Move to Control	24 Feb 2023
					Funding & Performance Rules set out the conditions of funding and how underperformance will be addressed.		An options paper to be prepared and shared with Management Board and presented to the Skills Board and the MCA.	Gareth Sutton	Joseph Quinn	26 Oct 2022	Closed: Adam Greenwood has finalised final position for the year and contracting is underway.	30 Nov 2022
					The MCA has audit step in rights should it need to undertake more robust reviews.		Evaluation of 2021/22 approach to determining the required provision and commissioning process.	Gareth Sutton	Adam Greenwood	31 Mar 2023	Closed: Discussion with Gareth S, to close as complete	10 Jan 2023
					The MCA has some options to redeploy funding away from underperforming areas where necessary.		Review of capacity and capability requirements for AEB has been undertaken and subsequent recruitment, predominantly in the Skills Team, is underway	Adam Greenwood	Adam Greenwood	30 Jun 2023		
Performance analysis and monitoring will inform remedial actions.	An organisational restructure has been agreed that will see the transfer of capacity and skills to the business and skills directorate, supplementing existing headcount. This new resource will work directly to the Assistant Director of Skills.	Gareth Sutton	Gareth Sutton	01 Apr 2023								

Owner	Identifier	Title	Cause and Effects	Inherent Priority	Controls Detail	Residual Priority	Detail	Owner	Assignee	Actions Variable Target	Last Update Text	Last Update Date
Clare Monaghan	Reference: 1015 Prefix: COR0002	Policy change causes disruption	Due to: Changes to the political and policy operating environment e.g. Devolution White paper There is a risk that: regional priorities shift Resulting in: disruption to the prospects of achieving our mission	Medium/High (5.3=15)	Engaging with Government officials to shape proposed policy priorities and shifts.	Medium (5.2=10)	The Devolution White Paper has been published, in January 2022, and we are working through the impact with an initial paper to the MCA in March.	To be allocated	To be allocated	30 Aug 2022	Closed: Implemented	10 Oct 2022
					Ongoing horizon scanning- to monitor the situation and respond quickly.		Preparatory work on the next phase of devolution deals - Target date is for reconsideration however, preparatory work is likely to be longer term.	Felix Kumi-Ampofo	Andrew Gates	30 Jun 2023		
					Leadership of the M10 network and knowledge sharing with other CAs.							
					The implications of the Levelling Up White Paper have been considered by the MCA Board (March 22)							
Clare Monaghan	Reference: 1020 Prefix: COR0003	Strategic Economic Plan	Due to: Resource levels, external and unanticipated pressures There is a risk that: we lose focus on delivering the SEP, and its direction of travel Resulting in: an inability to regenerate the economy	Medium/High (5.3=15)	Development and agreement of the Investment Strategy with the four LAs.	Medium (5.2=10)	The Business Planning process is in progress and the initial 2022-23 Business Plans are drafted and to be finalised.	Gareth Sutton	Gareth Sutton	30 Aug 2022	Closed: Closed due to the passage of time	10 Jan 2023
					Borrowing powers secured to maximise funding.		Draft business plan, which aligns the Mayoral Manifesto to the existing MCA commitments has been prepared. This will influence the next corporate plan (written early 2023) to be agreed by March 2023.	Clare Monaghan	Felix Kumi-Ampofo	31 Mar 2023		
					The corporate policy is embedded to include its guardianship of the SEP.		Local Authorities are developing place plans setting out the action needed to grow their economy and local areas - informing the development of a new place based investment pipeline.	John Dowie	Colin Blackburn	31 Mar 2024		
					Closer monitoring of the SEP outcomes, the Corporate Plan outcomes and development and delivery of the Business Planning framework.							
