

PROJECT INITIATION DOCUMENT (PID)

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|-------------------------|--|------------------|--------------------|---------------------------|
| Project Name: | Dynamic Demand Responsive Transit Pilot Project | | | |
| Cost Code | CG0209105 | | | |
| Date: | 23/05/2022 | | | |
| REVISION HISTORY | | | | |
| Version | Revision Date | Stage | Prepared by | Summary of Changes |
| 1 | 17/05/22 | Procurement | Indira Joseph | First draft |
| 2 | 18/05/22 | Procurement | Indira Joseph | Second draft |
| 3 | 19/05/22 | Procurement | Indira Joseph | Third draft |
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| APPROVALS | | | | |
| Role | Name | Signature | Date | |
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Introduction

The Future Transport Zone (FTZ) funding awarded by the Department for Transport to Portsmouth and Southampton in early 2020 included undertaking of trials of DDRT in three different operating zones in the Solent area . The DfT funding, which is capital only, was envisaged as being used to fund purchase/hire of vehicles, software, equipment, and other permissible capital costs incurred by trial operators.

The DDRT services would not receive any subsidy- operation would be at the operators' own risk, as would any other activities that could not be justified as a suitable use of capital funding. It was proposed that the trials would be implemented following a tender process, with co-development of the specification working with the LTAs and SHBOA, and would be secured via contract to run for a minimum period (envisaged as 3 years).



However the Solent FTZ DDRT trial has been paused since initiation of the wider FTZ programme (spring/summer 2020) in response to uncertainties brought about by Covid-19. The review of the FTZ programme undertaken by Atkins (summer 2020) identified this project as one where the original concept was unlikely to be viable and a “reinvention” of the trial would be needed.

Following a request from the FTZ Programme board in summer 2021 that the project now be restarted, a review was undertaken which generated a proposal for “reinvention” of the project, to respond to the changed circumstances of the post-Covid world.

The review concluded that the approach proposed in the 2019 funding bid was no longer viable and instead identified considerable scope/ support for a more community-transport focused, staged trial which could deliver comparably well against most of our local objectives for this project, whilst also still delivering against the wider objectives for FTZ of DfT, our programme funder.

The proposed approach that was endorsed by FTZ programme board in September 2021 was broadly:

- To commence initial “pilot” trials as soon as possible (realistically by December 2022) , with SCC/PCC procuring “interim” access to a DDRT technology platform to enable “piloting” of app/ MaaS-based booking and dynamic routing on Southampton Dial-a-Ride and also some of the services operated by FYTBus on the Isle of Wight, plus a potential third pilot (suggested at the time as being Unity Community Transport in Andover).
- These pilots would help to inform a much larger initiative that would follow, which was to procure, set up and “on-board” operators to a Solent and Hampshire-wide DDRT back office system, which would be made available at minimal/no cost to a large range of eligible operators, particularly community transport operators but potentially also bus operators. This would enable widespread incorporation of existing Community Transport & Dial-a-Ride services, operated on a more dynamic/flexible basis, as a travel option within the Solent MaaS app.

The FTZ programme is time-limited (funding expires summer 2024) and - more critically - monitoring, evaluation & research (M&E) outputs are a key deliverable back to the funder (DfT).



Aims and Objectives

The September 2021 review briefly considered the objectives for the DDRT trial and recommended the following objectives for the project- the majority of which are unchanged from the original bid submitted in 2019.

| Objective | Objective source | Objective | |
|-----------|--------------------------|---|----------------------------------|
| 0 | Funder (DfT) | The DfT's FTZ fund application forms / guidance set out a number of funder objectives relevant to DDRT, the most relevant to this project being: <ul style="list-style-type: none"> a) Exploration of options for delivering efficiencies through shared (dynamic) demand responsive transport b) Creating a digital marketplace for mobility services in the FMZ, integrating new and traditional services and providing access to digital trip planning and payment options; c) Trialling new mobility services, modes and models, d) Improving integration of services | Unchanged from FTZ fund guidance |
| 1 | Local (Solent Transport) | Integration of DDRT in the Solent MaaS app, ensuring DDRT is offered to users as a journey option where appropriate by MaaS | Unchanged from FTZ Bid |
| 2 | Local (Solent Transport) | Trial of DDRT services to provide first/last mile connectivity to PT hubs & corridors (aided by integration into MaaS), enhancing the effects/benefits of TCF-funded improvements to bus rapid transit routes etc | Unchanged from FTZ Bid |
| 3 | Local (Solent Transport) | Testing of potential combination of DDRT service for general public use with a Dial-a-Ride service as a possible way of increasing efficiency & viability of DDRT | Unchanged from FTZ Bid |
| 4 | Local (Solent Transport) | Trialling DDRT to establish whether it can support /maintain public transport connectivity in a post-Covid era where some previous services may no longer be viable in their current form | New objective |



Objective 1 (integration of DDRT into MaaS) - is particularly important as this is where our real opportunity for innovation lies - no DDRT service has yet been integrated into a MaaS app in the UK and MaaS offers real potential to raise profile and awareness of these travel options where they exist.

Objective 2 (use of DDRT as a first/last mile connection) - The potential for the trial stated in objective 1 to deliver against objective 2 may be limited - although there is a potential “do more” trial project (PCC Port Solent/Whale Island DDRT) could create an opportunity to test against this objective.

