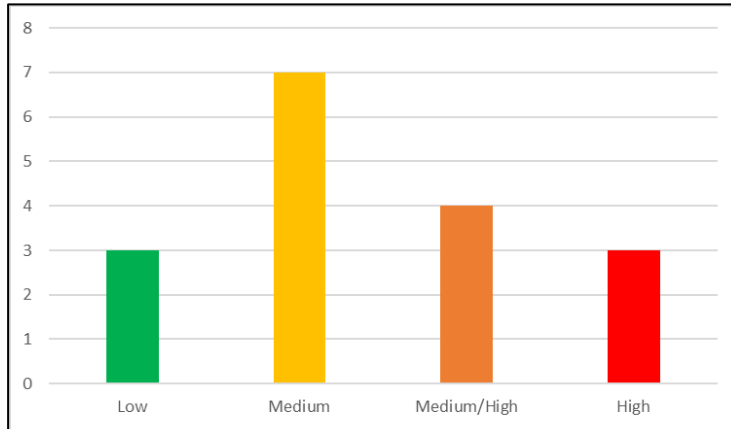


Risk Dashboard

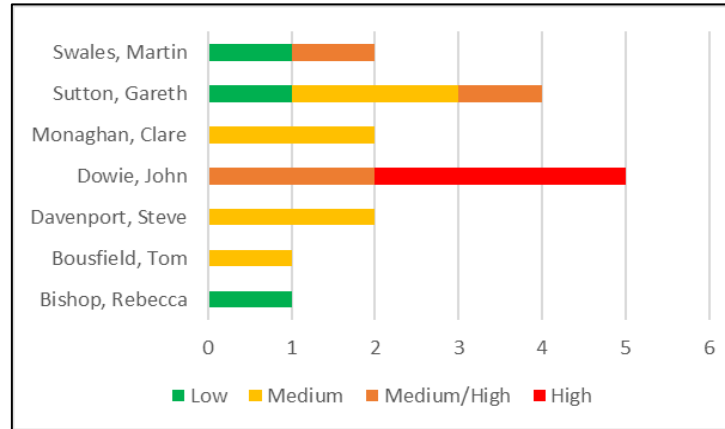
June 2023

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.

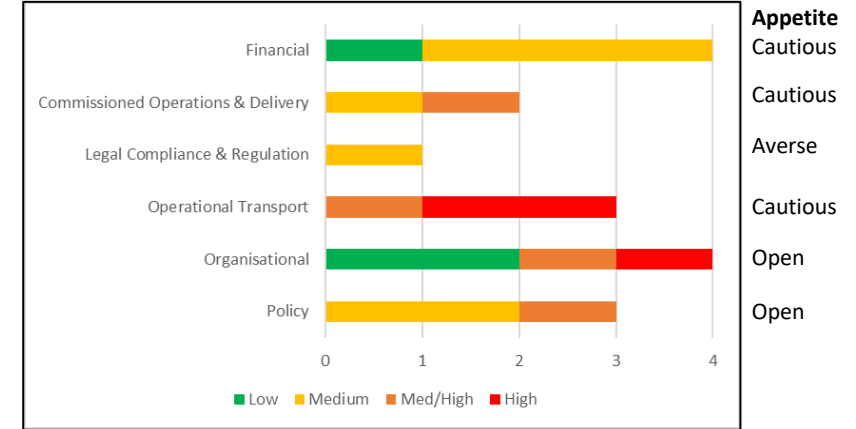
Corporate Risks by Risk Score



Corporate Risks by Executive Level Ownership



Corporate Risks by Strategic Group



Summary

There have been no new corporate risks identified since the last report in March and no corporate risks closed. The organisation continues to manage 17 corporate risks in total.

Since the last report the residual scores for three risks have reduced:

COR0022 – DSA Closure – from ‘high’ to ‘medium/high’ to reflect the agreement of the MCA Board to provide £3.1m to undertake initial CPO viability activity.

COR0007 – Net Zero – whilst still ‘high’ the residual score has been reduced from 25 to 20 to reflect the progress starting to be made in convening partners and stakeholders.

COR0020 – Organisational Capacity & Skills – residual score reduced from ‘medium’ to ‘low’ to reflect progress made.

The residual score for one risk has increased from ‘medium’ to ‘medium/high’ since the last report. This is the risk relating to the Bus Service Improvement Plan (ref COR0014). The increase in score is a result of SYMCA not being awarded Bus Service Improvement Plan (BSIP) funding. The risk score now exceeds the risk appetite for this risk.

More detail, including controls and mitigating action is included in the Corporate Risk Register at pages 4 and 5.

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	<p>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</p> <p>There is a risk that: the approach is fragmented</p> <p>Resulting in: a failure to achieve the net zero target, by 2040</p>	High (5.5=25)	The MCA strategy requires that the Net Zero response runs through our core programmes.	High (5.4=20)	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 2024	Target date revised due to actions being longer term	12 Jun 2023
					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.					
					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.					
John Dowie	Reference: 1105 Prefix: COR0009	Bus: Recovery Funding	<p>Due to: Reduced/terminated recovery funding from central government and lower levels of patronage</p> <p>There is a risk that: The network suffers major cuts</p> <p>Resulting in: a spiral of decline</p>	High (5.5=25)	Ongoing dialogue with DfT officials and ministers to shape the existing and future proposals.	High (5.4=20)	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
					Recovery funding secured until 31 March 2023		Agree future arrangements for a return to concessionary payments (based on actuals) and opportunity to recycle any underspend to support services					
					Continue payment of concessions at pre-COVID rates until April 2023 on the DfT deflator		Deliver tendered bus service network from July and September 2023 (subject to MCA approval)					
					Adjustments to pre-COVID rates proportionate to network mileage to allow underspend to be retained and potentially used for future network protection.							
					Service change/consultation process in place with operators to ensure early notice of potential changes.							
Maintenance of Protection of Priority Services from reserve and use of wider reserves across SYMCA to support short-term mitigations to June/July 2023												
John Dowie	Reference: 1164 Prefix: COR0015	Tram Services	<p>Due to: A delay in concluding future operating model for tram services beyond the current operating concession and then completing transition</p> <p>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</p> <p>Resulting in: financial, capability and capacity pressures as well disruption to tram services</p>	High (5.5=25)	Appointment of an Interim Programme Director (IPD)- Light Rail Transport Operation.	High (5.4=20)	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
					Light Rail Development Programme established and key milestones identified		Recruitment underway for wider tram concession team, prioritising operational/engineering and PMO roles					
					Governance arrangements established to oversee the programme of work (Concession end, Financial Sustainability, Asset Renewal and Future Vision)							
					Reporting and engagement plan established encompassing Management Board, SY Chief Execs, TEB and MCA							
					Tram Project Reserve created to support readiness activity.							

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: 1156 Prefix: COR0014	The BSIP and EP Scheme Delivery	<p>Due to: insufficient funding through BSIP</p> <p>There is a risk that: our aspirations for growing the bus market are undermined</p> <p>Resulting in: no meaningful service improvements and continued decline</p>	High (4.5=20)	EP scheme implemented and established based on available funding (ie no BSIP allocation)	Medium/High (3.4=12)	Continue to lobby DfT officials/ministers on bus services challenges in SY.	Pat Beijer	Nick Brown	31 Dec 2023	Revised variable deadline date (added 6 months) given on going nature of action.	12 Jun 2023
					Stakeholder comms setting expectations around deliverable improvements shared and approved (MCA/TEB/STOB)		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					
					Ability to add/amend EP Scheme(s) if further funding becomes available.							
					Successful ZEBRA bid will provide around £15m of funding for new EV fleet							
John Dowie	Reference: 1195 Prefix: COR0017	Transport - delivery of the CRSTS Programme	<p>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</p> <p>There is a risk that: the capacity and capability in the region is insufficient to deliver extensive projects in the programme within timescale</p> <p>Resulting in: the potential damage to the reputation of the MCA and Mayor.</p>	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	In progress	08 Jun 2023
							Executive Director I & P to engage with problem areas to help unblock/troubleshoot project/programme delivery issues					
Gareth Sutton	Reference: 1224 Prefix: COR0021	Heightened Cyber Security Threat	<p>Due to: an increase in the number of cyber-attacks, due to the increasing reliance on digital</p> <p>There is a risk that: there is a successful cyber attack</p> <p>Resulting in: operational disruption, data corruption, systems outage and loss of finances.</p>	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 Jul 2023	Online material that covers Cyber Security Awareness is being reviewed and agreed for it to be rolled out across the organisation	23 May 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.		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.					
					Web-filtering to restrict and prohibit unauthorised access and data loss.							
					An IT Policy exists and is updated as necessary, last updated in 2021.							
					Password policy exists implementing good practice to build strong access controls including multi-factor authentication.							
					Activity monitoring takes place including how people access the system.							
					Phishing attacks, annual 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.												
Martin Swales	Reference: 2300 Prefix: COR0022	Doncaster Sheffield Airport Closure.	<p>Due to: the cessation of aviation operations</p> <p>There is a risk that: the area will be subject to direct and indirect job losses</p> <p>Resulting in: a drag on the regional economy and the area becoming less desirable for inward investment.</p>	High (5.5=25)	The MCA continues to engage with all stakeholders to explore opportunities to maintain aviation.	Medium/High (4.3=12)	Continuing to work with City of Doncaster Council on their case for CPO.	Martin Swales	Martin Swales	31 Mar 2025	Variable deadline amended to reflect long term nature of action. MCA Board 5th June agreed to provide City of Doncaster Council £3.1m to undertake initial CPO activity.	12 Jun 2023

