

# ASRC Risk Dashboard

September 2024

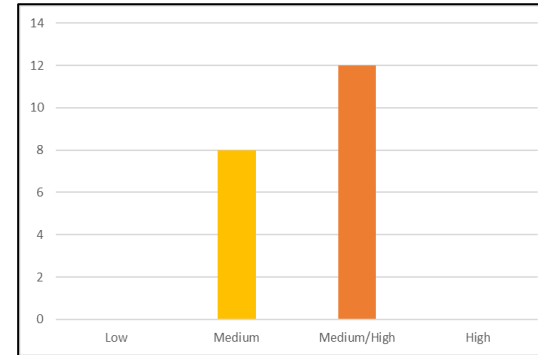
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## Appendix A

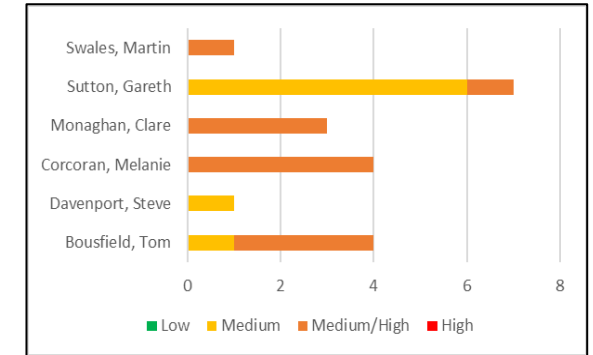


Corporate Risks are defined as being cross cutting, on-going or longer-term and have an impact on SYMCA and its strategic objectives. These risks are owned and updated by Executive Directors as part of their role within the Executive Leadership Team and reported into the Executive Leadership Board and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

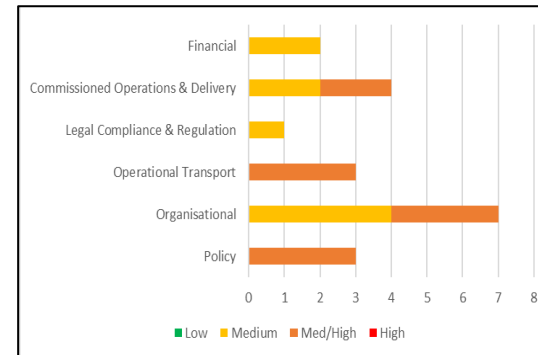
New Risks		Score
Housing and Strategic Planning Readiness		12
Closed Risks		Score
None		0
Risks decreasing in residual score	Score (was)	Score (now)
COR0007: Net Zero, Sustainability/ Climate Change	20	15
Risks increasing in residual score	Score (was)	Score (now)
COR0014: The BSIP and EP Scheme Delivery	9	12
Risks de-escalated to directorate Level		Score
N/A		0



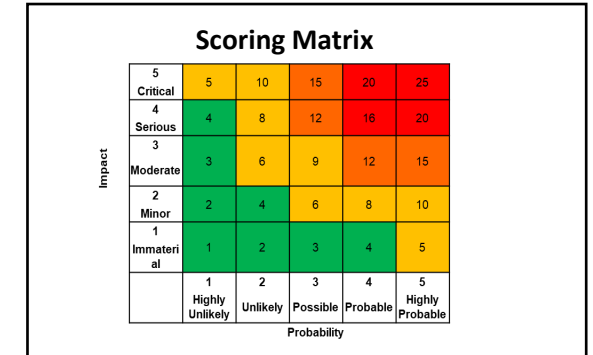
Corporate Risks by Residual Risk Score



Corporate Risks by Executive Level Ownership



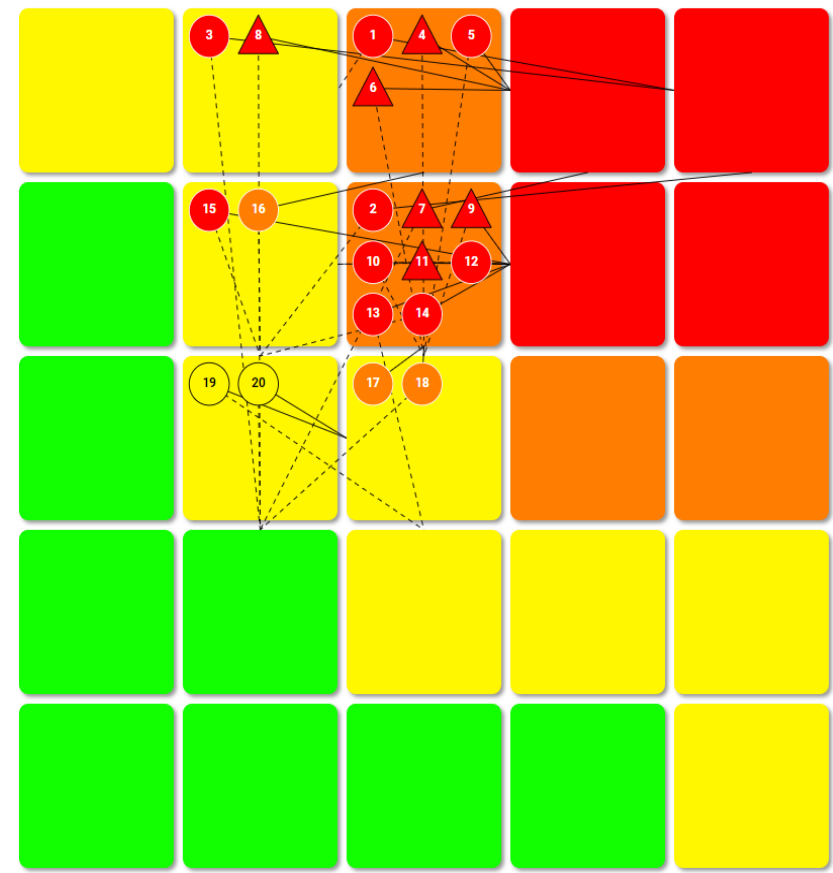
Corporate Risks by Strategic Group



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

Matrix Id	Reference	Title	Inherent	Residual	Target
1	COR0007	Net Zero, Sustainability/ Climate Change	High	Medium/High	Medium
2	COR0022	Doncaster Sheffield Airport Closure	High	Medium/High	Medium
3	COR0021	Cyber Security Threat	High	Medium	Low
4	COR0027	Inability to fund the costs of tram asset renewal (462)	High	Medium/High	Medium
5	COR0002	Policy change causes disruption and increased demand on MCA to deliver	High	Medium/High	Medium
6	COR0017	Ability to deliver CRSTS Programme	High	Medium/High	Medium
7	COR0028	Tram infrastructure and tram vehicle failure (512)	High	Medium/High	Low
8	COR0018	Health and Safety- Major Accident or Injury	High	Medium	Low
9	COR0014	The BSIP and EP Scheme Delivery	High	Medium/High	Medium
10	COR0023	Successful Management of Concurrent Major Change Programmes	High	Medium/High	Medium
11	COR0024	Investment Zone Readiness	High	Medium/High	Medium
12	COR0032	Housing and Strategic Planning Readiness	High	Medium/High	Medium
13	COR0030	Corporate Performance Management	High	Medium/High	Medium
14	COR0031	Insight Capacity and Capability	High	Medium/High	Medium
15	COR0001	Adult Education Budget Performance	High	Medium	Medium
16	COR0012	Financial Health	Medium/High	Medium	Medium
17	COR0025	Constituent Authorities Experience Financial Pressures	Medium/High	Medium	Medium
18	COR0026	Business Continuity Planning	Medium/High	Medium	Low
19	COR0016	Supply Chain Failure	Medium	Medium	Medium
20	COR0020	Organisational Capacity & Skills (for bau activity)	Medium	Medium	Low

5 - Major  
4 - Serious  
3 - Moderate  
2 - Minor  
1 - Immaterial  
Impact



Likelihood 1 - Remote 2 - Unlikely 3 - Possible 4 - Probable 5 - Highly Probable

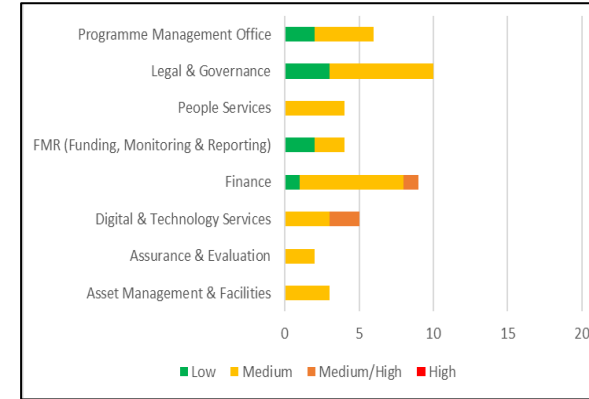


More detail, including controls and mitigating actions, are included in the Corporate Risk Register at page 11.