Objective 3 (Testing of potential combination of DDRT service) - Given that MaaS offers the opportunity to increase the visibility and public access to services with a “low profile” such as Community Transport and Dial-a-Ride services, helping to both increase ridership of these services and potentially develop them as a means of maintaining public transport in areas where it may be threatened in future, this then directly supports the new Objective 4.

Objective 4 (Trialling DDRT) – This is now highly prominent given concerns about the future of many rural and suburban bus services in an era of reduced travel demand following the Covid-19 pandemic.

A further key objective/ output for Future Transport Zone trials is research, monitoring, evaluation and learning which can be disseminated and utilised by other areas in future. The original research questions for the DDRT trial were:

1. What geographical, demographic and economic factors influence success of DRT?
2. What operating model factors influence the success of DRT? Can viability be increased by varying service provision by time of day?
3. Can DRT reduce car dependency by offering a better alternative to driving for some journeys?
4. Can DRT increase usage of main public transport services by connecting more people to them?
5. What are the most popular types of journey that DRT is used for?
6. What are the most important user requirements for a DRT service?
7. Does incorporating DRT into the MaaS scheme increase uptake of DRT?

Research questions 1,2 and to an extent 6 are reliant on implementing a trial comprising multiple DDRT services /areas of operation to enable some comparisons between geographies, types of operator/operation etc.

This approach proposed in this project would deliver CT/DDRT trials in several zones, albeit at a small scale, creating some potential for such comparisons between different operating models, geographies etc. The limited scale of the trial now proposed may however limit the volume of data or types of journeys/users available to help answer these research questions.



PROJECT APPROACH

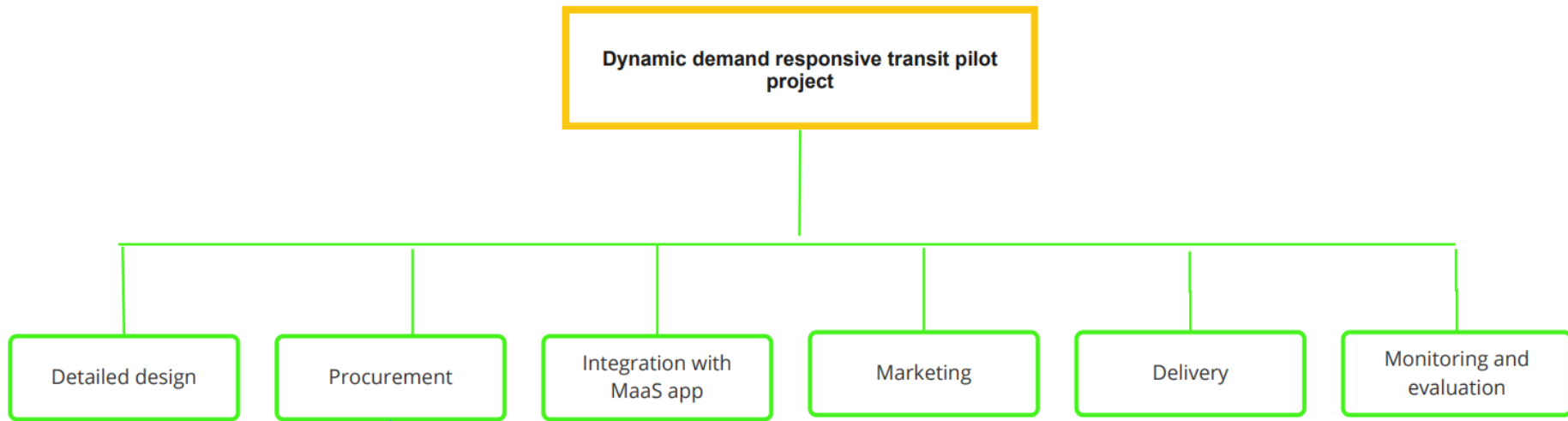
Project Management:

The following project management arrangements are proposed:

PROJECT MANAGER

Indira Joseph, Project Manager – Dynamic Demand Responsive Transit Services Pilot Project

A high-level phase based work breakdown structure shown below has been created to guide the managing of the DDRT pilot project from its planning to close out .



Phase 1: Detailed design

Tasks

1. Atkins consultancy undertook a review of the overall FTZ programme in summer 2020, to provide an early steer as to how to adapt the FTZ programme and individual projects in response to current and anticipated medium term impacts of Covid on travel demand. Their recommendation was that the DDRT trial be “reinvented” because the commercially-driven nature of the proposed trial appeared to have become un-viable.
2. A high level review of the general market conditions and context for this project, and DDRT more generally has been undertaken.
3. Engagement with LTAs, Community Transport operators and DDRT software system providers was undertaken during summer/ autumn 2021 to inform the project review presented to FTZ Programme Board in September 2021.

Deliverables

1. Define the requirements and scope of work for the DDRT pilot project.
2. Agreed aim and objectives for the DDRT pilot project.
3. Agreed monitoring strategy and research questions for the DDRT pilot project.
4. Conceptual development of marketing and promotion strategy for DDRT as part of the wider FTZ programme.

