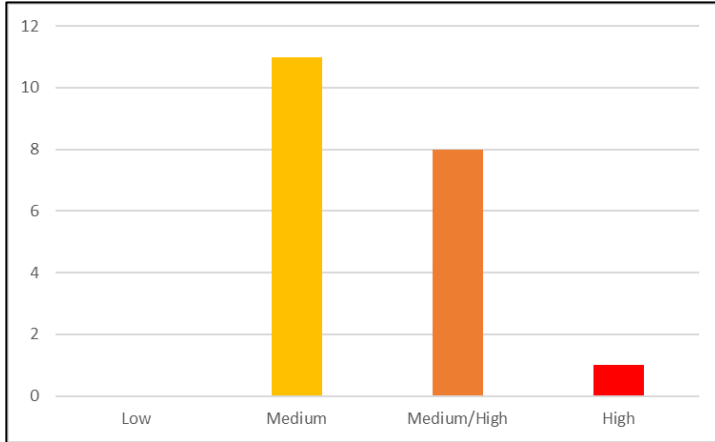


Risk Dashboard

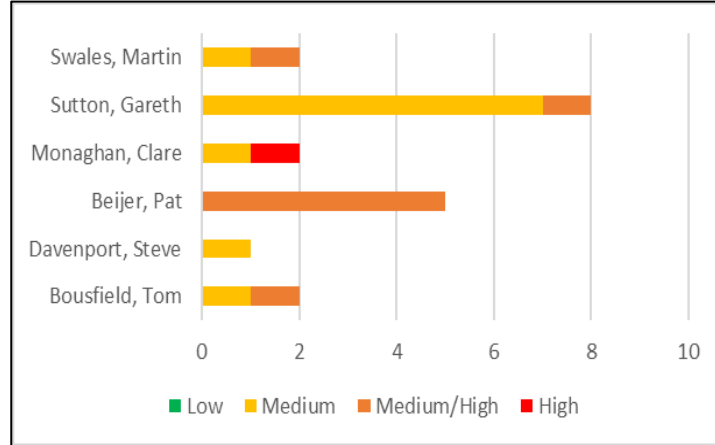
March 2024

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.

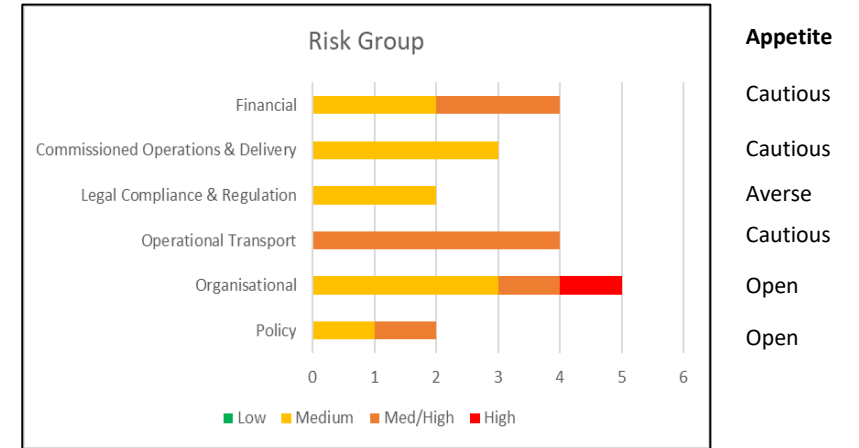
Corporate Risks by Residual Risk Score



Corporate Risks by Executive Level Ownership



Corporate Risks by Strategic Group



Summary

Since the last report:

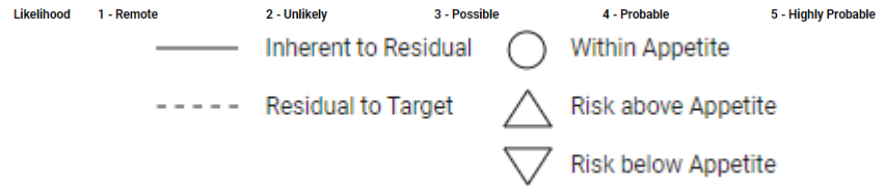
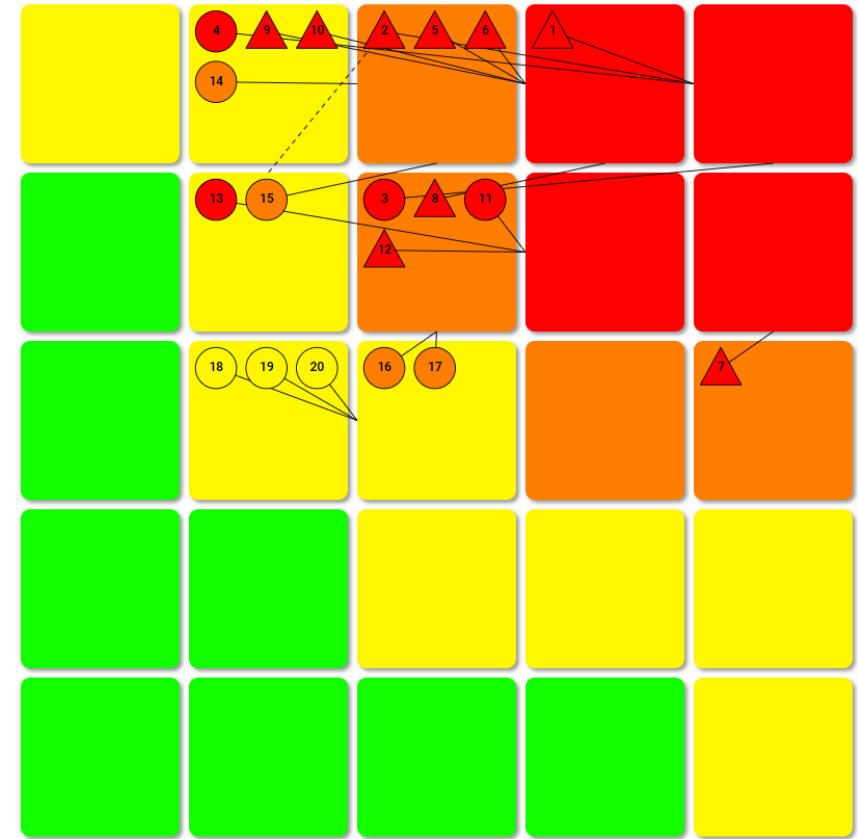
- Three **new** corporate risks have been identified.
 - COR0028 Tram Infrastructure and Tram Vehicle Failure (Pat Beijer)
 - COR0027 Inability to Fund Tram Asset Renewal (escalated from directorate level) (Pat Beijer)
 - COR0004 Mayoral Election (Martin Swales)
- Three corporate risks have been **closed**:
 - COR0009 Bus Recovery Funding (Pat Beijer)
 - COR0019 Post Integration Embedding of Organisational Design (Martin Swales)
 - COR0013 Borrowing leads to financial risk (Gareth Sutton)
- Two corporate risks have **increased** in residual score:
 - COR0020 Organisational Capacity & Skills (Gareth Sutton)
 - COR0014 The BSIP and EP Scheme Delivery (Pat Beijer)
- One corporate risk has **decreased** in residual score:
 - COR0021 Cyber Security Threat (Gareth Sutton)
- The **highest** scoring risks this period are:
 - COR0028 Tram Infrastructure and Tram Vehicle Failure (Pat Beijer)
 - COR0007 Net Zero, Sustainability/Climate Change (Clare Monaghan)
- One corporate risk has **changed ownership**
 - COR0026 Business Continuity (Gareth Sutton)

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

Matrix Id	Reference	Title	Inherent	Residual	Impact
1	COR0007	Net Zero, Sustainability/ Climate Change	High	High	5 - Major
2	COR0015	Tram Services	High	Medium/High	
3	COR0022	Doncaster Sheffield Airport Closure	High	Medium/High	
4	COR0021	Cyber Security Threat	High	Medium	4 - Serious
5	COR0017	Ability to deliver CRSTS Programme	High	Medium/High	
6	COR0027	Inability to fund the costs of tram asset renewal (462)	High	Medium/High	
7	COR0014	The BSIP and EP Scheme Delivery	High	Medium/High	
8	COR0028	Tram infrastructure and tram vehicle failure (512)	High	Medium/High	3 - Moderate
9	COR0018	Health and Safety- Major Accident or Injury	High	Medium	
10	COR0004	Mayoral Election	High	Medium	
11	COR0023	Successful Management of Concurrent Major Change Programmes	High	Medium/High	2 - Minor
12	COR0024	Investment Zone Readiness	High	Medium/High	
13	COR0001	Adult Education Budget Performance	High	Medium	
14	COR0002	Policy change causes disruption	Medium/High	Medium	1 - Immaterial
15	COR0012	Financial Health	Medium/High	Medium	
16	COR0025	Constituent Authorities Experience Financial Pressures	Medium/High	Medium	
17	COR0026	Business Continuity Planning	Medium/High	Medium	
18	COR0020	Organisational Capacity & Skills (for bau activity)	Medium	Medium	Impact
19	COR0016	Supply Chain Failure	Medium	Medium	
20	COR0010	Failure to agree Investment Strategy	Medium	Medium	

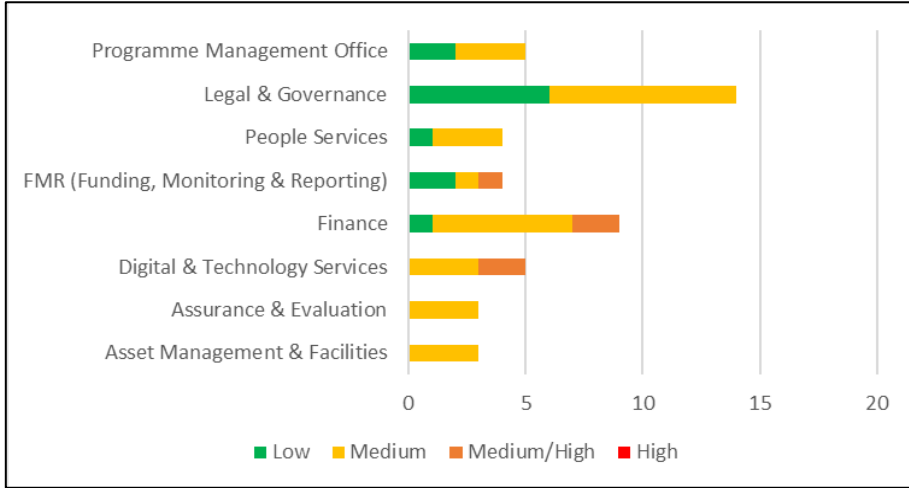


More detail, including controls and mitigating actions, are included in the Corporate Risk Register at page 11.