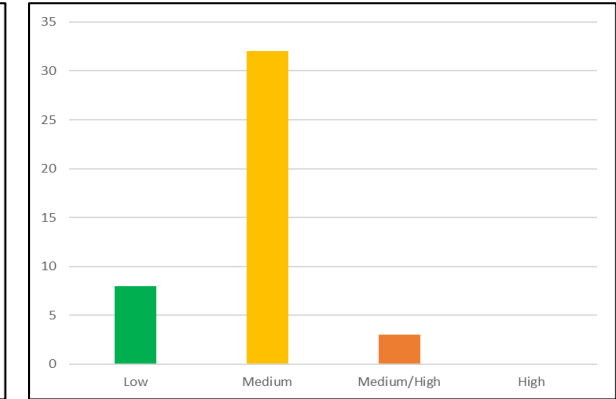
Directorate risks are defined as risks specific to SYMCA teams and can be reflective of objectives, business plans, processes and operating environments.

## Resources & Investment Directorate

New Medium/High and High Risks		Score
None		0
Closed Medium/High and High Risks		Score
None		0
Medium/High and High Risks Decreasing in Residual Score	Score (was)	Score (now)
None	0	0
Risks Increasing in Residual Score to Medium/High and High	Score (was)	Score (now)
None	0	0
Risks Escalated to Corporate Level		Score
None		0



Risks by Team and by Residual Risk Score



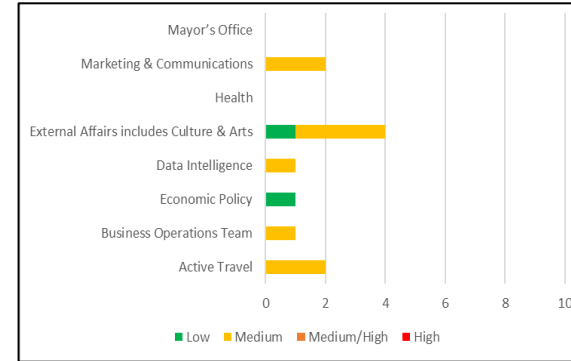
Risks by Residual Risk Score

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

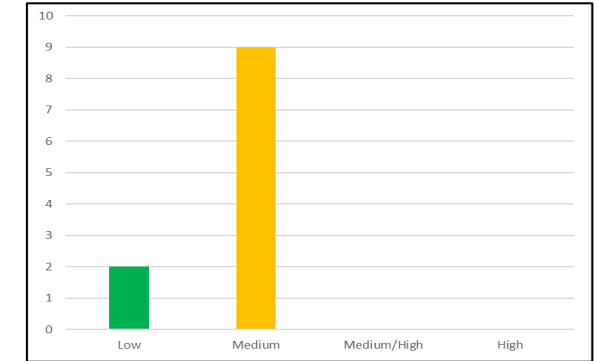
Directorate risks are defined as risks specific to SYMCA teams and can be reflective of objectives, business plans, processes and operating environments.

## Policy & Strategic Development Directorate

New Medium/High and High Risks		Score	
None		0	
Closed Medium/High and High Risks		Score	
OP0285: Comms and Marketing capacity constraints		15	
OP0211: Shared Prosperity Fund Stream		8	
Medium/High and High Risks Decreasing in Residual Score		Score (was)	Score (now)
None		0	0
Risks Increasing in Residual Score to Medium/High and High		Score (was)	Score (now)
None		0	0
Risks Escalated to Corporate Level		Score	
None		0	



Risks by Team and by Residual Risk Score



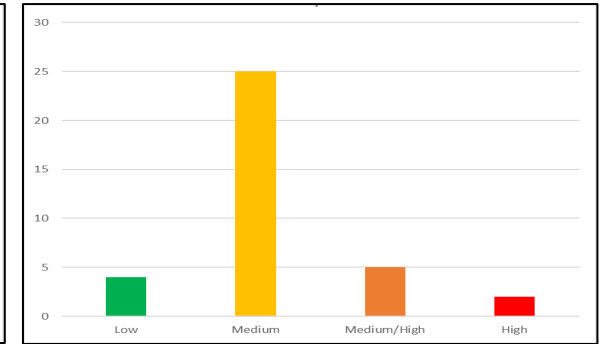
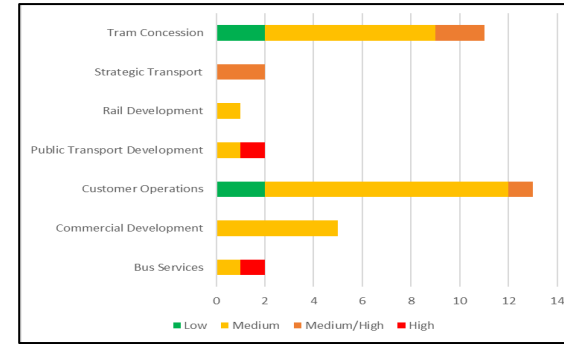
Risks by Residual Risk Score

Medium/High and High Risks Exceeding their 'strategic group' Appetite		Score
None		0
Medium/High and High Risks Within their 'strategic group' Appetite		Score
None		0

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	
None		0	
Closed Medium/High and High Risks		Score	
OP0046: Inability to Think Strategically		15	
OP0049: Organisational Agility to Respond to Resource Needs		15	
Medium/High and High Risks Decreasing in Residual Score		Score (was)	Score (now)
OP0156: Application of Regional Policies		16	12
Risks Increasing in Residual Score to Medium/High and High		Score (was)	Score (now)
None		0	0
Risks Escalated to Corporate Level		Score	
None		0	



Risks by Team and by Residual Risk Score

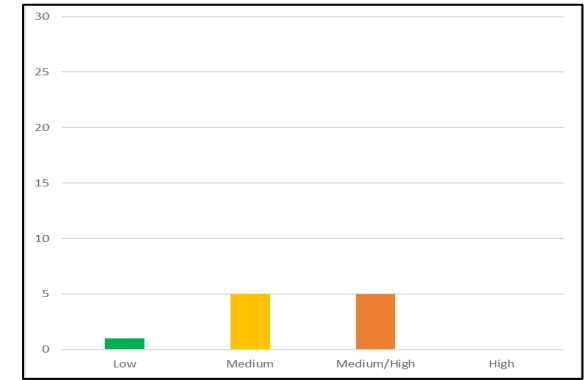
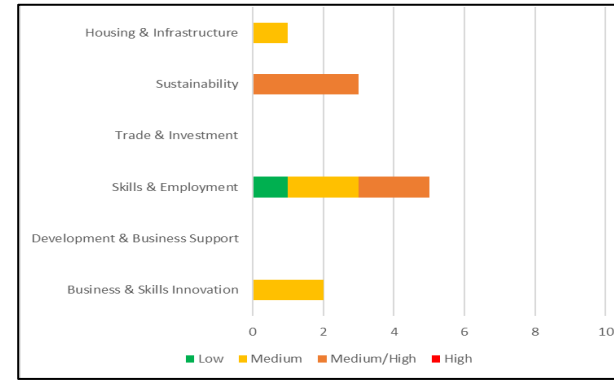
Risks by Residual Risk Score

Medium/High and High Risks Exceeding their 'strategic group' Appetite		Score
OP0151: Declining Patronage		20
OP0130: Delayed Public Transport Projects – TCF Programme		16
OP0032: Balance Anchor Weights Failure		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
OP0156: Application of Regional Policies		12

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

## Growth, Business & Skills Directorate

New Medium/High and High Risks		Score
None		0
Closed Medium/High and High Risks		Score
None		0
Medium/High and High Risks Decreasing in Residual Score	Score (was)	Score (now)
None	0	0
Risks Increasing in Residual Score to Medium/High and High	Score (was)	Score (now)
OP0292: Uncertainty of funding and likely disruption of Skills employment support services	9	12
Risks Escalated to Corporate Level		Score
None		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
OP0292: Uncertainty of funding and likely disruption of Skills employment support services		12
Medium/High and High Risks Within their 'strategic group' Appetite		Score
None		0

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

Corporat						
Prefix	Title	Owner	Assignee	Inherent Priority	Residual Priority	Target Priority
COR0028	Tram infrastructure and tram vehicle failure (512)	Melanie Corcoran	Tim Taylor	High (20)	Medium/High (12)	Low (4)
COR0023	Successful Management of Concurrent Major Change Programmes	Gareth Sutton	Gareth Sutton	High (16)	Medium/High (12)	Medium (9)
COR0018	Health and Safety- Major Accident or Injury	Gareth Sutton	Michelle Stansfield	High (20)	Medium (10)	Low (4)
Operational						
Prefix	Title	Owner	Assignee	Inherent Priority	Residual Priority	Target Priority
OP0032	Balance Anchor Weight Failures (553)	Tim Taylor	Patrick Gannon	Medium/High (15)	Medium/High (15)	Low (4)
OP0036	Serious tram accident (akin to Sandilands) (472)	Tim Taylor	Patrick Gannon	Medium (10)	Medium (5)	Medium (5)
OP0038	Injury whilst boarding or alighting a tram (495)	Tim Taylor	Patrick Gannon	Medium (9)	Medium (6)	Low (2)
OP0040	Loss of Rail Grant (418)	Rachel Sprigg	Rachel Sprigg	Medium (9)	Medium (6)	Low (4)
OP0142	Compliance with Statue Laws and Regulations	Michelle Stansfield	Michelle Stansfield	High (16)	Medium (6)	Medium (6)
OP0272	Contractor Management	Michelle Stansfield	Michelle Stansfield	Medium/High (12)	Medium (6)	Medium (6)
OP0294	Risk of injury at Barnsley Interchange	Dale Sparks	Jeremy Kemp	Medium/High (12)	Medium (6)	Medium (6)
OP0043	Disruption to Supertram operations as a result of extreme weather (538)	Tim Taylor	Patrick Gannon	Medium/High (12)	Medium (8)	Medium (8)
OP0071	Fraudulent concessionary passes in circulation and use.	Tim Taylor	Paul Foers	Medium/High (15)	Medium (8)	Low (4)
OP0263	An increase in the frequency of violent and/or ASB at SYMCA public transport sites.	Tim Taylor	Dale Sparks	High (20)	Medium (9)	Medium (6)
OP0262	Adverse weather response plans	Dale Sparks	Dale Sparks	High (20)	Medium (9)	Low (4)
OP0029	Tramway highway interface (436)	Tim Taylor	Patrick Gannon	Medium/High (15)	Medium (10)	Medium (5)
OP0033	Failure of post tensioned structures on Supertram (528)	Tim Taylor	Patrick Gannon	Medium/High (15)	Medium (10)	Medium (5)
OP0055	Road Traffic Collision (489)	Tim Taylor	Patrick Gannon	High (20)	Medium (10)	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)	Medium (10)
OP0261	Hostile Vehicle Mitigation	Tim Taylor	Dale Sparks	Medium/High (15)	Medium (10)	Low (4)

