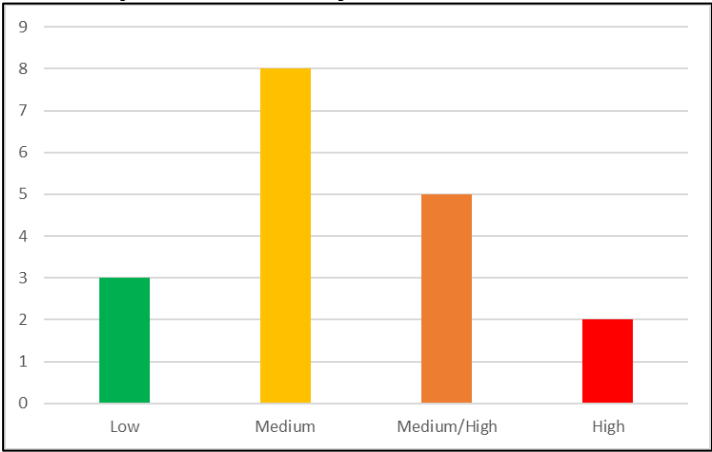


Risk Dashboard

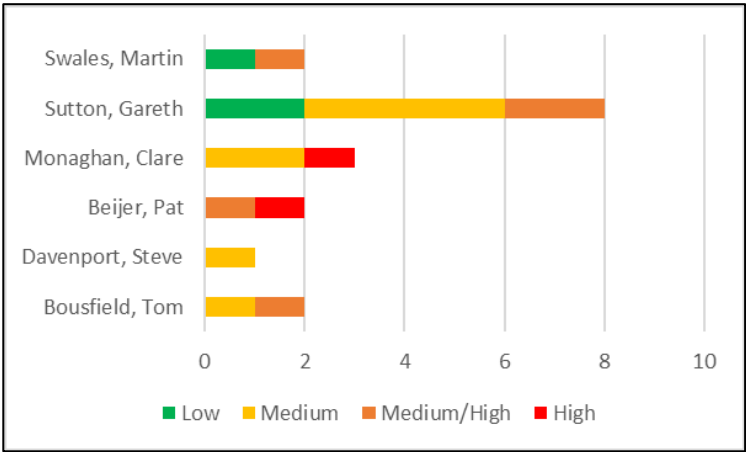
December 2023

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

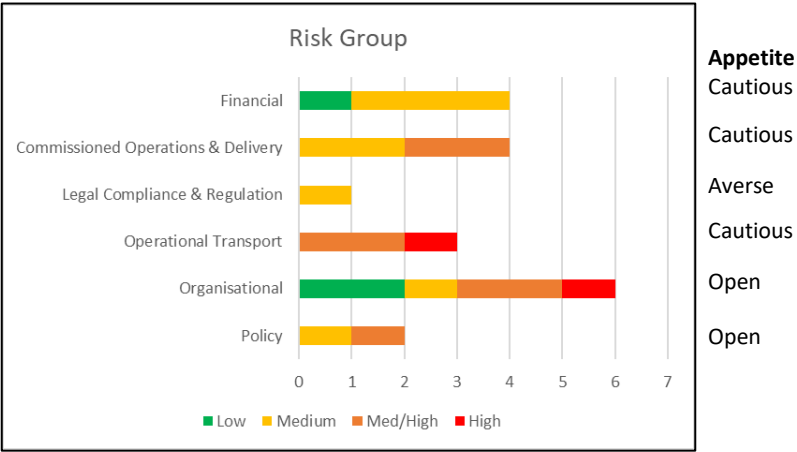
Corporate Risks by Residual Risk Score



Corporate Risks by Executive Level Ownership



Corporate Risks by Strategic Group



Summary

Since the last report:

- Two new corporate risks have been identified increasing the number of corporate risks being managed to 21. These new risks relate to constituent authorities experiencing financial pressures (COR0025), which has a residual score of “medium” and business continuity planning (COR0026) which has been escalated to a corporate risk, and also has a residual score of ‘medium’.
- The corporate risk relating to the Strategic Economic Plan has been closed and consideration is being given to a new risk description that references SYMCAs plans for growth and delivery of mayoral objectives.
- no residual scores have increased or decreased since the last report
- COR0018 'Health and Safety – Major accident or incident' has been reallocated to the Director of Resource and Investment

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

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

Scoring Matrix

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

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

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

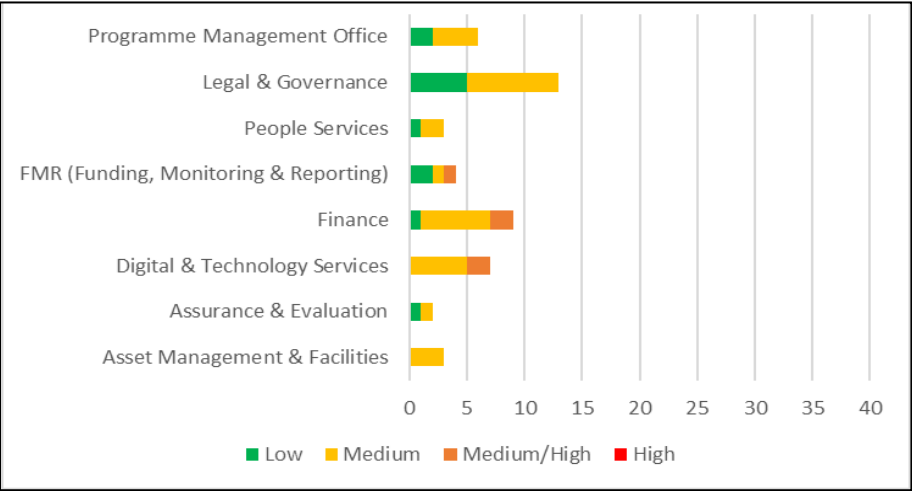


More detail, including controls and mitigating actions, are included in the Corporate Risk Register at page 10.

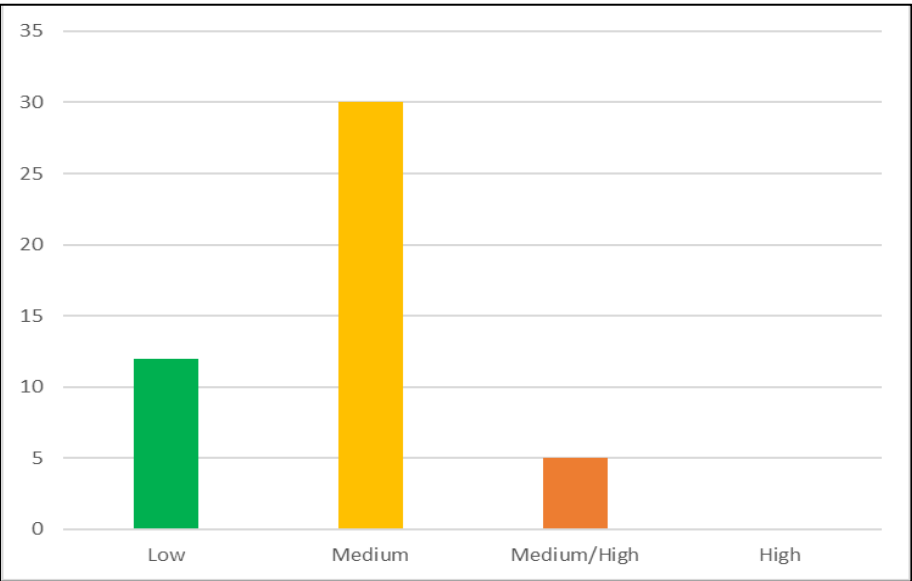
Directorate risks are defined as risks specific to SYMCA teams and can be reflective of objectives, business plans, processes and operating environments.

Resources & Investment Directorate

Risks by Team and by Residual Risk Score



Risks by Residual Risk Score



Summary

There are currently five ‘medium/high’ risks within the Resources and Investment Directorate (listed below). See page 12 for details. Two of these have been added since the last report:

- OP0159 – ‘Net Zero – Increasing Cost and Devalued Investment’. This risk was previously owned by the Net Zero Project Director. Due to the financial nature of the risk, it has been re-allocated to the Executive Director for Resources and Investment.
- OP0251 – Investment into Businesses.

Due to minor reshaping of directorates has resulted in some reallocation of risks. The Housing and Infrastructure team now sits within the Growth, Business and Skills Directorate. People Services team are now part of the Resources and Investment Directorate.

Two risks with a ‘health and safety theme’ remain within the directorate both are scored as “Medium”.

