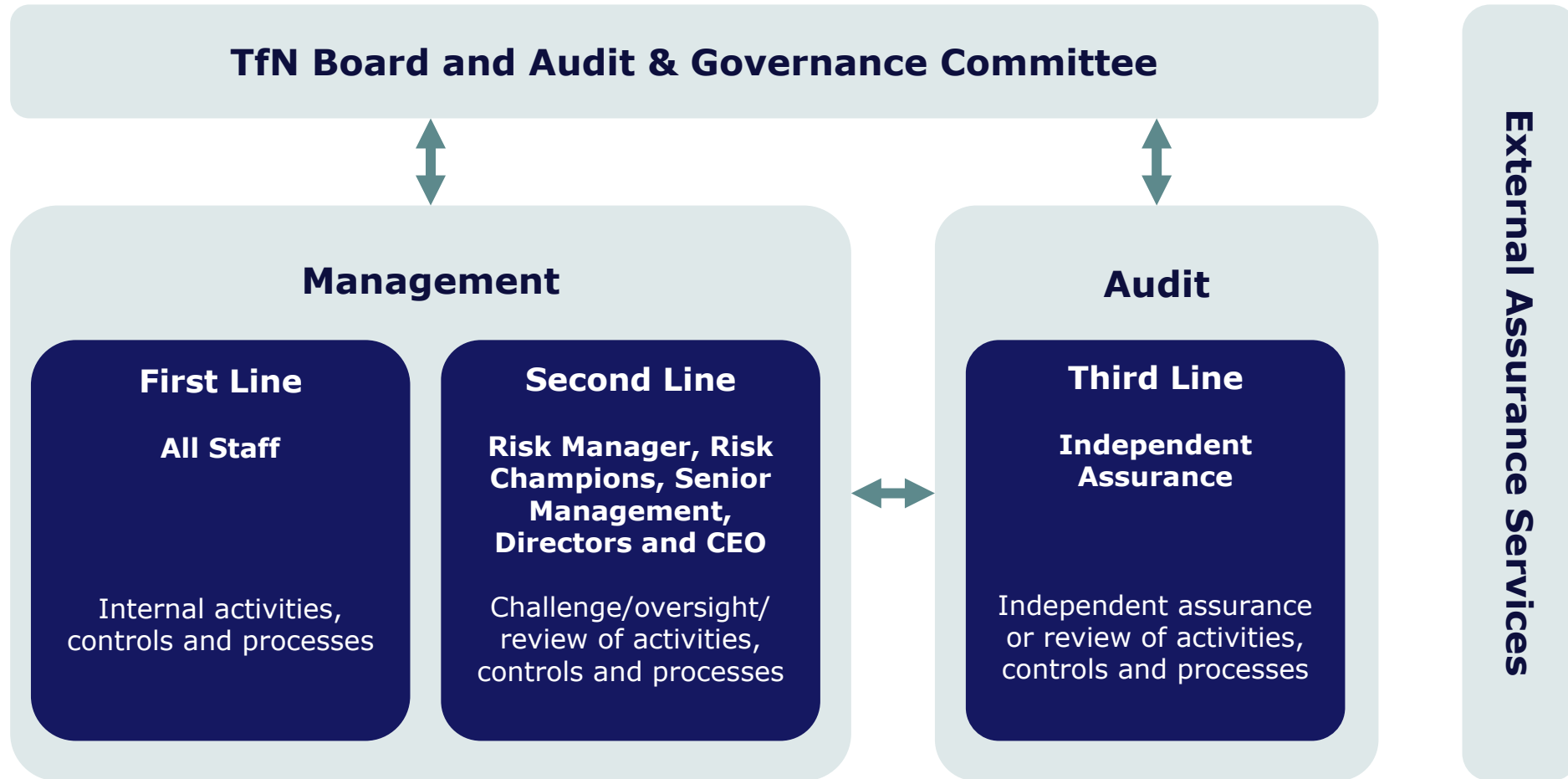


# TfN - Three Lines of Defence Model

TfN has adopted an assurance model consisting of the three lines of defence. This provides a guide on how responsibilities should be divided and allows TfN to ensure effective controls are in place and managed appropriately.



If something we did stopped working or didn't perform as expected, who/how would we pick it up?

# TfN Assurance in Practise

**Note:**

Controls are preventative measures that are tangible and already in place.

Mitigation actions are activities that are not already in place and need to be completed.

Prompt Questions

ID	Risk Description	Causes and Effects	Controls <i>(Preventatives already in place, not actions to be completed)</i> Note: All comments should be SMART	1 <sup>st</sup> Line  Internal activities, controls and processes	2 <sup>nd</sup> Line  Challenge/oversight/ review of activities, controls and processes	3 <sup>rd</sup> Line  Independent assurance or review of activities, controls and processes	Overall Risk Assurance	Gaps in evidence/ Actions required for risk	Flag for A&G deepdive
916	Material variations from the funding Planning assumptions that underpin medium term sustainability  Risk last updated: May 2023	C1 - Medium to long term misalignment of cost of funding, causes of which could be inflationary pressures, spending review, change in government, change in policy.	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. [C-2670]  Martin Tugwell	Evidence would be sight of meeting minutes or calendar invites of private meetings, between TfN and stakeholders	Control is overseen through OBT discussions (minutes to evidence)	Independent assurance provide via discussions at TfN board and partnership board (which are minuted)			
E1 - TfN unable to deliver statutory duties responsibilities. E2 - Failure to achieve Value for Money could impact on TfN's ability to access funding in the future.		There is structured engagement with government officials and decision-makers. [C-2671]  Martin Tugwell	Control is effective and managed by CEO. Evidence would be sight of meeting minutes or calendar invites of private meetings, between TfN and DfT	Control is overseen by OBT members (meeting is minuted)	Independent assurance provide via discussions at TfN board and partnership board (which are minuted)				
E3 - TfN's ability to retain/recruit suitably qualified staff. E4 - Damage to organisational culture and staff wellbeing. E5 - TfN's relationship with the DfT, partners and members could potentially be adversely affected		Early and continuous engagement with DfT in relation to business planning and subsequent performance [C-2674]  Martin Tugwell	Control is effective and managed by CEO. Evidence would be sight of meeting minutes or calendar invites of private meetings, between TfN and DfT	Control is overseen by OBT members (meeting is minuted)	Independent assurance provide via discussions at TfN board and partnership board (which are minuted)				

## Prompt Questions

### 1<sup>st</sup> Line

1. Are the controls effective in managing the risk?
2. Please reference tangible evidence to demonstrate effectiveness.
3. Where controls are light, do actions fill the gap?
4. Are the controls operating as intended?

### 2<sup>nd</sup> Line

Is this control being overseen and how/where?

### 3<sup>rd</sup> Line

Has this control been checked/monitored or reviewed independently?

Limited	Significant concerns over the adequacy/effectiveness of controls in place in proportion to the risk
Adequate	Controls are applied but improvements required
Effective	Controls in place are effective and proportionate to the risk
n/a	Not applicable