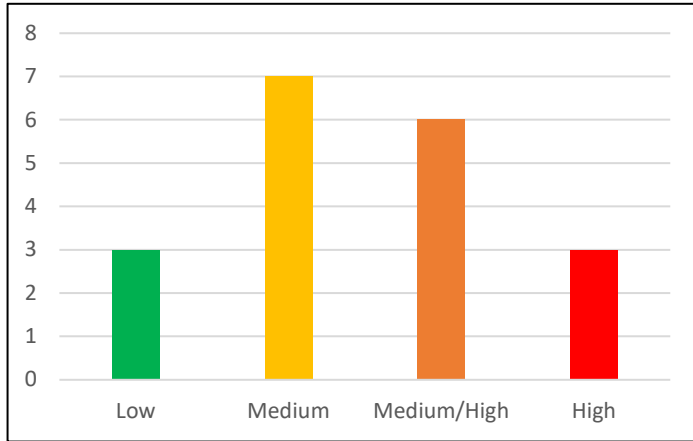


Risk Dashboard

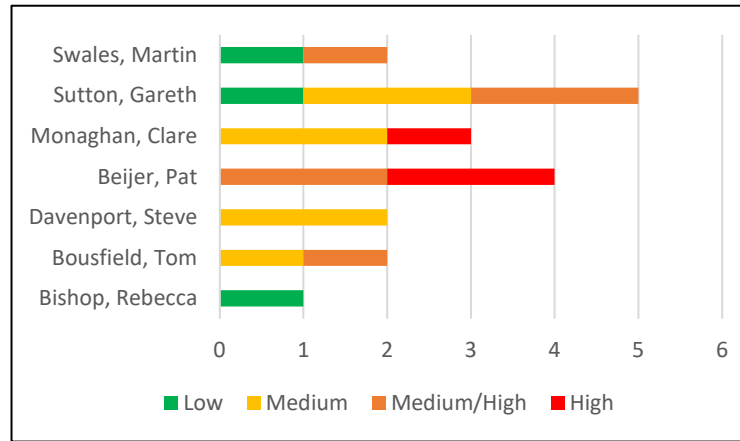
Sept 2023

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.

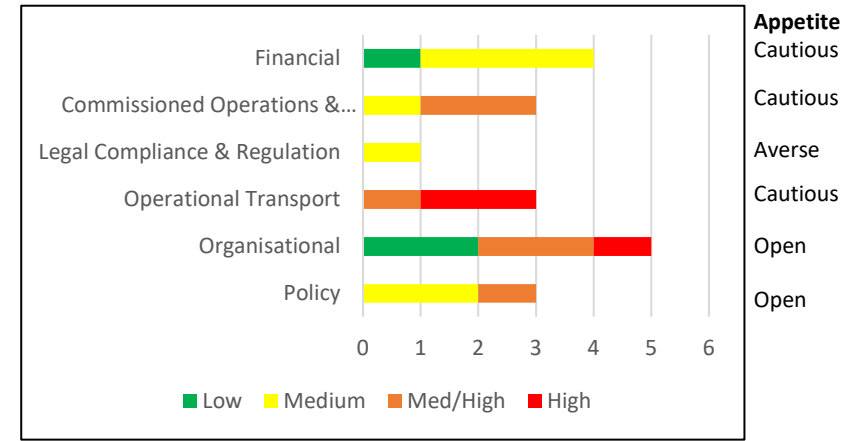
Corporate Risks by Residual Risk Score



Corporate Risks by Executive Level Ownership



Corporate Risks by Strategic Group



Summary

Since the last report:

- two new corporate risks have been identified increasing the number of corporate risks being managed to 19. The new risks relate to the successful management of concurrent major change programmes (COR0023) with a residual score of 'medium/high' and Investment Zone readiness (COR0024) with a residual score of 'medium/high'.
- no corporate risks have been closed.
- no residual scores have increased or decreased since the last report.

The three highest scoring risks remain as per the previous period:

- Bus Recovery Funding (COR0009) – Owner – Pat Beijer
- Tram Services (COR0015) – Owner – Pat Beijer
- Net Zero, Sustainability/Climate Change (COR0007) – Owner – Clare Monaghan

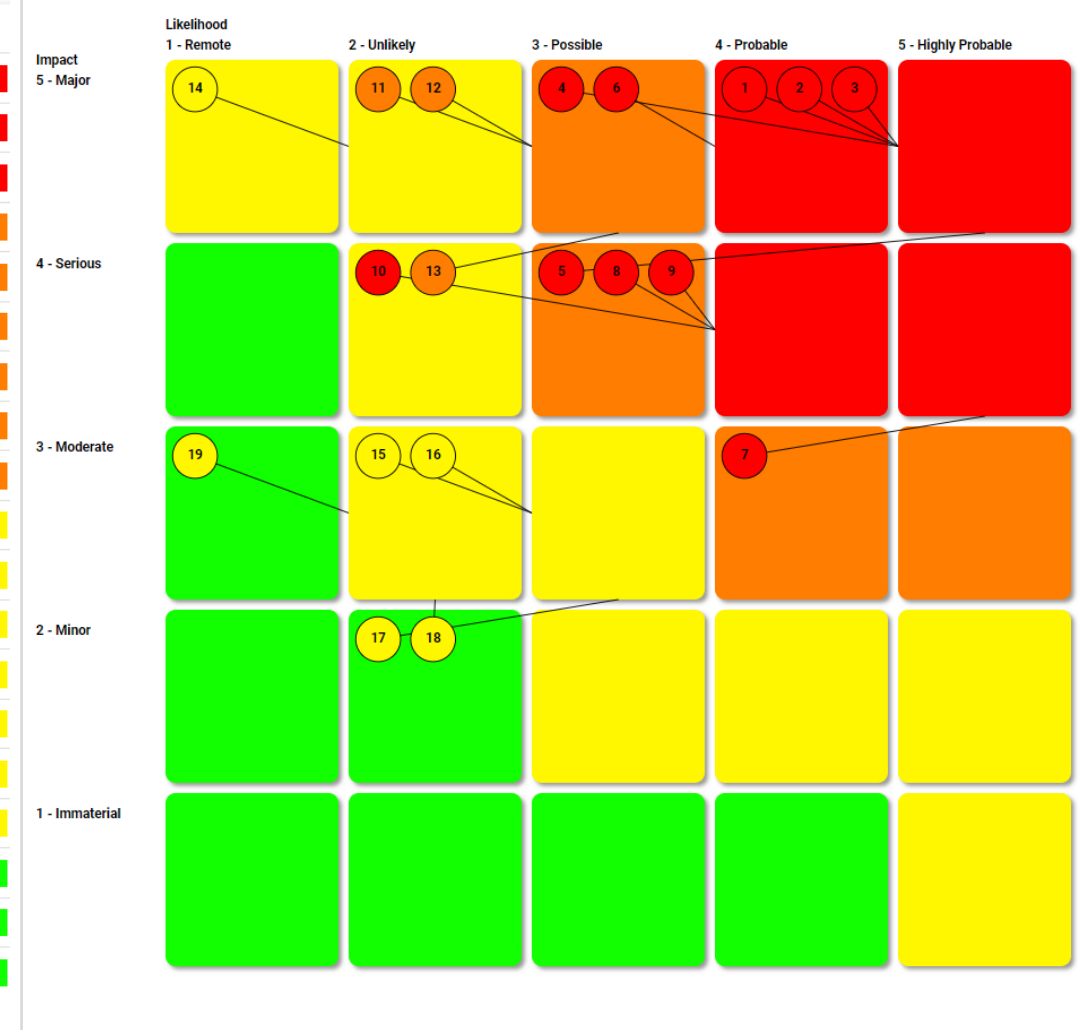
Scoring Matrix

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				

More detail, including controls and mitigating actions, are included in the Corporate Risk Register at page 10.