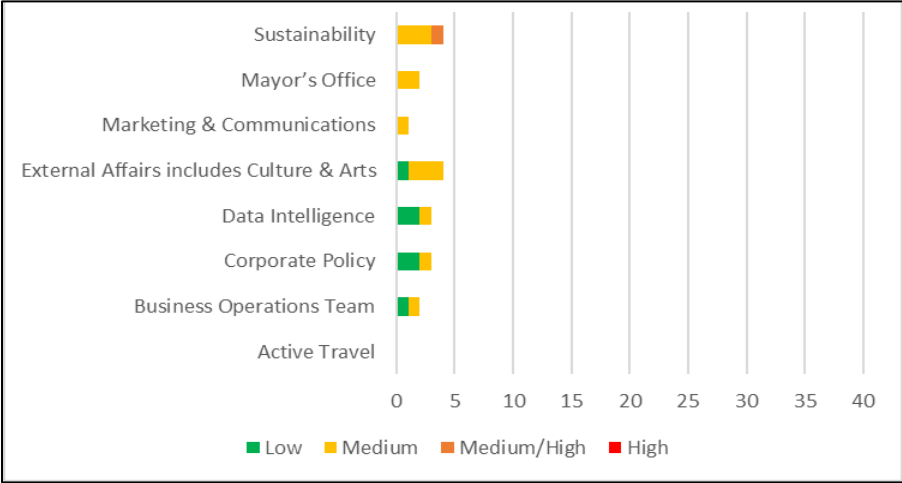
Risks with a residual score ‘medium/high’ and ‘high’

Reference	Title	Owner	Assignee	Inherent	Residual ↓
OP0020	Exposure to the commercial performance of the transport network	Mike Thomas	Mike Thomas	25	12
OP0027	Data Loss/Security	Nick Brailsford	Nick Brailsford	16	12
OP0109	IT System Failure	Nick Brailsford	Nick Brailsford	20	12
OP0159	Net Zero - increasing cost and devalued investments	Gareth Sutton	Michelle Stansfield	16	12
OP0251	Investment into Businesses	Gareth Sutton	Sue Sykes	16	12

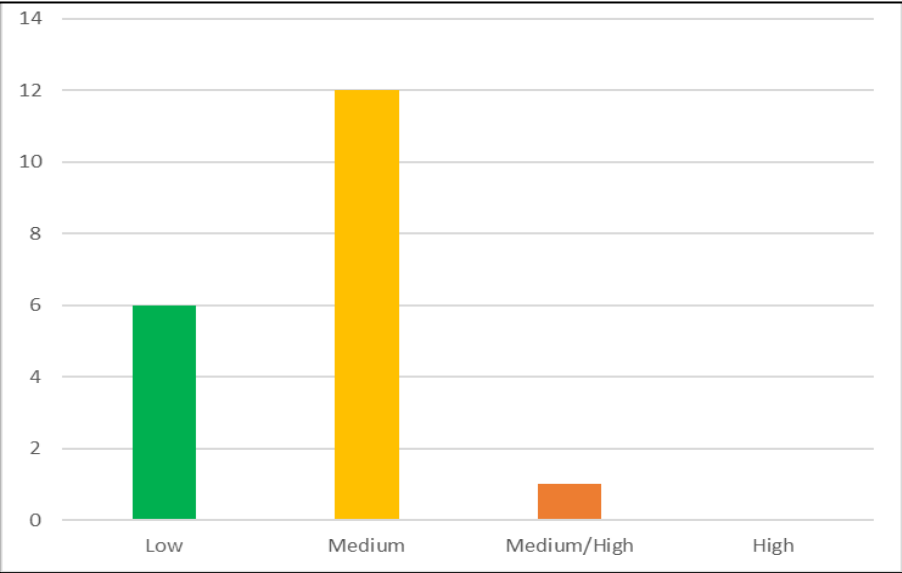
Directorate risks are defined as risks specific to SYMCA teams and can be reflective of objectives, business plans, processes and operating environments.

Policy & Strategic Development Directorate

Risks by Team and by Residual Risk Score



Risks by Residual Risk Score



Summary

Since the last report:

- Policy and Strategic Development Directorate have concluded activity to review and refresh directorate level risks. This has led to 7 new risks being identified and 9 closed.
- Due to a minor reshaping of directorates the People Services team have relocated to the Resources and Investment Directorate. 'Net Zero' has been renamed 'Sustainability'.
- There is one 'medium/high' risk within the directorate (previously there were two, one has been re-allocated to the Executive Director for Resources and Investment).
- The directorate level risk "Business Continuity Planning" has been escalated to a corporate risk (COR0026).
- There is currently one risk with a 'health and safety theme' within the Directorate scoring as 'medium'.

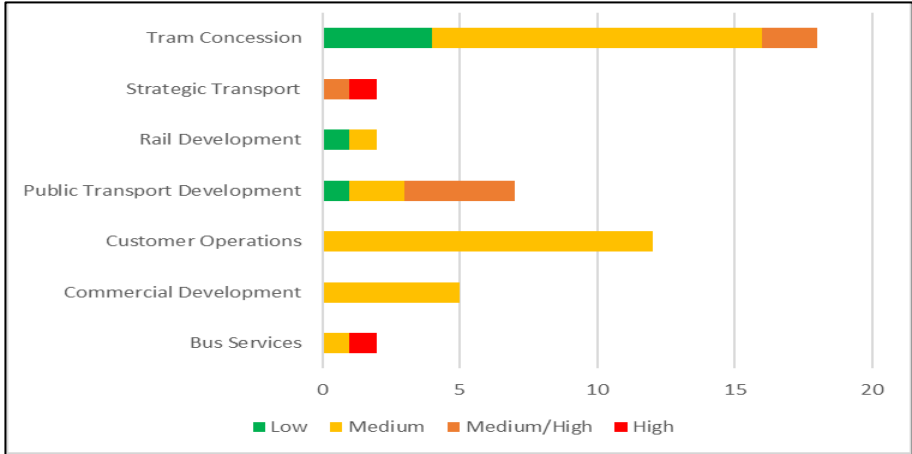
Risk with a residual score 'medium/high' and 'high'

Prefix	Title	Owner	Assignee	Inherent Priority	Residual Priority
OP0153	Net Zero - MCA Operation	Clare Monaghan	Richard Sulley	High (16)	Medium/High (12)

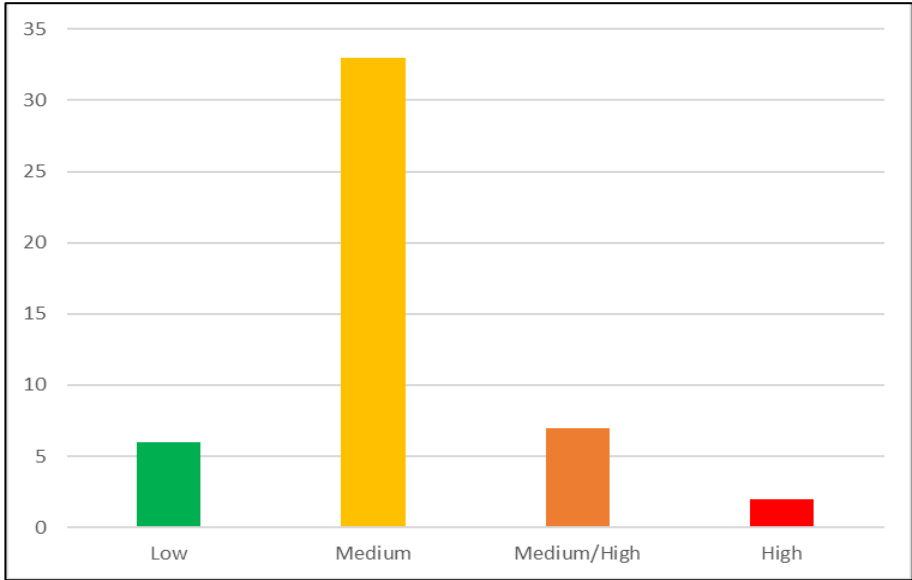
Directorate risks are defined as risks specific to SYMCA teams and can be reflective of objectives, business plans, processes and operating environments.

Transport Directorate

Risks by Team and by Residual Risk Score



Risks by Risk Score



Summary

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

Since the last report:

- the two ‘high’ scoring risks remain the same as the last period (see below).
- the number of ‘medium/high’ risks has reduced from 10 to 9. “Dilapidated Connect Totems - Sheffield City Centre” score was reduced after controls were strengthened.
- there are 17 risks with a ‘health and safety theme’ within the directorate. 16 of these have a residual score of five or above.

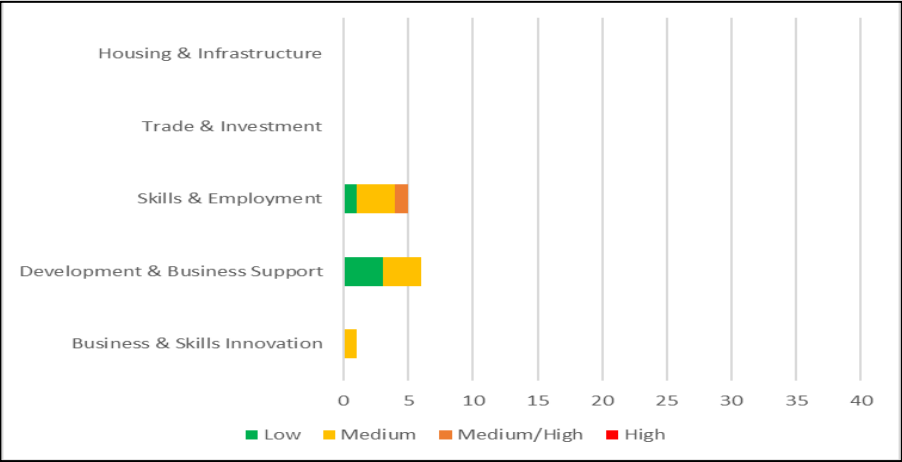
Risks with a residual score ‘medium/high’ and ‘high’

Reference	Title	Owner	Assignee	Status	Inherent	Residual ↓
OP0151	Declining Patronage (463)	Tim Taylor	Tim Taylor	Open	25	20
OP0156	Application of Regional Policies	Pat Beijer	Chloe Shepherd	Open	20	16
OP0032	Balance Anchor Weight Failures (553)	Tim Taylor	Patrick Gannon	Open	15	15
OP0046	Inability to think strategically (523)	Pat Beijer	Pat Beijer	Open	20	15
OP0049	Organisational agility to respond to people resource needs (517)	Pat Beijer	Pat Beijer	Open	20	15
OP0065	Inability to fund the costs of tram asset renewal (462)	Pat Beijer	Pat Beijer	Open	20	15
OP0068	Disruption due to concession handback (514)	Pat Beijer	Will Dunnett	Open	20	15
OP0154	Third Party Reliance on Bus Operators to deliver Net Zero targets	Tim Taylor	Tim Taylor	Open	20	15
OP0206	Tram Structures Inspections Identify Significant Remedial actions	Tim Taylor	Patrick Gannon	Open	25	15