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
Tom Bousfield	Reference: 1005 Prefix: COR0001	Adult Education Budget Performance	<p>Due to: potential under performance within the programme</p> <p>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</p> <p>Resulting in: back loading and adverse reputational impact on the MCA and partners.</p>	High (4.4=16)	Performance monitoring meetings with all providers in place to understand planned delivery volumes and their delivery intentions.	Medium (4.2=8)	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	31 Dec 2023	Majority of posts now filled. Revised variable deadline (plus 6 months) to provide review point	12 Jun 2023
					Performance reporting to Management Board has taken place to highlight the delivery challenges.							
					Funding & Performance Rules set out the conditions of funding and how underperformance will be addressed.							
					The MCA has audit step in rights should it need to undertake more robust reviews.							
Clare Monaghan	Reference: 1015 Prefix: COR0002	Policy change causes disruption	<p>Due to: Changes to the political and policy operating environment e.g. Devolution White paper</p> <p>There is a risk that: regional priorities shift</p> <p>Resulting in: disruption to the prospects of achieving our mission</p>	Medium/High (5.3=15)	Engaging with Government officials to shape proposed policy priorities and shifts.	Medium (5.2=10)	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	31 Dec 2023	Internal Devolution Group now meeting. Revised variable deadline to ensure progress update in 6 months.	12 Jun 2023
					Ongoing horizon scanning- to monitor the situation and respond quickly.							
					Leadership of the M10 network and knowledge sharing with other CAs.							
Clare Monaghan	Reference: 1020 Prefix: COR0003	Strategic Economic Plan	<p>Due to: Resource levels, external and unanticipated pressures</p> <p>There is a risk that: we lose focus on delivering the SEP, and its direction of travel</p> <p>Resulting in: an inability to regenerate the economy</p>	Medium/High (5.3=15)	Borrowing powers secured to maximise funding.	Medium (5.2=10)	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.					

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: 1113 Prefix: COR0010	Failure to agree Investment Strategy	<p>Due to: Failure to agree an Investment Strategy</p> <p>There is a risk that: funding is used inefficiently and ineffectively</p> <p>Resulting in: an inability to restructure the South Yorkshire economy.</p>	Medium (3.3=9)	The outcomes of the BPR workstream and steering group are beginning embedded into the overall Strategy	Medium (3.2=6)	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					
					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 will continue on the operationalisation of the Plans, including borrowing principles						31 Mar 2025	Work continues. Variable deadline date amended to reflect long term nature of action.	12 Jun 2023		
					Agree borrowing cap with HMT on an annual basis		Work is underway to make new connections with institutional investors.						30 Jun 2023	MOU being shared with South Yorkshire Pensions and Aviva	12 Jun 2023		
Gareth Sutton	Reference: 1134 Prefix: COR0012	Financial Health	<p>Due to: a lack of quantum, breadth, and flexibility of funding to deliver on all activities</p> <p>There is a risk that: there is an unsustainable call on reserves</p> <p>Resulting in: structural funding issues being exacerbated by the inflationary environment and disruption to commercial income streams</p>	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)	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 Group undertakes cyclical budget monitoring to identify financial performance allowing for the reallocation of resource mid-year												
					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												
Steve Davenport	Reference: 1179 Prefix: COR0016	Supply Chain Failure	<p>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</p> <p>There is a risk that: the supply chain fails or is disrupted</p> <p>Resulting in: disruption to provision of service, leads to delays, cost pressures, and reputational damage.</p>	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	30 Sep 2023	Following an internal restructure the MCA has moved away from a centralised contract management function to a client led function. Key supplier resilience will, in line with recommendations be on a risk based approach.	12 Jun 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 Sep 2023	Following re-structure of teams a client based approach has been agreed which includes periodic testing of key suppliers.	12 Jun 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.		Business Continuity Plans to be re-tested for loss of key suppliers.						Gareth Sutton	Sue Sykes	30 Sep 2023	Business Continuity Plans (Supplier Resilience Group) established to re-test and refresh existing plans. Variable deadline revised to ensure progress is recorded.	12 Jun 2023
Steve Davenport	Reference: 1202 Prefix: COR0018	Health and Safety- Major Accident or Injury	<p>Due to: A major accident or injury occurs involving SYMCA assets and / or people</p> <p>There is a risk that: leads to regulator intervention</p> <p>Resulting in: resulting in liability and adverse impact on the workforce, budgets and reputation of the MCA.</p>	Medium (5.2=10)	Health and safety policy and procedures in place and audited by independent H&S advisor.	Medium (5.1=5)											
					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.												
					Standard contracts of employment for all SYMCA people incorporate a section on H & S responsibilities												

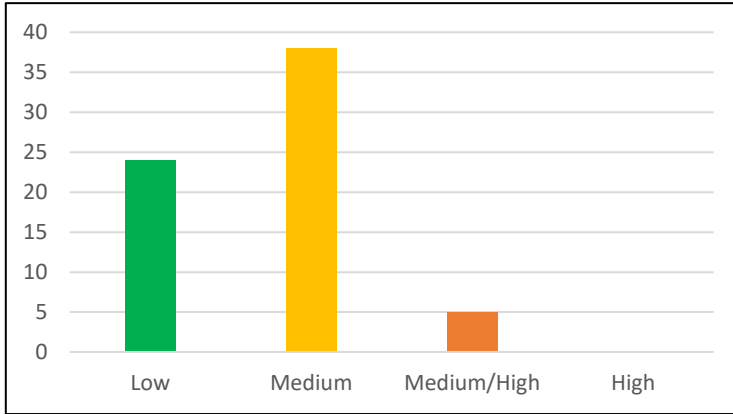
Low

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	<p>Due to: new borrowing vices</p> <p>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</p> <p>Resulting in: HM Treasury consents for annual borrowing caps being required</p>	Medium (3.2=6)	<p>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</p> <p>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</p> <p>The MCA reports on its Treasury performance to Audit Committee and Board through a forward, backward and mid-year review</p> <p>The MCA has developed good working relationships with HM Treasury officers and negotiated an initial borrowing cap.</p> <p>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.</p>	Low (2.2=4)	The MCA to recruit a new Senior Finance Manager with appropriate Treasury Management experience	Gareth Sutton	Mike Thomas	30 Sep 2023	Role currently being filled by a contractor. Variable deadline amended to ensure further review in autumn.	12 Jun 2023			
Martin Swales	Reference: 1209 Prefix: COR0019	Post Integration Embedding of Organisational Design	<p>Due to: staff understanding of roles and responsibilities in the new organisation structure</p> <p>There is a risk that: there remains uncertainty about the structure, processes and respective roles of staff</p> <p>Resulting in: a loss of momentum in delivering organisational goals.</p>	Medium (3.3=9)	<p>structure developed, agreed and communicated.</p> <p>operating model to shape internal responsibilities and ways of working agreed and communicated</p> <p>Corporate Plan being updated and revised to provide clarity of outcomes, priorities and accountabilities</p> <p>Annual business planning cycle will consider any resourcing gaps or risk areas</p> <p>Management development has commenced with two sessions having taken place to May 2022.</p>	Low (2.2=4)									
Rebecca Bishop	Reference: 1217 Prefix: COR0020	Organisational Capacity & Skills	<p>Due to: Inadequate organisational design, recruitment, retention and training</p> <p>There is a risk that: the approach to resourcing is ineffective and reactive</p> <p>Resulting in: an overstretched and under resourced workforce incapable of meeting the organisational objectives.</p>	Medium (3.2=6)	Introduction of a HR Business Partnering approach to work closely with teams to enable early identification of emerging risks or issues in capacity.	Low (3.1=3)	Organisational review to be undertaken	Gareth Sutton	Rebecca Bishop	30 Jun 2023	Outcome proposals of organisational review approved MCA 05/06/23	08 Jun 2023			
					Organisational values to be considered		Gareth Sutton				Rebecca Bishop		30 Jun 2023	Organisational values agreed and adopted	08 Jun 2023
					Pay and grading review to be undertaken.		Gareth Sutton				Rebecca Bishop		31 Dec 2023	Pay and grading review underway	08 Jun 2023
					Additional recruitment capacity to be brought into People Services team.		Gareth Sutton	Rebecca Bishop	30 Jun 2023	2 new recruitment officers now in post	08 Jun 2023				

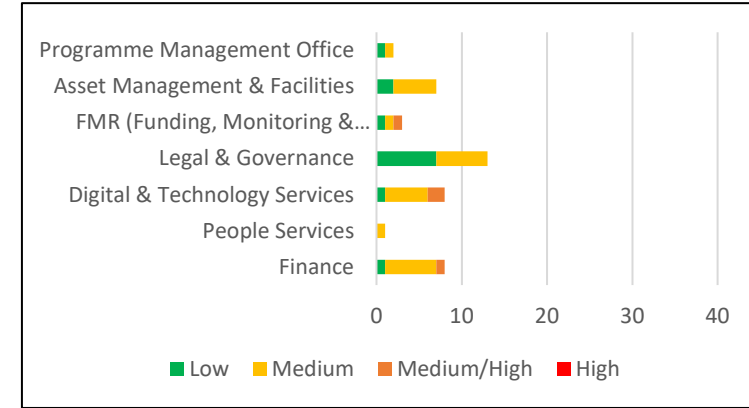
Directorate risks are defined as risks specific to SYMCA teams and can be reflective of objectives, business plans, processes and operating environments.

