

# Transport for the North

Corporate Risk Register

June 2023



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**Section 1** provides an executive summary of TfN's Risk Environment and Emerging Risks, key changes to the register since the last risk review, TfN's 2023/24 milestones and corporate risk dashboard.

## **Executive Summary**

### **1.1 TfN's Risk Environment and Emerging Risks**

- 1.1.1 Recognising the current fiscal environment including the 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 received an additional £710,000 of grant funding to deliver the TfN offer. A working group has been established to manage alignment of the individual workstreams across the organisation, as part of this, risks and actions are being considered across TfN. TfN continue to engage with partners across the region to fully scope the offer we can bring to support local transport planning.
- 1.1.3 In September 23, TfN will be relocating the head office space. Risks and actions are being considered in relation to the office move. A working group has been established to discuss progress with the move.
- 1.1.4 TfN continue to monitor the political environment, particularly with the upcoming general election and how this may impact on the delivery of TfN's objectives.

### **Key Changes to the Corporate Risk Register**

- 1.1.5 The format of the CRR has been updated and corporate risks are no longer reported in themes, to ensure visibility of all TfN's corporate risks.
- 1.1.6 The Strategy, Analysis and Communication Director and the Rail/Roads Director commenced TfN in February 23. Ownership of all relevant risks and actions have been transferred to them.
- 1.1.7 Two new risks have been identified, 996 - TfN business continuity is disrupted during the office move and 999 - mismatch between TfN offer and TfN resources.

- 1.1.8 Opportunity O-913, TfN continues to develop and enhance services is closed, as additional funding now received to enhance the TfN offer to partners.
- 1.1.9 Opportunity O-915, Simplification of TfN processes is closed following the embedding of TfN's new operation model. Risk 920 remains open to ensure compliance with TfN policies and processes is maintained.
- 1.1.10 Risk 641, Alignment of STP with workstreams is closed as no longer applicable. TfN now have STP 2 draft approved by Board in March 23 and aligned to business plan for 23/24.
- 1.1.11 Risk 918, Loss of knowledge is closed. Duplication is incorporated as part of risk 643, recruitment and retention of staff.
- 1.1.12 Risk 884, Legal and commercial restrictions, risk is closed as TfN has a new process to manage this and the work is considered to be business as usual. A new risk has been identified at functional level in relation to embedding the process.
- 1.1.13 Risk 643 Recruitment and retention of staff, reduced current probability from medium to low due to turnover has reduced now that TfN has greater certainty in terms of its funding allocation and recruitment of the vast majority of current vacancy is progressing.
- 1.1.14 Risk 881 Endorsement of STP refresh, reduced current probability from medium to low and target from low to very low due approval of draft STP at board March 23.
- 1.1.15 Risk 916 Delivery of medium-term sustainability, risk rearticulated, reduced current probability from very high to medium and impacts increased from high to very high to represent material variations.

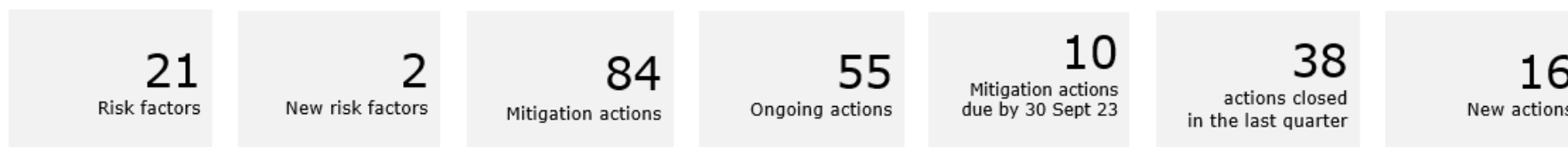
## Key Milestones

1.1.16 Our key milestones monitor and measure our progress and performance and ensure that we provide value for money. The milestones that we have adopted for 2023/24 are set out below:

