



Item 10 - Appendix 1: TfN Corporate Level Risks Financial Year 2019/20

Updated: December 2019





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 2019/2020 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 either a monthly or fortnightly cycle, with clear reporting in line with governance arrangements. At the apex of these arrangements is the annual reporting of the corporate level risks to TfN Board.

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 the 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.

Table 1 summarises TfN's corporate level risks and the senior owner. **Table 2** outlines TfN's defined Probability Impact Criteria to undertake the qualitative assessment of the risks in order to produce a risk exposure score for each risk. **Table 3** provides a guideline in regard to the assessment of TfN's level of control on the proposed mitigation risk plans.

Table 4 provides a detailed analysis of each risk, the mitigating actions that have been adopted and the mitigation level of controllability as it is important to understand the extent to which TfN is able to influence or control the risk outcomes.



Table 1: Summary of TfN's Corporate Risk Themes, Probability / Impact Assessments and Ownerships

Corporate Risk Theme	Risk Probability / Risk Proximity	Nature of Risk Impact	Current Level of Risk Impact	Post Mitigation Level of Risk Impact	Risk Mitigation Strategy Owner
TfN Reputational and Political Engagement	High / (on-going)	<ul style="list-style-type: none">➤ Difficulty in gaining access to funding.➤ Delay/prevents the benefits of strategic transport infrastructure being delivered.➤ Relationship and reputation impact.	High	Medium	Business Capabilities Director / Finance Director (Dawn Madin / Iain Craven)
Embedding the Strategic Transport Plan across Programmes (STP)	Medium / (on-going)	<ul style="list-style-type: none">➤ Misalignment of Programme Objectives.➤ Siloed working culture causing business issues.➤ Possible failure to deliver projects, thus affecting the delivery of benefits set out in the STP.	High	Low	Strategy and Programme Director (Barry White)
Delivery of Robust and Compelling Evidence to Support Investment Programmes	High / (medium-term)	<ul style="list-style-type: none">➤ Delays/prevents investment in strategic transport infrastructure.➤ Affects TfN ability to deliver its objectives.	High	Medium	TfN Programme Directors (Tim Wood, Peter Molyneux, David Hoggarth, IST Programme Director)
TfN Operations	Medium / (on-going)	<ul style="list-style-type: none">➤ TfN might have insufficient funding to meet its aspirations.➤ Prevents TfN from delivering its commitments.➤ Failure to recruit and retain the right skills could impact TfN's ability to deliver.	High	Medium	Finance Director / Business Capabilities Director (Iain Craven / Dawn Madin)
Delivery of Integrated Smart Travel ABBOT Back-Office Infrastructure	An Issue / immediate	<ul style="list-style-type: none">➤ Possible non-delivery of full customer benefits for the North.➤ Funding allocated by HMT/DfT may not be accessible.➤ Reputation impact to the programme and the business.	Very High	Very High	IST Programme Director (Steve Howes)
The Northern Powerhouse Rail (NPR) Indicative Phasing for the Network and Delivery of the SOBC Refresh	High / (long-term)	<ul style="list-style-type: none">➤ Delay in the submission of the SOBC refresh.➤ Future funding might be impacted.➤ Lack of confidence from partners that TfN will deliver the North's vision for NPR.	Very High	High	NPR Programme Director (Tim Wood)
Rail Operations (Franchises, TRU Statutory Advice and TRU Construction)	An Issue / (short term and long-term)	<ul style="list-style-type: none">➤ Rail issues affects the delivery of TfN's STP.➤ Reputational damage caused by continued passenger frustrations.	Very High	Very High	Strategic Rail Programme Director (David Hoggarth)



Table 2: Transport for the North's Probability Impact Scoring Criteria

TfN's Probability Impact Criteria as illustrated below, is a risk management tool that enables the risk likelihood and impact to be calculated to produce an aggregated risk severity and exposure for each risk. The corporate risks are plotted according to the probability of occurrence and the impact upon an activity should the risk happen.

The qualitative risk ranking (risk score) could be generated by multiplying the probability with the maximum of the impacts (i.e. financial, reputation etc.) for each risk.