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

Matrix Id	Reference	Title	Inherent	Residual
1	COR0007	Net Zero, Sustainability/ Climate Change	High	High
2	COR0009	Bus: Recovery Funding	High	High
3	COR0015	Tram Services	High	High
4	COR0021	Heightened Cyber Security Threat	High	Medium/High
5	COR0022	Doncaster Sheffield Airport Closure.	High	Medium/High
6	COR0017	Transport - delivery of the CRSTS Programme	High	Medium/High
7	COR0014	The BSIP and EP Scheme Delivery	High	Medium/High
8	COR0023	Successful Management of Concurrent Major Change Programmes	High	Medium/High
9	COR0024	Investment Zone Readiness	High	Medium/High
10	COR0001	Adult Education Budget Performance	High	Medium
11	COR0002	Policy change causes disruption	Medium/High	Medium
12	COR0003	Strategic Economic Plan	Medium/High	Medium
13	COR0012	Financial Health	Medium/High	Medium
14	COR0018	Health and Safety- Major Accident or Injury	Medium	Medium
15	COR0016	Supply Chain Failure	Medium	Medium
16	COR0010	Failure to agree Investment Strategy	Medium	Medium
17	COR0019	Post Integration Embedding of Organisational Design	Medium	Low
18	COR0013	Borrowing leads to financial risk	Medium	Low
19	COR0020	Organisational Capacity & Skills (for bau activity)	Medium	Low

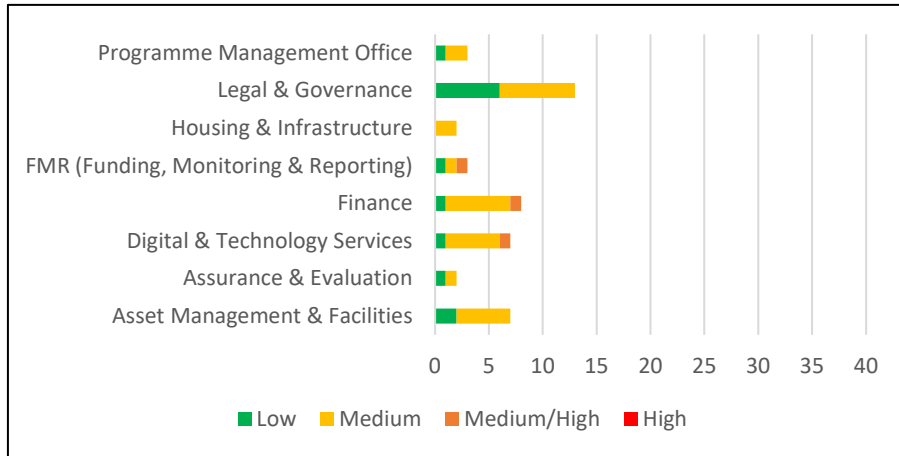


More detail, including controls and mitigating actions, are included in the Corporate Risk Register at page 10.

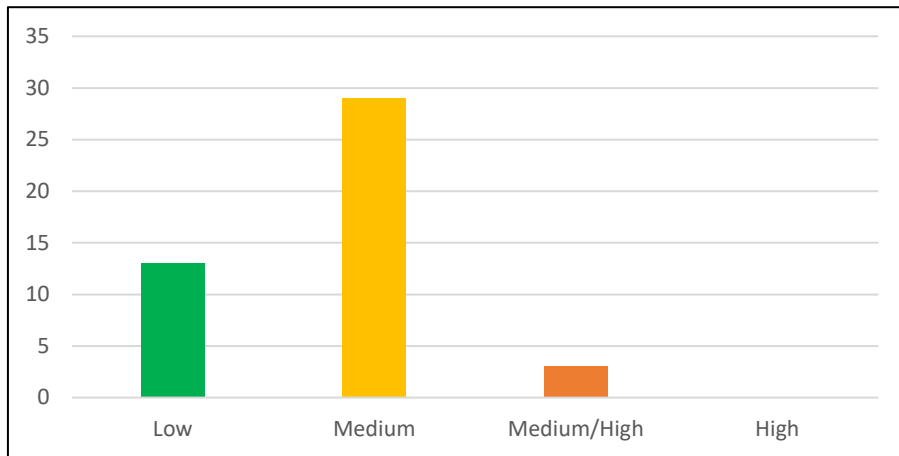
Directorate risks are defined as risks specific to SYMCA teams and can be reflective of objectives, business plans, processes and operating environments.

Resources & Investment Directorate

Risks by Team and by Residual Risk Score



Risks by Residual Risk Score



Summary

There are currently three ‘medium/high’ risks within the Resources and Investment Directorate (listed below). See page 12 for details.

Since the last report:

- one risk, with a residual score of ‘medium/high’, has been closed as, at review, it was considered to duplicate OP0027 (see below).
- four new risks have been included in the directorate risk profile reflecting the inclusion of the Assurance and Evaluation, and Housing and Infrastructure Teams following a re-organisation of directorates. In addition, the People Services team has re-located to the Policy and Strategic Development Directorate.
- six risks with a ‘health and safety theme’ remain within the directorate. Four of these have a residual score of five or above and are therefore included at page 8 and 15 of this report . These relate to:
 - Land and building impairment (OP0131)
 - Woodburn tunnel (OP0050)
 - Assets – processes and controls (OP0080)
 - Compliance with statutes, laws and regulations (OP0142)

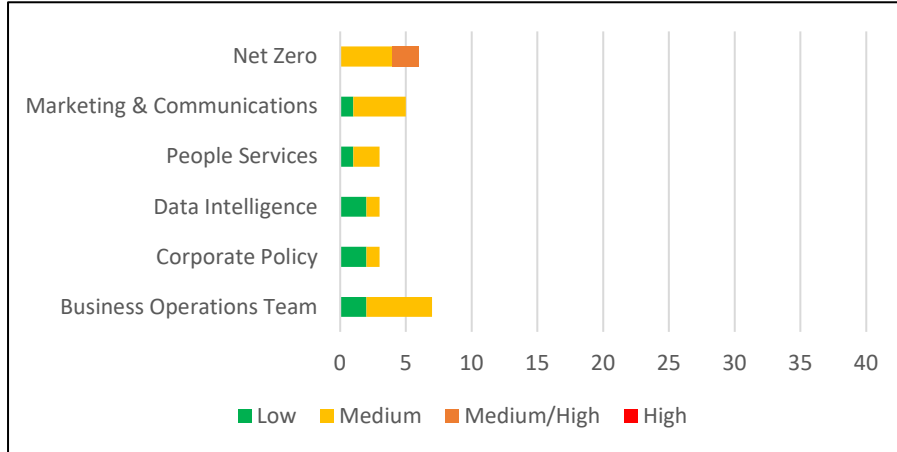
Risks with a residual score ‘medium/high’ and ‘high’

OP0020	Exposure to the commercial performance of the transport network	Mike Thomas	Mike Thomas	● Open	25	12
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