<b>Milestone</b>	<b>Detail</b>	<b>Delivery</b>
<b>1</b>	Consult on a revised Strategic Transport Plan	Summer 2023
<b>2</b>	Publish Connected Mobility Strategy	Summer 2023
<b>3</b>	Secure adoption of revised Strategic Transport Plan	December 2023
<b>4</b>	Rail Reform – Issue Proposition for the North	December 2023
<b>5</b>	Provide annual STP action plan	March 2024
<b>6</b>	Update Future Transport Scenarios	March 2024
<b>7</b>	Consult on, and then publish final Strategic Rail Report	March 2024
<b>8</b>	Ensure a strong case is forwarded for recommended RIS investment in the North	March 2024
<b>9</b>	Publish TfN’s Bus Policy position.	March 2024
<b>10</b>	Implement an online local public transport data toolkit	March 2024
<b>11</b>	Develop a submission to government that identifies opportunities to build on TfN’s technical capabilities	March 2024



## Corporate Risk Dashboard



ID	Corporate risks, by highest current score	Current Score	Target Score	Risk Owners
916	Material variations from the funding Planning assumptions that underpin medium term sustainability.	19	19	Finance Director
310	There is a risk that TfN could have a reduced role in the rail industry following the implementation of rail reform including the role with Great British Railways.	19	17	Rail/Roads Director
296	There is a risk of disconnect between TfN's statutory powers/remit and stakeholder expectations.	18	15	Chief Executive Officer
880	TfN are unable to provide the One Voice for the north in relation to strategic transport investment priorities, and policy positions.	18	15	Chief Executive Officer
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.	18	15	Rail/Roads Director
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.	17	17	Chief Executive Officer
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.	17	17	Head of Human Resources
309	The long-term effect of Covid-19/current fiscal environment 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.	17	17	Rail/Roads Director
300	There is a risk that TfN fails to deliver Value for Money.	17	13	Finance Director
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.	17	8	Strategy, Analysis & Comms Director
640	Inappropriate disclosure of confidential information may create a legal liability.	15	15	Chief Executive Officer
311	Future timetable changes in the North reduce rail connectivity.	15	15	Rail/Roads Director
298	There is a risk that TfN might be unable to make a timely, robust, credible, evidence-based case for investment in transport.	15	11	Rail/Roads Director
877	TfN is unable to influence the NPR Programme to ensure that agreed outputs are delivered in a way that works for the North and that the TfN Board and TfN Partners have appropriate involvement in NPR and the ability to influence its development.	14	10	Chief Executive Officer

ID	Corporate risks, by highest current score	Current Score	Target Score	Risk Owners
303	TfN fails to comply with applicable law or exceeds its powers while carrying out its functions.	11	11	Head of Legal
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.	11	8	Strategy, Analysis & Comms Director
920	Failure to comply with governance and corporate processes across the organisation.	11	8	Chief Executive Officer
876	Cyber disruption/attacks to the available information and technical infrastructure. Inappropriate user access to confidential information. Access maybe limited for an unknown period of time.	10	10	IT Manager
882	Providing a direct service to DfT could create short term operational challenges to TAME's services in delivering TfN 's objectives.	10	8	Strategy, Analysis & Comms Director
999	Mismatch between the TfN offer and what resources TfN currently have in place.	10	8	Strategy, Analysis & Comms Director
996	TfN business continuity is disrupted during the office move and closure of existing office is not completed in a timely manner.	7	6	Head of Human Resources

**Key impacts across risks:**

Failure to make timely, evidence-based advice to Government  
 Delaying or preventing the benefits of strategic transport plan  
 Recruitment and retention of staff/ Organisational culture could be impacted  
 TfN fails to deliver on its commitments laid out within the TfN Decarbonisation Strategy.  
 Less investment in services and infrastructure/ decline in rail services and local connectivity  
 Potential legal costs or challenges and/or programme delays could result in extra costs and resources.  
 TfN could lack the powers or the influence to deliver economic, social and sustainability benefits to the North  
 TfN reputational damage/ loss of credibility/ relationships with Partners & stakeholders could be adversely affected  
 TfN's ability to deliver statutory duties/ Failure to achieve Value for Money could impact on TfN's ability to access funding in the future.