Gareth Sutton	Reference: 1113 Prefix: COR0010	Failure to agree Investment Strategy	Due to: Failure to agree an Investment Strategy There is a risk that: funding is used inefficiently and ineffectively Resulting in: an inability to restructure the South Yorkshire economy.	Medium (3.3=9)	An internal cross discipline team is shaping the strategy through work with internal and external colleagues	Medium (3.2=6)	The interim plan was formally by adopted by Board in March and work continues.	Gareth Sutton	Gareth Sutton	31 Jan 2022	Closed: Implemented	07 Oct 2022
					A four point engagement plan is underway with external partners		Work will continue to develop Place Based Investment Plans and Transformational Plans	Gareth Sutton	Mike Thomas	31 Mar 2024	Barnsley, Doncaster and Rotherham expect to complete their place plans by Q1 of the new financial year. The MCA is supporting Sheffield with its development of their plan and the MCA continues to develop principles for a prospectus for growth.	27 Feb 2023
					The MCA has authorised acceptance of a borrowing cap and consents to the tabling of legislation which is now progressing through Parliament		Work will continue on the operationalisation of the Plans, including borrowing principles	Gareth Sutton	Mike Thomas	30 Jun 2023	Work is underway through the SY DoF group on how remit cash to support investment plans	27 Feb 2023
					An interim plan has been designed setting our core principles, indicative investment sequencing, with resource made available to deliver investment plans and delivery ready investments		Negotiation with HM Treasury on the borrowing cap for financial year 2022/23 have commenced.	Gareth Sutton	Gareth Sutton	31 May 2022	Closed: Complete	09 Jan 2023
					The outcomes of the BPR workstream and steering group are beginning embedded into the overall Strategy		Proposals around the use of new Shared Prosperity Funding are being aligned to Investment Strategy activity	Gareth Sutton	Gareth Sutton	31 Jul 2022	Aligned	07 Oct 2022
					Board has approved the development of 4 individual local authority place plans and 1 region wide transformational plan. Revenue resource has been released to support this development.		Work is underway to make new connections with institutional investors.	Gareth Sutton	Mike Thomas	30 Jun 2023	The MCA has been working with the Local Pension Fund and a number of private institutions with an expectation that we will be able to announce new opportunities shortly. A number of pilot schemes are also under development.	27 Feb 2023
					Agree borrowing cap with HMT on an annual basis		Release project feasibility funding to partners and MCA teams	Gareth Sutton	Gareth Sutton	31 Oct 2022	Closed: Completed	09 Jan 2023
					MCA Board have agreed a phased approach to the release of Gainshare funding ahead of the development of the place and transformational plans							
					The use of new Shared Prosperity Funding is aligned to Investment Strategy activity							
					Gareth Sutton		Reference: 1134 Prefix: COR0012	Financial Health	Due to: a lack of quantum, breadth, and flexibility of funding to deliver on all activities There is a risk that: there is an unsustainable call on reserves Resulting in: structural funding issues being exacerbated by the inflationary environment and disruption to commercial income streams	Medium/High (5.3=15)	The MCA Group undertakes annual integrated business and budget planning to ensure resource is effectively aligned to priorities	Medium (4.2=8)
The MCA Group undertakes cyclical budget monitoring to identify financial performance allowing for the reallocation of resource mid-year	The MCA continues to lobby government for the continuation of capacity funding for core activity alongside other peer authorities	Gareth Sutton	Gareth Sutton	31 Mar 2023		Closed: Combined with 1141 to create one control					10 Jan 2023	
The MCA has undertaken a significant reserve refresh re-deploying resource to known risks and holding a prudent amount of resource to mitigate financial shock	The MCA's developing Investment Strategy is couched within the context of the wider funding environment	Gareth Sutton	Mike Thomas	31 Mar 2023		Bulk Reassign					07 Sep 2022	
The MCA reports frequently to the Board and ensures partners remain apprised on financial matters through the Directors of Finance Group and Member budget engagement sessions	The MCA has completed business planning exercise for the new financial year and will adjust over quarter 1 to take account of the outturn position	Gareth Sutton	Gareth Sutton	31 Mar 2022		Closed: Complete					07 Oct 2022	