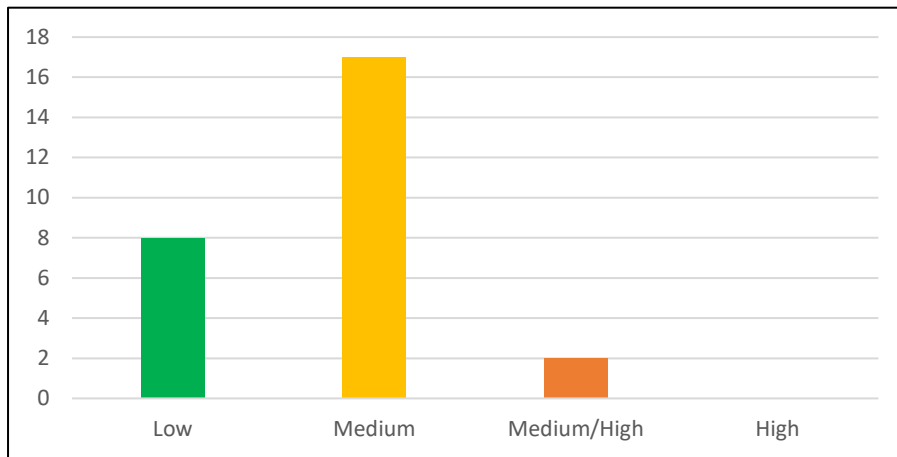
Directorate risks are defined as risks specific to SYMCA teams and can be reflective of objectives, business plans, processes and operating environments.

Policy & Strategic Development Directorate

Risks by Team and by Residual Risk Score



Risks by Residual Risk Score



Summary

Since the last report:

- there are now two ‘medium/high’ risks within the directorate (previously there were none). This reflects the inclusion of the Net Zero/Sustainability team following a re-organisation of directorates (see page 13 for details) . The People Services team has also relocated into the directorate from the Resources and Investment Directorate, bringing three risks.
- no risks have increased or decreased in residual score.
- there are currently no risks with a ‘health and safety theme’ within the Directorate.

Risk Refresh Activity

The Policy and Strategic Development Directorate are currently undertaking a review and refresh of their operational level risks. A workshop to facilitate the identification of risk took place with directorate risk leads on 15th August, with a follow-up session scheduled for 26th September.

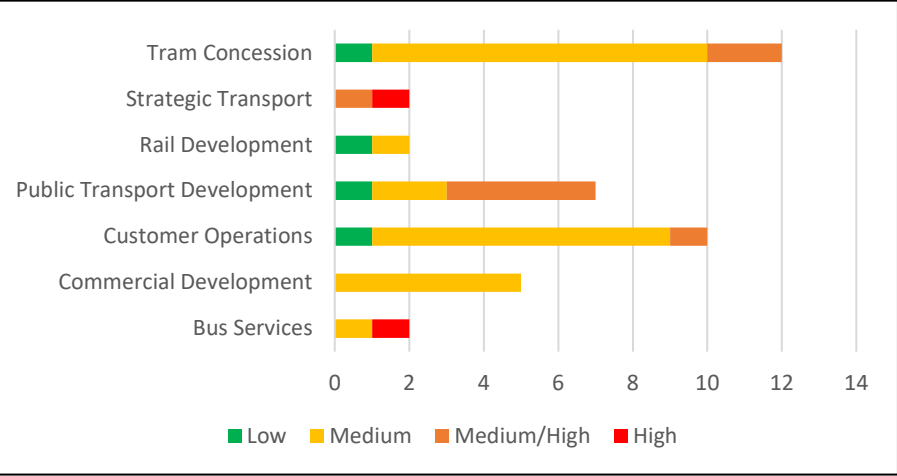
Risks with a residual score ‘medium/high’ and ‘high’

OP0153	Net Zero - MCA Operation	Clare Monaghan	Richard Sulley	● Open	16	12
OP0159	Net Zero - increasing cost and devalued investments	Gareth Sutton	Richard Sulley	● Open	16	12

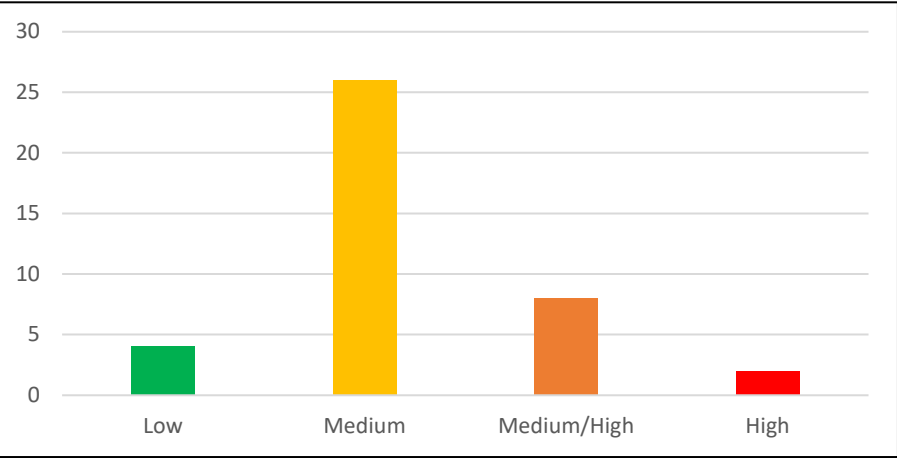
Directorate risks are defined as risks specific to SYMCA teams and can be reflective of objectives, business plans, processes and operating environments.

Transport Directorate

Risks by Team and by Residual Risk Score



Risks by Risk Score



Summary

There are two ‘high’ and eight ‘medium/high’ risks within the Transport Directorate (listed below). See page 14 for details.

Since the last report:

- a re-organisation of directorates has seen the Infrastructure and Housing, and Net Zero Teams relocate in other directorates. The Infrastructure and Place Directorate has now become the Transport Directorate. Following this, risks previously allocated to the Public Transport Operations Team have been separated into the component teams facilitating a clearer understanding of the risk profile for the directorate.
- the two ‘high’ scoring risks remain the same as the last period (see below).
- the number of ‘medium/high’ risks has reduced from 13 to 8. This reflects risks that have been reallocated to other directorates and, that the risk relating to road traffic collisions at Bernard Road has now been closed - major traffic signal changes were implemented on 2nd July and near miss data will continue to be monitored as business as usual activity.
- there are 14 risks with a ‘health and safety theme’ within the directorate. 12 of these have a residual score of five or above and are included on page 8 and 16 of this report.

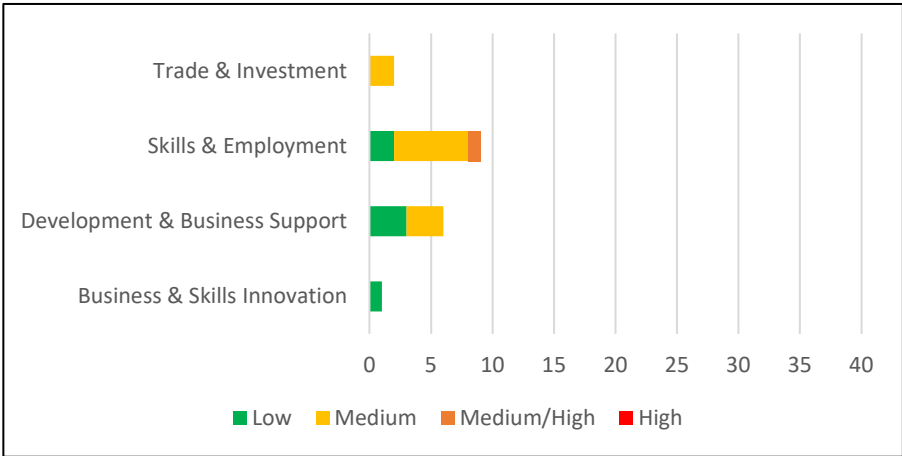
Risks with a residual score ‘medium/high’ and ‘high’