**Key actions across risks:**

Structured engagement with government officials/ decision makers  
 Collaborate with DfT on NPR Sponsor Board  
 TfN to demonstrate value for money  
 Partner/stakeholder/DfT Engagement  
 Manage interdependencies

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

**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.

### Qualitative Risk Analysis of TfN’s Corporate Level Risk

ID	Risk Description	Owner	Milestone	Current Score	Target Score	Trend
916	Material variations from the funding planning assumptions that underpin medium term sustainability	Finance Director	All	19	19	↓
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	Closed	
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.			Strategy, Analysis & Comms Director	Closed	
2675	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.			Finance Director	Mar 24	



ID	Risk Description	Owner	Milestone	Current Score	Target Score	Trend
310	There is a risk that TfN could have a reduced role in the rail industry following the implementation of rail reform including the role with Great British Railway.	Rail/Roads Director	2,4	19	17	↔
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.			Rail/Roads 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).			Rail/Roads Director	Ongoing	
2841	NEW: Medium - Rail North committee has agreed the establishment of a Northwest business unit and currently in the process of implementing that business unit.			Rail/Roads Director	Aug 23	
2637	Fall-back Plan - Use rail-reform programme to strengthen TfN's relationships and position with GBRTT.			Rail/Roads Director	Mar 24	

ID	Risk Description	Owner	Milestone	Current Score	Target Score	Trend
296	There is a risk of disconnect between TfN's statutory powers/remit and stakeholder expectations.	Chief Executive Officer	All	18	15	↔
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	

ID	Risk Description	Owner	Milestone	Current Score	Target Score	Trend
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	All	18	15	↔
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.			Strategy, Analysis & Comms 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.			Strategy, Analysis & Comms Director	Ongoing	
2740	High - Maintain and enhance the recently developed EVCI evidence base, owned by TfN.			Rail/Roads Director	Closed	
2741	Medium - 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.			Rail/Roads Director	Closed	
2742	Medium - Co-ordinating engagement with DfT, Office for Zero Emissions, Electricity Distribution Network Operators, National Highways and Local Partners via the EVCI steering group.			Rail/Roads Director	Closed	

ID	Risk Description	Owner	Milestone	Current Score	Target Score	Trend
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.	Rail/Roads Director	4, 7	18	15	↔
ID	Control Level and Action Description			Owner	Due	
2510	Medium - Secure TfN's membership at programme boards to influence TfN's desired outputs as defined in the STP.			Rail/Roads Director	Nov 23	

2511	Medium - TfN continue to chair the new TRU stakeholder forum that will directly influence the TRU programme board.	Rail/Roads Director	Ongoing
2547	Medium - TfN using its role on the North of England integration board to ensure alignment of benefits.	Rail/Roads 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	Medium - Ensure STP reflects TfN's desired outcome for the rail network and is supported by evidence.	Rail/Roads Director	Dec 23

ID	Risk Description	Owner	Milestone	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	↔
ID	Control Level and Action Description			Owner	Due	
2489	Medium - There is structured engagement with government officials and decision-makers.			Chief Executive Officer	Mar 24	
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	Closed	
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 24	
2492	Fall-back Plan - Maximise the input and contribution of Partnership Board through increased engagement and consultation.			Chief Executive Officer	Ongoing	

2493	Medium - Engagement with other Statutory Transport Bodies (STB's) to identify areas of common interest and opportunities for collaboration.	Chief Executive Officer	Ongoing
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ID	Risk Description	Owner	Milestone	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	All	17	17	↑
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, exit interviews, 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.	Strategy, Analysis & Comms Director	Closed			
2537	High - Full and proper consultation with UNISON - to continue regular formal meetings.	Head of Human Resources	Ongoing			
2786	Fallback Plan - Recruitment of temporary consultants to ensure delivery of the business plan if required.	Head of Human Resources	Ongoing			
2843	NEW: Medium - Rollout of employee engagement survey across TfN.	Head of Human Resources	Sep 23			
2844	NEW: High - Fostering the right culture for TfN success and ensure integrity within organisational values through all members of OBT and SMT.	Chief Executive Officer	Ongoing			
2663	NEW: 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			