Resources & Investment Directorate

Risks by Risk Score



Risks by Team and by Residual Risk Score



Summary

There are four ‘medium/high’ risks within the Resources and Investment Directorate. These are listed opposite. More detail regarding controls and actions is included on page 7.

Since the last report two risks have been closed. The first relates to a lack of capacity in the Assets Management function. A new Head of Facilities and Asset Management has commenced in role since the last report. The second relates to capacity to support statutory meetings. The risk lead has confirmed adequate resources are in place.

No new risks have been added.

There are 6 risks with a health and safety theme within the Directorate. 4 of these have a residual score of 5 or above and are included on page 14 and 15 of this report.

Risks with a residual score medium/high and high

OP0020	Exposure to the commercial performance of the transport network	Mike Thomas	Mike Thomas	● Open	25	12
OP0026	Lack of Common Standards	Nick Brailsford	Nick Brailsford	● Open	25	15
OP0027	Operational Use of Non-corporate IT Business Tools	Nick Brailsford	Nick Brailsford	● Open	16	12
OP0091	Programme Slippage	Sue Sykes	Sue Sykes	● Open	20	12

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

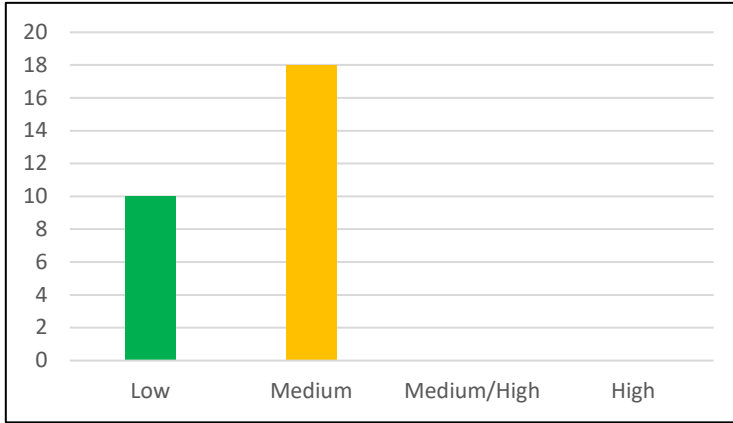
Scoring Matrix

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
Mike Thomas	Reference: 1302 Prefix: OP0020	Exposure to the commercial performance of the transport network	<p>Due to: the systemic loss of commercial viability in the South Yorkshire transport network as a result of patronage reductions</p> <p>There is a risk that: the sector will require greater public subsidy in a period of financial fragility</p> <p>Resulting in: budgetary pressures on the MCA. Re-franchising of the Supertram mass-transit light-rail system in 2024 exposes the Group to commercial risk that it is has previously been shielded from.</p>	High (5.5=25)	<p>Following ongoing engagement with the Department for Transport, Government support for both bus and tram has been guaranteed to the end of the financial year 2022/23.</p> <p>The Group's Medium Term Financial Strategy is predicated on the use of reserves to mitigate key financial risks. Members have approved the preferred operating model for the tram system at the end of the current concession. An efficient cost model, which has been developed as part of the Mass Transit OBC work, is being refined further, and this model will help to mitigate operational risk as well as shield the MCA from financial shock.</p> <p>The MCA Board has agreed to invest additional resources, including reserves, gainshare and surplus investment income, to support public transport. Recent measures include the early introduction of £2 fare-capping ahead of the central government initiative, and also the tendering of previously commercial non-statutory school services for the next two academic years.</p>	Medium/High (3.4=12)	Explore options for capitalising tram operating losses	Mike Thomas	Mike Thomas	30 Sep 2023	The MCA's new external auditor – KPMG – have indicated that they are comfortable with the proposal that the MCA could use share capital purchases as a way of inputting cash into the subsidiary. The MCA continues to explore how this may work in practice and has begun conversations with the Department for Transport on the potential application of grant funding for this purpose	31 May 2023
							Continue to lobby government for continuation of funding for bus and tram.	Gareth Sutton	Gareth Sutton	31 Oct 2023	Dept for Transport announced additional funding on 17th May to support the bus sector. The funding package, known as BSIP+, will see some funding go directly to operators and c.£6.3m to SYMCA over the next 2 years. Funding to support fare-capping will also be extended (£2 till October, then £2.50 till next November)	31 May 2023
Nick Brailsford	Reference: 1360 Prefix: OP0026	Lack of Common Standards	<p>Due to: Different platforms being used</p> <p>There is a risk that: The organisation has pockets of areas that use different ways for working</p> <p>Resulting in: incompatible documents, increased volumes of workloads as employees utilise non secure ways of working resulting in data breaches and reputation damage</p>	High (5.5=25)	<p>Web filtering in place restricting access to unapproved sites and tools e.g. drop box</p> <p>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.</p> <p>Mgmt Board have agreed the web categories to be used for content filtering.</p> <p>Access requests and web filtering to the IT team for approval takes place where employees wish to access web sites/documents in third party sites.</p> <p>Achievement of Cyber Essentials</p>	Medium/High (5.3=15)	Mgmt Board to consider the need for a Chief Information Officer to champion technical standards and data security.	Gareth Sutton	Nick Brailsford	01 Jan 2024	Head of Digital Transformation now in place. IT department name updated to Digital and Technology Services (DTS) CIO role still to be considered	09 Jun 2023
							IT are working with the Learning and Development team to define and deliver the training requirements for employees across the MCA.	Nick Brailsford	Nick Brailsford	01 Jan 2024	There is a lack of L&D resources to support this requirement. DTS team are picking some parts up in their absence as part of 2023/24 objectives	09 Jun 2023
							Data sharing agreements to be defined with partners that set out the agreed parameters of data use. Working with the Governance Team	Nick Brailsford	Nick Brailsford	01 Jan 2024	Governance and DTS have started to discuss what this will look like and its dependant on the implementation of SharePoint	09 Jun 2023
							To agree the Statement of Works, which has been prepared to bring in consultancy services to facilitate the application the additional controls within the MS Tenant	Nick Brailsford	Nick Brailsford	01 Oct 2023	The project stalled due to different priorities.	09 Jun 2023
Nick Brailsford	Reference: 1370 Prefix: OP0027	Operational Use of Non-corporate IT Business Tools	<p>Due to: Not using corporate agreed software or standards.</p> <p>There is a risk that: Unsupported legacy software / ways of working continue eg sharing files via email and printing</p> <p>Resulting in: Data loss, security breaches, increased storage and resource costs and ineffective and inefficient operations.</p>	High (4.4=16)	<p>The IT team steer and make recommendations to employees, when asked, to facilitate the use of effective tools.</p> <p>Web filtering in place, which restricts access to unapproved sites and information sharing platforms e.g. drop box.</p> <p>Mimecast installed for sharing large files, email filtering</p> <p>Physical and access controls in place.</p> <p>Cyber Essentials Accreditation has been obtained which shows that the organisation has controls in place.</p>	Medium/High (3.4=12)	IT are working with the Learning and Development team to define and deliver the training requirements for employees across the MCA.	Nick Brailsford	Nick Brailsford	01 Jan 2024	Not progressed due to capacity in the L&D area	09 Jun 2023
							Data sharing agreements to be defined with partners that set out the agreed parameters of data use.	Nick Brailsford	Nick Brailsford	01 Jan 2024	Data Sharing agreements in place where personal data is used. Further agreements need to be setup for sharing none personal data	09 Jun 2023
							Statement of Works prepared to bring in consultancy services to facilitate application of additional controls	Nick Brailsford	Nick Brailsford	01 Sep 2023	Stalled due to different priorities	09 Jun 2023
Sue Sykes	Reference: 1688 Prefix: OP0091	Programme Slippage	<p>Due to: Slippage in programme and project delivery</p> <p>There is a risk that: the MCA could lose existing and future funding</p> <p>Resulting in: reputational damage and financial unsustainability.</p>	High (5.4=20)	<p>PMO function established to work with partners to support timely project development and delivery.</p> <p>Critical path analysis of bid submissions and business cases.</p> <p>Quarterly monitoring of grant funding and contracted provision.</p> <p>Established change control process internally and with sponsor government bodies.</p> <p>.</p> <p>Performance reporting to thematic boards.</p> <p>.</p> <p>Thematic board papers include reference to risks and issues.</p> <p>FMR meeting quarterly with LA finance teams to ensure accurate forecasting of programme spend</p>	Medium/High (4.3=12)	Implementation and role out of the Verto Programme Management System.	Sue Sykes	Sue Sykes	30 Jun 2023	Guidance under further review due to upcoming changes to business case documentation	24 May 2023