\*Five also exceed the appetite for their strategic group

More detail, including controls and mitigating actions, are included in the Risk Register at page 15.



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

Corporate						
Prefix	Title	Owner	Assignee	Inherent Priority	Residual Priority	Target Priority
COR0021	Cyber Security Threat	Gareth Sutton	Gareth Sutton	High (25)	Medium (10)	Low (4)
Operational						
Prefix	Title	Owner	Assignee	Inherent Priority	Residual Priority	Target Priority
OP0027	Data Loss/Security	Nick Brailsford	Nick Brailsford	High (16)	Medium/High (12)	Low (4)
OP0109	IT System Failure	Nick Brailsford	Nick Brailsford	High (20)	Medium/High (12)	Low (4)
OP0279	Core Public Transport CRM	Tim Taylor	Nick Brailsford	Medium/High (12)	Medium/High (12)	Low (2)
OP0007	General Data Protection Regulations	Steve Davenport	Claire James	Medium/High (12)	Medium (6)	Low (3)
OP0104	Reduction in IT security checks	Nick Brailsford	Nick Brailsford	Medium/High (12)	Medium (6)	Low (4)
OP0289	AI Applications	Claire James	Nick Brailsford	Medium (9)	Medium (6)	Low (2)
OP0028	Volume of IT Systems	Nick Brailsford	Nick Brailsford	Medium/High (12)	Medium (8)	Low (4)
OP0001	Information Governance	Steve Davenport	Claire James	High (16)	Medium (9)	Low (4)

