Audit and Assurance Committee

Date: 16 June 2015

Item: Strategic Risk Management Update - Quarter 4

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 Strategic Risks and proposed mitigations at the end of Quarter 4, through discussion of the Strategic Risk Register.

1.2 A further paper will be considered in Part 2 of the agenda which contains exempt supplemental information. Subject to the decision of the Committee, that paper is exempt and is therefore not for publication to the public or press by virtue of paragraph 3 of Schedule 12A of the Local Government Act 1972 in that it contains information relating to the business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.

1.3 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 Managing Director, Finance and Business Area Directors have agreed an approach to ensure continuous improvement of current strategic risk reporting.

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.

    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   Risk Management Training

4.1   Risk Managers in the business areas agree that Risk Management Awareness Training should be made compulsory for key staff. The risk managers in each area have submitted a list of the staff that are considered to be key to the risk management within the business. As the current training sessions are due to end in July 2015, the SRMP are investigating the best method to deliver the remaining training.

5   Cyber Security Risk

5.1   It is intended that TfL Cyber Security Risk will be updated during the Q4 Audit and Assurance Strategic Risk Meeting. The Chief Information Officer will be attending to provide an update on the current risks.

6   Q4 Strategic Risk Register Update

6.1   During Q4 2014/15, the risks that fed into the SRR were assessed as part of the Business Areas quarterly forecast reviews. New items or changes on the SRR are highlighted in blue for ease of reading.

6.2   There has been no change to Current Risk Status during Q4 and as such the risk trend remains static on all risks. Summary as follows:

TFL01	Maintaining 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 improvements (set by external stakeholders)	M
TFL07	One-off serious incidents	M

6.3   There have been various changes during Q4 to help mitigate these risks e.g. new controls and actions have been added by the business areas.

6.4   The mitigations associated with four risks in particular have been changed, as follows:

TFL02: People Risk (Inc. Pensions - Industrial Relations)

6.5   To ensure TfL provides the best service to its customers, Human Resources must deliver the objectives of TfL's People Strategy which include knowledge retention, employment of scarce resources, development of staff and staff retention, particularly as the UK economy recovers. Two additional controls are in place to help mitigate against this risk:

a)   Staff training in people management; and

b)   An Organisational Change team is now a control on SRR.

6.6   Two actions have been completed during Q4 to help mitigate the risk of not delivering the People Strategy as follows:

a)   Enhance the Organisational Change Capability to give managers the support they need to deliver key changes; and

b)   Cass Executive Education modules delivered to Director groups 1-4 with leadership challenge panel reviews completed.

6.7   Additionally a new action has been taken to mitigate the risk of not delivering the People Strategy:

a)   Employee relations strategy three to five year implementation plan to be developed.

TFL03: Delivery of Capital Investment Portfolio

6.8   TFL03 describes the risk of projects and programmes not being delivered on time, budget or delivering expected benefits. To help mitigate the risk there is a new control added:

a)   Supply chain intelligence - early warning of supplier failure through monitoring critical supplier financial health, capacity and payment performance.

6.9   Additionally three new actions are scheduled to help mitigate against the capital investment portfolio not being delivered and are as follows:

a)   Embedding workforce planning actions following a successful completion of a pilot;

b)   A PPD Capability Improvement programme is now underway, utilising industry and TfL best practice models; and

c)   Complete visibility of CPD portfolio to enable early identification of project deliverability risks.

TFL05: Disruption to Quality of Services

6.10 TFL05 describes the risk of disruption to TfL's network (across all modes of transport) impacting overall reliability and customer satisfaction. Four new actions are in place to help mitigate against this risk:

a)   Developing quick wins as part of the initial phase of the bus priority programme;

b)   Rollout of 80 TfL Roads and Transport Enforcement Officers, to focus on the road network, addressing areas at risk of congestion;

c)   Embedding commercial techniques from the IUK Project Initiation Roadmap into the TfL project procurement approach; and

d)   Approval of the Predict and Preventative portfolio.

