

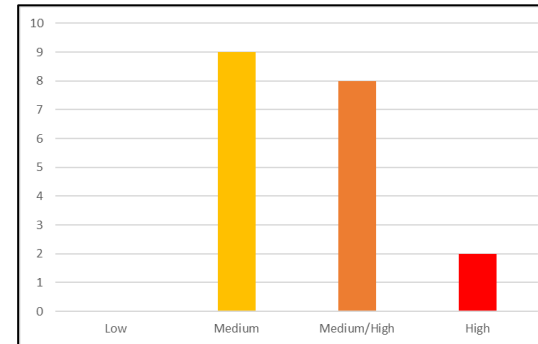
Risk Dashboard

July 2024

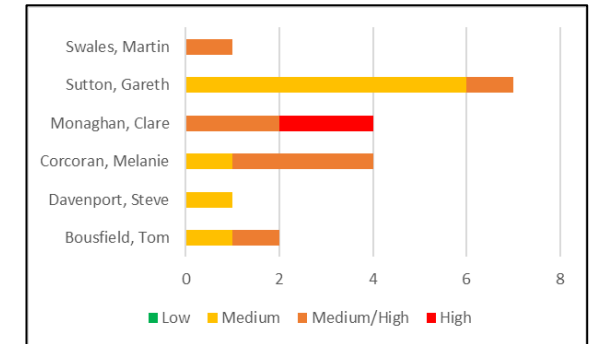


Corporate Risks are defined as being cross cutting, on-going or longer-term and have an impact on SYMCA and its strategic objectives. These risks are owned and updated by Executive Directors as part of their role within the Executive Leadership Team and reported into the Executive Leadership Board and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

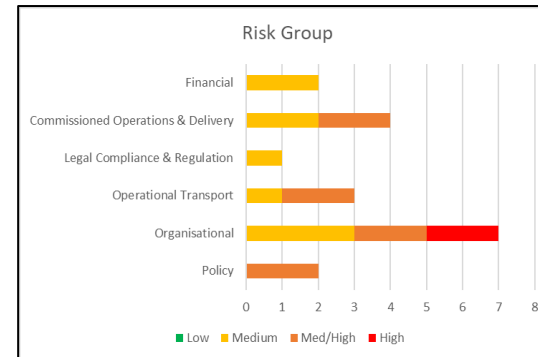
New Risks		Score	
COR0031: Limited Insight		16	
COR0030: Limited Corporate Performance Management		12	
Closed Risks		Score	
COR0015: Tram Services		15	
COR0004: Mayoral Election		10	
COR0010: Failure to agree Investment Strategy		6	
Risks decreasing in residual score		Score (was)	Score (now)
COR0014: The BSIP and EP Scheme Delivery		15	10
Risks increasing in residual score		Score (was)	Score (now)
COR0002: Policy change causes disruption and increased demand on MCA to deliver		10	15
Risks de-escalated to directorate Level		Score	
N/A		0	



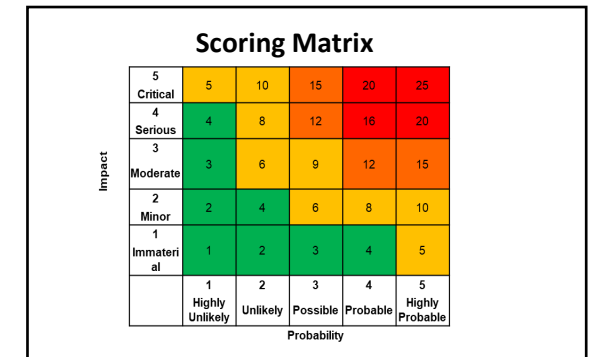
Corporate Risks by Residual Risk Score



Corporate Risks by Executive Level Ownership

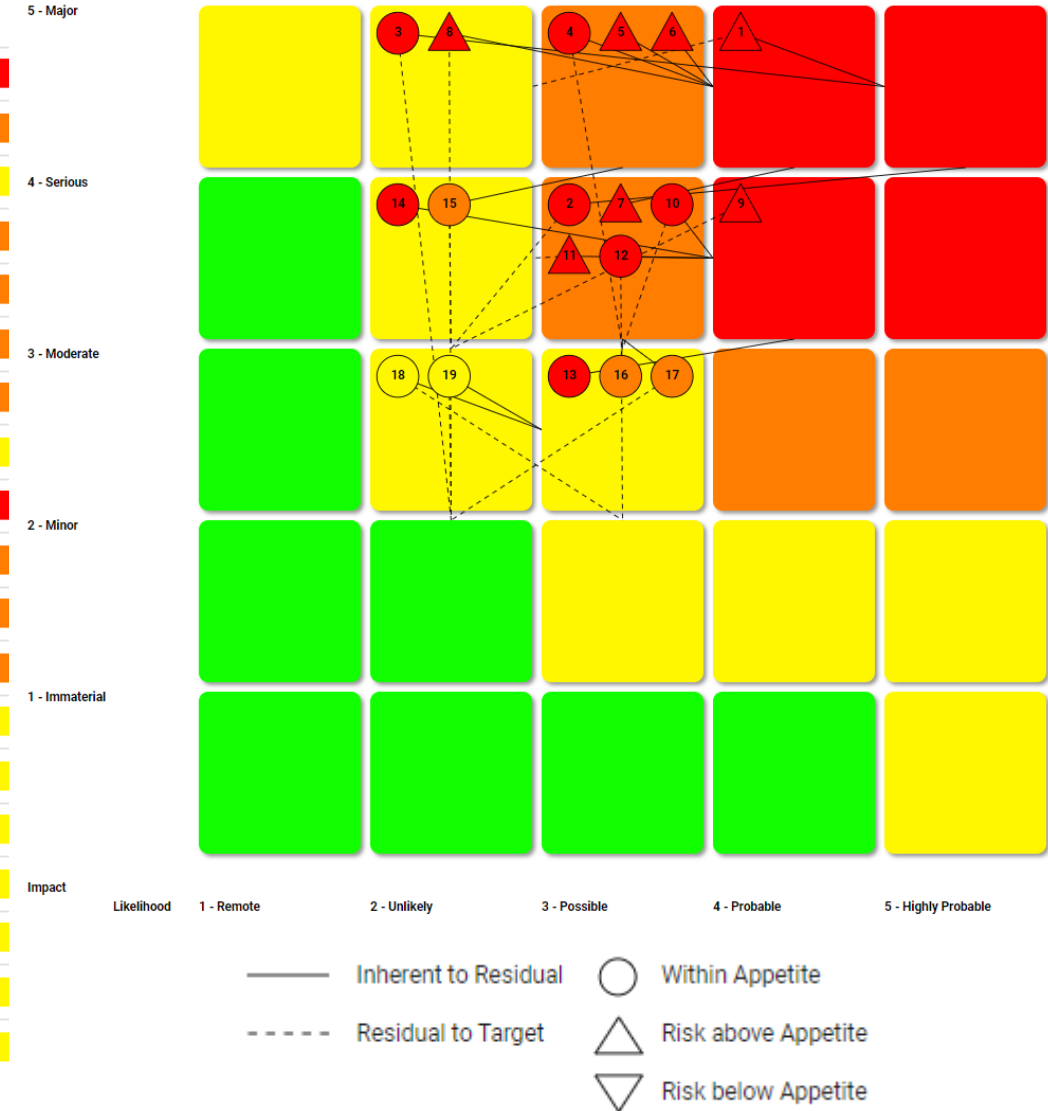


Corporate Risks by Strategic Group



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

Matrix Id	Reference	Title	Inherent	Residual
1	COR0007	Net Zero, Sustainability/ Climate Change	High	High
2	COR0022	Doncaster Sheffield Airport Closure	High	Medium/High
3	COR0021	Cyber Security Threat	High	Medium
4	COR0002	Policy change causes disruption and increased demand on MCA to deliver	High	Medium/High
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	COR0028	Tram infrastructure and tram vehicle failure (512)	High	Medium/High
8	COR0018	Health and Safety- Major Accident or Injury	High	Medium
9	COR0031	Limited Insight	High	High
10	COR0023	Successful Management of Concurrent Major Change Programmes	High	Medium/High
11	COR0024	Investment Zone Readiness	High	Medium/High
12	COR0030	Limited Corporate Performance Management	High	Medium/High
13	COR0014	The BSIP and EP Scheme Delivery	High	Medium
14	COR0001	Adult Education Budget Performance	High	Medium
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	COR0016	Supply Chain Failure	Medium	Medium
19	COR0020	Organisational Capacity & Skills (for bau activity)	Medium	Medium