Phase 2: Procurement

Tasks

1. Engage with the various LTA procurement departments and agree on the procurement route (possibility of using CCS framework) to procure a DDRT back office system .
2. Gathering of data on operator requirements relating to service operation, user needs etc to inform DDRT back office specification Supporting and advising participating operators inorder to alter their services to make it 'DDRT friendly'.
3. Procuring the services of ITP (consultants) for providing technical advise and support on all phases of the project.
4. Procuring back office operator for the current pilot project and a contract that permits addition of new operators and operating zones to the full extent of both the Solent area and the remainder of Hampshire, and perhaps more widely if a case develops (eg through expansion of MaaS).
5. Back office mobilisation of the project .
 - a. This would include support given to CT operators like
 - o Set up of and training on DDRT back office software for office and driving staff.



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| | <ul style="list-style-type: none"> ○ Possible changes to service registrations, methods of service operation, and user access criteria (eg registration processes) to enable wider use of the service. ○ Installation of linked devices/apps on vehicles to enable flexible routing and ticketing and data SIM subscriptions etc; ○ assistance with issues such as web/ app based payment and ticketing <p>b. Engage with Traffi(developer of Breeze app) and Maas back office (SCC business world) to understand the requirements of integration like flow of data between the various service providers, payment,invoicing and reconciliation .</p> <p>c. Possibility of engaging with a third party(dependent on Maas project) for addressing concerns in the MaaS project regarding</p> <ul style="list-style-type: none"> • invoicing , payment settlement and reconciliation • customer services <p>6. Engage with legal departments to draft data sharing, ownership and privacy agreements for the various service providers.</p> |
| Deliverables | <ol style="list-style-type: none"> 1. Develop specification for DDRT back office operator. 2. Procurement of DDRT back office operator 3. Develop legal agreements with Southampton D-a-r and FYT. 4. Establish a contract with ITP. |
| Phase 3: Integration with Maas | |
| Tasks | Integration of DDRT back office system with the Solent MaaS app and back office system. This would be a critical feature/capability, in order to allow DDRT services to be viewed/planned, booked and ticketed via MaaS, and to allow suitable DDRT journeys to be returned by journey planner requests. |
| Deliverables | Trialling of the DDRT/flexi bus icon on the Breeze app |
| Phase 4: Marketing and communication | |
| Tasks | Engage with various CT operators, back office system for DDRT, MaaS Traffi and back office , ITP to develop marcomms strategy and marketing, communication, information and support for users relating to changes to services resulting from implementation of DDRT routing and app-based booking. |
| Deliverables | A marcomms strategy would be developed, which it is envisaged would comprise actions directly implemented by the operator (eg comms to existing users and via operators own channels regarding app |



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| | based booking; vehicle branding etc) and actions delivered by Solent Transport (eg social media and launch campaigns, fare incentives etc). |
| Phase 5: Delivery | |
| Tasks | Preparation for the go-live of DDRT/flexi bus icon on the Breeze app. This will include <ul style="list-style-type: none"> • Developing a comprehensive go-live checklist to ensure that all components are in place and works correctly. • User testing • Testing for security and vulnerabilities in the system • Develop a roll-back plan if something goes wrong |
| Deliverables | Fully functional DDRT/flexi bus icon on the Breeze app which allows the passengers to plan, book, receive e-tickets and pay for their journey. |
| Phase 6: Monitoring and Evaluation | |
| Tasks | <ol style="list-style-type: none"> a. Engage with ITP to develop a monitoring and evaluation strategy and metrics to measure the project success for DDRT. b. ITP would be collecting and analysing data and information, before (for baseline), during and after the project to answer the research questions. c. ITP would be carrying out ongoing and final evaluation of the project. |
| Deliverables | Reporting of the monitoring and evaluation results Develop a lessons learned log to share the learnings. |



Project Tolerances

This project is currently in its procurement phase.

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|-----------|--|
| Timeframe | The FTZ programme ends June 2024, with final reporting by Autumn 2024. DDRT trials need to have been implemented for long enough to provide meaningful monitoring/evaluation outputs by that time. Therefore implementation of the pilot project as soon as possible, ideally by the end of 2022 will be required in order to achieve 18 months of operation and associated data. The critical path/task for this phase would be to initiate and gain momentum in procurement of back office system to commence early stages of integration with back office operator (BOO), community transport operators (CTO's) and MaaS. |
| Cost | The cost estimates for the pilot project taking into consideration all the cost elements is between £380,000 and £ 475,000. The current estimate is affordable and a medium size "do more" trial could also be delivered within the budget available whilst retaining a reasonable degree of contingency. The details of all the cost elements are provided in the project cost breakdown |
| Quality | Quality:price ratio in procurement set at 70:30. |


Responsibilities

| | |
|------|--|
| RACI | The project has recently moved to the procurement phase . The RACI shown below is for the current phase . R - Responsible A - Accountable C - Consulted I - Informed |
|------|--|



| Current Phase | Activities in project | ITP | Solent transport | Procurement | Legal (SCC) | FYT (CTO) | Dial-a-ride (CTO) | Back office operator DDRT | Trafi MaaS | IWC | SCC | HCC | University of Southampton |
|---------------|---|-----|------------------|-------------|-------------|-----------|-------------------|---------------------------|------------|-----|-----|-----|---------------------------|
| Procurement | Understand the procurement landscape, broad timings and range of providers | C | A | R | C | I | I | I | I | C | C | I | I |
| | Defining the scope of work for ITP | C | RA | | I | I | I | I | I | I | I | I | I |
| | Establish legal agreement with CT operators | C | R | I | A | C | C | I | I | I | I | I | I |
| | Develop spec for BOO | C | RA | C | I | C | C | C | C | C | C | C | I |
| | Develop and agree on a procurement strategy for back office operators | C | R | A | I | I | I | I | I | | C | I | I |
| | Procurement of BOO | C | R | A | C | I | I | I | I | I | | I | I |
| | Back office mobilisation with operators | C | RA | I | I | R | R | R | R | I | I | I | I |
| | Develop the spec for IT hardware/software for the CT operators | C | RA | I | C | R | R | C | C | I | I | I | I |
| | Procuring the IT hardware/software for the CT operators | C | C | I | I | RA | RA | C | C | I | I | I | I |
| | training to the CT operators in order to transform their services to be 'DDRT' friendly | C | RA | I | I | R | R | C | C | I | I | I | I |