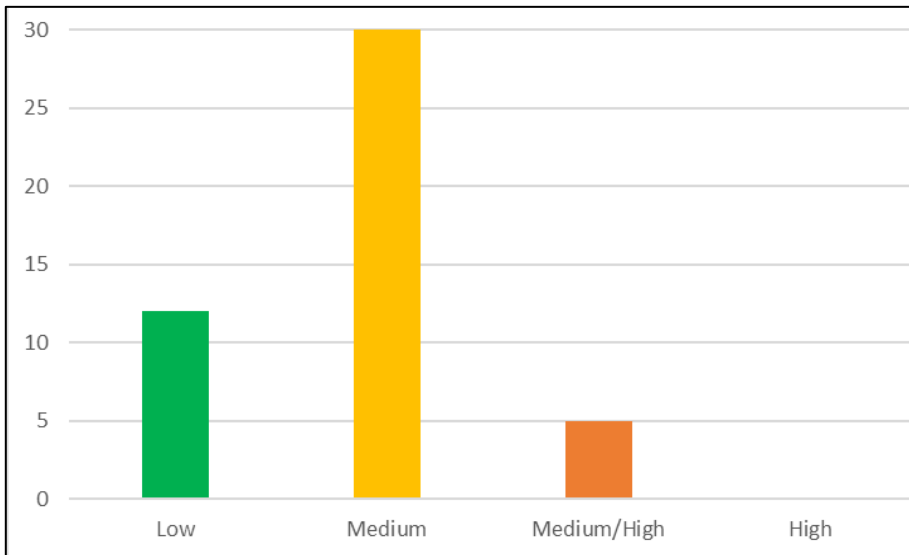
Directorate risks are defined as risks specific to SYMCA teams and can be reflective of objectives, business plans, processes and operating environments.

Resources & Investment Directorate

Risks by Team and by Residual Risk Score



Risks by Residual Risk Score



Summary

There are currently five ‘medium/high’ risks within the Resources and Investment Directorate (listed below). This includes one new risk for this period OP0282 Exposure to the commercial performance of the bus network. See page 12 for details.

An additional three risk, all scoring ‘medium’, were added this period and three were closed.

There are currently 10 risks within the directorate that are above their Strategic Group Appetite.

Two risks with a ‘health and safety theme’ remain within the directorate both are scored as “Medium”, above appetite. (See page 8 for detail)

Six Risks with a ‘Cyber Security theme’ remain within the directorate, two scored “Medium/High” and the four are “Medium”. All above appetite. (See page 9 for detail)

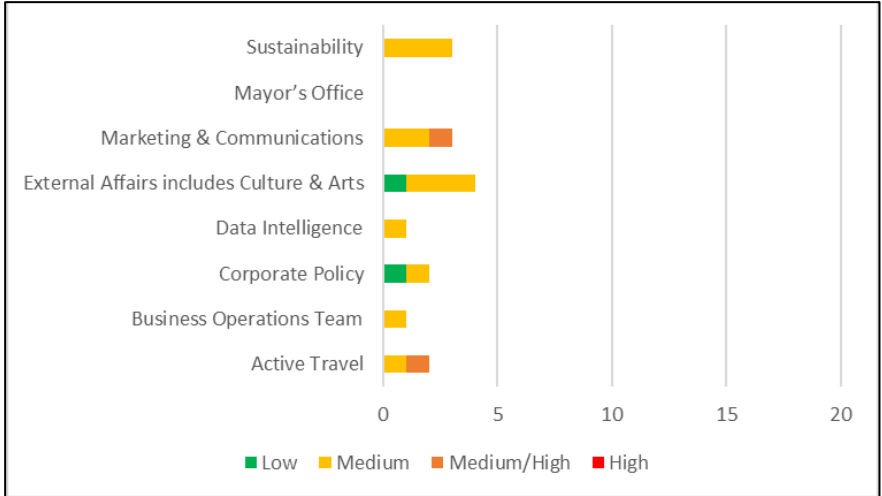
Risks with a residual score ‘medium/high’ and ‘high’

Prefix	Title	Owner	Assignee	Inherent Priority	Residual Priority
OP0020	Exposure to the commercial performance of the tram network	Mike Thomas	Mike Thomas	High (25)	Medium/High (12)
OP0027	Data Loss/Security	Nick Brailsford	Nick Brailsford	High (16)	Medium/High (12)
OP0109	IT System Failure	Nick Brailsford	Nick Brailsford	High (20)	Medium/High (12)
OP0251	Investment into Businesses	Gareth Sutton	Sue Sykes	High (16)	Medium/High (12)
OP0282	Exposure to the commercial performance of the bus network	Mike Thomas	Tim Taylor	High (25)	Medium/High (12)

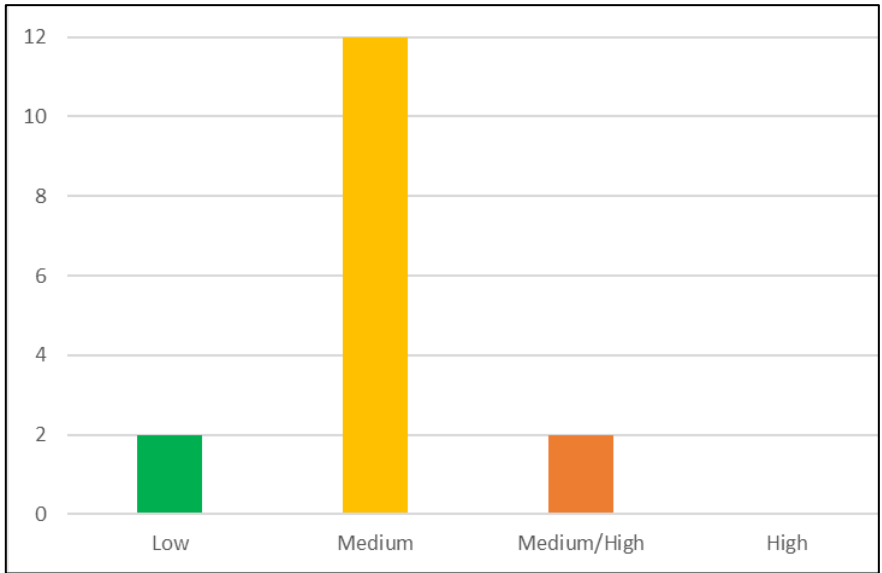
Directorate risks are defined as risks specific to SYMCA teams and can be reflective of objectives, business plans, processes and operating environments.

Policy & Strategic Development Directorate

Risks by Team and by Residual Risk Score



Risks by Residual Risk Score



Summary

Since the last report:

- Policy and Strategic Development Directorate have reviewed all directorate level for the Annual Risk Register Review. This has led to 4 new risks being identified and 8 closed.
- There are two new 'medium/high' risk within the directorate, one of which is out of Strategic Group Appetite (OP0286). See page xx for details.

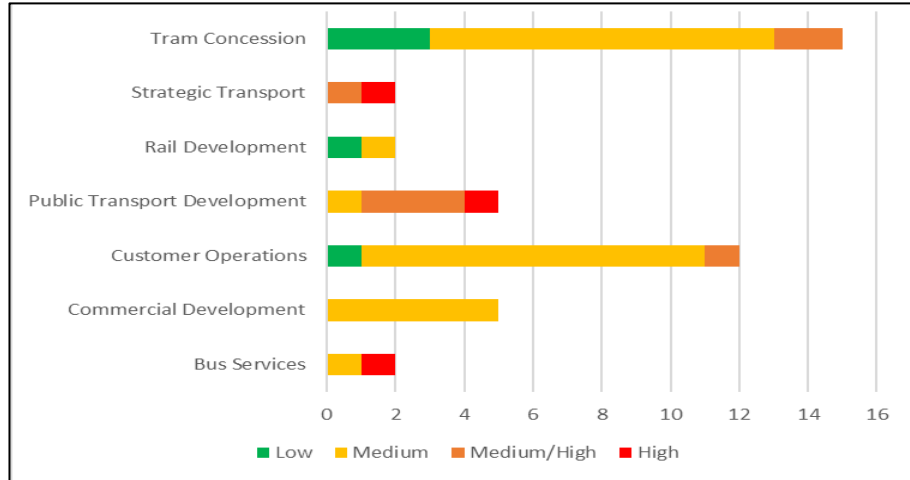
Risk with a residual score 'medium/high' and 'high'

Prefix	Title	Owner	Assignee	Inherent Priority	Residual Priority
OP0286	Unable to meet active Travel targets and ambitions	Jenny Holmes	Nicola Marshall	High (16)	Medium/High (12)
OP0285	Comms and Marketing capacity constraints	Shabnum Mustapha	Sarah Gibson	High (25)	Medium/High (15)

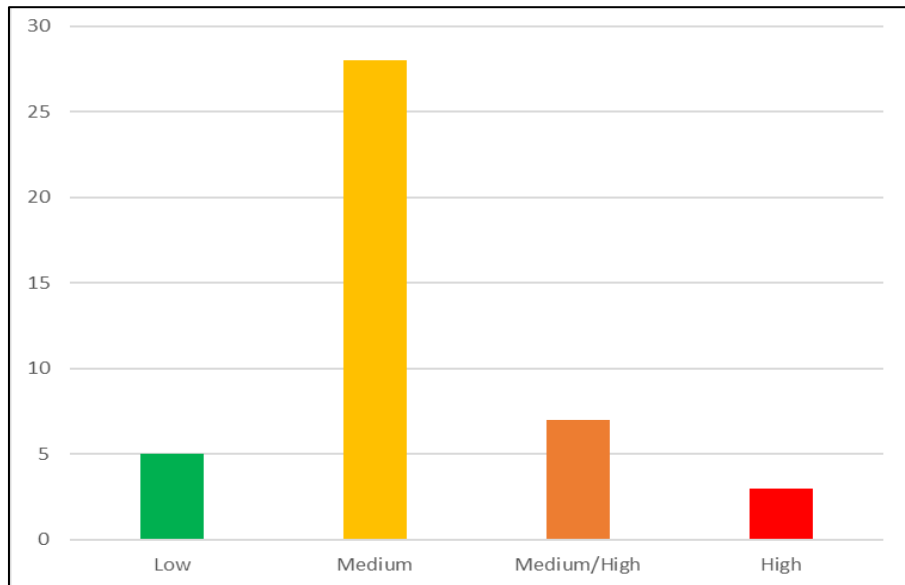
Directorate risks are defined as risks specific to SYMCA teams and can be reflective of objectives, business plans, processes and operating environments.