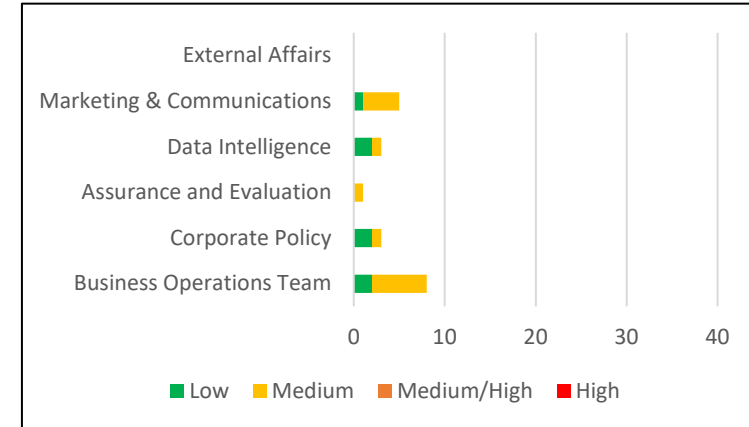
Directorate risks are defined as risks specific to SYMCA teams and can be reflective of objectives, business plans, processes and operating environments.

Strategy & Development Directorate

Risks by Risk Score



Risks by Team and by Residual Risk Score



Summary

There are no ‘medium/high’ or ‘high’ risks within the Strategy and Development Directorate.

Since the last report one risk has been closed. This risk related to reactive marketing activity and has been closed as at the point of review, the risk was considered to be too similar to another risk around the lack of a corporate communications plan (risk score ‘medium’). No new risks have been added since the last report. No risks have increased or decreased in residual score.

There is one risk with a health and safety theme within the Directorate. However, this has a residual score of 1 (low).

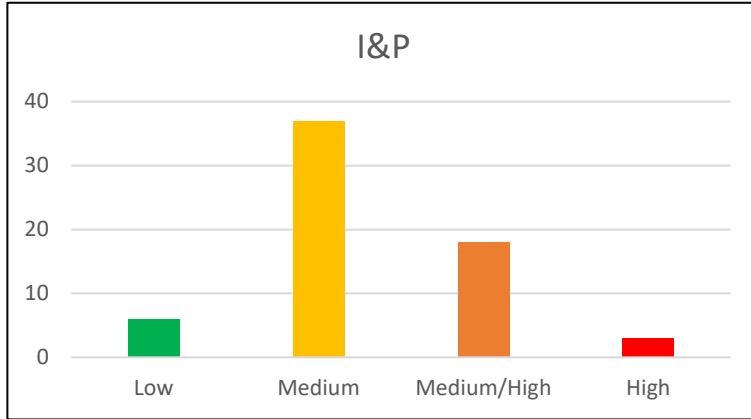
Scoring Matrix

Impact	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
		1 Highly Unlikely	2 Unlikely	3 Possible	4 Probable	5 Highly Probable
		Probability				

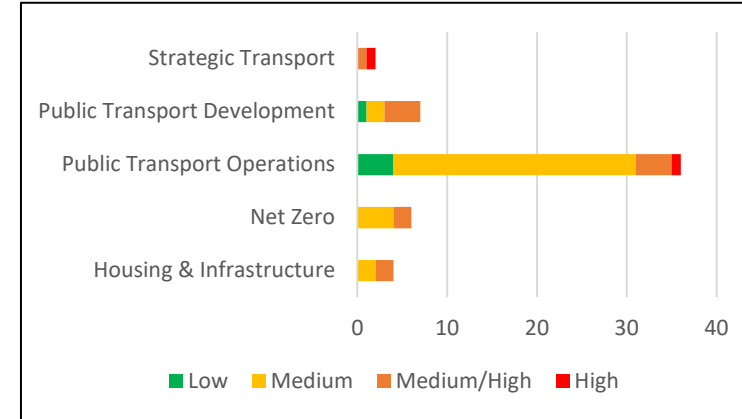
Directorate risks are defined as risks specific to SYMCA teams and can be reflective of objectives, business plans, processes and operating environments.

Infrastructure & Place Directorate

Risks by Risk Score



Risks by Team and by Residual Risk Score



Summary

There are two ‘high’ and 13 ‘medium/high’ risks within the Infrastructure and Place Directorate. These are listed opposite. More detail regarding controls and actions is included on page 10 and 11.

Since the last report one risk has been closed. This relates to the impact of Clean Air Zones on bus services. With a residual score of ‘medium’, this risk is now closed as the Clean Air Zone has been implemented and has had no impact on bus service operations. One new risk has been added and relates to delays in the availability of suitable rail for track replacement and has a residual score of ‘medium’.

There are 16 risks with a health and safety theme within the Directorate. 14 of these have a residual score of 5 or above and are included on page 14 and 15 of this report.

Risks with a residual score medium/high and high

OP0030	Road Traffic Collision at Bernard Road Junction (552)	Tim Taylor	Tim Taylor	● Open	20	15
OP0032	Balance Anchor Weight Failures (553)	Tim Taylor	Patrick Gannon	● Open	15	15
OP0046	Inability to think strategically (523)	Pat Beijer	Pat Beijer	● Open	20	15
OP0049	Organisational agility to respond to people resource needs (517)	John Dowie	Pat Beijer	● Open	20	15
OP0065	Inability to fund the costs of tram asset renewal (462)	Pat Beijer	Pat Beijer	● Open	20	15
OP0068	Disruption due to concession handback (514)	Pat Beijer	Pat Beijer	● Open	20	15
OP0114	Cost inflation	Colin Blackburn	Colin Blackburn	● Open	25	15
OP0116	Sporadic Funding Opportunities	Colin Blackburn	Colin Blackburn	● Open	16	12
OP0135	Dilapidated Connect Totems - Sheffield City Centre (547)	Rebecca Roe	Rebecca Roe	● Open	12	12
OP0151	Declining Patronage (463)	Tim Taylor	Tim Taylor	● Open	25	20
OP0153	Net Zero - MCA Operation	John Dowie	Richard Sulley	● Open	16	12
OP0154	Third Party Reliance on Bus Operators to deliver Net Zero targets	Tim Taylor	Tim Taylor	● Open	20	15
OP0156	Application of Regional Policies	John Dowie	Chloe Shepherd	● Open	20	16
OP0159	Net Zero - increasing cost and devalued investments	Gareth Sutton	Richard Sulley	● Open	16	12
OP0206	Tram Structures Inspections Identify Significant Remedial actions	Tim Taylor	Patrick Gannon	● Open	25	15