TFL06: Targeting Continued Improvement

6.11   TFL06 describes TfL's inability to meet targets set by external stakeholders resulting in the loss of reputation and/or fines. One of the targets is EU air quality and there is a new control to help mitigate against this risk:

a)   Mayor's Air Quality Plan now has three schemes finished with a further 31 schemes to be completed in 2015/16 and publication of new guidance in 2016/17.

6.12   There are also targets around road safety and three additional actions are now in place to mitigate against these targets:

a)   Development of case studies demonstrating how consolidation can work effectively for businesses, contributing to reduced congestion and emissions, and reducing the risk of collision in peak periods;

b)   Implementation of actions outlined in the Mayor's Road Safety Action Plan and implementation of actions outlined in Cycle, Pedestrian, Motorcycle Safety Action Plan; and

c)   Research into young driver fatal and serious injury, serious cyclist and pedestrian injuries, road safety technology trial.

6.13   The SRR can be found in Appendix 1

List of appendices to this report:

Appendix 1 – Q4 TfL Strategic Risk Register

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Transport for London – Strategic Risk Register

TFL01 : Maintaining a long term strategic, balanced plan	Owner: Steve Allen	Assessed	Quarter 4

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 Patrick Doig	As required	On-going contingency planning to develop scenario and alternatives to generate feasible solutions.	Steve Allen Andrew Pollins Patrick Doig	Jun 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 Patrick Doig	Annual	*On-going work to prioritise activities for protection in the case of a reduced funding scenario.*	Steve Allen Andrew Pollins Patrick Doig	On-going
TfL Business Planning Process	Steve Allen Andrew Pollins 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	Jul 2015
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 Patrick Doig	Quarterly	Undertake quarterly forecast meetings with the business areas to review and challenge forecasts.	Steve Allen Andrew Pollins Patrick Doig	Jun 2015
Management contingency and risk allowance for major projects, informed by Quarterly Risk Assessments (QRA) and quarterly risk reviews.	Steve Allen Andrew Pollins Patrick Doig	Quarterly			
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	On-going	*Programme governance set up to drive commercial agreements and delivery plans*	Graeme Craig	May 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	Annual			
Flexibility with regards to sites offered on the market, thereby optimising the Over Station development returns in the future.	Steve Allen	On-going			
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	On-going			

*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.

Appendix 1

TFL02 : People Risk (inc. Pensions - Industrial Relations)   Owner: Tricia Riley   Assessed | Quarter 4 |

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	Sep 2015
Staff training in people management	Tricia Riley	Ongoing	Implementation of a new Performance Management system (manual at present, however, an IT system is being developed) to include documentation, guidance and behavioural framework to assist managers to manage the performance of their staff across TfL. This system has been rolled out across Corporate and Surface. Rail and Underground have been consulted for implementation and the system will be rolled out for non-operational staff in April. The online system will be piloted with Graduates before rolling out to the wider TfL community.	Tricia Riley	Apr 2016
External benchmarking to monitor performance against appropriate organisations to identify opportunities for improvement e.g. salary benchmarking	Stephen Field	Annual	Roll out and implementation of the Managing Essentials programme	Tricia Riley	2017/18
Organisational Change Team in place to support managers during organisational change	Tricia Riley	Ongoing	TfL senior management programme & roll out	Tricia Riley	Nov 2016
			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 2016
			Employee relations strategy 3-5 year implementation plan to be developed	Tricia Riley	Sep 2015
Company Council & Consultations Groups for TfL and Trade Unions to discuss matters of mutual interest.	Tricia Riley	Quarterly	Review of Industrial Relations Strategy and development of a 3-5 year plan	Tricia Riley	Sep 2015
Regular reports from franchise/concession operators on the status of relationship with Trade Unions, ballots and pay negotiations.	Tricia Riley	Ongoing			
Maintain links with other external organisations to monitor industry trends and developments impacting industrial relations	Tricia Riley	Ongoing			
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	Ongoing	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	Ongoing	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	Ongoing			

*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.