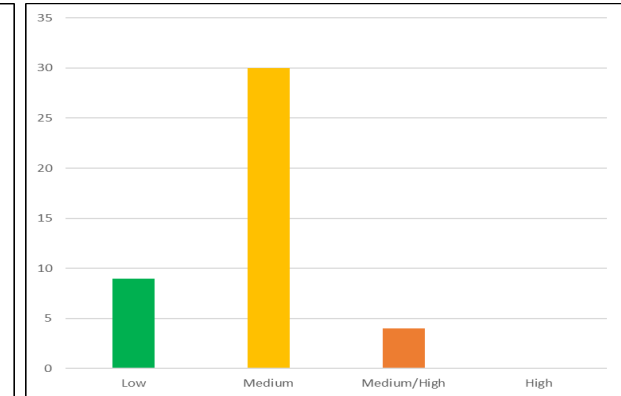
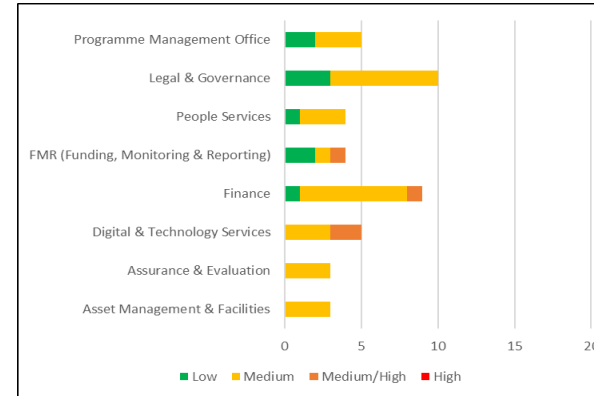


More detail, including controls and mitigating actions, are included in the Corporate Risk Register at page 11.

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

New Medium/High and High Risks		Score
N/A		0
Closed Medium/High and High Risks		Score
N/A		0
Medium/High and High Risks Decreasing in Residual Score	Score (was)	Score (now)
OP0020: Exposure to the commercial performance of the tram network	12	9
Risks Increasing in Residual Score to Medium/High and High	Score (was)	Score (now)
N/A	0	0
Risks Escalated to Corporate Level		Score
N/A		0



Risks by Team and by Residual Risk Score

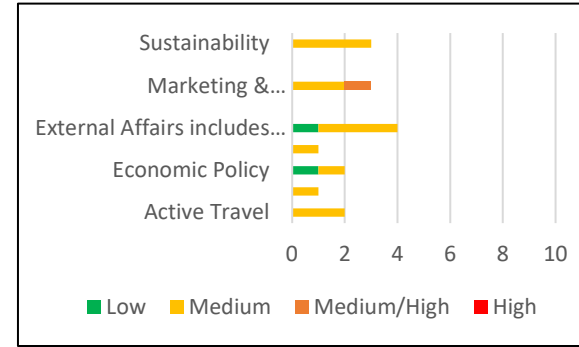
Risks by Residual Risk Score

Medium/High and High Risks Exceeding their 'strategic group' Appetite	Score
OP0282: Exposure to the commercial performance of the bus network	12
Medium/High and High Risks Within their 'strategic group' Appetite	Score
OP0027: Data Loss/Security	12
OP0109: IT System Failure	12
OP0251: Investment into Businesses	12

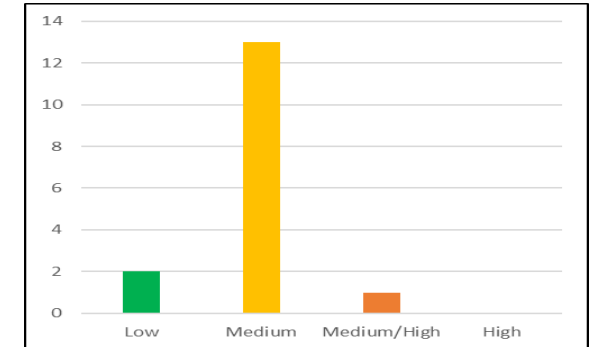
Directorate risks are defined as risks specific to SYMCA teams and can be reflective of objectives, business plans, processes and operating environments.

Policy & Strategic Development Directorate

New Medium/High and High Risks		Score	
N/A		0	
Closed Medium/High and High Risks		Score	
N/A		0	
Medium/High and High Risks Decreasing in Residual Score		Score (was)	Score (now)
N/A		0	0
Risks Increasing in Residual Score to Medium/High and High		Score (was)	Score (now)
N/A		0	0
Risks Escalated to Corporate Level		Score	
N/A		0	



Risks by Team and by Residual Risk Score



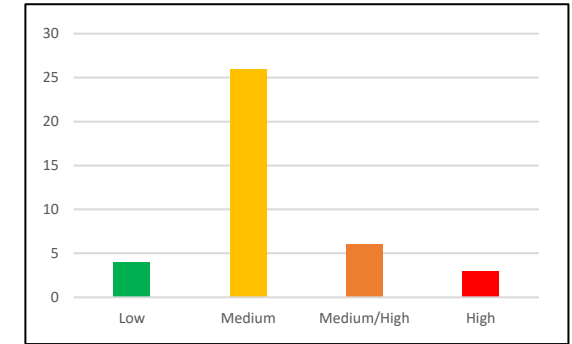
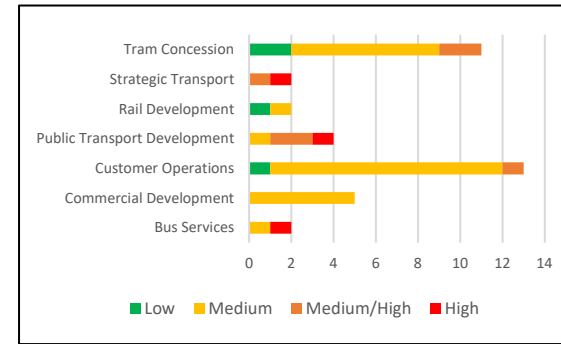
Risks by Residual Risk Score

Medium/High and High Risks Exceeding their 'strategic group' Appetite		Score
N/A		0
Medium/High and High Risks Within their 'strategic group' Appetite		Score
OP0285: Comms and Marketing Capacity constraints		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

New Medium/High and High Risks		Score	
N/A		0	
Closed Medium/High and High Risks		Score	
N/A		0	
Medium/High and High Risks Decreasing in Residual Score		Score (was)	Score (now)
N/A		0	6
Risks Increasing in Residual Score to Medium/High and High		Score (was)	Score (now)
N/A		0	0
Risks Escalated to Corporate Level		Score	
N/A		0	



Risks by Team and by Residual Risk Score

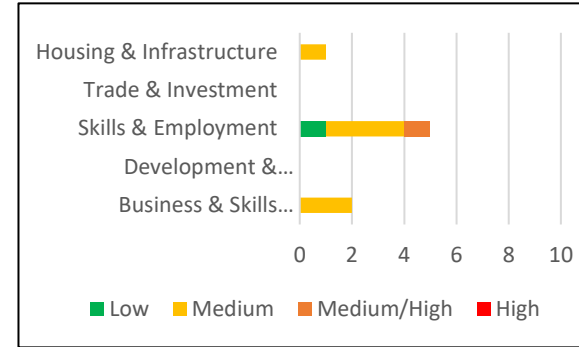
Risks by Residual Risk Score

Medium/High and High Risks Exceeding their 'strategic group' Appetite	Score
OP0151: Declining Patronage	20
OP0130: Delayed Public Transport Projects – TCF Programme	16
OP0156: Application of Regional Policies	16
OP0032: Balance Anchor Weights Failure	15
OP0046: Inability to Think Strategically	15
OP0049: Organisational Agility to Respond to Resource Needs	15
OP0154: Third Party Reliance on Bus Operators to Deliver Net Zero Targets	15
OP0206: Tram Structures Inspections Identify Significant Remedial Actions	15
OP0279: Core Public Transport CRM	12
Medium/High and High Risks Within their 'strategic group' Appetite	Score
N/A	0

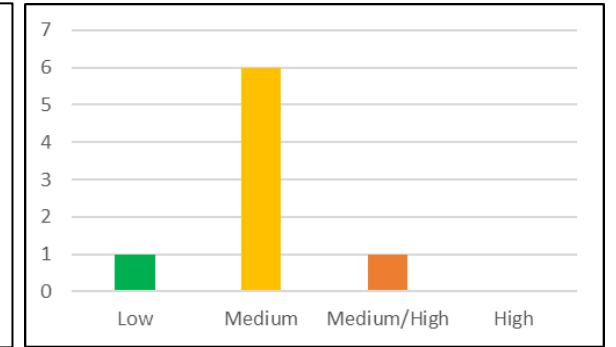
Directorate risks are defined as risks specific to SYMCA teams and can be reflective of objectives, business plans, processes and operating environments.