The MCA Group has developed a new medium term financial strategy forecasting the requirements for greater local financial contributions from partners	Key medium-term risk around the future exposure to tram performance is being considered through the tram workstream	Gareth Sutton	Mike Thomas	30 Sep 2023		On track					27 Feb 2023	
The MCA continues to lobby government for ongoing financial support to the public transport network and the continuation of capacity funding for core activity alongside other peer authorities	Close attention is being paid to inflationary pressures and the impact on capital and revenue resource. Government have been engaged on capital funding pressures with in-programme flexibilities sought to enable the region to manage issues efficiently.	Gareth Sutton	Mike Thomas	31 Mar 2023		The MCA Board has agreed to grant delegated authority for the flexible use of programme funding to help scheme sponsors manage inflationary pressures within programme funding envelopes.					27 Feb 2023	
	Agree an increase to the transport levy for fin year 23-24	Gareth Sutton	Mike Thomas	27 Feb 2023		Closed: Levy increase agreed					27 Feb 2023	
	Formal confirmation from DfT of CRSTS schemes that can support bus improvement - subject to final approval from DfT/HMT/No10	Pat Bejier	Pat Bejier	30 Sep 2022		Confirmation received					30 Sep 2022	
	Continue to lobby DfT officials/ministers on bus services challenges in SY.	Pat Bejier	Pat Bejier	31 Mar 2023		Meeting with DfT officials to discuss updates to the BSIP and indication of a round 2 of BSIP funding. Agreed to submit an update to the BSIP in early 2023 following demand recovery action planning with the EP members in response to post Covid network changes					01 Dec 2022	
	Await outcome of LUF bid submission	Pat Bejier	Pat Bejier	31 Mar 2023		Closed: DfT informed SYMCA that the LUF bid was not successful					02 Mar 2023	
John Dowie	Reference: 1156 Prefix: COR0014	Enhanced Partnership - BSIP	Due to: insufficient funding through BSIP There is a risk that: our aspirations for growing the bus market are undermined Resulting in: no meaningful service improvements and continued decline	Medium/High (5.3=15)	EP scheme implemented and established based on available funding (ie no BSIP allocation)	Medium (3.3=9)	Formal confirmation from DfT of CRSTS schemes that can support bus improvement - subject to final approval from DfT/HMT/No10	Pat Bejier	Pat Bejier	30 Sep 2022	Confirmation received	30 Sep 2022
					Stakeholder comms setting expectations around deliverable improvements shared and approved (MCA/TEB/STOB)		Continue to lobby DfT officials/ministers on bus services challenges in SY.	Pat Bejier	Pat Bejier	31 Mar 2023	Meeting with DfT officials to discuss updates to the BSIP and indication of a round 2 of BSIP funding. Agreed to submit an update to the BSIP in early 2023 following demand recovery action planning with the EP members in response to post Covid network changes	01 Dec 2022
					Ability to add/amend EP Scheme(s) if further funding becomes available.		Await outcome of LUF bid submission	Pat Bejier	Pat Bejier	31 Mar 2023	Closed: DfT informed SYMCA that the LUF bid was not successful	02 Mar 2023
					Formal confirmation from DfT of CRSTS capex schemes that can support bus improvement		Consider further locally funded initiatives to support public transport delivery e.g extending £2 fare cap	Pat Bejier	Pat Bejier	30 Sep 2022	Closed: The £2 fare cap was introduced on 1 November 2022 through the EP. More initiatives are under development as part of the demand recovery action plan developed through the EP.	01 Dec 2022
					Successful ZEBRA bid will provide around £15m of funding for new EV fleet		Create new Director of Bus Partnerships role to drive forward short term (Q1,2,3) and med term (Q2-Q4 2023) actions drawing on experience elsewhere.	John Dowie	John Dowie	31 Dec 2022	Closed: Role has now been created - convert to control	11 Jan 2023