Infrastructure & Place Directorate Risk Register June 2023



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
Tim Taylor	Reference: 1975 Prefix: OP0151	Declining Patronage (463)	<p>Due to: declining quality and provision of bus services plus societal change</p> <p>There is a risk that: patronage continues to decline</p> <p>Resulting in: increased support costs and subsidy requirements and potential further reduction of services and quality</p>	High (5.5=25)	Enhanced concession/discount schemes implemented to promote public transport usage	High (5.4=20)	<p>Conduct network review of bus services to agree scope of both supported and commercial services and associated financial support based on post-COVID passenger numbers and now with confirmed BSIP Plus Funding to SYMCA of £3.15 per year to end of 2024/25.</p> <p>Negotiate extension of network with bus operators to allow a considered approach to network changes if government funding support ends</p> <p>Review medium/long term impacts of COVID- 19 and bus usage and funding requirements</p>	Tim Taylor	Tim Taylor	28 Jul 2023	Confirmation of BSIP Plus now in place. Agreement via MCA Board on 5 June to defer decisions until end July for a September service change date.	26 May 2023
					Patronage data (actuals and forecast) reviewed on a quarterly basis, with action plans developed to reverse trend.			Tim Taylor	Andy Wright	30 Jun 2023	Funding now extended to 30 June 2023.	23 Feb 2023
					Research commissioned to investigate underlying causes of patronage decline			Tim Taylor	Tim Taylor	30 Jun 2023	Revised completion date following long term funding agreement now confirmed from DfT	26 May 2023
					Robust patronage forecast developed for each mode of transport and linked to transport operator plans (inc bus partnerships)							
John Dowie	Reference: 2007 Prefix: OP0156	Application of Regional Policies	<p>Due to: Inconsistent application of regional policies</p> <p>There is a risk that: efficient bus operation is undermined and leads to continued usage of cars and patronage decline</p> <p>Resulting in: further network reductions, an increase in the number of isolated communities and failing to deliver the policy aspirations set out in our SEP. e.g. free car parking undermines net zero and public transport aspirations.</p>	High (4.5=20)	Meetings with Leaders and CEOs to reinforce the importance of a supportive policy environment	High (4.4=16)	<p>Work with Leaders to develop and apply pro bus policies</p> <p>Work with Government and stakeholders to demonstrate and foster support to influence the approaches in the region.</p> <p>Work with bus (and other e.g. tram, active travel) operators to influence and engage in the delivery of our plans</p>	John Dowie	John Dowie	28 Feb 2026		
					Working with wider stakeholders to identify and reinforce the benefits of enabling efficient bus operation			Chloe Shepherd	Chloe Shepherd	28 Feb 2026		
					Inclusion of pro bus policies in our implementation plans			Chloe Shepherd	Chloe Shepherd	28 Feb 2026		
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
Tim Taylor	Reference: 1393 Prefix: OP0030	Road Traffic Collision at Bernard Road Junction (552)	<p>Due to: the number of near miss incidents reported</p> <p>There is a risk that: there will be an actual Road Traffic Collision at Bernard Road junction</p> <p>Resulting in: fatality and/or serious injury and damage to tram vehicle and/or infrastructure</p>	High (5.4=20)	<p>Compulsory warning in place for all tram drivers</p> <p>Self seeded trees and vegetation regularly cleared to improve sight lines at the junction</p> <p>Tram speed limit reduced over the junction.</p>	Medium/High (5.3=15)	SYMCA to agree with SCC next steps regarding opportunity to look at changes to junction timings.	Tim Taylor	Patrick Gannon	30 Jun 2023	Awaiting SCC confirmation of junction changes to signalling.	26 May 2023
Tim Taylor	Reference: 1400 Prefix: OP0032	Balance Anchor Weight Failures (553)	<p>Due to: failures with no root cause</p> <p>There is a risk that: there will be further balance anchor weight system failures</p> <p>Resulting in: serious injury or fatality and service disruption</p>	Medium/High (5.3=15)	Risk assessment carried out by SYSL to ensure controls put in place	Medium/High (5.3=15)	Work with SYSL to deliver the risk based removal of the balance anchor weight system and replacement with Tensorex	Tim Taylor	Patrick Gannon	29 Mar 2024	Programme due to complete in March 2024	26 May 2023
Pat Beijer	Reference: 1479 Prefix: OP0046	Inability to think strategically (523)	<p>Due to: Inability to develop existing resources to migrate from day to day thinking to strategic thinking or to attract strategic calibre recruits, owing to relatively low salaries in a candidates' market, to support major public transport change programmes</p> <p>There is a risk that: the development programmes around bus and light rail will not be supported by the right calibre resource to successfully deliver these high profile programmes</p> <p>Resulting in: an impact on programme, time, other existing resource and quality of the delivery of the light rail development and bus franchising programmes</p>	High (5.4=20)	Major Projects: Appointment of senior project lead roles to oversee major projects such as Bus Franchising and Tram End of Concession. Job descriptions written to build a more strategically competent team to support these lead roles.	Medium/High (5.3=15)	Consider appropriate additional strategic resource support, identify individuals with the ability and willingness to pursue personal development opportunities that will over time support the requirements	Pat Beijer	Pat Beijer	31 Mar 2023	Actions are ongoing as the need for strategic resource remains critical for major programmes. Therefore it is proposed that this is reviewed on a six-monthly basis.	01 Dec 2022
					Public Transport Capital Projects: Pro-active encouragement of permanent establishment team members to explore and get involved in development opportunities arising from the major projects.		Ensure all options to attract the right calibre persons for the roles are explored with HR, which may at times mean looking for secondments or interim headhunting agency options	Pat Beijer	Pat Beijer	30 Jun 2023		
John Dowie	Reference: 1491 Prefix: OP0049	Organisational agility to respond to people resource needs (517)	<p>Due to: Tight labour market conditions (candidate's market), relatively uncompetitive public sector salaries, stringent public sector processes for recruitment and procurement (including approvals)</p> <p>There is a risk that: Being unable to acquire required additional resources in time and to budget</p> <p>Resulting in: The hard deadlines and other critical success factors of major programmes not being achieved</p>	High (5.4=20)	People resource, procurement and budget requirements included in the Infrastructure & Place plan and the Public Transport Development Business Plan specifically for 2022-23	Medium/High (5.3=15)	Ensure appropriate specialists are recruited and/or trained.	Pat Beijer	Pat Beijer	31 Mar 2023	Good progress now made with populating tram mobilisation project team, some more progress expected imminently. Still some further people resource to be secured for both tram and franchising projects	02 Mar 2023
					Close liaison with support services (HR, legal, PCPC) to highlight the criticality of resource requirements for time-critical programmes and seek to accelerate the process of populating roles		In the business planning process for 2023-24, ensure resource needs are clearly defined and budget is identified from vacancies.	Pat Beijer	Pat Beijer	31 Mar 2023		
Pat Beijer	Reference: 1550 Prefix: OP0065	Inability to fund the costs of tram asset renewal (462)	<p>Due to: not being able to identify suitable funding sources to renew the life-expired trams assets</p> <p>There is a risk that: tram infrastructure and vehicles cannot be life-extended or replaced and that ongoing asset management requirements will be unsupported</p> <p>Resulting in: deterioration in service and/or potential unplanned disruption to service</p>	High (5.4=20)	Development of Mass Transit OBC to achieve programme entry to allow the case for investment to be made in the tram system	Medium/High (5.3=15)	Identification of repairs and maintenance requirements that are linked to the budget process.	Pat Beijer	Chris Coleman	31 Mar 2023	Earlier renewal requirements for infrastructure and vehicles have been identified through ongoing contract management with the operator SYSL (trolley runs, vehicle inspections etc). These are being linked to requests from DfT for an early drawdown of CRSTS capital investment (before OBC submission), to create the budget for mobilisation and early implementation of renewal works.	01 Dec 2022
					Engagement with DfT around the process for OBC submission to ensure that the funding requirements are understood		Submit bid to DfT	Pat Beijer	Pat Beijer	02 Jun 2023		
					Light rail funding requirements are included in as many capital bid programmes as possible (£100m CRSTS secured).		Develop a new asset management system for tram assets, which identifies ongoing asset renewal requirements once the significant renewal programme is concluded, and is linked to the SYMCA Asset Register	Pat Beijer	Peter Elliott	30 Apr 2024	This project is being led by Peter Elliott and the PM is Andrew Parry.	06 Dec 2022
Pat Beijer	Reference: 1563 Prefix: OP0068	Disruption due to concession handback (514)	<p>Due to: weak contractual controls around co-operation and obligations at handback</p> <p>There is a risk that: the handback is disruptive</p> <p>Resulting in: cessation of the light rail system, liability for infrastructure and reputational damage</p>	High (5.4=20)	Financial evaluation to understand financial impact taken place.	Medium/High (5.3=15)	Develop a Transition Agreement which provides appropriate terms and conditions, that sets out the approach to handback.	Chris Coleman	Chris Coleman	30 Jun 2023	Discussions have commenced with Stagecoach via the Transition Agreement. A list of priority items have been agreed and both parties are working through the list of items. This work will continue through to March 2024, when the transfer to NewCo takes place. Review update June 2023	20 Dec 2022
					Review of the current Concession Agreement has identified strength areas and points of weakness.		Engagement with SYSL to understand current scale of sub-contracting. Analysis of risk and impact of these contracts. Risk will not materialise until nearer the end of the concession-to commence as part of the delivery programme.	Chris Coleman	Chris Coleman	31 Mar 2023	Procurement job profile created and recruitment started but no candidate secured yet	02 Mar 2023
					Resource planning and need has been identified as part of the 2022/23 Business Plan.		Commence implementation of the Mobilisation programme delivery once the future operating model is confirmed by the MCA in July 2022.	Chris Coleman	Chris Coleman	30 Apr 2023	Programme Manager started work for the project on 1 March 2023, tasked with developing a detailed work plan	02 Mar 2023
Colin Blackburn	Reference: 1806 Prefix: OP0114	Cost inflation	<p>Due to: weak economy, inflation and a lack of materials and skills' supplies</p> <p>There is a risk that: capital schemes' costs rise</p> <p>Resulting in: schemes become more unviable and requiring greater SYMCA funding and investment to enable them to be delivered</p>	High (5.5=25)	Filter out more effectively poor schemes at an early stage	Medium/High (5.3=15)						
					co-design pipelines and schemes with LAs utilising SYMCA feasibility funding							
					build greater cost contingency into schemes							
Colin Blackburn	Reference: 1814 Prefix: OP0116	Sporadic Funding Opportunities	<p>Due to: the Government's short term competitive programme funding approach</p> <p>There is a risk that: We chase funding multiple small funding opportunities rather than being able to take a strategic approach</p> <p>Resulting in: greater proportional resources implications applying and delivering multiple funding opportunities inability achieve the SEPs strategic ambitions and goals</p>	High (4.4=16)	<p>we adopt an effective and prioritised SYMCA investment strategy and only apply for funding opportunities that will clearly contribute to delivering strategic priorities</p> <p>seek further devolution of housing and infrastructure funding from Government</p>	Medium/High (4.3=12)						
Rebecca Roe	Reference: 1918 Prefix: OP0135	Dilapidated Connect Totems - Sheffield City Centre (547)	<p>Due to: the age of the Connect Totems in the Sheffield City Centre, with obsolete live departure displays, unavailable parts and inefficient information production</p> <p>There is a risk that: the live departure displays and other components will fail and are unfixable</p> <p>Resulting in: long term outages on live departure displays, or inability to post new information leading to poor customer experience, increased customer complaints and increased financial costs for repair/replacement</p>	Medium/High (3.4=12)	Adequate stocks of spares are kept available to minimise outage duration, in addition it is being looked at to utilise totems at stops no longer in use to 'cannibalise' parts	Medium/High (3.4=12)	A project is planned to look at the replacement of totems and at information as a whole in Sheffield City Centre. The current information is paper based and inefficient to produce, therefore it is being looked at to provide fully digital information at these stops and other city centre locations to ensure the correct information is provided at key locations, efficiently and accurately. Project yet to start,	Rebecca Roe	Rebecca Roe	30 Nov 2024	No further progress	27 Feb 2023
John Dowie	Reference: 1992 Prefix: OP0153	Net Zero - MCA Operation	<p>Due to: Physical changes to the environment which may impact the organisation including - Acute – extreme weather events, which may cause damage to buildings, - Chronic – slow changes such as sea level rise, changes to ambient temperatures or levels of rainfall.</p> <p>There is a risk that: These events lead to interrupted service delivery</p> <p>Resulting in: Delays and disruption to the work of the MCA.</p>	High (4.4=16)	<p>Existing business continuity plans are in place and reviewed for relevance regularly.</p> <p>A Business Continuity Working Group has been established and meets regularly to consider arrangements.</p> <p>The pandemic response protocols can be adapted for use in adverse weather events.</p>	Medium/High (3.4=12)	commission a climate impact assessment on the MCAs facilities.	Richard Sulley	Richard Sulley	30 Sep 2023	Budget requirements under consideration for 23/24. Recruitment activity underway to build capacity within the Net Zero team. Conversations underway with academics to explore delivery methods.	13 Mar 2023