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|-----------------------|--|
| Stakeholders | <p>The stakeholders identified in this project is embedded into this document which can be found below</p>  <p>DDRT stakeholder register 8 June .pdf</p> |
| Change Control | |
| Timeframe | <p>During phase 1 (Detailed design) the project is still in the initial stages of scope definition . Hence there is a flexible change management approach, recognising the need rapidly to evolve the project specification in light of feedback from stakeholders and emerging requirements.</p> <p>During phase 2 (Procurement) there will be some natural break points during which changes to the project scope will be simpler to place. The engagements between CTO's , ITP, legal departments and DDRT back office system operators will provide inputs to develop the specification to determine the final scope of work back office operator and to draw up legal agreements with the CTO.</p> <p>During phase 3 (Integration with MaaS) there will need to be a more rigorous change control process instituted, because the suppliers will otherwise be working to a fixed scope (albeit one that will require flexibility and integration of iterative updates). This change control process will be managed by Solent Transport, with active participation of ITP</p> <p>During phase 4 (Marketing) there would very limited opportunity for scope creep as the preparation for marketing campaign and launch would be well underway.</p> <p>During phase 5 (Delivery) there would be no modification of scope allowed as the project is fully operational.</p> |
| Finance | |
| Finance model | <p>The cost estimates of the pilot trial is affordable and a medium size “do more” trial could also be delivered within the budget available whilst retaining a reasonable degree of contingency. The “do more” trial can be scaled to the available budget.</p> <p>In the event of a successful pilot trial, there would be an opportunity to decide whether to implement some or all parts of the “do more” project (which could result in the majority of residual funding being utilised, particularly if additional staff resource is required) or whether the remaining funding could be used to enable a “challenge fund” or similar initiative.</p> <p>This pilot would help to inform a much larger initiative that would follow, which was to procure, set up and “on-board” operators to a Solent and Hampshire-wide DDRT back office system, which would be made available at minimal/no cost to a large range of eligible operators, particularly community transport operators but potentially also bus operators. This would enable widespread incorporation of existing Community Transport & Dial-a-Ride services, operated on a more dynamic/flexible basis, as a travel option within the Solent MaaS app.</p> <p>In the event of an unsuccessful DDRT pilot trial it is likely that any unspent budget would be reallocated to other FTZ projects.</p> <p>There is also still a possibility of some residual funding remaining, which could be used to resource a “challenge fund” supporting CT operators to take full advantage of opportunities presented by the DDRT/app booking system; fund a longer life for the trial; or support other relevant</p> |



DDRT projects (for example potential part-funding of a proposed Portsmouth DDRT trial as part of the “do more” project - or support mainline bus operators in trialling conversion of a small number of “at risk” bus routes to DDRT).

Some additional transactions (fare payments) would be processed via the MaaS system as a result of this trial but the additional values are not expected to be large compared to the potential overall transaction values that occur through MaaS.
 The design of the project – in particular the small scale of the pilot project, a clear decision point for progression to the “do more” project which would depend on performance of the pilot trials. This would help to manage reputational and practical risks and issues associated with project wind-up and/or continuation.

Budget and cost breakdown structure

£771,000 of capital funding is allocated within the FTZ programme budget for DDRT project which includes pilot trial project and “do more” project (including staff resource and M&E costs).

This is the total budget for this project at present and additional external funding (from sources such as Bus Back Better funding) would be needed to for any extension of the scope/extent/duration of the project beyond the “do more” scenario in this proposal.

The tables shown below set out cost estimates for:

- A pilot trial of two years duration, involving just two operators with one vehicle each (one at SCIA, one at FYTBus)
- a “do more” trial of three years total duration, starting with the “do minimum”/pilot (two operators with one vehicle each) and after 12 months expanding the trial to cover four operators and 13 vehicles for a further 24 months.

Table 1: DDRT pilot trial project cost estimates

| Element | “Do minimum”/Pilot project | |
|-----------------------------------|----------------------------|-----------------|
| | Low end budget | High end budget |
| DDRT Back office system | | |
| Operator support | | |
| MaaS integration costs | | |
| Procurement/ legal/contracts | | |
| Marketing, promotion, comms | | |
| M+E allowance | | |
| <i>Subtotal</i> | 167 | 246 |
| 20% Contingency for above items** | 33 | 49 |
| Portsmouth DDRT market research | 10 | 10 |
| | | |



| | | |
|--|------------|------------|
| “Kickstart” consultant | 40 | 40 |
| Project officer/manager | 130* | 130* |
| | | |
| Total costs of all elements | 380 | 475 |
| Total available budget (FTZ) | 771 | 771 |
| Estimated residual funds for further contingency, progression to “do more” project, disbursement via “challenge fund” or diversion to other FTZ trials | 391 | 296 |

* Based on employing one project manager/officer for two years

** Based on employing one project manager/officer for three years

*** Contingency figure is a blanket 20% - a full risk analysis has not been used to determine this but is justified in the below outline assessment of cost risks.

