

## SWestrans Risk Register 2023/24



Code	Risk Title	Risk Description	Potential Effect	Internal Controls	Current Risk Rating	Approach	Related Actions	Target Risk Rating	Managed By	Assigned To
R01	Restructure	Restructure or dissolution of RTPs by Scottish Ministers	Compromises continuity of delivery of transport functions and Regional Transport Strategy (RTS)	Use of performance management to demonstrate the effectiveness of the existing structure	Unlikely/ Major (Medium)	Tolerate		Unlikely/ Major (Medium)	Lead Officer	Lead Officer
R02	Public Image	Poor public perception of SWestrans	The credibility and authority of the organisation is undermined	Use of Council Communications Unit to manage press relations and to present a positive message  Use of appropriate media channels to proactively deliver information on SWestrans activities	Possible/ Moderate (Medium)	Tolerate		Possible/ Minor (Medium)	Lead Officer	Public Transport Officer

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R03	Strategic Direction	Change in Dumfries and Galloway Council (DGC) and/or Scottish Government strategic priorities	RTS is out of alignment with National and Local strategic priorities  SWestrans resources are redirected to non RTS activity	Strategies Mapping and Alignment Exercise  Annual monitoring and review of RTS  RTS is realigned with revised DGC and Government strategic objectives if appropriate	Possible/ Moderate (Medium)	Tolerate		Possible/ Minor (Medium)	Lead Officer	Team Leader
R04	Capital Funding	Loss, reduction or inability to spend capital funding	Projects within the Capital Programme are compromised  The Capital Programme includes purchase of buses, bus infrastructure, Rail Station parking and Active Travel projects	Use of Business Plan to project future years requirements  Close working with DGC  Adjustment of Business Plan to revised funding profiles	Possible/ Major (High)	Tolerate		Possible/ Minor (Medium)	Lead Officer	Team Leader

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R05	RTS Delivery	Failure to progress the RTS Delivery Plan	Delivery of the RTS is not progressed as anticipated	Performance Management Framework	Unlikely/ Minor (Low)	Tolerate		Unlikely/ Minor (Low)	Lead Officer	Team Leader
R06	Overspend	Expenditure commitment exceeds available budget	Funding is not available to meet obligations  Third party action could sue	Financial management processes are provided by DGC	Unlikely/ Major (Medium)	Tolerate		Almost Impossible/ Minor (Low)	Lead Officer	Lead Officer
R07	Revenue Funding	Loss of revenue funding due to public sector funding pressures	Procurement of socially necessary local bus services is compromised	Policy and Root and Branch Review	Likely/ Severe (High)	Treat	Regular reports on sustainability	Likely/ Moderate (High)	Lead Officer	Lead Officer
R08	Bus Contracts Prices	Contract prices increase	Existing bus network is unsustainable within current budgets  Multiplier effect of reducing network	Policy and Root and Branch Review	Likely/ Major (High)	Treat	Regular liaison meetings with local bus operators  Review industry costs to determine future trends  Tenders based on known need	Likely/ Moderate (High)	Lead Officer	Lead Officer

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R09	Loss of Staff	Loss of Lead Officer	Operational management of SWestrans is compromised	Interim arrangements would be put in place pending appointment of replacement	Possible/ Major (High)	Treat	Identify where interim responsibility lies in partnership with DGC  Succession planning	Possible/ Moderate (Medium)	SWestrans Board	Secretary to the Board / Team Leader
		Loss of Team Leader, Policy and Projects Officers, Public Transport Officer, Public Transport Assistant	Lack of resource to fulfil SWestrans functions	Initiate recruitment to replace	Possible/ Moderate (Medium)	Tolerate	Lead Officer will assume interim responsibility	Possible/ Moderate (Medium)	Lead Officer	Lead Officer
R10	Procurement	Failure to comply with procurement regulations	SWestrans is exposed to potentially costly litigation	Procurement advice and support is provided by DGC	Almost Impossible/ Severe (Medium)	Tolerate		Almost Impossible/ Severe (Medium)	Lead Officer	Team Leader
R11	Contract Disputes	Contracts are poorly drafted	Disputes with contractors and potentially costly litigation	Contract law advice and support is provided by DGC	Almost Impossible/ Major (Medium)	Tolerate		Almost Impossible/ Minor (Low)	Lead Officer	Team Leader
R12	Third Party Liabilities	Legal action is brought against SWestrans by	Potentially costly litigation	Potential liabilities are transferred to other bodies	Unlikely/ Major (Medium)	Treat	Ensure insurance cover is adequate	Unlikely/ Minor (Low)	Lead Officer	Team Leader

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		third parties for any reason		wherever possible  Legal advice and support is provided by DGC						
R13	Lack of bus operators and drivers	Can lead to monopoly of the market and operators prices high due to lack of competition and bus drivers	Contract not sustainable as too costly	Ensure good relations with all local bus companies	Likely/ Major (High)	Treat	Regular liaison meetings with local bus operators to Identify areas of concern  Annual review of local market conditions	Likely/ Minor (Medium)	Lead Officer	Public Transport Officer
R14	Withdrawal of DGC governance and financial support	DGC no longer supports the work of SWestrans so have to procure services from other sources	Risk in interim period from withdrawal to appointment of staff or new providers  Potential high cost of this	Ensure continued good relations with DGC by informing of the work of SWestrans	Unlikely/ Minor (Low)	Tolerate		Unlikely/ Minor (Low)	Lead Officer	Lead Officer
R15	Cyber Crime	Cyber-attack on digital systems which results in	Risk of system failure and impaired organisational	SWestrans digital systems are owned and managed by DGC	Possible/ Major (High)	Treat	Regular liaison with DGC's Business and Technology	Possible / Moderate (Medium)	Lead Officer	Team Leader

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		compromised security, reduced business resilience and increased opportunity for fraud	function Potential data breach	SWestrans receive regular communication/ advice from the Scottish Government's Cyber Resilience Unit			Solutions team operators to identify areas of concern, risk and raise staff awareness of possible threats			
R16	Data Protection	Failure to comply with data protection regulations	SWestrans is exposed to potentially costly litigation Reputational risk	Data protection advice and support is provided by DGC	Possible/ Moderate (Medium)	Treat	Staff training and awareness Full review of business procedures Full regulation compliance including a review of GDPR requirements	Unlikely/ Moderate (Medium)	Lead Officer	Team Leader
R17	Pandemics	Impact of any pandemic on the work of SWestrans and the effect on public transport network	Disruption to transport network. Disruption to staff availability. Failure to provide socially	Liaise with partners and stakeholders to minimise potential impact	Possible/ Major (High)	Treat	Identify areas of concern at earliest opportunity	Possible/ Minor (Medium)	Lead Officer	Lead Officer

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			necessary transport to the most vulnerable in our communities							