Audit and Assurance Committee

TRANSPORT FOR LONDON
EVERY JOURNEY MATTERS

Date: **9 March 2015**

Item: **Strategic Risk Management Update – Quarter 3**

This paper will be considered in public

1 Summary

1.1 The purpose of this paper is to update the Committee on the status of TfL's Non Project Strategic Risks and proposed mitigations at the end of Quarter 3, through discussion of the Strategic Risk Register.

1.2 As outlined in previous meetings, the Strategic Risk Management Panel (SMRP) has been set up to develop and implement a pan TfL strategic risk framework for the management of risks and better support decision-making. The Chief Finance Officer and business area Directors have agreed an approach to ensure continuous improvement of current strategic risk reporting. This will also be considered in Part 2 of the agenda.

1.3 A paper is included on Part 2 of the agenda which contains exempt supplemental information. Subject to the decision of the Committee, this paper is exempt and is therefore not for publication to the public or press by virtue of paragraph 3 of Schedule 12A of the Local Government Act 1972 in that it contains information relating to the business affairs of TfL.

2 Recommendation

2.1 The Committee is asked to note this paper.

3 Background

3.1 TfL currently captures strategic risk through the Strategic Risk Register (SRR) and the Quantified Strategic Risk Schedule (QSRS).

   a) The objective of the SRR is to capture the key risks that could impact the delivery of TfL's strategic objectives through the thematic aggregation of the strategic Business Area level risks; and

   b) The TfL QSRS is a schedule that quantifies, where possible, the risks included in the SRR. It also captures project contingency and any opportunities that could materialise.

4   Developments Since Last Quarter

4.1   The TfL Risk Management Policy process document and guidance notes have now been published on the management system and the intranet. Work has been undertaken to consolidate the Risk Management pages in order to provide a uniform approach to all business areas.

4.2   A training course is being rolled out over the next three to four months. Requests for candidates to be nominated have been issued across the organisation. Take up has been good with the first two courses fully booked, with 12 people per session. The expectation is for 200 people to be trained. The course covers the principles of Risk Management and practical applications of those principles. There is also an exercise which relates to the context in which TfL operates.

4.3   At Quarter 2, the Leadership Team agreed that Chief Officers would be interviewed to ascertain their views on Strategic Risk Management and how further improvements could be made. These interviews are almost complete and findings will be considered and presented back to the Leadership Team at Quarter 4.

5   Q3 Strategic Risk Register Update

5.1   During Quarter 3 2014/15, the risks that feed into the SRR were assessed as part of the quarterly forecast reviews for each Business Area. New items on the SRR are displayed in italics for ease of reading and can be found in Appendix 1.

5.2   There has been no change to the Current Risk Status during Quarter 3 and as such the risk trend remains static for all risks. Summary as follows:

TFL01	Maintaing a long term strategic, balanced plan	H
TFL02	People Risk (inc. Pensions, IR)	M
TFL03	Delivery of capital investment portfolio	H
TFL04	Technology Risk	M
TFL05	Disruption to quality of service - operational and customer	H
TFL06	Targeting continued improvments (set by external stakeholders)	M
TFL07	One-off serious incidents	M

5.3   New controls and actions have been added by the Business Areas during Quarter 3 with the aim of mitigating these risks.

5.4   As can be seen above, three risks currently have a Risk Status of 'High.' Key changes to these will be detailed below.

TFL01: Maintaining a long term strategic, balanced plan

5.5   Risk Status remains high due to the potential Business Plan impact, as well as the high financial value of the risk.

5.6   Following the confirmation of funding, the risk CR02 – Failure to meet Northern Line Extension (NLE) funding requirements in a timely manner has been removed.

5.7   With the upcoming Spending Review and a new parliamentary cycle, a new control has been added. All Business Areas will be working collaboratively to make the case for the continued funding in full of TfL's Business Plan, together with looking at options and scenarios, including new schemes such as Crossrail 2 and further responsibility for National Rail services. The Chancellor reaffirmed his commitment to the £10bn of funding outlined in the 2013 Spending Review at an event with the Mayor on 20 February 2015.