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

# Risk Registers

- **Corporate Risks** (page 11-12)
  - **Resources & Investment Directorate** (page 13)
  - **Policy & Strategic Development Directorate** (page 14)
  - **Transport Directorate** (page 15)
  - **Growth, Business & Skills Directorate** (page 16)
  - **Health & Safety Themed Risks (med, medium/high, high)** (page 17)
  - **Cyber Themed Risks (med, medium/high, high)** (page 19)
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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><b>Due to:</b> Changes to the political and policy operating environment e.g. change in Government</p> <p><b>There is a risk that:</b> national and regional priorities shift</p> <p><b>Resulting in:</b> 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	An internal Devolution Organisational Readiness Leadership Group and associated workstreams have been established with the purpose of ensuring SYMCA is best placed to secure and take advantage the benefits of the Gov't devolution agenda	21 Aug 2024					
					Ongoing horizon scanning- to monitor the situation and respond quickly.												
					Leadership of UK Mayors network and knowledge sharing with other CAs.												
Tom Bousfield	Reference: 1092 Prefix: COR0007	Net Zero, Sustainability/ Climate Change	<p><b>Due to:</b> 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><b>There is a risk that:</b> the approach is fragmented</p> <p><b>Resulting in:</b> 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.	Medium/High (5.3=15)	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.	Tom Bousfield	Greg McClymont	30 Sep 2024	Following receipt of the report and internal changes in responsibilities this action has been re-assigned to the Exec Director of GBS and the newly appointed Director of Growth and Sector Development.	30 Aug 2024					
					Working with partners / stakeholders to develop projects that take account of de-carbonisation.												
					Initial focus on housing retrofit, Electric vehicles (electric buses, car charging) energy, tree planting		<p>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.</p> <p>Tom Bousfield</p> <p>Greg McClymont</p> <p>30 Sep 2024</p> <p>Following receipt of the report and internal changes in responsibilities this action has been re-assigned to the Exec Director of GBS and the newly appointed Director of Growth and Sector Development.</p>						30 Aug 2024				
					Re-organisation of resources under Growth, Business and Skills Directorate allows for a more cohesive organisational approach.		<p>Integrating our response to net zero and climate emergency into investment decision making processes.</p> <p>Tom Bousfield</p> <p>Greg McClymont</p> <p>30 Sep 2024</p> <p>Following receipt of the report and internal changes in responsibilities this action has been re-assigned to the Exec Director of GBS and the newly appointed Director of Growth and Sector Development.</p>						30 Aug 2024				
							Develop Energy and Environment Strategy.	Greg McClymont	Greg McClymont	30 Nov 2024							
Melanie Corcoran	Reference: 1195 Prefix: COR0017	Ability to deliver CRSTS Programme	<p><b>Due to:</b> 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 DIT</p> <p><b>There is a risk that:</b> the capacity and capability in the region is insufficient to deliver extensive projects in the programme within timescale</p> <p><b>Resulting in:</b> 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><b>Due to:</b> not being able to secure suitable funding sources, eg DIT release of earmarked £100m which is subject to DIT approval, to renew the life-expired trams assets</p> <p><b>There is a risk that:</b> tram infrastructure and vehicles cannot be life-extended or replaced and that ongoing asset management requirements will be unsupported</p> <p><b>Resulting in:</b> 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	Updated work packages and resource plan to be completed by end of Aug. Work packages will then need to be embedded.	21 Aug 2024					
					Engagement with DIT 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 DIT 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 DIT approvals for the release of £100m of DIT retained capital funding.																	
Melanie Corcoran	Reference: 1156 Prefix: COR0014	The BSIP and EP Scheme Delivery	<p><b>Due to:</b> uncertainty around funding levels through BSIP for 25/26</p> <p><b>There is a risk that:</b> our aspirations for growing the bus market are undermined</p> <p><b>Resulting in:</b> no meaningful service improvements and continued decline</p>	High (4.4=16)	EP scheme implemented and established based on available funding (ie no BSIP allocation)	Medium/High (4.3=12)	Seek Confirmation from DIT on funding from April 2025, expected no later than Autumn budget statement on 30 October.	Tim Taylor	Tim Taylor	30 Oct 2024	New action this cycle	30 Aug 2024					
					Stakeholder comms setting expectations around deliverable improvements shared and approved (MCA/TEB/STOB)		Agree use of CRSTS BSIP funding allocation of £16m to support bus services.						Tim Taylor	Chloe Shepherd	30 Nov 2024	Work ongoing to confirm use of CRSTS BSIP funding in agreement with the Mayor. Revised target date to ensure update provided.	30 Aug 2024
					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										
Melanie Corcoran	Reference: 1421 Prefix: COR0028	Tram infrastructure and tram vehicle failure (512)	<p><b>Due to:</b> Due to increased wear and age of assets</p> <p><b>There is a risk that:</b> the tram infrastructure or vehicles will fail</p> <p><b>Resulting in:</b> 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 been maintained in line with their maintenance regime.	Medium/High (4.3=12)	Conclude recruitment to improve technical resilience and capacity within the tram team.	Tim Taylor	Patrick Gannon	31 Dec 2024	New Action this cycle	29 Aug 2024					
					Concession Agreement includes clauses regarding operation of the network.		Progress with new project to replace XVPiPlus 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
					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><b>Due to:</b> the cessation of aviation operations</p> <p><b>There is a risk that:</b> the area will be subject to direct and indirect job losses</p> <p><b>Resulting in:</b> 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)	Continue to support City of Doncaster Council in development of business case with expected submission date in early September.	Martin Swales	Laurie Thomas	30 Sep 2024	New action this period.	30 Aug 2024					
Gareth Sutton	Reference: 2530 Prefix: COR0023	Successful Management of Concurrent Major Change Programmes	<p><b>Due to:</b> competing demands on organisational capacity and capabilities</p> <p><b>There is a risk that:</b> business change activity (Bus Reform, Tram Renewal etc) is not safely delivered, with new ways of working and organisational culture not effectively embedded</p> <p><b>Resulting in:</b> 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)	Undertake recruitment for a Transport Major Programmes SRO	Melanie Corcoran	Melanie Corcoran	31 Oct 2024	Recruitment underway	27 Aug 2024					
Tom Bousfield	Reference: 2590 Prefix: COR0024	Investment Zone Readiness	<p><b>Due to:</b> the timescales and volume of work required to be ready for delivery of IZ from April 2024</p> <p><b>There is a risk that:</b> SYMCA is unable to effectively target its interventions</p> <p><b>Resulting in:</b> 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 Sep 2024	Job adverts are live with expectation of completion by the end of september	21 Aug 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	Corporate Performance Management	<p><b>Due to:</b> our corporate plan not being fully up to date and our corporate performance reporting system being in development</p> <p><b>There is a risk that:</b> we are unable to understand, analyse and interrogate performance at an organisational level</p> <p><b>Resulting in:</b> 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	Update progressing on track. ELB approved a new prototype performance report in June 2024. Since then the team has held workshops across Comms and Resources and Investment to improve our reporting for Q1 in September.	02 Aug 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 our corporate performance reporting: phase 1						Kate Mieske	Kate Mieske	31 Dec 2024	This work is under way. Workshops have been held with R&I and comms teams to refresh our metrics and continue to develop our prototype for Q1 reporting in Sept.	02 Aug 2024
							Refresh SYMCA's Corporate Plan						Kate Mieske	Kate Mieske	31 Mar 2025	ELB agreed an approach to the corporate plan on 30th June 2024. Plan to discuss with CEAs on 13th August. Plan to deliver a first cut of mission and objectives by end September.	02 Aug 2024
Clare Monaghan	Reference: 2929 Prefix: COR0031	Insight Capacity and Capability	<p><b>Due to:</b> capacity and capability in the analysis and insight space</p> <p><b>There is a risk that:</b> we are unable to gain proportionate and effective strategic insights to inform policy decisions and develop business cases or bids</p> <p><b>Resulting in:</b> 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.	Medium/High (4.3=12)	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 Oct 2024	While delayed, this is under way.	02 Aug 2024					
					The existence of a small amount of economic policy capacity and capability.		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	31 Oct 2024	Edit: two posts are out for recruitment, but not the transport economics role which is being discussed with the ED Transport.	02 Aug 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.		Deliver strand 1 of our better business cases plan: strategic development						Kate Mieske	Kate Mieske	31 Mar 2025	This is under way, with approval by ELB for a refreshed SYMCA Corporate Plan.	02 Aug 2024
							Deliver strand 2 of our better business cases plan: capability-building						Kate Mieske	Kate Mieske	31 Mar 2025	This is under way. A suite of L&D is in development including a) L&D on effective business cases joint with MHCLG and HMT, b) learning bursts on knowing the government audience and drafting for success and c) top tips and best practice on business cases which is being shared across SYMCA.	02 Aug 2024
							Deliver strand 3 of our better business cases plan: internal processes and resourcing						Kate Mieske	Kate Mieske	31 Mar 2025	We are beginning to trial new ways of setting ourselves up on priority bids.	02 Aug 2024
Tom Bousfield	Reference: 3019 Prefix: COR0032	Housing and Strategic Planning Readiness	<p><b>Due to:</b> a lack of capacity, insufficient powers, lack of funding and uncertainty over future powers</p> <p><b>There is a risk that:</b> a lack of capacity, insufficient powers, lack of funding and uncertainty over future powers</p> <p><b>Resulting in:</b> missed opportunities for development</p>	High (4.4=16)	Homes England Strategic Place Partnership in place	Medium/High (4.3=12)	Responding to government's Housing and Planning Reform	Colin Blackburn	Colin Blackburn	31 Mar 2025	New Action	16 Sep 2024					
					Relationships with Heads of Planning and Housing Directors well established across South Yorkshire Local Authorities, and the South Yorkshire Housing Partnership		Developing a Housing Growth and Affordable Housing Pipeline						Colin Blackburn	Colin Blackburn	31 Mar 2025	New Action	16 Sep 2024
							Commissioning feasibility work in relation to an Enhanced Council House Building Programme						Colin Blackburn	Colin Blackburn	31 Mar 2025	New Action	16 Sep 2024
							Housing capital and revenue requests feeding into Spending Review and L4 Devo submissions						Colin Blackburn	Colin Blackburn	31 Mar 2025	New Action	16 Sep 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: 1202 Prefix: COR0018	Health and Safety- Major Accident or Injury	<p><b>Due to:</b> A major accident or injury occurs involving SYMCA assets and / or people</p> <p><b>There is a risk that:</b> leads to regulator intervention</p> <p><b>Resulting in:</b> resulting in liability and adverse impact on the workforce, budgets and reputation of the MCA.</p>	High (5.4=20)	Health and safety policy, procedures and standards in place and audited by independent H&S advisor.	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.	27 Aug 2024
					<p>Training provided to all staff.</p> <p>Appropriate maintenance contracts in place to undertake fabric and Mechanical &amp; Electrical repairs and inspections as required.</p> <p>Monitoring of incidents and near misses undertaken, quarterly reports presented to Management Board and the ASRC.</p> <p>Standard contracts of employment for all SYMCA people incorporate a section on H &amp; S responsibilities</p>		Procurement of new OHAS system					
Gareth Sutton	Reference: 1224 Prefix: COR0021	Cyber Security Threat	<p><b>Due to:</b> an increase in the number of cyber-attacks, due to the increasing reliance on digital</p> <p><b>There is a risk that:</b> there is a successful cyber attack</p> <p><b>Resulting in:</b> 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)	Agree internal audit recommendations and develop plan for implementation.	Nick Brailsford	Claire James	30 Sep 2024	Implementation plan underway and being monitored by IGWG. Actions have also been subject to a follow up audit by RSM.	21 Aug 2024
					<p>Mimecast, Advanced Threat Protection, installed and always evolving to address current threats, covers email filtering to identify and block impersonators and filtering attachments for abnormalities for the IT team to check prior to release.</p> <p>Web-filtering to restrict and prohibit unauthorised access and data loss.</p> <p>An IT Policy exists and is updated as necessary, last updated in 2021.</p> <p>Password policy exists implementing good practice to build strong access controls including multi-factor authentication.</p> <p>Activity monitoring takes place including how people access the system.</p> <p>Regular simulated phishing attacks and user training in place.</p> <p>Software patching takes place to ensure software updates are carried out.</p> <p>Annual outsourced penetration testing, which is part of the Cyber Essentials requirements.</p> <p>Physical security enhancements including restricting a non-employee plugging a laptop into MCA network.</p> <p>Access requests and web filtering to the IT team for approval takes place where employees wish to access web sites/documents in third party sites.</p> <p>DDoS Protection control in place (Radware)</p> <p>Cloud assessments and DPIAs undertaken on online systems.</p> <p>Membership of MyNCSC which provides monitoring of externally facing services and intelligence.</p>							
Gareth Sutton	Reference: 1950 Prefix: COR0026	Business Continuity Planning	<p><b>Due to:</b> inadequate, untested business continuity plans</p> <p><b>There is a risk that:</b> in the event of a major incident operations will be disrupted</p> <p><b>Resulting in:</b> poor customer experience, inability to deliver objectives and outcomes and inability to respond to an emergency in co-ordination with emergency services.</p>	Medium/High (4.3=12)	<p>Major contract delivery partners Business Continuity arrangements and resilience including financial standing are included and tested within the contract procurement process.</p> <p>Operational transport currently have Business Continuity Plans in place.</p>	Medium (3.3=9)	Ensure BCP is relevant and fit for purpose.	Gareth Sutton	Claire James	30 Nov 2024	BCP Update provided to ELB on 13th August. Next steps agreed. BIA forms circulated for annual refresh with deadline of 27th August. Revised target date to ensure monitoring.	21 Aug 2024
Gareth Sutton	Reference: 2607 Prefix: COR0025	Constituent Authorities Experience Financial Pressures	<p><b>Due to:</b> systemic cost pressures, funding challenges and financial shock</p> <p><b>There is a risk that:</b> local authority partners may encounter financial difficulties</p> <p><b>Resulting in:</b> pressure on SYMCA to provide support, or loss of partner capacity to support SYMCA activity.</p>	Medium/High (4.3=12)	<p>Monthly Place Liaison meetings.</p> <p>Quarterly finance briefings.</p> <p>Close working relationships across programme management functions.</p>	Medium (3.3=9)	Engage with the Directors of Finance Group to shape the MCA's forward planning for its medium term financial strategy.	Gareth Sutton	Gareth Sutton	30 Jun 2024	Regular meetings continue to take place to provide updates and discuss emerging issues, briefings for MCA papers are also shared.	27 Aug 2024
Tom Bousfield	Reference: 1005 Prefix: COR0001	Adult Education Budget Performance	<p><b>Due to:</b> potential under performance within the programme</p> <p><b>There is a risk that:</b> we fail to deliver all of the planned academic year outputs for the region and its people within the year</p> <p><b>Resulting in:</b> back loading and adverse reputational impact on the MCA and partners.</p>	High (4.4=16)	<p>Performance monitoring meetings with all providers in place to understand planned delivery volumes and their delivery intentions.</p> <p>Performance reporting to Management Board has taken place to highlight the delivery challenges.</p> <p>Funding &amp; Performance Rules set out the conditions of funding and how underperformance will be addressed.</p> <p>The MCA has audit step in rights should it need to undertake more robust reviews.</p> <p>The MCA has some options to redeploy funding away from underperforming areas where necessary.</p> <p>Performance reporting via Power BI has greatly improved the availability of data to manage performance of AEB programmes on a monthly basis</p>	Medium (4.2=8)	Review of AEB Performance management arrangements to ensure fit for purpose	Craig Moffatt	Joe Gardner	31 Dec 2024	Embedding of revised performance management framework at start of Academic Year 25/26	06 Aug 2024
Gareth Sutton	Reference: 1134 Prefix: COR0012	Financial Health	<p><b>Due to:</b> a lack of quantum, breadth, and flexibility of funding to deliver on all activities</p> <p><b>There is a risk that:</b> there is a unsustainable call on reserves</p> <p><b>Resulting in:</b> structural funding issues being exacerbated by the inflationary environment and disruption to commercial income streams</p>	Medium/High (5.3=15)	<p>The MCA Group undertakes annual integrated business and budget planning to ensure resource is effectively aligned to priorities</p> <p>The MCA Group undertakes cyclical budget monitoring to identify financial performance allowing for the reallocation of resource mid-year</p> <p>The MCA has undertaken a significant reserve refresh re-deploying resource to known risks and holding a prudent amount of resource to mitigate financial shock</p> <p>The MCA reports frequently to the Board and ensures partners remain apprised on financial matters through the Directors of Finance Group and Member budget engagement sessions</p> <p>The MCA Group has developed a new medium term financial strategy forecasting the requirements for greater local financial contributions from partners</p>	Medium (4.2=8)	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 has now concluded, with no material concerns raised. In addition, the Risk Management Framework review has finished, and the draft report is due to be issued by the end of August.	18 Aug 2024
Steve Davenport	Reference: 1179 Prefix: COR0016	Supply Chain Failure	<p><b>Due to:</b> a contracted supplier entering into financial distress and/or an insolvency event, the market being unable to provide services, or the market being unable to deliver services at contracted prices</p> <p><b>There is a risk that:</b> the supply chain fails or is disrupted</p> <p><b>Resulting in:</b> disruption to provision of service, leads to delays, cost pressures, and reputational damage.</p>	Medium (3.3=9)	MCA seeks to ensure a broad supplier basis through open market competition	Medium (3.2=6)	Internal Audit have tested supplier resilience and offered a number of recommendations that will be implemented	Steve Davenport	Jill Smith	30 Nov 2024	Target date for proposals to be considered by ELB has been agreed - November. Revised target date to ensure monitoring until implementation.	30 Aug 2024
					<p>The MCA has access to a number of broad framework agreements to call off, in a timely fashion</p> <p>The MCA conducts pre-contract financial health due-diligence on major contracts including seeking details of associated sub-contracting and proportion of delivery / contract.</p> <p>The MCA holds a prudent level of reserves to mitigate financial shock.</p> <p>Standard Supplier Questionnaire completed by potential suppliers as part of the procurement process to ensure consistency of procurement and information provided by bidders. Part of it is backward facing seeking assurance over previous experience and therefore quality, competency and financial health.</p> <p>Rules and standards are set through the Contract Procedure Rules and Financial Regs</p> <p>Evidence sought to confirm responses e.g. payment terms sought and Insurance levels</p> <p>When bids received, further analysis is undertaken on the accounts and specifically around liquidity and the proportion of turnover which is MCA generated.</p> <p>The applicant is risk assessed and decisions made on that basis.</p> <p>Appropriate security to cover risk is considered for example a charge may be applied on land or property as security for a loan.</p>		<p>New contract function to ensure the financial health of key suppliers is tested in contract as well as pre contract to provide early warning.</p>					
					<p>The MCA holds a prudent level of reserves to mitigate financial shock.</p> <p>Standard Supplier Questionnaire completed by potential suppliers as part of the procurement process to ensure consistency of procurement and information provided by bidders. Part of it is backward facing seeking assurance over previous experience and therefore quality, competency and financial health.</p> <p>Rules and standards are set through the Contract Procedure Rules and Financial Regs</p> <p>Evidence sought to confirm responses e.g. payment terms sought and Insurance levels</p> <p>When bids received, further analysis is undertaken on the accounts and specifically around liquidity and the proportion of turnover which is MCA generated.</p> <p>The applicant is risk assessed and decisions made on that basis.</p> <p>Appropriate security to cover risk is considered for example a charge may be applied on land or property as security for a loan.</p>		Business Continuity Plans to be re-tested for loss of key suppliers.	Clare Monaghan	Claire James	30 Nov 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. Work is ongoing around supplier management of non-IT suppliers led by HoProcurement. Revised target date to ensure monitoring until BCP renewal process is embedded.	30 Aug 2024
Gareth Sutton	Reference: 1217 Prefix: COR0020	Organisational Capacity & Skills (for bau activity)	<p><b>Due to:</b> Inadequate organisational design, recruitment, retention and training</p> <p><b>There is a risk that:</b> the approach to resourcing is ineffective and reactive</p> <p><b>Resulting in:</b> an overstretched and under resourced workforce incapable of meeting the organisational objectives.</p>	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.	Medium (3.2=6)	Pay and grading review to be undertaken.	Julie Hall	Jacqui Buckley	30 Nov 2024	New Director of People Services and Heads of Service now in role and reviewing proposals to date. Revised target date to ensure monitoring.	30 Aug 2024
					<p>Career Framework reviewed and proposed.</p> <p>PDR processes identifies skills and capability requirements</p>		Looking at job families and career progression					