					National £2 fare cap initiative announced to commence Jan 2023		Update and refresh the Enhanced Partnership to include Year 1 priorities and develop and agree a delivery plan with bus operators and Local Authority partners	Nick Brown	Nick Brown	31 Oct 2023		
					Created new Director of Bus Partnerships role to drive forward short term (Q1,2,3) and med term (Q2-Q4 2023) actions drawing on experience elsewhere.							
Steve Davenport	Reference: 1179 Prefix: COR0016	Supply Chain Failure	Due to: a contracted supplier entering into financial distress and/or an insolvency event, the market being unable to provide services, or the market being unable to deliver services at contracted prices There is a risk that: the supply chain fails or is disrupted Resulting in: disruption to provision of service, leads to delays, cost pressures, and reputational damage.	Medium (3.3=9)	MCA seeks to ensure a broad supplier basis through open market competition	Medium (3.2=6)	Internal Audit have tested supplier resilience and offered a number of recommendations that will be implemented	Steve Davenport	Steve Davenport	31 Mar 2023	Transferred from GS	02 Mar 2023
					The MCA has access to a number of broad framework agreements to call off, in a timely fashion		New contract function to ensure the financial health of key suppliers is tested in contract as well as pre contract to provide early warning.	Steve Davenport	Steve Davenport	30 Jun 2023	Transferred from GS	02 Mar 2023
					The MCA conducts pre-contract financial health due-diligence on major contracts including seeking details of associated sub-contracting and proportion of delivery / contract.		MCA to continue to broaden its supplier base through more effective market engagement.	Gareth Sutton	Gareth Sutton	01 Jul 2022	Closed: Business as Usual action	09 Jan 2023
					The MCA holds a prudent level of reserves to mitigate financial shock.		Business Continuity Plans to be re-tested for loss of key suppliers.	Gareth Sutton	Sue Sykes	30 Jun 2023	Currently underway	09 Jan 2023
					Standard Supplier Questionnaire completed by potential suppliers as part of the procurement process to ensure consistency of procurement and information provided by bidders. Part of it is backward facing seeking assurance over previous experience and therefore quality, competency and financial health.		Work is ongoing with project sponsors to test the forecast cost of schemes effected by supply chain pressures.	Gareth Sutton	Gareth Sutton	01 Jul 2022	Closed: Completed the evaluation and assessment	09 Jan 2023
					Rules and standards are set through the Contract Procedure Rules and Financial Regs							
					Evidence sought to confirm responses e.g. payment terms sought and Insurance levels							
					When bids received, further analysis is undertaken on the accounts and specifically around liquidity and the proportion of turnover which is MCA generated.							
The applicant is risk assessed and decisions made on that basis.												
Steve Davenport	Reference: 1202 Prefix: COR0018	Health and Safety- Major Accident or Injury	Due to: A major accident or injury occurs involving SYMCA assets and / or people There is a risk that: leads to regulator intervention Resulting in: resulting in liability and adverse impact on the workforce, budgets and reputation of the MCA.	Medium (5.2=10)	Health and safety policy and procedures in place and audited by independent H&S advisor.	Medium (5.1=5)	Job descriptions will be amended to ensure role responsibilities are set out to strengthen MCA controls.	To be allocated	To be allocated	31 Jul 2022	Closed: Role description (relates to Tram H & S) has been defined and the post filled. Contracts of Employment, applicable to all employees, incorporate a section related to H&S responsibilities	24 Nov 2022
					Training provided to all staff.							
					Appropriate maintenance contracts in place to undertake fabric and Mechanical & Electrical repairs and inspections as required.							
					Monitoring of incidents and near misses undertaken, quarterly reports presented to Management Board and the ASRC.							
					Health and Safety in Transport Deep Dive with independent members of ASRC.							
					Specific Tram related H & S officer post established, which incorporates H & S in the role - post filled.							

