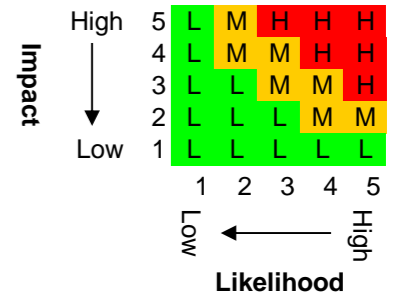
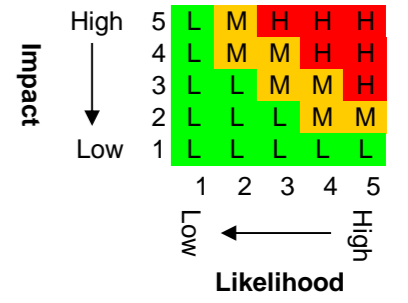


TACTRAN
RISK MANAGEMENT - CONTROLS
 DATE 12-Feb-24



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	3	H	The published NTS2 references a regional approach to transport governance. Mitigate the uncertainties through positive advocacy with Scottish Ministers, Transport Scotland and COSLA both directly and via the RTP Chairs' Forum. Also, active participation in the Roles & Responsibilities review.	5	2	M	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	3	H	Mitigate the uncertainties of the STPR2 Review by Tactran handing over to Hitrans acting as Secretariat/Support to the RTWGs and positively influence the STPR.	5	2	M	Director/Partnership Board Members	Continue to engage with Scottish Government, Transport Scotland, Consultants, partner Councils, City Deals and other stakeholders seeking potential capital investment for sustainable transport initiatives.	
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 Partnership to deliver the RTS.	Strategic/Governance	5	2	M	Positively 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	2	M	Director/Partnership Board Members	Continue to engage with Scottish Government and Transport Scotland, partner Councils, City Deals and other stakeholders. Governance arrangements are working well in Tay Cities Deal and work ongoing to improve Forth Valley arrangements.	
1.4	Partnership Board fails to function collegiately	Governance	5	2	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. The appointment of new Cllr and non-Cllr Member/s as required.	5	1	L	Director/Proper Officers/Partnership Board Members	Induction training delivered to all Board Members on appointment 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 for the new Board Members 2023/24.	
1.5	The outcome of Brexit, withdrawal from the EU, is still not fully understood and this may have impacts on transport operations especially concerning key gateway sites in the Tactran region.	Strategic/Governance	4	4	H	The UK has now formally left the EU. Maintain a regular overview of the implications of Brexit on the development and delivery of the Regional Transport Strategy	4	3	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.	

TACTRAN
RISK MANAGEMENT - CONTROLS
 DATE 12-Feb-24

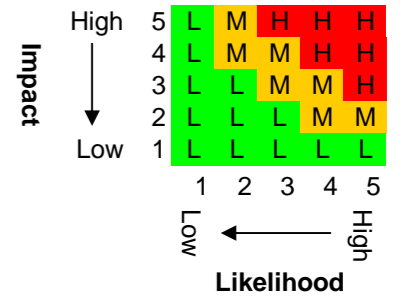


Inherent

Residual

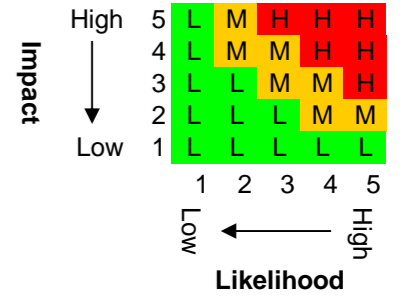
Ref	Detail	Nature of Risk	Impact	Likelihood	Risk	Controls	Impact	Likelihood	Risk	Owner	Actions
1.6	Inflation	Strategic/ Governance	5	5	H	Inflationary pressures risk the delivery of programmes and projects. Maintain a regular overview of implications	5	4	H	Director/ Senior Manager	Review impacts of cost pressures on projects and programmes