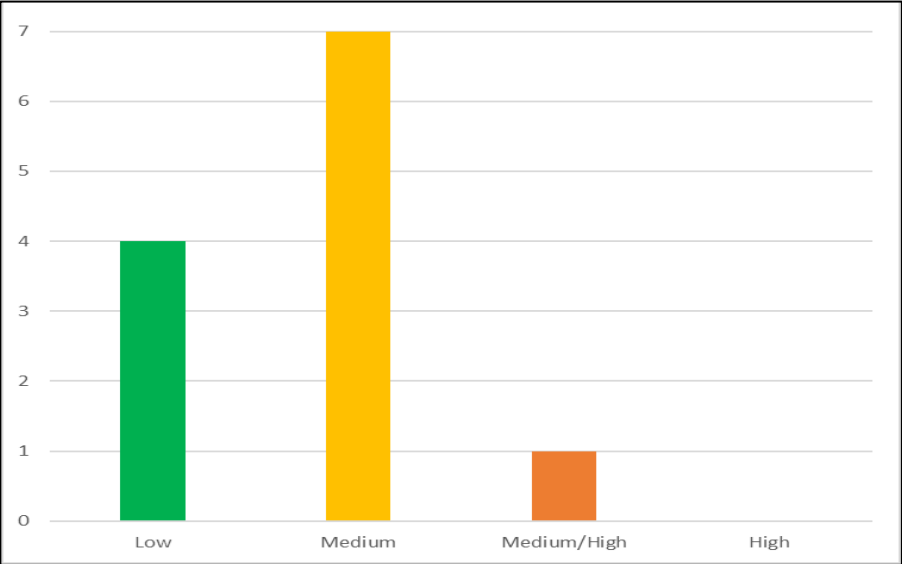
Directorate risks are defined as risks specific to SYMCA teams and can be reflective of objectives, business plans, processes and operating environments.

Growth, Business & Skills Directorate

Risks by Team and by Residual Risk Score



Risks by Risk Score



Summary

Since the last report:

- The Growth, Business and Skills Directorate has concluded a review and refresh of their directorate level risks. This has led to one new risk and 9 risks being closed.
- There remains one ‘medium/high’ within the Growth, Business and Skills Directorate.
- There are no risks with a ‘health and safety theme’ within the directorate.

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

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

Health & Safety Risks with a score of 5 or above (medium, medium/high, high) ★ new since last report

OP0032	Balance Anchor Weight Failures (553)	Tim Taylor	Patrick Gannon	● Open	15	15
COR0023	Successful Management of Concurrent Major Change Programmes	Gareth Sutton	Gareth Sutton	● Open	16	12
COR0018	Health and Safety- Major Accident or Injury	Gareth Sutton	Michelle Stansfield	● Open	20	10
OP0029	Tramway highway interface (436)	Tim Taylor	Patrick Gannon	● Open	15	10
OP0033	Failure of post tensioned structures on Supertram (528)	Tim Taylor	Patrick Gannon	● Open	15	10
OP0055	Road Traffic Collision (489)	Tim Taylor	Patrick Gannon	● Open	20	10
OP0056	Member of the public coming into contact with a moving vehicle on SYMCA property (483)	Jeremy Kemp	Jeremy Kemp	● Open	15	10
OP0077	Inability to guarantee safe evacuation of interchanges in event of fire (530)	Jeremy Kemp	Jeremy Kemp	● Open	15	10
OP0261	★ Hostile Vehicle Mitigation	Tim Taylor	Dale Sparks	● Open	15	10
OP0037	Tram infrastructure and tram vehicle failure (512)	Tim Taylor	Patrick Gannon	● Open	16	9
OP0262	★ Adverse weather response plans	Dale Sparks	Dale Sparks	● Open	20	9
OP0263	★ An increase in the frequency of violent and/or ASB at SYMCA public transport sites.	Tim Taylor	Dale Sparks	● Open	20	9
OP0043	Disruption to Supertram operations as a result of extreme weather (538)	Tim Taylor	Patrick Gannon	● Open	12	8
OP0071	Travel pass fraud challenge leads to assault (496)	Tim Taylor	Paul Foers	● Open	15	8
OP0038	Injury whilst boarding or alighting a tram (495)	Tim Taylor	Patrick Gannon	● Open	9	6
OP0040	Loss of Rail Grant (418)	Rachel Sprigg	Rachel Sprigg	● Open	9	6
OP0045	Verbal threats, abuse or physical assault on customer facing employees (550)	Jeremy Kemp	Jeremy Kemp	● Open	9	6
OP0142	Compliance with Statue Laws and Regulations	Michelle Stansfield	Michelle Stansfield	● Open	16	6
OP0234	★ Post Day One Safety Culture & Leadership Risk	Will Dunnett	Will Dunnett	● Open	15	6
OP0272	★ Contractor Management	Michelle Stansfield	Michelle Stansfield	● Open	12	6
OP0276	★ Workplace Standards	Jayne Hampshire	Jayne Hampshire	● Open	12	6
OP0036	Serious tram accident (akin to Sandilands) (472)	Tim Taylor	Patrick Gannon	● Open	10	5

Risk Registers

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



High													
Owner	Identifier	Title	Cause and Effects	Inherent Priority	Controls Detail	Residual Priority	Detail	Owner	Assignee	Actions Variable Target	Last Update Text	Last Update Date	
Clare Monaghan	Reference: 1092 Prefix: COR0007	Net Zero, Sustainability/ Climate Change	Due to: an inability to galvanise the required level of support, consensus and leadership across the region, from our partners and stakeholders both private and public There is a risk that: the approach is fragmented Resulting in: a failure to achieve the net zero target, by 2040	High (5:5=25)	The MCA strategy requires that the Net Zero response runs through our core programmes.	High (5:4=20)	We are actively working with Sheffield University to develop regional data to understand the impact of our (& partners) programmes and projects to understand the current position and baseline.	Richard Sulley	Richard Sulley	31 Mar 2024	The Project continues and is expected to report in line with the latest variable target.	29 Nov 2023	
					Working with partners / stakeholders to develop projects that take account of de-carbonisation.		The most impactful interventions to focus the renewal fund upon are being determined through our work with partners e.g. should we carry out additional tree planting and promotion and usage of green power.	Richard Sulley	Richard Sulley	31 Mar 2024	on going development work is being undertaken	29 Nov 2023	
					Initial focus on housing retrofit, Electric vehicles (electric buses, car charging) energy, tree planting			Richard Sulley	Richard Sulley	31 Mar 2024	How the MCA should include the principles of climate action will be discussed with the Citizen's Assembly in November/December 23 and will be reported on in January to the MCA Board.	29 Nov 2023	
Pat Beijer	Reference: 1105 Prefix: COR0009	Bus: Recovery Funding	Due to: Reduced/terminated recovery funding from central government and lower levels of patronage There is a risk that: The network suffers major cuts Resulting in: a spiral of decline	High (5:5=25)	Ongoing dialogue with DfT officials and ministers to shape the existing and future proposals.	High (5:4=20)	Agree use of £7.82M BSIP funding allocated to SYMCA for the 2024/25 financial year.	Tim Taylor	Tim Taylor	29 Mar 2024	Work ongoing.	30 Nov 2023	
					Recovery funding secured until 31 March 2025 with a further £7.82m confirmed for 2024/25 FY.		Agree scope of potential changes to Dearne Valley network with Stagecoach	Tim Taylor	Tim Taylor	29 Mar 2024	Work ongoing.	30 Nov 2023	
					Continue payment of concessions at pre-COVID rates until April 2023 on the DfT deflator								
					Adjustments to pre-COVID rates proportionate to network mileage to allow underspend to be retained and potentially used for future network protection.								
					Service change/consultation process in place with operators to ensure early notice of potential changes.								
					Maintenance of Protection of Priority Services from reserve and use of wider reserves across SYMCA to support short-term mitigations to June/July 2023								
					Monitor driver resources and recruitment to understand limitations on resource to deliver any uplift in service levels								

