

Transport for the North

Corporate Risk Register

September 2022



Introduction to Transport for the North's Corporate Level Risks

It is essential that Transport for the North (TfN) recognises, understands, and manages the range of risks that could negatively impact on its ability to achieve the objectives set out in the 2022/2023 Business Plan. TfN's approach to managing risk is set out in its Risk Management Strategy which provides guidance for how risks are identified, assessed, managed, and reported. Each programme and corporate function within TfN, has its own risk register that is updated on a monthly cycle, with clear reporting in line with governance arrangements.

TfN uses programme information to identify cross cutting risk themes that are sufficiently significant, either in their own right or in aggregate, to be reported to and discussed by TfN Board as risks requiring corporate focus. TfN's corporate risks stem from a range of sources, some of which are beyond TfN's direct control. The challenges and uncertainty faced by TfN create both threats that need to be addressed, and opportunities that can potentially be exploited.

The 2022/23 corporate risk register presents the corporate risks that might directly have an impact on TfN's business plan objectives. To ensure effective management of risks, the report provides information such as risk description, potential consequences on TfN's objectives and priorities, and the mitigation measures in place to manage risks.

Section 1 provides an executive summary of TfN's Risk Environment and Emerging Risks, corporate risk themes and factors, key changes to the register since the last risk review, key impacts/action themes, and TfN's 2022/23 KPIs.

Section 2 provides a detailed analysis of each risk, the mitigating actions that have been adopted, and the mitigation level of control, as it is important to understand the extent to which TfN is able to influence or control the risk outcomes.

1 Executive Summary

1.1 TfN's Risk Environment and Emerging Risks

- 1.1.1 Budget setting and Business planning for 2022/23 has now been concluded. Recognising the current fiscal environment including the rising cost of inflation, TfN are closely monitoring funding risks and budget expenditure. A risk has been captured at functional level to manage and monitor budget assumptions. An additional corporate risk has been identified for medium term financial sustainability.
- 1.1.2 In Autumn, TfN will be preparing the Business Plan for 2023/24, based on a planning assumption that underpins the work that has been done this financial year. TfN will continue to work closely with DfT to ensure effective resource planning of agreed priorities, including the retention and recruitment of skills for roles.
- 1.1.3 In response to the current political uncertainty the probability of the risk which relates to changes in government commitments, has been increased. This will need to be monitored closely in the next six months. Engagement with government at political and officer level will be a key priority for TfN.

1.2 Key Changes to the corporate risk register

- 1.2.1 A review of the corporate risk register has been conducted across TfN to reflect the Key Performance Indicators (KPIs) and business objectives outlined in the Business Plan for Financial Year 2022/23.
- 1.2.2 TCR02: Within the TfN reputation, political engagement, and effectiveness theme, the current and target position of the risk Changes in Government Commitment, has increased, due to current political uncertainty.
- 1.2.3 TCR02: One new risk and two new opportunities have been identified under the theme TfN reputation, political engagement, and effectiveness, which are *failure to comply with governance and corporate processes, TfN centre of excellence and simplification of TfN processes*.
- 1.2.4 TCR12: The opportunity for *TAME centre of excellence* has been closed and subsumed into the wider opportunity (TCR02) *TfN can provide more services and guidance to support national, regional and local partners, as a centre of excellence*.

- 1.2.5 TCR12: The risk *TAME, providing a direct service to DfT limits TAME's services in delivering TfN's objectives*, has an increased current and target position due to ongoing recruitment.
- 1.2.6 TCR13: One new funding risk factor has been identified under the funding theme, which is *medium term funding sustainability challenges*.
- 1.2.7 TCR13: The issue which related to the, *one year funding settlement* has been closed as mitigation actions are now complete and based on the funding allocation received budget and business planning for 2022/23 has been concluded and approved at TfN board in June.
- 1.2.8 TCR13: The risk *funding levels are significantly reduced*, has decreased in probability as TfN have received a material reduction in funding for 2022/23.
- 1.2.9 TCR14: Two new risk factors have been identified for the resources theme, which are *loss of knowledge and severance process*.
- 1.2.10 Fall back plans have been identified for risks scored very high.
- 1.2.11 The Risk Management Strategy has been reviewed and updated to incorporate TfN's risk appetite statement, updated process diagram, risk reporting, risk review frequency, roles and responsibilities and updated RACI. Training will be rolled out to staff in September/October.

1.2.12 Our Key Performance Indicators (KPI's) framework monitors and measures our progress and performance and ensures that we provide value for money. The KPIs that we have adopted for 2022/23 are set out below:

KPI	Detail	Deliver	Responsible
1	Establish the stakeholder forum for Trans-Pennine Route Upgrade	Jul-22	Rail
2	Publish the TfN work on Transport related social exclusion	Sep-22	Strategy
3	Complete the reshaping of TfN and implement new operating model	Sep-22	CEO
4	Implement effective governance arrangements for the Co-Sponsor Board	Sep-22	CEO/Rail
5	Publish the TfN Freight and Logistics Strategy	Sep-22	Strategy
6	Establish the agreed NPR analytical work programme for DfT through TAME	Sep-22	Strategy
7	Develop and autumn submission to Government that identifies opportunities to build on TfN's technical capabilities	Oct-22	Finance/Strategy
8	Develop the business model that enables TfN to support its partners across the north	Oct-22	CEO/Strategy
9	Working with partners to prepare a Northern proposition for the implementation of the Williams-Shapps rail reforms	Dec-22	Rail
10	Publish a refreshed Northern Powerhouse Independent Economic Review	Dec-22	Strategy
11	Identify investment priorities for consideration as part of Road Investment Strategy (RIS3)	Dec-22	Road
12	Use the EV charging infrastructure framework to support partners - nationally and across the North	Dec-22	Road
13	Make the Clean mobility visions outputs available for use by partners - nationally and across the North	Dec-22	Strategy
14	Prepare a draft Strategic Transport Plan and secure TfN Board agreement to consult	Mar-23	Strategy
15	Complete an Integrated Sustainability Appraisal of the revised Strategic Transport Plan	Mar-23	Strategy
16	Develop a draft connected Mobility Strategy and secure TfN Board agreement to publish	Mar-23	Rail/Road
17	Develop and implement the Manchester Recovery Task Force "blueprint" and apply the same approach to the East Coast Main Line	Mar-23	Rail
18	Contribute to the work of the Leeds Area Study as part of the implementation of the IRP	Mar-23	Rail
19	Deliver projects on BSIPS, hydrogen and local mobility in support of partners	Mar-23	Strategy/Road/Rail
20	Submit to DfT an update on progress with the implementation of the Major Road Network Programme	Mar-23	Road

