

# Transport for the North

Corporate Risk Register

February 2023



## **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 Recognising the current fiscal environment including the rising cost of inflation, TfN are closely monitoring funding risks and budget expenditure. There is a risk at functional level to manage and monitor budget assumptions and there is a corporate risk relating to medium term sustainability.
- 1.1.2 TfN have received the funding allocation for 2023/24 and 2024/25, which provides teams with certainty and helps us better plan more strategically and support our partners more effectively. TfN will receive £6.5 million for each of the next 2 financial years and an additional £710,000 of grant funding in both financial years. This is to strengthen our role as a regional Centre of Excellence and support our partners regionally and nationally in their work. We continue to review and update the corporate risk register in line with the funding allocation, business plan 2023/24 and updated KPI's.

### **1.2 Key Changes to the corporate risk register**

- 1.2.1 TCR02: Risk 879 Changes in government commitments - probability current and target position reduced from medium to low based on clarity within the current political environment.
- 1.2.2 TCR03: Risk 641 Endorsement of STP refresh - Reduced probability current from high to medium and target medium to low due to progress in producing a draft STP and agreeing key principles with TfN Board. New action added in relation to international connectivity.
- 1.2.3 TCR09: Theme has been renamed Rail. (Previously named Rail operations – franchise management and investment)
- 1.2.4 TCR09: Risk 311 reduced probability from high to medium current and target position as Manchester change has been implemented and East Coast mainline has been deferred.
- 1.2.5 TCR10 Risk 887 Data removal risk closed and managed at functional level as TfN has now transitioned to the new operating model and risk has reduced.

- 1.2.6 TCR12: Risk 882 TAME capabilities reduced probability current to medium and target to low due to improved TAME resourcing, successful delivery for DfT and increased funding certainty.
- 1.2.7 TCR11: Co-sponsorship theme has closed, and risks have been transferred into TCR09.
- 1.2.8 TCR12: Risk 884 Legal and commercial restrictions. Current probability reduced from Very High to high due to resolution of some licencing issues.
- 1.2.9 TRC13: Risk 878 Funding levels are significantly reduced – Risk closed due to confirmed two year funding allocation and managing future allocations through the sustainability risk 916.
- 1.2.10 TCR13: Risk 916, Demonstration of medium-term sustainability, risk rearticulated to reflect confirmed funding allocation.
- 1.2.11 TCR15: Risk 917 severance process, risk closed from corporate risk register and managed at functional level as reorganisation now complete.
- 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:

<b>KPI</b>	<b>Detail</b>	<b>Deliver</b>	<b>Responsible</b>
<b>1</b>	Establish the stakeholder forum for Trans-Pennine Route Upgrade	Jul-22	Rail
<b>2</b>	Publish the TfN work on Transport related social exclusion	Sep-22	Strategy
<b>3</b>	Complete the reshaping of TfN and implement new operating model	Sep-22	CEO
<b>4</b>	Implement effective governance arrangements for the Co-Sponsor Board	Sep-22	CEO/Rail
<b>5</b>	Publish the TfN Freight and Logistics Strategy	Sep-22	Strategy
<b>6</b>	Establish the agreed NPR analytical work programme for DfT through TAME	Sep-22	Strategy
<b>7</b>	Develop and autumn submission to Government that identifies opportunities to build on TfN's technical capabilities	Oct-22	Finance/Strategy
<b>8</b>	Develop the business model that enables TfN to support its partners across the North	Oct-22	CEO/Strategy
<b>9</b>	Working with partners to prepare a Northern proposition for the implementation of the Williams-Shapps rail reforms	Dec-22	Rail