Growth, Business & Skills Directorate

New Medium/High and High Risks		Score
OP0293: Skills Strategy Implementation		12
Closed Medium/High and High Risks		Score
N/A		0
Medium/High and High Risks Decreasing in Residual Score	Score (was)	Score (now)
OP0235: Strategic Alignment of AEB Activity	15	10
Risks Increasing in Residual Score to Medium/High and High	Score (was)	Score (now)
N/A	0	0
Risks Escalated to Corporate Level		Score
N/A		0



Risks by Team and by Residual Risk Score



Risks by Residual Risk Score

Medium/High and High Risks Exceeding Appetite		Score
OP0293: Skills Strategy Implementation		12
Medium/High and High Risks Within their 'strategic group' Appetite		Score
N/A		0

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

One new since last report ★

Corporate					
Prefix	Title	Owner	Assignee	Inherent Priority	Residual Priority
COR0028	Tram infrastructure and tram vehicle failure (512)	Melanie Corcoran	Tim Taylor	High (20)	Medium/High (12)
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)
OP0272	Contractor Management	Michelle Stansfield	Michelle Stansfield	Medium/High (12)	Medium (6)
★ OP0294	Risk of injury at Barnsley Interchange	Dale Sparks	Jeremy Kemp	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	Fraudulent concessionary passes in circulation and use.	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)

*Five also exceed the appetite for their strategic group

Cyber Security Risks with a score of 5 or above (medium, medium/high, high)

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)

Risk Registers

- **Corporate Risks** (page 11-12)
 - **Resources & Investment Directorate** (page 13)
 - **Policy & Strategic Development Directorate** (page 14)
 - **Transport Directorate** (page 16)
 - **Growth, Business & Skills** (page 15)
 - **Health & Safety Themed Risks (med, medium/high, high)** (page 17)
 - **Cyber Themed Risks (med, medium/high, high)** (page 18)
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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 system 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	30 Sep 2024	The independent review of SYMCA's approach to Net Zero and sustainability has concluded and a recommendation is being prepared to be considered by the MCA. Revised target date to ensure monitoring until an action plan is agreed.	20 Jun 2024
					Working with partners / stakeholders to develop projects that take account of de-carbonisation.		The most impactful interventions to focus the renewal fund upon are being determined through our work with partners e.g. should we carry out additional tree planting and promotion and usage of green power.	Clare Monaghan	Clare Monaghan	30 Sep 2024	The independent review of SYMCA's approach to Net Zero and sustainability has concluded and a recommendation is being prepared to be considered by the MCA. Revised target date to ensure monitoring until an action plan is agreed.	20 Jun 2024
					Initial focus on housing retrofit, Electric vehicles (electric buses, car charging) energy, tree planting		Integrating our response to net zero and climate emergency into investment decision making processes.	Clare Monaghan	Clare Monaghan	30 Sep 2024	The independent review of SYMCA's approach to Net Zero and sustainability has concluded and a recommendation is being prepared to be considered by the MCA. Revised target date to ensure monitoring until an action plan is agreed.	20 Jun 2024
Clare Monaghan	Reference: 2929 Prefix: COR0031	Limited Insight	<p>Due to: capacity and capability in the analysis and insight space</p> <p>There is a risk that: we are unable to gain proportionate and effective strategic insights to inform policy decisions and develop business cases or bids</p> <p>Resulting in: poor policy decisions or missed opportunities to secure funding to deliver our priorities for the people of South Yorkshire</p>	High (4.4=16)	The existence of a data and intelligence team, focused at transport and growth/skills.	High (4.4=16)	Securing funding to recruit the immediate skills and capacity needed to develop our analysis and insight capability in the short run (2 posts - short run requirement only).	Jenny Holmes	Kate Mieske	30 Jun 2024	New Risk and Action	20 Jun 2024
					The existence of a small amount of economic policy capacity and capability.		Develop clear medium-term requirement for the analysis and insight capability required, including our ways of working around behavioural insights and user-centred design.	Kate Mieske	Kate Mieske	31 Jul 2024	New Risk and Action	20 Jun 2024
					The existence of a Director of Insight, with responsibility for developing our insight and analysis capability so that insights drive policy and delivery of outcomes for South Yorkshire's residents.		Recruit 2 immediate analysis and insight posts - a senior post on insights to drive forward this work programme, and a senior post on transport economics.	Kate Mieske	Kate Mieske	30 Aug 2024	New Risk and Action	20 Jun 2024
							Deliver strand 1 of our better business cases plan: strategic development	Kate Mieske	Kate Mieske	31 Mar 2025	New Action	21 Jun 2024
							Deliver strand 2 of our better business cases plan: capability-building	Kate Mieske	Kate Mieske	31 Mar 2025	New Action	21 Jun 2024
							Deliver strand 3 of our better business cases plan: internal processes and resourcing	Kate Mieske	Kate Mieske	31 Mar 2025	New Action	21 Jun 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
Clare Monaghan	Reference: 1015 Prefix: COR0002	Policy change causes disruption and increased demand on MCA to deliver	<p>Due to: Changes to the political and policy operating environment e.g. change in Government</p> <p>There is a risk that: national and regional priorities shift</p> <p>Resulting in: disruption to delivery and increased capacity constraints.</p>	High (5.4=20)	Engaging with Government officials to shape proposed policy priorities and shifts.	Medium/High (5.3=15)	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	31 Oct 2024	Implementation work on L4 devolution deal underway - with formal confirmation from new govt as to implementation process expected post General Election.	20 Jun 2024
Melanie Corcoran	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)						
Melanie Corcoran	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)	Develop a new asset management system for tram assets, which identifies ongoing asset renewal requirements once the significant renewal programme is concluded, and is linked to the SYMCA Asset Register	Pat Beijer	Pat Beijer	03 Apr 2025	Project manager assigned to work on the procurement and development of the asset management system. The development of this system will take ca 18 months, with contract award expected early 2025. Tram services team recruitment of additional staff critical to this project, as they are required to support the development of this system.	21 Jun 2024
					Engagement with DfT around the process for OBC submission to ensure that the funding requirements are understood							
					Light rail funding requirements are included in as many capital bid programmes as possible (£100m CRSTS secured).							
					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).							
					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							
					£100m secured from CRSTS funding to implement part of the full infrastructure and tram vehicle renewal							
					Secured senior level resource support to help navigate DfT approvals for the release of £100m of DfT retained capital funding.							
Melanie Corcoran	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)	Progress with new project to replace XVPPlus with a new Enterprise Asset Management System /CMMS.	Tim Taylor	Pat Beijer	31 Jan 2025	Project manager assigned to work on the procurement and development of the asset management system. The development of this system will take ca 18 months, with contract award expected early 2025. Tram services team recruitment of additional staff critical to this project, as they are required to support the development of this system.	21 Jun 2024
					Concession Agreement includes clauses regarding operation of the network.							
					Details of non-conformances detailed by SYSL Overview Report so we can start to understand problem areas and challenge SYSL in order that the necessary repairs are completed.							
					SYSL currently monitor and act on obsolescence issues.							
					SYSL provide details of their reactive maintenance and planned maintenance performance on a monthly basis.							
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	Assessment of bids imminent	20 Jun 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 safely delivered, with new ways of working and organisational culture not effectively embedded</p> <p>Resulting in: an impact on bau delivery, regulatory non-compliance, reputational damage, low workforce morale.</p>	High (4.4=16)	Major Projects Oversight Board established	Medium/High (4.3=12)						
Tom Bousfield	Reference: 2590 Prefix: COR0024	Investment Zone Readiness	<p>Due to: the timescales and volume of work required to be ready for delivery of IZ from April 2024</p> <p>There is a risk that: SYMCA is unable to effectively target its interventions</p> <p>Resulting in: in a reduced impact, reputational damage and/or impact on future devolution conversations</p>	High (4.4=16)	Dedicated resource from across organisation working on IZ preparation	Medium/High (4.3=12)	Identify future capacity needs within SYMCA and initiate recruitment	Tom Bousfield	Joseph Quinn	30 Jun 2024	Recruitment undertaken	28 May 2024
					Cross Local Authority and University Working Group to review evidence and inform planning for activity							
					Active engagement with business community							
Clare Monaghan	Reference: 2928 Prefix: COR0030	Limited Corporate Performance Management	<p>Due to: our corporate plan not being fully up to date and our corporate performance reporting system being in development</p> <p>There is a risk that: we are unable to understand, analyse and interrogate performance at an organisational level</p> <p>Resulting in: an inability to prioritise resource optimally at an organisational level towards major issues, to know whether we are delivering on priorities and working in the way we need to in line with our principles, and to build further confidence for partners and stakeholders about positive impact and delivery, which could lead to future growth.</p>	High (4.4=16)	The existence of an easy-to-use, internally developed corporate performance reporting system in PowerBI.	Medium/High (4.3=12)	Ongoing corporate performance reporting through our PowerBI system, focusing on corporate health while the refresh programme is ongoing	Kate Mieske	Kate Mieske	31 Dec 2024	New Risk and Action	20 Jun 2024
					The existence of themed reporting for organisational management, beyond our corporate performance reporting, including Risk, Finance, and on key programmes through our Programme Board.		Refresh SYMCA's Corporate Plan	Kate Mieske	Kate Mieske	31 Mar 2025	New Action	21 Jun 2024
							Refresh our corporate performance reporting: phase 1	Kate Mieske	Kate Mieske	31 Dec 2024	New Action	21 Jun 2024
Medium												