Transport Directorate

Risks by Team and by Residual Risk Score



Risks by Risk Score



Summary

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

Since the last report:

- OP0156 and OP0151 remain ‘high’ (see below).
- OP0130 previously had a residual score of ‘medium’ (8) and has increased to ‘high’ (16) (see page xx for details)
- There are 16 risks with a ‘health and safety theme’ within the directorate. 15 of these have a residual score of five or above (see page 8 for details)
- There is one risk with a “Cyber Security Theme” which is scored ‘medium/high’ (see page 9 for details)

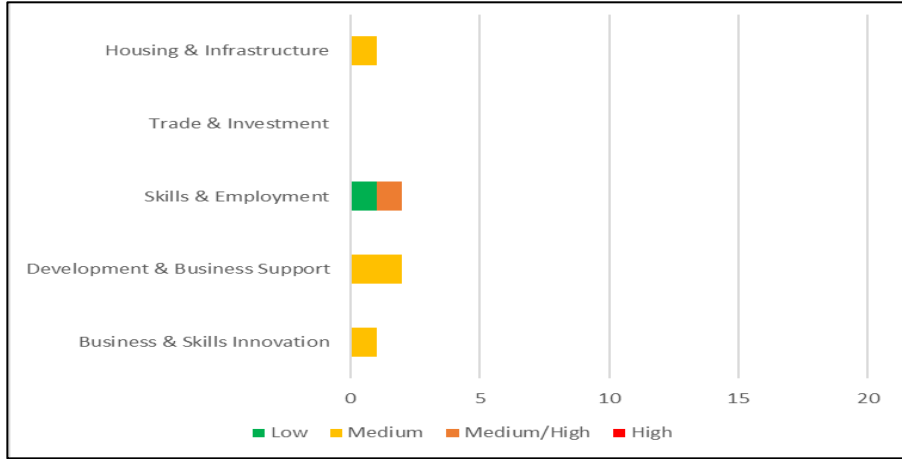
Risks with a residual score ‘medium/high’ and ‘high’

Prefix	Title	Owner	Assignee	Inherent Priority	Residual Priority
OP0130	Delayed Public Transport Projects within the TCF Programme	Nick Brown	Nick Brown	High (20)	High (16)
OP0156	Application of Regional Policies	Pat Beijer	Chloe Shepherd	High (20)	High (16)
OP0151	Declining Patronage (463)	Tim Taylor	Tim Taylor	High (25)	High (20)
OP0279	Core Public Transport CRM	Tim Taylor	Nick Brailsford	Medium/High (12)	Medium/High (12)
OP0032	Balance Anchor Weight Failures (553)	Tim Taylor	Patrick Gannon	Medium/High (15)	Medium/High (15)
OP0046	Inability to think strategically (523)	Pat Beijer	Pat Beijer	High (20)	Medium/High (15)
OP0049	Organisational agility to respond to people resource needs (517)	Pat Beijer	Pat Beijer	High (20)	Medium/High (15)
OP0068	Disruption due to concession handback (514)	Pat Beijer	Will Dunnnett	High (20)	Medium/High (15)
OP0154	Third Party Reliance on Bus Operators to deliver Net Zero targets	Tim Taylor	Tim Taylor	High (20)	Medium/High (15)
OP0206	Tram Structures Inspections Identify Significant Remedial actions	Tim Taylor	Patrick Gannon	High (25)	Medium/High (15)

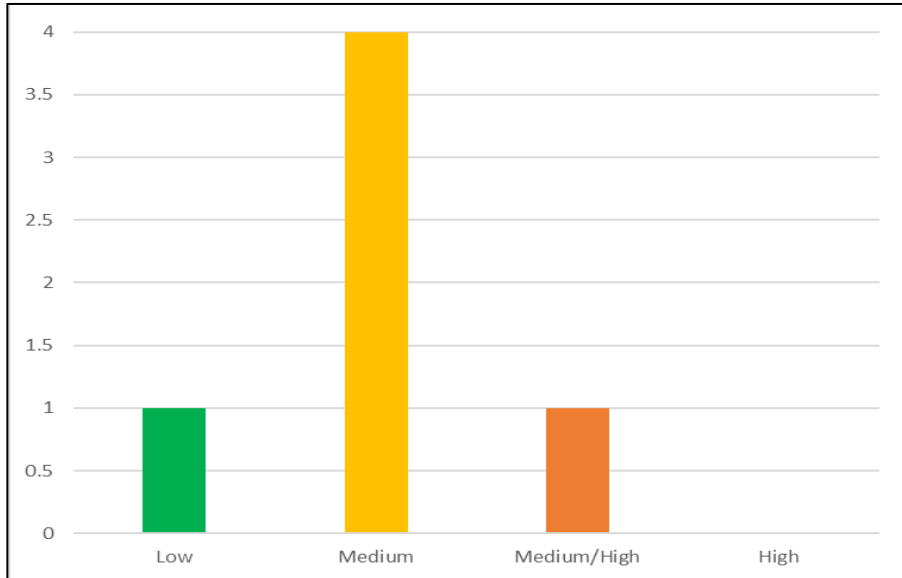
Directorate risks are defined as risks specific to SYMCA teams and can be reflective of objectives, business plans, processes and operating environments.

Growth, Business & Skills Directorate

Risks by Team and by Residual Risk Score



Risks by Risk Score



Summary

Since the last report:

- The Growth, Business and Skills Directorate have reviewed their risk profile as part of the Annual Risk Register Review, leading to 7 risks being closed and one new risk being added.
- There remains one 'medium/high' within the Growth, Business and Skills Directorate. (see page xx for details)
- There are no risks with a 'health and safety theme' or 'Cyber Security' within the directorate.

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

Reference	Title	Inherent	Residual ↓
OP0235	Strategic Alignment of AEB Activity	25	15

Health & Safety Risks with a score of 5 or above (medium, medium/high, high) no new since last report

Corporate					
Prefix	Title	Owner	Assignee	Inherent Priority	Residual Priority
COR0028	Tram infrastructure and tram vehicle failure (512)	Tim Taylor	Patrick Gannon	High (20)	High (16)
COR0023	Successful Management of Concurrent Major Change Programmes	Gareth Sutton	Gareth Sutton	High (16)	Medium/High (12)
COR0018	Health and Safety- Major Accident or Injury	Gareth Sutton	Michelle Stansfield	High (20)	Medium (10)
Operational					
Prefix	Title	Owner	Assignee	Inherent Priority	Residual Priority
OP0032	Balance Anchor Weight Failures (553)	Tim Taylor	Patrick Gannon	Medium/High (15)	Medium/High (15)
OP0036	Serious tram accident (akin to Sandilands) (472)	Tim Taylor	Patrick Gannon	Medium (10)	Medium (5)
OP0038	Injury whilst boarding or alighting a tram (495)	Tim Taylor	Patrick Gannon	Medium (9)	Medium (6)
OP0040	Loss of Rail Grant (418)	Rachel Sprigg	Rachel Sprigg	Medium (9)	Medium (6)
OP0045	Verbal threats, abuse or physical assault on customer facing employees (550)	Jeremy Kemp	Jeremy Kemp	Medium (9)	Medium (6)
OP0142	Compliance with Statue Laws and Regulations	Michelle Stansfield	Michelle Stansfield	High (16)	Medium (6)
OP0234	Post Day One Safety Culture & Leadership Risk	Pat Beijer	Will Dunnett	Medium/High (15)	Medium (6)
OP0272	Contractor Management	Michelle Stansfield	Michelle Stansfield	Medium/High (12)	Medium (6)
OP0043	Disruption to Supertram operations as a result of extreme weather (538)	Tim Taylor	Patrick Gannon	Medium/High (12)	Medium (8)
OP0071	Travel pass fraud challenge leads to assault (496)	Tim Taylor	Paul Foers	Medium/High (15)	Medium (8)
OP0263	An increase in the frequency of violent and/or ASB at SYMCA public transport sites.	Tim Taylor	Dale Sparks	High (20)	Medium (9)
OP0262	Adverse weather response plans	Dale Sparks	Dale Sparks	High (20)	Medium (9)
OP0029	Tramway highway interface (436)	Tim Taylor	Patrick Gannon	Medium/High (15)	Medium (10)
OP0033	Failure of post tensioned structures on Supertram (528)	Tim Taylor	Patrick Gannon	Medium/High (15)	Medium (10)
OP0055	Road Traffic Collision (489)	Tim Taylor	Patrick Gannon	High (20)	Medium (10)
OP0056	Member of the public coming into contact with a moving vehicle on SYMCA property (483)	Jeremy Kemp	Jeremy Kemp	Medium/High (15)	Medium (10)
OP0261	Hostile Vehicle Mitigation	Tim Taylor	Dale Sparks	Medium/High (15)	Medium (10)

*6 also exceed the appetite for their strategic group

Cyber Security Risks with a score of 5 or above (medium, medium/high, high) ★ new since last report

Corporate					
Prefix	Title	Owner	Assignee	Inherent Priority	Residual Priority
COR0021	Cyber Security Threat	Gareth Sutton	Gareth Sutton	High (25)	Medium (10)
Operational					
Prefix	Title	Owner	Assignee	Inherent Priority	Residual Priority
OP0027	Data Loss/Security	Nick Brailsford	Nick Brailsford	High (16)	Medium/High (12)
OP0109	IT System Failure	Nick Brailsford	Nick Brailsford	High (20)	Medium/High (12)
★ OP0279	Core Public Transport CRM	Tim Taylor	Nick Brailsford	Medium/High (12)	Medium/High (12)
OP0007	General Data Protection Regulations	Steve Davenport	Claire James	Medium/High (12)	Medium (6)
OP0104	Reduction in IT security checks	Nick Brailsford	Nick Brailsford	Medium/High (12)	Medium (6)
★ OP0289	AI Applications	Claire James	Nick Brailsford	Medium (9)	Medium (6)
OP0028	Volume of IT Systems	Nick Brailsford	Nick Brailsford	Medium/High (12)	Medium (8)
OP0001	Information Governance	Steve Davenport	Claire James	High (16)	Medium (9)