5.8   A number of new actions have been added with the aim of mitigating the risk of not delivering the full Business Plan including:

(a)   the Savings and Efficiencies programme forms a key part of future cash flow assumptions. Recognising this, work continues on the refinement of databases across all Business Areas, including a more advanced process for risk assessment; and

(b)   the set-up of more stringent programme governance in Commercial Development, primarily in relation to commercial agreements and delivery plans.

TFL03: Delivery of capital investment portfolio

5.9   Risk Status remains high due to the potential impact on project milestones, including delivery dates and budgeted amounts.

5.10   A new control has been added where suppliers are reviewed periodically. This will allow TfL to mitigate the damage in the case of a supplier failure, reducing the effect on capital projects.

5.11   Furthermore, two new actions have been added:

(a)   It has been recognised that there is a greater need for cooperation between Operational and Project teams. The Integrated Improvement Programme aims to improve handovers and promote one-team working; and

(b)   Also focusing on cooperation, an action is now in place to work closer to London Councils to support the resourcing requirements of Borough's.

TFL05: Disruption to quality of service – operational and customer

5.12   Risk Status remains high due to the potential significant impact on various KPI measures, as well as general operating standards. This also reflects the complexity of delivering Night Tube and Fit for the Future Stations.

5.13   Controls remain constant in the quarter, with focus on the development of those already in place. For example, the continuing development of the Line Asset Network Plan (LANP).

5.14   A new action is also in place relating to the development and implementation of freight strategies. This feeds into the Road Modernisation Plan, as well as Road Space Management, and aims to increase Journey Time Reliability across the TLRN.

5.15   The SRR can be found in Appendix 1.

List of appendices to this report:

Appendix 1: Quarter 3 TfL Strategic Risk Register

Background Papers:

None

Contact Officer: Andrew Pollins, Interim Chief Finance Officer
Number: 020 3054 8941
Email: AndrewPollins@tfl.gov.uk

Transport for London – Strategic Risk Register

TFL01 : Maintaining a long term strategic, balanced plan	Owner: Steve Allen	Assessed	Quarter 3
Strategic objective : Value	**Key risk indicator** : Adverse variances or cash shortfalls arising though financial reporting and analysis and business planning	Trend	⟷

Description: Lower funding sources or higher than planned costs which creates cash flow problems resulting in an unbalanced Business Plan. This may be due to Government Grant reduction, shortfall in Commercial Development and other secondary income sources or a shortfall in the savings and efficiency target.

Current Risk Status High score from potential impact on TfL's Business Plan and overall financial value	KPI impact to be quantified	See quantified schedules for Financial Impact	Target Risk Status Medium target as a result of closely monitored operational and financial activity	KPI impact to be quantified	See quantified schedules for Financial Impact
Key Controls	Owner	Review Date* / Status	**Key Actions**	Owner	Due Date* / Status
Influence and negotiate with DfT and Mayor's Office to continue favourable funding position and identify activities to mitigate any possible shortfalls.	Steve Allen Andrew Pollins Rachel Stretton Patrick Doig	As required	On-going contingency planning to develop scenario and alternatives to generate feasible solutions.	Steve Allen Andrew Pollins Rachel Stretton Patrick Doig	Mar 2015
			Continue development of a savings and efficiencies database. This will include a more advanced process for risk assessments.	Steve Allen	Jun 2015
Spending Review	Steve Allen Andrew Pollins Rachel Stretton Patrick Doig	Annual	*An assessment of the potential impact of the Spending Review 2015 to be obtained*	Steve Allen Andrew Pollins Rachel Stretton Patrick Doig	Mar 2015
			On-going work to prioritise activities for protection in the case of a reduced funding scenario.	Steve Allen Andrew Pollins Rachel Stretton Patrick Doig	Mar 2015
TfL Business Planning Process	Steve Allen Andrew Pollins Rachel Stretton Patrick Doig	Annual	Identify and agree savings initiatives with the Leadership Team and ensure inclusion within the Business Plan.	Steve Allen	On-going
			Continue implementation of project Skyline, which seeks to establish the resource, specialist support, contracting arrangements, funding and governance required to deliver the revised Business Plan.	Graeme Craig	On-going
Quarterly forecast and review process to ensure the business plan remains balanced over the long term and take corrective action if necessary.	Steve Allen Andrew Pollins Rachel Stretton Patrick Doig	Dec 2014	Undertake quarterly forecast meetings with the business areas to review and challenge forecasts.	Steve Allen Andrew Pollins Rachel Stretton Patrick Doig	Mar 2015
Management contingency and risk allowance for major projects, informed by Quarterly Risk Assessments (QRA) and quarterly risk reviews.	Steve Allen Andrew Pollins Rachel Stretton Patrick Doig	Dec 2014			
Use of specialist skills in Property Development; resource strategy to recruit property development experts as secondees has been launched (three on boarded to date)	Graeme Craig	Oct 2014	*Programme governance set up to drive commercial agreements and delivery plans*	Graeme Craig	Mar 2015
Bottom-up business plan process to develop Comm Dev plan. Cognizant of risks inherent in diverse portfolio, progress and delivery of this plan will be closely monitored	Graeme Craig	Oct 2014			
Flexibility with regards to sites offered on the market, thereby optimising the Over Station development returns in the future.	Steve Allen	Oct 2014			
Material allocation of investments into safe areas such as UK Government securities to reduce risk. Continued monitoring of interest rate risk and investment strategy	Steve Allen	Oct 2014			

