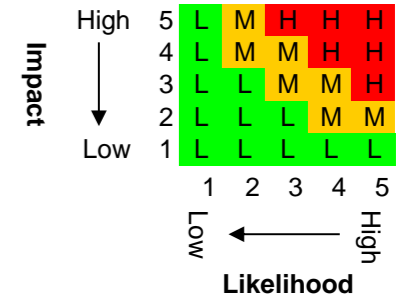
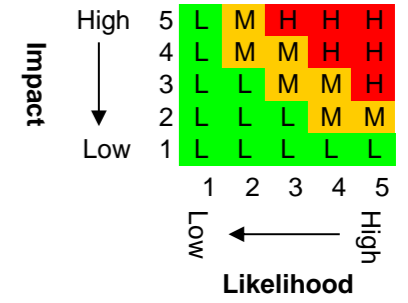


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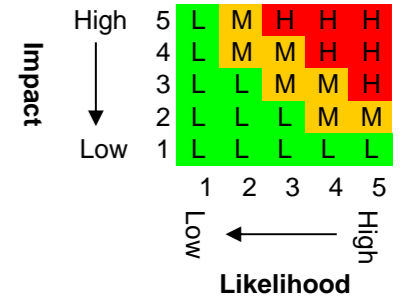
Ref	Detail	Nature of Risk	Inherent				Residual				Owner	Actions
			Impact	Likelihood	Risk	Controls	Impact	Likelihood	Risk			
1 Existential Risks - Reviews, Collaboration & Governance												
1.1	The process and outcome of the NTS2 Review diminishes the role of the Partnership and undermines delivery of the RTS.	Strategic/Governance	5	5	H	Mitigate the uncertainties of the NTS2 Review through positive advocacy with Scottish Ministers, Transport Scotland and COSLA both directly and via the RTP Chairs' Forum.	5	3	H	Director/Partnership Board Members	Continue to engage with Scottish Government, Transport Scotland and partner Councils advocating for the positive role of RTPs and extolling the virtues of the regional integration of transport, planning and economic development.	
1.2	The process and outcome of the STPR2 Review diminishes the role of the Partnership and reduces its ability to secure funding to deliver the RTS.	Strategic/Financial	5	4	H	Mitigate the uncertainties of the STPR2 Review through positive advocacy with Scottish Ministers and Transport Scotland both directly and via the Regional Transport Working Group.	5	3	H	Director/Partnership Board Members	Continue to engage with Scottish Government, Transport Scotland, partner Councils, City Deals and other stakeholders seeking potential new funding and delivery opportunity to advance implementation of RTS.	
1.3	The collaborative arrangements established through the respective City Deals and associated Regional Transport Working Groups are not effective and reduce the ability of Partnersip to deliver the RTS.	Strategic/Governance	5	4	H	Postively shape the governance arrangements for the City Deal Joint Committees and Regional Transport Working Groups to acknowledge the role of transport investment in securing sustainable and inclusive economic growth.	5	3	H	Director/Partnership Board Members	Continue to engage with Scottish Government and Transport Scotland, partner Councils, City Deals and other stakeholders seeking to shape the emerging governance arrangements providing a robust platform for delivering the RTS.	
1.4	Partnership Board fails to function collegiatly	Governance	5	3	H	Induction training undertaken for new Members at start of each new Council election cycle and periodically to take account of changing circumstances. Providing the opportunity to discuss the emerging organisational landscape and relay a Partnership view to partner agencies	5	2	M	Director/Proper Officers/Partnership Board Members	Induction training delivered to all Board Members at June 2017 meeting and will be supplemented periodically as required in response to changes to legislative or other controls and issuing of new or amended Guidance. Private & confidential discussion on Governance facilitated at the December 2018 Board meeting and relayed to Transport Scotland.	
1.5	The outcome of Brexit, withdrawal from the EU, has an adverse impact on the development, planning and operation of the transport network in the Tactran area.	Strategic/Governance	5	5	H	Maintain a regular obverview of the implications of Brexit on the development and delivery of the Regional Transpoort Strategy and to highlight any potential for adverse impacts on the operation of the transport network and key gateway sites in the Tactran area.	5	2	M	Director/Proper Officers/Partnership Board Members	Ensure that partner Local Authorities and owners/operators of key transport gateways, e.g. ports etc. remain aware of the current guidance issued from the Department of Transport and Transport Scotland and to publish links to this guidance on the Tactran web site.	