Rating Number	Probability (%)	Rating	Impact Rating Definition
4	81 - 100	Very High	<ul style="list-style-type: none">Financial Implication: £>2mSchedule Implication: > 12 (months)National long-term negative media coverage, significant loss of trust and credibilitySevere relationship issues with partners and/or third parties (such as Local Authorities, public)
3	51 - 80	High	<ul style="list-style-type: none">Financial Implication: £1m - £2mSchedule Implication: 9 - 12 (months)National short-term negative media coverageThere is evidence of relationship issues with partners/or and third parties (such as Local Authorities, public)
2	21 - 50	Medium	<ul style="list-style-type: none">Financial Implication: £500K - £1mSchedule Implication: 3 - 9 (months)Local media damageNo or minor strained relationship with partners and/or third parties (such as Local Authorities, public)
1	< = 20	Low	<ul style="list-style-type: none">Financial Implication: £0 - £500KSchedule / Time delay Implication: 0 - 3 (months)Local media attention quickly remediedNo strain relationship with partners and/or third parties (such as Local Authorities, public)



Table 3: Qualitative Assessment of the Levels of Controllability on the Mitigation Action Plans

Guideline: Level of Mitigation Controllability

Mitigation Control Level	Mitigation Control Level Assessment
Controllable Mitigations	High
Dependency Mitigations /controllable	Medium
Dependency Mitigations / Limited Control	Low

In order to assist the user to understand how TfN's key risks are impacted by the mitigation activities set out in this document, TfN has assessed the level of control on the mitigation risk action plans and the extent to which TfN is able to influence or control those risk outcomes.

The following corporate risks have been subject to an evaluation by identifying the:

- **Controllable Mitigations:** these are mitigation strategies that TfN has the power / ability to implement and as a result, contribute to the successful mitigation of the associated risk.
- **Dependency Mitigations / Controllable:** The identified mitigations require a collaborative effort with relevant partners or other stakeholders in order to be successful in the management of the action plans. Although, the mitigations are deemed as dependency, TfN may be able to deploy additional resources to increase its ability to influence risk outcomes.
- **Dependency Mitigations / Limited Control:** The identified mitigations must be a collaboration with the relevant internal and external parties and requires a buy-in. For example, national and local political buy-in. Without joint involvement, the likelihood of the risk materialising increases. Whilst TfN can attempt to influence the factors impacting on these risks, it has a low level of control over if/how these mitigations are implemented.



Table 4: Qualitative Risk Analysis of TfN's Corporate Level Risks

Risk ID
TCR01

Risk Theme	TfN's Reputational and Political Engagement
Risk Description	<p>Given the range of priorities across Transport for the North's local partners, central government and other stakeholders. There is a risk that:</p> <p>(1) TfN fails to achieve continued support for its programmes at a national / local level preventing the organisation from fulfilling its objectives and delivering its programme of works.</p> <p>(2) There is a mismatch between the expectations placed upon TfN and its ability to influence events / decisions in the short to medium term that is not aligned to the formal powers that have been granted.</p> <p>(3) TfN's funding arrangements leave it unable to act in a way that delivers the aspirations of its members.</p>
Risk Proximity	(1) On-going, (2) On-going, (3) On-going
Risk Probability and Assessed Risk Impact	High Medium
Potential Impact (Qualitative Description)	<ul style="list-style-type: none">Failure to achieve and maintain support for programmes may make it very difficult for TfN to "speak with one voice", influence decisions, or access funding.Failure to make timely decisions with regard to projects and programmes, and could delay or prevent 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".
Action Plans / Mitigation Strategies	<p>In order to be successful, TfN requires continuous 'buy-in' at a high level from a number of stakeholders. The "One Voice" for the North approach is the key foundation upon which TfN's ability to influence government is built. Activities includes:</p> <ol style="list-style-type: none">Continuous engagement with Members and constituent authorities at a political and officer level, stakeholders and partners.Structured engagement with central government officials and decision makers; and comprehensive communications and engagement programme plans to be in place.TfN to highlight where necessary the limits of its powers and when directed to seek to extend its influence for greater decision making.
Corporate Risk Owner	Dawn Madin / Iain Craven
Mitigation Strategy Owner	Dawn Madin / Iain Craven



Qualitative Assessment of the Level of Controllability on the Mitigation Action Plans