1.3. Corporate Risk Dashboard

11 Current themes	27 Risk factors	2 Opportunities	125 Mitigation actions	55 Ongoing actions	43 New actions
4 New risk factors	0 Issues	20 Mitigation actions due by 30 Sept 22	20 actions completed in last quarter		

TCR	Themes ordered by highest current risk score	Number of Risk Factors per Theme	Current Score	Target Score	Risk Owners
14	TfN resources	3	25	20	Business Capabilities Director and Head of HR
13	TfN funding	3	20	18	Chief Executive Officer and Finance Director
3	TfN's Strategic Transport Plan (STP)	2	20	15	Interim Strategy and Programme Director
12	Technical appraisal, modelling and economics (TAME)	2	20	15	Interim Strategy and Programme Director
2	TfN's reputation, political engagement and effectiveness (including 2 opportunities)	7	19	19	Chief Executive Officer and Interim Strategy and Programme Director
9	Rail operations - franchise management and investment	3	19	17	Strategic Rail Director
11	Co-sponsorship	2	18	15	Chief Executive Officer and Interim Strategy and Programme Director
4	Delivery of robust and compelling evidence to support Investment Programmes	1	15	11	Interim Strategy and Programme Director
7	TfN compliance and relevant laws and regulations	1	11	11	Business Capabilities Director
5	Transport decarbonisation and climate change	1	11	8	Interim Strategy and Programme Director
10	TfN cyber security	2	10	10	Business Capabilities Director

Key impacts across themes:

- TfN reputational damage and loss of credibility.
- TfN's ability to access funding in the future.
- TfN's ability to deliver statutory duties.
- Recruitment and retention of staff.

Key action themes:

- Partner Engagement
- Developing a revised MoU with the DfT
- Collaborate with DfT on NPR Sponsor Board
- Establishing and following realistic programmes

Threat Scoring	
Issue	
Very High	19 - 25
High	14 - 18
Medium	7 - 13
Low	1 - 6

KPIs 2022/23 are aligned to corporate risks. KPI's also aligned at project level risks and are included as part of the Monthly Operating Report. Management of some risks is required to meet all KPIs.

1.4. Key Risk Factors for TfN:

ID	Theme	Risk Description	Actions	Action Owner
643	TfN Resources	TfN's is unable to recruit and retain suitable staff to deliver the 2022/23 business plan and medium to long term TfN objectives.	<ol style="list-style-type: none"> 1. Update People Strategy as required 2. Continue to brief and update staff 3. Provide training and development opportunities 4. Full and proper consultation with UNISON 	<p>Business Capabilities Director Business Capabilities Director Interim Strategy and Programme Director Business Capabilities Director</p>
916	TfN Funding	NEW Funding allocations for 2023/24 might be a flat rate, which doesn't account for inflation, therefore presenting medium term/ 3 years sustainability challenges	<ol style="list-style-type: none"> 1. Engagement with stakeholders to ensure the case for TfN's funding is supported by all Board members 2. There is structured engagement with government officials and decision-makers 3. TfN and DfT collaborative working to develop a revised version of MOU 4. TfN to demonstrate that it delivers value for money 5. TfN to explore wider funding opportunities through development of centre of excellence proposition 6. Early engagement with DfT in relation to 2023/24 business planning 	<p>Chief Executive Officer</p> <p>Interim Strategy and Programme Director</p>
881	TfN's Strategic Transport Plan	TfN are unable to produce a second STP that will be endorsed by TfN Board and government in time for the March 2023 deadline.	<ol style="list-style-type: none"> 1. Engagement with Partners and Government 2. Manage programme via TfN's Strategic Oversight Group 3. Update Northern Powerhouse Independent Economic Review (NPIER) 4. Manage interdependencies with NPIER 	Interim Strategy and Programme Director

884	Technical appraisal, modelling and economics	Legal and commercial restrictions. TfN is not legally allowed to share its models or data with Partners.	<ol style="list-style-type: none"> 1. Early engagement with legal team 2. Develop TfN Licensing Strategy 3. Obtain licences for all data inputs 	Interim Strategy and Programme Director
879	TfN's reputation, political engagement and effectiveness	Despite our statutory status there could be a material change in government's commitment to STB's/reduction of remit and powers of TfN or a change in views/approach as to how STB's function	<ol style="list-style-type: none"> 1. Structured engagement with government officials and decision-makers 2. TfN continue to respond to any DfT proposals and develop a revised version of MOU 3. TfN to demonstrate that it delivers value for money 4. Maximise the input and contribution of Partnership Board 5. Engagement with other STB's to identify areas of common interest 	Chief Executive Officer
310	Rail Operations	There is a risk that TfN could have a reduced role in the rail industry following the implementation of the Williams-Shapps review.	<ol style="list-style-type: none"> 1. Collaboration with the GBR transition team 2. Established rail-reform programme board chaired by TfN's CEO 	Strategic Rail Director

2. Qualitative Risk Analysis of TfN’s Corporate Level Risk

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TCR02: TfN’s reputation, political engagement, and effectiveness