OP0151	Declining Patronage (463)	Tim Taylor	Tim Taylor	● Open	25	20
OP0156	Application of Regional Policies	Pat Beijer	Chloe Shepherd	● Open	20	16
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)	Pat Beijer	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	Will Dunnett	● Open	20	15
OP0154	Third Party Reliance on Bus Operators to deliver Net Zero targets	Tim Taylor	Tim Taylor	● Open	20	15
OP0206	Tram Structures Inspections Identify Significant Remedial actions	Tim Taylor	Patrick Gannon	● Open	25	15
OP0135	Dilapidated Connect Totems - Sheffield City Centre (547)	Rebecca Roe	Rebecca Roe	● Open	12	12

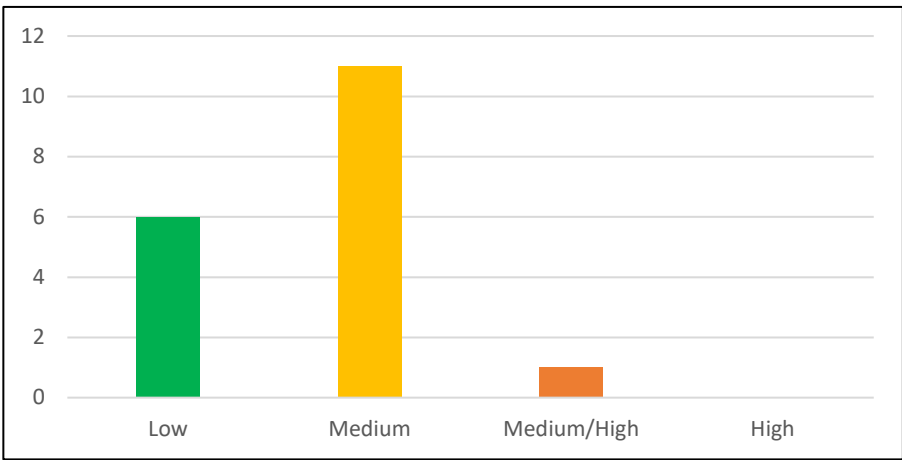
Directorate risks are defined as risks specific to SYMCA teams and can be reflective of objectives, business plans, processes and operating environments.

Growth, Business & Skills Directorate

Risks by Team and by Residual Risk Score



Risks by Risk Score



Summary

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

Since the last report:

- one new 'medium/high' risk has been added relating to the strategic alignment of AEB activity (OP0235) see page 15 for details.
- in total 16 risks have been closed (13 with a residual score of 'medium', 3 'low')
- the residual score for one risk has decreased slightly since the last report but remains 'low'.
- there are no risks with a 'health and safety theme' within the directorate.

Risk Refresh Activity

The Growth, Business and Skills Directorate will be undertaking a review and refresh of their operational level risks. A workshop to facilitate the identification of risks is scheduled for 4th October.

Risks with a residual score 'medium/high' and 'high'

OP0235	Strategic Alignment of AEB Activity	Tom Bousfield	Tom Bousfield	● Open	25	15
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Health & Safety Risks with a score of 5 or above (medium, medium/high, high)

Reference	Title	Owner	Assignee	Status	Inherent	Residual ↓
OP0032	Balance Anchor Weight Failures (553)	Tim Taylor	Patrick Gannon	● Open	15	15
OP0029	Tramway highway interface (436)	Tim Taylor	Patrick Gannon	● Open	15	10
OP0033	Failure of post tensioned structures on Supertram (528)	Tim Taylor	Patrick Gannon	● Open	15	10
OP0055	Road Traffic Collision (489)	Tim Taylor	Patrick Gannon	● Open	20	10
OP0056	Member of the public coming into contact with a moving vehicle on SYMCA property (483)	Jeremy Kemp	Jeremy Kemp	● Open	15	10
OP0077	Inability to guarantee safe evacuation of interchanges in event of fire (530)	Jeremy Kemp	Jeremy Kemp	● Open	15	10
OP0037	Tram infrastructure and tram vehicle failure (512)	Tim Taylor	Patrick Gannon	● Open	16	9
OP0131	Land & Building Impairment	Michelle Stansfield	Michelle Stansfield	● Open	12	9
OP0043	Disruption to Supertram operations as a result of extreme weather (538)	Tim Taylor	Patrick Gannon	● Open	12	8
OP0050	Woodbourn Tunnel (531)	Michelle Stansfield	Michelle Stansfield	● Open	10	8
OP0071	Travel pass fraud challenge leads to assault (496)	Tim Taylor	Tim Taylor	● Open	15	8
OP0080	Assets - Processes and Controls	Michelle Stansfield	Michelle Stansfield	● Open	12	8
OP0038	Injury whilst boarding or alighting a tram (495)	Tim Taylor	Patrick Gannon	● Open	9	6
OP0040	Loss of Rail Grant (418)	Rachel Sprigg	Rachel Sprigg	● Open	9	6
OP0142	Compliance with Statue Laws and Regulations	Michelle Stansfield	Michelle Stansfield	● Open	16	6
OP0036	Serious tram accident (akin to Sandilands) (472)	Tim Taylor	Patrick Gannon	● Open	10	5

More detail, including controls and mitigating actions, are included in the Risk Register at page 16.

Risk Registers

- **Corporate Risks** (page 10-11)
 - **Resources & Investment Directorate** (page 12)
 - **Policy & Strategic Development Directorate** (page 13)
 - **Transport Directorate** (page 14)
 - **Growth, Business & Skills** (page 15)
 - **Health & Safety Themed Risks (med, medium/high, high)** (page 16)
-