Medium/High												
Owner	Identifier	Title	Cause and Effects	Inherent Priority	Controls Detail	Residual Priority	Detail	Owner	Assignee	Actions Variable Target	Last Update Text	Last Update Date
Pat Beijer	Reference: 1164 Prefix: COR0015	Tram Services	Due to: A delay in concluding future operating model for tram services beyond the current operating concession and then completing transition There is a risk that: the MCA is unable to achieve the delivery of a seamless transition in tram operating model, with delays to building the project team, development of a resilient work plan with time allowance for mitigations and the execution of this delivery plan Resulting in: financial, capability and capacity pressures as well disruption to tram services	High (5:5=25)	Appointment of an Interim Programme Director (IPD)- Light Rail Transport Operation.	Medium/High (5:3=15)	Monitor progress on work programme with regular review of milestones	Will Dunnett	Will Dunnett	18 Dec 2023	As we move to the mobilisation phase of the programme this is now subject to a weekly review with the programme team, supported by weekly 1:1's with each programme team member. A peer review with the SYSL leadership team takes place fortnightly. Milestones have been identified as part of the programme plan and each has a dated target.	30 Oct 2023
					Light Rail Development Programme established and key milestones identified							
					Governance arrangements established to oversee the programme of work (Concession end, Financial Sustainability, Asset Renewal and Future Vision)							
					Reporting and engagement plan established encompassing Management Board, SY Chief Execs, TEB and MCA Tram Project Reserve created to support readiness activity.							
Pat Beijer	Reference: 1195 Prefix: COR0017	Transport - delivery of the CRSTS Programme	Due to: The award of the CRSTS programme funding will provide related regional capital funds for five years from April 2022 and will be closely monitored by DfT There is a risk that: the capacity and capability in the region is insufficient to deliver extensive projects in the programme within timescale Resulting in: the potential damage to the reputation of the MCA and Mayor.	High (5:4=20)	Actions to implement the recommendations of the recent independent BPR implemented through the refreshed Assurance Framework	Medium/High (5:3=15)	Executive Director to engage with problem areas to help unblock/troubleshoot project/programme delivery issues	Pat Beijer	Pat Beijer	31 Mar 2025	Project team is in the process of improving its engagement with project financial (inc procurement) and risk management, programme management and risk reporting.	30 Nov 2023
Gareth Sutton	Reference: 1224 Prefix: COR0021	Heightened Cyber Security Threat	Due to: an increase in the number of cyber-attacks, due to the increasing reliance on digital There is a risk that: there is a successful cyber attack Resulting in: operational disruption, data corruption, systems outage and loss of finances.	High (5:5=25)	Anti-virus software, updated hourly, installed across all infrastructure.	Medium/High (5:3=15)	Enhance employee awareness and reporting of current threat types, volume and attacks prohibited.	Nick Brailsford	Gareth Sutton	31 Dec 2023	Currently identifying suitable partners to conduct the IT health check and subsequent Cyber Essentials Plus reaccreditation which is required before April 24.	30 Nov 2023
					Mimecast, Advanced Threat Protection, installed and always evolving to address current threats, covers email filtering to identify and block impersonators and filtering attachments for abnormalities for the IT team to check prior to release.		Nick Brailsford			Gareth Sutton	31 Mar 2024	Key senior management roles now filled within DTS team. Ongoing activity to recruit to vacant posts. Revised variable target date.
					Web-filtering to restrict and prohibit unauthorised access and data loss.		Reconsider the structure of the IT Team, to include administrator resource to support the generation of the reports for Management Board and wider executive management to raise awareness.					
					An IT Policy exists and is updated as necessary, last updated in 2021.							
					Password policy exists implementing good practice to build strong access controls including multi-factor authentication. Activity monitoring takes place including how people access the system.							
					Phishing attacks, annual testing takes place.							
					Software patching takes place to ensure software updates are carried out.							
Annual outsourced penetration testing, which is part of the Cyber Essentials requirements. Physical security enhancements including restricting a non-employee plugging a laptop into MCA network.												
Pat Beijer	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 (4:5=20)	EP scheme implemented and established based on available funding (ie no BSIP allocation)	Medium/High (3:4=12)	Continue to lobby DfT officials/ministers on bus services challenges in SY.	Pat Beijer	Nick Brown	31 Dec 2023	Mayoral fair funding campaign is underway. SYMCA has received notification of £7.82m of Network North funding for 24/25.	21 Nov 2023
					Stakeholder comms setting expectations around deliverable improvements shared and approved (MCA/TEB/STOB)		Nick Brown			Nick Brown	31 Mar 2024	Refresh of EP scheme deferred until March 24
					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							
Martin Swales	Reference: 2300 Prefix: COR0022	Doncaster Sheffield Airport Closure.	Due to: the cessation of aviation operations There is a risk that: the area will be subject to direct and indirect job losses Resulting in: a drag on the regional economy and the area becoming less desirable for inward investment.	High (5:5=25)	The MCA continues to engage with all stakeholders to explore opportunities to maintain aviation.	Medium/High (4:3=12)	Continuing to work with City of Doncaster Council on their case for CPO.	Martin Swales	Martin Swales	31 Mar 2025	Continuing to work with City of Doncaster Councils to explore options for re-opening the airport.	30 Nov 2023
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 delivered successfully and there is a displacement of focus from core activity 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)	Understand the resources for activity associated with the Office of the Police and Crime Commissioner.	Gareth Sutton	Gareth Sutton	31 Dec 2023	The MCA Board has agreed to commit resource to the activity associated with the Office of the Police and Crime Commissioner. Programme budget in process of being developed.	28 Nov 2023
Tom Bousfield	Reference: 2590 Prefix: COR0024	Investment Zone Readiness	Due to: the timescales and volume of work required to be ready for delivery of IZ from April 2024 There is a risk that: SYMCA is unable to effectively target its interventions Resulting in: in a reduced impact, reputational damage and/or impact on future devolution conversations	High (4:4=16)	Dedicated resource from across organisation working on IZ preparation	Medium/High (4:3=12)	Identify future capacity needs within SYMCA and initiate recruitment	Tom Bousfield	Joseph Quinn	31 Dec 2023	An assessment of resource needs has now been undertaken and job specifications are under development ahead of recruitment in the new calendar year.	29 Nov 2023
					Cross Local Authority and University Working Group to review evidence and inform planning for activity							
					Active engagement with business community							

Medium												
Owner	Identifier	Title	Cause and Effects	Inherent Priority	Controls Detail	Residual Priority	Detail	Owner	Assignee	Actions Variable Target	Last Update Text	Last Update Date
Clare Monaghan	Reference: 1015 Prefix: COR0002	Policy change causes disruption	Due to: Changes to the political and policy operating environment e.g. Devolution White paper There is a risk that: regional priorities shift Resulting in : disruption to the prospects of achieving our mission	Medium/High (5:3=15)	Engaging with Government officials to shape proposed policy priorities and shifts.	Medium (5:2=10)	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 Dec 2023	Internal Devolution Group meeting regularly.	30 Nov 2023
					Ongoing horizon scanning- to monitor the situation and respond quickly.							
					Leadership of the M10 network and knowledge sharing with other CAs.							



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 and procedures in place and audited by independent H&S advisor. Training provided to all staff. Appropriate maintenance contracts in place to undertake fabric and Mechanical & Electrical repairs and inspections as required. Monitoring of incidents and near misses undertaken, quarterly reports presented to Management Board and the ASRC. Standard contracts of employment for all SYMCA people incorporate a section on H & S responsibilities	Medium (5.2=10)						
Clare Monaghan	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.	Clare Monaghan	Jayne Hampshire	31 Mar 2024	BIAs completed by deadline. Next steps include analysis of information and formulation of overarching BCP and identifying appropriate resource to take this forward. Revised variable deadline.	30 Nov 2023
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	Mike Thomas	09 Jan 2024	The MCA has just completed the 4th round of engagement with the Directors of Finance Group. These sessions have helped shaped the MCA's forward planning for its medium term financial strategy. MCA officers have time planned with each LA leader and CEX in December to finalise arrangements for the transport levy for 24/25.	28 Nov 2023
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	31 Dec 2023	ongoing regular contract management of providers, introduction of quarterly review points to review and adjust contracts based on performance, join Development and Contracts and Performance approach. First Performance review meetings to be held prior to calendar year end	08 Nov 2023
Gareth Sutton	Reference: 1134 Prefix: COR0012	Financial Health	Due to: a lack of quantum, breadth, and flexibility of funding to deliver on all activities There is a risk that: there is a unsustainable call on reserves Resulting in: structural funding issues being exacerbated by the inflationary environment and disruption to commercial income streams	Medium/High (5.3=15)	The MCA Group undertakes annual integrated business and budget planning to ensure resource is effectively aligned to priorities The MCA Group undertakes cyclical budget monitoring to identify financial performance allowing for the reallocation of resource mid-year The MCA has undertaken a significant reserve refresh re-deploying resource to known risks and holding a prudent amount of resource to mitigate financial shock The MCA reports frequently to the Board and ensures partners remain apprised on financial matters through the Directors of Finance Group and Member budget engagement sessions The MCA Group has developed a new medium term financial strategy forecasting the requirements for greater local financial contributions from partners	Medium (4.2=8)	Key medium-term risk around the future exposure to tram performance is being considered through the tram workstream	Gareth Sutton	Mike Thomas	09 Jan 2024	Tram business plan has been prepared and is being considered by officers ahead of socialisation with elected members.	16 Oct 2023
Gareth Sutton	Reference: 1113 Prefix: COR0010	Failure to agree Investment Strategy	Due to: Failure to agree an Investment Strategy There is a risk that: funding is used inefficiently and ineffectively Resulting in: an inability to restructure the South Yorkshire economy.	Medium (3.3=9)	The outcomes of the BPR workstream and steering group are beginning embedded into the overall Strategy Board has approved the development of 4 individual local authority place plans and 1 region wide transformational plan. Revenue resource has been released to support this development. Agree borrowing cap with HMT on an annual basis MCA Board have agreed a phased approach to the release of Gainshare funding ahead of the development of the place and transformational plans	Medium (3.2=6)	Work will continue to develop Place Based Investment Plans and Transformational Plans Work will continue on the operationalisation of the Plans, including borrowing principles Work is underway to make new connections with institutional investors.	Gareth Sutton	Mike Thomas	31 Mar 2024	Barnsley, Doncaster and Rotherham have completed their Place Plans. The MCA is supporting Sheffield with its development of their plan and the MCA continues to develop principles for a prospectus for growth.	30 Nov 2023
								Gareth Sutton	Mike Thomas	31 Mar 2025	Work continues. Variable deadline date amended to reflect long term nature of action	30 Nov 2023
								Gareth Sutton	Gareth Sutton	31 Dec 2023	MoU with Aviva in place and ongoing work to identify further opportunities.	30 Nov 2023
Steve Davenport	Reference: 1179 Prefix: COR0016	Supply Chain Failure	Due to: a contracted supplier entering into financial distress and/or an insolvency event, the market being unable to provide services, or the market being unable to deliver services at contracted prices There is a risk that: the supply chain fails or is disrupted Resulting in: disruption to provision of service, leads to delays, cost pressures, and reputational damage.	Medium (3.3=9)	MCA seeks to ensure a broad supplier basis through open market competition The MCA has access to a number of broad framework agreements to call off, in a timely fashion The MCA conducts pre-contract financial health due-diligence on major contracts including seeking details of associated sub-contracting and proportion of delivery / contract. The MCA holds a prudent level of reserves to mitigate financial shock. Standard Supplier Questionnaire completed by potential suppliers as part of the procurement process to ensure consistency of procurement and information provided by bidders. Part of it is backward facing seeking assurance over previous experience and therefore quality, competency and financial health. Rules and standards are set through the Contract Procedure Rules and Financial Regs Evidence sought to confirm responses e.g. payment terms sought and Insurance levels When bids received, further analysis is undertaken on the accounts and specifically around liquidity and the proportion of turnover which is MCA generated. The applicant is risk assessed and decisions made on that basis. Appropriate security to cover risk is considered for example a charge may be applied on land or property as security for a loan.	Medium (3.2=6)	Internal Audit have tested supplier resilience and offered a number of recommendations that will be implemented New contract function to ensure the financial health of key suppliers is tested in contract as well as pre contract to provide early warning. Business Continuity Plans to be re-tested for loss of key suppliers.	Steve Davenport	Steve Davenport	31 Mar 2024	Following an internal restructure the MCA has moved away from a centralised contract management function to a client led function. Key supplier resilience will, in line with recommendations be on a risk based approach. Guidance for clients to be drafted. Target date revised to year end.	30 Nov 2023
								Steve Davenport	Steve Davenport	31 Mar 2024	Following re-structure of teams a client based approach has been agreed which includes periodic testing of key suppliers. Revised target date to ensure periodic review of arrangements until embedded.	30 Nov 2023
								Clare Monaghan	Jayne Hampshire	31 Mar 2024	BIAs completed by all teams. Next steps include an analysis of information and development of BCP which will identify key suppliers and contingency plans. Variable target date align to new deadline for BCPs.	30 Nov 2023
Low												
Owner	Identifier	Title	Cause and Effects	Inherent Priority	Controls Detail	Residual Priority	Detail	Owner	Assignee	Actions Variable Target	Last Update Text	Last Update Date
Gareth Sutton	Reference: 1146 Prefix: COR0013	Borrowing leads to financial risk	Due to: new borrowing vires There is a risk that: the MCA is exposed to new financial risk around exposure to interest rates and debt management and also a new compliance regime Resulting in: HM Treasury consents for annual borrowing caps being required	Medium (3.2=6)	The MCA sets an Annual Treasury Management Strategy that is scrutinised by the Audit Committee and approved by Board. This governs its approach to borrowing and debt The MCA ensures it has access to professional support via a contracted arrangement with SCC and Link Treasury Advisors, and internally through officers with appropriate qualifications The MCA reports on its Treasury performance to Audit Committee and Board through a forward, backward and mid-year review The MCA has developed good working relationships with HM Treasury officers and negotiated an initial borrowing cap. The SY Directors of Finance Group has developed a number of principles around borrowing for the Investment Strategy activity that will need to be ratified by the Board. Treasury management performance is now reported to the MCA Board on a quarterly basis as part of the budget monitoring report, thus ensuring that the MCA complies with the revised Prudential Code	Low (2.2=4)						
Martin Swales	Reference: 1209 Prefix: COR0019	Post Integration Embedding of Organisational Design	Due to: staff understanding of roles and responsibilities in the new organisation structure There is a risk that: there remains uncertainty about the structure, processes and respective roles of staff Resulting in: a loss of momentum in delivering organisational goals.	Medium (3.3=9)	structure developed, agreed and communicated. operating model to shape internal responsibilities and ways of working agreed and communicated Corporate Plan being updated and revised to provide clarity of outcomes, priorities and accountabilities Annual business planning cycle will consider any resourcing gaps or risk areas Management development has commenced with two sessions having taken place to May 2022.	Low (2.2=4)	Address identified capacity needs.	Martin Swales	Rebecca Bishop	31 Jan 2024	Whilst some of this is being addressed as we go along, there will be a bigger piece of work to ensure we have the right resources, effectively working together across teams. The increasing workload is a potential risk we will need to revisit in the New Year, as we need to start being more proactive around resource planning as opposed to our current organisational reactiveness.	30 Nov 2023
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 (3.2=6)	Introduction of a HR Business Partnering approach to work closely with teams to enable early identification of emerging risks or issues in capacity.	Low (3.1=3)	Pay and grading review to be undertaken.	Gareth Sutton	Rebecca Bishop	31 Dec 2023	Target date remains unchanged; realignment work is taking longer than anticipated as there are restructures taking place at the same time. Intention is still to go live with CINTRA (HR IT system) at the same time	24 Nov 2023