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	Due to: A major accident or injury occurs involving SYMCA assets and / or people There is a risk that: leads to regulator intervention Resulting in: resulting in liability and adverse impact on the workforce, budgets and reputation of the MCA.	High (5.4=20)	Health and safety policy, procedures and standards in place and audited by independent H&S advisor. Training provided to all staff. Appropriate maintenance contracts in place to undertake fabric and Mechanical & Electrical repairs and inspections as required. Monitoring of incidents and near misses undertaken, quarterly reports presented to Management Board and the ASRC. Standard contracts of employment for all SYMCA people incorporate a section on H & S responsibilities	Medium (5.2=10)	Quality, Health, Safety and Environment Officer to review monitoring and reporting approach	Sean Rodgers	Sean Rodgers	31 Dec 2024	In progress to align with the implementation of the new Health and Safety management system currently being procured.	20 Jun 2024
Gareth Sutton	Reference: 1224 Prefix: COR0021	Cyber Security Threat	Due to: an increase in the number of cyber-attacks, due to the increasing reliance on digital There is a risk that: there is a successful cyber attack Resulting in: operational disruption, data corruption, systems outage and loss of finances.	High (5.5=25)	Anti-virus software, updated hourly, installed across all infrastructure. 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. Web-filtering to restrict and prohibit unauthorised access and data loss. An IT Policy exists and is updated as necessary, last updated in 2021. Password policy exists implementing good practice to build strong access controls including multi-factor authentication. Activity monitoring takes place including how people access the system. Regular simulated phishing attacks and user training in place. Software patching takes place to ensure software updates are carried out. Annual outsourced penetration testing, which is part of the Cyber Essentials requirements. Physical security enhancements including restricting a non-employee plugging a laptop into MCA network. 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. DDoS Protection control in place (Radware) Cloud assessments and DPIAs undertaken on online systems. Membership of MyNCSC which provides monitoring of externally facing services and intelligence.	Medium (5.2=10)	Agree internal audit recommendations and develop plan for implementation.	Nick Brailsford	Claire James	30 Sep 2024	Implementation plan underway and being monitored by IGWG.	19 Jun 2024
Melanie Corcoran	Reference: 1156 Prefix: COR0014	The BSIP and EP Scheme Delivery	Due to: insufficient funding through BSIP There is a risk that: our aspirations for growing the bus market are undermined Resulting in: no meaningful service improvements and continued decline	High (4.4=16)	EP scheme implemented and established based on available funding (ie no BSIP allocation) Stakeholder comms setting expectations around deliverable improvements shared and approved (MCA/TEB/STOB) Ability to add/amend EP Scheme(s) if further funding becomes available. Successful ZEBRA bid will provide around £15m of funding for new EV fleet National £2 fare cap initiative announced to commence Jan 2023	Medium (3.3=9)						
Gareth Sutton	Reference: 1950 Prefix: COR0026	Business Continuity Planning	Due to: inadequate, untested business continuity plans There is a risk that: in the event of a major incident operations will be disrupted Resulting in: poor customer experience, inability to deliver objectives and outcomes and inability to respond to an emergency in co-ordination with emergency services.	Medium/High (4.3=12)	Major contract delivery partners Business Continuity arrangements and resilience including financial standing are included and tested within the contract procurement process. Operational transport currently have Business Continuity Plans in place.	Medium (3.3=9)	Ensure BCP is relevant and fit for purpose.	Gareth Sutton	Claire James	31 Aug 2024	After Action reassignment of risk and actions deadline has been extended.	01 May 2024
Gareth Sutton	Reference: 2607 Prefix: COR0025	Constituent Authorities Experience Financial Pressures	Due to: systemic cost pressures, funding challenges and financial shock There is a risk that: local authority partners may encounter financial difficulties Resulting in: pressure on SYMCA to provide support, or loss of partner capacity to support SYMCA activity.	Medium/High (4.3=12)	Monthly Place Liaison meetings. Quarterly finance briefings. Close working relationships across programme management functions.	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	Regular meetings take place to present an update and discuss emerging issues, briefings for MCA papers are also shared.	20 Jun 2024
Tom Bousfield	Reference: 1005 Prefix: COR0001	Adult Education Budget Performance	Due to: potential under performance within the programme and/or an insolvency event, the market being unable to provide services, or the market being unable to deliver services at contracted prices There is a risk that: we fail to deliver all of the planned academic year outputs for the region and its people within the year Resulting in: back loading and adverse reputational impact on the MCA and partners.	High (4.4=16)	Performance monitoring meetings with all providers in place to understand planned delivery volumes and their delivery intentions. Performance reporting to Management Board has taken place to highlight the delivery challenges. Funding & Performance Rules set out the conditions of funding and how underperformance will be addressed. The MCA has audit step in rights should it need to undertake more robust reviews. The MCA has some options to redeploy funding away from underperforming areas where necessary. Performance reporting via Power BI has greatly improved the availability of data to manage performance of AEB programmes on a monthly basis	Medium (4.2=8)	Review of AEB Performance management arrangements to ensure fit for purpose	Craig Moffatt	Joe Gardner	01 Aug 2024	New AEB contract and performance management arrangements for regular review with learning organisations, and internally, have been rolled out for current academic year. Enhanced arrangements to be embedded for start of 24/25 academic year onwards from 01/08/24	18 Jun 2024
Gareth Sutton	Reference: 1134 Prefix: COR0012	Financial Health	Due to: a lack of quantum, breadth, and flexibility of funding to deliver on all activities There is a risk that: there is a unsustainable call on reserves Resulting in: structural funding issues being exacerbated by the inflationary environment and disruption to commercial income streams	Medium/High (5.3=15)	The MCA Group undertakes annual integrated business and budget planning to ensure resource is effectively aligned to priorities The MCA Group undertakes cyclical budget monitoring to identify financial performance allowing for the reallocation of resource mid-year The MCA has undertaken a significant reserve refresh re-deploying resource to known risks and holding a prudent amount of resource to mitigate financial shock The MCA reports frequently to the Board and ensures partners remain apprised on financial matters through the Directors of Finance Group and Member budget engagement sessions The MCA Group has developed a new medium term financial strategy forecasting the requirements for greater local financial contributions from partners	Medium (4.2=8)	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	The audit is currently underway. In addition, a Risk Management Framework review is in the process of being externally procured.	21 Jun 2024
Steve Davenport	Reference: 1179 Prefix: COR0016	Supply Chain Failure	Due to: a contracted supplier entering into financial distress and/or an insolvency event, the market being unable to provide services, or the market being unable to deliver services at contracted prices There is a risk that: the supply chain fails or is disrupted Resulting in: disruption to provision of service, leads to delays, cost pressures, and reputational damage.	Medium (3.3=9)	MCA seeks to ensure a broad supplier basis through open market competition The MCA has access to a number of broad framework agreements to call off, in a timely fashion The MCA conducts pre-contract financial health due-diligence on major contracts including seeking details of associated sub-contracting and proportion of delivery / contract. The MCA holds a prudent level of reserves to mitigate financial shock. Standard Supplier Questionnaire completed by potential suppliers as part of the procurement process to ensure consistency of procurement and information provided by bidders. Part of it is backward facing seeking assurance over previous experience and therefore quality, competency and financial health. Rules and standards are set through the Contract Procedure Rules and Financial Regs Evidence sought to confirm responses e.g. payment terms sought and Insurance levels When bids received, further analysis is undertaken on the accounts and specifically around liquidity and the proportion of turnover which is MCA generated. The applicant is risk assessed and decisions made on that basis. Appropriate security to cover risk is considered for example a charge may be applied on land or property as security for a loan.	Medium (3.2=6)	Internal Audit have tested supplier resilience and offered a number of recommendations that will be implemented New contract function to ensure the financial health of key suppliers is tested in contract as well as pre contract to provide early warning. Business Continuity Plans to be re-tested for loss of key suppliers.	Steve Davenport	Jill Smith	31 Jul 2024	A draft contract management process is being developed and will be rolled out across SYMCA	20 Jun 2024
								Steve Davenport	Jill Smith	31 Jul 2024	The development and roll out of the contract management process will include a requirement to consider the risk of financial failure whilst in contract.	20 Jun 2024
								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. This has been included in a refreshed BCP. Next steps to be agreed.	20 Jun 2024
Gareth Sutton	Reference: 1217 Prefix: COR0020	Organisational Capacity & Skills (for bau activity)	Due to: Inadequate organisational design, recruitment, retention and training There is a risk that: the approach to resourcing is ineffective and reactive Resulting in: an overstretched and under resourced workforce incapable of meeting the organisational objectives.	Medium (3.3=9)	Introduction of a HR Business Partnering approach to work closely with teams to enable early identification of emerging risks or issues in capacity. Career Framework reviewed and proposed. Budget setting activity addressing capacity needs PDR processes identifies skills and capability requirements	Medium (3.2=6)	Pay and grading review to be undertaken. Looking at job families and career progression Business Planning Activity is being undertaken for 2024/25	Gareth Sutton	Rebecca Bishop	31 Jul 2024	Proposals for new career framework have been established and next step is present findings to all staff	20 Jun 2024
								Rebecca Bishop	Rebecca Bishop	30 Jun 2024	Work is progressing	21 Jun 2024
								Gareth Sutton	Gareth Sutton	30 Sep 2024	Rev2 which will inform 25/26 budget is underway. Work on mayoral priorities scheduled over summer to inform 25/26. Revised target to ensure monitoring.	20 Jun 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
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 Sep 2024	Liaising with new Head of Organisational Development to progress enhancement of training offer. Amended variable target to ensure monitoring.	19 Jun 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 Sep 2024	In the process of scheduling dates for workshops to gather intelligence to inform digital strategy. Revised variable target to ensure monitoring.	19 Jun 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)	Daily back ups prepared and maintained	Medium/High (4.3=12)	Agree internal audit recommendations and develop plan for implementation.	Nick Brailsford	Claire James	30 Sep 2024	Implementation plan underway and being monitored by IGWG.	19 Jun 2024
					Data processes and procedures exist to facilitate performance reporting.		Develop 'Digital Strategy' to define a cloud first strategy.			31 Aug 2024	In the process of scheduling dates for workshops to gather intelligence to inform digital strategy. Revised variable target to ensure monitoring. Revised target date to ensure progress reported regularly.	20 Jun 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)	PMO function established to work with partners to support the submission of quality business cases	Medium/High (3.4=12)						
					Quarterly monitoring of grant funding to ensure timely delivery							
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)	The MCA agreed a two-year funding package in July 2023, which will provide certainty in the near term.	Medium/High (4.3=12)	Continue to lobby Government for a sustainable funding model for bus transport	Mike Thomas	Tim Taylor	31 Dec 2024	Funding for 2024/25 now confirmed with submission of BSIP refresh on 12 June. This secures £7.82m through to end of March 2025. A decision on 2025/26 allocation is expected from the new government after the General Election.	19 Jun 2024
					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.							
					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.							