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

Risk Registers

- **Corporate Risks** (page 11-12)
- **Resources & Investment Directorate** (page 13)
- **Policy & Strategic Development Directorate** (page 14)
- **Transport Directorate** (page 15)
- **Growth, Business & Skills** (page 16)
- **Health & Safety Themed Risks (med, medium/high, high)** (page 17-18)
- **Cyber Themed Risks (med, medium/high, high)** (page 19)

Corporate Risk Register as at 12/03/24



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.	Clare Monaghan	Clare Monaghan	31 Mar 2024	Commissioned review of SYMCA's approach to Net Zero and sustainability	26 Feb 2024
					Working with partners / stakeholders to develop projects that take account of de-carbonisation.		Clare Monaghan	Clare Monaghan	31 Mar 2024	Commissioned review of SYMCA's approach to Net Zero and sustainability	26 Feb 2024	
					Initial focus on housing retrofit, Electric vehicles (electric buses, car charging) energy, tree planting		Clare Monaghan	Clare Monaghan	31 Mar 2024	Commissioned review of SYMCA's approach to Net Zero and sustainability	26 Feb 2024	

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 Bejler	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 (3.5=15)	Continue to lobby DfT officials/ministers on bus services challenges in SY.	Pat Bejler	Nick Brown	30 Jun 2024	DfT requires a revised BSIP by 12 June 2024 for future funding. This is identified as a separate risk.	14 Feb 2024
					Stakeholder comms setting expectations around deliverable improvements shared and approved (MCA/TEB/STOB)		Nick Brown	Nick Brown	31 Mar 2024	Refreshing of the EP Scheme has been superseded by the requirement to review the BSIP by June 2024, which has been identified as a separate risk. This risk should be closed	14 Feb 2024	
					Ability to add/amend EP Scheme(s) if further funding becomes available.		Pat Bejler	Chloe Shepherd	31 Aug 2024	New Action this cycle	26 Feb 2024	
					Successful ZEBRA bid will provide around £15m of funding for new EV fleet		Nick Brown	Rob Fairy	12 Jun 2024	New Action This cycle	26 Feb 2024	
Pat Bejler	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 (PD)- Light Rail Transport Operation.	Medium/High (5.3=15)	Monitor progress on work programme with regular review of milestones	Will Dunnett	Will Dunnett	11 Mar 2024	The programme is now subject to a deep dive review supported by a key risks start up and wash up meeting every week with the full workstream and representatives from SYMCA finance and legal.	05 Feb 2024
					Light Rail Development Programme established and key milestones identified							
					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							
Pat Bejler	Reference: 1195 Prefix: COR0017	Ability to deliver 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)	Robust Programme assurance and project management processes in place that support the delivery of CRSTS.	Medium/High (5.3=15)	Executive Director to engage with problem areas to help unblock/troubleshoot project/programme delivery issues	Pat Bejler	Pat Bejler	31 Mar 2025	Project team is in the process of improving its engagement with project financial (inc procurement) and risk management, programme management and risk reporting.	02 Feb 2024
Pat Bejler	Reference: 1550 Prefix: COR0027	Inability to fund the costs of tram asset renewal (462)	<p>Due to: not being able to secure suitable funding sources, eg DfT release of earmarked £100m which is subject to DfT approval, 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 Bejler	Will Dunnett	22 Apr 2024	A detailed 100 day and year one plan has been developed which budgets for and outlines on a work-stream by work-stream basis the core areas of repair or maintenance, this has been reviewed internally and with the current SYSL leadership team	05 Feb 2024
					Engagement with DfT around the process for OBC submission to ensure that the funding requirements are understood		Pat Bejler	Peter Elliott	17 Mar 2024	Target date amended due to resource stretch internally.	02 Feb 2024	
					Light rail funding requirements are included in as many capital bid programmes as possible (£100m CRSTS secured).		Pat Bejler	Peter Elliott	03 Apr 2025	Latest project completion date is now early 2025	29 Feb 2024	
					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).		Pat Bejler	Pat Bejler	29 Feb 2024	Working on going	29 Feb 2024	
					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							
Pat Bejler	Reference: 1421 Prefix: COR0028	Tram infrastructure and tram vehicle failure (512)	<p>Due to: Due to increased wear and age of assets</p> <p>There is a risk that: the tram infrastructure or vehicles will fail</p> <p>Resulting in: service disruptions, health and safety incidents and increased financial exposure.</p>	High (5.4=20)	Annual asset review carried out with 20 assets chosen to check that assets are being maintained in line with their maintenance regime.	Medium/High (4.3=12)	Complete negotiations with SYSL with a Transition Agreement to address emerging commercial risks for a seamless transfer in March 2024.	Pat Bejler	Will Dunnett	22 Mar 2024	The TA agreement continues to be a core piece of the mobilisation process and will be by exception subject to alteration or change as the heads of terms for it is agreed.	05 Feb 2024
					Concession Agreement includes clauses regarding operation of the network.		Tim Taylor	Peter Elliott	01 Dec 2024	Work is currently paused due to lack of resource and pressures from the tram transition workstream. Plan to restart subject to successful recruitment campaign.	27 Feb 2024	
					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.		Pat Bejler	Pat Bejler	08 Apr 2024	The submission of the Mass Transit OBC has been delayed until March 2024, with an outcome anticipated in May 2024. Due to the long lead times, the contract for this year's rail replacement works needs to be agreed before an outcome will be known. As the CRSTS grant is the means identified for funding the renewals to keep the system safe to operate, a funding gap has been created. If the rails cannot be replaced in a timely manner, they will reach their wear limits and the system will be unsafe to run, meaning key parts of the network will need to close until the works could be undertaken in 2025.	23 Feb 2024	
					SYSL currently monitor and act on obsolescence issues.							
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	MCA Board 13th Feb 24 approved the progression of the South Yorkshire Airport City project to Full Business Case. The MCA will receive an update on 12th March 24.	29 Feb 2024
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)	Understand the resources for activity associated with the Office of the Police and Crime Commissioner.	Gareth Sutton	Mike Thomas	30 Jun 2024	External support is now in place with a programme manager coordinating workstreams and specialist support commissioned to assist in a number of areas. Consideration continues to be given to further capacity requirements.	06 Feb 2024
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 Mar 2024	This action is on-going with recruitment expected in March 24	19 Feb 2024

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.	Andrew Gates	Andrew Gates	30 Apr 2024	The MCA has submitted a formal request to secure Level 4 Devolution Framework powers (MCA Board decision in Feb 2024). If this is successful the MCA will then start to develop a more ambitious set of devolution asks to inform Govt post 2024 General Election.	29 Feb 2024
Martin Swales	Reference: 1026 Prefix: COR0004	Mayoral Election	<p>Due to: extraneous factors interfering with the integrity of the process</p> <p>There is a risk that: undemocratic influences have an undue impact on the electorate</p> <p>Resulting in: the undermining of confidence of voters.</p>	High (5.4=20)	Highly experienced Elections Manager has been recruited to deliver the election process.	Medium (5.2=10)						