Medium/High												
Owner	Identifier	Title	Cause and Effects	Inherent Priority	Controls Detail	Residual Priority	Detail	Owner	Assignee	Actions Variable Target	Last Update Text	Last Update Date
Mike Thomas	Reference: 1302 Prefix: OP0020	Exposure to the commercial performance of the transport network	Due to: the systemic loss of commercial viability in the South Yorkshire transport network as a result of patronage reductions There is a risk that: the sector will require greater public subsidy in a period of financial fragility Resulting in: budgetary pressures on the MCA. Re-franchising of the Supertram mass-transit light-rail system in 2024 exposes the Group to commercial risk that it is has previously been shielded from.	High (5.5=25)	Following ongoing engagement with the Department for Transport, Government support for both bus and tram was initially guaranteed to the end of the financial year 2022/23. Government has subsequently extended support for bus through a new grant called BSIP which will last through to the end of 2024/25.	Medium/High (3.4=12)	Explore options for capitalising tram operating losses	Mike Thomas	Andy Sidney	30 Nov 2023	The proposal was presented verbally to DfT officials in September 2023, and followed up with a written proposal in October 2023. The MCA awaits a formal response from DfT, although officials acknowledged on 1 November 2023 that they are conferring internally.	17 Nov 2023
					The Group's Medium Term Financial Strategy is predicated on the use of reserves to mitigate key financial risks. Members have approved the preferred operating model for the tram system at the end of the current concession. An efficient cost model, which has been developed as part of the Mass Transit OBC work, is being refined further, and this model will help to mitigate operational risk as well as shield the MCA from financial shock. The MCA Board has agreed to invest additional resources, including reserves, gainshare and surplus investment income, to support public transport. Recent measures include the early introduction of £2 fare-capping ahead of the central government initiative, and also the tendering of previously commercial non-statutory school services for the next two academic years. The MCA Board approved the MTFS in January 2023 which sets aside c.£5-7m of resources per annum to the end of the decade to provide an operating subsidy to Supertram when it comes back into public ownership from March 2024.		Continue to lobby government for continuation of funding for bus and tram.	Gareth Sutton	Gareth Sutton	31 Mar 2024	In late October Government announced that £7.8m of funding would be made available to the MCA in FY 2024/25 for bus services. Government also suggested that this would be the first in a series of annual allocations.	31 Oct 2023
Nick Brailsford	Reference: 1370 Prefix: OP0027	Data Loss/Security	Due to: Not using corporate agreed software or standards. There is a risk that: Unsupported legacy software / ways of working continue eg sharing files via email and printing Resulting in: Data loss, security breaches, increased storage and resource costs and ineffective and inefficient operations.	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	01 Jan 2024	Completion rates for mandatory training are monitored by Information Governance Working Group. Training and awareness is a workstream of the project to address the recommendations of the Cyber Resilience audit.	06 Nov 2023
					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	Nick Brailsford	Nick Brailsford	30 Jun 2024	Digital strategy is being developed and will encompass the delivery of application of additional controls (through Sharepoint) Revised target date to end of Q1 24/25.	06 Nov 2023
					Mimecast installed for sharing large files, email filtering							
Nick Brailsford	Reference: 1788 Prefix: OP0109	IT System Failure	Due to: Power outage, virus/malware or DoS attack, fire, flood etc There is a risk that: SYMCA is unable to operate, access systems and data to generate information including corporate performance Resulting in: reduced effectiveness and lack of decision making.	High (5.4=20)	Physical and access controls in place.	Medium/High (4.3=12)	Agree internal audit recommendations and develop plan for implementation.	Nick Brailsford	Claire James	21 Dec 2023	Identified dedicated resource to co-ordinate activity Draft PID and Project Plan developed, gap analysis underway Established the existing Information Governance Working Group as the 'Project Board'. Update provided to ELB 24/10/23. Revised target date to ensure periodic update on progress to implement.	24 Oct 2023
					Cyber Essentials Plus Accreditation has been obtained which shows that the organisation has controls in place.		Develop an Incident Management Strategy.	Nick Brailsford	Claire James	31 Dec 2023	Development of Incident management plan forms part of ISMS development in response to Internal Audit recommendations on Cyber Resilience.	06 Nov 2023
					Daily back ups prepared and maintained							
Gareth Sutton	Reference: 2023 Prefix: OP0159	Net Zero - increasing cost and devalued investments	Due to: The impacts of a changing climate and the need to move to a low carbon economy There is a risk that: the MCA will be exposed to increased lifecycle costs, additional mitigation costs and decreased value of investments. Resulting in: additional pressures on budgets and reduced financial performance of the MCA	High (4.4=16)	Data processes and procedures exist to facilitate performance reporting.	Medium/High (3.4=12)	commission a climate impact assessment on the MCAs facilities.	Richard Sulley	Richard Sulley	01 Aug 2024	no budget available for 23/24. Will be included in the 24/25 business plan	29 Nov 2023
					Business continuity arrangements are in place.		Produce a costed proposal for the MCAs facilities to move to a low/zero carbon operation.	Philip Burgin	Michelle Stansfield	31 Jan 2024	This work will follow receipt of the lifecycle plan following the asset and condition survey which is currently out to tender. Expected to conclude in December.	29 Nov 2023
Gareth Sutton	Reference: 2623 Prefix: OP0251	Investment into Businesses	Due to: The challenging inflationary and operating environment for new and growing businesses. There is a risk that: Investment objectives are not met or are diminished. Resulting in: Failure of businesses and/or missing targets set at the point of investment.	High (4.4=16)	PMO function established to work with partners to support the submission of quality business cases	Medium/High (3.4=12)	Due to changes in the current environment a thorough review of due diligence process to be undertaken	Sue Sykes	Sue Sykes	31 Jan 2024		
					Quarterly monitoring of grant funding to ensure timely delivery		Review of monitoring requirements for business projects	Sue Sykes	Charli Taylor	31 Jan 2024		
					Performance reporting to MCA Board and Portfolio holders		Review of Assurance requirements to be undertaken	Lyndsey Whitaker	Lyndsey Whitaker	31 Dec 2023	Assurance workshops have been scheduled with staff and local authority officers on various dates in November and December to obtain feedback on assurance process and identify any issues and corrective action required prior to revisions to Assurance Framework. Business Case templates have all been amended based on previous feedback and a set of Guidance Notes have been produced to assist funding applicants in completing each template.	06 Nov 2023
					Robust due diligence undertaken prior to recommendation to progress business case							
					Established Change control process in place							
					MCA board papers includes reference to risks and issues							