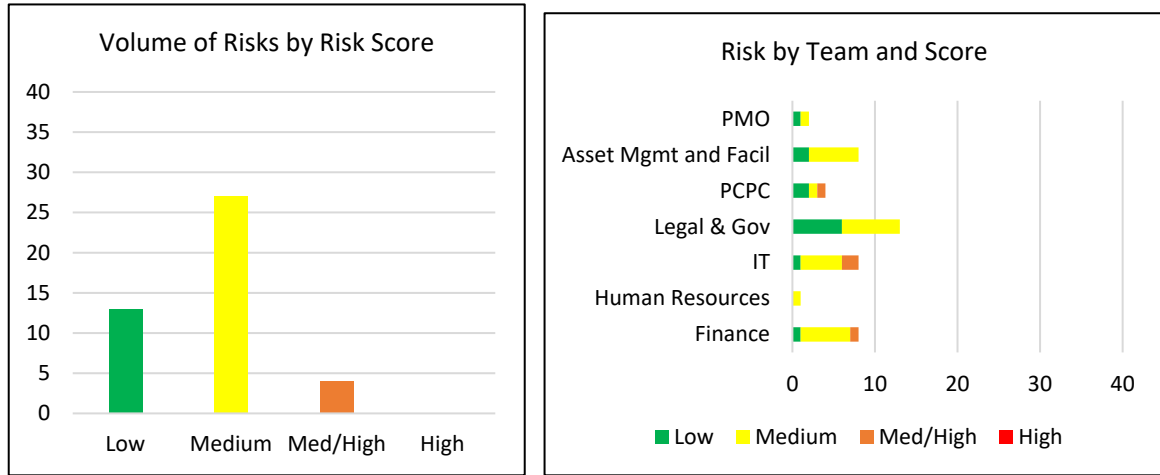
Owner	Identifier	Title	Cause and Effects	Inherent Priority	Controls Detail	Residual Priority	Detail	Owner	Assignee	Actions Variable Target	Last Update Text	Last Update Date
Rebecca Bishop	Reference: 1217 Prefix: COR0020	Organisational Capacity & Skills	Due to: Inadequate organisational design, recruitment, retention and training There is a risk that: the approach to resourcing is ineffective and reactive Resulting in: an overstretched and under resourced workforce incapable of meeting the organisational objectives.	Medium (3.2=6)	Corporate Plan being updated and revised to provide clarity of outcomes, priorities and accountabilities and a corporate business plan / resource plan in development to match resources to priorities. Introduction of a HR Business Partnering approach to work closely with teams to enable early identification of emerging risks or issues in capacity. Workforce data reported to Management Board and employee engagement surveys in place to provide feedback from the workforce	Medium (3.2=6)	Work on alternative approaches to recruitment to secure talent into the organisation to be developed and actions agreed.	Gareth Sutton	Gareth Sutton	31 Mar 2023		
							Develop the Resource Strategy and approaches to build a pipeline of employees for the mid to long term.	Gareth Sutton	Gareth Sutton	31 Mar 2023		
							Utilisation of the MCA entitled Apprenticeship Levy to be considered for growing and energising the resource pool for the future.	Gareth Sutton	Gareth Sutton	31 Mar 2023	Approach to graduates and apps is under review and will be further considered by the Leadership Centre as part of the wider Review	10 Nov 2022
							An organisational review is underway which will test the resourcing model.	Gareth Sutton	Gareth Sutton	31 Mar 2023	Links into the organisational Review	10 Nov 2022
							Appointment of a HR Director (that will take responsibility for the actions once in post)	Gareth Sutton	Gareth Sutton	12 Jan 2023		