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
Clare Monaghan	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	The Project continues and is expected to report in line with the latest variable target.	29 Aug 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.	Richard Sulley	Richard Sulley	31 Mar 2024	on going development work is being undertaken	29 Aug 2023
					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 2024	how the MCA should include the principles of climate action will be discussed with the Citizens Assembly in November/December 23	29 Aug 2023
Pat Beijer	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	29 Oct 2023	Agreed approach given at MCA Board on 31 July to protect daytime services with reduced frequencies on evening and Sundays. Contracts to be awarded by 7 September with a service change date of 29 October 2023.	11 Aug 2023
					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	Tim Taylor	Suzanne Hutchinson	26 Sep 2023	Agreed reimbursement with Stagecoach bus until 31 March 2024. First have extended their appeal period now until 26 September and we are only now awaiting their response to our final proposed rates.	25 Aug 2023
					Continue payment of concessions at pre-COVID rates until April 2023 on the DfT deflator		Deliver tendered bus service network from July and October 2023 (following MCA approval on 31 July 2023)	Tim Taylor	Tim Taylor	29 Oct 2023	Revised timeline now sees final major network changes for evening and Sunday services taking place on 29 October.	11 Aug 2023
					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.							
Pat Beijer	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	Will Dunnett	Will Dunnett	22 Oct 2023	Two weekly review as part of Light Rail Programme Board and Steering Group	08 Aug 2023
					Light Rail Development Programme established and key milestones identified		Recruitment underway for wider tram concession team, prioritising, operational/engineering and PMO roles	Pat Beijer	Pat Beijer	31 Oct 2023		
					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
Pat Beijer	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)	Executive Director I & P to engage with problem areas to help unblock/troubleshoot project/programme delivery issues	Pat Beijer	Pat Beijer	31 Mar 2025	Capital Programme team are reviewing processes and lessons learned from current delivery, in particular procurement, holding contractors to account and cost variations.	23 Aug 2023
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	Gareth Sutton	31 Dec 2023	New penetration testing aimed at wider organisation has been commissioned.	08 Aug 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.	Nick Brailsford	Gareth Sutton	31 Dec 2023	Restructure now agreed with recruitment under way.	08 Aug 2023
					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.							
Pat Beijer	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	Mayor is mounting major fair funding campaign. Meeting with DfT on 7 September.	24 Aug 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	Nick Brown	Nick Brown	24 Dec 2023	Proposal to revise the EP Scheme and ToR before end of 2023 going to EP Board on 29 August. It is proposed not to revise BSIP and EP Plan pre-franchising decision and pre-LTP.	24 Aug 2023
					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							
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	Continuing to work with City of Doncaster Council on their case for CPO. This work is ongoing as is engagement with the aviation market on prospective operator interest	30 Aug 2023
Gareth Sutton	Reference: 2530 Prefix: COR0023	Successful Management of Concurrent Major Change Programmes	<p>Due to: competing demands on organisational capacity and capabilities</p> <p>There is a risk that: business change activity is not delivered successfully and there is a displacement of focus from core activity</p> <p>Resulting in: an impact on bau delivery, regulatory non-compliance, reputational damage, low workforce morale.</p>	High (4.4=16)	Major Projects Oversight Board established	Medium/High (4.3=12)						
Tom Bousfield	Reference: 2590 Prefix: COR0024	Investment Zone Readiness	<p>Due to: the timescales and volume of work required to be ready for delivery of IZ from April 2024</p> <p>There is a risk that: SYMCA is unable to effectively target its interventions</p> <p>Resulting in: in a reduced impact, reputational damage and/or impact on future devolution conversations</p>	High (4.4=16)	Dedicated resource from across organisation working on IZ preparation	Medium/High (4.3=12)	Identify future capacity needs within SYMCA and initiate recruitment	Tom Bousfield	Joseph Quinn	31 Dec 2023	Activity underway	08 Sep 2023
					Cross Local Authority and University Working Group to review evidence and inform planning for activity							
					Active engagement with business community							

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
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
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)	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.	Gareth Sutton	Colin Blackburn	31 Mar 2024	Place Plans agreed for Barnsley, Doncaster and Rotherham setting out the aspiration and interventions required to grow the economy in each area. The Growth Working Group is currently preparing the Plan for Growth which will set out regional action to grow the economy. Revised variable target date to end of financial year.	21 Aug 2023
					The corporate policy is embedded to include its guardianship of the SEP.							
					Closer monitoring of the SEP outcomes, the Corporate Plan outcomes and development and delivery of the Business Planning framework.							

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	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 in place to understand planned delivery volumes and their delivery intentions. 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. The MCA has some options to redeploy funding away from underperforming areas where necessary. Performance reporting via Power BI has greatly improved the availability of data to manage performance of AEB programmes on a monthly basis	Medium (4.2=8)	Review of AEB Performance management arrangements to ensure fit for purpose Exceptional treasury management performance has allowed for the creation of a new Capacity & Capability reserve that will be used to help sustain organisational resourcing and bridge inflationary pressures. New processes have been developed to support the management of Capacity and Feasibility Fund reserves. This allows greater focus on how reserves are deployed outside budget cycles.	Craig Moffatt	Joe Gardner	30 Oct 2023	New Power BI reporting system implemented and can monitor performance in real time following monthly ILR returns. However, it is reliant on providers uploading regularly and our grant providers are the main culprits for not doing this in a timely fashion. However, monthly progress meetings by contracts and quarterly development meetings teams will be monitoring this closely and encouraging providers to upload monthly.	24 Aug 2023
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 a 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 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 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 Group has developed a new medium term financial strategy forecasting the requirements for greater local financial contributions from partners	Medium (4.2=8)	Key medium-term risk around the future exposure to tram performance is being considered through the tram workstream Work will continue to develop Place Based Investment Plans and Transformational Plans Work will continue on the operationalisation of the Plans, including borrowing principles Work is underway to make new connections with institutional investors.	Gareth Sutton	Mike Thomas	30 Sep 2023	On track	27 Feb 2023
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)	The outcomes of the BPR workstream and steering group are beginning embedded into the overall Strategy 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. Agree borrowing cap with HMT on an annual basis MCA Board have agreed a phased approach to the release of Gainshare funding ahead of the development of the place and transformational plans	Medium (3.2=6)	Work will continue to develop Place Based Investment Plans and Transformational Plans Work will continue on the operationalisation of the Plans, including borrowing principles Work is underway to make new connections with institutional investors.	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
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 The MCA has access to a number of broad framework agreements to call off, in a timely fashion The MCA conducts pre-contract financial health due-diligence on major contracts including seeking details of associated sub-contracting and proportion of delivery / contract. The MCA holds a prudent level of reserves to mitigate financial shock. 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. 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. Appropriate security to cover risk is considered for example a charge may be applied on land or property as security for a loan.	Medium (3.2=6)	Internal Audit have tested supplier resilience and offered a number of recommendations that will be implemented New contract function to ensure the financial health of key suppliers is tested in contract as well as pre contract to provide early warning. Business Continuity Plans to be re-tested for loss of key suppliers.	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
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)						