*Review Date is the most recent date that the control was reviewed on.
*Due Date is the data the action is aimed to be completed by.

Transport for London – Strategic Risk Register

TFL02 : People Risk (inc. Pensions - Industrial Relations)	Owner: Tricia Riley	Assessed	Quarter 3

Strategic objective: Failure to deliver the people strategy

Key risk indicator : Attendance, Staff turnover, Employee Survey, No. of strikes, financial reporting on pension fund

Trend — ↔

Description: Failure to deliver TfL People Strategy (knowledge retention, timely access to scarce resources, staff development and retention) and/ or increased number of strikes resulting in unsuccessful delivery of projects, operational and change programmes, poor service, loss of revenue and loss of reputation. Failure to deliver New Savings Programme targets (through pay and pension savings) and risk of future TfL Pension Fund deficit from market conditions resulting in higher than planned costs.

Current Risk Status — Risk of Industrial action is high while all other risks relating to People are medium	KPI impact to be quantified	See quantified schedules for Financial Impact	Target Risk Status — Target risk of medium on IR while all other People risk element targeted to be Low or Very Low resulting in an overall target of Low	KPI impact to be quantified	See quantified schedules for Financial Impact
Key Controls	Owner	Review Date* / Status	**Key Actions**	Owner	Due Date* / Status
Compliance with TfL employment policies.	Tricia Riley	Periodic	Development of Strategic Resourcing strategy to enable TfL to have a framework to plan adequate resources for future and make provision to acquire these resources proactively.	Tricia Riley	Mar 2015
Development of People Management System to ensure information is consistent, simple to understand and easy to find to assist staff and managers in relation to HR issues.	Tricia Riley	Sep 2014	Implement new Performance Management System to help managers manage the performance of their staff (e.g. guidance on performance management and TfL behaviours etc)	Tricia Riley	Jan 2015
External benchmarking to monitor performance against appropriate organisations to identify opportunities for improvement e.g. salary benchmarking	Stephen Field	Annual	Deliver staff development programmes: Directors – Cass Executive Education modules [1] Senior Managers – TfL Senior Management Programme [2]	Tricia Riley	Mar 2015[1] Oct 2014[2]
			Enhance the Organisational Change Capability Programme to give managers the support they need to deliver key changes	Tricia Riley	Mar 2015
			Roll out and implementation of the Managing Essentials programme	Tricia Riley	2017/18
			As part of the Integrated Planning work stream an IT pilot solution is to be developed to assist in improving the accuracy of workforce planning.	Tricia Riley	Mar 2015
Company Council & Consultations Groups for TfL and Trade Unions to discuss matters of mutual interest.	Tricia Riley	Dec 2014	Review of Industrial Relations Strategy and development of a 3-5 year plan	Tricia Riley	Mar 2015
Regular reports from franchise/concession operators on the status of relationship with Trade Unions, ballots and pay negotiations.	Tricia Riley	Dec 2014			
Maintain links with other external organisations to monitor industry trends and developments impacting industrial relations	Tricia Riley	Dec 2014			
Well diversified Trustee strategy which is set after taking advice from the Actuary and Investment Adviser and reviewed following each triennial valuation. Regular communication between Trustee/Actuary.	Stephen Field	Oct 2014	Trustees agree a prudent funding target with the Principal Employer (known as technical provisions) following receipt of advice from the Actuary.	Stephen Field	Mar 2020
Fully diversified portfolio of return seeking assets, including alternate asset classes which is actively monitored and reviewed on a regular basis.	Stephen Field	Oct 2014	Ensure that TfL has a well diversified investment strategy across all portfolios to minimise risk.	Stephen Field	Sep 2015
Financial Management Plan (FMP) (reviewed by the Principal Employer) to enable the Trustee to monitor the ongoing funding position.	Stephen Field	Oct 2014			