ID	Risk Description	Owner	Milestone	Current Score	Target Score	Trend
309	The long-term effect of Covid-19/current fiscal environment 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.	Rail/Roads Director	7	17	17	↔
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.			Rail/Roads 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.			Rail/Roads Director	Ongoing	
1578	Medium - To continue to track train service performance and delivery via regular reporting dashboards.			Rail/Roads Director	Closed	
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.			Rail/Roads Director	Ongoing	
2840	NEW: Medium - Working with TAME on a latent demand study looking at post covid demand information and ideas or stimulate demand.			Rail/Roads Director	Ongoing	

ID	Risk Description	Owner	Milestone	Current Score	Target Score	Trend
300	There is a risk that TfN fails to deliver Value for Money.	Finance Director	All	17	13	↔
ID	Control Level and Action Description			Owner	Due	
962	High - Clear and well documented processes and procedures are in place that are designed to be fully compliant with the financial scheme of delegation. 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	Closed
1564	High - Introductory finance training and ongoing support and challenge from the finance function in relation to budget and financial management. Where required continue to brief and update staff through the monthly updates, regular bulletins, employee forum, OBT and SMT meetings, with regards to budget setting, 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

ID	Risk Description	Owner	Milestone	Current Score	Target Score	Trend
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.	Strategy, Analysis & Comms Director	1, 3, 5	17	8	↑
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.	Strategy, Analysis & Comms Director	Ongoing			
2499	Medium – Clear programme of activity developed for STP consultation and adoption and managing through SOG exec board and TFN board.	Strategy, Analysis & Comms Director	Dec 23			
2500	High - Work with partners to review and update Northern Power Independent Economic Review.	Strategy, Analysis & Comms Director	Jun 23			
2501	High - Manage interdependencies with Northern Power Independent Economic Review, which will run in parallel with STP2.	Strategy, Analysis & Comms Director	Jun 23			
2636	Fallback plan - Present second STP to July TfN board to allow further engagement with stakeholders.	Chief Executive Officer	Closed			
2780	High - Engagement with external stakeholders on both NPIER and STP 2 and through to adoption end 2023, this includes ports and airports in relation to international connectivity.	Strategy, Analysis & Comms Director	Dec 23			



ID	Risk Description	Owner	Milestone	Current Score	Target Score	Trend
640	Inappropriate disclosure of confidential information may create a legal liability.	Chief Executive Officer	All	15	15	↔
ID	Control Level and Action Description			Owner	Due	
1551	Medium - TfN has confidentiality agreements with Local Partners to set parameters for data usage, data protection, and responsibility for compliance.			Head of Legal	Ongoing	
1553	Medium - The Codes of Conduct for Members of Constituent Authorities state the circumstances in which information may be disclosed.			Head of Legal	Ongoing	
1554	Medium - TfN's processes seek to restrict disclosure of confidential data via training and disciplinary procedures for deliberate or accidental data misuse.			Head of Legal	Ongoing	

ID	Risk Description	Owner	Milestone	Current Score	Target Score	Trend
311	Future timetable changes in the North reduce rail connectivity.	Rail/Roads Director	7	15	15	↔
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.			Rail/Roads Director	Ongoing	
985	High - Blueprint for both ECML and Manchester have been established and will be further developed and updated.			Rail/Roads 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.			Rail/Roads Director	Ongoing	

<b>ID</b>	<b>Risk Description</b>	<b>Owner</b>	<b>Milestone</b>	<b>Current Score</b>	<b>Target Score</b>	<b>Trend</b>
298	There is a risk that TfN might be unable to make a timely, robust, credible, evidence-based case for investment in transport.	Rail/Roads Director	All	15	11	↔
<b>ID</b>	<b>Control Level and Action Description</b>		<b>Owner</b>			<b>Due</b>
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.		Strategy, Analysis & Comms 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.		Strategy, Analysis & Comms Director			Closed
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.		Strategy, Analysis & Comms Director			Closed
957	High - TAME structure reviewed in line with 2023/24 business plan commitments.		Strategy, Analysis & Comms Director			Closed
2502	High - Strengthen TAME governance for more transparent prioritisation of activity. Initial prioritisation undertaken. To be reviewed and communicated regularly to programmes and partners.		Strategy, Analysis & Comms Director			Ongoing
2503	Medium – A policy Development Framework is being updated to identify clear and consistent approaches to policy development across the organisation.		Strategy, Analysis & Comms Director			Dec 23
2504	Medium - Use evidence to provide recommendations to the Secretary of State for Road Investment Strategy (3).		Rail/Roads Director			Mar 24
2505	Medium - Use evidence to provide recommendations to the Secretary of State for Rail Network Enhancements across the North.		Rail/Roads Director			Ongoing
2851	NEW: Medium - Use the STP/our evidence base/our capacity and capability to inform future investment rounds and statutory advice.		Rail/Roads Director			Ongoing

