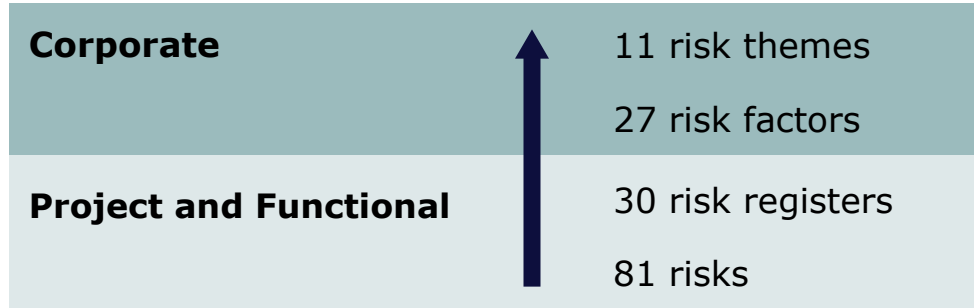


TfN Risk Management Structure

The corporate risk register includes risks that could impact TfN’s strategic objectives and/or risks that sit across multiple risk registers.



Electric Vehicle Charging Infrastructure is managed at project level and has a risk register that is reviewed monthly. There are currently two corporate risks which EVCI links into - TCR02 880 and TCR08 299 as well one opportunity - TCR02 913. Mitigation actions have been added to make this more explicit and align with the 2022/23 business plan.

TCR02 880: TfN are unable to provide the 'One Voice' for the North in relation to strategic transport investment priorities, and policy positions.

TCR08 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.

TCR02 913: TfN can provide more services and guidance to support national, regional and local partners, as a Centre of Excellence.

EVCI Deep Dive

18 November 2022

Risk Manager: Daniella Della-Cerra-Smith

Project Manager: Simon McGlone

The Audit and Governance Committee are encouraged to review the following risks prior to the meeting to allow for feedback during the corporate risk review/deep dive.

Purpose of Deep Dives:

- Allow the Audit and Governance Committee to undertake a comprehensive review of selected risks.
- Provide the opportunity to check and challenge selected risks in more detail to ensure completeness, integrity and accuracy of data.
- Demonstrate that the Audit and Governance Committee provide due diligence in the assurance of risk management.
- Recommend areas for consideration, if required.

Sample Deep Dive Questions:

1. Are the risk description, cause and impacts articulated clearly?
2. Is the risk scored against TfN's Risk Management Criteria?
3. Are there controls, actions and fallbacks in place?
4. Are the controls, actions and fallbacks effective enough to achieve the target score?
5. Any additional comments/ areas for consideration?

5 x 5 Threat Impact Scoring Criteria

Likelihood Criteria	Very Low	Low	Medium	High	Very High
	≤5%	6-25%	26-50%	51-74%	>75%
Impact Criteria	Very Low	Low	Medium	High	Very High
Cost (Tier 1 - £0-£2m Budget)	£0 - £10k	£10k - £20k	£20k - £50k	£50k - £80k	£80k - £100k
Reputation	Minimal negative local media coverage quickly remedied /loss of trust and credibility	Minor negative local media coverage quickly remedied /loss of trust and credibility	Moderate negative regional media coverage/loss of trust and credibility	National short – term negative media coverage/considerable loss of trust and credibility	National long – term negative media coverage, significant loss of trust and credibility
External Relationship	Minimal strained relationship with partners/third parties	Minor strained relationship with partners/third parties	Moderate strained relationship with partners/third parties	Evidence of relationship issues with partners/third parties	Severe relationship issues with partners/third parties
Quality	Work is fit for purpose but may require minimal changes	Work is fit for purpose but may require minor changes	Moderate changes or specialist resource required to provide high quality outputs	Scope changes required to provide high quality outputs	Project outputs are not credible/robust, with no assurance and partners do not endorse reports
Time	0 – 1 month	1 – 3 months	3 – 9 months	9 – 12 months	12 – 18 months

5 x 5 Opportunity Scoring Criteria

Likelihood Criteria	Very Low	Low	Medium	High	Very High
	≤5%	6-25%	26-50%	51-74%	>75%
Impact Criteria	Very Low	Low	Medium	High	Very High
Cost (Tier 1 - £0-£2m Budget)	£0 - -£10k	-£10k - -£20k	-£20k – -£50k	-£50k - -£80k	-£80k - -£100k
Reputation	Minimal positive local media coverage/ increase of trust and credibility	Minor positive local media coverage/increase of trust and credibility	Moderate positive regional media coverage/increase of trust and credibility	National short – term positive media coverage/considerable increase of trust and credibility	National long – term positive media coverage, significant increase of trust and credibility.
External Relationship	Minimal increase in TfN's relationships with partners/third parties	Minor increase in TfN's relationships with partners/third parties	Moderate increase in TfN's relationships with partners/third parties	There is considerable evidence that TfN's relationships with partners/third parties is increasing	Relationships with partners/third parties significantly increased, benefitting TfN's credibility
Quality	Work is high quality with minimal changes	Work is high quality with minor changes	Moderate changes and no additional specialist resource to provide very high-quality outputs	Scope changes not required to exceed high quality outputs	Exceeds credible/robust project output expectations, with assurance & partners endorse reports
Time	0 – -1 month	-1 – -3 months	-3 – -9 months	-9 – -12 months	-12 – -18 months