Table 2: “do more” project cost estimates

| Element | “Do more” project | |
|--|-------------------|-----------------|
| | Low end budget | High end budget |
| DDRT Back office system | | |
| Operator support | | |
| MaaS integration costs | | |
| Procurement/ legal/contracts | | |
| Marketing, promotion, comms | | |
| M+E allowance | | |
| <i>Subtotal</i> | 352 | 500 |
| | | |
| 15% Contingency for above items** | 53 | 75 |
| Portsmouth DDRT market research | 10 | 10 |
| | | |
| “Kickstart” consultant | 40 | 40 |
| Project officer /manager | 195** | 195** |
| | | |
| Total costs of all elements | 650 | 820 |
| Total available budget (FTZ) | 771 | 771 |
| Estimated residual funds for further contingency, disbursement via “challenge fund” or diversion to other FTZ trials | 104 | -49 |

* Based on employing one project manager/officer for two years



** Based on employing one project manager/officer for three years

*** Contingency figure is a blanket 20% - a full risk analysis has not been used to determine this but is justified in the below outline assessment of cost risks.

Table 3: Marginal project cost estimates

| Element | Marginal cost - difference between Pilot/“Do minimum” project and “Do more” project | |
|---------------------------------|---|-----------------|
| | Low end budget | High end budget |
| DDRT Back office system | █ | █ |
| Operator support | █ | █ |
| MaaS integration costs | █ | █ |
| Procurement/ legal/contracts | █ | █ |
| Marketing, promotion, comms | █ | █ |
| M+E allowance | █ | █ |
| Subtotal | 185 | 254 |
| | 0 | 0 |
| Difference in contingency ** | 20 | 26 |
| Portsmouth DDRT market research | 0 | 0 |
| “Kickstart” consultant | 0 | 0 |
| Project officer /manager | 65 | 65 |
| Total costs of all elements | 270 | 345 |
| Total available budget (FTZ) | 0 | 0 |

| Cost risks | Element | Level of risk | Commentary |
|------------|---------|-------------------------|------------|
| | | DDRT Back office system | Low |



| | | |
|----------------------------------|----------|---|
| | | To some extent, the scale of the trial can be constrained to a maximum back office budget through adding or removing extra vehicles/services as finances allow. |
| Operator support | Medium | The full scope of activities required by CT operators to implement DDRT operations, and associated costs has not yet been determined in detail. The figures set out here are a “guesstimate”. |
| MaaS integration costs | Medium | The cost range given here is based on quotes from Trafi/Unicard for developing what are believed to be comparable add-ons to the MaaS system (eg developing MaaS payment module £25.5k; Rail API integration £17k) but a bespoke cost estimate has not been requested/provided |
| Procurement/legal/contract costs | Low | It is unlikely that costs for procurement and legal support would significantly exceed the ranges presented here. |
| Marketing/promo/comms costs | Low | Marcomms activities can be tailored to the available budget and the scale of marcomms that can be undertaken or justified for a relatively small scale trial is limited |
| M+E allowance | Low | The relatively small amount of data and likely low complexity of evaluation associated with these relatively small scale trials is unlikely to result in a scope of works for M+E support that would result in higher costs from a typical transport planning consultant. The values presented here would pay for circa 100 to 140 days of consultant support assuming an average day rate of £500. This is possibly an excessive amount of time considering scale of the project. |
| Staff costs | Very low | Staff costs are unlikely to vary significantly from those presented here |

Given the above commentary, and particularly considering that there is a good degree of confidence around the highest cost element of the project (DDRT back office system) together with presentation of estimated cost ranges rather than single cost values, it is felt that the 20% (DDRT pilot) and 15% (“do more”) contingency on cost elements except staffing is a sufficiently robust allowance.

Monitoring and evaluation

M& E strategy

The FTZ programme is time-limited (funding expires summer 2024) and - more critically - monitoring, evaluation & research (M&E) outputs are key deliverable back to the funder (DfT). Experience and monitoring/evaluation outcomes from the first six or so months of the DDRT pilot trial would be used to determine whether the project should proceed to a larger “do more” stage of trial, which could include additional services operated by SCIA and FYT being converted to DDRT/app booking, together with expansion of the trial to other community transport operators in the area (potentially including HCC operators).



The **original research questions** for the DDRT trial were:

- 1.What geographical, demographic and economic factors influence success of DRT?
- 2.What operating model factors influence the success of DRT? Can viability be increased by varying service provision by time of day?
- 3.Can DRT reduce car dependency by offering a better alternative to driving for some journeys?
- 4.Can DRT increase usage of main public transport services by connecting more people to them?
- 5.What are the most popular types of journey that DRT is used for?
- 6.What are the most important user requirements for a DRT service?
- 7.Does incorporating DRT into the MaaS scheme increase uptake of DRT?

Research questions 1,2 and to an extent 6 are reliant on implementing a trial comprising multiple DDRT services /areas of operation to enable some comparisons between geographies, types of operator/operation etc.

A budget allowance of £50k to £70k has been identified in the cost estimates to cover costs for ITP support (consultants) for developing a M&A plan , analysis and reporting of data, evaluation of wider outcomes, addressing the research questions etc.