ID	Risk Description	Owner	KPI	Current Score	Target Score	Trend
879	Despite our statutory status there could be a material change in government's commitment to STB's/ reduction of remit and powers of TfN or a change in views/ approach as to how STB's function.	Chief Executive Officer	All	19	19	↑
296	There is a risk of disconnect between TfN's statutory powers/remit and stakeholder expectations.	Chief Executive Officer	All	18	15	↔
640	The internal and external leaking of confidential information may create a legal liability.	Chief Executive Officer	All	15	15	↔
880	TfN are unable to provide the One Voice for the north in relation to strategic transport investment priorities, and policy positions.	Chief Executive Officer	8, 20	18	15	↔
920	Failure to comply with governance and corporate processes across the organisation.	Chief Executive Officer	All	11	8	New
913	Opportunity: TfN can provide more services and guidance to support national, regional, and local partners, as a centre of excellence.	Interim Strategy and Programme Director	2, 5, 7, 8, 13, 19	-11	-18	New
915	Opportunity: TfN could exploit the benefits of being a more focused organisation e.g., Simplification of and reduction in processes, overheads and services arising from reshaping of TfN.	Chief Executive Officer	3	-15	-18	New

Impacts:

- Reduction in core funding makes it more difficult for TfN to fulfil statutory responsibilities.
- TfN unable to fulfil its statutory responsibilities requiring a fundamental review of the organisation.
- Failure to make timely, evidence-based advice to Government in respect of priority projects and programmes thereby delaying or preventing the benefits of strategic transport infrastructure from being delivered.
- TfN’s credibility could be negatively impacted by being unable to deliver across an “expectation gap” between its statutory responsibilities and powers and partners' perception of its role.

- TfN's reputation and relationship with DfT, partners and members could potentially be adversely affected, with potential legal costs.
- TfN could lack the powers or the influence to deliver the economic, social and sustainability benefits to the North that is set out in the Strategic Transport Plan.
- Increase TfN's chance of securing additional future funding through capabilities.
- Improved relations and reputation with government and partners as a recognised centre of excellence locally, regionally, and nationally.
- A source of trusted information, that available to all our partners.
- Improving outcomes for partners including efficiencies of public funding.
- Simplification of processes in-line with organisational redesign has the potential to reenergise the workforce, increases operational efficiencies and allows for efficient use of resource, time.

Mitigation actions for risk 879:

ID	Control Level and Action Description	Owner	Due
2489	Medium - There is structured engagement with government officials and decision-makers.	Chief Executive Officer	Dec 22
2490	Medium - TfN continue to respond to any DfT proposals and develop a revised version of Memorandum of Understanding (MOU) between DfT and TfN.	Chief Executive Officer	Dec 22
2491	Medium - TfN to demonstrate through priorities identified in the Business Plan that it delivers value for money, maximises the efficiency of taxpayer money and provides additional value to its partners (nationally and across the North) that realises benefit to the north of England.	Chief Executive Officer	Dec 22
2492	Fall-back Plan - Maximise the input and contribution of Partnership Board through increased engagement and consultation.	Chief Executive Officer	Mar 23
2493	Medium - Engagement with other Statutory Transport Bodies (STB)'s to identify areas of common interest and opportunities for collaboration.	Chief Executive Officer	Ongoing

Mitigation actions for risk:296

ID	Control Level and Action Description	Owner	Due
949	Medium - There is continuous engagement with stakeholders, and partners, to continue to represent 'One Voice' for the North.	Chief Executive Officer	Ongoing
1548	Medium - TfN's Business Plan to be sustainable, with clear explanations of TfN activities.	Chief Executive Officer	Complete

Mitigation actions for risk:640

ID	Control Level and Action Description	Owner	Due
1551	Medium - TfN has in place Confidentiality Agreements with Constituent Authorities in relation to Northern Powerful House Rail and the Rail North Partnership to regulate information disclosed. In addition, the Confidentiality Agreement demonstrates how information and data may and may not be used, ensures compliance with data protection legislation, and impose responsibility for compliance.	Head of Legal Services	Ongoing
1553	Medium - The Codes of Conduct relating to Members of Constituent Authorities make provision as to the circumstances in which information may be disclosed. Each Constituent Authority will have its own Officer Code of Conduct and/or Disciplinary Policy which are likely to have similar provisions to TfN's, dealing with the treatment of confidential information.	Head of Legal Services	Ongoing
1554	Medium - TfN's processes seek to restrict where possible disclosure of data only to those within the organisation who need to possess such data in order to carry out TfN's business as a public authority. This will support the reduction of the risk of deliberate or accidental disclosure of information shared on a confidential basis.	Head of Legal Services	Ongoing

Mitigation actions for risk 880:

ID	Control Level and Action Description	Owner	Due
2494	High - As part of the second Strategic Transport Plan work, maximise utilisation of existing forums to ensure Partners are actively engaged.	Interim Strategy and Programme Director	Sept 22
2495	High - Use established governance to ensure that focus on key priorities are understood and that stakeholders are actively engaged.	Interim Strategy and Programme Director	Complete
2496	Medium - There is continuous engagement with Members and constituent authorities, stakeholders, and partners, to continue to represent the 'One Voice' for the North.	Chief Executive Officer	Ongoing
2635	NEW: High - Use established governance, to ensure that TfN activity continues to meet the priorities agreed by TfN board	Interim Strategy and Programme Director	Ongoing

Mitigation actions for risk 920:

ID	Control Level and Action Description	Owner	Due
2678	High - Ensure staff have relevant induction, policy reminders through internal communications, annual training of key policies.	Chief Executive Officer	Ongoing
2679	High - Functional areas to monitor and assure teams adherence to internal polices, processes and procedures.	Chief Executive Officer	Ongoing
2680	Medium - Ensure that functional level mitigation actions in relation to this risk have been suitably identified, implemented	Chief Executive Officer	Nov 22

Actions for opportunity 913:

