

Appendix 2

Extract from TCL's risk register (risk score relates to the current position)

ID	Risk Title and Description	Owner	Likelihood (1-4)	Impact (1-4)	Risk Score	Mitigating Actions
1	Financial – TCL Limited do not become financially sustainable within the agreed timescales with the County Council.	LCC Executive (M.Grady/ A.Ruffle) support	3	2	6	Effective governance arrangements with regular Board meetings. Monthly financial review by LCC finance and by TCL Accountants
2	Operational – Incident which makes the depot unavailable.	H.Rowbotham	1	3	3	This incident has previously happened and alternative premises have been provided and Business Continuity Plans have been updated.
3	Operational – safeguarding incident relating to a passenger	H.Rowbotham	1	4	4	DBS checks for all new staff; required training and awareness on safeguarding issues.
4	Operational – failure to comply with the regulatory framework	H.Rowbotham	1	4	4	O' licence in place and monitored by TCL Board; the Traffic Commissioner; LCC Fleet & Compliance Team and Owner Representative

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5	Operational – failure to take pupils to school	Local Depot Supervisor (4 in post).	1	3	3	Issues happen such as sickness; RTCs; road closures; vehicle breakdowns - these are managed on a day to day basis. The company is seeking to increase resilience with more recruitment drives and putting some drivers through D1 licence which will increase fleet/resource deployment.
6	Operational – not carrying out required health and safety checks and tests for vehicles.	TCL Transport Manager	1	4	4	Daily driver checks that are recorded, managed programme of servicing and MOTs. Regime forms part of the tight O' Licence regulatory framework.
7	Legal – Breach of GDPR regulations	TCL MD & Owners Representative	1	4	4	TCL did full audit and training to ensure all staff are aware of the requirements and the need to securely protect data about individuals whilst operating.
8	Personnel – Lack of drivers or Passenger Assistants.	H.Rowbotham	2	3	6	This is a growing risk with an industry wide shortage of D/D1 drivers. Perhaps less so with PA's (but med trained PA's are scarce). LCC Contract with NHS for PA/Med training. LCC exploring potential for a training facility.

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9	Technological – IT systems failure or cyber attack.	LCC & TCL	2	3	6	LCC: Antivirus/firewalls/encryption/backups/dedicated IT resources TCL: Antivirus/backups/third party IT support
10	Technological – development of technology in transport (opportunity as well as a risk)	A.Ruffle	2	2	4	Rapid development in the transport market such as driverless vehicles and the tracking technology.
11	Partnership – carrying out some work for other Councils other than LCC.	TCL Board (R.Wills Chair), Owners Representative	2	3	6	Business Plan to identify other contracts. This risk relates specifically to work for Peterborough City Council and the viability of Ketton depot.

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