INTERDEPENDENCIES, RISKS AND ASSUMPTIONS

Interdependencies

There are some clear interdependencies between the MaaS project and the DDRT trial, and also between initiatives such as Bus Service Improvement Plans which could provide a source of funding for continuity beyond the end of the FTZ funding, if the trials are successful. There is also a dependency on SCC's contract with SCiA for Dial-a-Ride. The table below outlines these and other identified interdependencies.



| Explain dependency relationship | Action to Manage |
|--|---|
| The MaaS platform is intended as the tool which the public use to access the DDRT services. If we launch services without DDRT- MaaS integration, this may undermine success of both projects and a key innovation in our approach would be lost. | Ensure that requirements from the DDRT project are fed into the evolving MaaS spec; ensure that coordination between project timelines is undertaken to ensure that MaaS can support this |
| Funding opportunities to enable expansion/ extension of this project- Bus Service Improvement Plans and wider aspirations for DDRT-type innovations, may result in opportunities to bid for funding to bolster this initiative | Close engagement between project manager and sponsors of this project, and strategic transport staff making decisions on funding bids and strategies is required. |
| SCC's contract with SCIA runs until September 2022 and it is not certain that it will be extended after this date; this and other issues mean that SCiA's continued activity in the Community Transport sector is not guaranteed; therefore this part of the trial could be at risk due to external factors. | Continued engagement with SCC officers responsible for this contract to ensure that the DDRT trial can respond to any changes to the SCIA/ Southampton DaR service. This could include seeking to integrate the trial into a retendering exercise/ new contract for SCC DaR, or it could involve running the "do minimum" /pilot trial with just one operator (FYT Bus) if SCC's contract is terminated and not replaced. |

Assumptions:
It is assumed that any HCC or PCC trials schemes delivered under "do more" would be supported by the respective LTAs particularly through staffing support and also some level of match funding.

Risk assessments as of 16/05/2022



| Risk Assessment: | | | | | | | | | | | |
|---------------------|--|---|-------------------------------------|--------|--------------|--------------|--------|--|-----------------|--------------|--------|
| Risk classification | Risk | Impact | Owner | Status | Current risk | | | Mitigation strategy | Post-mitigation | | |
| | | | | | Im pa ct | Lik eli hood | Tot al | | Im pa ct | Lik eli hood | Tot al |
| Operational risk | Transport operators unwilling to participate in the project | Potentially un-deliverable project | ST | Open | 5 | 3 | 15 | Engagement has taken place with operators to sufficient level to secure "in principle" agreements that at least some operators will participate | 5 | 1 | 5 |
| Operational risk | Transport operators unable/unwilling to adapt their services to take full advantage of capabilities offered by DDRT platform | Limited usage/ benefit realised over current operations | ST, Operators | Open | 4 | 4 | 16 | Engagement to date indicates operators are open-minded and aware of the need to alter their operations, particularly post-Covid. By engaging multiple operators, it is likely some may make DDRT "work" better than others, which could in turn help to persuade operators who do not fully embrace the project/concept to do so. | 3 | 1 | 3 |
| Procurement risk | Future viability of some CT operators eg SCIA | Partners may withdraw from market before project can launch | ST | Open | 4 | 3 | 12 | Ongoing engagement between SCC and SCIA to try to assist SCIA with identifying opportunities to offer a more viable transport service. Implement our pilot with SCIA as rapidly as possible in the hope this benefit's SCIA Transport's viability. Identify more than one partner for "pilot" scheme in case SCIA withdraw from market. | 4 | 2 | 8 |
| Technology risk | DDRT software/platform does not meet operator needs | Operators unable to get full benefit from DDRT/back office/MaaS | ST, Back-office provider, operators | Open | 4 | 2 | 8 | Ensure specification covers all operator requirements and rigorously assess platform provider's products to ensure they meet the spec. Contract provisions to enable us to take action if platform providers fail to deliver. | 4 | 1 | 4 |
| Project risk- Time | Development timescales are too optimistic | Delayed or suboptimal launch product | ST | Open | 4 | 5 | 20 | Further development work required on timescales but time allowances in initial project plan reflect recent experience of how long various processes and activities have taken via remote working etc. Contract provisions to enable us to take action if platform providers fail to deliver. Provision of extra support to CT operators to assist them with mobilisation if they struggle. | 4 | 3 | 12 |