Infrastructure & Place Directorate Risk Register June 2023

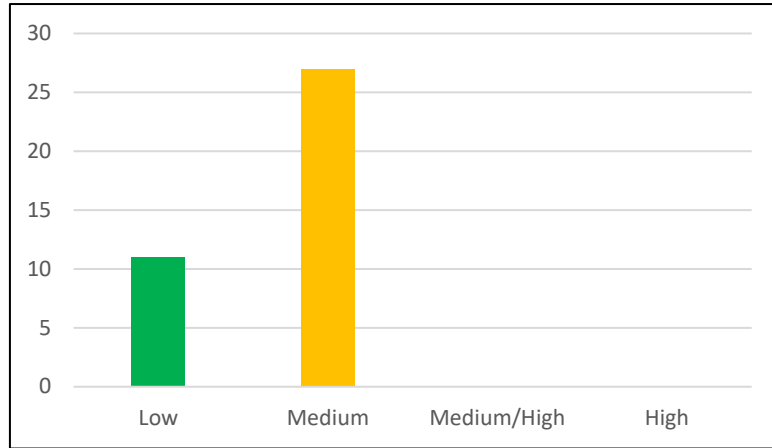


Owner	Identifier	Title	Cause and Effects	Inherent Priority	Controls Detail	Residual Priority	Detail	Owner	Assignee	Actions Variable Target	Last Update Text	Last Update Date
Tim Taylor	Reference: 1993 Prefix: OP0154	Third Party Reliance on Bus Operators to deliver Net Zero targets	<p>Due to: The Region's bus services being largely operated on a commercial basis</p> <p>There is a risk that: leading to compromise and a limited ability to shape the network and fleet</p> <p>Resulting in: challenges in delivering our strategic priorities in relation to zero emissions buses by 2040</p>	High (5.4=20)	<p>Engagement with operators to deliver an Enhanced Partnership</p> <p>Engagement with DFT to secure funding</p> <p>Decision taken to conduct a franchising assessment</p> <p>Employees are aware of the State Aid rules and seek advice and guidance from legal colleagues as the need arises.</p> <p>Early engagement with operators and legal colleagues to identify levels of funding and specific risk relating to a scheme.</p> <p>Funding tapers are applied to each application to ensure remain within the law</p>	Medium/High (5.3=15)	Undertake a Franchising Assessment to develop a longer term solution and gain additional control over the bus network	Pat Bejer	Pat Bejer	04 Oct 2022		
Gareth Sutton	Reference: 2023 Prefix: OP0159	Net Zero - increasing cost and devalued investments	<p>Due to: The impacts of a changing climate and the need to move to a low carbon economy</p> <p>There is a risk that: the MCA will be exposed to increased lifecycle costs, additional mitigation costs and decreased value of investments.</p> <p>Resulting in: additional pressures on budgets and reduced financial performance of the MCA</p>	High (4.4=16)	Existing business planning and budget controls are in place to minimise financial exposure to the MCA	Medium/High (3.4=12)	<p>commission a climate impact assessment on the MCAs facilities.</p> <p>Produce a costed proposal for the MCAs facilities to move to a low/zero carbon operation.</p>	Richard Sulley	Richard Sulley	30 Sep 2023	Budget requirements under consideration for 23/24. Recruitment activity underway to build capacity within the Net Zero team. Conversations underway with academics to explore delivery methods.	13 Mar 2023
								Philip Burgin	Philip Burgin	31 Dec 2023	Work underway regarding approach to developing a net zero pathway document to define actions required.	13 Mar 2023
Tim Taylor	Reference: 2293 Prefix: OP0206	Tram Structures Inspections Identify Significant Remedial actions	<p>Due to: Aging of the structures</p> <p>There is a risk that: structures inspections start to identify the need for significant remedial works</p> <p>Resulting in: significant spend and/or suspension of tram services whilst works are carried out.</p>	High (5.5=25)	Detailed and General Inspections carried out in line with the requirements detailed in the Design Manual For Roads and Bridges (DMRB) so any potential issues should be identified and actioned.	Medium/High (5.3=15)	<p>Ensure all structures inspections due in 2022/23 are complete.</p> <p>AECOM to advise on next steps regarding the bearing at Commercial Street Bridge.</p>	Tim Taylor	Patrick Gannon	07 Jul 2023	Inspections complete, awaiting final reports.	26 May 2023
								Tim Taylor	Patrick Gannon	31 Mar 2023	<p>Awaiting inspection report.</p> <p>The consequences of the failed fixed bearing will have zero impact on passenger or network safety. The bridge is now effectively restrained longitudinally by the west abutment and restrained transversely by the functioning transverse bearings.</p> <p>No major engineering works to be carried out on the structure (such as track replacement) without further assessment. Please refer all engineering works to this and the adjacent structures to Aecom for review prior to starting.</p>	27 Jan 2023

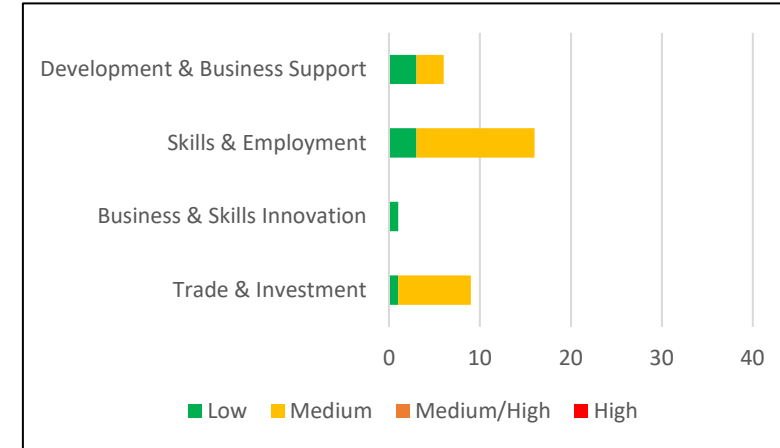
Directorate risks are defined as risks specific to SYMCA teams and can be reflective of objectives, business plans, processes and operating environments.