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><b>Due to:</b> Not using corporate agreed software or standards.</p> <p><b>There is a risk that:</b> Unsupported legacy software / ways of working continue eg sharing files via email and printing</p> <p><b>Resulting in:</b> 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	Cassie Bell	30 Sep 2024	Liaising with new Head of Organisational Development to progress enhancement of training offer.	21 Aug 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	Digital Strategy workshops have commenced.	21 Aug 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><b>Due to:</b> Power outage, virus/malware or DoS attack, fire, flood etc</p> <p><b>There is a risk that:</b> SYMCA is unable to operate, access systems and data to generate information including corporate performance</p> <p><b>Resulting in:</b> 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. Actions have also been subject to a follow up audit by RSM.	21 Aug 2024					
					Data processes and procedures exist to facilitate performance reporting.								Nick Brailsford	Nick Brailsford	31 Dec 2024	Digital Strategy workshops underway. Revised target date to end Dec.	12 Sep 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.													
Mike Thomas	Reference: 2825 Prefix: OP0282	Exposure to the commercial performance of the bus network	<p><b>Due to:</b> ongoing decline in bus passenger numbers and the consequent reduction in bus service mileage across South Yorkshire</p> <p><b>There is a risk that:</b> the South Yorkshire bus sector will require greater public subsidy</p> <p><b>Resulting in:</b> greater pressure on the MCA's bus tendered services budget</p>	High (5.5=25)	<p>The MCA agreed a two-year funding package in July 2023, which will provide certainty in the near term.</p> <p>The Department for Transport (DfT) has announced a continuation of Bus Service Improvement Plan (BSIP) funding through to 2028/29, which will provide further certainty.</p> <p>The MCA has completed the assessment phase of bus franchising. The assessment demonstrates that all permutations of franchising represent value for money compared to the status quo over the 30-year appraisal period.</p>	Medium/High (4.3=12)	<p>Continue to lobby Government for a sustainable funding model for bus transport</p>	Mike Thomas	Tim Taylor	31 Dec 2024	<p>Engagement continues through UTG in pushing DfT for confirmation on the future approach to funding and for the spending review. An announcement has to occur before the Autumn budget on 30 October.</p>	28 Aug 2024					