Corporate Risk Register as at 12/03/24



Owner	Identifier	Title	Cause and Effects	Inherent Priority	Controls Detail	Residual Priority	Actions					
							Detail	Owner	Assignee	Variable Target	Last Update Text	Last Update Date
Gareth Sutton	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>	High (5.4=20)	<p>Health and safety policy and procedures in place and audited by independent H&S advisor.</p> <p>Training provided to all staff.</p> <p>Appropriate maintenance contracts in place to undertake fabric and Mechanical & Electrical repairs and inspections as required.</p> <p>Monitoring of incidents and near misses undertaken, quarterly reports presented to Management Board and the ASRC.</p> <p>Standard contracts of employment for all SYMCA people incorporate a section on H & S responsibilities</p>	Medium (5.2=10)	Quality, Health, Safety and Environment Officer to review monitoring and reporting approach	Sean Rodgers	Sean Rodgers	31 May 2024	New Action Added this cycle	29 Feb 2024
							Schedule review H&S Standards	Sean Rodgers	Sean Rodgers	31 May 2024	New Risk Added this cycle	29 Feb 2024
Gareth Sutton	Reference: 1224 Prefix: COR0021	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)	<p>Anti-virus software, updated hourly, installed across all infrastructure.</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>Web-filtering to restrict and prohibit unauthorised access and data loss.</p> <p>An IT Policy exists and is updated as necessary, last updated in 2021.</p> <p>Password policy exists implementing good practice to build strong access controls including multi-factor authentication.</p> <p>Activity monitoring takes place including how people access the system.</p> <p>Regular simulated phishing attacks and user training in place.</p> <p>Software patching takes place to ensure software updates are carried out.</p> <p>Annual outsourced penetration testing, which is part of the Cyber Essentials requirements.</p> <p>Physical security enhancements including restricting a non-employee plugging a laptop into MCA network.</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>DDoS Protection control in place (Radware)</p> <p>Cloud assessments and DPIAs undertaken on online systems.</p>	Medium (5.2=10)	Agree internal audit recommendations and develop plan for implementation.	Nick Brailsford	Claire James	31 Mar 2024	Identified dedicated resource to co-ordinate activity Information Governance Working Group as the 'Project Board'. Revised target date to ensure periodic update on progress to implement	29 Jan 2024
							Corporate website migration to cloud services	Nick Brailsford	Dave Bradwell	08 Mar 2024	TSY moved to cloud, SYMCA due to migrate during February. Revised target date to ensure update provided.	12 Feb 2024
							Seek membership of North East Yorkshire & Humber Business Resilience Centre, Police Cyber Alarm initiatives	Nick Brailsford	Nick Brailsford	30 Apr 2024	Need to follow up and attain membership. Revised target date to ensure monitoring.	12 Feb 2024
Gareth Sutton	Reference: 1950 Prefix: COR0026	Business Continuity Planning	<p>Due to: inadequate, untested business continuity plans standing are included and tested within the contract procurement process.</p> <p>There is a risk that: in the event of a major incident operations will be disrupted</p> <p>Resulting in: poor customer experience, inability to deliver objectives and outcomes and inability to respond to an emergency in co-ordination with emergency services.</p>	Medium/High (4.3=12)	<p>Major contract delivery partners Business Continuity arrangements and resilience including financial standing are included and tested within the contract procurement process.</p> <p>Operational transport currently have Business Continuity Plans in place.</p>	Medium (3.3=9)	Ensure BCP is relevant and fit for purpose.	Clare Monaghan	Jayne Hampshire	31 Mar 2024	BIAs completed by deadline. Next steps include analysis of information and formulation of overarching BCP and identifying appropriate resource to take this forward.	29 Feb 2024
Gareth Sutton	Reference: 2607 Prefix: COR0025	Constituent Authorities Experience Financial Pressures	<p>Due to: systemic cost pressures, funding challenges and financial shock</p> <p>There is a risk that: local authority partners may encounter financial difficulties</p> <p>Resulting in: pressure on SYMCA to provide support, or loss of partner capacity to support SYMCA activity.</p>	Medium/High (4.3=12)	<p>Monthly Place Liaison meetings.</p> <p>Quarterly finance briefings.</p> <p>Close working relationships across programme management functions.</p>	Medium (3.3=9)	Engage with the Directors of Finance Group to shape the MCA's forward planning for its medium term financial strategy.	Gareth Sutton	Gareth Sutton	30 Jun 2024	The MCA agreed the second transport levy increase in over 15 years in January 2024, re-establishing the principle of ongoing incremental levy rises up to the end of the decade. The SY DoF Group continues to be engaged on major matters - such as the bus franchising assessment - with the next round of engagement due in February.	30 Jan 2024
Tom Bousfield	Reference: 1005 Prefix: COR0001	Adult Education Budget Performance	<p>Due to: potential under performance within the programme and their delivery intentions.</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)	<p>Performance monitoring meetings with all providers in place to understand planned delivery volumes and their delivery intentions.</p> <p>Performance reporting to Management Board has taken place to highlight the delivery challenges.</p> <p>Funding & Performance Rules set out the conditions of funding and how underperformance will be addressed.</p> <p>The MCA has audit step in rights should it need to undertake more robust reviews.</p> <p>The MCA has some options to redeploy funding away from underperforming areas where necessary.</p> <p>Performance reporting via Power BI has greatly improved the availability of data to manage performance of AEB programmes on a monthly basis</p>	Medium (4.2=8)	Review of AEB Performance management arrangements to ensure fit for purpose	Craig Moffatt	Joe Gardner	31 Mar 2024	Regular and monthly contract review meetings to increase performance as per the FMFR rules	12 Feb 2024
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 a 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)	<p>The MCA Group undertakes annual integrated business and budget planning to ensure resource is effectively aligned to priorities</p> <p>The MCA Group undertakes cyclical budget monitoring to identify financial performance allowing for the reallocation of resource mid-year</p> <p>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</p> <p>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</p> <p>The MCA Group has developed a new medium term financial strategy forecasting the requirements for greater local financial contributions from partners</p>	Medium (4.2=8)	Key medium-term risk around the future exposure to tram performance is being considered through the tram workstream	Mike Thomas	Mike Thomas	31 Mar 2024	Work is ongoing with the new SYFTL Head of Finance and Commercial to develop a detailed budget, identifying any further emerging pressures and savings.	22 Feb 2024
							Risk around the future exposure due to bus franchising is to be considered as part of the ongoing business case audit.	Mike Thomas	Mike Thomas	31 Mar 2025	Pending bus franchising decision	21 Feb 2024
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)	<p>The outcomes of the BPR workstream and steering group are beginning embedded into the overall Strategy</p> <p>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.</p> <p>Agree borrowing cap with HMT on an annual basis</p> <p>MCA Board have agreed a phased approach to the release of Gainshare funding ahead of the development of the place and transformational plans</p>	Medium (3.2=6)	Work will continue to develop Place Based Investment Plans and Transformational Plans	Gareth Sutton	Mike Thomas	31 Mar 2024	The MCA's draft Plan for Growth will be presented to the MCA Board on 12 March 2024	22 Feb 2024
							Work will continue on the operationalisation of the Plans, including borrowing principles	Gareth Sutton	Mike Thomas	31 Mar 2025	This is ongoing activity, local authority partners continue to develop schemes in detail to support the delivery of their place plans, thus allowing them to draw down their gainshare allocations.	22 Feb 2024
							Work is underway to make new connections with institutional investors.	Gareth Sutton	Gareth Sutton	30 Jun 2024	MoU with South Yorkshire Pension Fund now agreed	06 Feb 2024
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)	<p>MCA seeks to ensure a broad supplier basis through open market competition</p> <p>The MCA has access to a number of broad framework agreements to call off, in a timely fashion</p> <p>The MCA conducts pre-contract financial health due-diligence on major contracts including seeking details of associated sub-contracting and proportion of delivery / contract.</p> <p>The MCA holds a prudent level of reserves to mitigate financial shock.</p> <p>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</p> <p>Evidence sought to confirm responses e.g. payment terms sought and Insurance levels</p> <p>When bids received, further analysis is undertaken on the accounts and specifically around liquidity and the proportion of turnover which is MCA generated.</p> <p>The applicant is risk assessed and decisions made on that basis.</p> <p>Appropriate security to cover risk is considered for example a charge may be applied on land or property as security for a loan.</p>	Medium (3.2=6)	Internal Audit have tested supplier resilience and offered a number of recommendations that will be implemented	Steve Davenport	Jill Smith	31 Jul 2024	A follow on audit has taken place and resulted in 3 recommendations. These relate to establishing a Supplier Management Strategy, developing a proportionate risk based approach to contract management and exploring if the contract management system can document risk of failure. These were reported to ASRC in Sept 23. Variable target date extended.	29 Feb 2024
							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	31 Jul 2024	Following re-structure of teams a client based approach has been agreed which includes periodic testing of key suppliers. Revised target date to ensure periodic review of arrangements until embedded	29 Feb 2024
							Business Continuity Plans to be re-tested for loss of key suppliers.	Clare Monaghan	Claire James	31 Jul 2024	Analysis of BIAs undertaken as part of response to Cyber Resilience internal audit recommendations to identify key IT suppliers. Variable target date extended aligned to extension for Supplier Management Strategy action.	29 Feb 2024
Gareth Sutton	Reference: 1217 Prefix: COR0020	Organisational Capacity & Skills (for bau activity)	<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 (3.3=9)	<p>Introduction of a HR Business Partnering approach to work closely with teams to enable early identification of emerging risks or issues in capacity.</p> <p>Career Framework reviewed and proposed.</p> <p>Budget setting activity addressing capacity needs</p> <p>PDR processes identifies skills and capability requirements</p>	Medium (3.2=6)	Pay and grading review to be undertaken.	Gareth Sutton	Rebecca Bishop	30 Jun 2024	Pay and grading review undertaken. Consideration being given to appropriate time to implement. Revised target date to ensure continued monitoring.	12 Feb 2024
							Looking at job families and career progression	Rebecca Bishop	Rebecca Bishop	30 Jun 2024	New Risk Added this cycle	29 Feb 2024
							Business Planning Activity is being undertaken for 2024/25	Gareth Sutton	Gareth Sutton	30 Apr 2024		

Resources & Investment Directorate Risk Register as at 12/03/24



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 tram network	<p>Due to: Supertram returning to public ownership, coupled with the sustained loss of tram patronage since the Covid-19 pandemic</p> <p>There is a risk that: the tram will require significant public subsidy</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>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 CBC 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 approved the revised MTFs in January 2024 which sets aside c.£5-7m of resources per annum to the end of the decade to provide an operating subsidy to Supertram when it comes back into public ownership from March 2024.</p>	Medium/High (3.4=12)	Explore options for capitalising tram operating losses	Mike Thomas	Mike Thomas	31 Mar 2024	A revised proposal was submitted in writing to DfT in February 2024. A formal response is awaited.	21 Feb 2024
							Continue to lobby government for continuation of tram funding.	Gareth Sutton	Mike Thomas	31 Mar 2024	Continued liaison with DfT.	26 Feb 2024
							The tram transition team is reviewing all contractual arrangements, and has identified significant saving opportunities for instance with utilities and traction costs.	Mike Thomas	Mike Thomas	30 Jun 2024	New Action added February 2024	26 Feb 2024
Nick Brailsford	Reference: 1370 Prefix: OP0027	Data Loss/Security	<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	30 Jun 2024	New Cyber Security training rolled out in January and completion rates are being monitored. Revised target date to ensure monitoring until activity is embedded including forming part of induction.	22 Feb 2024
							Statement of Works prepared to bring in consultancy services to facilitate application of additional controls	Nick Brailsford	Nick Brailsford	30 Jun 2024	Digital strategy is being developed and will encompass the delivery of application of additional controls (through Sharepoint)	22 Feb 2024
Nick Brailsford	Reference: 1788 Prefix: OP0109	IT System Failure	<p>Due to: Power outage, virus/malware or DoS attack, fire, flood etc</p> <p>There is a risk that: SYMCA is unable to operate, access systems and data to generate information including corporate performance</p> <p>Resulting in: reduced effectiveness and lack of decision making.</p>	High (5.4=20)	<p>Daily back ups prepared and maintained</p> <p>Data processes and procedures exist to facilitate performance reporting.</p> <p>Business continuity arrangements are in place.</p> <p>Data protection guidelines and associated mandatory training undertaken.</p> <p>Externally delivered IT Health Check carried out annually and generates recommendations.</p>	Medium/High (4.3=12)	Agree internal audit recommendations and develop plan for implementation.	Nick Brailsford	Claire James	31 Mar 2024	Identified dedicated resource to co-ordinate activity Information Governance Working Group as the 'Project Board'. Revised target date to ensure periodic update on progress to implement	29 Jan 2024
							Develop an Incident Management Strategy.	Nick Brailsford	Claire James	31 Mar 2024	Development of Incident management plan forms part of ISMS development in response to Internal Audit recommendations on Cyber Resilience. Template in place, awaiting technical input. Revised target date to ensure monitoring until Plan signed off.	29 Jan 2024
							Develop 'Digital Strategy' to define a cloud first strategy.	Nick Brailsford	Nick Brailsford	30 Jun 2024	Draft Digital Strategy statement of work awaiting ELB review/endorsement	12 Feb 2024
Gareth Sutton	Reference: 2623 Prefix: OP0251	Investment into Businesses	<p>Due to: The challenging inflationary and operating environment for new and growing businesses.</p> <p>There is a risk that: Investment objectives are not met or are diminished.</p> <p>Resulting in: Failure of businesses and/or missing targets set at the point of investment.</p>	High (4.4=16)	<p>PMO function established to work with partners to support the submission of quality business cases</p> <p>Quarterly monitoring of grant funding to ensure timely delivery</p> <p>Performance reporting to MCA Board and Portfolio holders</p> <p>Robust due diligence undertaken prior to recommendation to progress business case</p> <p>Established Change control process in place</p> <p>MCA board papers includes reference to risks and issues</p>	Medium/High (3.4=12)	Work to establish MOUs with Aviva and SYPF to remove expose going forward.	Gareth Sutton	Gareth Sutton	31 May 2024	New action created February 2024	26 Feb 2024
Mike Thomas	Reference: 2825 Prefix: OP0282	Exposure to the commercial performance of the bus network	<p>Due to: ongoing decline in bus passenger numbers and the consequent reduction in bus service mileage across South Yorkshire</p> <p>There is a risk that: the South Yorkshire bus sector will require greater public subsidy</p> <p>Resulting in: greater pressure on the MCA's bus tendered services budget</p>	High (5.5=25)	<p>The MCA agreed a two-year funding package in July 2023, which will provide certainty in the near term.</p> <p>The Department for Transport (DfT) has announced a continuation of Bus Service Improvement Plan (BSIP) funding through to 2028/29, which will provide further certainty.</p> <p>The MCA has completed the assessment phase of bus franchising. The assessment demonstrates that all permutations of franchising represent value for money compared to the status quo over the 30-year appraisal period.</p>	Medium/High (4.3=12)	Continue to lobby Government for a sustainable funding model for bus transport	Mike Thomas	Tim Taylor	31 Dec 2024	MCA DoFs were briefed collectively on 20 February 2024 on a study which has been commissioned by the Urban Transport Group to explore this issue.	22 Feb 2024
							Continue to work with local authority partners to ensure that they are willing to support the MCA's core strategy for the transport levy (2% year-on-year growth) till the end of the decade.	Mike Thomas	Mike Thomas	31 Mar 2024	Bi-monthly briefings for Directors of Finance throughout 2024 will be programmed in shortly.	22 Feb 2024