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Transport for London – Strategic Risk Register

TFL03 : Delivery of capital investment portfolio				Owner: Nick Fairholme / David Waboso		Assessed	Quarter 3
Strategic objective: Failure to deliver the TfL Capital Investment Programme				**Key risk indicator : Project milestones not being achieved**		Trend	⟷
Description: Projects and programmes may not be delivered on time, budget or deliver expected benefits. This could lead to acceleration costs, target benefits being delayed and risking on going capital funding for DfT milestones.							

Current Risk Status High score due to potential impact on Project Milestones, to poor design, construction & manufacture, inadequate project management and assurance arrangements	KPI impact to be quantified	See quantified schedules for Financial Impact	Target Risk Status Improved processes and project controls as well as increased staff capability with improved handover process	KPI impact to be quantified	See quantified schedules for Financial Impact
Key Controls	**Owner**	**Review Date* / Status**	**Key Actions**	**Owner**	**Due Date* / Status**
Financial and project forecasting including the assessment of likely underspend and project risk.	David Waboso/Patrick Doig	Dec 2014	A review of business workforce planning in line with the investment programme, is underway, focussing in detail on next five years. This will be repeated annually thereafter.	Patrick Doig	Mar 2015
Deployment of competent staff: engineers, assurance staff, project & programme staff and support staff.	Programme Directors	As required	Assess staff capability and establish competency and resource needs. Develop and implement improvement programme.	David Waboso	Mar 2016
			Delivery Capability Improvement Programme, assess staff capability and establish competency and resource needs. Develop and implement improvement programme.	David Waboso	Mar 2016
			Recommendations to improve handover and promote one-team working between COO and Projects (via Integrated Improvement Programme).	David Waboso	Mar 2015
Thorough director review of projects and milestones including programme boards, Surface board and R&U board.	Leon Daniels/David Waboso	Dec 2014	The Business Process Review of Gates 0 - 6 is underway. The value stream has now been mapped, with six 'pinch points' prioritised to be taken forward as Lean Six Sigma projects.	Nick Fairholme	Apr 2015
Review of Project dashboards and milestones; progress of projects reviewed to identify any potential slippage or risk to delivery.	Nick Fairholme	Dec 2014	A PPD Planning Improvement Initiative is underway with the aim of improving the quality and robustness of all PPD Project Schedules.	Nick Fairholme	Mar 2015
Independent oversight of the investment programme by the PMO including peer and external stage gate reviews	Programme Directors	Dec 2014	Enhance peer review and stage gate process.	David Waboso	Mar 2015
Automative Train Control retender, enhanced governance and support through the establishment of a steering with senior involvement.	David Waboso	Dec 2014	*Intensive and senior level reviews and engagement with Thales for solution*	David Waboso	Mar 2015
Mitigate against failures of key suppliers through regular performance reviews	Programme Directors	Dec 2014	*Working with London Councils to support Borough resourcing.*	Dana Skelley & Ben Plowden	Mar-15

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Transport for London – Strategic Risk Register

TFL04 : Technology Risk	Owner: Shashi Verma/ Steve Allen	Assessed	Quarter 3

Strategic objective: Loss or disruption of key technology services	**Key risk indicator** : MD Scorecard targets and Director updates, Significant breach of SLA, Financial forecasts	Trend	⟷

Description: Significant loss of information/ key IM services including the ticketing system that support the business and/or network operations due to a cyber security incident or system failure/ outages. If the collection system (including contactless cards) fails temporarily, this may result in reputational damage to TfL and the loss of confidence in the integrity of the fare collection system.