Medium/High												
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Shabnum Mustapha	Reference: 2843 Prefix: OP0285	Comms and Marketing capacity constraints	Due to: capacity constraints in Comms and Marketing 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 Resulting in: reputational damage to the Mayor and the Authority.	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. Regular meetings with OPCC comms team and supporting integration into SYMCA Comms team.	Medium/High (5.3=15)	Need review of comms and marketing resource once we are fully responsible for the tram – ongoing Planning on responding to multi-agency response to incidents involving tram being developed	Shabnum Mustapha Shabnum Mustapha	Sarah Gibson Sarah Gibson	30 Apr 2024 30 Apr 2024	This is under review at Directorate level and remains a significant risk Work has taken place on this to develop a response protocol, it is currently working well	20 Jun 2024 20 Jun 2024

High												
Owner	Identifier	Title	Cause and Effects	Inherent Priority	Controls Detail	Residual Priority	Detail	Owner	Assignee	Actions Variable Target	Last Update Text	Last Update Date
Tim Taylor	Reference: 1975 Prefix: OP0151	Declining Patronage (463)	<p>Due to: declining quality and provision of bus services plus societal change</p> <p>There is a risk that: patronage continues to decline</p> <p>Resulting in: increased support costs and subsidy requirements and potential further reduction of services and quality</p>	High (5.5=25)	Enhanced concession/discount schemes implemented to promote public transport usage	High (5.4=20)	Agree use of CRSTS BSIP funding allocation of £16m to support bus services.	Tim Taylor	Chloe Shepherd	31 May 2024	Further work still required to confirm use of CRSTS BSIP funding in agreement with the Mayor.	19 Jun 2024
					Patronage data (actuals and forecast) reviewed on a quarterly basis, with action plans developed to reverse trend.		Prepare and consult (as required) on September 2024 bus network changes.					
					Research commissioned to investigate underlying causes of patronage decline							
					Robust patronage forecast developed for each mode of transport and linked to transport operator plans (inc bus partnerships)							
					Rolling DTF funding package agreed to support pre-March 2020 network							
					Service development plans aligned to patronage forecasts and regional/local transport strategies and annual budget setting process.							
Pat Bejler	Reference: 1901 Prefix: OP0130	Delayed Public Transport Projects within the TCF Programme	<p>Due to: capacity constraints, both internal and external, and delays in securing planning applications, land acquisition, and other statutory consents</p> <p>There is a risk that: most public transport projects, delivered via the TCF Programme, which ends in April 2023, will suffer delays</p> <p>Resulting in: not achieving the planned capital development in the time available, possible clawback of funds and minimising the gain for the economy and people of SY</p>	High (5.4=20)	Programme Board, PTT and PCPC monitoring of TCF Programme progress	High (4.4=16)	Prepare to use Taylor Lane funding to keep the main contract going into April	Pat Bejler	Pat Bejler	21 Jun 2024	Parkgate P&R budget risk as a result of significant delays with Northern Powergrid, delaying the wider construction programme. Paper will be brought to Programme Board to explain the risk and with options for mitigation to be considered	21 Jun 2024
					External support to manage land acquisition negotiations							
					SYMCA has negotiated an extension to the TCF programme end dates by project, and inclusion of the final year of TCF in CRSTS, which maintains project budgets							
					Approval sought from DTF through rebaselining process to use £3m CRSTS budget to complete A61 and Parkgate. A decision for Parkgate is becoming urgent, as works on site will need to stop if funding is not approved.							
					Close monitoring of expenditure to ensure we do not go into budget deficit on the Parkgate project. Preparedness to stop work on site if required.							
Melanie Corcoran	Reference: 2007 Prefix: OP0156	Application of Regional Policies	<p>Due to: Inconsistent application of regional policies and leads to continued usage of cars and patronage decline</p> <p>Resulting in: further network reductions, an increase in the number of isolated communities and failing to deliver the policy aspirations set out in our SEP. e.g. free car parking undermines net zero and public transport aspirations.</p>	High (4.5=20)	Meetings with Leaders and CEXs to reinforce the importance of a supportive policy environment	High (4.4=16)	Work with Leaders to develop and apply pro bus policies	Melanie Corcoran	Rob Fairy	28 Feb 2026	Will consider as part of the BSIP update process, due for completion by June 2024	20 Feb 2024
					Working with wider stakeholders to identify and reinforce the benefits of enabling efficient bus operation		Work with Government and stakeholders to demonstrate and foster support to influence the approaches in the region.					
					Inclusion of pro bus policies in our implementation plans		Work with bus (and other e.g. tram, active travel) operators to influence and engage in the delivery of our plans					