## **Policy & Strategic Development Directorate**

There are no High or Medium High Risks

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><b>Due to:</b> declining quality and provision of bus services plus societal change</p> <p><b>There is a risk that:</b> patronage continues to decline</p> <p><b>Resulting in:</b> 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)	Seek Confirmation from DfT on funding from April 2025, expected no later than Autumn budget statement on 30 October.	Tim Taylor	Tim Taylor	30 Oct 2024	New action this cycle	30 Aug 2024
					Patronage data (actuals and forecast) reviewed on a quarterly basis, with action plans developed to reverse trend.		Agree use of CRSTS BSIP funding allocation of £16m to support bus services.	Tim Taylor	Chloe Shepherd	30 Nov 2024	Work ongoing to confirm use of CRSTS BSIP funding in agreement with the Mayor. Revised target date to ensure update provided.	30 Aug 2024
					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.							
Melanie Corcoran	Reference: 1901 Prefix: OP0130	Delayed Public Transport Projects within the TCF Programme	<p><b>Due to:</b> capacity constraints, both internal and external, and delays in securing planning applications, land acquisition, and other statutory consents</p> <p><b>There is a risk that:</b> most public transport projects, delivered via the TCF Programme, which ends in April 2023, will suffer delays</p> <p><b>Resulting in:</b> 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 DfT 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 expenditures to ensure we do not go into budget deficit on the Parkgate project. Preparedness to stop work on site if required.							
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><b>Due to:</b> failures with no root cause</p> <p><b>There is a risk that:</b> there will be further balance anchor weight system failures</p> <p><b>Resulting in:</b> 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	27 Oct 2024	Final programme of replacement now scheduled between 15 September and 27 October after which all 34 units will have been replaced.	28 Aug 2024
Tim Taylor	Reference: 1993 Prefix: OP0154	Third Party Reliance on Bus Operators to deliver Net Zero targets	<p><b>Due to:</b> The Region's bus services being largely operated on a commercial basis</p> <p><b>There is a risk that:</b> leading to compromise and a limited ability to shape the network and fleet</p> <p><b>Resulting in:</b> 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	08 Oct 2024	Work required to complete the independent audit now substantially complete and being prepared to go to October MCA Board.	28 Aug 2024
					Engagement with DfT to secure funding		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.	Tim Taylor	Pat Bejler	15 Jan 2025	Public consultation (assuming approval of independent audit) now assumed to run until mid-January 2025.	28 Aug 2024
					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	<p><b>Due to:</b> Aging of the structures</p> <p><b>There is a risk that:</b> structures inspections start to identify the need for significant remedial works</p> <p><b>Resulting in:</b> 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	Patrick Gannon	Patrick Gannon	16 Oct 2024	Two inspection reports outstanding due to delays gaining Network permits. Will continue to chase for reports to be published	20 Jun 2024
							Balfour Beatty to be appointed under SCAPE Framework to complete the design and build of the remedial action.	Patrick Gannon	Patrick Gannon	01 Nov 2024	Work planned to start end of September to be completed end of October 2024.	28 Aug 2024
Melanie Corcoran	Reference: 2007 Prefix: OP0156	Application of Regional Policies	<p><b>Due to:</b> Inconsistent application of regional policies</p> <p><b>There is a risk that:</b> efficient bus operation is undermined and leads to continued usage of cars and patronage decline</p> <p><b>Resulting in:</b> further network reductions, an increase in the number of isolated communities and failing to deliver SYMCA's policy aspirations, e.g. free car parking undermines net zero and public transport aspirations.</p>	High (4.4=16)	Meetings with Leaders and CEXs to reinforce the importance of a supportive policy environment and pro bus policies	Medium/High (4.3=12)	Undertake recruitment to build resource to deliver bus policy improvements	Chloe Shepherd	Chloe Shepherd	31 Oct 2024	Assistant Director of Bus Services has been appointed and due to start autumn 2024	29 Aug 2024
					Working with wider stakeholders to identify and reinforce the benefits of enabling efficient bus operation		Complete a refresh of the Local Transport Plan to set out agreed policy positions for transport across South Yorkshire	Chloe Shepherd	Alex Linton	31 Dec 2025	Work is underway to develop the LTP in partnership with LA's and DfT prior to consultation	29 Aug 2024
					Inclusion of pro bus policies in our implementation plans							
					Submission of BSIP to DfT demonstrates collective ambition for bus improvements in South Yorkshire							
					Ongoing work with bus operators through our Enhanced Partnership to influence and engage in the delivery of our plans.							
Tim Taylor	Reference: 2791 Prefix: OP0279	Core Public Transport CRM	<p><b>Due to:</b> the removal of on premise support for Microsoft Dynamics CRM in January 2026</p> <p><b>There is a risk that:</b> public transport functions e.g pass processing, contact centre services, public information displays, will not be available</p> <p><b>Resulting in:</b> 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	31 Oct 2024	Agreement of use of CRSTS funding still not completed.	28 Aug 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
Tina Slater	Reference: 2930 Prefix: OP0292	Uncertainty of funding and likely disruption of Skills employment support services	<p><b>Due to:</b> various funding streams coming to an end at the end of March 25, that are connected to employment programmes such as UKSPF, Multiply and Working Win.</p> <p><b>There is a risk that:</b> SYMCA is not able to develop a consistent package of employment support for the region</p> <p><b>Resulting in:</b> leaving gaps in service provision for residents and businesses and potential job losses in Local Authorities and VCS.</p>	Medium/High (4.3=12)	Regular communication with funders and stakeholders	Medium/High (4.3=12)	Lobby government for extended funding (UKSPF)	Tina Slater	Alice Rubbra	01 Dec 2024	New Action this cycle	30 Aug 2024
					All Skills employment support programmes are led by one team at SYMCA		submit proposal for extension of IPSPC (Working Win) services, to DWP which if approved will allow a further 10month of referrals onto programme and 12 months of support up to Sept 26 to allow for transition into Universal Support.	Tina Slater	Tina Slater	01 Dec 2024	New Action this cycle	30 Aug 2024
							Development of over arching Skills employment services approach to inform commissioning / delivery of IPSPC, WorkWell, Universal Support, etc.	Joe Gardner	Joe Gardner	31 Dec 2024	Work in Progress	30 Aug 2024
							Recruitment of dedicated employment support resource to support development of multiple linked programmes	Joe Gardner	Joe Gardner	31 Dec 2024	Work in Progress	30 Aug 2024
Joe Gardner	Reference: 2952 Prefix: OP0293	Skills Strategy Implementation	<p><b>Due to:</b> The Skills Strategy being adopted but not yet implemented</p> <p><b>There is a risk that:</b> Forward planning and delivery is misaligned or not fully linked to the 3 mission areas of the strategy</p> <p><b>Resulting in:</b> sub-optimal outcomes and inability to deliver strategic objectives</p>	High (4.5=20)	Cross team implementation planning underway, focussing on specific programmes and broader changes to processes and ways of working needed to successfully implement skills strategy	Medium/High (4.3=12)	Development of robust Implementation Plan for next 5 years	Joe Gardner	Joe Gardner	31 Dec 2024	Activity ongoing, action unchanged	20 Aug 2024
					Current commissioning of major programmes aligned to Skills Strategy (e.g. Adult Skills Fund, Skills Bootcamps Wave 6, WorkWell)		Identification, commissioning and delivery of priority projects	Joe Gardner	Joe Gardner	31 Dec 2024	Planning for implementation of Flagship Programmes and other priority interventions ongoing.	20 Aug 2024
							Recruitment of Assistant Director for Skills, to support strategic policy planning and implementation across Skills Strategy	Joe Gardner	Joe Gardner	31 Jan 2025	New Action this cycle	30 Aug 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)	<b>Due to:</b> failures with no root cause <b>There is a risk that:</b> there will be further balance anchor weight system failures <b>Resulting in:</b> 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	27 Oct 2024	Final programme of replacement now scheduled between 15 September and 27 October after which all 34 units will have been replaced.	28 Aug 2024
Melanie Corcoran	Reference: 1421 Prefix: COR0028	Tram infrastructure and tram vehicle failure (512)	<b>Due to:</b> Due to increased wear and age of assets <b>There is a risk that:</b> the tram infrastructure or vehicles will fail <b>Resulting in:</b> 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 being maintained in line with their maintenance regime. Concession Agreement includes clauses regarding operation of the network. Details of non-conformances detailed by SYSL Overview Report so we can start to understand problem areas and challenge SYSL in order that the necessary repairs are completed. SYSL currently monitor and act on obsolescence issues. SYSL provide details of their reactive maintenance and planned maintenance performance on a monthly basis.	Medium/High (4.3=12)	Conclude recruitment to improve technical resilience and capacity within the tram team. Progress with new project to replace XVPPlus with a new Enterprise Asset Management System /CMMS.	Tim Taylor	Patrick Gannon	31 Dec 2024	New Action this cycle	29 Aug 2024
Gareth Sutton	Reference: 2530 Prefix: COR0023	Successful Management of Concurrent Major Change Programmes	<b>Due to:</b> competing demands on organisational capacity and capabilities <b>There is a risk that:</b> business change activity (Bus Reform, Tram Renewal etc) is not safely delivered, with new ways of working and organisational culture not effectively embedded <b>Resulting in:</b> an impact on bus delivery, regulatory non-compliance, reputational damage, low workforce morale.	High (4.4=16)	Major Projects Oversight Board established	Medium/High (4.3=12)	Undertake recruitment for a Transport Major Programmes SRO	Melanie Corcoran	Melanie Corcoran	31 Oct 2024	Recruitment underway	27 Aug 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: 1202 Prefix: COR0018	Health and Safety- Major Accident or Injury	<b>Due to:</b> A major accident or injury occurs involving SYMCA assets and / or people <b>There is a risk that:</b> leads to regulator intervention <b>Resulting in:</b> 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 Procurement of new OHAS system	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.	27 Aug 2024
Tim Taylor	Reference: 1387 Prefix: OP0029	Tramway highway interface (436)	<b>Due to:</b> improperly designed, constructed or maintained tram rails or other infrastructure integrated into the highway <b>There is a risk that:</b> road users may not be safe <b>Resulting in:</b> 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)	Following a review of minor collisions, swept path markers will be re-applied, initially at high risk locations. This will alert motorists and tram drivers of the path of the tram to help avoid collisions.	Patrick Gannon	Patrick Gannon	31 Mar 2025		
Tim Taylor	Reference: 1408 Prefix: OP0033	Failure of post tensioned structures on Supertram (528)	<b>Due to:</b> age and deterioration <b>There is a risk that:</b> post tensioned structures fail <b>Resulting in:</b> 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)	<b>Due to:</b> trams operating as part of the regions public transport system <b>There is a risk that:</b> 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 <b>Resulting in:</b> 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)	<b>Due to:</b> coming into contact with a moving vehicle on SYMCA property <b>There is a risk that:</b> a member of the public may be injured <b>Resulting in:</b> 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	<b>Due to:</b> increase in use of vehicles as a weapon <b>There is a risk that:</b> members of the public in and around SYMCA public transport sites could be attacked by vehicles <b>Resulting in:</b> serious injury or death of staff or members or the public and property damage.	Medium/High (5.3=15)	Installed fences and hostile vehicle mitigation bollards at interchanges. Shared intelligence through local authority and south Yorkshire police.	Medium (5.2=10)	Following updated risk assessment (action 2680), procure and install any new anti-vehicle terrorist barriers identified as required. Undertake further site assessments to identify any new requirements to mitigate against vehicle terrorist risk.	Dale Sparks	Sean Rodgers	30 Sep 2024	CSM manager seeking professional advice form security specialist after Barnsley Council deemed the interchange to be low risk	27 Jun 2024
Tim Taylor	Reference: 2667 Prefix: OP0263	An increase in the frequency of violent and/or ASB at SYMCA public transport sites.	<b>Due to:</b> An increase in aggressive, violent ASB and/or inappropriate sexual behaviour at SYMCA public transport sites. <b>There is a risk that:</b> A serious incident results in injuries to member(s) of the public. <b>Resulting in:</b> 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 SYFP 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)	A paper proposing the installation of CCTV controlled access door to all interchange toilets will be taken for approval. Review existing systems and suitability of CCTV at interchanges for image quality, coverage of problem areas and usability for evidential purposes. 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. Renewal of SYMCA Zero Tolerance policy. Agree any additional requirements for permanent enhanced site security staff between 3pm and 11pm across high risk locations.	Dale Sparks	Michelle Stansfield	02 Aug 2024	New Action	21 Jun 2024
Dale Sparks	Reference: 2681 Prefix: OP0262	Adverse weather response plans	<b>Due to:</b> the lack of incident response plans <b>There is a risk that:</b> on site staff will be unable to effectively respond to adverse weather <b>Resulting in:</b> reputational damage, damage to property and staff and members of the public stranded.	High (4.5=20)	Business Continuity Plan staff working additional hours as good will	Medium (3.3=9)	on-call rota are required to provide coverage out of normal working hours. Desk top exercise to identify incident types and response plans	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
Tim Taylor	Reference: 1453 Prefix: OP0043	Disruption to Supertram operations as a result of extreme weather (538)	<b>Due to:</b> climate change and therefore the increase in extreme weather events <b>There is a risk that:</b> there will be increased disruption of the operation of the Supertram network <b>Resulting in:</b> poor public transport service, lower patronage, increased costs for maintenance and repair.	Medium/High (3.4=12)	System was built during the 1990's so the infrastructure is relatively new and climate change was an emerging issue.	Medium (2.4=8)	Infrastructure advisor to undertake a comprehensive review of the network to look at climate change impacts. 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.	Pat Bejler	Pat Bejler	31 Jul 2024	A Carbon Management Plan was developed as part of the OBC work, now approved by the DIT 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
								Will Dunnett	Pat Bejler	31 Dec 2024	The DIT 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