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.	Low (2.2=4)						
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)	Address identified capacity needs.	Martin Swales	Rebecca Bishop	31 Jan 2024	capacity gaps are now being addressed. Organisational development work and role profile reviews are also ongoing, co-ordinated through HR to ensure fit for purpose development and role descriptors. The first progress milestone is Jan 24	30 Aug 2023
Rebecca Bishop	Reference: 1217 Prefix: COR0020	Organisational Capacity & Skills (for bau activity)	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)	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)	Pay and grading review to be undertaken.	Gareth Sutton	Rebecca Bishop	31 Dec 2023	Currently scoping options for a new career framework. Target date remains same. Implementation scheduled for Q4 aligned to 'go-live' of new HR system.	24 Aug 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
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	31 Dec 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. Conversation with the DfT on the potential application of grant funding for this purpose began in Q1. A written request to DfT will be made in Q2. Target date revised to end of calendar year.	24 Aug 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. Confirmation of funding package receive in late July.	24 Aug 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 Plus 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	Progress is being made to improve completion rates for GDPR training. Decision taken by Information Governance Working Group to mandate Cyber Security and Phishing training.	23 Aug 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	Information Governance Working Group will consider how to strengthen the approach/attain additional assurance around 3rd party contracting involving personal data.	23 Aug 2023
							Statement of Works prepared to bring in consultancy services to facilitate application of additional controls	Nick Brailsford	Nick Brailsford	31 Dec 2023	Project delayed due to competing priorities. Revised variable target to end of calendar year.	23 Aug 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 MCA Board and portfolio holders.</p> <p>MCA 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 Sep 2023	Continued review as BC documentation still under review	04 Jul 2023
							Production of Project on a page report to enhance performance monitoring	Sue Sykes	Sue Sykes	31 Aug 2023	Project on a page started and in final draft	23 Aug 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
Clare Monaghan	Reference: 1992 Prefix: OP0153	Net Zero - MCA Operation	<p>Due to: Physical changes to the environment which may impact the organisation including:</p> <ul style="list-style-type: none"> • 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>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)	Existing business continuity plans are in place and reviewed for relevance regularly.	Medium/High (3.4=12)	commission a climate impact assessment on the MCAs facilities.	Richard Sulley	Richard Sulley	01 Aug 2024	no budget available for 23/4. Will be included in the 24/5 business plan	29 Aug 2023
					<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>							
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)	commission a climate impact assessment on the MCAs facilities.	Richard Sulley	Richard Sulley	01 Aug 2024	no budget available for 23/4. Will be included in the 24/5 business plan	29 Aug 2023
							Produce a costed proposal for the MCAs facilities to move to a low/zero carbon operation.	Philip Burgin	Michelle Stansfield	31 Jan 2024	This work will follow receipt of the lifecycle plan following the asset and condition survey which is due to go out to tender.	23 Aug 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)	<p>Enhanced concession/discount schemes implemented to promote public transport usage</p> <p>Patronage data (actuals and forecast) reviewed on a quarterly basis, with action plans developed to reverse trend.</p> <p>Research commissioned to investigate underlying causes of patronage decline</p> <p>Robust patronage forecast developed for each mode of transport and linked to transport operator plans (inc bus partnerships)</p> <p>Rolling DFT funding package agreed to support pre-March 2020 network</p> <p>Service development plans aligned to patronage forecasts and regional/local transport strategies and annual budget setting process.</p>	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>	Tim Taylor	Tim Taylor	17 Sep 2023	MCA Approved approach on 31 July to award contracts in line with priorities. Contracts to enter standstill by 7 September with registrations by 17 September for a 28 October service change date.	11 Aug 2023
Pat Bejler	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)	<p>Meetings with Leaders and CEOs to reinforce the importance of a supportive policy environment</p> <p>Working with wider stakeholders to identify and reinforce the benefits of enabling efficient bus operation</p> <p>Inclusion of pro bus policies in our implementation plans</p>	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>	Pat Bejler	Pat Bejler	28 Feb 2026		
Chloe Shepherd								Chloe Shepherd	Chloe Shepherd	28 Feb 2026		
Chloe Shepherd								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: 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 Bejler	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)	<p>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.</p> <p>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.</p> <p>Inclusion of the strategic resource requirements for major programmes identified in Business Plan 2022-23</p>	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 Bejler	Pat Bejler	31 Dec 2023	Will be picked up as part of live objective setting exercise and business planning activity. Variable target date amended to ensure progress review in 6 mths	13 Jun 2023
Pat Bejler	Reference: 1491 Prefix: OP0049	Organisational agility to respond to people resource needs (517)	<p>Due to: Tight labour market conditions (candidate's market), publicly 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)	<p>People resource, procurement and budget requirements included in the Infrastructure & Place plan and the Public Transport Development Business Plan specifically for 2022-23</p> <p>Close liaison with support services (HR, legal, PCCP) to highlight the criticality of resource requirements for time-critical programmes and seek to accelerate the process of populating roles</p>	Medium/High (5.3=15)	Ensure appropriate specialists are recruited and/or trained.	Pat Bejler	Pat Bejler	31 Dec 2023	Identified and approve new assistant PM roles in the capital projects team who we plan to train in-house on Prince 2 PM. This will also build a pipeline of new talent. Revised target date to provide periodic review.	23 Aug 2023
Pat Bejler	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)	<p>Development of Mass Transit OBC to achieve programme entry to allow the case for investment to be made in the tram system</p> <p>Engagement with DFT around the process for OBC submission to ensure that the funding requirements are understood</p> <p>Light rail funding requirements are included in as many capital bid programmes as possible (£100m CRSTS secured).</p> <p>A capital investment prioritisation approach for the light rail asset renewal requirements has been developed, which reflects the shorter term operationally critical renewal requirements and allows for the longer term requirements to be identified through the asset condition assessment work for the Mass Transit OBC and FBC).</p> <p>Agreement with the DFT on early (pre-OBC submission and approval) drawdown of CRSTS funding to mobilise and implement the most pressing asset renewal requirements</p> <p>£100m secured from CRSTS funding to implement part of the full infrastructure and tram vehicle renewal</p>	Medium/High (5.3=15)	<p>Identification of repairs and maintenance requirements that are linked to the budget process.</p> <p>Submit bid to DFT</p> <p>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</p>	Pat Bejler	Will Dunnett	22 Oct 2023	asset management and depot maintenance regimes are understood. Opportunity to develop and improve as part of the overall Business Plan	08 Aug 2023
Pat Bejler	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)	<p>Financial evaluation to understand financial impact taken place.</p> <p>Review of the current Concession Agreement has identified strength areas and points of weakness.</p> <p>Resource planning and need has been identified as part of the 2022/23 Business Plan.</p> <p>Oversight strengthened through the fortnightly meeting with the CEO and wider MCA Management Board members.</p>	Medium/High (5.3=15)	<p>Develop a Transition Agreement which provides appropriate terms and conditions, that sets out the approach to handback.</p> <p>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.</p> <p>Commence implementation of the Mobilisation programme delivery once the future operating model is confirmed by the MCA in July 2022.</p>	Will Dunnett	Will Dunnett	14 Sep 2023	Weekly meetings continue, alongside workstream engagement with SYSL	08 Aug 2023
Chris Coleman								Chris Coleman	Will Dunnett	24 Oct 2023	Procurement role now recruited and contracts being managed. All suppliers written to by Stagecoach and SYMCA collating replies in priority order (safety/operations)	22 Aug 2023
Chris Coleman								Chris Coleman	Will Dunnett	10 Oct 2023	Mobilisation plan defined under weekly team review and individual 1:1s per workstream lead. Also an independent and legal audit has taken place.	22 Aug 2023
Pat Bejler	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)	<p>Development of Mass Transit OBC to achieve programme entry to allow the case for investment to be made in the tram system</p> <p>Engagement with DFT around the process for OBC submission to ensure that the funding requirements are understood</p> <p>Light rail funding requirements are included in as many capital bid programmes as possible (£100m CRSTS secured).</p> <p>A capital investment prioritisation approach for the light rail asset renewal requirements has been developed, which reflects the shorter term operationally critical renewal requirements and allows for the longer term requirements to be identified through the asset condition assessment work for the Mass Transit OBC and FBC).</p> <p>Agreement with the DFT on early (pre-OBC submission and approval) drawdown of CRSTS funding to mobilise and implement the most pressing asset renewal requirements</p> <p>£100m secured from CRSTS funding to implement part of the full infrastructure and tram vehicle renewal</p>	Medium/High (5.3=15)	<p>Identification of repairs and maintenance requirements that are linked to the budget process.</p> <p>Submit bid to DFT</p> <p>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</p>	Pat Bejler	Peter Elliott	30 Apr 2024	This project is being led by Peter Elliott and the PM is Andrew Parry.	06 Dec 2022
Pat Bejler	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)	<p>Financial evaluation to understand financial impact taken place.</p> <p>Review of the current Concession Agreement has identified strength areas and points of weakness.</p> <p>Resource planning and need has been identified as part of the 2022/23 Business Plan.</p> <p>Oversight strengthened through the fortnightly meeting with the CEO and wider MCA Management Board members.</p>	Medium/High (5.3=15)	<p>Develop a Transition Agreement which provides appropriate terms and conditions, that sets out the approach to handback.</p> <p>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.</p> <p>Commence implementation of the Mobilisation programme delivery once the future operating model is confirmed by the MCA in July 2022.</p>	Will Dunnett	Will Dunnett	14 Sep 2023	Weekly meetings continue, alongside workstream engagement with SYSL	08 Aug 2023
Chris Coleman								Chris Coleman	Will Dunnett	24 Oct 2023	Procurement role now recruited and contracts being managed. All suppliers written to by Stagecoach and SYMCA collating replies in priority order (safety/operations)	22 Aug 2023
Chris Coleman								Chris Coleman	Will Dunnett	10 Oct 2023	Mobilisation plan defined under weekly team review and individual 1:1s per workstream lead. Also an independent and legal audit has taken place.	22 Aug 2023
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 Bejler	Pat Bejler	30 Sep 2023	Work progressing. Variable deadline revised to end Q2 to provide progress update.	13 Jun 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)	Ensure all structure inspections due in 2022/23 are complete.	Tim Taylor	Patrick Gannon	20 Oct 2023	13 of 15 inspections completed, however two are awaiting access to be agreed with Network Rail as access is required on Network Rail infrastructure. ST61 Cricket Inn Road Bridge spans the railway and a possession for inspection is scheduled for 9th September 2023. A date is currently being agreed with Network Rail for access to ST80 - Granvill St/Shewsbury Road Retaining Wall.	25 Aug 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)	Ensure all structure inspections due in 2022/23 are complete.	Tim Taylor	Patrick Gannon	08 Sep 2023	Meeting with Aecom arranged for Monday 4th September to discuss next steps regarding Commercial Street Bridge	25 Aug 2023
Patrick Gannon								Patrick Gannon	Patrick Gannon	12 Jul 2024	Ensure all structure inspections for 2023/2024 are completed	
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	Project Forms to be completed for consideration at Programme Board in September	08 Aug 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
Tom Bousfield	Reference: 2595 Prefix: OP0235	Strategic Alignment of AEB Activity	<p>Due to: ongoing development of overarching Growth Plan, and associated Skills Strategy</p> <p>There is a risk that: current interventions are not aligned with thematic goals or future localised needs</p> <p>Resulting in: the impact of devolved AEB funding not being maximised</p>	High (5.5=25)	Existing activity aligned to SEP Priorities	Medium/High (5.3=15)	Align future AEB procurement with Growth Plan and Skills Strategy	Tom Bousfield	Tom Bousfield	31 Mar 2024	Activity underway	08 Sep 2023
					Early communication of skills strategy development informing upcoming AEB activity		Embed Data and Intelligence function with Skills team to make informed decisions regarding targeting of funds	Tom Bousfield	Tom Bousfield	31 Mar 2024	Activity underway	08 Sep 2023
					Single team approach to development, contracting an performance management of Skills activity to enable more responsive and unified AEB delivery							
					Allocation of AEB Innovation Fund to respond to in year policy requirements or local demand							
					Additional specific resource brought in to support strategy development							