Current Risk Status Risks to Future Ticketing and a cyber security incident are high. The risk to ticketing system failure is medium despite the potential impact on TfL's Business Plan.	KPI impact to be quantified	See quantified schedules for Financial Impact	**Target Risk Status** Risk driver- Key controls in place and maintained	KPI impact to be quantified	See quantified schedules for Financial Impact
Key Controls	Owner	Review Date* / Status	**Key Actions**	Owner	Due Date* / Status
Maintain and monitor regular Backups and Restores of appropriate IM systems and carry out restore tests.	Steve Townsend	Oct 2014	*Undertake analysis of IM services to assess criticality/financial impact of cyber security risk*	Steve Townsend	Proposed
Implement and maintain a dual Data Centre Strategy.	Steve Townsend	Oct 2014	*Create a pan-TfL Security Competency*	Steve Townsend	Apr 2015
Continue to develop and implement remediation plans from the security gap analysis.	Steve Townsend	Oct 2014	*Set up a taskforce to look at security pan-TfL and identify who owns cyber security across TfL*	Steve Townsend	Jun 2015
Ensure that all contractor equipment does not use live keys so that changes made do not inadvertently transfer to the live system.	Shashi Verma	Oct 2014	Desktop Futures Project - Supportability of the legacy platform.	Steve Townsend	Jun 2015
Ensure that any base data change delivered to the TfL ticketing system is tested and assured by TfL representatives before approval for implementation.	Shashi Verma	Oct 2014			
A dedicated Test Assurance team is in place to manage integration testing of all changes to the live system including go-live testing.	Shashi Verma	Oct 2014			
Robust change management procedures to mitigate risk of uncontrolled change.	Shashi Verma	Sep 2014			
Ensure that all bulk hot list changes have release plans to be assured and approved by TfL.	Shashi Verma	Sep 2014			
Contactless cards users' data protected by single sign-on, providing more security when logging onto the TfL website.	Shashi Verma	Nov 2014			

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Transport for London – Strategic Risk Register

TFL05 : Disruption to quality of service			Owner: Alan Bristow/ Mike Weston/ Nick Brown/ Sarah Atkins	Assessed	Quarter 3
Strategic objective: Reliability of service and roads, high quality bus network, customer service, increasing capacity			**Key risk indicator :**Various KPIs including; TLRN CSS,TLRN Journey time reliability, Bus excess wait time, Scheduled Services Operated etc	Trend	⟷

Description: Increased congestion on TfL's network (across all modes of transports) impacts overall reliability and customer satisfaction. Causes include disruption to operational and investment programmes as well as reallocation of road space between uses and interchange with the TfL Rail Network.

Current Risk Status			Target Risk Status		
Significant impact on various KPIs e.g TLRN &bus CSS & TLRN Journey time reliability. Moderate impact: inappropriate R&U operating standards and processes. Lower risk impact due to inefficient diversity in the supply chain	KPI impact to be quantified	See quantified schedules for Financial Impact	Roll out of various programmes to improve disruption and to identify problems. Also to improve integration and accuracy.	KPI impact to be quantified	See quantified schedules for Financial Impact