Owner	Identifier	Title	Cause and Effects	Inherent Priority	Controls Detail	Residual Priority	Actions				
							Detail	Owner	Assignee	Variable Target	Last Update Text
Tim Taylor	Reference: 1587 Prefix: OP0071	Fraudulent concessionary passes in circulation and use.	<p><b>Due to:</b> unauthorised travel passes being applied for and issued, and passes being used by other persons beside the original applicant.</p> <p><b>There is a risk that:</b> challenge by operator staff leads to conflict and/or undetected use of the pass.</p> <p><b>Resulting in:</b> 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)	<p>To identify opportunities to improve safety through the SCR Mass Transit renewals project.</p> <p>Pat Bejler</p> <p>Pat Bejler</p> <p>30 Jun 2024</p> <p>Bulk Reassign</p> <p>21 Jun 2024</p>	<p>Prepare business case options and secure funding (CRSTS)</p> <p>Tim Taylor</p> <p>Nick Brailsford</p> <p>31 Oct 2024</p> <p>Agreement of use of CRSTS funding still not completed.</p> <p>28 Aug 2024</p>	<p>Tighten up procedures regarding the replacement of lost or damaged passes to avoid unauthorised passes entering circulation.</p> <p>Suzanne Hutchinson</p> <p>Suzanne Hutchinson</p> <p>30 Nov 2025</p> <p>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.</p> <p>21 Jun 2024</p>		
							<p>Tram team to review data on passenger incidents to validate residual risk scores after controls</p> <p>Patrick Gannon</p> <p>Patrick Gannon</p> <p>24 Oct 2024</p> <p>Tram team to review data on passenger incidents to validate residual risk scores after controls</p> <p>20 Jun 2024</p>				
							<p>Tram team to review data on passenger incidents to validate residual risk scores after controls</p> <p>Patrick Gannon</p> <p>Patrick Gannon</p> <p>24 Oct 2024</p> <p>Tram team to review data on passenger incidents to validate residual risk scores after controls</p> <p>20 Jun 2024</p>				
Rachel Sprigg	Reference: 1447 Prefix: OP0040	Loss of Rail Grant (418)	<p><b>Due to:</b> DfT reducing/withdraw the Rail Admin Grant of £1.183m</p> <p><b>There is a risk that:</b> funding is insufficient to cover a number of station activities such as cleaning and maintenance</p> <p><b>Resulting in:</b> a loss of income to the SYMCA, consequential budgetary pressures and adverse impact on delivery and safety.</p>	Medium (3.3=9)	<p>Rail admin grant has been secured for 2022-23 at same level of previous years.</p> <p>Standardised funding model for DfT to award this Annualised allocation of rail admin grant from DfT (Ongoing for multiple years)</p> <p>If the Rail grant was to be reduced or stopped we have a list of the service that would be affected and how these would impact rail users, stakeholders and staff and also how these could be addressed.</p>	Medium (3.2=6)	<p>Include in risk quantification of amount of grant at risk after discussion with SYMCA finance team</p> <p>Rachel Sprigg</p> <p>Rachel Sprigg</p> <p>01 Apr 2025</p> <p>We have received no information that the Rail Grant will not be awarded</p> <p>24 May 2024</p>				
Michelle Stansfield	Reference: 1940 Prefix: OP0142	Compliance with Statute Laws and Regulations	<p><b>Due to:</b> no centralised compliance and assets record system (such as a asset management database)</p> <p><b>There is a risk that:</b> we may not be able to quickly and efficiently evidence compliance when challenged</p> <p><b>Resulting in:</b> potential legal action and financial exposure causing reputational damage</p>	High (4.4=16)	<p>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.</p> <p>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</p> <p>H&amp;S System to provide a systematic approach to managing safety risks in operations. Improve safety by building on processes, demonstrating corporate due diligence, and reinforcing the overall safety culture.</p>	Medium (2.3=6)	<p>Procurement of new CAFM system to streamline reactive/preventative/remedial maintenance. Optimising Preventative and Planned maintenance, effective asset management, effective contractor management, effective and accurate compliance monitoring and reporting, potential IoT integration, greater overall portfolio management and CAD/BIM integration. All ensuring effective cost and asset management, whilst maintaining safety at all times in line with statutory and mandatory obligations.</p> <p>Michelle Stansfield</p> <p>Philip Burgin</p> <p>30 Nov 2024</p> <p>Procurement process progressing, order submitted via framework. Revised target date to ensure action is monitored through to CAFM implementation.</p> <p>27 Aug 2024</p>				
					<p>Procurement of a H&amp;S system which will enable effective monitoring, review and assessment of H&amp;S activities within SYMCA, including all statutory/mandatory training/risk assessments.</p> <p>Michelle Stansfield</p> <p>Michelle Stansfield</p> <p>31 Dec 2024</p> <p>Currently awaiting Governance check of DPIA prior to purchase</p> <p>19 Aug 2024</p>						
Michelle Stansfield	Reference: 2726 Prefix: OP0272	Contractor Management	<p><b>Due to:</b> Lack of formal process of performance review, warning / termination systems.</p> <p><b>There is a risk that:</b> Contractors will not provide services to the standard required, including H&amp;S.</p> <p><b>Resulting in:</b> 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)	<p>Full overview of current processes following by gap analysis to enable production of a formal process.</p> <p>Michelle Stansfield</p> <p>Michelle Stansfield</p> <p>30 Sep 2024</p> <p>Analysis still on track for target date.</p> <p>19 Aug 2024</p>				
Dale Sparks	Reference: 2974 Prefix: OP0294	Risk of injury at Barnsley Interchange	<p><b>Due to:</b> Persons attempting to jump from the mezzanine floor accidentally or intentionally.</p> <p><b>There is a risk that:</b> Persons may fall to the floors below</p> <p><b>Resulting in:</b> Injury to customers and employees, reputational damage.</p>	Medium/High (4.3=12)	<p>On site Customer Service Advisors</p> <p>Application of health and safety policy regarding safe use of interchange spaces and structures.</p> <p>Periodic checks of mezzanine barriers for safe installation.</p>	Medium (3.2=6)	<p>CCAs patrols</p> <p>Dale Sparks</p> <p>Dale Sparks</p> <p>31 Aug 2024</p>				
					<p>SYP target hardening officer to review the issue and make recommendations</p> <p>Dale Sparks</p> <p>Dale Sparks</p> <p>31 Aug 2024</p>						
Tim Taylor	Reference: 1419 Prefix: OP0036	Serious tram accident (akin to Sandilands) (472)	<p><b>Due to:</b> inadequate operational and/or maintenance practices, vandalism or object left in the swept path</p> <p><b>There is a risk that:</b> a tram will overturn</p> <p><b>Resulting in:</b> in injuries or fatalities</p>	Medium (5.2=10)	<p>Liaison with the Police to investigate high vandalism areas.</p> <p>SYSL carry out driver training, accident investigation and ensure sufficiently competent staff and carry out risk assessments.</p> <p>SYSL carry out regular track patrols and maintenance activities.</p>	Medium (5.1=5)	<p>Implementation of the recommendations and processes adopted by the Light Rail Safety and Standards Board where applicable.</p> <p>Tim Taylor</p> <p>Patrick Gannon</p> <p>18 Nov 2024</p> <p>Work progressing well with testing of the overspeed device on the first Siemens tram in progress. Programme anticipates full fleet fitment by November 2024</p> <p>20 Jun 2024</p>				
					<p>System signage reviewed and drop down speeds introduced at high risk areas.</p>		<p>Implementation of Rec3 on whole fleet as a speed control device.</p> <p>Tim Taylor</p> <p>Pat Bejler</p> <p>18 Nov 2024</p> <p>Forecast project completion date is 18/11/24.</p> <p>25 Apr 2024</p>				
					<p>Vigilance device now implemented on the Siemens fleet</p>						
					<p>Vigilance device on the Citylink vehicles.</p>						
					<p>Oversight from SYMCA Tram Team</p>						