Policy & Strategic Development Directorate Risk Register as at 12/03/24



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
Shabnum Mustapha	Reference: 2843 Prefix: OP0285	Comms and Marketing capacity constraints	<p>Due to: capacity constraints in Comms and Marketing</p> <p>There is a risk that: heighten public focus on the Mayoral office as a result of tram operations and PCC integration is not effectively managed</p> <p>Resulting in: reputational damage to the Mayor and the Authority.</p>	High (5.5=25)	Almost daily meetings specifically on the trams coming under public control on 22 March and communications and paid-for marketing in the run-up, Day 1 and post-Day 1 is being developed and agreed. EDs and Directors involved in a lot of these meetings.	Medium/High (5.3=15)	Need review of comms and marketing resource once we are fully responsible for the tram – ongoing	Shabnum Mustapha	Sarah Gibson	30 Apr 2024	New Action added this cycle	27 Feb 2024
					Regular meetings with OPCC comms team and supporting integration into SYMCA Comms team.		Planning on responding to multi-agency response to incidents involving tram being developed	Shabnum Mustapha	Sarah Gibson	30 Apr 2024	New Action added this cycle	27 Feb 2024
Jenny Holmes	Reference: 2849 Prefix: OP0286	Unable to meet active Travel targets and ambitions	<p>Due to: a lack of capacity across SYMCA and local authorities to deliver major Active Travel infrastructure projects</p> <p>There is a risk that: Active Travel England Level 3* rating and Active Travel Implementation Plan targets are not met</p> <p>Resulting in: being unable to secure further significant funding for Active Travel plans; reputation issues and downward spiral of delivery and behaviour change.</p>	High (4.4=16)	Improved capacity starting within SYMCA	Medium/High (3.4=12)	SYMCA wide discussion and action needed re SCC delivery issues and capability	Nicola Marshall	Nicola Marshall	27 Mar 2024	New Action added this cycle	27 Feb 2024
					Improved dashboard and delivery monitoring in place							
					Detailed focus on SCC delivery which is the main driver of the risk of non delivery							
					Developing new network and pipeline to accelerate funding opportunities							

Growth, Business & Skills Directorate Risk Register as at 12/03/24



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	Skills strategy almost ready to be published which deals with alignment. Finalising budget and structure. On target.	19 Feb 2024
					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	Skills strategy almost ready to be published which deals with alignment. Finalising budget and structure. On target.	19 Feb 2024
					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 Risks Exceeding Appetite as at 12/03/24