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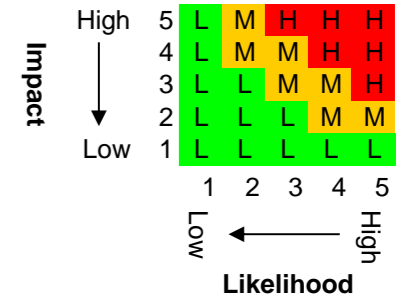
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2 Strategic Risks - RTS Development and Delivery												
2.1	Councils and other public sector stakeholders may not prioritise the delivery of Regional Transport Strategy objectives and RTS Delivery Plan measures.	Political/Financial	5	4	H	Monitoring Framework and Revenue and Capital Programmes monitoring systems in place to review and report on success in delivering RTS. Review of RTS Delivery Plan and RTS Monitoring Framework completed during 2016 having regard to recommendations identified in Annual Audit Reports (ISA 260). RTS Delivery Plan 2016-2021 identifies priorities and lead and supporting delivery agencies/partners. Relevant RTS priorities included in emerging City Deals for Tay Cities and Stirling, with potential for Government and other partner delivery commitment and funding through these.	5	2	M	Director/Senior Strategy Manager	Proactive engagement by Tactran officers within partner Councils, Community Planning, Development Planning, City Deals and related CPP Action Programming to promote strategic benefits of RTS in supporting delivery of local and national outcomes.	

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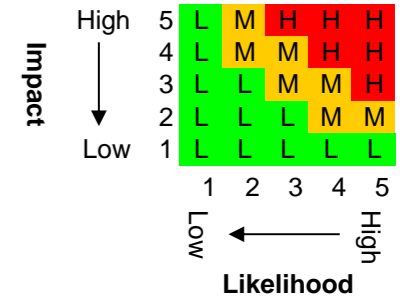
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2.2	Lack of delivery funding to support implementation of Regional Transport Strategy.	Financial/Political	4	4	H	Investigate alternative sources of delivery and match funding	4	3	M	Director /Partnership Board Members	Investigate and engage with City Deals, Transport Scotland, Councils, operators and other potential partners on availability of match funding
						Engage with partner Council Revenue Budget and Capital Programme processes. Engage with City Deals				Director/Partnership Board Members/Senior Partnership Manager	Liaise with Council Chief Officers and Heads of Finance on annual Revenue and Capital Budget setting processes. Review of RTS Delivery Plan has included agreement on proposed profiling and prioritisation of RTS delivery.
						Make case for prioritising RTS interventions and actions with Councils and with Government				Director/Partnership Board Members	Continue to engage with CPPs, emerging City Deal governance structures, and Development Planning Authorities promoting case for a strategic transport delivery focus
2.3	Case for delivery of RTS not recognised by Stakeholders	Political/Public	4	4	H	Ongoing promotion of benefits of RTS through effective promotion, publicity campaigns and communication through website, press releases and stakeholder newsletters	4	2	M	Director/Chair/Partnership Board	Review of RTS Delivery Plan included consultation with all relevant stakeholders and partners on prioritisation and profiling of RTS delivery. Promote case for RTS delivery priorities through City Deals and through influencing forthcoming review of the Strategic Transport Projects Review commencing late 2018/19
						Promote benefits and case for RTS with Scottish Government, City Deals, Councils, transport providers and business				Director/Chair/Partnership Board	Ongoing discussion with City Deals, Transport Scotland and other stakeholders on promoting and developing business case for RTS priority actions
2.4	RTS policies and priorities not identified in Strategic and Local Development Plans	Strategic	4	1	L	Officers fully engaged in SDP and LDP key stakeholder groupings.	4	1	L	Director/Senior Partnership Manager	Maintain existing officer input to SDP and LDP processes. Relevant RTS Delivery Plan priorities embedded with TAYplan SDP Action Plan and LDP Action Plans. Review of RTS Delivery Plan maintained and strengthened alignment with reviewed and updated SDP and LDPs.
											Partnership receives reports at key Main Issues Report, Proposed Plan and Action Programme stages of SDP/LDP processes

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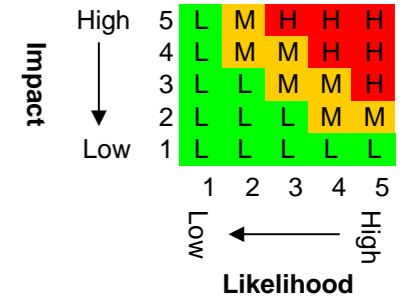
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2.5	The Partnership fails to engage fully in Community Planning	Strategic	4	1	L	Officers proactively engaged in CPPs and relevant Thematic Groupings	4	1	L	Director/Senior Partnership Manager	Maintain and strengthen officer input to CPP governance and delivery activity aligning RTS priorities with supporting CPP and local outcomes. Active engagement of Partnership officers in ongoing review of CPP structures and endorsement by Board of Locality Outcomes Improvement Plans (LOIPs) replacing former SOAs in 2018/19 and through ongoing contribution to the development of emerging Locality Plans and priorities.
										Director	Partnership receives regular reports on SOA approval, development and Action Programming. LOIPs endorsed by Partnership Board on 12/12/17 and ongoing officer engagement on related LOIP action planning. Partnership Board to receive at least annual progress update on contributing to LOIPs.
										Director	Governance procedures and RTS Delivery Plan and priorities have been developed and are regularly reviewed to ensure continued alignment with CPP/LOIP objectives and delivery
2.6	Projects are not delivered in accordance with programme and budget	Operational/Financial	4	3	M	Project Risk Assessment carried out as part of Project Management process	4	1	L	Senior Partnership Manager	Review of RTS Delivery Plan completed during 2016 included agreement with partner Councils and other lead/supporting agencies on prioritisation, profiling and programming of RTS delivery moving forward
						Regular monthly monitoring of progress in liaison with project delivery partners and contractors and quarterly reporting to Partnership Board on Revenue expenditure and Capital Programme monitoring as necessary				Senior Partnership Manager	