<b>10</b>	Publish a refreshed Northern Powerhouse Independent Economic Review	Dec-22	Strategy
<b>11</b>	Identify investment priorities for consideration as part of Road Investment Strategy (RIS3)	Dec-22	Road
<b>12</b>	Use the EV charging infrastructure framework to support partners - nationally and across the North	Dec-22	Road
<b>13</b>	Make the Clean mobility visions outputs available for use by partners - nationally and across the North	Dec-22	Strategy
<b>14</b>	Prepare a draft Strategic Transport Plan and secure TfN Board agreement to consult	Mar-23	Strategy
<b>15</b>	Complete an Integrated Sustainability Appraisal of the revised Strategic Transport Plan	Mar-23	Strategy
<b>16</b>	Develop a draft connected Mobility Strategy and secure TfN Board agreement to publish	Mar-23	Rail/Road
<b>17</b>	Develop and implement the Manchester Recovery Task Force "blueprint" and apply the same approach to the East Coast Main Line	Mar-23	Rail
<b>18</b>	Contribute to the work of the Leeds Area Study as part of the implementation of the IRP	Mar-23	Rail
<b>19</b>	Deliver projects on BSIPS, hydrogen and local mobility in support of partners	Mar-23	Strategy/Road/Rail
<b>20</b>	Submit to DfT an update on progress with the implementation of the Major Road Network Programme	Mar-23	Road

### 1.3. Corporate Risk Dashboard

<b>10</b> Current themes	24 Risk factors 0 New risk factors	2 Opportunities 0 Issues	<b>106</b> Mitigation actions	<b>64</b> Ongoing actions 15 Mitigation actions due by 31 March 23	7 New actions 18 actions completed in last quarter
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TCR	Themes ordered by highest current risk score	Number of Risk Factors per Theme	Current Score	Target Score	Risk Owners
13	TfN funding	2	20	18	Chief Executive Officer and Finance Director
14	TfN resources	2	19	17	Head of Human Resources
9	Rail	5	19	17	Chief Executive Officer and Strategic Rail Director
3	TfN's Strategic Transport Plan (STP)	2	19	11	Interim Strategy and Programme Director
2	TfN's reputation, political engagement and effectiveness <b>(including 2 opportunities)</b>	7	18	15	Chief Executive Officer and Interim Strategy and Programme Director
12	Technical appraisal, modelling and economics (TAME)	2	18	15	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	Head of Legal Services
5	Transport decarbonisation and climate change	1	11	8	Interim Strategy and Programme Director
10	TfN cyber security	1	10	10	IT and Information Manager

**Key impacts across themes:**

- TfN reputational damage and loss of credibility.
- 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

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

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

#### **1.4. Key Risk Factors for TfN:**

ID	Theme	Risk Description	Actions	Action Owner
916	TfN Funding	Planning assumptions that underpin medium term sustainability are not delivered.	<ol style="list-style-type: none"> <li>Engagement with stakeholders to ensure the case for TfN's funding is supported by all Board members</li> <li>There is structured engagement with government officials and decision-makers</li> <li>TfN and DfT collaborative working to develop a revised version of MOU</li> <li>TfN to demonstrate that it delivers value for money</li> <li>TfN to explore wider funding opportunities through development of Centre of Excellence proposition</li> <li>Early and continuous engagement with DfT in relation to business planning and subsequent performance</li> </ol>	Chief Executive Officer  Interim Strategy and Programme Director
643	TfN Resources	TfN is unable to recruit and retain suitable staff to deliver the 2023/24 business plan and medium to long term TfN objectives.	<ol style="list-style-type: none"> <li>Update People Strategy as required</li> <li>Continue to brief and update staff</li> <li>Provide training and development opportunities</li> <li>Full and proper consultation with UNISON</li> </ol>	Head of Human Resources Head of Human Resources Interim Strategy and Programme Director Head of Human Resources
310	Rail	There is a risk that TfN could have a reduced role in the rail industry following the implementation of rail reform under Great British Railway	<ol style="list-style-type: none"> <li>Collaboration with the GBR transition</li> <li>Established rail-reform Programme Board chaired by TfN's CEO</li> </ol>	Strategic Rail Director