Risk Theme: TfN's Reputational and Political Engagement

Mitigation No.	Mitigation Strategies / Action Plans	Mitigation Control Level Assessment	Mitigation Control Level
1	Continuous engagement with Members and constituent authorities at a political and officer level, stakeholders and partners.	Medium	Dependency Mitigations / Controllable
2	Structured engagement with central government officials and decision makers; and comprehensive communications and engagement programme plans to be in place.	Low	Dependency Mitigations / Limited Control
3	TfN to highlight where necessary the limits of its powers and when directed to seek to extend its influence for greater decision making.	Medium	Dependency Mitigations / Controllable



Table 4: Qualitative Risk Analysis of TfN's Corporate Level Risks

Risk ID:
TCR02

Risk Theme	Embedding the Strategic Transport Plan across Programmes (STP)
Risk Description	The Strategic Transport Plan was adopted by TfN in February 2019. It sets out the “Why, What and How” of TfN’s approach to facilitating inclusive and sustainable transformational economic growth across the North. If TfN programmes (and research) are not aligned with the STP then it will prove difficult to contribute to the delivery of the STP, the development of more detailed policy positions, and will result in sub-optimal outputs from investments when measured against TfN’s overarching objectives.
Risk Proximity	On-going
Risk Probability and Assessed Risk Impact	Medium High
Potential Impact (Qualitative Description)	Programmes of work develop in a way that does not contribute, or run counter to the overall objectives and plan set out in the STP, resulting in failure to achieve the aims of the STP or sub-optimal impacts from transport investments.
Action Plans / Mitigation Strategies	<ol style="list-style-type: none">1. 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.2. In relation to TfN’s business planning process for 2020/2021, there is specific work being undertaken in relation to the co-ordination of TfN rail activity to assist with alignment of the STP. In addition, a wider planning exercise is also being undertaken across the strategy team to ensure effective monitoring of the delivery of the STP is taking place.3. TfN is currently developing an assurance framework which will allow the organisation to evaluate and assure programmes and projects consistent with the vision of the STP. The finalisation of the assurance framework will be submitted to the Board in March 2020.4. A robust benefits realisation framework is being developed to enable the evaluation of programme KPIs and allow the assessment of outcomes in relation to STP objectives.
Corporate Risk Owner	Barry White
Mitigation Strategy Owner	Barry White



Qualitative Assessment of the Level of Controllability on the Mitigation Action Plans

Risk Theme: Embedding the Strategic Transport Plan across Programmes (STP)

Mitigation No.	Mitigation Strategies / Action Plans	Mitigation Control Level Assessment	Mitigation Control Level
1	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.	High	Controllable Mitigations
2	In relation to TfN's business planning process for 2020/2021, there is specific work being undertaken in relation to the co-ordination of TfN rail activity to assist with alignment of the STP. In addition, a wider planning exercise is also being undertaken across the strategy team to ensure effective monitoring of the delivery of the STP is taking place.	High	Controllable Mitigations
3	TfN is currently developing an assurance framework which will allow the organisation to evaluate and assure programmes and projects consistent with the vision of the STP. The finalisation of the assurance framework will be submitted to the Board in March 2020.	High	Controllable Mitigations
4	A robust benefits realisation framework is being developed to enable the evaluate the programme outcomes/results of programme KPIs and allow the assessment of outcomes in relation to STP objectives.	High	Controllable Mitigations