Growth, Business & Skills Directorate

Risks by Risk Score



Risks by Team and by Residual Risk Score



Summary

There are no ‘medium/high’ or ‘high’ risks within the Growth, Business and Skills Directorate.

Since the last report three risks have been closed and five new risks added. All new risks have a residual score of ‘medium’.

The residual score for one risk has decreased from ‘medium/high’ (15) to ‘medium’ (10) since the last report. This is the risk relating to the Adult Education Budget Workforce. The decrease in score is a result of structural changes being made to the wider team to pool expertise. This has strengthened the control of this risk by increasing the volume and skills set of employees dedicated to skills and employment, in particular, the delivery of the Adult Education Budget.

There are no risks with a health and safety theme within the Directorate.

Scoring Matrix

Impact	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
		1 Highly Unlikely	2 Unlikely	3 Possible	4 Probable	5 Highly Probable
		Probability				

Health & Safety Risks - with a score of 5 or above (medium, medium/high and high)

Risks with a 'Health & Safety theme' above a residual score of 5 - June 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
Tim Taylor	Reference: 1393 Prefix: OP0030	Road Traffic Collision at Bernard Road Junction (552)	Due to: the number of near miss incidents reported There is a risk that: there will be an actual Road Traffic Collision at Bernard Road Junction Resulting in: fatality and/or serious injury and damage to tram vehicle and/or infrastructure	High (5.4=20)	Compulsory warning in place for all tram drivers Self seeded trees and vegetation regularly cleared to improve sight lines at the junction Tram speed limit reduced over the junction.	Medium/High (5.3=15)	SYMCA to agree with SCC next steps regarding opportunity to look at changes to junction timings.	Tim Taylor	Patrick Gannon	30 Jun 2023	Awaiting SCC confirmation of junction changes to signalling.	26 May 2023
Tim Taylor	Reference: 1400 Prefix: OP0032	Balance Anchor Weight Failures (553)	Due to: failures with no root cause There is a risk that: there will be further balance anchor weight system failures Resulting in: serious injury or fatality and service disruption	Medium/High (5.3=15)	Risk assessment carried out by SYSL to ensure controls put in place	Medium/High (5.3=15)	Work with SYSL to deliver the risk based removal of the balance anchor weight system and replacement with Tensorex	Tim Taylor	Patrick Gannon	29 Mar 2024	Programme due to complete in March 2024	26 May 2023
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
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. 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. Standard contracts of employment for all SYMCA people incorporate a section on H & S responsibilities	Medium (5.1=5)						
Tim Taylor	Reference: 1387 Prefix: OP0029	Tramway highway interface (436)	Due to: improperly designed, constructed or maintained tram rails or other infrastructure integrated into the highway There is a risk that: road users may not be safe Resulting in: remedial work, accidents causing serious injury or fatalities and claims against the MCA	Medium/High (5.3=15)	Supertram is authorised by statute to be present in its position SYSL and SYPTE liaise with Sheffield CC as Highway Authority to monitor accident statistics to identify key hotspots and understand where additional controls could be implemented SYSL carry out regular track patrols to check on any defects. Maintenance responsibility falls to SYSL.	Medium (5.2=10)						
Tim Taylor	Reference: 1408 Prefix: OP0033	Failure of post tensioned structures on Supertram (528)	Due to: age and deterioration There is a risk that: post tensioned structures fail Resulting in: possible fatalities, injury or loss of service	Medium/High (5.3=15)	Ongoing principle inspections The structures were constructed in the mid 90's when there was more understanding regarding the risks of post tensioned structures and better controls on workmanship. Additionally the structures are not that old compared to other post tensioned structures within the UK	Medium (5.2=10)	Procure AECOM to carry out next phase of inspections.	Tim Taylor	Patrick Gannon	28 Apr 2023	Awaiting budget approval in March 2023.	24 Feb 2023
Tim Taylor	Reference: 1419 Prefix: OP0036	Serious tram accident (akin to Sandilands) (472)	Due to: inadequate operational and/or maintenance practices, vandalism or object left in the swept path There is a risk that: a tram will overturn Resulting in: in injuries or fatalities	Medium (5.2=10)	Liaison with the Police to investigate high vandalism areas. SYSL carry out driver training, accident investigation and ensure sufficiently competent staff and carry out risk assessments. SYSL carry out regular track patrols and maintenance activities. System signage reviewed and drop down speeds introduced at high risk areas. Vigilance device now implemented on the Siemens fleet Vigilance device on the Citylink vehicles.	Medium (5.1=5)	Audit of Supertram Safety Management System (SMS) and control measures. Implementation of the recommendations and processes adopted by the Light Rail Safety and Standards Board where applicable. Work with LRSSB to understand Supertram's risk profile in relation to other tram systems, and look at continual improvement opportunities Implementation of Rec3 on whole fleet as a speed control device.	Gerry Masterson	Gerry Masterson	30 Mar 2023	RM3 Audit now commenced. Findings due in March 2023	23 Feb 2023
Tim Taylor	Reference: 1421 Prefix: OP0037	Tram infrastructure and tram vehicle failure (512)	Due to: Due to increased wear and age of assets There is a risk that: the tram infrastructure or vehicles will fail Resulting in: service disruptions, health and safety incidents and increased financial exposure.	High (4.4=16)	Annual asset review carried out with 20 assets chosen to check that assets are being maintained in line with their maintenance regime. Concession Agreement includes clauses regarding operation of the network. Details of non-conformances detailed by SYSL Overview Report so we can start to understand problem areas and challenge SYSL in order that the necessary repairs are completed. SYSL currently monitor and act on obsolescence issues. SYSL provide details of their reactive maintenance and planned maintenance performance on a monthly basis.	Medium (3.3=9)	Complete negotiations with SYSL with a Transition Agreement to address emerging commercial risks for a seamless transfer in March 2024. Completion of Mott MacDonald and ATKINS condition surveys Progress with new project to replace XVPlus with a new Enterprise Asset Management System /CMMS. Submission of the final Mass Transit renewals bid (OBC).	Pat Beijer	Chris Coleman	30 Jun 2023	Negotiations with Stagecoach via the TA will be ongoing during the mobilisation period through to March 2024. Variable review date June 2023	20 Dec 2022
Tim Taylor	Reference: 1440 Prefix: OP0038	Injury whilst boarding or alighting a tram (495)	Due to: the tram platform/vehicle interface There is a risk that: passengers boarding and alighting may slip, trip or fall onto or off a vehicle Resulting in: injury	Medium (3.3=9)	Adhoc track patrols carried out by SYPTE and any defects raised with SYSL. SYSL carry out driver training, accident investigation and ensure sufficiently competent staff and carry out risk assessments. SYSL carryout maintenance of vehicles and tramstops.	Medium (3.2=6)	Request slip trip and fall risk assessment from SYSL	Tim Taylor	Gerry Masterson	30 Jun 2023		
Rachel Sprigg	Reference: 1447 Prefix: OP0040	Loss of Rail Grant (418)	Due to: DfT reducing/withdraw the Rail Admin Grant of £1.183m There is a risk that: funding is insufficient to cover a number of station activities such as cleaning and maintenance Resulting in: a loss of income to the SYMCA, consequential budgetary pressures and adverse impact on delivery and safety.	Medium (3.3=9)	Rail admin grant has been secured for 2022-23 at same level of previous years. Standardised funding model for DfT to award this Annualised allocation of rail admin grant from DfT (Ongoing for multiple years) If the Rail grant was to be reduced or stopped we have a list of the service that would be affected and how these would impact rail users, stakeholders and staff and also how these could be addressed.	Medium (3.2=6)	Include in risk quantification of amount of grant at risk after discussion with SYMCA finance team No action required	Rachel Sprigg	Rachel Sprigg	26 Jan 2024	Rail grant has been sent to SYMCA	24 May 2023
Tim Taylor	Reference: 1453 Prefix: OP0043	Disruption to Supertram operations as a result of extreme weather (538)	Due to: climate change and therefore the increase in extreme weather events There is a risk that: there will be increased disruption of the operation of the Supertram network Resulting in: poor public transport service, lower patronage, increased costs for maintenance and repair.	Medium/High (3.4=12)	System was built during the 1990's so the infrastructure is relatively new and climate change was an emerging issue.	Medium (2.4=8)	SCR Mass Transit Renewal to act on the advice from the infrastructure advisors on suitable mitigation and to design those in to any renewals package. Infrastructure advisor to undertake a comprehensive review of the network to look at climate change impacts. AECOM to present findings of the River Don Bridge report to SYSL and SYMCA.	Tim Taylor	Peter Elliott	28 Apr 2023	Advisors work delayed	23 Feb 2023
Michelle Stansfield	Reference: 1495 Prefix: OP0050	Woodbourn Tunnel (531)	Due to: the structural stability of Woodbourn Tunnel There is a risk that: SYMCA could be held liable for the partial or full collapse of the tunnel Resulting in: unbudgeted costs, harm to reputation and prosecution.	Medium (5.2=10)	SCC's contractor, (Amey) monitoring the bridge and Public Transport Project Delivery Team are in regular liaison with SCC.	Medium (4.2=8)	There is an active project underway to infill the tunnel with concrete, removing the risk of any potential collapse. This is due to start in May 2023, with a proposed completion date of August 2023	Philip Burgin	Philip Burgin	31 Jan 2024	In procurement phase. Due to award to contract over summer and start works in September. Should take about 4 months to complete.	31 May 2023
Tim Taylor	Reference: 1513 Prefix: OP0055	Road Traffic Collision (489)	Due to: trams operating as part of the regions public transport system There is a risk that: a collision between a tram and member of the public, a collision between a tram and a road vehicle at a crossing, a collision between a tram and a vehicle in the road section and a collision between a tram and a cyclist could occur Resulting in: minor, moderate or serious injury (who is liable here?)	High (5.4=20)	SYSL and SYPTE liaise with Sheffield CC as Highway Authority to review accident statistics to identify key hotspots and understand where additional controls could be implemented SYSL carry out driver training, accident investigation and ensure sufficiently competent staff.	Medium (5.2=10)	Work with the Light Rail Safety and standards Board (LRSSB) to identify opportunities for better collaboration between the LRSSB and Highway Authorities.	Tim Taylor	Patrick Gannon	28 Apr 2023	Tram Concession Manager role to be confirmed by end of April (internal candidate)	12 Apr 2023
Jeremy Kemp	Reference: 1516 Prefix: OP0056	Member of the public coming into contact with a moving vehicle on SYMCA property (483)	Due to: coming into contact with a moving vehicle on SYMCA property There is a risk that: a member of the public may be injured Resulting in: legal action	Medium/High (5.3=15)	A programme to install fixed speed ANPR at Barnsley Interchange has now been completed. Actively review compliance with the general conditions of use following up on any violations identified Additional metal barriers have been installed at Sheffield Interchange on one of the crossing points from the main concourse building to C platform to try encourage customers to stick to the designated crossing points. Audible warning message triggered by a sensor at the crossing of A platform from the concourse building (Sheffield Interchange only) Public Transport operators abide by SYMCA's general conditions of use designed to ensure the safe passage of the travelling public. Site Managers carry out speed checks on interchange vehicles using a speed radar gun, this radar gun is shared around sites on a four week rota. Any vehicle that is exceeding 13 mph the Customer Service Manager will send the operator a speeding violation notice which will give details of the offending vehicle allowing the operator to carry out appropriate action SYMCA has customer wayfarer signage in place at all sites to identify safe walking routes.	Medium (5.2=10)	the installation of ANPR is currently in progress for Rotherham interchange and Meadowhall in 2022/23. the installation of ANPR at Sheffield Interchange in 2023/2024	Jeremy Kemp	Jeremy Kemp	31 Mar 2024	This has now been changed from 2022/23 to 2023/24	09 May 2023