ID	Control Level and Action Description	Owner	Due
2642	High - Explore and identify capabilities and collaboration opportunities with partners through Strategic Oversight Group.	Interim Strategy and Programme Director	Ongoing
2643	High - TAME opportunity is outlined in business planning 2022/23, matching available resources to key TfN core priorities, including the introduction of new prioritisation mechanisms where appropriate.	Interim Strategy and Programme Director	Sept 22
2529	High - Ensure all core and NPR business plan commitments are prioritised before offering TAME services to third parties.	Interim Strategy and Programme Director	Ongoing
2644	High - TfN working group in place to define the different area of expertise which TfN can develop as a centre of excellence including opportunities for funding and development of longer-term road map. For example TAME, decarbonisation, freight and TRSE	Interim Strategy and Programme Director	Dec 22
2646	Medium - Develop an Autumn submission to Government that identifies opportunities to build on TfN's technical capabilities	Interim Strategy and Programme Director	Oct 22

Actions for opportunity 915:

ID	Control Level and Action Description	Owner	Due
2651	High - Establish a transparent and responsive TAME prioritisation approach to maximise the value we get from the TAME team	Interim Strategy and Programme Director	Dec 22

2652	Medium - Rollout of policy development framework as part of establishing a single technical programme across TfN to eliminate double handling and need for re-work	Interim Strategy and Programme Director	Dec 22
2653	Medium - Simpler internal governance arrangements, enabling more efficient use of budgets and allowing TfN to respond more rapidly to emerging opportunities	Interim Strategy and Programme Director	Dec 22
2654	Medium - Simplifying external reporting, reducing the frequency and complexity of external reporting arrangements	Interim Strategy and Programme Director	Dec 22
2655	High - Streamlining partner engagement and improving information sharing	Interim Strategy and Programme Director	Dec 22
2656	Medium - Undertaking a review of how internal meetings are managed and identifying opportunities to reduce length and frequency and improve effectiveness	Interim Strategy and Programme Director	Dec 22

TCR03: TfN's Strategic Transport Plan (STP)

ID	Risk Description	Owner	KPIS	Current Score	Target Score	Trend
641	Inconsistency between the second STP's policy positions and delivery of TfN workstreams.	Interim Strategy and Programme Director	2, 5, 14, 15, 16	11	8	↔
881	TfN are unable to produce a second STP that will be endorsed by TfN Board and government in time for the March 2023 deadline.	Interim Strategy and Programme Director	10, 14, 15	20	15	↔

Impacts:

- Programmes of work developed in a way that does not contribute to, or runs counter to, the overall objectives and plans set out in the STP, resulting in the failure to achieve the aims of the STP and/or leads to sub-optimal impacts from transport investments.
- Inconsistent messaging because of uncoordinated activity weakens TfN's reputation with government, constituent authorities and wider stakeholders.
- TfN's credibility could be negatively impacted.

- TfN do not produce a credible second STP that is endorsed by TfN board and government.
- Significant TfN reputational challenges with TfN board and government, as well as financial and time implications.

Mitigation actions for risk 641:

ID	Control Level and Action Description	Owner	Due
1556	High - Co-ordination mechanisms have been established within TfN and with partners (such as the Strategic Oversight Group) to facilitate the co-ordination of programmes of work.	Interim Strategy and Programme Director	Ongoing
1557	Medium - A Policy Development Framework (previously known as the Internal Assurance Framework) is being developed. The work will identify clear and consistent approaches to policy development across the organisation. In addition, the Policy Development Framework will enable decision makers to decide TfN's priorities for future projects and programmes to ensure alignment within the TfN programme as well as with partner programmes.	Interim Strategy and Programme Director	Sept 22
1558	High - A robust benefits realisation framework is being developed to enable the evaluation of programme KPIs and allow the assessment of outcomes in relation to STP objectives.	Interim Strategy and Programme Director	Sept 22
1559	High - The new STP programme will define and sequence the required activities needed, with clear milestones in place for the development and production of a revised STP. Furthermore, there is a plan for consultation and formal adoption by the Board, which is expected no later than 2024. The TfN Board has agreed a programme for the update of the new STP and governance mechanisms are being established in preparation for work to start this financial year.	Interim Strategy and Programme Director	Ongoing

Mitigation actions for risk 881:

ID	Control Level and Action Description	Owner	Due
2497	High - Comparing sustainable business plan with TfN objectives	Interim Strategy and Programme Director	Complete
2498	Medium - Continued direct and early engagement with partners and government departments over TfN's objectives and development of the approach to the Second STP	Interim Strategy and Programme Director	Ongoing
2499	Medium - Developing a clear programme of activity for second STP and managing through SOG exec board and TFN board.	Interim Strategy and Programme Director	Dec 22

2500	High - Work with partners to review and update Northern Power Independent Economic Review.	Interim Strategy and Programme Director	Sept 22
2501	High - Manage interdependencies with Northern Power Independent Economic Review, which will run in parallel with STP2.	Interim Strategy and Programme Director	Dec 22
2636	NEW: Fallback plan: Present second STP to July TfN board to allow further engagement with stakeholders	Chief Executive Officer	Jul 23

TCR04: Delivery of robust and compelling evidence to support Investment Programmes

ID	Risk Description	Owner	KPI	Current Score	Target Score	Trend
298	There is a risk that TfN might be unable to make a timely, robust, credible, evidence-based case for investment in transport.	Interim Strategy and Programme Director	11	15	11	↔

Impacts:

- An insufficiently compelling evidence base, particularly around the programme-level economic case may delay or prevent strategic transport infrastructure investments being made, with consequential impacts on TfN's ability to deliver its objectives.
- The inability to make a transformational case could damage TfN's reputation with partners as the organisation's key objective is to take a leadership role in delivering innovative business cases to secure investments.
- Programme delays could result in extra costs and resources.