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| Operational risk | Missing FTZ MaaS iteration release date | Could delay integration of DDRT trials into MaaS by up to 3 months, sufficient to reduce value (particularly of the pilots) | ST | Open | 3 | 3 | 9 | Close coordination with MaaS project and ensuring that DDRT integration is identified for an appropriate iteration launch date. Procure a pilot back office provider that already has integration with Trafi MaaS system | 3 | 1 | 3 |
| Project risk- Time and Cost | FTZ MaaS project does not run to timescale/budget | Integration of DDRT and MaaS is delayed or is constrained by budgets | ST | Open | 4 | 2 | 8 | Coordination with MaaS project; adapt timescale/ approach for DDRT trial if MaaS goes off-track. Potential to run initial pilots using DDRT platform provider's own apps exists (albeit is highly undesirable as loses key innovation/ benefit of MaaS integration) if MaaS not ready for pilots, so DDRT trials can still proceed albeit in a sub-optimal format. | 4 | 1 | 4 |
| Project risk - cost | Budget is insufficient | Project cannot be delivered in way that is proposed | ST | Open | 4 | 2 | 8 | Estimates presented here are based on quotes provided by back office providers and informed estimates. It appears that the FTZ budget should be sufficient to deliver the pilot/trial project as proposed, and and "residual" funding intended for use as challenge fund could be repurposed as contingency in event of higher than expected costs | 4 | 1 | 4 |
| Operational and marketing risk | Poor adoption/use of new DDRT booking methods by public; low adoption by "new" users | Low benefits from trial; limited data/outcomes for M&E | ST, operators | Open | 4 | 3 | 12 | This risk is tied to the level of public adoption and overall success of the MaaS project (if MaaS adoption is poor, DDRT booking via the app is also likely to be poor). Ensuring successful launch of MaaS via marketing & promotion and development of app, together with marketing/ promotion aimed at generating awareness of DDRT options "within" MaaS is key. | 4 | 2 | 8 |
| Operational and marketing risk | Customers don't understand the product, or scheme/services are unreliable or do not work as planned because it is a new and untested method of delivering transport services | Reputational damage; not enough usage; cannot meet objectives or answer research questions | ST, Back-office provider, operators | Open | 4 | 3 | 12 | Ensure selection of suitable qualified and experienced platform provider via procurement process. Develop contingency plans (eg "roll back" to previous operating methods) if new platforms do not work. Also ensure that CT operators are capable of delivering their side of the project (could include refusing to partner/work with operators that we cannot be confident can deliver). Marketing & comms to users regarding changes to booking methods, how to use DDRT etc | 4 | 1 | 4 |



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|------------------------------------|--|---|----------------------|------|---|---|----|---|---|---|---|
| Operational and technological risk | Changes to services to implement DDRT / MaaS app booking result in degradation of service for current, often older/ vulnerable users of CT services | Reputational damage, negative impacts on users often in groups with protected characteristics, potential risk of discrimination accusations | ST, operators, users | | 4 | 4 | 16 | Close coordination with operators to ensure that trials do not inadvertently compromise service delivery to core users. Develop contingency plans (eg "roll back" to previous operating methods) if new platforms do not work. | 4 | 1 | 4 |
| Operational risk | Covid-19 leads to permanent loss of travel appetite / desire to drive cars | Less market for product; reputational damage | ST | Open | 3 | 3 | 9 | Implementing DDRT via MaaS increases the range of available transport products in "one app" so may help to mitigate this wider issue somewhat | 3 | 2 | 6 |
| Project risk - Quality | Insufficient or incorrect data collected to monitor use and undertake evaluation | Monitoring strategy cannot discern behaviour change or other benefits/impacts | ST | Open | 3 | 3 | 9 | Develop M+E strategy at outset and in partnership with FTZ M+E manager and Universities, ensure research questions and methods of data collection are planned from outset. | 3 | 2 | 6 |
| Political risk | Political circumstances - locally | Project lands poorly and does not meet needs or expectations of local authorities / politicians | ST | Open | 4 | 2 | 8 | Briefings of relevant elected members to inform and update if required, and to understand Member priorities, aspirations and advice | 4 | 1 | 4 |
| Political risk | Political circumstances - nationally | Changing priorities / confusion post-Covid results in withdrawal of Govt/ funder support for DDRT in general or this project in particular | ST | Open | 5 | 2 | 10 | Very strong DfT support for Solent FTZ programme, regular briefings. DfT National Bus Strategy is a flagship transport policy and repeatedly identifies a desire to explore increased role of DDRT | 5 | 1 | 5 |
| Procurement risk | Uncertainty regarding SCC or PCC taking the lead in procuring back office operator as the procurement officer(PCC) allocated for the FTZ projects will be resigning soon.. | Delays in initiating procurement process would lengthen the planned procurement schedule. This will affect the timely awarding of contract of BOO which can possibly result in 'cost and time overruns' in the project. | ST, PCC, SCC | Open | 3 | 3 | 9 | Early engagement with the procurement department both from SCC and PCC would give a better understanding of their respective procurement resource planning, workload and their timeframes. Various options would be explored such as possibility of using PCC as a procurement authority to act on behalf of SCC. | 3 | 2 | 6 |



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| Security and Legal risk | Ambiguity in data sharing, data ownership and data privacy agreements between the various service providers. Through Breeze and the BOO we will be acting as a booking agent or front end through which customers interact with service providers and this function will carry obligations and potential risks | Data breaches involving confidentiality, misuse of data or unauthorised access and disclosure of data can result in loss of consumer brand trust, reputation and potential conflict between the different service providers due to gaining unfair competitive advantage or disadvantage in the market. | ST,SCC | Open | 4 | 4 | 16 | The affected stakeholders together with the legal team will be consulted in developing a strategy for data sharing & ownership agreements. The agreements would be drawn up in a way that ensures legal compliance and would specify the processes and channels for safely transferring and storing of data. There may be potential for data sharing agreements and arrangements applicable to MaaS to also apply to the DDRT functionality this project will introduce. | 3 | 2 | 6 |
| Technological risk | Insufficient network speeds, bandwidth & coverage and limited compatibility of various IT systems resulting in delay of communication between the various service providers (BOO,BO and MaaS platform). | If the ability to relay and receive near real time information between the various service providers is compromised there would be direct consequences such as delayed responses in dispatching of buses and/or late picking up of passengers etc . This would result in reputational damage and loss of brand trust which will ultimately lead to project failure. | ST,BOO, BO,Breeze app | Open | 4 | 3 | 12 | Early engagement with the various service providers will help us understand and assess their current state of operation and technological limitations (especially the BO). Providing support to the BO in terms funding for purchase of IT hardware/software, staff training would help to address this gap to some extent. During the procurement process of BOO the technical specifications would be defined in a way that ensures technical compatibility between MaaS platforms and BO. | 3 | 2 | 6 |