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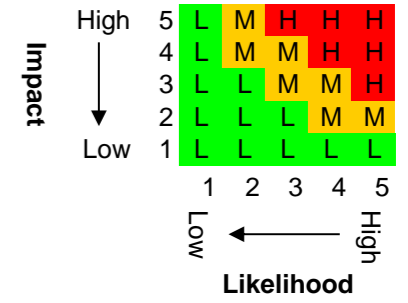
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3 Management/ Operational Risks											
3.1	Inadequate staff resource available to carry out actions agreed by Board	HR/ Financial	5	3	H	HR support in employing optimum staff complement	4	1	L	Director	Resources planning taken into account in reporting to Board and as part of Board Action reviews. Revised Management and staffing structures approved by Board and successfully implemented during 2017/18 to address succession planning requirements and planned and unplanned staff turnover.
						Staff training and development				Director	Ongoing review of staff development and training needs by Director
3.2	Failure of IT systems including cyber attack	Technical	4	3	M	Effective and reliable IT support systems	4	1	L	Office Manager	Employment of effective IT support services through SLA with Perth & Kinross Council
						Secure and effective backup arrangements for hardware and files				Office Manager	Secure backup and file management systems maintained and updated through IT SLA review process and through new, statutory Records Management Plan systems and approaches. SLA to be updated during 2018/19 to take account of new Public Sector Action Plan on Cyber Resilience
						Systematic updates to server, laptops and website				Office Manager/IT support	Annual review of IT system capability and renewals through SLA with Perth & Kinross IT. Updating of office desktop hardware for all staff undertaken in 2018/19.
3.3	Action by Partnership staff, members or partners exposes Partnership to corporate or financial liability	Operational/Financial	5	2	M	Financial Regulations and Scheme of Delegation	5	1	L	Director/Treasurer	Regular reviews of Financial and other Control Systems
						Service procurement and monitoring arrangements in place				Director/Treasurer	Monthly financial monitoring meetings with Finance support staff monitoring

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3.4	Reliance on knowledge and actions of individuals may result in business failure if they leave or are unavailable, i.e. single points of failure.	Human Resources	5	4	H	HR procurement arrangements and employment conditions adequate to retain staff and replace individuals if needed	5	2	M	Director/ HR support	Review of Management and staffing structure approved and successfully implemented during 2017/18 designed to ensure continuity of appropriate personnel and experience. New Records Management Plan and systems will assist with business continuity planning.
						Staff training and development needs reviewed annually				Director	Review staff training and development requirements moving forward.
3.5	Non compliance with Freedom of information requirements	Legislative	5	3	H	Maintain approved Publication Scheme	5	2	L	Director	Arrangements in place for dealing with FOI requests in compliance with statutory requirements.
3.6	Failure to comply with relevant legislation and recognise implications of new legislation	Legislative	5	3	H	Monitoring of reports and recommended actions and relevant statutory changes	5	1	L	Legal Officer/Director	Ongoing monitoring of Scottish Government/Parliament legislative processes and other relevant Government publications.
3.7	Failure to comply with relevant Health & Safety Regulation	Legislative	5	2	M	Written policies covering Health & Safety for staff and Members	5	1	L	Director	Ongoing review.
						Workplace areas assessed and safe working procedures documented for operational areas				Office Manager	Ongoing review.
						Fire safety procedures and recognised First Aider cover in place				Office Manager	Ongoing review.

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4 Financial Risks												
4.1	Expenditure exceeds budget	Financial	4	3	M	Effective financial monitoring, reporting and control systems at Board and officer level are in place to manage expenditure	4	1	L	Treasurer/Director	Regular monthly monitoring meetings with Finance support staff and regular quarterly monitoring reports on Revenue Expenditure to Partnership Board and on Capital Programmes as necessary.	
4.2	Projects expenditure slips resulting in year on year funding discrepancy	Financial	4	3	M	Effective financial monitoring reporting and control systems in place to manage project expenditure Arrangements are in place to manage slippage across Financial Years where necessary	4	2	M	Treasurer/ Director Director	Regular reviews undertaken to monitor expenditure during year, meetings with Finance Manager by exception. Programmes varied by Board to reflect changes. Continue too seek amendment to statutory controls to enable creation of RTP Reserves funds and carry over of reserves across Financial Years. Response submitted to Scottish Government consultation in January 2018 on proposal to extend balances/reserves flexibility to RTPs. Scottish Government response to consultation currently awaited.	
4.3	Theft or loss of assets exposes Partnership to loss of reputation or financially	Financial/Reputational	5	2	M	External security measures in place Adequate insurance cover in place	3	1	L	Office Manager Office Manager		