TfN resource capacity

Description						Actions				Owner	Due Date
TfN resource may not be available or applied to deliver immediate work programme for business planning 22/23.						<ol style="list-style-type: none"> MRT and TAME resource tracked during EV project [Control] Regular checks with supplier to ensure any risks arising from TfN resources are noted early [Control] Identify requirements for project-support [Mitigation] Agree a timetable for contract change control with the procurement team [Mitigation] Prioritise work based on resources available to prevent too much pressure on staff and focus delivery through the supplier [Fallback] Identify deputy role for TAME resources to add resilience to project resourcing [Mitigation] Create a resource profile for the project up to end of financial year, which is tracked on a regular basis. [Mitigation] Provide requirements for project support for business planning 23-24 [Mitigation] Awaiting OBT confirmation of TAME resources up to end of March 23. [Mitigation] Plan key TAME inputs which align with other interdependent projects were possible. [Mitigation] 				1. SMG	1. Ongoing
Cause										2. SMG	2. Ongoing
Limited resources and/or suitable experience in the area because of changes in resource allocation or inability to replace employees, with specialised skills, who have left TfN.										3. SMG	3. 30 Nov
Impact										4. SMG	4. 30 Nov
<ul style="list-style-type: none"> Insufficient resources to deliver intended phase 3 outcomes to expected quality and time. De-scoping of outputs and opportunities missed to apply evidence to external partnerships to inform and influence. Supplier delivery is heavily managed and supported by input from TfN (MRG strategy and TAME), so without this, the project timescales are affected. Stakeholder / partnerships not developed sufficiently for work to land with positive outcome for TfN reputationally. Wellbeing of staff could be adversely affected due to resource constraints Could negatively impact TfN's ability to secure future funding for further development. Relationships with DfT damaged if TfN are unable to meet deliverables required with additional funding. 										5. SMG	5. 30 Nov
										6. SMG	6. Ongoing
										7. SMG	7. Ongoing
										8. SMG	8. 30 Nov
										9. SMG	9. 30 Nov
										10. SMG	10.30 Nov
						Current Score	Target Score				
						20	11				
Current Assessment						Target Assessment					
Probability Rating	External Relationship	Reputation	Financial Rating	Quality	Time Rating	Probability Rating	External Relationship	Reputation	Financial Rating	Quality	Time Rating
Very high	High	High		Medium	Medium	Low	High	High		Medium	Medium

Stakeholder expectations and interaction

Description						Actions						Owner		Due Date	
Stakeholders may not be clear on the outputs of project or how they can be applied.						<ol style="list-style-type: none"> Engagements with stakeholders such as DfT, OZEV and the Northern electricity DNOs to ensure this work can support the national agenda and actions [Control] The team are seeking new avenues to promote the work, including National Grid, OFGEM, Energy Saving Trust (a delivery body for Government regarding EVs), Green Finance Institute and the Infrastructure Bank. The team will also make the most of opportunities for good press/ advertising outcomes of work. [Control] Significant partner engagement to encourage and suggest uses of project outputs. This will be achieved through the steering group, one-to-one discussions, and the governance structure eg AAG/SOG etc [Control] Working with Partners to finalise the scope for Phase 3 work. [Mitigation] Confirm whether or not DfT need to approve the requirements for Phase 3 before it can be commissioned [Mitigation] Work with legal/TAME to ensure Phase 3 outputs can be shared Maintain and enhance the recently developed EVCI evidence base, owned by TfN [Mitigation] Work with DfT / OZEV to identify options for role out of TfN EV tool at a national level (i.e. via other STBs) [Mitigation] 						1. SMG		1. Ongoing	
Cause												2. SMG		2. Ongoing	
Stakeholders are not fully aware of the EVCI evidence available and the capabilities of TfN Analytical Framework.												3. SMG		3. Ongoing	
Stakeholders uncertain of technical aspects, such as data inputs and assumptions.												4. SMG		4. 31 Nov	
Stakeholders not having sufficient time to review and support for delivery of effective outputs due to other priorities.						5. SMG		5. 31 Nov							
Impact						6. SMG		6. Mar 23							
<ul style="list-style-type: none"> Project outputs are not applied as fully as possible. Poor partner relations or partnership enhancement opportunities not taken up fully. Project inputs by partners do not deliver effective collaborations moving forward. Reputational risk of TfN that partner time has not been used efficiently. 						7. SMG		7. Mar 23							
						8. SMG		8. Ongoing							
						Current Score		Target Score							
						7		6							
Current Assessment						Target Assessment									
Probability Rating	External Relationship	Reputation	Financial Rating	Quality	Time Rating	Probability Rating	External Relationship	Reputation	Financial Rating	Quality	Time Rating				
Medium	Low	Low		Low	Very Low	Low	Low	Low		Low	Low				