Table 4: Qualitative Risk Analysis of TfN's Corporate Level Risks

Risk ID TCR03	Risk Theme	Delivery of Robust and Compelling Evidence to Support Investment Programmes	
	Risk Description	The existing modelling tools and data sets are built to model incremental rather than transformational change. In addition, the development of new and innovative agile approaches to transport modelling and scheme appraisal might take significant resources, time and advocacy before being accepted by key decision makers. As a result, there is a risk that TfN might be unable to make robust credible evidence-based case to support investment programmes which might lead to challenges in making credible evidence-based business cases for 2019/2020 and beyond, restricting the ability to deliver agreed outputs outlined in the Strategic Transport Plan (STP).	
	Risk Proximity	Medium-Term	
	Risk Probability and Assessed Risk Impact	High High	
	Potential Impact (Qualitative Description)	<ul style="list-style-type: none">An insufficiently compelling evidence based, 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 robust and timely decisions prevent TfN from collaborating with partners and delivering its outputs in line with required timescales. The credibility of the North as a working partnership could be eroded with key stakeholders, including central government, businesses and the public.	
	Action Plans / Mitigation Strategies	<ol style="list-style-type: none">The development of business cases for programmes is done by appropriately skilled, broad based teams, including constituent authorities and other Stakeholders. Continued collaboration with partners on innovation to ensure robust evidence is available and new agile approaches are adopted. This will include the appraisal of programmes, based on a range of possible futures, factoring in plausible future social, technological and policy changes to develop future travel demand scenarios.The iterative development of analytical tools, that allow new markets and uncertain futures to be explored, using the principles of agile innovation to help meet emerging data, local and national policy, and partner requirements.To develop a long-term strategy, in line with the Northern Charter to tackle issues with conventional tools, and better represent all customer experience. To build an internal and external assurance to provide robust challenge and ensure the quality of TfN products.Robust governance and feedback loop at programme and project level with regular meetings and appropriate attendance continue to take place.	
	Corporate Risk Owner	Programme Directors	
	Mitigation Strategy Owner	Programme Directors	



Qualitative Assessment of the Level of Controllability on the Mitigation Action Plans

Risk Theme: Delivery of Robust and Compelling Evidence to Support Investment Programmes

Mitigation No.	Mitigation Strategies / Action Plans	Mitigation Control Level Assessment	Mitigation Control Level
1	The development of business cases for programmes is done by appropriately skilled, broad based teams, including constituent authorities and other Stakeholders. Continued collaboration with partners on innovation to ensure robust evidence is available and new agile approaches are adopted. This will include the appraisal of programmes, based on a range of possible futures, factoring in plausible future social, technological and policy changes to develop future travel demand scenarios.	High	Controllable Mitigations
2	The iterative development of analytical tools, that allow new markets and uncertain futures to be explored, using the principles of agile innovation to help meet emerging data, local and national policy, and partner requirements.	High	Controllable Mitigations
3	To develop a long-term strategy, in line with the Northern Charter to tackle issues with conventional tools, and better represent all customer experience. To build an internal and external assurance to provide robust challenge and ensure the quality of TfN products.	High	Controllable Mitigations
4	Robust governance and feedback loop at programme and project level with regular meetings and appropriate attendance continue to take place.	High	Controllable Mitigations



Table 4: Qualitative Risk Analysis of TfN's Corporate Level Risks

Risk
ID
TCR04

Risk Theme	TfN Operations
Risk Description	<p>TfN is fully funded through the Department for Transport (DfT) but is responsible for its own financial affairs. There is a requirement for the business to demonstrate Value for Money (VfM) to ensure the delivery of programmes are achieved efficiently and effectively. As a result, there is a risk of the failure to deliver programmes' outputs in a way that achieves VfM in TfN expenditure. Therefore, there is a risk:</p> <ol style="list-style-type: none">1) That TfN has insufficient funding to support its operation and programmes after the end of 2020/21.2) That TfN fails to achieve Value for Money. <p>In order to deliver the programmes efficiently and effectively, the 2019/20 business plan has outlined its continued ambition to recruit qualified and competent officers to support the success of the organisation's objectives.</p> <ol style="list-style-type: none">3) Therefore, there is a continued risk that TfN fails to attract and retain suitably qualified staff.
Risk Proximity	1) End of F/Y 2019/20, (2) On-going, (3) On-going
Risk Probability and Assessed Risk Impact	Medium High
Potential Impact (Qualitative Description)	<ul style="list-style-type: none">• TfN has insufficient funding from 2021/22 onwards, preventing it from delivering on the aspirations of its members.• Failure to achieve Value for Money could impact on TfN's ability to access funding in the future.• Failure to recruit and retain the right people with the right skills could negatively impact on TfN's ability to deliver its objectives.
Action Plans / Mitigation Strategies	<ol style="list-style-type: none">1) To make a clear case for funding during the Spending Review based on the outcome of the Members Working Group activity and the Northern Transport Charter, supporting TfN operations and programmes.2) Clear and well documented processes and procedures to be in place. VfM and governance to be undertaken by both internal and external audits.3) Commissioning processes include OBT sign-off of expenditure, and explicit approval for expenditure against a schedule of delegations.4) Engagement with stakeholders to ensure the case for TfN's funding is supported by members, business and in Parliament.5) TfN continues to hire suitable qualified officers in all senior positions, but also including critical programme and back office roles. There is on-going training and communication across the organisation.6) A comprehensive People Strategy has been developed and in place covering reward, workforce/skills planning, succession planning, recruitment and selection, talent and performance management.7) A leadership programme is planned to be developed and delivered in FY 2020/21 to further support the leadership capability within the organisation.
Corporate Risk Owner	Iain Craven / Dawn Madin
Mitigation Strategy	Iain Craven / Dawn Madin



