

**Extract from the TCL 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 do not become financially sustainable within the agreed timescales with the County Council.	LCC Executive (LCC Finance Team/ A. Ruffle) support	2	2	4	Effective governance arrangements with regular Board meetings. Monthly financial reports reviewed and annual accounts audited.
2	Financial – a number of original contracts are due to expire in 2021.	TCL Board/ H.Rowbotham	2	4	6	Review existing contract arrangements. Ensure any new/appropriate contracts are bid for.
3	Financial – reduced income as a result of ad hoc work such as transport for the Lincoln Christmas market.	H.Rowbotham	3	3	6	Work with the Board on identifying other opportunities to utilise the vehicles.
4	Operational – Not enough staff to run the operations as a result of covid or other human health issues.	H.Rowbotham	2	4	8	Put contingency plans in place for different levels of staff availability. Ensure workplace practices are in place to reduce the risk of transmission.
5	Operational – Incident which makes the depot unavailable.	H.Rowbotham	1	3	3	This incident has previously happened. Alternative premises have been identified and Business Continuity Plans have been updated.
6	Operational – break ins/damage at depots creating additional costs and/or operational delays	H.Rowbotham	3	1	4	Review security measures at the depots and implement any recommendations.
7	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.

ID	Risk Title and Description	Owner	Likelihood (1-4)	Impact (1-4)	Risk Score	Mitigating Actions
8	Operational – failure to comply with the regulatory framework	H.Rowbotham	1	4	4	O' licence in place. Monitoring by the Board; the Traffic Commissioner; LCC Fleet & Compliance Team and Owner Representative
9	Operational – failure to take pupils to school	Local Depot Supervisors	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 flexibility in fleet/resource deployment.
10	Operational – not carrying out required health and safety checks and tests for vehicles.	Compliance Risk Coordinator/ TCL Transport Manager	1	4	4	Daily driver checks are now monitored and recorded electronically. Disciplinary action for failed activity. Managed programme of servicing and MOTs. Regime forms part of the tight O' Licence regulatory framework.
11	Legal – Breach of GDPR regulations	Commercial Manager & 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.
12	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. Use of LCC/NHS Contract for PA/Med training (were appropriate). LCC exploring potential for a resource training facility.

ID	Risk Title and Description	Owner	Likelihood (1-4)	Impact (1-4)	Risk Score	Mitigating Actions
13	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
14	Technological – development of technology in transport (opportunity as well as a risk)	A.Ruffle	1	2	2	Use of Electronic Ticket Machines Lease Scheme. In-vehicles Telematics in use. Programme of fitting vehicle CCTV system now underway for early 2021.
15	Increased and/or Broader Activity Needs– ie diversify; expanded area, scope of LCC contracts etc	TCL Board / Owners Representative	2	2	4	Business Plan to identify existing and other potential contracts. Active communication.

This page is intentionally left blank