Medium/High												
Owner	Identifier	Title	Cause and Effects	Inherent Priority	Controls Detail	Residual Priority	Detail	Owner	Assignee	Actions Variable Target	Last Update Text	Last Update Date
Tim Taylor	Reference: 1400 Prefix: OP0032	Balance Anchor Weight Failures (553)	<p>Due to: failures with no root cause</p> <p>There is a risk that: there will be further balance anchor weight system failures</p> <p>Resulting in: serious injury or fatality and service disruption</p>	Medium/High (5.3=15)	Risk assessment carried out by SYSL to ensure controls put in place	Medium/High (5.3=15)	Work to deliver the risk based removal of the balance anchor weight system and replacement with Tensorex	Tim Taylor	Patrick Gannon	31 Dec 2024	Unfortunately the programme received a set-back following late cancellation of the previous works planned for 16/17th March 2024. Discussions with the contractor are currently being undertaken to ensure the works can be completed over the summer, taking advantage of upcoming rail replacement works over the summer where parts of the network are closed. This should ensure that all or the majority of the units will be replaced before temperatures drop in the Autumn months.	24 Jun 2024
Pat Bejler	Reference: 1479 Prefix: OP0046	Inability to think strategically (523)	<p>Due to: inability to develop existing resources to migrate from day to day thinking to strategic thinking or to attract strategic calibre recruits, owing to relatively low salaries in a candidates' market, to support major public transport change programmes</p> <p>There is a risk that: the development programmes around bus and light rail will not be supported by the right calibre resource to successfully deliver these high profile programmes</p> <p>Resulting in: an impact on programme, time, other existing resource and quality of the delivery of the light rail development and bus franchising programmes</p>	High (5.4=20)	Major Projects: Appointment of senior project lead roles to oversee major projects such as Bus Franchising and Tram End of Concession. Job descriptions written to build a more strategically competent team to support these lead roles.	Medium/High (5.3=15)		Pat Bejler	Pat Bejler	21 Jun 2024	Joining of new Exec Director of Transport in mid-February 2024. Capacity requirements jointly reviewed and new roles being recruited for (Director of Bus Reform). Further roles identified and the review will be continuous on the back of DTF approval for tram renewal and the progression of Bus Reform to independent audit.	21 Jun 2024
					Public Transport Capital Projects: Pro-active encouragement of permanent establishment team members to explore and get involved in development opportunities arising from the major projects.							
					Inclusion of the strategic resource requirements for major programmes identified in Business Plan 2024-25							
Pat Bejler	Reference: 1491 Prefix: OP0049	Organisational agility to respond to people resource needs (517)	<p>Due to: Tight labour market conditions (candidate's market), relatively uncompetitive public sector salaries, stringent public sector processes for recruitment and procurement (including approvals)</p> <p>There is a risk that: Being unable to acquire required additional resources in time and to budget</p> <p>Resulting in: The hard deadlines and other critical success factors of major programmes not being achieved</p>	High (5.4=20)	People resource, procurement and budget requirements included in the Infrastructure & Place plan and the Public Transport Development Business Plan specifically for 2022-23	Medium/High (5.3=15)	Identify capacity gaps and work with People Services to identify new ways of attracting candidates.	Pat Bejler	Pat Bejler	21 Jun 2024		
					Close liaison with support services (HR, legal, PCPC) to highlight the criticality of resource requirements for time-critical programmes and seek to accelerate the process of populating roles							
Tim Taylor	Reference: 1993 Prefix: OP0154	Third Party Reliance on Bus Operators to deliver Net Zero targets	<p>Due to: The Region's bus services being largely operated on a commercial basis</p> <p>There is a risk that: leading to compromise and a limited ability to shape the network and fleet</p> <p>Resulting in: challenges in delivering our strategic priorities in relation to zero emissions buses by 2040</p>	High (5.4=20)	Engagement with operators to deliver an Enhanced Partnership	Medium/High (5.3=15)	Await the outcome of the Franchising Assessment independent audit (review) to allow the process to move to the next stage ahead of a decision in early 2025.	Tim Taylor	Pat Bejler	10 Sep 2024	New Action Added	25 Jun 2024
					Engagement with DTF to secure funding							
					Decision taken to conduct a franchising assessment		Conclude a Public Consultation on the Franchising Assessment to allow the process to move to the next stage ahead of a decision in early 2025.					
					Employees are aware of the State Aid rules and seek advice and guidance from legal colleagues as the need arises.							
					Early engagement with operators and legal colleagues to identify levels of funding and specific risk relating to a scheme.							
					Funding tapers are applied to each application to ensure remain within the law							
Tim Taylor	Reference: 2293 Prefix: OP0206	Tram Structures Inspections Identify Significant Remedial actions	<p>Due to: Aging of the structures</p> <p>There is a risk that: structures inspections start to identify the need for significant remedial works</p> <p>Resulting in: significant spend and/or suspension of tram services whilst works are carried out.</p>	High (5.5=25)	Detailed and General Inspections carried out in line with the requirements detailed in the Design Manual For Roads and Bridges (DMRB) so any potential issues should be identified and actioned.	Medium/High (5.3=15)	Ensure all structures inspections due in 2022/23 are complete.	Tim Taylor	Patrick Gannon	19 Sep 2024	Two inspection reports outstanding due to delays gaining Network permits. Will continue to chase for the reports to be issued	20 Jun 2024
							Ensure all structure inspections for 2023/2024 are completed					
							Balfour Beatty to be appointed under SCAPE Framework to complete the design and build of the remedial action.					
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	Nick Brailsford	30 Aug 2024	Outputs from workshops held with Microsoft partner, Codec, now complete and shared with SYMCA. A further meeting is now required to agree funding source and secure resources. A paper was due to ELB by end of June but this has now been delayed.	21 Jun 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
Joe Gardner	Reference: 2952 Prefix: OP0293	Skills Strategy Implementation	<p>Due to: The Skills Strategy being adopted but not yet implemented</p> <p>There is a risk that: Forward planning and delivery is misaligned or not fully linked to the 3 mission areas of the strategy</p> <p>Resulting in: sub-optimal outcomes and inability to deliver strategic objectives</p>	High (4.5=20)	<p>Cross team implementation planning underway, focussing on specific programmes and broader changes to processes and ways of working needed to successfully implement skills strategy</p> <p>Current commissioning of major programmes aligned to Skills Strategy (e.g. Adult Skills Fund, Skills Bootcamps Wave 6, WorkWell)</p>	Medium/High (4.3=12)	Development of robust Implementation Plan for next 5 years	Joe Gardner	Joe Gardner	31 Dec 2024	New Risk and New Action	20 Jun 2024
							Identification, commissioning and delivery of priority projects	Joe Gardner	Joe Gardner	31 Jul 2025	New Risk and New Action	20 Jun 2024

Medium/High												
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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	Unfortunately the programme received a set-back following late cancellation of the previous works planned for 16/17th March 2024. Discussions with the contractor are currently being undertaken to ensure the works can be completed over the summer, taking advantage of upcoming rail replacement works over the summer where parts of the network are closed. This should ensure that all or the majority of the units will be replaced before temperatures drop in the Autumn months.	24 Jun 2024
Melanie Corcoran	Reference: 1421 Prefix: COR0028	Tram infrastructure and tram vehicle failure (512)	Due to: Due to increased wear and age of assets There is a risk that: the tram infrastructure or vehicles will fail Resulting in: service disruptions, health and safety incidents and increased financial exposure.	High (5.4=20)	Annual asset review carried out with 20 assets chosen to check that assets are been maintained in line with their maintenance regime. Concession Agreement includes clauses regarding operation of the network. Details of non-conformances detailed by SYSL Overview Report so we can start to understand problem areas and challenge SYSL in order that the necessary repairs are completed. SYSL currently monitor and act on obsolescence issues. SYSL provide details of their reactive maintenance and planned maintenance performance on a monthly basis.	Medium/High (4.3=12)	Progress with new project to replace XVPlus with a new Enterprise Asset Management System/CMMS.	Tim Taylor	Pat Beijer	31 Jan 2025	Project manager assigned to work on the procurement and development of the asset management system. The development of this system will take ca 18 months, with contract award expected early 2025. Tram services team recruitment of additional staff critical to this project, as they are required to support the development of this system.	21 Jun 2024
Gareth Sutton	Reference: 2530 Prefix: COR0023	Successful Management of Concurrent Major Change Programmes	Due to: competing demands on organisational capacity and capabilities There is a risk that: business change activity is not safely delivered, with new ways of working and organisational culture not effectively embedded Resulting in: an impact on bau delivery, regulatory non-compliance, reputational damage, low workforce morale.	High (4.4=16)	Major Projects Oversight Board established	Medium/High (4.3=12)						