Qualitative Assessment of the Level of Controllability on the Mitigation Action Plans

Risk Theme: TfN Operations

Mitigation No.	Mitigation Strategies / Action Plans	Mitigation Control Level Assessment	Mitigation Control Level
1	To make a clear case for funding during the Spending Review based on the outcome of the Members Working Group activity and the Northern Transport Charter, supporting TfN operations and programmes.	Medium	Dependency Mitigations / Controllable
2	Clear and well documented processes and procedures to be in place. VfM and governance to be undertaken by both internal and external audits.	High	Controllable Mitigations
3	Commissioning processes include OBT sign-off of expenditure, and explicit approval for expenditure against a schedule of delegations.	High	Controllable Mitigations
4	Engagement with stakeholders to ensure the case for TfN's funding is supported by members, business and in Parliament.	High	Controllable Mitigations
5	TfN continues to hire suitable qualified officers in all senior positions, but also including critical programme and back office roles. There is on-going training and communication across the organisation.	High	Controllable Mitigations
6	A comprehensive People Strategy has been developed and in place covering reward, workforce/skills planning, succession planning, recruitment and selection, talent and performance management.	High	Controllable Mitigations
7	A leadership programme is planned to be developed and delivered in FY 2020/21 to further support the leadership capability within the organisation.	High	Controllable Mitigations



Table 4: Qualitative Risk Analysis of TfN's Corporate Level Risks

Risk ID
TCR05

Risk Theme	Delivery of Integrated Smart Travel ABBOT Back-Office Infrastructure
Risk Description	Having continued to re-test the ABBOT proposals with operators up to October 2019, there was insufficient commitment from operators to give TfN the confidence, that if it did proceed with ABBOT, the ambitions of the project would be achieved. Without the participation of the major operators, TfN cannot achieve the full customer proposition set out in the Outline Business Case (OBC). In addition, there is a risk that the three alternate recommended delivery options for the IST Phase 3 project (options A, B and C) might not be supported by TfN Board and/or DfT and HMT.
Risk Proximity	Short-Term
Risk Probability and Assessed Risk Impact	An Issue Very High
Potential Impact (Qualitative Description)	<ul style="list-style-type: none">• The ABBOT project becomes undeliverable in its current context and therefore it will not deliver the full customer benefits including multi-modal and fair price promise.• Benefits for operators that do wish to participate are unable to be realised as the cost per transaction is prohibitive.• Failure to deliver the proposed services on time and budget results in a negative impact on stakeholders including Northern partners, Central Government, DfT, and operators.• Without the agreement and alignment (to the OBC), funding may be withdrawn and re-allocated by DfT.• There is a potential that a delay in receiving an approved option could result in delivery timeline slippage.• If no option is able to deliver a significant proportion of the intended benefits in a cost effective way, it will result in the cessation of Phase 3 of the IST programme in its current form.
Action Plans / Mitigation Strategies	<ol style="list-style-type: none">1) Further engagement with Bus operators, LTAs and the Department for Transport (DfT) to explore how operator commitment might be increased, allowing the project to proceed.2) To seek a common understanding on which option(s) the programme could recommend to TfN Board at its meeting on 8 January 2020, including the assessment of commercial viability and value for money; the levels of support and confirmation from key stakeholders; and an appropriate account of any external reviews.3) Pending the approval of the options and authority to proceed, other work with external professional services consultants has been reduced to a minimum, and is focused mainly on the options appraisal process.4) Exploring with HMT/DfT the options on how the allocated funding could be utilised, and the conditions that might be attached to it.
Corporate Risk Owner	Steve Howes
Mitigation Strategy Owner	Steve Howes



Qualitative Assessment of the Level of Controllability on the Mitigation Action Plans