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 to deliver the risk based removal of the balance anchor weight system and replacement with Tensorex	Tim Taylor	Patrick Gannon	31 Dec 2024	So far, 10 of the 34 balance anchor weights across the system have been replaced. A further 6 will be replaced on the weekend of 16th/17th March, bringing the total to 16. Further works will be planned in over the following year to continue the project.	22 Feb 2024
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	07 Apr 2024	All three post tensioned structures have been inspected using a range of intrusive and non-intrusive inspections to complete Phases 1 and 2 of the inspections. Preliminary results suggest South Street Bridge and Woodbourn Road Bridge are in a very good condition. Some voiding of the ducts has been found in some locations of the Parkway Viaduct which will need managing with the potential for remedial works. The reports will be issued in March with full analysis and recommendations.	22 Feb 2024
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 2024/2025	Jeremy Kemp	Philip Burgin	31 Mar 2024	ANPR speed monitoring systems will be installed at Rotherham and meadowhall by April 2024.	26 Feb 2024
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 2024/2025	Jeremy Kemp	Philip Burgin	30 Apr 2024	ANPR speed monitoring systems are planned to be installed at Sheffield, but to date no capital money has been set aside to do this.	26 Feb 2024
Tim Taylor	Reference: 2677 Prefix: OP0261	Hostile Vehicle Mitigation	Due to: increase in use of vehicles as a weapon There is a risk that: members of the public in and around SYMCA public transport sites could be attacked by vehicles Resulting in: serious injury or death of staff or members or the public and property damage.	Medium/High (5.3=15)	Installed fences and hostile vehicle mitigation bollards at interchanges. Shared intelligence through local authority and south Yorkshire police.	Medium (5.2=10)	Undertake further site assessments to identify any new requirements to mitigate against vehicle terrorist risk. Following updated risk assessment (action 2680), procure and install any new anti-vehicle terrorist barriers identified as required. Key transport personnel to attend LRF hosted training on Martyn's Law	Dale Sparks	Jeremy Kemp	29 Feb 2024	at Rotherham MBCs town centre meeting on 19th they agree they needed to arrange a site visit. Site visit TBC	31 Jan 2024
Tim Taylor	Reference: 2677 Prefix: OP0261	Hostile Vehicle Mitigation	Due to: increase in use of vehicles as a weapon There is a risk that: members of the public in and around SYMCA public transport sites could be attacked by vehicles Resulting in: serious injury or death of staff or members or the public and property damage.	Medium/High (5.3=15)	Installed fences and hostile vehicle mitigation bollards at interchanges. Shared intelligence through local authority and south Yorkshire police.	Medium (5.2=10)	Following updated risk assessment (action 2680), procure and install any new anti-vehicle terrorist barriers identified as required.	Dale Sparks	Dale Sparks	31 Mar 2024	Customer operations attended a Martins Law seminar on 26/2/24 and have requested recommendations for a site review from the met police	29 Feb 2024
Tim Taylor	Reference: 2677 Prefix: OP0261	Hostile Vehicle Mitigation	Due to: increase in use of vehicles as a weapon There is a risk that: members of the public in and around SYMCA public transport sites could be attacked by vehicles Resulting in: serious injury or death of staff or members or the public and property damage.	Medium/High (5.3=15)	Installed fences and hostile vehicle mitigation bollards at interchanges. Shared intelligence through local authority and south Yorkshire police.	Medium (5.2=10)	Key transport personnel to attend LRF hosted training on Martyn's Law	Tim Taylor	Tim Taylor	29 Feb 2024	Webinar training available through LRF and being attended by relevant SYMCA resources in February and March 2024.	27 Feb 2024
Tim Taylor	Reference: 2667 Prefix: OP0263	An increase in the frequency of violent and/or ASB at SYMCA public transport sites.	Due to: An increase in aggressive, violent ASB and/or inappropriate sexual behaviour at SYMCA public transport sites. There is a risk that: A serious incident results in injuries to member(s) of the public. Resulting in: The risk of (partial) closure of interchanges, reputational damage, loss of revenue, curtailment of services which disrupt connectivity within the region.	High (4.5=20)	Monitored CCTV is installed (and records) across all main interchange sites. All customer-facing Customer Service Advisors wear and make use of Body Worn Video to de-escalate potential incidents. All sites are resourced with a combination of Bidvest Noonan and SYMCA resources (including Customer Service Advisors, Interchange Managers) too provide a visible staffing presence. SYMCA part-fund a South Yorkshire Police Travel Safe Officer who supports the process of tackling ASB issues and accessing wider SYP resources. Deploying of Zero Tolerance policy posters in our interchanges. Deployment of two temporary additional security at Barnsley Interchange until end December 2023.	Medium (3.3=9)	Agree any additional requirements for permanent enhanced site security staff between 3pm and 11pm across high risk locations. Renewal of SYMCA Zero Tolerance policy. Review existing systems and suitability of CCTV at interchanges for image quality, coverage of problem areas and usability for evidential purposes. Reinstate evening bus services to Thurnscoe through existing bus tendered services.	Dale Sparks	Jeremy Kemp	29 Mar 2024	We have currently recruited a Customer Service Manager (fixed term) for 12 months to cover see site activities with a view to being able to respond to any significant incident that may occur during these times. This role will also ensure we feedback into the site teams and SYP on their view of ASB whilst on duty.	31 Jan 2024
Tim Taylor	Reference: 2667 Prefix: OP0263	An increase in the frequency of violent and/or ASB at SYMCA public transport sites.	Due to: An increase in aggressive, violent ASB and/or inappropriate sexual behaviour at SYMCA public transport sites. There is a risk that: A serious incident results in injuries to member(s) of the public. Resulting in: The risk of (partial) closure of interchanges, reputational damage, loss of revenue, curtailment of services which disrupt connectivity within the region.	High (4.5=20)	Monitored CCTV is installed (and records) across all main interchange sites. All customer-facing Customer Service Advisors wear and make use of Body Worn Video to de-escalate potential incidents. All sites are resourced with a combination of Bidvest Noonan and SYMCA resources (including Customer Service Advisors, Interchange Managers) too provide a visible staffing presence. SYMCA part-fund a South Yorkshire Police Travel Safe Officer who supports the process of tackling ASB issues and accessing wider SYP resources. Deploying of Zero Tolerance policy posters in our interchanges. Deployment of two temporary additional security at Barnsley Interchange until end December 2023.	Medium (3.3=9)	Renewal of SYMCA Zero Tolerance policy.	Claire James	Dale Sparks	29 Mar 2024	A draft policy has been developed an is undergoing internal review	29 Feb 2024
Tim Taylor	Reference: 2667 Prefix: OP0263	An increase in the frequency of violent and/or ASB at SYMCA public transport sites.	Due to: An increase in aggressive, violent ASB and/or inappropriate sexual behaviour at SYMCA public transport sites. There is a risk that: A serious incident results in injuries to member(s) of the public. Resulting in: The risk of (partial) closure of interchanges, reputational damage, loss of revenue, curtailment of services which disrupt connectivity within the region.	High (4.5=20)	Monitored CCTV is installed (and records) across all main interchange sites. All customer-facing Customer Service Advisors wear and make use of Body Worn Video to de-escalate potential incidents. All sites are resourced with a combination of Bidvest Noonan and SYMCA resources (including Customer Service Advisors, Interchange Managers) too provide a visible staffing presence. SYMCA part-fund a South Yorkshire Police Travel Safe Officer who supports the process of tackling ASB issues and accessing wider SYP resources. Deploying of Zero Tolerance policy posters in our interchanges. Deployment of two temporary additional security at Barnsley Interchange until end December 2023.	Medium (3.3=9)	Review existing systems and suitability of CCTV at interchanges for image quality, coverage of problem areas and usability for evidential purposes.	Dale Sparks	Jeremy Kemp	29 Mar 2024	an initial review of sites has been conducted with additional cameras installed or due to be installed.	07 Feb 2024
Tim Taylor	Reference: 2667 Prefix: OP0263	An increase in the frequency of violent and/or ASB at SYMCA public transport sites.	Due to: An increase in aggressive, violent ASB and/or inappropriate sexual behaviour at SYMCA public transport sites. There is a risk that: A serious incident results in injuries to member(s) of the public. Resulting in: The risk of (partial) closure of interchanges, reputational damage, loss of revenue, curtailment of services which disrupt connectivity within the region.	High (4.5=20)	Monitored CCTV is installed (and records) across all main interchange sites. All customer-facing Customer Service Advisors wear and make use of Body Worn Video to de-escalate potential incidents. All sites are resourced with a combination of Bidvest Noonan and SYMCA resources (including Customer Service Advisors, Interchange Managers) too provide a visible staffing presence. SYMCA part-fund a South Yorkshire Police Travel Safe Officer who supports the process of tackling ASB issues and accessing wider SYP resources. Deploying of Zero Tolerance policy posters in our interchanges. Deployment of two temporary additional security at Barnsley Interchange until end December 2023.	Medium (3.3=9)	Reinstate evening bus services to Thurnscoe through existing bus tendered services.	Tim Taylor	Tim Taylor	07 Apr 2024	New action created this cycle	26 Feb 2024
Dale Sparks	Reference: 2681 Prefix: OP0262	Adverse weather response plans	Due to: the lack of incident response plans There is a risk that: on site staff will be unable to effectively respond to adverse weather Resulting in: reputational damage, damage to property and staff and members of the public stranded.	High (4.5=20)	Business Continuity Plan staff working additional hours as good will	Medium (3.3=9)	Desk top exercise to identify incident types and response plans on-call rota are required to provide coverage out of normal working hours.	Dale Sparks	Jeremy Kemp	29 Mar 2024	desk top exercises have been conducted for the major interchanges. A review of the proposals needs to be conducted.	07 Feb 2024
Dale Sparks	Reference: 2681 Prefix: OP0262	Adverse weather response plans	Due to: the lack of incident response plans There is a risk that: on site staff will be unable to effectively respond to adverse weather Resulting in: reputational damage, damage to property and staff and members of the public stranded.	High (4.5=20)	Business Continuity Plan staff working additional hours as good will	Medium (3.3=9)	on-call rota are required to provide coverage out of normal working hours.	Dale Sparks	Dale Sparks	29 Mar 2024	update from people services is required.	08 Feb 2024
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. Mass Transit Team continue to act on advice from advisors. Infrastructure advisor to undertake a comprehensive review of the network to look at climate change impacts.	Will Dunnett	Peter Elliott	18 Apr 2024	Tenders for infrastructure works are now receiving a wider breadth of advice using the format of the Project Management Weekly Meeting. This meeting now includes representation from SYSL as well as the SYMCA concession management team.	23 Feb 2024
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)	Infrastructure advisor to undertake a comprehensive review of the network to look at climate change impacts.	Pat Bejler	Peter Elliott	13 May 2024	OBC submission on the 21st March to be reviewed by DFT on 13th May	29 Feb 2024
Tim Taylor	Reference: 1587 Prefix: OP0071	Travel pass fraud challenge leads to assault (496)	Due to: unauthorised travel passes in circulation There is a risk that: challenge by operator staff i.e. conductors is met with aggression Resulting in: verbal and physical assault	Medium/High (5.3=15)	processes in place to manage replacement card process. SYSL carry out training to avoid conflict, accident investigation and ensure sufficiently competent staff and carry out risk assessments.	Medium (4.2=8)	To identify opportunities to improve safety through the SCR Mass Transit renewals project. Tighten up procedures regarding the replacement of lost or damaged passes to avoid unauthorised passes entering circulation. Prepare business case options and secure funding (CRSTS)	Peter Elliott	Peter Elliott	30 Jun 2024	Delay in OBC process, now due for completion in November 2023.	29 Feb 2024
Tim Taylor	Reference: 1587 Prefix: OP0071	Travel pass fraud challenge leads to assault (496)	Due to: unauthorised travel passes in circulation There is a risk that: challenge by operator staff i.e. conductors is met with aggression Resulting in: verbal and physical assault	Medium/High (5.3=15)	processes in place to manage replacement card process. SYSL carry out training to avoid conflict, accident investigation and ensure sufficiently competent staff and carry out risk assessments.	Medium (4.2=8)	Prepare business case options and secure funding (CRSTS)	Suzanne Hutchinson	Suzanne Hutchinson	31 Jul 2024	Depend on Business Case preparation as part of developing transport CRM - link to OP0279	29 Feb 2024
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)	Tram team to review data on passenger incidents to validate residual risk scores after controls	Patrick Gannon	Patrick Gannon	31 May 2024	New Action Added this Cycle	27 Feb 2024
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)						
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	24 May 2024	We have received no information that the Rail Grant will not be awarded	12 Feb 2024
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)		Rachel Sprigg	Rachel Sprigg	31 May 2024	We have no cause for concern the rail grant will not be awarded	12 Feb 2024

Health & Safety Risks Exceeding Appetite as at 12/03/24



Owner	Identifier	Title	Cause and Effects	Inherent Priority	Controls Detail	Residual Priority	Actions					
							Detail	Owner	Assignee	Variable Target	Last Update Text	Last Update Date
Jeremy Kemp	Reference: 1468 Prefix: OP0045	Verbal threats, abuse or physical assault on customer facing employees (550)	<p>Due to: increases in anti-social behaviour</p> <p>There is a risk that: SYMCA employees in customer-facing roles are subject to verbal threats, abuse or physical assault</p> <p>Resulting in: their injury or an impact on their long-term ability to effectively fulfil their role</p>	Medium (3.3=9)	<p>Body-worn video to de-escalate potential incidents</p> <p>CCTV coverage to reduce likelihood of incidents or catch perpetrators</p> <p>Employee training on dealing with threatening or violent members of the public</p> <p>HR policies which describe minimum requirements for these roles</p> <p>Minimum staffing levels in our interchanges to prevent lone working</p> <p>Promotion of SYP partnership (travel safe)</p> <p>Zero tolerance policy promoted around sites</p>	Medium (2.3=6)	To ensure all CSM's complete refresher training	Jeremy Kemp	Jeremy Kemp	31 Mar 2024	Awaiting HR who have been asked to provide the training - no response received as yet	27 Feb 2024
Michelle Stansfield	Reference: 1940 Prefix: OP0142	Compliance with Statute Laws and Regulations	<p>Due to: 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	29 Feb 2024	Delayed to market due to other business pressures. Currently awaiting confirmation of contract T&C's before going to market.	20 Feb 2024
Pat Beijer	Reference: 2569 Prefix: OP0234	Post Day One Safety Culture & Leadership Risk	<p>Due to: [potential] legacy safety risks on day one operation of the tram operating company (SYFTL)</p> <p>There is a risk that: SYMCA are not able to demonstrate delivery of their legislative duty of care for SYFTL employees and members of the public and consequently the regulatory authority may remove the operating licence or place the organisation under addition audit and regulatory measure and/or imposes financial penalties</p> <p>Resulting in: significant reputational damage to the SYMCA and its political leadership.</p>	Medium/High (5.3=15)	A safety audit has been conducted on the SYSL business with 14 core recommendations identified.	Medium (3.2=6)	<p>A safety audit has been conducted by SYMCA on the SYSL business with 14 core recommendations. This is under fortnightly review between SYMCA and SYSL. The aim is to work together to mitigate risks and provide support from SYMCA where necessary.</p> <p>For concession end a number of actions have been undertaken to understand how aspects of safety management and leadership can be improved for NewCo between now and day one. The aim is to ensure the business is legally and regulatory compliant for day one and identify areas of improvement that may be required from day one. This work includes:</p> <ul style="list-style-type: none"> -Review of current operational procedures underway - including competency management, contract management, people management and engagement, environmental legislation, specific regulatory requirements (eg heavy rail regulations RAS 2750), incident reporting and quality management system. -Plan for training of staff in more robust working practices, embed safety culture and potentially develop a new safety management system during the mobilisation period jointly with SYSL -Operational process reviews are underway to help identify opportunities to increase operational resilience and embed a higher level of safety culture. -Ensure risk management is identified and mitigated for in comms/ public affairs. <p>A safety project group has been developed from July 2024 to drive the outputs of the above into a safety improvement plan for the SYSL business working with the incumbent head of safety and the MD.</p>	Will Dunnett	Will Dunnett	18 Apr 2024	A full review of the recommendations and contents of the BP has been completed between the SHEQ Safety lead and the SYSL MD in Jan 2024. There were no further comments on this document from the MD. All actions are contained in the 100 day or year one plan	16 Feb 2024
Michelle Stansfield	Reference: 2726 Prefix: OP0272	Contractor Management	<p>Due to: Lack of formal process of performance review, warning / termination systems.</p> <p>There is a risk that: Contractors will not provide services to the standard required, including H&S.</p> <p>Resulting in: Potential reputational damage, claims and less than adequate work completed, if it is completed.</p>	Medium/High (3.4=12)	<p>Development, recording and use of formal processes, together with outcomes.</p> <p>Use of CAFM system to monitor performance against SLA/KPI targets.</p> <p>Use of CAFM to record/save evidence of work completed and status of job site/work completed both pre and post.</p>	Medium (3.2=6)	Full overview of current processes following by gap analysis to enable production of a formal process.	Michelle Stansfield	Michelle Stansfield	30 Sep 2024	New Action Created February 2024	26 Feb 2024
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> <p>Oversight from SYMCA Tram Team</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> <p>SYSL are installing a low cost, simple, GPS based speed monitoring device to have greater confidence of the speed of drivers for improved monitoring until the Overspeed Device is implemented. SYMCA has approved the modifications to the fleet.</p>	Tim Taylor	Patrick Gannon	03 May 2024	First 2-monthly review held with ORR, satisfied with progress being made.	23 Feb 2023
								Tim Taylor	Peter Elliott	12 Apr 2024	Project progressing to install the Overspeed device, with tram network survey completed on 8th February to allow the mapping and model to be created. First in class installation due to commence on 12th April (for Siemens fleet) which will form the technical benchmark for roll out across full Siemens fleet.	22 Feb 2024
								Patrick Gannon	Patrick Gannon	03 May 2024	Work progressing on implementation of overspeed devices on trams, network survey now complete and workshops with SYSL undertaken.	29 Feb 2024