881	TfN's Strategic Transport Plan	TfN are unable to produce a draft STP that will be endorsed by TfN Board and government in time to consult and then adopt the plan by the end of 2023	<ol style="list-style-type: none"> <li>1. Engagement with Partners and Government</li> <li>2. Manage programme via TfN's Strategic Oversight Group</li> <li>3. Update Northern Powerhouse Independent Economic Review (NPIER)</li> <li>4. Manage interdependencies with NPIER</li> <li>5. Engagement with external stakeholders on NPIER and STP 2</li> </ol>	Interim Strategy and Programme Director
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## **2. Qualitative Risk Analysis of TfN's Corporate Level Risk**

### **Contents**

TCR02: TfN's reputation, political engagement, and effectiveness.....	10
TCR03: TfN's Strategic Transport Plan (STP) .....	15
TCR04: Delivery of robust and compelling evidence to support Investment Programmes .....	17
TCR05: Transport decarbonisation and climate change .....	18
TCR07: TfN compliance and relevant laws and regulations.....	19
TCR09: Rail .....	22
TCR10: TfN cyber security .....	26
TCR12: Technical appraisal, modelling, and economics .....	27
TCR13: TfN funding .....	28
TCR14: TfN resources .....	30

## 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	17	17	↑
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	↔
913	Opportunity: TfN continues to develop and enhance 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	-15	-18	↔
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	↔

### 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.
- [A source of trusted information, that is available to all our partners.](#)
- Enhanced relations and reputation with government and partners as a recognised Centre of Excellence locally, regionally, and nationally.
- Improving outcomes for communities and businesses at local and regional levels.
- 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	Mar 23
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	Sept 23
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	Mar 23
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

### 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 Powerhouse 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 is intended to support the management 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	Ongoing
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	High - Use established governance, to ensure that TfN activity continues to meet the priorities agreed by TfN Board.	Interim Strategy and Programme Director	Ongoing
2740	High level of control: Maintain and enhance the recently developed EVCI evidence base, owned by TfN.	Head of Major Roads	Dec 23

2741	Medium level of control: Support Partners with the application of the EVCI evidence base in promoting provision of EV infrastructure across all areas of the North, developing EVCI infrastructure plans and securing funding.	Head of Major Roads	Ongoing
2742	Medium level of control: Co-ordinating engagement with DfT, Office for Zero Emissions, Electricity Distribution Network Operators, National Highways and Local Partners via the EVCI steering group.	Head of Major Roads	Dec 23

#### 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 policies, 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	Complete

#### 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	Complete
2644	High - Ensure all core and NPR business plan commitments are prioritised before offering TAME services to third parties	Interim Strategy and Programme Director	Complete
2645	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	Complete
2743	High level of control: Maintain and enhance the recently developed EVCI evidence base, owned by TfN.	Head of Major Roads	Dec 23

2744	Medium level of control: Support Partners with the application of the EVCI evidence base in promoting provision of EV infrastructure across all areas of the North, developing EVCI infrastructure plans and securing funding.	Head of Major Roads	Ongoing
2783	NEW: High level of Control: Set out a longer-term road map for future delivery of centre of excellence services.	Interim Strategy and Programme Director	Jun 23
2784	NEW: Develop and enhance TfN capabilities and collaboration opportunities with partners, government, and STB's.	Chief Executive Officer	Sept 23
2785	NEW: Continuing to monitor performance and delivery of TfN service offer to local, regional, and national partners.	Chief Executive Officer	Ongoing

#### **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	Complete
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	Jun 23
2653	Medium - Simpler internal governance arrangements, enabling more efficient use of budgets and allowing TfN to respond more rapidly to emerging opportunities.	Chief Executive Officer	Jun 23
2654	Medium - Simplifying external reporting, reducing the frequency and complexity of external reporting arrangements.	Interim Strategy and Programme Director	Complete
2655	High - Streamlining partner engagement and improving information sharing.	Interim Strategy and Programme Director	Jun 23
2656	Medium - Undertaking a review of how internal meetings are managed and identifying opportunities to reduce length and frequency and improve effectiveness.	Chief Executive Officer	Jun 23

### 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 draft STP that will be endorsed by TfN Board and government in time to consult and then adopt the plan by the end of 2023.	Interim Strategy and Programme Director	10, 14, 15	19	11	↑