TACTRAN
RISK MANAGEMENT - CONTROLS
 DATE 12-Feb-24



Ref	Detail	Nature of Risk	Inherent				Residual				Owner	Actions
			Impact	Likelihood	Risk	Controls	Impact	Likelihood	Risk	Controls		
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 2016-21 identifies priorities and lead and supporting delivery agencies/partners. Relevant RTS priorities included in 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. The delivery plan 2016-2021 will continue to be used while the new RTS is developed.	
2.2	Lack of delivery funding to support implementation of Regional Transport Strategy.	Financial/Political	5	5	H	Investigate alternative sources of delivery and match funding. Working with L A's, TS and other partners to create working partnerships to jointly use resources more effectively.	5	4	H	Director /Partnership Board Members	Investigate and engage with City Deals, Transport Scotland, Councils, operators and other potential partners on availability of match funding.	
2.3	New Funding allocated to RTP's for Active Travel Behaviour Change	Financial/Political	5	5	H	Engage with Local Authority and other Partners to deliver new programme of active travel behaviour change initiatives Engage with partner Council Revenue Budget and Capital Programme processes. Engage with City Deals Make case for prioritising RTS interventions and actions with Councils and with Government	5	3	M	Director/Partnership Board Members/Senior Partnership Manager Director/Partnership Board Members	Ensure consultations with partners continues to ensure a targeted approach to AT behaviour change to deliver on RTS and NTS objectives. 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. Continue to engage with CPPs, emerging City Deal governance structures, and Development Planning Authorities promoting case for a strategic transport delivery focus	
2.4	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 Promote benefits and case for RTS with Scottish Government, City Deals, Councils, transport providers and business	4	2	M	Director/Chair/Partnership Board Director/Chair/Partnership Board	Re-write of RTS Delivery Plan will 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. Ongoing discussion with City Deals, Transport Scotland and other stakeholders on promoting and developing business case for RTS priority actions	

TACTRAN
RISK MANAGEMENT - CONTROLS
 DATE 12-Feb-24

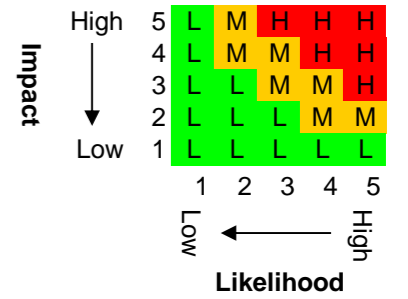


Inherent

Residual

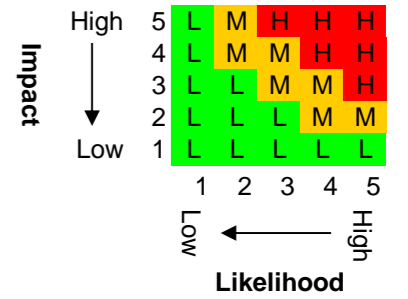
Ref	Detail	Nature of Risk	Impact	Likelihood	Risk	Controls	Impact	Likelihood	Risk	Owner	Actions
2.5	RTS policies and priorities not identified in Regional Spatial Strategies and Local Development Plans	Strategic	4	1	L	Officers fully engaged in RSS and LDP key stakeholder groupings. Also in the NPF4.	4	1	L	Director/Senior Partnership Manager	Maintain existing officer input to RSS and LDP processes. Relevant RTS Delivery Plan priorities embedded with RSS and LDP Action Plans. Rewrite of RTS Delivery Plan will maintained and strengthened alignment with reviewed RSS and updated LDPs. Also with the NPF4.
2.6	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	Partnership receives reports at key Main Issues Report, Proposed Plan and Action Programme stages of RSS/LDP/NPF4 processes 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
2.7	Projects are not delivered in accordance with programme and budget	Operational/Financial	4	3	H	Project Risk Assessment carried out as part of Project Management process 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	4	1	L	Senior Partnership Manager	Review of RTS Delivery Plan to be completed during 2024 will included agreement with partner Councils and other lead/supporting agencies on prioritisation, profiling and programming of RTS delivery moving forward
										Senior Partnership Manager	