Cyber Related Risks Exceeding Appetite as at 12/03/24



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	
Nick Brailsford	Reference: 1370 Prefix: OP0027	Data Loss/Security	<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)	The IT team steer and make recommendations to employees, when asked, to facilitate the use of effective tools.	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	30 Jun 2024	New Cyber Security training rolled out in January and completion rates are being monitored. Revised target date to ensure monitoring until activity is embedded including forming part of induction.	22 Feb 2024	
					Web filtering in place, which restricts access to unapproved sites and information sharing platforms e.g. drop box.		Statement of Works prepared to bring in consultancy services to facilitate application of additional controls			30 Jun 2024		Digital strategy is being developed and will encompass the delivery of application of additional controls (through Sharepoint)	22 Feb 2024
					Mimecast installed for sharing large files, email filtering								
					Physical and access controls in place.								
					Cyber Essentials Plus Accreditation has been obtained which shows that the organisation has controls in place.								
Nick Brailsford	Reference: 1788 Prefix: OP0109	IT System Failure	<p>Due to: Power outage, virus/malware or DoS attack, fire, flood etc</p> <p>There is a risk that: SYMCA is unable to operate, access systems and data to generate information including corporate performance</p> <p>Resulting in: reduced effectiveness and lack of decision making.</p>	High (5.4=20)	Daily back ups prepared and maintained	Medium/High (4.3=12)	Agree internal audit recommendations and develop plan for implementation.	Nick Brailsford	Claire James	31 Mar 2024	Identified dedicated resource to co-ordinate activity Information Governance Working Group as the 'Project Board'. Revised target date to ensure periodic update on progress to implement	29 Jan 2024	
					Data processes and procedures exist to facilitate performance reporting.		Develop an Incident Management Strategy.			31 Mar 2024		Development of Incident management plan forms part of ISMS development in response to Internal Audit recommendations on Cyber Resilience. Template in place, awaiting technical input. Revised target date to ensure monitoring until Plan signed off.	29 Jan 2024
					Business continuity arrangements are in place.								
					Data protection guidelines and associated mandatory training undertaken.								
					Externally delivered IT Health Check carried out annually and generates recommendations.								
							Develop 'Digital Strategy' to define a cloud first strategy.	Nick Brailsford	Nick Brailsford	30 Jun 2024	Draft Digital Strategy statement of work awaiting ELB review/endorsement	12 Feb 2024	
Tim Taylor	Reference: 2791 Prefix: OP0279	Core Public Transport CRM	<p>Due to: the removal of on premise support for Microsoft Dynamics CRM in January 2026</p> <p>There is a risk that: public transport functions e.g pass processing, contact centre services, public information displays, will not be available</p> <p>Resulting in: disruption to public transport network and services, declining patronage, reputational damage.</p>	Medium/High (4.3=12)	Steering Group established and scoping work underway	Medium/High (4.3=12)	Prepare business case options and secure funding (CRSTS)	Tim Taylor	Tim Taylor	30 Jun 2024	New action created this cycle	26 Feb 2024	

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: 1032 Prefix: OP0001	Information Governance	<p>Due to: a lack of capacity and/or capability</p> <p>There is a risk that: processes and procedures for information governance inc. Data Protection are inadequate or ineffective</p> <p>Resulting in: potential data breaches, fines, reputational damage, poor use of data, low assurance audit opinion</p>	High (4.4=16)	Policies and procedures are in place (but need to be harmonised for the new single organisation)	Medium (3.3=9)	Review policies and procedures	Claire James	Kyle Hopkins	30 Apr 2024	Advised that introduction of updated policies should be aligned to harmonisation.	22 Feb 2024	
					Information Governance Officer role is on the establishment structure and recruited to		Review required along with the Governance Team to identify any additional policy and guidance gaps.			31 Mar 2024		Policies and procedures have been reviewed. Currently awaiting Union review before being submitted for formal approval. Expecting that this will be resolved as part of harmonisation. Revised target date as such.	29 Jan 2024
							Governance Team and Business Ops are addressing and developing a Records Retention and Destruction Schedule, to include arrangements for archiving.			31 Mar 2024		Documentation is also being reviewed as part of the development of the ISMS as a result of the Cyber Audit recommendations. Revised target date to ensure monitoring.	29 Jan 2024
Nick Brailsford	Reference: 1380 Prefix: OP0028	Volume of IT Systems	<p>Due to: The significant volume of different systems within the organisation.</p> <p>There is a risk that: Too many systems to support and maintain</p> <p>Resulting in: Delays to producing output and risk to DLP</p>	Medium/High (4.3=12)	Identification and assessment of the technological components has taken place.	Medium (4.2=8)	Incremental changes and training is taking place.	Nick Brailsford	Nick Brailsford	31 Mar 2024	Analysis of Business Impact Assessments cross referenced to IT systems asset inventory is supporting identification of opportunities to rationalise systems.	22 Feb 2024	
					Coding and storage standards are in place along with documentation for each application.								
					Incremental changes and training.		Develop a 'Digital Strategy' which defines the direction and move to fewer bespoke systems and usage of generic technology solutions based on buy not build.			30 Jun 2024		Statement of work in draft to be reviewed by ELB.	12 Feb 2024
							Develop a technical change management process.	Nick Brailsford	Nick Brailsford	30 Jun 2024	Change Management process drafted an will form part of ISMS development which is taking place as a result of internal audit recommendations.	22 Feb 2024	
Steve Davenport	Reference: 1056 Prefix: OP0007	General Data Protection Regulations	<p>Due to: a lack of awareness and capability</p> <p>There is a risk that: there is breach of general data protection regulations (GDPR) duties</p> <p>Resulting in: challenge along with financial and reputational damage. (Based on PTE Risk 498)</p>	Medium/High (4.3=12)	Mandatory training all employees are required to undertake annually - administered through People Services online learning platform, monitored by Governance Team.	Medium (3.2=6)	Completion rates for GDPR training need to be improved. Non-completers and overdue learners to be contacted. Process to monitor completion rates to be implemented.	Claire James	Kyle Hopkins	30 Jun 2024	Since the Learning Platform was refreshed data has been lost/is unreliable therefore it is impossible to monitor effectively. People Services are in the process of procuring a new LMS that should provide more assurance. Revised target date until new LMS and monitoring process is embedded.	29 Jan 2024	
					Data Protection Officer and Senior Information Risk Owner appointed.								
					Associated guidance and policies produced and reviewed annually.								
					Physical access control, process and procedures are in place.								
					Internal Audits regularly scheduled								
							Annual action plan produced setting out agreed actions to improve GDPR compliance to be refreshed.	Claire James	Kyle Hopkins	31 Mar 2024	This needs to be established for 24/25. Revised target date to ensure plan developed for 1st April.	29 Jan 2024	
Nick Brailsford	Reference: 1760 Prefix: OP0104	Reduction in IT security checks	<p>Due to: the turnover rate of MCA employees and the IT resource required to deal with starters and leavers</p> <p>There is a risk that: time available to carry out daily security checks will be reduced</p> <p>Resulting in: weak controls and potential security breaches.</p>	Medium/High (4.3=12)	Additional resource in place to assist with starter and leaver processes.	Medium (3.2=6)							
					Standard starter and leaver processes in place.								
Claire James	Reference: 2901 Prefix: OP0289	AI Applications	<p>Due to: inappropriate use of AI applications</p> <p>There is a risk that: confidential information or data is disclosed or, factually incorrect or biased information or poisoned data is used for corporate purposes</p> <p>Resulting in: reputational damage, lack of data integrity and misinformed decisions</p>	Medium (3.3=9)	New Acceptable Use Policy includes clause relating to appropriate use of AI	Medium (3.2=6)	Draft AI Use Standards to be signed off.	Claire James	Christine Marriot	31 Jul 2024			
							Network training to be undertaken to explore how to govern the use of AI			31 Jul 2024			