Risk Theme: Delivery of Integrated Smart Travel ABBOT Back-Office Infrastructure

Mitigation No.	Mitigation Strategies / Action Plans	Mitigation Control Level Assessment	Mitigation Control Level
1	Further engagement with Bus operators, LTAs and the Department for Transport (DfT) to explore how operator commitment might be increased, allowing the project to proceed.	Medium	Dependency Mitigations / Controllable
2	To seek a common understanding on which option(s) the programme could recommend to TfN Board at its meeting on 8 January 2020, including the assessment of commercial viability and value for money; the levels of support and confirmation from key stakeholders; and an appropriate account of any external reviews.	Medium	Dependency Mitigations / Controllable
3	Pending the approval of the options and authority to proceed, other work with external professional services consultants has been reduced to a minimum, and is focused mainly on the options appraisal process.	High	Controllable Mitigations
4	Exploring with HMT/DfT the options on how the allocated funding could be utilised, and the conditions that might be attached to it.	Medium	Dependency Mitigations / Controllable



Table 4: Qualitative Risk Analysis of TfN's Corporate Level Risks

Risk ID
TCR06

Risk Theme	The Northern Powerhouse Rail (NPR) Indicative Phasing for the Network and Delivery of the SOC
Risk Description	<p>The Northern Powerhouse Rail is a high-profile programme that involves Northern partners, DfT, NR and HS2. By February 2020, TfN is to agree an indicative delivery phasing for the NPR network and develop and manage the next phase of the business case development, including updating the Strategic Outline Case (SOC) for multiple concept corridors. Therefore, if the NPR programme cannot secure the partner endorsement of a maximum of four (4) phasing scenarios for the SOC, it is likely to cause a delay in finalising the SOC and achieve endorsement by TfN Board.</p> <p>This risk has been heightened by the need to resolve issues at Stourton and Piccadilly and by the recent positive backing for NPR from the Prime Minister that also called for one leg, Leeds-Manchester, to be accelerated.</p>
Risk Proximity	Phasing scenarios (Medium –Term), SOC (Long-Term).
Risk Probability and Assessed Risk Impact	High Very High
Potential Impact (Qualitative Description)	<ul style="list-style-type: none">• There is a potential submission delay of the SOC submission to DfT's Business Investment Commercial Committee (BICC). This would impact upon the approval timetable to proceed to the next stage of development.• If TfN is unable to submit and receive endorsement for the SOC, it may impact on future funding as Government would not want to approve the SOC without TfN Board endorsement.• If the SOC is not approved, the proposed expenditure relating to OBC delivery would be void and re-planning exercise would need to take place. This could create a reputational risk - a perceived lack of ability to deliver NPR from Government, Members, National press
Action Plans / Mitigation Strategies	<ol style="list-style-type: none">1) The programme team to continue the development of the phasing criteria set out in the Management Case. These include the powers, constructability, affordability and benefits realisation.2) In constructing the roadmap, to include the review and input by DfT as co-client, partners and delivery partners.3) To develop a comprehensive phasing engagement across partner organisations. This allows NPR to engage with all levels of member organisations to ensure all audiences are briefed and their feedback incorporated into the SOC development. This supports formal endorsement as members will have the opportunity to work side by side with us to develop the Strategic Outline Case.
Corporate Risk Owner	Tim Wood
Mitigation Strategy Owner	Tim Wood



Qualitative Assessment of the Level of Controllability on the Mitigation Action Plans

Risk Theme: The Northern Powerhouse Rail (NPR) Indicative Phasing for the Network and Delivery of the SOC

Mitigation No.	Mitigation Strategies / Action Plans	Mitigation Control Level Assessment	Mitigation Control Level
1	The programme team to continue the development of the phasing criteria set out in the Management Case. These include the powers, constructability, affordability and benefits realisation.	High	Controllable Mitigations
2	In constructing the roadmap, to include the review and input by DfT as co-client, partners and delivery partners.	High	Controllable Mitigations
3	To develop a comprehensive phasing engagement across partner organisations. This allows NPR to engage with all levels of member organisations to ensure all audiences are briefed and their feedback incorporated into the SOC development. This supports formal endorsement as members will have the opportunity to work side by side with us to develop the Strategic Outline Case.	Medium	Dependency Mitigations / Controllable