<b>ID</b>	<b>Risk Description</b>	<b>Owner</b>	<b>Milestone</b>	<b>Current Score</b>	<b>Target Score</b>	<b>Trend</b>
877	TfN is unable to influence the NPR Programme to ensure that agreed outputs are delivered in a way that works for the North and that the TfN Board and TfN Partners have appropriate involvement in NPR and the ability to influence its development.	Chief Executive Officer	4, 7	14	10	↔
<b>ID</b>	<b>Control Level and Action Description</b>		<b>Owner</b>		<b>Due</b>	
2481	Medium – Agree with DfT regular engagement forums to ensure alignment with programme/ escalation of key issues.		Rail/Roads Director		Jul 23	
2640	Medium - NPR sponsorship agreement to be agreed between DfT ministers and TfN board.		Chief Executive Officer		Jun 23	
2686	High - Ensure stakeholder engagement strategy for NPR in place.		Rail/Roads Director		Closed	
2682	NEW: Medium - Engagement with our partners so that they are aware of proposals and their views are fed back to the Department for Transport through the NPR Sponsor Board.		Rail/Roads Director		Mar 24	
2683	NEW: Medium - TfN restating the need for full HS2 and NPR networks as agreed by TfN board in the revised Strategic Transport Plan.		Rail/Roads Director		Dec 23	

<b>ID</b>	<b>Risk Description</b>	<b>Owner</b>	<b>Milestone</b>	<b>Current Score</b>	<b>Target Score</b>	<b>Trend</b>
303	TfN fails to comply with applicable law or exceeds its powers while carrying out its functions.	Head of Legal	All	11	11	↔
<b>ID</b>	<b>Control Level and Action Description</b>		<b>Owner</b>		<b>Due</b>	
970	High - TfN has suitably qualified officers in all senior positions, particularly the Head of paid Service, S151 Officer, and Monitoring Officer. In addition, TfN has employed an in-house legal team.		Head of Legal		Ongoing	

971	High - TfN ensures there are clear and well documented processes and procedures in place.	Head of Legal	Ongoing
972	High - Ongoing training on laws and legislation and communication across the organisation.	Head of Legal	Ongoing
973	High - Modern.gov is used for management of TfN Boards and Committees, with Modern.gov champions identified to support processes.	Head of Legal	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	Closed
1570	High - TfN will seek external legal advice on legal issues as identified by the legal in-house team.	Head of Legal	Ongoing
1571	High - TfN has employer's liability, public liability, and professional indemnity insurance in place to mitigate any financial liability.	Head of Legal	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	Ongoing

ID	Risk Description	Owner	Milestone	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.	Strategy, Analysis & Comms Director	1, 2, 3, 4,7,8,9	11	8	↔
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.	Strategy, Analysis & Comms Director	Ongoing			
2362	Medium - Develop mechanisms to ensure decarbonisation and sustainability are reflected in project and strategy decision-making.	Strategy, Analysis & Comms Director	Closed			

2506	Medium - Continue to influence and engage with stakeholders and maintain reputational credibility.	Strategy, Analysis & Comms Director	Ongoing
2507	Medium - Aspiration to undertake a strategic embodied carbon footprint study of schemes within TfN's Investment Programme.	Rail/Roads Director	Closed
2508	Medium - Embedding decarbonisation into wider TfN workstreams including freight and social inclusion and testing the interdependencies.	Strategy, Analysis & Comms Director	Ongoing
2746	Medium - 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.	Rail/Roads Director	Closed
2781	Medium - Refocusing on emerging decarbonisation priorities for TfN and its partners for the development of the decarbonisation strategy update 2025.	Strategy, Analysis & Comms Director	Ongoing