TACTRAN
RISK MANAGEMENT - CONTROLS
 DATE 12-Feb-24



Ref	Detail	Nature of Risk	Inherent				Residual				Owner	Actions
			Impact	Likelihood	Risk	Controls	Impact	Likelihood	Risk			
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	2	M	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 2018/2019.	
3.2	Funding allocation from partner Local Authorities	HR/Financial	4	4	H	Funding from Local Authority partners has not risen over many years in line with inflation or with the growing work load undertaken by the team. Annual Funding from TS is uncertain and project funding is uncertain year on year. This has a material impact on staff retention and the delivery of the RTS.	4	3	M		A discussion with partner Local Authorities to take place and report to the board.	
3.3	No HR Support for Tactran	HR/Financial	4	3	M	HR Support SLA to be sought from partner LA's and RTP's. Staff training and development	4	2	M	Director Director	An SLA will be sought to cover HR support to Tactran. Ongoing review of staff development and training needs by Director/Team.	
3.4	Failure of IT systems including cyber attack	Technical	4	3	M	Effective and reliable IT support systems Secure and effective backup arrangements for hardware and files Systematic updates to server, laptops and website	4	1	L	Office Manager Office Manager Office Manager/IT support	Employment of effective IT support services through SLA with Perth & Kinross Council 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 updated during 2020/21 to take account of new Public Sector Action Plan on Cyber Resilience Annual review of IT system capability and renewals through SLA with Perth & Kinross IT. Updating of office desktop hardware for all staff undertaken in 2020/21.	
3.5	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 Service procurement and monitoring arrangements in place	5	1	L	Director/Treasurer Director/Treasurer	Regular reviews of Financial and other Control Systems Monthly financial monitoring meetings with Finance support staff monitoring	

TACTRAN
RISK MANAGEMENT - CONTROLS
 DATE 12-Feb-24

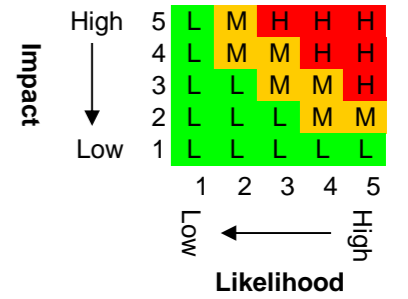


Inherent

Residual

Ref	Detail	Nature of Risk	Impact	Likelihood	Risk	Controls	Impact	Likelihood	Risk	Owner	Actions
3.6	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	New Records Management Plan- Work Programme and systems will assist with business continuity planning.
						Staff training and development needs reviewed annually				Director	Review staff training and development requirements moving forward.
3.7	Non compliance with Freedom of information requirements	Legislative	5	3	H	Maintain approved Publication Scheme	5	2	M	Director	Arrangements in place for dealing with FOI requests in compliance with statutory requirements.
3.8	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.
3.9	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.

TACTRAN
RISK MANAGEMENT - CONTROLS
 DATE 12-Feb-24



Ref	Detail	Nature of Risk	Inherent				Residual				Owner	Actions
			Impact	Likelihood	Risk	Controls	Impact	Likelihood	Risk			
4.1	Late announcement of local government settlement and hence Grant-in-Aid and LA contribution support for 2023/24.	Financial	5	3	H	Liaise with Transport Scotland, Treasurer and constituent Councils on likely outcome of LG settlement for 2024/25.	4	1	L	Treasurer/Director	Budget for 2024/25 and plan Core and RTS budgets to be confirmed and expected to stay the same as 2023/24.	
4.2	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.	
4.3	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	1	L	Treasurer/ Director Director	Regular reviews undertaken to monitor expenditure during year, meetings with Finance Manager by exception. Programmes varied by Board to reflect changes. Statutory controls amended to enable creation of RTP Reserves funds and carry over of reserves across Financial Years. This was included as Section 122 of the Transport (Scotland) Act Reserve strategy.	
4.4	Theft or loss of assets exposes Partnership to loss of reputation or financially	Financial/Reputational	5	2	M	External security measures in place	3	1	L	Office Manager		
4.4	Opportunities for better partnership working and possibility of additional resources allocated to RTP model 3 vs RTP Model 1	Financial	4	3	M	Adequate insurance cover in place Review needed to understand implication to Tactran Region	3	1	L	Office Manager Director/ Senior Manager/LA Officers	Ongoing Ongoing	
4.5		COVID 19 Strategic Outlook	4	3	M	Uncertainty over impact on travel demand and supply during Scotland's recovery from Covid 19	3	3	M		All data collected by Tactran and partners will be used to assist re-writing of the RTS and Tactran transition planning.	
		Hybrid Working	3	2	L		3	2	L		Tactran has converted to hybrid working with most business undertaken online.	