Showcasing TfN and Analytical Framework capabilities

Description						Actions						Owner		Due Date	
<p>This project provides the opportunity for TfN to apply and showcase its Analytical Framework capabilities, to further develop new and innovative pan-northern evidence, support local partner activities and support strategic decision making. This builds upon the highly regarded EVCI tool already shared with our partners.</p>						<ol style="list-style-type: none"> 1. Discuss opportunities at the MRT/ Communication and Engagement team fortnightly meetings. [Control] 2. Present outputs to the EV Steering Group [Mitigation] 3. Develop phase 3 scope to include opportunities to demonstrate AF capabilities [Mitigation] 4. Update stakeholder engagement plan, including opportunities to promote the work with new and existing stakeholders. [Mitigation] 5. Capture EVCI work as proof of concept for CoE [Mitigation] 6. Work with DfT / OZEV to identify options for role out of TfN EV tool at a national level (i.e. via other STBs) [Mitigation] 7. Maintain and enhance the recently developed EVCI evidence base, owned by TfN [Mitigation] 						<ol style="list-style-type: none"> 1. SMG 2. SMG 3. SMG 4. SMG 5. KK 6. SMG 7. SMG 		<ol style="list-style-type: none"> 1. Ongoing 2. Ongoing 3. 30 Nov 4. 31 Dec 5. 30 Nov 6. Mar 23 7. Mar 23 	
<p>Quality project completion Active stakeholder and partner involvement and sharing Cross-TfN communication Close engagement with DfT / OZEV / National Highways and other national partners</p>												-18		-20	
Impact															
<ul style="list-style-type: none"> • Positive impact for TfN partner relationships. • TfN work on EVCI is informing and influencing local and national decision making on EVCI planning and deployment as a Centre of Excellence. • Early positive action on one of the decarbonisation strategy priority actions. 															
Current Assessment						Target Assessment									
Probability Rating	External Relationship	Reputation	Financial Rating	Quality	Time Rating	Probability Rating	External Relationship	Reputation	Financial Rating	Quality	Time Rating				
High	High	High				Very High	High	High							

Further support for EVCI delivery

Description						Actions						Owner		Due Date	
TfN are unable to further enhance the EVCI evidence base, and apply this, to support planning and delivery of EV charging.						<ol style="list-style-type: none"> Engaging with DfT to ensure active use EVCI Framework and ensure more avenues for future work[Control] Agree future activities with TfN partners to ensure any actions add value to local or national actions towards EV or related topics. [Mitigation] Submit proposal for next stage of EVCI work in the 2023/24 business case [Mitigation] Include EVCI in proposals for future DfT funding such as Centre of Excellence [Mitigation] 						1. SMG		1. Ongoing	
Cause												2. SMG		2. Mar 23	
Further work highlighted in EVCI Framework report not actioned upon.												3. SMG		3. 30 Nov	
Impact												Current Score		Target Score	
<ul style="list-style-type: none"> Credibility of TfN damaged if we cannot demonstrate that we are able to meet DfT deadlines and budget Reputational damage if TfN 'fall behind' the current industry leading work on EVCI evidence Relationship damage with Partners who are relying on TfN for the evidence to support their EVCI business cases 												10		8	
Current Assessment						Target Assessment									
Probability Rating	External Relationship	Reputation	Financial Rating	Quality	Time Rating	Probability Rating	External Relationship	Reputation	Financial Rating	Quality	Time Rating				
Medium	Low	Low		Medium		Low	Low	Low		Medium					

Readiness of suitable tools

Description						Actions						Owner		Due Date	
The models and interactive tools for the EVCI project are unable to function and provide the outputs required.						1. Raise need for technical resource in this role to support future iterations. [Mitigation] 2. Highlight need for technical resources in 2023/24 business planning. [Mitigation]						1. SMG		1. 31 Nov	
Cause												2. SMG		2. 31 Nov	
Suitable technical resources unavailable to enhance the current EVCI model or fix any model issues in a timely manner.															
Impact												Current Score		Target Score	
<ul style="list-style-type: none"> Delays to important updates of our EVCI visualiser tool, which is publicly live. Impacts quality of outputs that LA partners are using, and also wider stakeholder confidence in our outputs if we cannot present and share them. Longer term, depending on TfN capacity and capability, we may need to restructure the tool if TfN take a different route towards these applications. Potential impact on future project quality, time and cost. 												14		10	
Current						Target									
Probability Rating	External Relationship	Reputation	Financial Rating	Quality	Time Rating	Probability Rating	External Relationship	Reputation	Financial Rating	Quality	Time Rating				
High	Medium	Medium	Very Low	Medium	Very Low	Medium	Medium	Medium	Very Low	Medium	Very Low				