#### 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 Level of Control: A Policy Development Framework has been developed to identify clear and consistent approaches to policy development across the organisation. How the Policy Development Framework will enable decision makers to decide TfN's priorities for future projects and programmes will be agreed this financial year.	Interim Strategy and Programme Director	Jun 23

1559	High - The new STP programme has defined 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.	Interim Strategy and Programme Director	Dec 23
2745	Medium - Benefits realisation framework to be agreed with TfN board as part of agreeing the draft STP.	Interim Strategy and Programme Director	Mar 23

**Mitigation actions for risk 881:**

ID	Control Level and Action Description	Owner	Due
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 – Clear programme of activity developed for STP consultation and adoption and managing through SOG, Exec Board and TFN Board.	Interim Strategy and Programme Director	Dec 23
2500	High - Work with partners to review and update Northern Power Independent Economic Review.	Interim Strategy and Programme Director	Mar 23
2501	High - Manage interdependencies with Northern Power Independent Economic Review, which will run in parallel with STP2.	Interim Strategy and Programme Director	Mar 23
2636	Fallback plan: Present second STP to July TfN board to allow further engagement with stakeholders	Chief Executive Officer	Jul 23
2780	NEW: High Level of Control: Engagement with external stakeholders on both NPIER and STP 2 ahead of March 23 Board and through to adoption end 2023, this includes ports and airports in relation to international connectivity.	Interim Strategy and Programme Director	Dec 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	Ongoing
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
957	High - TAME structure reviewed in line with 2022/23 business plan commitments. Work underway on future structure for 2023/24 business plan	Interim Strategy and Programme Director	Mar 23

2502	High - Strengthen TAME governance for more transparent prioritisation of activity. Initial prioritisation undertaken. To be reviewed and communicated regularly to programmes and partners	Interim Strategy and Programme Director	Ongoing
2503	Medium - Build in suitable Project Management controls into the team.	Interim Strategy and Programme Director	Mar 23
2504	Medium - Use evidence to provide recommendations to the Secretary of State for Road Investment Strategy.	Head of Major Roads	Mar 23
2505	Medium - Use evidence to provide recommendations to the Secretary of State for Rail Network Enhancement Pipeline.	Strategic Rail Director	Ongoing

#### 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,	Interim Strategy and Programme Director	Ongoing

	there is a higher likelihood of the required levels of policy commitment being achieved.		
2362	Medium - Develop mechanisms to ensure decarbonisation and sustainability are reflected in project and strategy decision-making.	Interim Strategy and Programme Director	Ongoing
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	Closed
2506	Medium - Continue to influence and engage with stakeholders and maintain reputational credibility.	Interim Strategy and Programme Director	Ongoing
2507	Medium - Aspiration to undertake a strategic embodied carbon footprint study of schemes within TfN's Investment Programme.	Head of Major Roads	Dec 23
2508	Medium - Embedding decarbonisation into wider TfN workstreams including freight and social inclusion and testing the interdependencies.	Interim Strategy and Programme Director	Ongoing
2746	Medium level of control: Support Partners with the application of the EVCI evidence base in promoting provision of EV infrastructure across all areas of the North, developing EVCI infrastructure plans and securing funding.	Head of Major Roads	Ongoing
2781	NEW: Medium level of control: Refocusing on emerging decarbonisation priorities for TfN and its partners for the development of the decarbonisation strategy update 2025	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.	Head of Legal Services	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 2022 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 legislation 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, with further update training now planned.	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	Closed
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
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## TCR09: Rail

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 rail reform under Great British Railway.	Strategic Rail Director	9	19	17	↔
311	Future timetable changes in the North reduce rail connectivity.	Strategic Rail Director	17, 18	15	15	↑
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.	Strategic Rail Director	1, 4	18	15	↔

### 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 Railways, 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.
- 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 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 and monitoring 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 and are working to develop TfN proposition to define what our role would be in the rail industry going forward to present to GBR Transition team.	Strategic Rail Director	Dec 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	Ongoing
2637	Fall-back Plan - Use rail-reform programme to strengthen TfN's relationships and position with GBRTT	Strategic Rail Director	Mar 24