Health & Safety Themed Risk Register



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: 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
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	21 Mar 2024	SYMCA and SYSL have initiated special inspections of the three post-tensioned structures on the Supertram network in line with national standard 'CS465'. The first phase (desk-top study) gave the following risk scores to the structures: • Parkway Viaduct: 2.83 – Low risk category • South Street Bridge: 4.00 – Medium risk category • Woodbourn Road: 3.89 – Medium risk category The next stage of the inspection process has commenced which will include a programme of site-based work, including non-intrusive surveys (e.g. ultrasonic testing) and intrusive testing (carefully opening up the structure to check for signs of deterioration). This will help SYMCA gain a deeper understanding of the condition of the structures and any potential action required. This work is due to complete by March 2024.	19 Jun 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)						
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
Jeremy Kemp	Reference: 1621 Prefix: OP0077	Inability to guarantee safe evacuation of interchanges in event of fire (530)	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 There is a risk that: arson/anti social behaviour could increase and evacuation may not be effective Resulting in: Injury/possible loss of life and reputational damage to the MCA	Medium/High (5.3=15)	Fire Risk Assessment carried out annually and completion of actions monitored by Health & Safety Advisor 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	Medium (5.2=10)						
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. Progress with new project to replace XVPPlus with a new Enterprise Asset Management System /CMMS. Submission of the final Mass Transit renewals bid (OBC).	Pat Beijer	Will Dunnnett	19 Sep 2023	Negotiations with Stagecoach have reached heads of terms stage. No new risks emerging, although due diligence continues. An agreement in principal is close, which washes up any potential due diligence findings such as TUPE, procurement contracts and Stagecoach co-operation	22 Aug 2023
								Tim Taylor	Peter Elliott	01 Dec 2024	Programme for introduction of a new Asset Management System has been amended so the work associated with populating it falls after the end of the current concession. New target date for completion is now December 2024.	26 Jun 2023
								Pat Beijer	Peter Elliott	30 Nov 2023	Submission delayed to November 2023	23 Feb 2023
Michelle Stansfield	Reference: 1903 Prefix: OP0131	Land & Building Impairment	Due to: Due to lack of investment and maintenance arrangements There is a risk that: land and buildings become impaired or unsuitable for SYMCA's need Resulting in: in unavailability or closure, exposure to additional issues based on H&S, Finance and reputational challenge.	Medium/High (3.4=12)	Asset management strategy prepared by Turner & Townsend. Financial Valuation Report prepared by Sanderson Weatherall Asset and Lifecycle plan for assets in place for SYMCA occupied buildings The asset and life cycle plan has been developed to give a 5 year capital investment plan	Medium (3.3=9)	Gain understanding of the commercial profit and loss for each building to understand cost benefits whether to retain or sell	Michelle Stansfield	Philip Burgin	16 Sep 2023	New asset register collated - all financial information now to be added.	23 Aug 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: 1453 Prefix: OP0043	Disruption to Supertram operations as a result of extreme weather (538)	<p>Due to: climate change and therefore the increase in extreme weather events</p> <p>There is a risk that: there will be increased disruption of the operation of the Supertram network</p> <p>Resulting in: poor public transport service, lower patronage, increased costs for maintenance and repair.</p>	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)	<p>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.</p> <p>Mass Transit Team continue to act on advice from advisors.</p>	Will Dunnett	Peter Elliott	30 Nov 2023	<p>1. Specification document created by Mott McDonald's was not detailed enough to allow to move to the tender process. The specification did not cover all areas a modern EAMS can deliver and there was a risk that the product would not cover all of the mandatory and essential requirements to drive improvement and deliver the Asset Management Strategy.</p> <p>2. The new IT infrastructure will not be in place until close to concession end which would not allow adequate time to install an off line version to permit the training of staff. In addition the laptop and desk tops will not become live for NewCo employees which would be utilised for connection to the EAMS.</p> <p>3. Training requirements would require all staff is not feasible whilst still under Stagecoach employment as we need to consider the effects this would have on service delivery, de mobilisation of SYSL and mobilisation of NewCo. In addition to this we would be liable for staff release charges to Stagecoach for this training. The reason I have added Service Delivery to this is that the short timescale we would have would mean a large training course size requirement to ensure all critical staff were covered before Go Live.</p> <p>4. The asset register within XV+ is not adequate to migrate to the new system and will require significant resource and time to develop as this will be critical to have correct to ensure it works to the specification.</p> <p>5. When the Stagecoach datalink is removed there are more critical IT systems that need to be implemented as they will not be available and include HR, finance and payroll. This will require significant efforts from the IT resource to implement, test and make good for day 1 operations.</p> <p>6. Concept/feasibility design to be completed by end November 2023.</p>	25 Aug 2023
Michelle Stansfield	Reference: 1495 Prefix: OP0050	Woodbourn Tunnel (531)	<p>Due to: the structural stability of Woodbourn Tunnel</p> <p>There is a risk that: SYMCA could be held liable for the partial or full collapse of the tunnel</p> <p>Resulting in: unbudgeted costs, harm to reputation and prosecution.</p>	Medium (5.2=10)	<p>SCC's contractor, (Amey) monitoring the bridge and Public Transport Project Delivery Team are in regular liaison with SCC.</p>	Medium (4.2=8)	<p>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</p> <p>Action Update: Permanent fencing has been ordered for construction to safeguard the site until decisions/works have been completed (potentially May 2024). ETA Fencing install end of Aug 2023.</p>	Philip Burgin	Philip Burgin	28 Sep 2023	<p>The project to infill the tunnel is now delayed, so the assets team have procured fencing at both ends of the tunnel to prevent access - this should be installed by early September</p>	23 Aug 2023