Table 4: Qualitative Risk Analysis of TfN's Corporate Level Risks

Risk ID
TCR07

Risk Theme	Rail Operations (Franchise Management and the Delivery of TransPennine Route Upgrade)
Risk Description	<p>Transport for the North is co-managing Northern and TransPennine Express franchises with the DfT to ensure that operators deliver what they have promised. In addition to the franchise management, TfN is seeking to influence infrastructure projects such as TransPennine Route Upgrade (TRU) through its statutory partner role to ensure the requirements of the North are fully taken into account.</p> <p>(1) There is a risk that franchises continue to underdeliver against franchise commitments, resulting in continued planned service improvements not being delivered. (2) There is a risk that TfN's statutory advice issued in September 2018 might not be reflected in the TRU OBC due to be appraised in Spring 2020. Moreover, there is a risk that decisions on TRU might be taken in isolation which are required to be part of a wider investment plan that supports capacity and reliability. (3) Passenger disruption during construction works will have negative effects on passengers on the TRU route, the Northern services and the economy generally in the North of England.</p>
Risk Proximity	Short-Term (Operations), Long-term (Statutory Advice), Long-term (TRU Construction)
Risk Probability and Assessed Risk Impact	<p>(1) An Issue, (2) Very High, (3) Medium</p> <p>(1) Very High, (2) Very High, (3) Very High</p>
Potential Impact (Qualitative Description)	<ul style="list-style-type: none">Short-term - drop in performance for customers, adverse reputational impact on TfN profile and credibility, and as a result, reduction in political support locally and nationally.The delivery of TfN's Strategic Transport Plan may be negatively impacted as the delivery of the LTRS is predicated on the franchise outputs being delivered.Passenger frustration due to increased journey times and lower frequency of service. Severe adverse reputational impact and pressure from partners.
Action Plans / Mitigation Strategies	<ol style="list-style-type: none">To continue to use our influence in the monthly Rail North Partnership Board to shape the management of services, decisions on new rolling stock and infrastructure developments.To continue with the close working relationship and communication with member parties on planned business activities and deliverables and feeding back information through TfN governance structures.Track franchise performance and delivery of services via data dashboards. This information is used to support TfN engagement with the Rail North Partnership, which in turn manages the contracts with Northern and Trans Pennine Express.TfN to define clearly its role in TRU and ensure that partners and stakeholders are fully informed. TfN to assist DfT in arranging briefing sessions for members in February 2020. To work with DfT to provide reports on OBC progress at January 2020 and March 2020 TfN Boards.Strategic Rail and Rail North Partnership (RNP) to work together to support Network Rail in producing a plan that meets passengers' needs and expectations.To implement Blake Jones' action plan to provide greater focus on passengers and ensure transparency with elected members.
Corporate Risk Owner	David Hoggarth
Mitigation Strategy Owner	David Hoggarth



Qualitative Assessment of the Level of Controllability on the Mitigation Action Plans

Risk Theme: Rail Operations (Franchise Management and the Delivery of TransPennine Route Upgrade)

Mitigation No.	Mitigation Strategies / Action Plans	Mitigation Control Level Assessment	Mitigation Control Level
1	To continue to use our influence in the monthly Rail North Partnership Board to shape the management of services, decisions on new rolling stock and infrastructure developments.	Low / Medium	Dependency Mitigations (Limited Control) / Dependency Mitigations (Controllable)
2	To continue with the close working relationship and communication with member parties on planned business activities and deliverables and feeding back information through TfN governance structures.	Medium	Dependency Mitigations /Controllable
3	Track franchise performance and delivery of services via data dashboards. This information is used to support TfN engagement with the Rail North Partnership, which in turn manages the contracts with Northern and Trans Pennine Express.	Low / Medium	Dependency Mitigations (Limited Control) / Dependency Mitigations (Controllable)
4	TfN to define clearly its role in TRU and ensure that partners and stakeholders are fully informed. TfN to assist DfT in arranging briefing sessions for members in February 2020. To work with DfT to provide reports on OBC progress at January 2020 and March 2020 TfN Boards.	High	Controllable Mitigations
5	Strategic Rail and Rail North Partnership (RNP) to work together to support Network Rail in producing a plan that meets passengers' needs and expectations.	Medium	Dependency Mitigations /Controllable
6	To implement Blake Jones' action plan to provide greater focus on passengers and ensure transparency with elected members.	High	Controllable Mitigations



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