Medium												
Owner	Identifier	Title	Cause and Effects	Inherent Priority	Controls Detail	Residual Priority	Detail	Owner	Assignee	Actions Variable Target	Last Update Text	Last Update Date
Gareth Sutton	Reference: 1202 Prefix: COR0018	Health and Safety- Major Accident or Injury	Due to: A major accident or injury occurs involving SYMCA assets and / or people There is a risk that: leads to regulator intervention Resulting in: resulting in liability and adverse impact on the workforce, budgets and reputation of the MCA.	High (5.4=20)	Health and safety policy, procedures and standards in place and audited by independent H&S advisor. Training provided to all staff. Appropriate maintenance contracts in place to undertake fabric and Mechanical & Electrical repairs and inspections as required. Monitoring of incidents and near misses undertaken, quarterly reports presented to Management Board and the ASRC. Standard contracts of employment for all SYMCA people incorporate a section on H & S responsibilities	Medium (5.2=10)	Quality, Health, Safety and Environment Officer to review monitoring and reporting approach	Sean Rodgers	Sean Rodgers	31 Dec 2024	In progress to align with the implementation of the new Health and Safety management system currently being procured.	20 Jun 2024
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	24 Oct 2024	Once reports have been fully understood, procurement of next phase will commence	20 Jun 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 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.	Dale Sparks	Jeremy Kemp	30 Sep 2024	Spoken to Adam Tattersley from Counter Terrorism Policing North East to see if he could carry out an assessment of our sites against this type of threat, however i was informed that these sites are below the threshold for a CTSA to get involved - so he advised me to take it up via the Local Authority Protect & Prepare Groups.	23 Apr 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. Displaying of Zero Tolerance policy posters in our interchanges. Deployment of two temporary additional security at Barnsley Interchange until end December 2023. CCTV controlled access toilets	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. A paper proposing the installation of CCTV controlled access door to all interchange toilets will be taken for approval. Install CCTV in the communal areas of the interchange toilets to reduce their use for anti-social or criminal behaviour. Reducing costs of criminal damage and the risk to the reputation of SYMCA and public transport.	Dale Sparks	Jeremy Kemp	31 Aug 2024	Obtained costings for 1 x Senior Warden and 3 x Wardens. We could reduce the team by 1 Warden but may leave us open to potential issues around leave/sickness.	17 Jun 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	30 Sep 2024	currently reviewing site BCP's to make it more simpler to read and understand during an event. will carry out a desk top exercise once this has been completed.	23 Apr 2024
								Dale Sparks	Dale Sparks	31 Jul 2024	an update on the on call and out of hours payments as part of harmonisation is required from people services is required to progress.	20 Jun 2024

Owner	Identifier	Title	Cause and Effects	Inherent Priority	Controls Detail	Residual Priority	Actions					
							Detail	Owner	Assignee	Variable Target	Last Update Text	Last Update Date
Tim Taylor	Reference: 1453 Prefix: OP0043	Disruption to Supertram operations as a result of extreme weather (538)	<p>Due to: climate change and therefore the increase in extreme weather events</p> <p>There is a risk that: there will be increased disruption of the operation of the Supertram network</p> <p>Resulting in: poor public transport service, lower patronage, increased costs for maintenance and repair.</p>	Medium/High (3.4=12)	System was built during the 1990's so the infrastructure is relatively new and climate change was an emerging issue.	Medium (2.4=8)	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.	Will Dunnett	Pat Bejjer	31 Dec 2024	The DfT have approved the OBC for asset renewal, including an early drawdown to progress urgent renewal needs. Workpackages for other renewal works have been developed and the procurement specifications of these require input from a wider range of disciplines. A readiness plan is under development to ensure all relevant resources are identified and sourced for each of these packages.	21 Jun 2024
							Infrastructure advisor to undertake a comprehensive review of the network to look at climate change impacts.	Pat Bejjer	Pat Bejjer	31 Jul 2024	A Carbon Management Plan was developed as part of the OBC work, now approved by the DfT IPDC Board. Technical advisors are updating the specific baseline and targets set and a readiness plan is under development to ensure processes and resources (including those procured from technical advisors) are aligned with the the CMP.	21 Jun 2024
Tim Taylor	Reference: 1587 Prefix: OP0071	Fraudulent concessionary passes in circulation and use.	<p>Due to: unauthorised travel passes being applied for and issued, and passes being used by other persons beside the original applicant.</p> <p>There is a risk that: challenge by operator staff leads to conflict and/or undetected use of the pass.</p> <p>Resulting in: Overpayment to operators.</p>	Medium/High (5.3=15)	<p>processes in place to manage replacement card process.</p> <p>SYSL carry out training to avoid conflict, accident investigation and ensure sufficiently competent staff and carry out risk assessments.</p>	Medium (4.2=8)	To identify opportunities to improve safety through the SCR Mass Transit renewals project.	Pat Bejjer	Pat Bejjer	30 Jun 2024	Bulk Reassign	21 Jun 2024
							Tighten up procedures regarding the replacement of lost or damaged passes to avoid unauthorised passes entering circulation.	Suzanne Hutchinson	Suzanne Hutchinson	30 Nov 2025	Automated hotlisting (the blocking of a pass) has now been implemented. If a customer replaces a pass online or via the contact centre all previous passes are now blocked. Additionally charging for replacement passes has also been reinstated which has seen replacement pass numbers decrease by over 70%. Further changes are required to the Transport CRM to further tighten procedures and processes. However the requirements necessary cannot technically be implemented in the current CRM. A business case is currently being developed to secure the funding to replace the current CRM. The target deadline for a new CRM is November 2025.	21 Jun 2024
							Prepare business case options and secure funding (CRSTS)	Tim Taylor	Nick Brailsford	30 Aug 2024	Outputs from workshops held with Microsoft partner, Codec, now complete and shared with SYMCA. A further meeting is now required to agree funding source and secure resources. A paper was due to ELB by end of June but this has now been delayed.	21 Jun 2024
Tim Taylor	Reference: 1440 Prefix: OP0038	Injury whilst boarding or alighting a tram (495)	<p>Due to: the tram platform/vehicle interface</p> <p>There is a risk that: passengers boarding and alighting may slip, trip or fall onto or off a vehicle</p> <p>Resulting in: injury</p>	Medium (3.3=9)	Adhoc track patrols carried out by SYPTE and any defects raised with SYSL.	Medium (3.2=6)	Tram team to review data on passenger incidents to validate residual risk scores after controls	Patrick Gannon	Patrick Gannon	24 Oct 2024	Tram team to review data on passenger incidents to validate residual risk scores after controls	20 Jun 2024
					SYSL carry out driver training, accident investigation and ensure sufficiently competent staff and carry out risk assessments.		SYSL carryout maintenance of vehicles and tramstops.					
Rachel Sprigg	Reference: 1447 Prefix: OP0040	Loss of Rail Grant (418)	<p>Due to: DfT reducing/withdraw the Rail Admin Grant of £1.183m</p> <p>There is a risk that: funding is insufficient to cover a number of station activities such as cleaning and maintenance</p> <p>Resulting in: a loss of income to the SYMCA, consequential budgetary pressures and adverse impact on delivery and safety.</p>	Medium (3.3=9)	Rail admin grant has been secured for 2022-23 at same level of previous years.	Medium (3.2=6)	Include in risk quantification of amount of grant at risk after discussion with SYMCA finance team	Rachel Sprigg	Rachel Sprigg	01 Apr 2025	We have received no information that the Rail Grant will not be awarded	24 May 2024
					Standardised funding model for DfT to award this Annualised allocation of rail admin grant from DfT (Ongoing for multiple years)		No action required	Rachel Sprigg	Rachel Sprigg	31 May 2024	We have no cause for concern the rail grant will not be awarded	12 Feb 2024
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)	Body-worn video to de-escalate potential incidents	Medium (2.3=6)	To ensure all CSM's complete refresher training	Jeremy Kemp	Jeremy Kemp	30 Sep 2024	again asked HR today (21/06/2024) to see what is being done about conflict training for my team of CSM's	21 Jun 2024
					CCTV coverage to reduce likelihood of incidents or catch perpetrators							
					Employee training on dealing with threatening or violent members of the public							
					HR policies which describe minimum requirements for these roles							
					Minimum staffing levels in our interchanges to prevent lone working							
Promotion of SYP partnership (travel safe)												
Zero tolerance policy promoted around sites												
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)	CAFM system (Computer Aided Facilities Management) will greatly aid in identifying and addressing compliance issues before they become problems, by centralising data and enabling real-time tracking and reporting. This includes ensuring that all assets are properly maintained and that all necessary inspections and certifications are up to date.	Medium (2.3=6)	Procurement of new CAFM system to streamline reactive/preventative/remedial maintenance. Optimising Preventative and Planned maintenance, effective asset management, effective contactor management, effective and accurate compliance monitoring and reporting, potential IoT integration, greater overall portfolio management and CAD/BIM integration. All ensuring effective cost and asset management, whilst maintaining safety at all times in line with statutory and mandatory obligations.	Michelle Stansfield	Philip Burgin	31 Jul 2024	Currently in demonstration stage of procurement. IT included in the process. All relevant procurement processes will be followed.	20 Jun 2024
					Utilising SFG20 maintenance schedules which gives clear visibility of statutory and optimal maintenance. Avoidance of over and under maintenance. Continued compliance and prior knowledge regarding sector changes		Procurement of a H&S system which will enable effective monitoring, review and assessment of H&S activities within SYMCA, including all statutory/mandatory training/risk assessments.	Michelle Stansfield	Michelle Stansfield	31 Dec 2024	Currently in demonstration stage of the procurement process.	20 Jun 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	Analysis underway - on track for target date.	20 Jun 2024
Dale Sparks	Reference: 2974 Prefix: OP0294	Risk of injury at Barnsley Interchange	<p>Due to: Persons attempting to jump from the mezzanine floor</p> <p>There is a risk that: Persons may fall to the floors below accidentally or intentionally.</p> <p>Resulting in: Injury to customers and employees, reputational damage.</p>	Medium/High (4.3=12)	On site Customer Service Advisors	Medium (3.2=6)	CCAs patrols	Dale Sparks	Dale Sparks	31 Aug 2024		
					Application of health and safety policy regarding safe use of interchange spaces and structures.		SYP target hardening officer to review the issue and make recommendations	Dale Sparks	Dale Sparks	31 Aug 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)	Liaison with the Police to investigate high vandalism areas.	Medium (5.1=5)	Implementation of the recommendations and processes adopted by the Light Rail Safety and Standards Board where applicable.	Tim Taylor	Patrick Gannon	18 Nov 2024	Work progressing well with testing of the overspeed device on the first Siemens tram in progress. Programme anticipates full fleet fitment by November 2024	20 Jun 2024
					SYSL carry out driver training, accident investigation and ensure sufficiently competent staff and carry out risk assessments.		Implementation of Rec3 on whole fleet as a speed control device.	Tim Taylor	Pat Bejjer	18 Nov 2024	Forecast project completion date is 18/11/24.	25 Apr 2024
					SYSL carry out regular track patrols and maintenance activities.							
					System signage reviewed and drop down speeds introduced at high risk areas.							
					Vigilance device now implemented on the Siemens fleet							
Vigilance device on the Citylink vehicles.												
Oversight from SYMCA Tram Team												