**Mitigation actions for risk 311:**

ID	Control Level and Action Description	Owner	Due
1581	Medium - TfN, working with Partners will continue to convey to Operators and the Department the key concerns of the regions.	Strategic Rail Director	Ongoing
985	High - Blueprint for both ECML and Manchester have been established and will be further developed and updated.	Strategic Rail Director	Ongoing
2638	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

**Mitigation actions for risk 877:**

ID	Control Level and Action Description	Owner	Due
2481	Medium – Agree with DfT regular engagement forums to ensure alignment with programme/ escalation of key issues.	Strategic Rail Director	Mar 23
2640	Medium - NPR sponsorship agreement to be agreed between DfT ministers and TfN Board	Chief Executive Officer	Mar 23
2686	High Level of Control: Ensure stakeholder engagement strategy for NPR in place	Strategic Rail Director	Mar 23

**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.	Strategic Rail Director	Mar 23

2511	Medium - TfN continue 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	Medium - Use NPR Sponsor Board as a mechanism for working with DfT to address programme alignment issues.	Chief Executive Officer	Ongoing
2782	NEW: Medium level of control: Ensure STP reflects TfN's desired outcome for the rail network and is supported by evidence.	Strategic Rail Director	Mar 24

## 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.	IT and Information Manager	All	10	10	↔

### 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.

### 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 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

## 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	10	8	↑
884	Legal and commercial restrictions. TfN is not legally allowed to share its models or data with Partners.	Interim Strategy and Programme Director	All	18	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
2515	High - Strengthen internal TfN TAME governance to enable more transparent prioritisation of activity. Initial prioritisation undertaken. To be reviewed and communicated regularly to programmes and partners.	Interim Strategy and Programme Director	Ongoing
2666	High - TAME structure reviewed in line with 2022/23 business plan commitments. Work underway on future structure for 2023/24 business plan.	Interim Strategy and Programme Director	Mar 23

**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	Jun 23
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	Mar 23
2526	High - Contact all data input suppliers to obtain licences that allow TfN to share data.	Interim Strategy and Programme Director	Jun 23
2641	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	Dec 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	↔
916	Planning assumptions that underpin medium term sustainability are not delivered.	Finance Director	All	20	18	↔

**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, OBT and SMT meetings with regards to budget setting, IRP, and other current uncertainties TfN is facing to keep them fully appraised and address any questions or concerns in a timely fashion.	Finance Director	Ongoing

**Mitigation actions for risk 916:**

ID	Control Level and Action Description	Owner	Due
2670	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	Mar 24
2671	Medium - There is structured engagement with government officials and decision-makers.	Chief Executive Officer	Mar 24
2672	Medium - TfN and DfT collaborative working to develop a revised version of Memorandum of Understanding.	Chief Executive Officer	Sept 23
2673	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	Mar 24
2674	Medium - TfN to explore wider funding opportunities through development of Centre of Excellence proposition.	Interim Strategy and Programme Director	Mar 24
2674	Medium – Early and continuous engagement with DfT in relation to business planning and subsequent performance	Chief Executive Officer	Mar 24
2676	Fallback Plan - Conclude budget and business planning 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 2023/24 business plan and medium to long term TfN objectives.	Head of Human Resources	3	19	17	↔
918	Loss of knowledge	Head of Human Resources	All	17	13	↔

### 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.
- 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.	Head of Human Resources	Ongoing
1568	Medium - To continue to brief and update staff through the monthly updates, regular bulletins, Team talks, intranet, employee forum and SMT meetings.	Head of Human Resources	Ongoing
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	Ongoing
2537	High - Full and proper consultation with UNISON - to continue regular formal meetings.	Head of Human Resources	Ongoing

2786	NEW: Fallback Plan Recruitment of temporary consultants to ensure delivery of the business plan if required.	Head of Human Resources	Ongoing
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**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.	Head of Human Resources	Ongoing
2664	Medium - Ensure a suitable succession plan is in place (identifying successors for key posts where possible) and identify development and training opportunities.	Head of Human Resources	Ongoing



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