

Appendix 1

Risk	At Risk	Current Risk Assessment			Planned Response/Mitigation	Risk After Mitigation	Date and Owner		
		Probability	Impact	Risk Score					
Policy Appraisal: Not undertaken for a project of significant scale - Poor Quality - Lack of consultation	Physical	2	Unlikely	4	Major	8	Medium Risk	<i>Project Initiation Plans, Board Approval for new projects and impact assessment required for major projects.</i>	Partnership Director
Project Appraisal and Delivery: Incomplete or of poor quality Late Delivery	Reputational	5	Highly Probable	5	Catastrophic	25	High Risk	<i>Monthly monitoring and management intervention by the project officer, and overseen by the Head of Programmes</i>	The risk is now... July 2017 Head of Programmes
Digital/IT: Server failure - Comms failure e.g. phones - RTPI - website	People	2	Unlikely	4	Major	8	Medium Risk	SEStran has an up to date Management Plan for Business Continuity, clearly available in the office and remotely. Wesbite has a maintenance contract as does RTPI system, which	Business Manager
Reputation: Project failure Media hacked and inappropriate comments Lack of brand awareness	Reputational	3	Possible	4	Major	12	Medium Risk	<i>Social media passwords are high security; focussed brand enhancement work is undertaken, project as regularly monitored via</i>	The risk is now... 1/1/2001 SEStran
Statutory Duties: - Fail to comply with statutory duties and legally challenged Impact on accounts and statement of governance	Legal and Regulatory	2	Unlikely	5	Catastrophic	10	Medium Risk	<i>Monthly monitoring and management intervention by the project officer, and overseen by the Partnership Director. We have a published</i>	The risk is now... September 2017 Partnership Director

Appendix 1

Financial:

Significant deviation from budgeted spend

Financial

1

Remote

2

Minor

2

Low Risk

Budget and spend monitored by CEC Accountants, in dialogue with SEStran. CEC reports to PPerformance and Audit Committee & Board,

The risk is now....

September 2017
Partnership Director

HR:

- Pension Liabilities
- Redundancy Contingency
- Inappropriate Behaviour
- Staffing/Incapacity

People

2

Unlikely

5

Catastrophic

10

Medium Risk

HR policies and proceasures have a regular review cycle, policy training and code of conduct are given to all members at indcution, staffing levels and workload are monitored by senior

The risk is now....

July 2017
Partnership Director

Other/Misc:

Regional Transport Strategy is not implemented

Regi

Strategic

4

Probable

5

Catastrophic

20

High Risk

Regular monitoring being developed, lobbying for funding, inputs to NTS2 and STPR

High Risk

Partnership Director

Removal of SEStran/RTPs

Governance

1

Remote

1

Insignificant

1

Low Risk

Lobbying for RTPs through NTS2

The risk is now....

1/1/2001
SEStran

Governance

4

Probable

5

Catastrophic

20

High Risk

1

Remote

1

Insignificant

1

Low Risk

Appendix 1