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)	<p>IT are working with the Learning and Development team to define and deliver the training requirements for employees across the MCA.</p> <p>Statement of Works prepared to bring in consultancy services to facilitate application of additional controls</p>	Nick Brailsford	Nick Brailsford	30 Sep 2024	Liaising with new Head of Organisational Development to progress enhancement of training offer. Amended variable target to ensure monitoring.	19 Jun 2024			
					Web filtering in place, which restricts access to unapproved sites and information sharing platforms e.g. drop box.					Nick Brailsford		Nick Brailsford	30 Sep 2024	In the process of scheduling dates for workshops to gather intelligence to inform digital strategy. Revised variable target to ensure monitoring.	19 Jun 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)	<p>Agree internal audit recommendations and develop plan for implementation.</p> <p>Develop 'Digital Strategy' to define a cloud first strategy.</p>	Nick Brailsford	Claire James	30 Sep 2024	Implementation plan underway and being monitored by IGWG.	19 Jun 2024			
					Data processes and procedures exist to facilitate performance reporting.					Nick Brailsford		Nick Brailsford	31 Aug 2024	In the process of scheduling dates for workshops to gather intelligence to inform digital strategy. Revised variable target to ensure monitoring. Revised target date to ensure progress reported regularly.	20 Jun 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.										
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	Nick Brailsford	30 Aug 2024	Outputs from workshops held with Microsoft partner, Codec, now complete and shared with SYMCA. A further meeting is now required to agree funding source and secure resources. A paper was due to ELB by end of June but this has now been delayed.	21 Jun 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			
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)	Anti-virus software, updated hourly, installed across all infrastructure.	Medium (5.2=10)	<p>Agree internal audit recommendations and develop plan for implementation.</p>	Nick Brailsford	Claire James	30 Sep 2024	Implementation plan underway and being monitored by IGWG.	19 Jun 2024			
					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.										
					Web-filtering to restrict and prohibit unauthorised access and data loss.										
					An IT Policy exists and is updated as necessary, last updated in 2021.										
					Password policy exists implementing good practice to build strong access controls including multi-factor authentication.										
					Activity monitoring takes place including how people access the system.										
					Regular simulated phishing attacks and user training in place.										
					Software patching takes place to ensure software updates are carried out.										
					Annual outsourced penetration testing, which is part of the Cyber Essentials requirements.										
					Physical security enhancements including restricting a non-employee plugging a laptop into MCA network.										
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.															
DDoS Protection control in place (Radware)															
Cloud assessments and DPIAs undertaken on online systems.															
Membership of MyNCSC which provides monitoring of externally facing services and intelligence.															
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 and reflect any PCC requirements)	Medium (3.3=9)	<p>Review policies and procedures</p> <p>Review required along with the Governance Team to identify any additional policy and guidance gaps.</p> <p>Governance Team and Assets to review Records Retention and Destruction Schedule, to include arrangements for archiving as part of next phase of accommodation review.</p> <p>Review SYMCA policies and procedures against those for PCC to ensure relevant information is captured across both.</p>	Claire James	Kyle Hopkins	31 Aug 2024	Harmonisation conclusion has been pushed back to Autumn delaying approval. Policies will also now need to be reviewed to reflect content of PCC documents.	06 Jun 2024			
					Information Governance Officer role is on the establishment structure and recruited to					Claire James		Kyle Hopkins	30 Jun 2024	Updates will now be required to include references to OPCC. Revised target date to allow time to work with OPCC colleagues.	23 Apr 2024
										Claire James		Kyle Hopkins	30 Jun 2024	Action updated to reflect that due to restructuring this action now sits with Facilities and Assets and the Governance Team and forms part of the Information Governance Officers objectives for 24/25. Revised target date to ensure monitoring.	23 Apr 2024
										Claire James		Kyle Hopkins	31 Jul 2024	Deadline set to review SYMCA policies and procedures against those for PCC.	06 Jun 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)	<p>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.</p> <p>Develop a technical change management process.</p>	Nick Brailsford	Nick Brailsford	30 Sep 2024	In the process of scheduling dates for workshops to gather intelligence to inform digital strategy. Revised variable target to ensure monitoring.	19 Jun 2024			
					Coding and storage standards are in place along with documentation for each application.					Nick Brailsford		Nick Brailsford	30 Sep 2024	Change Management Standard drafted and addition work to enhance the approach to managing change underway. Amended target date to ensure monitoring until fully implemented.	19 Jun 2024
					Incremental changes and training.										
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 though People Services online learning platform, monitored by Governance Team.	Medium (3.2=6)	<p>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.</p> <p>Annual action plan produced setting out agreed actions to improve GDPR compliance to be refreshed.</p>	Claire James	Kyle Hopkins	30 Jun 2024	Since the Learning Platform was refreshed data has been lost/its 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.					Claire James		Kyle Hopkins	31 Jul 2024	Plan drafted and shared with service for input.	06 Jun 2024
					Associated guidance and policies produced and reviewed annually.										
					Physical access control, process and procedures are in place.										
					Internal Audits regularly scheduled										
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)	<p>Work underway to develop onboarding process to provide skills and knowledge on how to use SYMCA systems appropriately and in line with the AUP and other relevant policies and standards.</p>	Nick Brailsford	Nick Brailsford	31 Oct 2024	New action this cycle	19 Jun 2024			
					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)	<p>Draft AI Use Standards to be signed off.</p> <p>Network training to be undertaken to explore how to govern the use of AI</p>	Claire James	Christine Marriott	31 Jul 2024	New Risk and Action for this cycle	20 Jun 2024			
										Claire James		Christine Marriott	31 Jul 2024	New Risk and Action for this cycle	20 Jun 2024