TFL03 : Delivery of capital investment portfolio | Owner: Nick Fairholme / David Waboso | Assessed | Quarter 4

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				Target 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		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	Quarterly	A pilot of workforce planning has been completed and actions are now been taken to embed this process.		Patrick Doig	Sep 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
Thorough director review of projects and milestones including programme boards, Surface board and R&U board.	Leon Daniels/David Waboso	Periodic	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	Jun 2015
Review of Project dashboards and milestones; progress of projects reviewed to identify any potential slippage or risk to delivery.	Nick Fairholme	Periodic	A PPD Capability Improvement Programme is underway utilising industry best practice models and TfL best practice.		Nick Fairholme	Jun 2015
Independent oversight of the investment programme by the PMO including peer and external stage gate reviews	Programme Directors	Periodic				
Automative Train Control retender, enhanced governance and support through the establishment of a steering with senior involvement.	David Waboso	Periodic	Intensive and senior level reviews and engagement with Thales for solution		David Waboso	Jun 2015
Mitigate against failures of key suppliers through regular performance reviews	Programme Directors	Periodic	Working with London Councils to support Borough resourcing.		Dana Skelley & Ben Plowden	Jun 2015
Supply chain intelligence – early warning of supplier failure through monitoring critical supplier financial health, capacity and payment performance	David Waboso	Periodic	Obtain complete visability of CPD portfolio to enable early identification of deliverability risks for projects		David Waboso	Aug 2015

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

Transport for London - Strategic Risk Register

TFL04 : Technology Risk	Owner: Shashi Verma/ Steve Allen	Assessed	Quarter 4

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	Quarterly	*Undertake analysis of IM services to assess criticality/financial impact of cyber security risk*	Steve Townsend	Oct 2015
Implement and maintain a dual Data Centre Strategy.	Steve Townsend	Quarterly	*Create a pan-TfL Security Competency*	Steve Townsend	Jul 2015
Continue to develop and implement remediation plans from the security gap analysis.	Steve Townsend	Quarterly	*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	Periodic	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	Ongoing			
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	Ongoing			
Robust change management procedures to mitigate risk of uncontrolled change.	Shashi Verma	Ongoing			
Ensure that all bulk hot list changes have release plans to be assured and approved by TfL.	Shashi Verma	Ongoing			
Contract Service Level Agreement in place with Cubic for updated card status list to be received by readers within an hour. This ensures that invalid cards cannot be used for more than one journey.	Shashi Verma	Ongoing			
Contactless cards users' data protected by single sign-on, providing more security when logging onto the TfL website.	Shashi Verma	Ongoing			

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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 4**

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	KPI impact to be quantified	See quantified schedules for Financial Impact	Target Risk Status	KPI impact to be quantified	See quantified schedules for Financial Impact
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 insufficient 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.	Mike Weston	Periodic	Early quick wins are being developed as part of the initial phase of £200 million bus priority programme for 2015/16. The main elements of the full programme will be (i) Central London Road Modernisation (ii) Easing of key bus pinch points and (iii) High Quality Bus Priority Corridors.	Mike Weston	Jul 2015
Journey time reliability (JTR) deterioration minimised or avoided by through schemes impact assessment Traffic Signals Secondary Report (TSSR). JTR impacts from planned works and events controlled through coordination and permitting of works and weekly Operational Assurance meeting to review expected impacts of planned events and manage accordingly.	Alan Bristow	Periodic	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	Jun 2015
			Development and implementation of Freight Strategies	Ben Plowden	Jun 2015
			Rollout of 80 TfL Roads and Transport Enforcement Officers focused on the road network initially to address areas at risk of congestion.	Steve Burton	Jun 2015
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	Periodic	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	Jun 2015
Supply chain intelligence - early warning of supplier failure, insolvency or change in ownership, monitoring critical supplier financial health, capacity and payment performance.	Sarah Atkins	Periodic	Implement the Commercial Capability Programme, ensure there is supplier relationship management	Sarah Atkins	Aug 2015
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	Periodic	Embedding the early commercial techniques from the IUK Project Initiation Routemap into TfL project procurement approach	Sarah Atkins	Sep 2015
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/S. Griffiths	As agreed[3] Ongoing[4]			
LUCC operates 24/7 ensuring a response is available for all incidents on the R&U network.	Steve Griffiths	Periodic	Delivery of Night Tube	Steve Griffiths	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]	Steve Griffiths	Annual[5] Ongoing[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.	Steve Griffiths	Feb 2016