Mitigation actions for risk 298:

ID	Control Level and Action Description	Owner	Due
953	Medium - TAME staff are working closely with DfT officials to build confidence in the robustness of Analytical Framework tools, dedicating resources to responding to requests for information from DfT in a professional and timely manner.	Interim Strategy and Programme Director	Ongoing
954	High - Ensure programmes are realistic and achievable and are being re-adjusted if required, without significantly impacting delivery against TfN's core objectives.	Interim Strategy and Programme Director	Sept 22

955	Medium - Scope is being managed in consultation with DfT, TfN Partners and Peer Reviewers to ensure essential functionality for robustly representing transformation is prioritised and “added value” functionality is deprioritised where appropriate. This will ensure that the approach is proportionate for the stage of scheme development.	Interim Strategy and Programme Director	Ongoing
2509	High - The team has developed flexible professional services contracts, which can be scaled up and down to meet different levels of NPR resource requirements, thereby, providing a control mechanism to protect TAME’s resources that are committed to other programmes.	Interim Strategy and Programme Director	Complete
957	High - Reviewing TAME structure in line with business plan commitments.	Interim Strategy and Programme Director	Sept 22
2502	High - Strengthen TAME governance for more transparent prioritisation of activity.	Interim Strategy and Programme Director	Sept 22
2503	Medium - Build in suitable Project Management controls into the team.	Interim Strategy and Programme Director	Sept 22
2504	Medium - Use evidence to provide recommendations to the Secretary of State for Road Investment Strategy.	Major Roads Strategy Manager	Dec 22
2505	Medium - Use evidence to provide recommendations to the Secretary of State for Rail Network Enhancement Pipeline.	Strategic Rail Director	Dec 22

TCR05: Transport decarbonisation and climate change

ID	Risk Description	Owner	KPI	Current Score	Target Score	Trend
299	Within its Decarbonisation Strategy, TfN and its partners have committed to achieving close to zero emissions for surface transport in the North by 2045. TfN is unable to deliver its contribution to achieving this target.	Interim Strategy and Programme Director	8	11	8	↔

Impacts:

- TfN fails to deliver on its commitments laid out within the TfN Decarbonisation Strategy.
- Adverse impacts on TfN credibility and influence as a Sub-National Transport Body.
- If the required level of policy commitment to deliver close to zero by 2045 is not achieved in the medium to long term, this might contribute towards an excess of agreed global temperature rise (as defined by the Paris Agreement) and climate change which might impact upon the resilience of the North's transport infrastructure.

Mitigation actions for risk 299:

ID	Control Level and Action Description	Owner	Due
959	High - Careful programme planning to ensure TfN activities proposed in the Strategy are accommodated in business planning up until 2025 to ensure priority activities are given appropriate focus, resourcing, and funding. By undertaking these research, evidence and data building, and facilitation activities, and providing the outputs to our Partners and national government, there is a higher likelihood of the required levels of policy commitment being achieved.	Interim Strategy and Programme Director	Ongoing
2362	Medium - Develop mechanisms to ensure decarbonisation and sustainability are reflected in project and strategy decision-making.	Interim Strategy and Programme Director	Mar 23
2425	Low - Aspiration to undertake an appraisal of the relative carbon benefits associated with the remaining activities defined within the decarbonisation strategy, dependant on funding	Interim Strategy and Programme Director	Mar 23
2506	Medium - Continue to influence and engage with stakeholders and maintain reputational credibility	Interim Strategy and Programme Director	Ongoing

2507	Medium - Work underway for TfN to produce a carbon assessment	Interim Strategy and Programme Director	Dec 22
2508	Medium - Embedding decarbonisation into wider TfN workstreams including freight and social inclusion and testing the interdependencies	Interim Strategy and Programme Director	Ongoing

TCR07: TfN compliance and relevant laws and regulations

ID	Risk Description	Owner	KPI	Current Score	Target Score	Trend
303	Transport for the North is a statutory body with limited statutory powers and duties. There is a risk that in carrying out its functions, TfN fails to comply with applicable law or exceeds its powers.	Business Capabilities Director	All	11	11	↔

Impacts:

- If TfN fails to adhere to applicable law, or acts outside its powers, there could be reputational impacts with both stakeholders and the public, which may affect its ability to meet its objectives and/or result in legal proceedings against TfN.
- There is also a potential financial impact including fines, costs and/or other penalties for breach of regulatory laws such as Data Protection, Freedom of Information, Health & Safety or Procurement.
- The ICO may issue a decision notice or the HSE may issue an enforcement notice if it found that TfN was in breach of information or health and safety legislation.
- TfN could be subject to substantial financial damages for breach of the Public Contracts Regulations.
- Important work may be delayed by a failure to comply with necessary obligations such as statutory consultation.

Mitigation actions for risk 303:

ID	Control Level and Action Description	Owner	Due
970	High - TfN has suitably qualified officers in all senior positions, particularly the HoPS, S151 Officer and Monitoring Officer. In addition, TfN has employed an in-house legal team. Since the recent restructure and reduction in posts, the size and capacity of the in-house team needs to be kept under review.	Head of Legal Services	Ongoing
971	High - TfN ensures there are clear and well documented processes and procedures in place.	Head of Legal Services	Ongoing
972	High - Ongoing training on laws and legislations and communication across the organisation.	Head of Legal Services	Ongoing
973	High - Procedures are in place through Modern.Gov to ensure that there is continuous legal review to TfN's Boards and Committees. Modern.gov champions now in place and have received initial training to help to widen corporate knowledge of modern.gov to support governance and resilience.	Head of Legal Services	Ongoing

974	High - TfN employs in house legal and procurement specialists and where necessary seeks external legal advice on commissioning and procurement.	Head of Legal Services	Ongoing
1569	High - A new process, Modern.Gov has been implemented to streamline report approvals and support efficient decision-making. Modern.gov champions have been identified and have received initial training to widen corporate understanding of the system and help support governance and resilience. Further training is planned to be rolled out in August/September 2022.	Head of Legal Services	Ongoing
1570	High - TfN will seek external legal advice on legal issues as identified by the legal in-house team.	Head of Legal Services	Ongoing
1571	High - TfN has employer's liability, public liability, and professional indemnity insurance in place to mitigate any financial liability.	Head of Legal Services	Ongoing
2310	Medium - Audit and Governance Committee has core functions supporting compliance with laws regulations and best practice, including monitoring governance risks and control.	Head of Legal Services	Ongoing