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)	<p>Asset Mgmt Strategy is in place which has been prepared by Turner & Townsend.</p> <p>Financial valuation report has been prepared by Sanderson Weathrall</p> <p>Asset & Lifecycle plans are in place.</p> <p>A 10 year capital investment plan is in place</p>	Medium (4.2=8)	<p>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.</p>	Michelle Stansfield	Michelle Stansfield	31 Jan 2024	<p>Tender is 25% completed. On target for market.</p>	28 Jun 2023
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)	<p>processes in place to manage replacement card process.</p> <p>SYSL carry out training to avoid conflict, accident investigation and ensure sufficiently competent staff and carry out risk assessments.</p>	Medium (4.2=8)	<p>To identify opportunities to improve safety through the SCR Mass Transit renewals project.</p> <p>Tighten up procedures regarding the replacement of lost or damaged passes to avoid unauthorised passes entering circulation.</p>	Peter Elliott	Peter Elliott	30 Nov 2023	<p>Delay in OBC process, now due for completion in November 2023</p>	23 Feb 2023
Michelle Stansfield	Reference: 1440 Prefix: OP0038	Injury whilst boarding or alighting a tram (495)	<p>Due to: the tram platform/vehicle interface</p> <p>There is a risk that: passengers boarding and alighting may slip, trip or fall onto or off a vehicle</p> <p>Resulting in: injury</p>	Medium (3.3=9)	<p>Adhoc track patrols carried out by SYPTE and any defects raised with SYSL.</p> <p>SYSL carry out driver training, accident investigation and ensure sufficiently competent staff and carry out risk assessments.</p> <p>SYSL carryout maintenance of vehicles and tramstops.</p>	Medium (3.2=6)	<p>Request slip trip and fall risk assessment from SYSL</p>	Tim Taylor	Gerry Masterson	29 Sep 2023	<p>SYSL are having an internal discussion on the type of footwear to be proscribed to conductors on Tram. Once this decision is made the RA will be circulated internally within SYSL before for approval before they will share with SYMCA.</p>	25 Aug 2023
Rachel Sprigg	Reference: 1447 Prefix: OP0040	Loss of Rail Grant (418)	<p>Due to: DFT reducing/withdraw the Rail Admin Grant of £1.183m</p> <p>There is a risk that: funding is insufficient to cover a number of station activities such as cleaning and maintenance</p> <p>Resulting in: a loss of income to the SYMCA, consequential budgetary pressures and adverse impact on delivery and safety.</p>	Medium (3.3=9)	<p>Rail admin grant has been secured for 2022-23 at same level of previous years.</p> <p>Standardised funding model for DFT to award this Annualised allocation of rail admin grant from DFT (Ongoing for multiple years)</p> <p>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.</p>	Medium (3.2=6)	<p>Include in risk quantification of amount of grant at risk after discussion with SYMCA finance team</p> <p>No action required</p>	Rachel Sprigg	Rachel Sprigg	26 Jan 2024	<p>Rail grant has been sent to SYMCA</p>	24 May 2023
Rachel Sprigg	Reference: 1447 Prefix: OP0040	Loss of Rail Grant (418)	<p>Due to: DFT reducing/withdraw the Rail Admin Grant of £1.183m</p> <p>There is a risk that: funding is insufficient to cover a number of station activities such as cleaning and maintenance</p> <p>Resulting in: a loss of income to the SYMCA, consequential budgetary pressures and adverse impact on delivery and safety.</p>	Medium (3.3=9)	<p>Rail admin grant has been secured for 2022-23 at same level of previous years.</p> <p>Standardised funding model for DFT to award this Annualised allocation of rail admin grant from DFT (Ongoing for multiple years)</p> <p>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.</p>	Medium (3.2=6)	<p>Include in risk quantification of amount of grant at risk after discussion with SYMCA finance team</p> <p>No action required</p>	Rachel Sprigg	Rachel Sprigg	01 Feb 2024	<p>Rail grant has been sent to SYMCA</p>	24 May 2023
Michelle Stansfield	Reference: 1940 Prefix: OP0142	Compliance with Statute Laws and Regulations	<p>Due to: Due to there been no centralised compliance and assets record system (such as an 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)	<p>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</p>	Medium (2.3=6)	<p>Procurement of new CAFM system to streamline reactive/preventative/remedial maintenance. Optimising Preventative and Planned maintenance, effective asset management, effective contactor 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.</p>	Michelle Stansfield	Philip Burgin	22 Sep 2023	<p>Tender documentation is being written, requirements to be reviewed by IT. Further meetings to be held with GIS and CS.</p>	23 Aug 2023
Tim Taylor	Reference: 1419 Prefix: OP0036	Serious tram accident (akin to Sandilands) (472)	<p>Due to: inadequate operational and/or maintenance practices, vandalism or object left in the swept path</p> <p>There is a risk that: a tram will overturn</p> <p>Resulting in: in injuries or fatalities</p>	Medium (5.2=10)	<p>Liaison with the Police to investigate high vandalism areas.</p> <p>SYSL carry out driver training, accident investigation and ensure sufficiently competent staff and carry out risk assessments.</p> <p>SYSL carry out regular track patrols and maintenance activities.</p> <p>System signage reviewed and drop down speeds introduced at high risk areas.</p> <p>Vigilance device now implemented on the Siemens fleet</p> <p>Vigilance device on the Citylink vehicles.</p>	Medium (5.1=5)	<p>Implementation of the recommendations and processes adopted by the Light Rail Safety and Standards Board where applicable.</p> <p>Implementation of Rec3 on whole fleet as a speed control device.</p>	Tim Taylor	Patrick Gannon	03 May 2024	<p>First 2-monthly review held with ORR, satisfied with progress being made.</p>	23 Feb 2023
Tim Taylor	Reference: 1419 Prefix: OP0036	Serious tram accident (akin to Sandilands) (472)	<p>Due to: inadequate operational and/or maintenance practices, vandalism or object left in the swept path</p> <p>There is a risk that: a tram will overturn</p> <p>Resulting in: in injuries or fatalities</p>	Medium (5.2=10)	<p>Liaison with the Police to investigate high vandalism areas.</p> <p>SYSL carry out driver training, accident investigation and ensure sufficiently competent staff and carry out risk assessments.</p> <p>SYSL carry out regular track patrols and maintenance activities.</p> <p>System signage reviewed and drop down speeds introduced at high risk areas.</p> <p>Vigilance device now implemented on the Siemens fleet</p> <p>Vigilance device on the Citylink vehicles.</p>	Medium (5.1=5)	<p>Implementation of the recommendations and processes adopted by the Light Rail Safety and Standards Board where applicable.</p> <p>Implementation of Rec3 on whole fleet as a speed control device.</p>	Tim Taylor	Peter Elliott	06 Sep 2024	<p>Metro Tenerife project plan now received with end date of</p>	21 Aug 2023