

APPENDIX 2: RISK REGISTER

| Risk / Issue Ref | Title | Description | Owner(s) | Current Controls Mitigating Inherent Risk: |
|------------------|--------------------------------------|--|----------|---|
| R01 | Quality of data for procurement | Inconsistency with data could cause a delay to the procurement, it could also lead to legal challenge or will likely end up costing the service after tender through contract variations | BT | Data requirements are clearly communicated with the service and sufficient time is provided. |
| R02 | NEAT future sustainability | Consideration needs to be given to Provider sustainability given the large amount of work being tendered. In particular, NEAT's viability will need to be considered as the Ring & Ride model with Transport for West Midlands is changing. | BT | Close working with TfWM is required to understand new financial model. NEAT will also be required to provide a minimum operating requirement to understand at what point delivery becomes unfeasible. |
| R04 | Provider asset and staff | Providers will require sufficient time to mobilise the necessary staff and vehicles to deliver the services | BT | Mobilisation time is sufficient (16 weeks). The project will need to be monitored closely to ensure there is no slippage |
| R05 | Pupil grouping | Pupil groupings can mean the difference between route success and failure impacting on the pupil's readiness to learn on arrival at school, as well as overall costs. Sufficient time will need to be in place to discuss groupings with schools, note DfE/ bubble requirements and assess journey times with operators. | MJ | Schools to be given advance warning of needs for pupil groupings discussions. Operators to be aware of DfE best practise guidance on journey times and timescales to feedback. |
| R07 | Bubble requirements | In addition to pupil groupings, the Council may not be aware of short notice requirements from central government in relation to bubble requirements. This may impact on a need for increased guide numbers and vehicles. | MJ | Factor guide numbers into an agency/ redeployment strategy and vehicle increased capacity into the procurement requirements. |
| R08 | Exit plan from COVID-19 arrangements | The Council is unaware of when COVID restrictions around home to school transport will reduce. Due to the number of lower/ single occupancy vehicles in operation, reverting to increased capacity multi occupancy vehicles will likely lead to parent's expectations having been raised and potential complaints about increased journey times etc. | MJ | Use of Comms strategy to remind parents of 'what to expect' in relation to home to school transport and to make clear that multi occupancy transport is the first option. |
| R09 | Exit plan from DfE funding | Risk of being unable to withdraw additional routes provided through DfE funding during the same timescales as funding reduces. | MJ | Ensure TfWM feed this back to DfE and advise of the need for funding to be reduced to allow this alteration of routes. Capture financial contingency. |

| | | | | |
|-----|--|---|----|--|
| R10 | TUPE | The procurement will need to allow for sufficient time for providers to undertake TUPE transfer (where applicable) | BT | Mobilisation time is sufficient (16 weeks). The project will need to be monitored closely to ensure there is no slippage |
| R11 | Mobilisation - Operational activities | Roll out of pupil transport arrangements requires careful steps to risk assess, introduce staff to families, provide accurate journey times etc to allow families to feel confident in the provision. Inevitably raised expectations lead to challenges around suitability of the offer which need time to resolve. | MJ | March Cabinet allows sufficient time for this providing all milestones are met. Covid, however, brings a challenge if further requirements on the Council arise in this area and may require feedback to DfE if risks arise as a result. |
| R13 | Lack of bids or low response from suitable tenders | This will reduce the number of quality bids received and may require a second round of procurement | BT | The service will review all tender documentation and further market testing will be undertaken. |
| R15 | Insufficient resources | Insufficient resources from service for clarification questions and evaluation could lead to claims of unfair process or withdrawal of bids | BT | The service will receive support from CPS and Commissioning during the evaluation process. All enquiries will be answered in a timely manner and there is three weeks planned for procurement. |
| R16 | Bids fail to meet the needs of the Council | The procurement will need to run again which may cause a delay in the delivery of services and will create additional costs for the Council | BT | The service will review all tender documentation and further market testing will be undertaken. |
| R17 | Selecting an inappropriate bid | The procurement will need to run again which may cause a delay in the delivery of services and will create additional costs for the Council | BT | The service will review all tender documentation and further market testing will be undertaken. |