TCR09: Rail operations – franchise management and investment

ID	Risk Description	Owner	KPI	Current Score	Target Score	Trend
309	The long-term effect of Covid-19 may impact on the viability of train services and future investment decisions. The pandemic has changed travel patterns and behaviours and therefore service and investment decisions will need to reflect new markets and emerging evidence of demand.	Strategic Rail Director	17, 18	17	17	↔
310	There is a risk that TfN could have a reduced role in the rail industry following the implementation of the Williams-Shapps review.	Strategic Rail Director	9	19	17	↔
311	Future timetable changes in Manchester and potential East Coast Main Line in May 2023 that reduces rail connectivity for the North.	Strategic Rail Director	17, 18	18	18	↔

Impacts:

- Low passenger numbers post-Covid and the result of industrial relations issues could reduce the viability of some existing services.
- Less investment in services and infrastructure because of weaker business cases.
- If there is a delay in investment and delayed rolling stock, passengers will continue to be frustrated and experience poor quality services.
- Severe adverse reputational impact and pressure from partners.
- The franchise system is being replaced by service contracts directly funded by the Treasury through Great British Railway, potentially diminishing TfN's role and influence over operations (although this also represents an opportunity for TfN to make a case for further involvement in the management of the rail network).
- Timetable amendments to address capacity issues could result in a decline in services to some areas and on local connectivity, thereby reducing choice for passengers.
- Failure to integrate investment programmes could affect TfN's reputation by impacting on a significant part of its rail transformational programmes and the delivery of the Strategic Transport Plan.

Mitigation actions for risk 309:

ID	Control Level and Action Description	Owner	Due
980	Low - To continue to use TfN's influence in the monthly Rail North Partnership Board, Rail North Committee to shape the re-introduction of services, and infrastructure developments and re-build passenger confidence.	Strategic Rail Director	Ongoing
981	Medium - To continue with the close working relationship and communication with TfN member authorities on deliverables and risks - feeding back information through TfN governance structures.	Strategic Rail Director	Ongoing
1578	Medium - To continue to track train service performance and delivery via regular reporting dashboards.	Strategic Rail Director	Ongoing
1579	Medium - Strategic Rail and Rail North Partnership (RNP) to work together to support Network Rail and Operators in producing recovery plans that meet passengers' needs and rebuild confidence.	Strategic Rail Director	Ongoing

Mitigation actions for risk 310:

ID	Control Level and Action Description	Owner	Due
1638	High - TfN is working with the GBR transition team to work on a more detailed proposal as to how the white paper might be delivered in the North.	Strategic Rail Director	Mar 23
983	High - TfN has established a rail-reform programme board from April 22 chaired by TfN's CEO. The programme board provides a programme of work to develop the partnership between TfN and GBR, defining TfN's future role on rail and its interface with the WISP (whole industry strategic plan).	Strategic Rail Director	Mar 23
2568	Medium - Responding to the DfT led consultation on the rail re-form legislation by the 4th August deadline. Complete	Strategic Rail Director	Complete
2637	NEW: Fall-back Plan - Use rail-reform programme to strengthen TfN's relationships and position with GBRTT	Strategic Rail Director	Mar 23

Mitigation actions for risk 311:

ID	Control Level and Action Description	Owner	Due
1581	Medium - TfN, working with Partners, has outlined to Operators and the Department the key concerns of the regions. TfN has appointed a consultant to explore how regional services that would be lost can be restored on ECML. To support this TAME has produced economic impacts of the timetable change on the ECML.	Strategic Rail Director	Ongoing
985	High - A collaboration between DfT and TfN to develop a blueprint of infrastructure and services to support further capacity on the ECML will be established. Likewise, regarding Manchester, collaborative work continues with DfT to underpin a blueprint linking infrastructure to future service development.	Strategic Rail Director	Ongoing
2638	NEW: Medium - Contribute and influence the work of the Leeds area study as part of the implementation of the IRP and linked to ECML future timetable.	Strategic Rail Director	Ongoing

TCR10: TfN cyber security

ID	Risk Description	Owner	KPI	Current Score	Target Score	Trend
876	Cyber disruption/attacks to the available information and technical infrastructure. Inappropriate user access to confidential information. Access may be limited for an unknown period of time.	Business Capabilities Director	All	10	10	↔
887	Data is removed purposefully from the TfN's systems.	Business Capabilities Director	All	10	8	↔

Impacts:

- Site outages, loss of resource time, which could impact on programme timescales, impact on cost for restoration of resources and information.
- Ransomware, compromise of information, potential legal implications due leakage of data/GDPR fines which leads to reputational challenges.
- Damage to TfN's reputation and credibility.
- TfN's relations with the DfT, partners and members could potentially be adversely affected.
- There could be a loss of resource time, delays to programmes and costs incurred to restore or replace data.

Mitigation actions for risk 876:

ID	Control Level and Action Description	Owner	Due
2472	Medium - IT and Data Policies to be produced, reviewed, and updated in line with known cyber threats.	IT and Information Manager	Ongoing
2473	Medium - Training to all TfN staff performed on new policies.	IT and Information Manager	Ongoing
2474	Medium - Communications Plan in place for regular updates to employees when required.	IT and Information Manager	Ongoing

2475	Medium - Monitoring and compliance checks performed (e.g. Phishing attacks).	IT and Information Manager	Ongoing
2476	Medium - On-going/monitoring security updates performed to user devices and software services.	IT and Information Manager	Ongoing
2477	Medium - Business Continuity Plan checks, system reviews and restoration timescales regularly assessed.	IT and Information Manager	Ongoing
2478	Medium - Insurance cover in place for ransoms where required.	IT and Information Manager	Ongoing

Mitigation actions for risk 887:

ID	Control Level and Action Description	Owner	Due
2530	Medium - IT to monitor any changes in patterns with data management, especially mass deletions.	IT and Information Manager	Ongoing
2531	Medium - IT to continue to restrict personal email address for use on SharePoint to limit data transfer risk.	IT and Information Manager	Ongoing
2532	Medium - IT and Data Policies in place, reviewed and updated regularly.	IT and Information Manager	Ongoing

TCR11: Co-sponsorship

ID	Risk Description	Owner	KPI	Current Score	Target Score	Trend
877	Change to the agreed Terms of Reference for the NPR Sponsor Board and associated delivery arrangements. This also covers the effectiveness of co-sponsorship arrangements.	Chief Executive Officer	4, 6	14	10	↔
647	The publication of the IRP has set out the Government's proposals in respect of NPR, TRU and HS2: it also sets out the need for further work to be undertaken. There is a risk that individual programmes are not aligned and expected benefits not realised.	Interim Strategy and Programme Director	1, 4	18	15	↔

Impacts:

- Reduction in engagement with TfN members could impact on the speed of delivering agreed investment priorities and result in missed opportunities to maximise wider benefits of agreed investment.
- A less effective sponsorship arrangement could result in missed opportunities to align investment in IRP with other delivery opportunities across the industry, which could impact on TfN's credibility and reputation with our partners and the public.
- Failure to integrate investment programmes could affect TfN's reputation by impacting on a significant part of its rail transformational programmes and the delivery of the Strategic Transport Plan.

Mitigation actions for risk 877:

ID	Control Level and Action Description	Owner	Due
2479	High - Establish Sponsor Board and use it to finalise roles and responsibilities for co-sponsorship.	Chief Executive Officer	Complete
2480	High - Agree governance for future decision making.	Chief Executive Officer	Sept 22
2481	Medium - Agree regular engagement forums to ensure alignment with programme/escalation of key issues.	Chief Executive Officer	Sept 22
2482	Medium - Design TfN sponsorship function and agree through business planning.	Chief Executive Officer	Sept 22
2640	NEW: Medium - NPR sponsorship agreement to be agreed between DfT ministers and TfN board	Chief Executive Officer	Dec 22

2686	NEW: High Level of Control: Ensure stakeholder engagement strategy for NPR in place	Interim Strategy and Programme Director	Dec 22
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Mitigation actions for risk 647:

ID	Control Level and Action Description	Owner	Due
2510	Medium - Define TfN's future role on programme boards through the design of the NPR sponsor function.	Interim Strategy and Programme Director	Sept 22
2546	High - Establish Sponsor Board and use it as a mechanism for working with DfT to address programme alignment issues.	Chief Executive Officer	Complete
2511	Medium - TfN to chair the new TRU stakeholder forum that will directly influence the TRU programme board.	Strategic Rail Director	Ongoing
2547	Medium - TfN using its role on the North of England integration board to ensure alignment of benefits.	Strategic Rail Director	Ongoing
2639	NEW: Medium - Use NPR Sponsor Board as a mechanism for working with DfT to address programme alignment issues.	Chief Executive Officer	Ongoing

TCR12: Technical appraisal, modelling and economics

ID	Risk Description	Owner	KPI	Current Score	Target Score	Trend
882	Providing a direct service to DfT, limits TAME's services in delivering TfN 's objectives.	Interim Strategy and Programme Director	11, 12, 13, 14, 19	14	10	↑
884	Legal and commercial restrictions. TfN is not legally allowed to share its models or data with Partners.	Interim Strategy and Programme Director	All	20	15	↔

Impacts:

- TAME and TfN could be perceived to be prioritising NPR work above other TfN priorities or undertaking analysis of options that conflicts with requirements of Sponsor Board.
- Analysis undertaken for DfT is mis-represented as "TfN evidence".
- TfN is unable to complete the evidence base for its statutory role.
- TfN has a responsibility to share data with Partners as it develops its role as an industry leader and centre of excellence, so the inability to do so would cause reputational damage and loss of credibility.
- Restrictions in sharing data or models could cause delays to individual projects, which could result in additional costs and limit TfN's ability to expand the scope of its analytical services.

Mitigation actions for risk 882:

ID	Control Level and Action Description	Owner	Due
2512	Medium - Finalise grant funding agreement and underpinning the Memorandum of Understanding.	Chief Executive Officer	Complete
2513	Medium – Ensure appropriate resources available for TfN facing programme through business planning.	Chief Executive Officer	Complete
2514	Medium - Establish the Analytical Steering Group (as set out in the GFA) and agree DfT requirements and deadlines.	Chief Executive Officer	Complete
2515	High - Strengthen internal TfN TAME governance to enable more transparent prioritisation of activity.	Interim Strategy and Programme Director	Sept 22

2666	NEW: High - Review structure of TAME following business planning and agree new operating model	Interim Strategy and Programme Director	Sept 22
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Mitigation actions for risk 884:

ID	Control Level and Action Description	Owner	Due
2521	Medium - Introducing consideration of data licencing at the start of projects, including early engagement with the legal team.	Interim Strategy and Programme Director	Sept 22
2522	Medium - Present a proposal for TfN's licensing strategy to OBT, including data sharing protocols and clarity on commercial arrangements.	Interim Strategy and Programme Director	Sept 22
2523	Medium - Invite Kemp lawyers to facilitate an educational workshop with TAME and wider TfN colleagues on derived data.	Interim Strategy and Programme Director	Complete
2525	Low - Create a flow chart of all model data inputs and outputs that can be circulated with teams and Partners.	Interim Strategy and Programme Director	Complete
2526	High - Contact all data input suppliers to obtain licences that allow TfN to share data.	Interim Strategy and Programme Director	Sept 22
2641	NEW: Fall-back Plan Agree action plan with legal team to overcome challenges and escalate where necessary with internal/external stakeholders	Interim Strategy and Programme Director	Mar 23

TCR13: TfN funding

ID	Risk Description	Risk Owner	KPI	Current Score	Target Score	Trend
300	There is a risk that TfN fails to deliver Value for Money in all areas within the funding allocation.	Finance Director	All	17	13	↔
878	Funding levels are significantly reduced which creates a misalignment with TfN's medium to long term business planning.	Chief Executive Officer	All	17	17	↓
916	Funding allocations for 2023/24 might be a flat rate, which doesn't account for inflation, therefore presenting medium term/ 3 years sustainability challenges.	Chief Executive Officer	All	20	18	New

Impacts:

- Failure to achieve Value for Money could impact on TfN's ability to access funding in the future.
- TfN unable to deliver statutory duties responsibilities.
- TfN's ability to retain/recruit suitably qualified staff.
- Reduction of funding and potential redundancies could damage organisational culture and lead to, unhealthy work/life balances/staff wellbeing.
- Lack of direction for the organisation could result in lower staff morale and potential resignations.
- TfN reputational damage and loss of credibility
- TfN's relationship with the DfT, partners and members could potentially be adversely affected.