Key Controls	Owner	Review Date* / Status	Key Actions	Owner	Due Date* / Status
Existing Bus priority measures and programme and Bus routes reliability measures.	Ben Plowden/ Mike Weston	Dec 2014	The £200m delivery portfolio has been submitted to Surface Board; main components include Central London Road Modernisation, easing of key bus pinch points and high Quality Bus Priority Corridors.	Ben Plowden/ Mike Weston	Mar 2015
Journey time reliability (JTR) disruption due to planned events will be reduced through schemes impact assessment as well as improved scheduling of works.	Alan Bristow	Dec 2014	JTR Action Plan: 10 Critical worst performing London Congestion Analysis Projects in each area are being targeted by Outcome Delivery (OD) Corridor Teams. The results are reviewed periodically.	Alan Bristow	May 2015
			Development and implementation of Freight Strategies	Ben Plowden	TBC
The Tunnels and Structures programme has been added into the road space assessment as a hot-spot assessment involving work with Planned Interventions and Utilities.	Dana Skelley	Dec 2014	SITS - Phase 2 is now underway to look at the delivery options and choose a preferred option ahead of the next business case submission in Spring 2015.	Alan Bristow	Mar 2015
Early warning of supplier failure as well as provision of standard terms of contract to protect Intellectual property rights, change of control, termination rights and performance.	Sarah Atkins	Dec 2014	Implement the Commercial Capability Programme, ensure there is supply chain management[7], supplier relationship management[8], and new collaboration tools available to Commercial teams.[9]	Sarah Atkins	Feb 2015[7] Aug 2015[8] Oct 2015[9]
Supplier selection processes to support procurement agents in assessing the market and selecting suppliers. There should also be regular performance reviews of key suppliers.	Sarah Atkins	Dec 2014			
Audit of controls and the management system[3] and asset integration controls within a whole life asset management approach and business contingency & resilience planning.[4]	C.Walker/K.Dunning/N. Brown	As agreed[3] Dec 2014[4]	Deliver the Predict and Prevent[10] and Reliability and Safety Programmes.[11]	K.Dunning/G.Mcnulty/Nick Brown	Jan 2015 [10] Mar 2015[11]
LUCC operates 24/7 ensuring a response is available for all incidents on the R&U network.	Nick Brown	Dec 2014	*Delivery of Night Tube*	Nick Brown	Sep 2015
Produce the LANP (Line Asset Network Plan), development of a 24 month rolling resource scheduling plan[5] and a BMR review of activity against the agreed plan.[6]	Nick Brown	Annual[5] Dec 2014[6]	Deliver the Fit for the Future Stations to simplify the model at stations so that staff are more visible and able to respond to customers needs quickly.	Nick Brown	Feb 2016

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Transport for London – Strategic Risk Register

| TFL06: Targeting Continued Improvement | | | Owner: Ben Plowden | | Assessed | Quarter 3 |

Strategic objective: Improved environment, more & safer cycling, reduced casualties

Key risk indicator :TLRN Cycling index, Nox emission from bus fleet, KSI London–wide

Trend — ↔

Description: Inability to meet targets set by external stakeholders resulting in loss of reputation and/or fines. Target include: Mayor's target for "more and safer cycling" and reduced casualties as well as EU air quality targets.

Current Risk Status Medium risk due to impact on KPIs: e.g TfL Road Network (TLRN) Cycling index, cycle hire numbers, NOx emission from buses, killed or seriously injured (KSI) London Wide etc.	KPI impact to be quantified	See quantified schedules for Financial Impact	**Target Risk Status** Addressing target through Central London cycle grid, Quiet ways, Road Safety Action Plan and delivery of more efficient buses.	KPI impact to be quantified	See quantified schedules for Financial Impact
Key Controls	Owner	Review Date* / Status	**Key Actions**	Owner	Due Date* / Status
Review of cycling portfolio.	Ben Plowden	Annual	Implementation of key TfL & Borough infrastructures. TfL: Cycle Superhighways & Better Junctions. Borough: Central London Grid, Mini Holland & Quietways.	Ben Plowden	Mar 2015
Ongoing engagement with Defra, DfT, Society of Motor Manufactures and Traders (SMMT), Taxi Industry (zero emission Taxi) and Office Low Emission Vehicles to address agenda.	Ben Plowden	As required	Retrofitting Program – The DfT has awarded a £500k contribution to TfL to increase the number of Euro 3 buses retrofitted with selective catalytic reduction (SCR) from 1,400 to 1,800 by 2015	Mike Weston	Mar 2015
Engagement with Taxi industry to produce zero emission taxi	Ben Plowden	As required	*HyBrid Bus rollout Programme - Target of 1,700 by 2016 (including a revised target for 800 New Routemasters) introduced*	Mike Weston	Mar 2015
Engage with car clubs and car share industries.	Ben Plowden	As required	*Consider results of key consultations:* *Zero Emissions Capable Taxi consultation ends on 6 January 2015 as part of the ULEZ consultation which will finish early 2015.*	Ben Plowdon	Mar 2015
Research into electric vehicles potential usage in commercial fleets to inform / prompt private sector investment in charging infrastructure.	Ben Plowden	As required	*A draft Car Club Strategy was presented to the Transport and Environment Committee (TEC) on 11 December.*	Ben Plowdon	Mar 2015