Medium/High												
Owner	Identifier	Title	Cause and Effects	Inherent Priority	Controls Detail	Residual Priority	Detail	Owner	Assignee	Actions Variable Target	Last Update Text	Last Update Date
Clare Monaghan	Reference: 1992 Prefix: OP0153	Net Zero - MCA Operation	Due to: Physical changes to the environment which may impact the organisation including: • Acute – extreme weather events, which may cause damage to buildings. • Chronic – slow changes such as sea level rise, changes to ambient temperatures or levels of rainfall. There is a risk that: These events lead to interrupted service delivery Resulting in: Delays and disruption to the work of the MCA.	High (4.4=16)	Existing business continuity plans are in place and reviewed for relevance regularly.	Medium/High (3.4=12)	commission a climate impact assessment on the MCAs facilities.	Richard Sulley	Richard Sulley	01 Aug 2024	no budget available for 23/24. Will be included in the 24/25 business plan	29 Nov 2023
					A Business Continuity Working Group has been established and meets regularly to consider arrangements.							
					The pandemic response protocols can be adapted for use in adverse weather events.							

Medium/High												
Owner	Identifier	Title	Cause and Effects	Inherent Priority	Controls Detail	Residual Priority	Detail	Owner	Assignee	Actions Variable Target	Last Update Text	Last Update Date
Tom Bousfield	Reference: 2595 Prefix: OP0235	Strategic Alignment of AEB Activity	Due to: ongoing development of overarching Growth Plan, and associated Skills Strategy There is a risk that: current interventions are not aligned with thematic goals or future localised needs Resulting in: the impact of devolved AEB funding not being maximised	High (5.5=25)	Existing activity aligned to SEP Priorities	Medium/High (5.3=15)	Align future AEB procurement with Growth Plan and Skills Strategy	Tom Bousfield	Tom Bousfield	31 Mar 2024	Activity underway	30 Nov 2023
					Early communication of skills strategy development informing upcoming AEB activity		Embed Data and Intelligence function with Skills team to make informed decisions regarding targeting of funds	Tom Bousfield	Tom Bousfield	31 Mar 2024	Activity underway	30 Nov 2023
					Single team approach to development, contracting an performance management of Skills activity to enable more responsive and unified AEB delivery							
					Allocation of AEB Innovation Fund to respond to in year policy requirements or local demand							
					Additional specific resource brought in to support strategy development							