Mitigation actions for risk 300:

ID	Control Level and Action Description	Owner	Due
962	High - Clear and well documented processes and procedures are in place. External audit review and report on value for money on an annual basis	Finance Director	Ongoing
963	High - Commissioning processes include OBT sign-off of expenditure, and explicit approval for expenditure against a schedule of delegations.	Finance Director	Ongoing

1564	High - To continue to brief and update staff through the monthly updates, regular bulletins, employee forum and SMT meetings with regards to budget setting, IRP, and other current uncertainties TfN is facing to keep them fully apprised and address any questions or concerns in a timely fashion.	Business Capabilities Director	Ongoing
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Mitigation actions for risks 878 & 916:

ID	Control Level and Action Description	Owner	Due
2483	High - Engagement with stakeholders to ensure the case for TfN's funding is supported by all Board members (Political and Business leaders), and amongst the North's MPs.	Chief Executive Officer	Dec 22
2484	Medium - There is structured engagement with government officials and decision-makers.	Chief Executive Officer	Dec 22
2485	Medium - TfN and DfT collaborative working to develop a revised version of Memorandum of Understanding.	Chief Executive Officer	Dec 22
2486	Medium - TfN to demonstrate that it delivers value for money, maximises the efficiency of taxpayer money and provide additional value and benefit for Partners in the north of England through a prioritised and sustainable business plan.	Chief Executive Officer	Dec 22
2667	NEW: Medium - TfN to explore wider funding opportunities through development of centre of excellence proposition.	Interim Strategy and Programme Director	Dec 22
2668	NEW: Medium - Early engagement with DfT in relation to 2023/24 business planning.	Chief Executive Officer	Nov 22
2669	NEW: Fallback Plan Conclude budget and business planning for 2023/24 based on funding allocation.	Chief Executive Officer	Mar 23

TCR14: TfN resources

ID	Risk Description	Owner	KPI	Current Score	Target Score	Trend
643	TfN's is unable to recruit and retain suitable staff to deliver the 2022/23 business plan and medium to long term TfN objectives.	Business Capabilities Director	3	25	20	↔
917	Failure to comply with the redundancy process including consultations, administration, pension, and payroll.	Head of Human Resources	3	8	4	New
918	Loss of knowledge at TfN as it goes through a downsize.	Business Capabilities Director	All	17	13	New

Impacts:

- Failure to recruit and retain the people with the right skills could negatively impact on TfN's ability to deliver its objectives and priorities.
- Damage to the organisational culture, staff morale and confidence.
- TfN reputational damage/external relationships and loss of credibility could be adversely affected.
- Potential successful legal challenges and fees.
- Programme delays due to loss of expertise and re-work required.
- Lessons learnt for the organisation and continuous improvement could be adversely affected.

Mitigation actions for risk 643:

ID	Control Level and Action Description	Owner	Due
1566	High - Update People Strategy (People Management Framework) aligned to the outcomes of the ongoing change agenda and timescales. This may include, reward, workforce/skills planning, succession planning, recruitment and selection, talent, and performance management.	Business Capabilities Director	Ongoing
1568	Medium - To continue to brief and update staff through the monthly updates, regular bulletins, Team talks, intranet, employee forum and SMT meetings.	Business Capabilities Director	Ongoing
2487	High - Work with the Business Planning working group to redesign and downsize the organisation in line with the budget and business planning 2022/23.	Chief Executive Officer	Oct 22

2488	Medium - Work with the HR and Skills Team to provide development and training opportunities within TfN e.g. non-technical skills in the TAME team.	Interim Strategy and Programme Director	Mar 23
2533	Medium - Agree a recruitment strategy for the TAME team	Business Capabilities Director	Complete
2537	High - Full and proper consultation with UNISON - to continue regular formal meetings	Business Capabilities Director	Ongoing

Mitigation actions for risk 917:

ID	Control Level and Action Description	Owner	Due
2657	High - Defined process for TfN redundancies and reviewed for updates as required	Head of Human Resources	Ongoing
2658	Medium - Ensure a suitable payroll process is followed for severance pay-outs and pension administration (Including payroll audit)	Head of Human Resources	Dec 22
2659	Medium - Full and proper consultation with the Unions	Head of Human Resources	Ongoing
2660	High - Consult with legal team for advice and guidance if and when required.	Head of Human Resources	Ongoing
2661	Medium - Internal audit of the severance process in line with best practise and TfN policies	Head of Human Resources	Dec 22
2662	High - Lessons learnt workshop post reorganisation to identify any process or policy improvements/change	Head of Human Resources	Oct 22

Mitigation actions for risk 918:

ID	Control Level and Action Description	Owner	Due
2663	High - All leavers (internal or consultants) to produce clear handover documentation and discuss outstanding work with managers through regular catch ups	Business Capabilities Director	Ongoing
2664	Medium - Ensure a suitable succession plan is in place (Identifying successors for key posts and identify development and training opportunities	Business Capabilities Director	Dec 22
2665	High - Create a structured process/template for handovers. Ensure informal processes are formally recorded and updated accordingly	Business Capabilities Director	Complete



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