



**Risk Management: Risk Register Update – November 2022**


# RISK MANAGEMENT - CONTROLS

DATE

- 11-Oct-2022

Ref	Detail	Nature of Risk	Inherent				Residual				Owner	Actions
			Impact	Likelihood	Risk	Controls	Impact	Likelihood	Risk			
<b>100 Strategic Risks - RTS delivery</b>												
101	Stakeholders may not focus efforts towards delivery of the RTS	<b>Political</b> - Councils and local public sector stakeholders may focus on Local Outcome Improvement Plan commitments, and Governments on national priorities in other areas	5	4	H	1. monitoring systems in place to review and report on success in delivering RTS  2. RTP makes case for transport interventions and actions through CPP and LOIP process	5	3	H	Director/ Board	1. HITRANS lobbies for refocusing of national funding to provide element for regional projects and is currently represented various national influencing groups.  2. HITRANS continues to engage with CPPs and Development Planning Authorities promoting case for a strategic transport focus. This includes inputting to the LOIP development and other strategic activity including Growth Deals and RTS.	
102	Funding may not be available to deliver the interventions necessary to deliver the RTS.	<b>Financial/ political</b>	4	5	H	1. RTP looks for alternative sources of match funding	4	3	M	Director /Board/ Officers	1. HITRANS continues to engage with CPPs and Development Planning Authorities promoting case for a strategic transport focus including opportunities for Growth / City Deals.	

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2. RTP makes case for transport interventions and actions to Government



2. Commitment by Government to deliver a number of key road and rail projects within the region as part of the Infrastructure Investment Plan

3. RTS Refresh completed in 2017/18 and reflects current programmes and plans that impact on RTS Delivery. The draft document was not signed off at Ministerial level due to NTS having commenced so it is intended to undertake a final refresh of the document to align with NTS.

4. HITRANS continues to look to work with regional partners to realise new funding opportunities including from EU (Horizon) programmes. Officers recognise the risk from Brexit but in the short term EU funding is confirmed and HITRANS is already actively investigating alternative external funding streams.

5. RTPs are represented across NTS delivery groups and Governance Review Board and will continue to seek influence into the development NTS delivery plan.

103	Case for delivery of RTS not made and reinforced	<b>political</b>	5	4	H	<p>1. development of effective publicity through website and press releases and newsletters</p> <p>2. Chair and Vice Chair to promote case with Government, business and Council leaders</p>	5	3	M	Director/ chair and Vice Chair	<p>1. Case for specific projects, e.g. rail projects, A9, A96, A82, air access to London, promoted both publicly and in private with Government and key stakeholders</p> <p>2. An annual meeting invitation will be extended to the Minister for Transport to meet the Chair and Director to build on the good relationship HITRANS enjoys with Ministers.</p>
104	Continuity of Board focus and effectiveness	<b>political</b>	4	4	M	<p>1. Councils in appointing Members to the HITRANS Board will elect representatives with the knowledge and experience in the transport sector commensurate with HITRANS roles and functions</p> <p>2. Changes to Board Membership and current Chair may impact on the role.</p>	4	2	L	Director/ Board	<p>1. Workshops and information sessions will be a feature of Partnership meetings and pre meetings to ensure Board Members are engaged fully in HITRANS policy development and current critical issues.</p> <p>1. Non Council Board Member recruitment completed in November 2018.</p>

105	Impact from the Global Coronavirus Pandemic	<b>Political / financial</b>	4	4	<b>M</b>	1. Covid 19 has been included within the current Business Plan to manage HITRANS activity in this area.	4	2	<b>M</b>	Director/ Board	1. Covid 19 impact and mitigation will be a feature on Partnership Board and Advisor meeting discussions to update and collaborate on work being undertaken by officers and partners as part of a business normal continuity approach.
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**200 Management/ Operational Risks**

201	Inadequate staff resource available to carry out actions agreed by Board	<b>HR/ financial</b>	5	3	<b>M</b>	1. HR support in employing optimum staff compliment 2. Staff training and development 3. Staff absence through illness and other factors including maternity leave.	4	1	<b>L</b>	Director	1. Development reviews undertaken and workload reviewed 2. Short term internships and contractor appointments considered as option to increase resources. 3. Use of consultants with specialist knowledge and skills in short term support roles when necessary 4. Staff offered training opportunities and ensure all members of staff are supported and empowered.
202	Failure of IT systems	<b>technical</b>	4	3	<b>M</b>	1. Good IT support systems 2. Effective backup arrangements for hardware and files	4	1	<b>L</b>	Director/ Office Managers	1. Employment of effective IT support services including in Cyber Resilience. 2. Programmed approach to replacement of IT

203	Actions taken on behalf of HITRANS exposes Partnership to corporate or financial liability	<b>operational/ financial</b>	5	2	M	<p>1. rules of delegation from Board</p> <p>2. Service procurement and monitoring arrangements in place</p> <p>3. Systematic updates to server, laptops and website</p>	5	1	L	Director/ Finance manager	<p>equipment</p> <p>3. Monitor performance of broadband and Cloud Based server systems to ensure optimum service and current systems offer a 120 day recovery facility on all files. Regular reviews of Financial and Contract Systems</p>
204	Reliance on knowledge and actions of individuals may result in business failure if they leave or are unavailable	<b>Human Resources</b>	5	4	H	<p>1. HR procurement arrangements and employment conditions adequate to retain staff and replace individuals if needed</p>	5	3	M	Director/ HR support	<p>1. Recruitment programme put in place to ensure continuity between staff changes but no anticipated risk at present.</p> <p>2. The specialist knowledge within the team means that a certain level of knowledge and experience is difficult to replace in the short term but every effort is made to share knowledge across the team and records are maintained on the Cloud server.</p>

### 300 Financial Risks

301	Expenditure exceeds budget	financial	4	3	M	1. effective financial monitoring reporting and control systems in place to manage expenditure	4	1	L	Finance Manager / Director	Regular reviews undertaken to monitor expenditure during year, meetings with Finance Manager by exception. Programmes varied by Board to reflect changes.
										Auditors	Systems and procedures checked on regular basis by both internal and external audit
302	Projects expenditure slips resulting in year on year funding discrepancy	financial	4	3	M	1. effective financial monitoring reporting and control systems in place to manage expenditure	4	2	L	Finance Manager / Director	1. Regular reviews undertaken by Team to monitor expenditure during year, meetings with Finance Manager by exception. Programmes varied by Board to reflect changes.  2. Government have given RTPs greater flexibility in our financial management with the legislation established that enables the Partnership to carry reserves.
303	Income from Government and Councils reduces	operational/ financial	4	4	H	2. HITRANS will work to meet its efficiency targets and reduce core costs 1. Proposed use of funding clearly identified before budgets agreed for subsequent years	3	4	M	Director/ Chair	1. In the event of reduced income being available, review the extent of services procured from Councils through Service Level Agreements with a view to undertaking more tasks in-house



Director  
/  
Finance  
Manager

2. Update and maintain information to highlight the very positive return for investment received from HITRANS for our Partners particularly Council partners and Transport Scotland.  
3. Continue to develop opportunities for HITRANS to provide a shared service to Councils as we have with Public Transport Information.