Low

Owner	Identifier	Title	Cause and Effects	Inherent Priority	Controls Detail	Residual Priority	Detail	Owner	Assignee	Actions Variable Target	Last Update Text	Last Update Date
Gareth Sutton	Reference: 1146 Prefix: COR0013	Borrowing leads to financial risk	Due to: new borrowing vires There is a risk that: the MCA is exposed to new financial risk around exposure to interest rates and debt management and also a new compliance regime Resulting in: HM Treasury consents for annual borrowing caps being required	Medium (3.2=6)	The MCA sets an Annual Treasury Management Strategy that is scrutinised by the Audit Committee and approved by Board. This governs its approach to borrowing and debt The MCA ensures it has access to professional support via a contracted arrangement with SCC and Link Treasury Advisors, and internally through officers with appropriate qualifications The MCA reports on its Treasury performance to Audit Committee and Board through a forward, backward and mid-year review The MCA has developed good working relationships with HM Treasury officers and negotiated an initial borrowing cap. The SY Directors of Finance Group has developed a number of principles around borrowing for the Investment Strategy activity that will need to be ratified by the Board. The MCA has designed a new Treasury Management Strategy for the year that has been approved by the Audit and Standards Committee	Low (2.2=4)	The MCA is shaping its approach to its new borrowing vires through the Investment Strategy work	Gareth Sutton	Gareth Sutton	31 Mar 2022	Closed: Complete	07 Oct 2022
							The MCA has engaged with HM Treasury to begin its second round of borrowing cap negotiations	Gareth Sutton	Gareth Sutton	31 Mar 2022	Closed: Complete	07 Oct 2022
							The MCA has re-set the role of SCC in supporting its borrowing activity	Gareth Sutton	Gareth Sutton	31 Mar 2022	Closed: Complete	07 Oct 2022
							The MCA has engaged government on its latest Capital Financing Framework consultation	Gareth Sutton	Gareth Sutton	31 Mar 2022	Closed: Complete	07 Oct 2022
							The MCA has designed a new Treasury Management Strategy for the year that has been approved by the Audit and Standards Committee	Gareth Sutton	Gareth Sutton	31 Mar 2022	Bulk Reassign	07 Sep 2022
							The MCA will be presented with borrowing principles for the Investment Strategy in July	Gareth Sutton	Gareth Sutton	31 Jul 2022	Closed: Complete	07 Oct 2022
							The MCA to recruit a new Senior Finance Manager with appropriate Treasury Management experience	Gareth Sutton	Mike Thomas	30 Jun 2023	In progress, aimed to recruit into the specified role and this has not yet been successful.	09 Jan 2023
Martin Swales	Reference: 1209 Prefix: COR0019	Post Integration Embedding of Organisational Design	Due to: staff understanding of roles and responsibilities in the new organisation structure There is a risk that: there remains uncertainty about the structure, processes and respective roles of staff Resulting in: a loss of momentum in delivering organisational goals.	Medium (3.3=9)	structure developed, agreed and communicated. operating model to shape internal responsibilities and ways of working agreed and communicated Corporate Plan being updated and revised to provide clarity of outcomes, priorities and accountabilities Annual business planning cycle will consider any resourcing gaps or risk areas Management development has commenced with two sessions having taken place to May 2022.	Low (2.2=4)	Work on corporate culture and values in process of being designed and delivered	Clare Monaghan	Clare Monaghan	31 Mar 2023	Restructure	06 Oct 2022
							Work on a Management Offer outlined to the organisation will be implemented and monitored.	Clare Monaghan	Clare Monaghan	31 Mar 2023	Closed: Superseded by Organisational Review work and OD plans.	10 Mar 2023

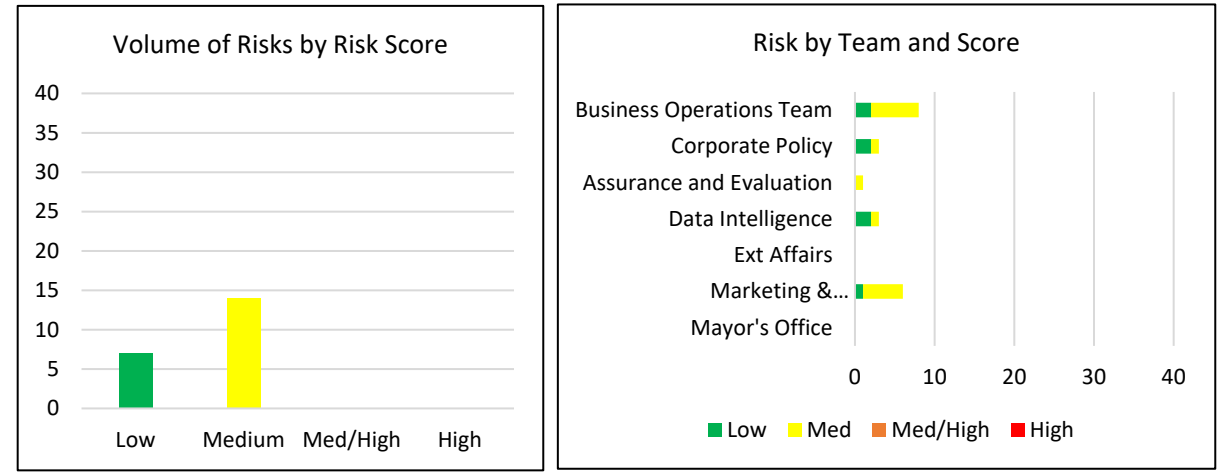
Directorate risks are defined as risks specific to SYMCA teams and can be reflective of objectives, business plans, processes and operating environments.