Low											
Owner	Identifier	Title	Cause and Effects	Inherent Priority	Controls Detail	Residual Priority	Actions				
							Detail	Owner	Assignee	Variable Target	Last Update Text
Jeremy Kemp	Reference: 1468 Prefix: OP0045	Verbal threats, abuse or physical assault on customer facing employees (550)	<p><b>Due to:</b> increases in anti-social behaviour</p> <p><b>There is a risk that:</b> SYMCA employees in customer-facing roles are subject to verbal threats, abuse or physical assault</p> <p><b>Resulting in:</b> their injury or an impact on their long-term ability to effectively fulfil their role</p>	Medium (2.3=6)	<p>Body-worn video to de-escalate potential incidents</p> <p>CCTV coverage to reduce likelihood of incidents or catch perpetrators</p> <p>Employee training on dealing with threatening or violent members of the public</p> <p>HR policies which describe minimum requirements for these roles</p> <p>Minimum staffing levels in our interchanges to prevent lone working</p> <p>Promotion of SYP partnership (travel safe)</p> <p>Zero tolerance policy promoted around sites</p>	Low (2.2=4)	<p>To ensure all CSM's complete refresher training</p> <p>Jeremy Kemp</p> <p>Jeremy Kemp</p> <p>30 Sep 2024</p> <p>again asked HR today (21/06/2024) to see what is being done about conflict training for my team of CSM's</p> <p>21 Jun 2024</p>				



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><b>Due to:</b> Not using corporate agreed software or standards.</p> <p><b>There is a risk that:</b> Unsupported legacy software / ways of working continue eg sharing files via email and printing</p> <p><b>Resulting in:</b> 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	Cassie Bell	30 Sep 2024	Liaising with new Head of Organisational Development to progress enhancement of training offer.	21 Aug 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				Nick Brailsford		Nick Brailsford	30 Sep 2024	Digital Strategy workshops have commenced.	21 Aug 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><b>Due to:</b> Power outage, virus/malware or DoS attack, fire, flood etc</p> <p><b>There is a risk that:</b> SYMCA is unable to operate, access systems and data to generate information including corporate performance</p> <p><b>Resulting in:</b> 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. Actions have also been subject to a follow up audit by RSM.	21 Aug 2024				
					Data processes and procedures exist to facilitate performance reporting.		Develop 'Digital Strategy' to define a cloud first strategy.				Nick Brailsford		Nick Brailsford	31 Dec 2024	Digital Strategy workshops underway. Revised target date to end Dec.	12 Sep 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><b>Due to:</b> the removal of on premise support for Microsoft Dynamics CRM in January 2026</p> <p><b>There is a risk that:</b> public transport functions e.g pass processing, contact centre services, public information displays, will not be available</p> <p><b>Resulting in:</b> 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	31 Oct 2024	Agreement of use of CRSTS funding still not completed.	28 Aug 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><b>Due to:</b> an increase in the number of cyber-attacks, due to the increasing reliance on digital</p> <p><b>There is a risk that:</b> there is a successful cyber attack</p> <p><b>Resulting in:</b> 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)	Agree internal audit recommendations and develop plan for implementation.	Nick Brailsford	Claire James	30 Sep 2024	Implementation plan underway and being monitored by IGWG. Actions have also been subject to a follow up audit by RSM.	21 Aug 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><b>Due to:</b> a lack of capacity and/or capability</p> <p><b>There is a risk that:</b> processes and procedures for information governance inc. Data Protection are inadequate or ineffective</p> <p><b>Resulting in:</b> 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)	Review policies and procedures	Claire James	Kyle Hopkins	30 Nov 2024	Review underway and timetable developed for policies to be consider/socialised with CDT. Revised target date.	21 Aug 2024				
					Information Governance Officer role is on the establishment structure and recruited to		Review required along with the Governance Team to identify any additional policy and guidance gaps.				Claire James		Kyle Hopkins	30 Nov 2024	Review underway and timetable developed for policies to be consider/socialised with CDT. Revised target date.	21 Aug 2024
							Governance Team and Assets to review Records Retention and Destruction Schedule, to include arrangements for archiving as part of next phase of accommodation review.				Claire James		Kyle Hopkins	30 Nov 2024	Policy/Schedule being reviewed to incorporate Policing and Reform. Archiving discussion scheduled with HoAF 10th Sept. Revised target date.	21 Aug 2024
							Review SYMCA policies and procedures against those for PCC to ensure relevant information is captured across both.				Claire James		Kyle Hopkins	30 Nov 2024	Review underway and timetable developed for policies to be consider/socialised with CDT. Revised target date.	21 Aug 2024
Nick Brailsford	Reference: 1380 Prefix: OP0028	Volume of IT Systems	<p><b>Due to:</b> The significant volume of different systems within the organisation.</p> <p><b>There is a risk that:</b> Too many systems to support and maintain</p> <p><b>Resulting in:</b> 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)	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.	Nick Brailsford	Nick Brailsford	30 Sep 2024	Digital Strategy workshops underway.	21 Aug 2024				
					Coding and storage standards are in place along with documentation for each application.		Develop a technical change management process.				Nick Brailsford		Rebecca Roe	30 Sep 2024	Change Management Standard drafted and additional work in progress to enhance the approach to managing change.	21 Aug 2024
					Incremental changes and training.											
Steve Davenport	Reference: 1056 Prefix: OP0007	General Data Protection Regulations	<p><b>Due to:</b> a lack of awareness and capability</p> <p><b>There is a risk that:</b> there is breach of general data protection regulations (GDPR) duties</p> <p><b>Resulting in:</b> 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)	Annual action plan produced setting out agreed actions to improve GDPR compliance to be refreshed.	Claire James	Kyle Hopkins	30 Nov 2024	Initial plan drafted. Further work to be undertaken before considered implemented and a 'control'. Revised target date.	21 Aug 2024				
					Data Protection Officer and Senior Information Risk Owner appointed.		Completion rates for GDPR training need to be improved. Non-completers and overdue learners to be contacted. Process to monitor completion rates to be implemented.				Claire James		Kyle Hopkins	31 Dec 2024	People Services L & D team have cleansed data and are now regularly monitoring completion rates. Revised target dates until a steady state is achieved.	21 Aug 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><b>Due to:</b> the turnover rate of MCA employees and the IT resource required to deal with starters and leavers</p> <p><b>There is a risk that:</b> time available to carry out daily security checks will be reduced</p> <p><b>Resulting in:</b> 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)	Work underway to evolve 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.	Nick Brailsford	Cassie Bell	31 Oct 2024	AUP going through the process of sign off. Process/solution for recording employee acceptance being identified.	21 Aug 2024				
Claire James	Reference: 2901 Prefix: OP0289	AI Applications	<p><b>Due to:</b> inappropriate use of AI applications</p> <p><b>There is a risk that:</b> confidential information or data is disclosed or, factually incorrect or biased information or poisoned data is used for corporate purposes</p> <p><b>Resulting in:</b> reputational damage, lack of data integrity and misinformed decisions</p>	Medium (3.3=9)	New Acceptable Use Policy includes clause relating to appropriate use of AI	Medium (3.2=6)	Draft AI Use Standards to be signed off.	Claire James	Christine Marriott	30 Nov 2024	AI Policy added to pipeline for CDT review and feedback on 11th September. Revised target date to monitor progress until published on intranet.	21 Aug 2024				