

TAYSIDE AND CENTRAL SCOTLAND TRANSPORT PARTNERSHIP

19 MARCH 2019

REVIEW OF RISK REGISTER

REPORT BY DIRECTOR

This report presents the Partnership's Risk Register for annual review and approval by the Partnership.

1 RECOMMENDATIONS

1.1 That the Partnership :-

- (i) reviews the Risk Register which forms Appendix A to the report; and
- (ii) agrees to receive a further report reviewing and updating the Risk Register not later than March 2020.

2 BACKGROUND

2.1 At its meeting on 21 June 2011 the Partnership approved a Risk Management Policy and Strategy (Report RTP/11/14 refers). This recognises that compliance with the principles of best value and good corporate governance requires a formalised approach to the management of strategic, operational and financial risks which the Partnership may face, in a proactive and controlled manner.

2.2 The Risk Management Policy and Strategy was reviewed and updated in December 2016, as part of the Partnership's agreed approach to undertaking periodic comprehensive review of its Core Governance Policies (Report RTP/16/34 refers).

2.3 The Risk Register, which supports implementation of the Risk Management Policy and Strategy, is reviewed formally by the Partnership at least annually. The Partnership last reviewed its Risk Register at its meeting on 27 March 2018 (Report RTP/18/07 refers).

3 DISCUSSION

3.1 The Risk Register reflects the Partnership's status along with primary statutory duties and responsibilities in relation to :-

- the future of the Partnership's role and responsibilities pending the NTS2 and STPR2 national reviews;
- the role of the Partnership with regard to the collaboration arrangements for the respective City Deals;

- development, monitoring and overseeing the implementation of the Regional Transport Strategy;
 - engaging in and supporting Community Planning;
 - acting as a Key Agency in the Development Planning process; and
 - ensuring advice is made available on the potential impact of Brexit.
- 3.2 The Register identifies and takes account of relevant strategic, operational and governance risks, including any key risks identified during annual audit processes by external auditors and through other internal and external review processes.
- 3.3 The main areas of identified risk are categorised in relation to (1) Reviews, Collaboration & Governance; (2) RTS Development and Delivery; (3) Management and Operation of the Partnership; and (4) Financial. The various risks are monitored and updated by the Director and Treasurer.
- 3.4 Risk Controls and Actions were previously updated in March 2017 and March 2018 to reflect major actions such as refresh of the RTS and review of the RTS Delivery Plan and Monitoring Framework. The Register has been further updated to reflect completion of and progress against these key activities during 2018/19, with the addition of a section on risks relating to the national reviews and emerging regional collaborative arrangements.
- 3.5 Review of the Register during 2018/19 included these additional risks along with a reclassification of a number of Management/Operational risks, which had been increased during 2017 and 2018 owing to identified risks in relation to succession planning and as a result of planned and unplanned staff turnover during that period. Following successful completion and implementation of a review of the Partnership's Management and Staffing structures during 2017/18 and the successful conclusion of recent staff recruitment processes which have returned the Partnership to a full staffing complement, including the appointment of a new Partnership Director effective from 1 July 2018, the associated Management/Operational residual risks in the Appendix have been downgraded from High to Medium accordingly.
- 3.6 At its meeting on 12 December 2017 the Partnership noted the publication of a Public Sector Action Plan setting out a number of key actions requested of public sector organisations, which are designed to implement a common and robust approach to cyber resilience across the public sector (Report RTP/17/39 refers). The Action Plan sets out 11 key actions with various timelines and milestones during 2018 and beyond on issues including governance; independent assurance on critical controls; training and awareness raising; incident response;

supply chain cyber security; and monitoring and evaluation. Tactran's IT systems, procurement and support are provided under a Service Level Agreement (SLA) with Perth & Kinross Council. It has been confirmed that the various Public Sector Action Plan requirements affecting Tactran will be addressed through development and updating of the current SLA with the Council's IT service and providers. Discussions are ongoing regarding the various technical and operational aspects of compliance with the Public Sector Action Plan and the Partnership's Risk Register will be further reviewed to reflect these ongoing discussions and developments in relation to cyber resilience, as noted in Risk 3.2.

- 3.7 As identified through successive annual audits, the principal strategic risks facing the Partnership are in relation to securing the necessary commitment and funding to supporting implementation of the RTS and associated Delivery Plan. As part of the 2018/19 review a number of references were included to reflect the proposals for implementation of the now approved City Deals for the Tay Cities and Stirling & Clackmannanshire city-regions offer in relation to securing Government and other funding commitment for advancing a number of RTS Delivery Plan proposals. The partnership will now be focused on developing the business cases to secure the agreed funding via the Regional transport Working Groups.
- 3.8 Officers continue to seek and explore other opportunities for leveraging external and matched delivery funding to support development and delivery of the RTS, including continued work and partnering with relevant delivery agencies such as Sustrans, Cycling Scotland, transport operators and Transport Scotland.
- 3.9 The Partnership is asked to review the Risk Register at Appendix A and to approve this as a basis for ongoing review during 2019/20, and to receive a further report reviewing the Register within 12 months. Areas where revisions and updating of the Register have been included are highlighted in yellow for ease of identification.

4 CONSULTATIONS

- 4.1 The Risk Register has been developed and updated having regard to the Partnership's core statutory duties and responsibilities, taking account of emerging operational and legislative issues and other areas of risk identified during annual audit processes.

5 RESOURCE IMPLICATIONS

- 5.1 This report has no additional resource implications.

6 EQUALITIES IMPLICATIONS

- 6.1 This report has been screened for any policy implications in respect of Equality Impact Assessment and no major issues have been identified.

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NOTE

The following background papers, as defined by Section 50D of the Local Government (Scotland) Act 1973 (and not containing confidential or exempt information) were relied on to a material extent in preparing this Report.

Report to Partnership RTP/11/14, Review of Governance Policies and Procedures, 21 June 2011

Report to Partnership RTP/16/34, Review of Core Governance Policies and Procedures, 6 December 2016

Report to Partnership RTP/16/04, Review of Risk Register, 8 March 2016

Report to Partnership RTP/17/02, Review of Risk Register, 14 March 2017

Report to Partnership RTP/17/39, Directors Report, 12 December 2017

Report to Partnership RTP/18/07, Review of Risk Register, 27 March 2018