Resources & Investment Directorate



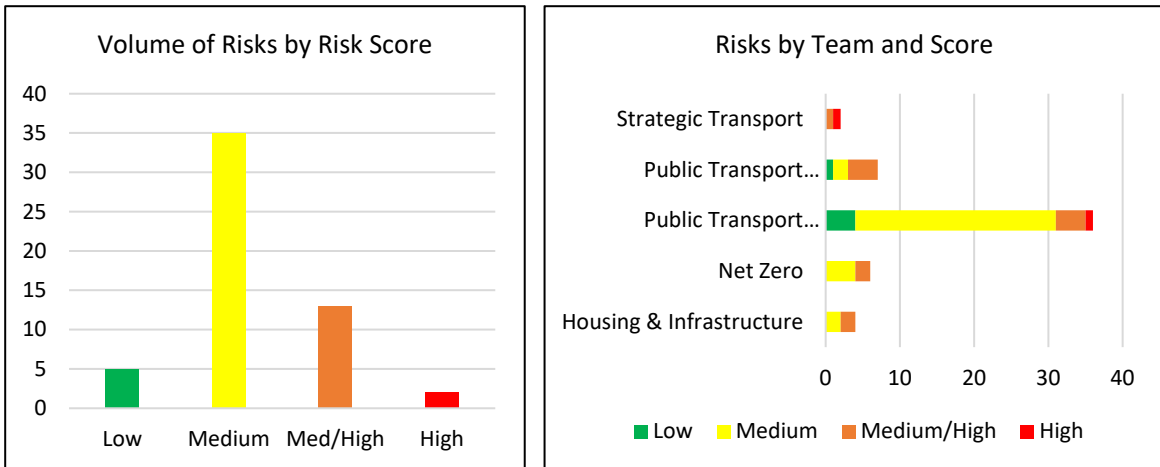
No. of H & S 'themed' risks scoring 5 or above = 5 (plus 1 at Corporate level)

Strategy & Development Directorate



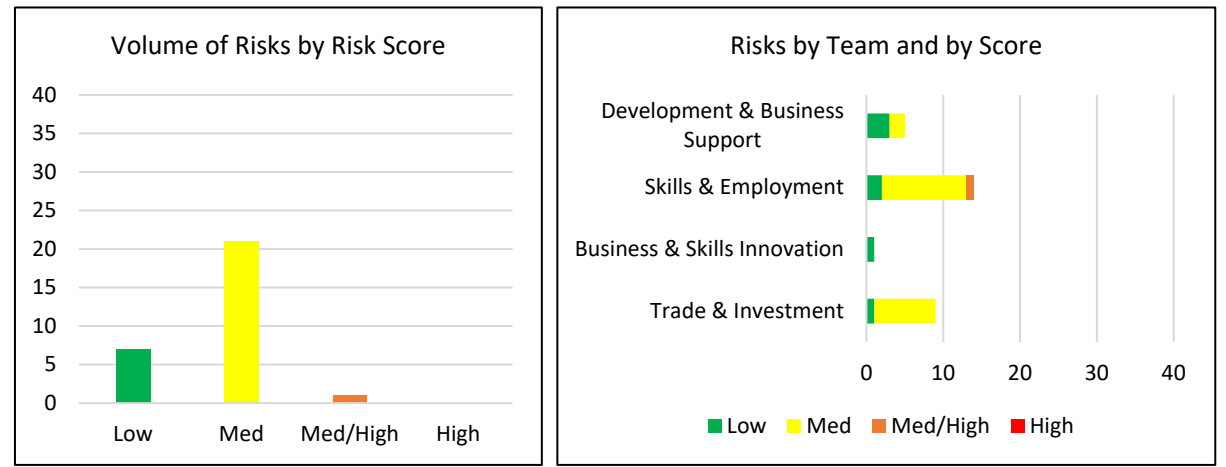
No. of H & S 'themed' risks scoring 5 or above = 0

Infrastructure & Place Directorate



No. of H & S 'themed' risks scoring 5 or above = 14

Business & Skills Directorate



No. of H & S 'themed' risks scoring 5 or above = 0