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

TFL06: Targeting Continued Improvement			Owner: Ben Plowden	Assessed	Quarter 4
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	Jun 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	Jun 2015
Engagement with Car Clubs and Car share industries.	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	Jun 2015
Mayor's Air Quality Plan - First year of programme complete, with three schemes finished. 31 further schemes to complete in 2015/16, as well as publication of new guidance for 2016/17.	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	Jun 2015
Research into electric vehicles potential usage in commercial fleets to inform / prompt private sector investment in charging infrastructure.	Ben Plowden	As required	*Started development on 14 case studies demonstrating how consolidation in its many different forms can work effectively for businesses, contributing to reduced congestion and emissions, and reducing the risk of collisions particularly in peak periods.*	Ben Plowdon	Jun 2015
Construction Logistics and Cycle Safety and Work related Road Risk (WRRR) projects. Implement Road Safety Plan programme through Surface Planning, Delivery teams and liaison with the boroughs.	Ben Plowden	As required	*Implementation of the actions outlined in the Mayor's Road Safety Action Plan. Implementation of actions outlined in the Cycle, Pedestrian, Motorcycle Safety Action Plan.*	Ben Plowdon	Jun 2015
Implement Road Safety Plan programme through Surface Planning, Delivery teams and liaison with the boroughs.	Ben Plowden	As required	*Conducting research: Young Driver Fatal and serious injury study. Serious Cyclist and Pedestrian injuries research. Road Safety Technology trial (Bus optical /radar)*	Ben Plowdon	Oct 2015
Continued political and officer engagement to raise the profile of road safety with the boroughs, and urge them to prioritise effective investment through the LIPs.	Ben Plowden	As required			
Established an external and internal governance framework to ensure the road safety portfolio is on-track, balanced, and delivered with the support of key partners.	Ben Plowden	As required			
*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.					

TFL07: Major / Catastrophic incident			Owner: Dana Skelley/Mike Weston/Jill Collis		Assessed	Quarter 4

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
Operational plans for police and TfL's on-street enforcement officers include response deployment plans for major unplanned incidents. Plans are kept under review.	Steve Burton	Ongoing	Business Continuity Managers have established an annual work plan that specifies training, exercising, technical tests, plan review targets and milestones.	Garrett Emmerson	Sep 2015
Intelligence and liaison with police and security services to determine security risk assessment.	Steve Griffiths	Ongoing			
Audit of Client inspection procedures will be conducted under PAS 55 scope. Undertake external audit of Structures inspection regime and focus on structures below good 'criteria'	Dana Skelley	Completed	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	Jun 2015
Ensure Safety is integrated into all business processes and avoid complacency.	Mike Weston	Periodic	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	Periodic			
London Underground Control Centre (LUCC) operates 24/7 ensuring a response is available for all incidents on the R&U network.	Richard Jones	Periodic	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	Jun 2016	Delivery of extreme weather report and analysis highlighting potential affects on service delivery	Jill Collis	Jul 2015
			Strategic review of future requirements to enhance the capabilities of command, control, coordination and communications across R&U including LUCC, improving day to day management of incidents and growing our capability to predict and prevent service disruption undertaken and presented to RULM.	Steve Griffiths / Jill Collis	Jul 2015

*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.