Timescales for pilot project January 2022 – May 2024

| Activity | Responsible | Jan-22 | Feb-22 | Mar-22 | Apr-22 | May-22 | Jun-22 | Jul-22 | Aug-22 | Sep-22 | Oct-22 | Nov-22 | Dec-22 | Jan-23 | Feb-23 | Mar-23 | Apr-23 | May-23 | Jun-23 | Jul-23 | Aug-23 | Sep-23 | Oct-23 | Nov-23 | Dec-23 | Jan-24 | Feb-24 | Mar-24 | Apr-24 | May-24 |
|--|--------------------|--------|--------|--------|--------|--------|--------|--------|--------|--------|--------|--------|--------|--------|--------|--------|--------|--------|--------|--------|--------|--------|--------|--------|--------|--------|--------|--------|--------|--------|
| FTZ PB- report + decision to proceed late Jan 2022 | ST/ FTZ PB | █ | | | | | | | | | | | | | | | | | | | | | | | | | | | | |
| On-boarding | ST, SCC | █ | | | | | | | | | | | | | | | | | | | | | | | | | | | | |
| Consultant in post to lead project late Jan/early Feb to Jun 22 | ST, PCC | | | █ | █ | █ | | | | | | | | | | | | | | | | | | | | | | | | |
| Pre-requisites for recruitment by SCC (creation of post etc) | ST, SCC | | █ | █ | | | | | | | | | | | | | | | | | | | | | | | | | | |
| Recruitment of project manager | ST, SCC | | | █ | █ | █ | | | | | | | | | | | | | | | | | | | | | | | | |
| Project manager initial term (2 years) | ST, SCC | | | | | | ▨ | ▨ | ▨ | ▨ | ▨ | ▨ | ▨ | ▨ | ▨ | ▨ | ▨ | ▨ | ▨ | ▨ | ▨ | ▨ | ▨ | ▨ | ▨ | ▨ | ▨ | ▨ | ▨ | ▨ |
| Solent MaaS MVP2 (public) launch | ST-MaaS project | | █ | | | | | | | | | | | | | | | | | | | | | | | | | | | |
| Solent MaaS quarterly iterations (indicative) | ST-MaaS project | | | | | █ | | | █ | | | █ | | | █ | | | █ | | | █ | | | █ | | | | | | |
| Detailed PID prepared | PM | | | | | █ | | | | | | | | | | | | | | | | | | | | | | | | |
| Project manager introductory meeting with ITP | ST,ITP | | | | █ | | | | | | | | | | | | | | | | | | | | | | | | | |
| Project manager introductory meeting with operators | ST,FYT, SCIA | | | | █ | | | | | | | | | | | | | | | | | | | | | | | | | |
| Initiate back office procurement | ST ,PCC | | | | | █ | █ | | | | | | | | | | | | | | | | | | | | | | | |
| Introductory meeting with Via van and Padam | ST,Pad am, Via Van | | | | █ | █ | | | | | | | | | | | | | | | | | | | | | | | | |
| Co-develop specification with operators | ST | | | | | █ | █ | | | | | | | | | | | | | | | | | | | | | | | |
| Call off from framework-appoint provider | ST,PCC | | | | | | | | █ | | | | | | | | | | | | | | | | | | | | | |
| Sign contract | ST,PCC | | | | | | | | █ | █ | | | | | | | | | | | | | | | | | | | | |
| Associated activities eg Data sharing ageement SCC/operators; DPIA; EQIA, decisionmaking processes etc | ST,SCC | | | | | █ | █ | █ | █ | █ | █ | | | | | | | | | | | | | | | | | | | |



| Activity | Responsible | Jan-22 | Feb-22 | Mar-22 | Apr-22 | May-22 | Jun-22 | Jul-22 | Aug-22 | Sep-22 | Oct-22 | Nov-22 | Dec-22 | Jan-23 | Feb-23 | Mar-23 | Apr-23 | May-23 | Jun-23 | Jul-23 | Aug-23 | Sep-23 | Oct-23 | Nov-23 | Dec-23 | Jan-24 | Feb-24 | Mar-24 | Apr-24 | May-24 | |
|---|-------------------------------------|--------|--------|--------|--------|--------|--------|--------|--------|--------|--------|--------|--------|--------|--------|--------|--------|--------|--------|--------|--------|--------|--------|--------|--------|--------|--------|--------|--------|--------|--|
| Agree on support to operators and provide via grant agreement | ST,SCC | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | |
| Back office mobilisation | ST,ITP,BOO | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | |
| Operator preparation/mobilisation | ST,ITP,FT,SCIA | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | |
| MaaS integration | MaaS provider,PM,BOO | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | |
| Develop Marcomms strategy | PM, Marcomms officer, Operators,ITP | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | |
| Launch Marcomms etc prep | PM, Marcomms officer | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | |
| Launch 2x Do Min trials | operat | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | |
| Run pilots - 6 month initial term | operat | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | |
| Monitor & evaluate and Marcomms effort | ITP | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | |