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)	Due to: declining quality and provision of bus services plus societal change There is a risk that: patronage continues to decline Resulting in: increased support costs and subsidy requirements and potential further reduction of services and quality	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	Nick Brown	26 Jan 2024	Workshop with districts completed on 1 November. Outcome to be presented in paper to MCA in January. On target	06 Nov 2023
			Patronage data (actuals and forecast) reviewed on a quarterly basis, with action plans developed to reverse trend.									
					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 DfT 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 Beijer	Reference: 2007 Prefix: OP0156	Application of Regional Policies	Due to: Inconsistent application of regional policies There is a risk that: efficient bus operation is undermined and leads to continued usage of cars and patronage decline 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.	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	Pat Beijer	Pat Beijer	28 Feb 2026	Work to develop and apply pro bus policies is ongoing.	30 Nov 2023
			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.	Chloe Shepherd	Chloe Shepherd	28 Feb 2026	Work with Government and stakeholders is ongoing.	30 Nov 2023
			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	Chloe Shepherd	Chloe Shepherd	28 Feb 2026	Work with operators is ongoing	30 Nov 2023
Medium/High												
Owner	Identifier	Title	Cause and Effects	Inherent Priority	Controls Detail	Residual Priority	Detail	Owner	Assignee	Actions Variable Target	Last Update Text	Last Update Date
Tim Taylor	Reference: 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	A weekend closure is planned for 18/19th November which will allow all balance anchor weights to be replaced between Sheffield Station and Halfway (16 of 34). This will replace all but one category 1 risk location. Tensorex units for other sites are on order and expected to be delivered in the new year. Once firm delivery date is known, a programme will be established for the remaining sites.	17 Nov 2023
Pat Beijer	Reference: 1479 Prefix: OP0046	Inability to think strategically (523)	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 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 Resulting in: an impact on programme, time, other existing resource and quality of the delivery of the light rail development and bus franchising programmes	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. 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 2022-23	Medium/High (5.3=15)	Consider appropriate additional strategic resource support, identify individuals with the ability and willingness to pursue personal development opportunities that will over time support the requirements	Pat Beijer	Pat Beijer	31 Dec 2023	Review of capacity and capability and gap analysis undertaken to inform business planning.	30 Nov 2023
Pat Beijer	Reference: 1491 Prefix: OP0049	Organisational agility to respond to people resource needs (517)	Due to: Tight labour market conditions (candidate's market), relatively uncompetitive public sector salaries, stringent public sector processes for recruitment and procurement (including approvals) There is a risk that: Being unable to acquire required additional resources in time and to budget Resulting in: The hard deadlines and other critical success factors of major programmes not being achieved	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 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	Medium/High (5.3=15)	Identify capacity gaps and work with People Services to identify new ways of attracting candidates.	Pat Beijer	Pat Beijer	29 Feb 2024		
Pat Beijer	Reference: 1550 Prefix: OP0065	Inability to fund the costs of tram asset renewal (462)	Due to: not being able to identify suitable funding sources to renew the life-expired trams assets There is a risk that: tram infrastructure and vehicles cannot be life-extended or replaced and that ongoing asset management requirements will be unsupported Resulting in: deterioration in service and/or potential unplanned disruption to service	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 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	Medium/High (5.3=15)	Identification of repairs and maintenance requirements that are linked to the budget process. Submit bid to DfT 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 Identify alternative funding sources.	Pat Beijer	Will Dunnett	18 Dec 2023	The repairs and maintenance items are understood and have been documented. This will be developed into a handover document as well as form part of the SLA process and onward business plan for the business.	30 Oct 2023
								Pat Beijer	Pat Beijer	31 Dec 2023	MCA Board approval of OBC scheduled for Jan/Feb 24.	30 Nov 2023
								Pat Beijer	Peter Elliott	03 Apr 2025	Latest project completion date is now early 2025	21 Nov 2023
								Pat Beijer	Pat Beijer	29 Feb 2024		
Pat Beijer	Reference: 1563 Prefix: OP0068	Disruption due to concession handback (514)	Due to: weak contractual controls around co-operation and obligations at handback There is a risk that: the handback is disruptive Resulting in: cessation of the light rail system, liability for infrastructure and reputational damage	High (5.4=20)	Financial evaluation to understand financial impact taken place.	Medium/High (5.3=15)	Develop a Transition Agreement which provides appropriate terms and conditions, that sets out the approach to handback.	Will Dunnett	Will Dunnett	11 Dec 2023	HoTs were signed on 15th September for the TA.	13 Nov 2023
			Review of the current Concession Agreement has identified strength areas and points of weakness.		Engagement with SYSL to understand current scale of sub-contracting. Analysis of risk and impact of these contracts. Risk will not materialise until nearer the end of the concession- to commence as part of the delivery programme.		Will Dunnett	Will Dunnett	19 Dec 2023	A comprehensive contracts matrix is now being developed by the Procurement lead and this is informing all our correspondence and contact with all suppliers, including contractors. No new risks have been identified.	17 Oct 2023	
			Resource planning and need has been identified as part of the 2022/23 Business Plan.		Oversight strengthened through the fortnightly meeting with the CEO and wider MCA Management Board members.		Will Dunnett	Will Dunnett	15 Dec 2023	To support the overall delivery of the mobilisation plan a 'day one' plan is being developed to identify those smaller areas of mobilisation handover and de-mobilisation that need to be accounted for. This includes items such as ticket stock checks, fuel card checks, meter readings etc. This plan will then be subject to weekly review.	17 Nov 2023	
Tim Taylor	Reference: 1993 Prefix: OP0154	Third Party Reliance on Bus Operators to deliver Net Zero targets	Due to: The Region's bus services being largely operated on a commercial basis There is a risk that: leading to compromise and a limited ability to shape the network and fleet Resulting in: challenges in delivering our strategic priorities in relation to zero emissions buses by 2040	High (5.4=20)	Engagement with operators to deliver an Enhanced Partnership	Medium/High (5.3=15)	Undertake a Franchising Assessment to develop a longer term solution and gain additional control over the bus network	Pat Beijer	Pat Beijer	31 Mar 2024	Work ongoing on franchising assessment. Revised variable target date to year end.	30 Nov 2023
			Engagement with DfT to secure funding		Submit ZEBRA 2 Bid to DfT for further vehicle replacement across South Yorkshire.		Tim Taylor	Chloe Shepherd	15 Dec 2023			
			Decision taken to conduct a franchising assessment									
			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	Due to: Aging of the structures There is a risk that: structures inspections start to identify the need for significant remedial works Resulting in: significant spend and/or suspension of tram services whilst works are carried out.	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	29 Mar 2024	14 of 15 inspections completed on this year's programme, and reports received for 13 structures. ST61 Cricket Inn Road Bridge report is due imminently after inspection on 9th September 2023. Final structure (ST80 - Granville St/Shrewsbury Road Retaining Wall) is scheduled for 24/25 Feb 2024 subject to access from Network Rail (which can be cancelled at short notice).	24 Oct 2023
							AECOM to advise on next steps regarding the bearing at Commercial Street Bridge.	Tim Taylor	Patrick Gannon	30 Nov 2023	Report from Aecom received on 19th October 2023 regarding the defect around the fixed bearing of Commercial Street Bridge. The report advised that remedial action should be completed within 3-6 months alongside regular monitoring for deterioration. It also noted that it is likely a defect from construction; therefore under the Concession Agreement between SYMCA and South Yorkshire Supertram Limited (SYSL), it is SYMCA's responsibility to repair (rather than SYSL's). SYMCA has allocated funding for the repairs and have now selected a design and build (D&B) contractor via an existing framework agreement. The D&B contractor will be responsible for designing and implementing the solution within the timeframe identified. SYSL are monitoring the defect every three days and reporting back to SYMCA regularly on the status of the defect.	17 Nov 2023
							Ensure all structure inspections for 2023/2024 are completed	Patrick Gannon	Patrick Gannon	12 Jul 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
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	A weekend closure is planned for 18/19th November which will allow all balance anchor weights to be replaced between Sheffield Station and Halfway (16 of 34). This will replace all but one category 1 risk location. Tensorex units for other sites are on order and expected to be delivered in the new year. Once firm delivery date is known, a programme will be established for the remaining sites.	17 Nov 2023
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 delivered successfully and there is a displacement of focus from core activity 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)	Understand the resources for activity associated with the Office of the Police and Crime Commissioner.	Gareth Sutton	Gareth Sutton	31 Dec 2023	The MCA Board has agreed to commit resource to the activity associated with the Office of the Police and Crime Commissioner. Programme budget in process of being developed.	28 Nov 2023
Medium												
Owner	Identifier	Title	Cause and Effects	Inherent Priority	Controls Detail	Residual Priority	Detail	Owner	Assignee	Actions Variable Target	Last Update Text	Last Update Date
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 and procedures in place and audited by independent H&S advisor. Training provided to all staff. Appropriate maintenance contracts in place to undertake fabric and Mechanical & Electrical repairs and inspections as required. Monitoring of incidents and near misses undertaken, quarterly reports presented to Management Board and the ASRC. Standard contracts of employment for all SYMCA people incorporate a section on H & S responsibilities	Medium (5.2=10)						
Tim Taylor	Reference: 1387 Prefix: OP0029	Tramway highway interface (436)	Due to: improperly designed, constructed or maintained tram rails or other infrastructure integrated into the highway There is a risk that: road users may not be safe Resulting in: remedial work, accidents causing serious injury or fatalities and claims against the MCA	Medium/High (5.3=15)	Supertram is authorised by statute to be present in its position SYSL and SYPTE liaise with Sheffield CC as Highway Authority to monitor accident statistics to identify key hotspots and understand where additional controls could be implemented SYSL carry out regular track patrols to check on any defects. Maintenance responsibility falls to SYSL.	Medium (5.2=10)						
Tim Taylor	Reference: 1408 Prefix: OP0033	Failure of post tensioned structures on Supertram (528)	Due to: age and deterioration There is a risk that: post tensioned structures fail Resulting in: possible fatalities, injury or loss of service	Medium/High (5.3=15)	Ongoing principle inspections The structures were constructed in the mid 90's when there was more understanding regarding the risks of post tensioned structures and better controls on workmanship. Additionally the structures are not that old compared to other post tensioned structures within the UK	Medium (5.2=10)	Procure AECOM to carry out next phase of inspections.	Tim Taylor	Patrick Gannon	21 Mar 2024	Updates for the three structures: Parkway Viaduct - Initial non-destructive surveying is currently in progress. South Street Bridge - Non-destructive surveying completed Woodbourn Road - Initial structural analysis has been completed. Date for site work is in planning subject to railway possession being granted by Network Rail	17 Nov 2023
Tim Taylor	Reference: 1513 Prefix: OP0055	Road Traffic Collision (489)	Due to: trams operating as part of the regions public transport system There is a risk that: a collision between a tram and member of the public, a collision between a tram and a road vehicle at a crossing, a collision between a tram and a vehicle in the road section and a collision between a tram and a cyclist could occur Resulting in: minor, moderate or serious injury (who is liable here?)	High (5.4=20)	SYSL and SYPTE liaise with Sheffield CC as Highway Authority to review accident statistics to identify key hotspots and understand where additional controls could be implemented SYSL carry out driver training, accident investigation and ensure sufficiently competent staff.	Medium (5.2=10)						
Jeremy Kemp	Reference: 1516 Prefix: OP0056	Member of the public coming into contact with a moving vehicle on SYMCA property (483)	Due to: coming into contact with a moving vehicle on SYMCA property There is a risk that: a member of the public may be injured Resulting in: legal action	Medium/High (5.3=15)	A programme to install fixed speed ANPR at Barnsley Interchange has now been completed. Actively review compliance with the general conditions of use following up on any violations identified Additional metal barriers have been installed at Sheffield Interchange on one of the crossing points from the main concourse building to C platform to try encourage customers to stick to the designated crossing points. Audible warning message triggered by a sensor at the crossing of A platform from the concourse building (Sheffield Interchange only) Public Transport operators abide by SYMCA's general conditions of use designed to ensure the safe passage of the travelling public. Site Managers carry out speed checks on interchange vehicles using a speed radar gun, this radar gun is shared around sites on a four week rota. Any vehicle that is exceeding 13 mph the Customer Service Manager will send the operator a speeding violation notice which will give details of the offending vehicle allowing the operator to carry out appropriate action SYMCA has customer wayfarer signage in place at all sites to identify safe walking routes.	Medium (5.2=10)	the installation of ANPR is currently in progress for Rotherham interchange and Meadowhall in 2022/23. the installation of ANPR at Sheffield Interchange in 2024/2025	Jeremy Kemp	Philip Burgin	31 Mar 2024	This has now been changed from 2022/23 to 2023/24	09 May 2023
Jeremy Kemp	Reference: 1621 Prefix: OP0077	Inability to guarantee safe evacuation of interchanges in event of fire (530)	Due to: staffing levels falling below 3 for the service provided by the current Customer and Cleaning Service provider and a decrease in staff patrols There is a risk that: arson/anti social behaviour could increase and evacuation may not be effective Resulting in: Injury/possible loss of life and reputational damage to the MCA	Medium/High (5.3=15)	Fire Risk Assessment carried out annually and completion of actions monitored by Health & Safety Advisor PAT testing at recommended intervals Regular safety checks by Customer Service Managers A minimum of 3 staff (including SYMCA management as well as 3rd party management) are rota' d to ensure security patrols can be carried out at appropriate times and to ensure the safe evacuation of the public in the event of a fire	Medium (5.2=10)						
Tim Taylor	Reference: 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	31 Jan 2024	recently received a document(guidance to local authorities mitigating security vulnerabilities outside railway bus and coach stations) from WYP - which will require using this document to assess our current sites	14 Nov 2023
Tim Taylor	Reference: 1421 Prefix: OP0037	Tram infrastructure and tram vehicle failure (512)	Due to: Due to increased wear and age of assets There is a risk that: the tram infrastructure or vehicles will fail Resulting in: service disruptions, health and safety incidents and increased financial exposure.	High (4.4=16)	Annual asset review carried out with 20 assets chosen to check that assets are 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 (3.3=9)	Complete negotiations with SYSL with a Transition Agreement to address emerging commercial risks for a seamless transfer in March 2024. Progress with new project to replace XVPlus with a new Enterprise Asset Management System/ CMMS. Submission of the final Mass Transit renewals bid (OBC).	Pat Beijer	Will Dunnett	30 Nov 2023	Both parties have signed the agreement. There remains a clause in it that the TA can be re-opened so this item will remain a risk but at a lower rag rating.	29 Sep 2023
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.	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.	Dale Sparks	Jeremy Kemp	29 Mar 2024	Need to incorporate any permanent resourcing in to the 2024/25 budget setting process.	14 Nov 2023
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	Dale Sparks	31 Jan 2024	conduct desk top exercise for each major interchange, contact centre and service information.	16 Nov 2023
								Dale Sparks	Dale Sparks	21 Dec 2023	identity on-call rota requirements and discuss with people services and finance	16 Nov 2023



Owner	Identifier	Title	Cause and Effects	Inherent Priority	Controls Detail	Residual Priority	Detail	Owner	Assignee	Actions Variable Target	Last Update Text	Last Update Date
Tim Taylor	Reference: 1453 Prefix: OP0043	Disruption to Supertram operations as a result of extreme weather (538)	Due to: climate change and therefore the increase in extreme weather events There is a risk that: there will be increased disruption of the operation of the Supertram network Resulting in: poor public transport service, lower patronage, increased costs for maintenance and repair.	Medium/High (3:4=12)	System was built during the 1990's so the infrastructure is relatively new and climate change was an emerging issue.	Medium (2:4=8)	SCR Mass Transit Renewal to act on the advice from the infrastructure advisors on suitable mitigation and to design those in to any renewals package. Mass Transit Team continue to act on advice from advisors.	Will Dunnett	Peter Elliott	30 Nov 2023	1. Specification document created by Mott MacDonald's was not detailed enough to allow to move to the tender process. The specification did not cover all areas a modern EAMS can deliver and there was a risk that the product would not cover all of the mandatory and essential requirements to drive improvement and deliver the Asset Management Strategy. 2. The new IT infrastructure will not be in place until close to concession end which would not allow adequate time to install an off line version to permit the training of staff. In addition the laptop and desk tops will not become live for NewCo employees which would be utilised for connection to the EAMS. 3. Training requirements would require all staff is not feasible whilst still under Stagecoach employment as we need to consider the effects this would have on service delivery, de mobilisation of SYSL and mobilisation of NewCo. In addition to this we would be liable for staff release charges to Stagecoach for this training. The reason I have added Service Delivery to this is that the short timescale we would have would mean a large training course size requirement to ensure all critical staff were covered before Go Live. 4. The asset register within XV+ is not adequate to migrate to the new system and will require significant resource and time to develop as this will be critical to have correct to ensure it works to the specification. 5. When the Stagecoach datalink is removed there are more critical IT systems that need to be implemented as they will not be available and include HR, finance and payroll. This will require significant efforts from the IT resource to implement, test and make good for day 1 operations. 6. Concept/feasibility design to be completed by end November 2023.	25 Aug 2023
							Infrastructure advisor to undertake a comprehensive review of the network to look at climate change impacts.	Pat Beijer	Peter Elliott	02 Jan 2023		
Tim Taylor	Reference: 1587 Prefix: OP0071	Travel pass fraud challenge leads to assault (496)	Due to: unauthorised travel passes in circulation There is a risk that: challenge by operator staff i.e. conductors is met with aggression Resulting in: verbal and physical assault	Medium/High (5:3=15)	processes in place to manage replacement card process. SYSL carry out training to avoid conflict, accident investigation and ensure sufficiently competent staff and carry out risk assessments.	Medium (4:2=8)	To identify opportunities to improve safety through the SCR Mass Transit renewals project.	Peter Elliott	Peter Elliott	30 Nov 2023	Delay in OBC process, now due for completion in November 2023.	23 Feb 2023
							Tighten up procedures regarding the replacement of lost or damaged passes to avoid unauthorised passes entering circulation.	Suzanne Hutchinson	Suzanne Hutchinson	22 Mar 2024	IT automation of an auto-hot-listing process is still on the 'to do' list but no progress has yet been made due to resource constraints and wider organisational priorities. We have a manual checking process in development and have started to make progress in looking at people with multiple passes so as to identify potential fraudulent use.	25 Aug 2023
Tim Taylor	Reference: 1440 Prefix: OP0038	Injury whilst boarding or alighting a tram (495)	Due to: the tram platform/vehicle interface There is a risk that: passengers boarding and alighting may slip, trip or fall onto or off a vehicle Resulting in: injury	Medium (3:3=9)	Adhoc track patrols carried out by SYPTE and any defects raised with SYSL.	Medium (3:2=6)						
					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)	Due to: DfT reducing/withdraw the Rail Admin Grant of £1.183m There is a risk that: funding is insufficient to cover a number of station activities such as cleaning and maintenance Resulting in: a loss of income to the SYMCA, consequential budgetary pressures and adverse impact on delivery and safety.	Medium (3:3=9)	Rail admin grant has been secured for 2022-23 at same level of previous years. Standardised funding model for DfT to award this Annualised allocation of rail admin grant from DfT (Ongoing for multiple years) If the Rail grant was to be reduced or stopped we have a list of the service that would be affected and how these would impact rail users, stakeholders and staff and also how these could be addressed.	Medium (3:2=6)	Include in risk quantification of amount of grant at risk after discussion with SYMCA finance team	Rachel Sprigg	Rachel Sprigg	26 Jan 2024	Rail grant has been sent to SYMCA	24 May 2023
							No action required	Rachel Sprigg	Rachel Sprigg	01 Feb 2024		
Jeremy Kemp	Reference: 1468 Prefix: OP0045	Verbal threats, abuse or physical assault on customer facing employees (550)	Due to: increases in anti-social behaviour There is a risk that: SYMCA employees in customer-facing roles are subject to verbal threats, abuse or physical assault Resulting in: their injury or an impact on their long-term ability to effectively fulfil their role	Medium (3:3=9)	Body-worn video to de-escalate potential incidents 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	Medium (2:3=6)	To ensure all CSM's complete refresher training	Jeremy Kemp	Jeremy Kemp	31 Mar 2024	Awaiting HR who have been asked to provide the training - no response received as yet (Chased up again today 10.11.23)	10 Nov 2023
Michelle Stansfield	Reference: 1940 Prefix: OP0142	Compliance with Statute Laws and Regulations	Due to: Due to there been no centralised compliance and assets record system (such as a asset management database) There is a risk that: we may not be able to quickly and efficiently evidence compliance when challenged Resulting in: potential legal action and financial exposure causing reputational damage	High (4:4=16)	Current information is kept in various spreadsheets and other databases, so although in existence the way it is stored is complicated and not available to all in the organisation	Medium (2:3=6)	Procurement of new CAFM system to streamline reactive/preventative/remedial maintenance. Optimising Preventative and Planned maintenance, effective asset management, effective 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	30 Nov 2023	CAFM Tender to go to market in next 2 weeks	01 Nov 2023
							Procurement of SFG20 industry standard maintenance codes - these codes will allow us to ensure we understand the legal/regulatory requirements to maintain compliance throughout the SYMCA estate.	Michelle Stansfield	Michelle Stansfield	30 Nov 2023	Quotations received, budget/budget code allocated, Record of Officer Decision completed, PO's to be raised.	14 Nov 2023
Will Dunnett	Reference: 2569 Prefix: OP0234	Post Day One Safety Culture & Leadership Risk	Due to: Audits have revealed an opportunity to improve the overall safety culture, process and leadership within the operational delivery of the current business. The safety risk is potentially regulatory and legislative. There is a risk that: Regulatory authorities such as the ORR could potentially, if proven, remove the operating licence for the tram business; or put the business under additional audit, financial or regulatory measures. The risk for SYMCA is financial, reputational, organisational and, for the Mayor, political. Resulting in: From day one of NewCo the SYMCA will hold reputational and safety risk for the operational business. Being an arms length operation is not a mitigation as was proven in the Sandilands Judgement (27 July 2023).There is a risk that without preventative action and a robust safety plan SYMCA are not able to demonstrate delivery of a legislative duty of care to employees within NewCo. Mitigations must be developed to ensure regulatory and legal compliance.	Medium/High (5:3=15)	A safety audit has been conducted on the SYSL business with 14 core recommendations identified.	Medium (3:2=6)	A safety audit has been conducted by SYMCA on the SYSL business with 14 core recommendations. This is under fortnightly review between SYMCA and SYSL. The aim is to work together to mitigate risks and provide support from SYMCA where necessary. For concession end a number of actions have been undertaken to understand how aspects of safety management and leadership can be improved for NewCo between now and day one. The aim is to ensure the business is legally and regulatory compliant for day one and identify areas of improvement that may be required from day one. This work includes: -Review of current operational procedures underway - including competency management, contract management, people management and engagement, environmental legislation, specific regulatory requirements (eg heavy rail regulations RAS 2750), incident reporting and quality management system. -Plan for training of staff in more robust working practices, embed safety culture and potentially develop a new safety management system during the mobilisation period jointly with SYSL -Operational process reviews are underway to help identify opportunities to increase operational resilience and embed a higher level of safety culture. -Ensure risk management is identified and mitigated for in comms/ public affairs. A safety project group has been developed from July 2024 to drive the outputs of the above into a safety improvement plan for the SYSL business working with the incumbent head of safety and the MD.	Will Dunnett	Will Dunnett	18 Dec 2023	A Business Plan first draft has been developed and shared with the SYSL MD which seeks to mitigate and develop controls across the areas of safety risk identified in the audit. Working with SYMCA legal this document will form part of the NewCo SLA and operating agreement.	17 Nov 2023
Michelle Stansfield	Reference: 2726 Prefix: OP0272	Contractor Management	Due to: Lack of formal process of performance review, warning / termination systems. There is a risk that: Contractors will not provide services to the standard required, including H&S. Resulting in: Potential reputational damage, claims and less than adequate work completed, if it is completed.	Medium/High (3:4=12)	Development, recording and use of formal processes, together with outcomes. Use of CAFM system to monitor performance against SLA/KPI targets. Use of CAFM to record/save evidence of work completed and status of job site/work completed both pre and post.	Medium (3:2=6)						



Owner	Identifier	Title	Cause and Effects	Inherent Priority	Controls Detail	Residual Priority	Detail	Owner	Assignee	Actions Variable Target	Last Update Text	Last Update Date
Jayne Hampshire	Reference: 2742 Prefix: OP0276	Workplace Standards	Due to: the absence of an asset management strategy There is a risk that: our Head Office and Interchange offices fall into disrepair Resulting in: standards of workplace compliance not being met	Medium/High (3:4=12)		Medium (3:2=6)	Asset Management Strategy to be agreed which will inform preventative maintains budgeting	Jayne Hampshire	Jayne Hampshire	31 Mar 2024		
Tim Taylor	Reference: 1419 Prefix: OP0036	Serious tram accident (akin to Sandilands) (472)	Due to: inadequate operational and/or maintenance practices, vandalism or object left in the swept path There is a risk that: a tram will overturn Resulting in: in injuries or fatalities	Medium (5:2=10)	Liaison with the Police to investigate high vandalism areas. SYSL carry out driver training, accident investigation and ensure sufficiently competent staff and carry out risk assessments. SYSL carry out regular track patrols and maintenance activities. System signage reviewed and drop down speeds introduced at high risk areas. Vigilance device now implemented on the Siemens fleet Vigilance device on the Citylink vehicles. Oversight from SYMCA Tram Team	Medium (5:1=5)	Implementation of the recommendations and processes adopted by the Light Rail Safety and Standards Board where applicable. Implementation of Rec3 on whole fleet as a speed control device.	Tim Taylor	Patrick Gannon	03 May 2024	First 2-monthly review held with ORR, satisfied with progress being made.	23 Feb 2023
								Tim Taylor	Peter Elliott	06 Sep 2024	Contract signed with Metro Tenerife for the design and implementation of the overspeed device. Work is progressing on the system design	17 Nov 2023