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Transport for London – Strategic Risk Register

TFL07: Major / Catastrophic incident			Owner: Dana Skelley/Mike Weston/Jill Collis		Assessed	**Quarter 3**
Strategic objective: Quality bus network and reliable roads, reliability and safety, customer service			**Key risk indicator** : UK Threat level, Category 1 defects made safe within 24 hrs, emergency call-out within 1 hour, planned assurance audits		Trend	⟷

Description: Lack of resilience to a major external event such as a terrorist incident which impacts on the integrity of infrastructure and/or ability to provide a core service. This could have a long term impact on public confidence in using the network and lead to reduction in revenue. Major incident or accident that results in fatalities or multiple serious injuries to the travelling public, staff and damage to TfL assets.

Current Risk Status Risk drivers - Medium impact due to potential adverse effects on KPIs including safety, security. There are health, safety and environment incidents due to asset failure or an external event.	KPI impact to be quantified	See quantified schedules for Financial Impact	**Target Risk Status** Addressing target through Central London cycle grid, Quiet ways, Road Safety Action Plan and delivery of more efficient buses.	KPI impact to be quantified	See quantified schedules for Financial Impact
Key Controls	Owner	Review Date* / Status	**Key Actions**	Owner	Due Date* / Status
Work with the Metropolitan Police Services (MPS) to ensure that all of TfL's priorities and service requirements are met.	Steve Burton	Ongoing	The Road Transport Policing Command (RTPC) went live 1 December 2014.	Steve Burton	Complete
Intelligence and liaison with police and security services to determine security risk assessment.	Nick Brown	Dec 2014			
London Buses has put contingency plans in place for a range of anticipated incident scenarios as part of business as usual planning for disruption. Annual and regular review and exercising of plans.	Mike Weston	Dec 2014	Actions and improvements identified as part of the Gate P report are in progress. The Asset Management Improvement Plan (AMIP) is to be produced by May / June 2015.	Dana Skelley	Jun 2015
Manage arising disruption with business as usual practices and contingency arrangements.	Mike Weston	As required	Renew assets such as Major Bridge and Tunnel Works and work with London Boroughs and other partners.	Dana Skelley	Mar 2015
Ensure Safety is integrated into all business processes and avoid complacency.	Mike Weston	Dec 2014	Develop a Procedural Blueprint that will align with outcome of strategic review of capacity to identify areas of deficiency and outline timelines, responsibilities, etc.	Mike Weston	Dec 2015
Training programme to up skill managers and enable an up to date risk assessment of operational assets. Health & Safety Standards - robust health safety procedures have been implemented to mitigate this risk.	Mike Weston	Dec 2014			
London Underground Control Centre (LUCC) operates 24/7 ensuring a response is available for all incidents on the R&U network.	Richard Jones	Dec 2014	Produce prioritised action plan based on the findings of the Safety Management System maturity assessment.	Jill Collis	Jun 2016
Bi -annual Health, Safety & Environment (HSE) management system review	Ian Gaskin/ Amanda Hopkins	Dec 2014	*Delivery of extreme weather report and analysis highlighting potential affects on service delivery*	Jill Collis	Jul 2015
			Development of a programme to enhance the capabilities of command, control and communications across R&U including LUCC, improving day to day management of incidents.	Jill Collis	Apr 2015

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*Due Date is the data the action is aimed to be completed by.