Risks with a 'Health & Safety theme' above a residual score of 5 - June 2023

Owner	Identifier	Title	Cause and Effects	Inherent Priority	Controls Detail	Residual Priority	Actions					
							Detail	Owner	Assignee	Variable Target	Last Update Text	Last Update Date
Tim Taylor	Reference: 1587 Prefix: OP0071	Travel pass fraud challenge leads to assault (496)	<p>Due to: unauthorised travel passes in circulation</p> <p>There is a risk that: challenge by operator staff i.e. conductors is met with aggression</p> <p>Resulting in: verbal and physical assault</p>	Medium/High (5.3=15)	processes in place to manage replacement card process.	Medium (4.2=8)	To identify opportunities to improve safety through the SCR Mass Transit renewals project.	Peter Elliott	Peter Elliott	30 Nov 2023	Delay in OBC process, now due for completion in November 2023.	23 Feb 2023
					SYSL carry out training to avoid conflict, accident investigation and ensure sufficiently competent staff and carry out risk assessments.		Tighten up procedures regarding the replacement of lost or damaged passes to avoid unauthorised passes entering circulation.	Suzanne Hutchinson	Suzanne Hutchinson	30 Jun 2023	Work to be incorporated in to retail decisions for tram concession end.	23 Feb 2023
Tim Taylor	Reference: 1617 Prefix: OP0076	Integration changes to the management of Health and Safety (525)	<p>Due to: Integration of SYMCA and SYPTE and the transfers of H&S accountability to the SYMCA Management Structure</p> <p>There is a risk that: management structures are unprepared</p> <p>Resulting in: an uncontrolled manner and without necessary controls or processes to reflect the increase in H&S statutory responsibilities on inheriting extensive customer-facing assets and services (including a light rail system).</p>	Medium/High (4.3=12)	Establishment of formal integration governance and controls (e.g. work packages, steering groups and project plan) allows for better planning of activity and can take in to account other resource pressures which arise across the group. SYPTE has existing H&S policies, governance and reporting in place which can be transferred to MCA Group	Medium (3.3=9)						
Jeremy Kemp	Reference: 1621 Prefix: OP0077	Inability to guarantee safe evacuation of interchanges in event of fire (530)	<p>Due to: staffing levels falling below 3 for the service provided by the current Customer and Cleaning Service provider and a decrease in staff patrols</p> <p>There is a risk that: arson/anti social behaviour could increase and evacuation may not be effective</p> <p>Resulting in: Injury/possible loss of life and reputational damage to the MCA</p>	Medium/High (5.3=15)	Fire Risk Assessment carried out annually and completion of actions monitored by Health & Safety Advisor	Medium (5.2=10)						
					PAT testing at recommended intervals		Regular safety checks by Customer Service Managers	A minimum of 3 staff (including SYMCA management as well as 3rd party management) are rota' d to ensure security patrols can be carried out at appropriate times and to ensure the safe evacuation of the public in the event of a fire				
Michelle Stansfield	Reference: 1633 Prefix: OP0080	Assets - Processes and Controls	<p>Due to: the fragmented approach to asset management across SYMCA</p> <p>There is a risk that: inconsistency and weakness in controls</p> <p>Resulting in: sub-optimal performance, tenant dissatisfaction and inefficient reactive expenditure.</p>	Medium/High (4.3=12)	Asset Mgmt Strategy is in place which has been prepared by Turner & Townsend.	Medium (4.2=8)	A new Asset & Condition survey is to be procured, together with a lifecycle model including costings. This will provide the data for a new CAFM system.	Michelle Stansfield	Michelle Stansfield	31 Jan 2024		
					Financial valuation report has been prepared by Sanderson Weatherall		A new Strategic Asset Management Plan is at first draft phase. Completion eta July 2023	Michelle Stansfield	Michelle Stansfield	31 Jul 2023		
Michelle Stansfield	Reference: 1903 Prefix: OP0131	Land & Building Impairment	<p>Due to: Due to lack of investment and maintenance arrangements</p> <p>There is a risk that: land and buildings become impaired or unsuitable for SYMCA's need</p> <p>Resulting in: in unavailability or closure, exposure to additional issues based on H&S, Finance and reputational challenge.</p>	Medium/High (3.4=12)	Asset management strategy prepared by Turner & Townsend.	Medium (3.3=9)	Bring the series of reports together and create one overall report	Philip Burgin	Philip Burgin	31 May 2023	Variable date revised due to pending new head of service appointment	11 Jan 2023
					Financial Valuation Report prepared by Sanderson Weatherall		Gain understanding of the commercial profit and loss for each building to understand cost benefits whether to retain or sell	Philip Burgin	Philip Burgin	30 Jun 2023	Variable date revised due to pending new head of service appointment	11 Jan 2023
Michelle Stansfield	Reference: 1940 Prefix: OP0142	Compliance with Statue Laws and Regulations	<p>Due to: Due to there been no centralised compliance and assets record system (such as a asset management database)</p> <p>There is a risk that: we may not be able to quickly and efficiently evidence compliance when challenged</p> <p>Resulting in: potential legal action and financial exposure causing reputational damage</p>	High (4.4=16)	Current information is kept in various spreadsheets and other databases, so although in existence the way it is stored is complicated and not available to all in the organisation	Medium (2.3=6)	Procurement of new CAFM system to streamline reactive/preventative/remedial maintenance. Optimising Preventative and Planned maintenance, effective asset management, effective contractor management, effective and accurate compliance monitoring and reporting, potential IoT integration, greater overall portfolio management and CAD/BIM integration. All ensuring effective cost and asset management, whilst maintaining safety at all times in line with statutory and mandatory obligations.	Michelle Stansfield	Philip Burgin	31 Jan 2024	Scoping exercise currently taking place. Next phase is specification and tender. ETA to market - end of August 2023. Installed and running January 2024.	31 May 2023