ID	Risk Description	Owner	Milestone	Current Score	Target Score	Trend
920	Failure to comply with governance and corporate processes across the organisation.	Chief Executive Officer	All	11	8	↔
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			

ID	Risk Description	Owner	Milestone	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 Manager	All	10	10	↔

<b>ID</b>	<b>Control Level and Action Description</b>	<b>Owner</b>	<b>Due</b>
2472	Medium - IT and Data Policies to be produced, reviewed, and updated in line with known cyber threats.	IT Manager	Ongoing
2473	Medium - Training to all TfN staff on new policies.	IT Manager	Ongoing
2474	Medium - Communications Plan in place for regular updates to employees when required.	IT Manager	Ongoing
2475	Medium - Monitoring and compliance checks performed (e.g. phishing attacks).	IT Manager	Ongoing
2476	Medium - On-going/monitoring security updates performed to user devices and software services.	IT Manager	Ongoing
2477	Medium - Business Continuity Plan checks, system reviews and restoration timescales regularly assessed.	IT Manager	Ongoing
2478	Medium - Insurance cover in place for ransoms where required.	IT Manager	Ongoing

<b>ID</b>	<b>Risk Description</b>	<b>Owner</b>	<b>Milestone</b>	<b>Current Score</b>	<b>Target Score</b>	<b>Trend</b>
882	Providing a direct service to DfT could create short term operational challenges to TAME's services in delivering TfN 's objectives	Strategy, Analysis & Comms Director	All	10	8	↔
<b>ID</b>	<b>Control Level and Action Description</b>	<b>Owner</b>		<b>Due</b>		
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.	Strategy, Analysis & Comms Director		Closed		
2666	High - TAME structure reviewed in line with 2022/23 business plan commitments. Work underway on future structure for 2023/24 business plan.	Strategy, Analysis & Comms Director		Closed		
2842	NEW: High - Develop TAME Master Programme and plan with individual TfN teams a realistic schedule of work.	Strategy, Analysis & Comms Director		Sep 23		



<b>ID</b>	<b>Risk Description</b>	<b>Owner</b>	<b>Milestone</b>	<b>Current Score</b>	<b>Target Score</b>	<b>Trend</b>
999	Mismatch between the TfN offer and what resources TfN currently have in place	Strategy, Analysis & Comms Director	All	10	8	New
<b>ID</b>	<b>Control Level and Action Description</b>			<b>Owner</b>	<b>Due</b>	
2845	Medium - Partner engagement to discuss scope requirements and log partner requests in central location			Strategy, Analysis & Comms Director	Ongoing	
2846	High - Internal working group to manage interdependencies, resource availability and progress.			Strategy, Analysis & Comms Director	Ongoing	
2847	High - Agree mechanism for prioritising work across teams, and escalating matters if necessary			Strategy, Analysis & Comms Director	Jul 23	
2848	Medium - Develop a TfN position on what our offer includes			Strategy, Analysis & Comms Director	Jul 23	
2849	Medium - Create a route map to develop the TfN offer			Strategy, Analysis & Comms Director	Jul 23	

<b>ID</b>	<b>Risk Description</b>	<b>Owner</b>	<b>Milestone</b>	<b>Current Score</b>	<b>Target Score</b>	<b>Trend</b>
996	TfN business continuity is disrupted during the office move and closure of existing office is not completed in a timely manner.	Head of Human Resources	All	7	6	New
<b>ID</b>	<b>Control Level and Action Description</b>			<b>Owner</b>	<b>Due</b>	
2833	High - Ensure robust office move and closure project plan in place, delivered, complete according to plan.			Head of Human Resources	Sep 23	
2834	High - Working group established to oversee the effective management and delivery of office move and closure project plan.			Head of Human Resources	Sep 23	

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