Enterprise Risk Prevention and Management Program

Risk Prevention and Management Program
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HELP
#EndTheStreakTX

End the streak of daily deaths on Texas roadways.

TxDOT.gov (Keyword: #EndTheStreakTX)

#EndTheStreakTX Toolkit

RPM is an **internal program** that proactively identifies agency wide risks through the review of laws, rules, regulations, policies, and procedures.

RPM facilitates conversations with subject matter experts (SMEs) through work groups to analyze and prioritize risks by the **significance** of a risk and **probability** of that risk occurring.
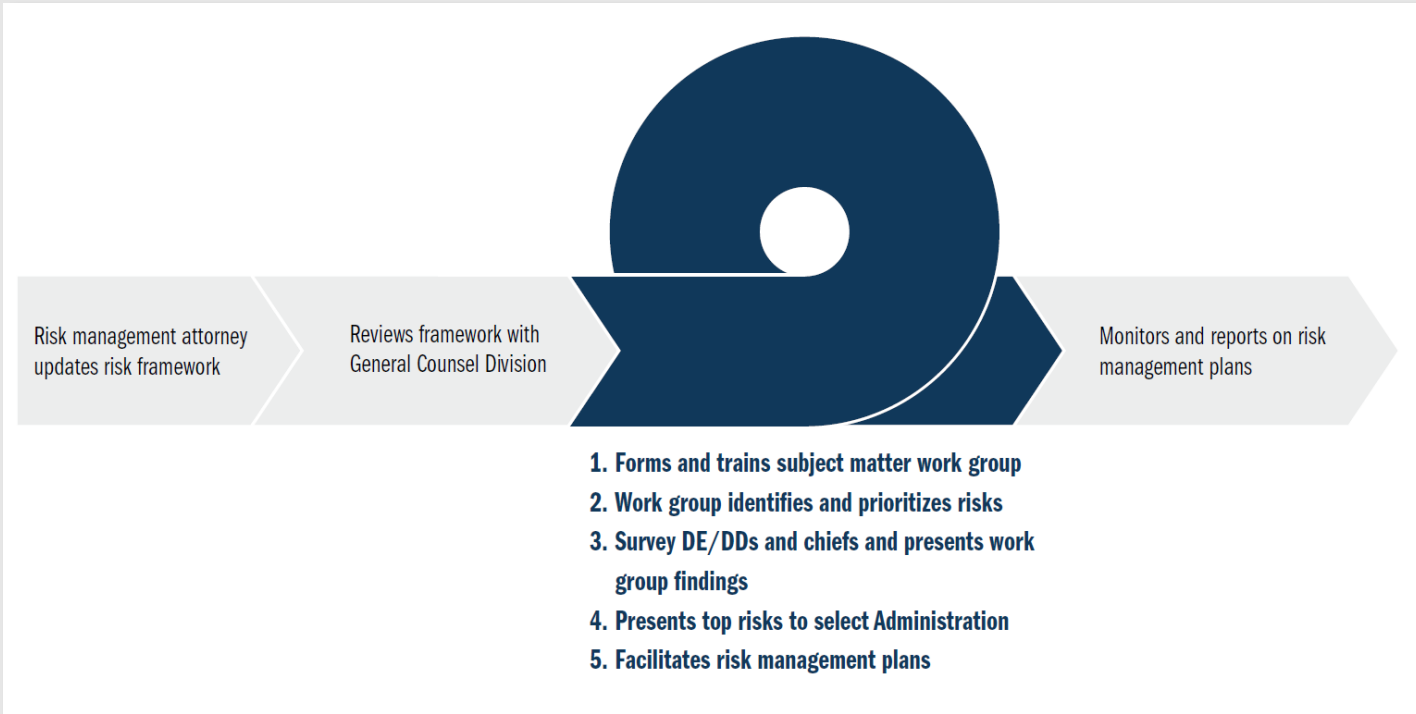
SMEs assess current controls and develop **mitigation plans** to reduce or eliminate identified risks.

Subjects include Assets, Contracts, Corporate Governance, Environmental, Finance, Grant Management, Information Management, Planning and Execution, and Safety.

- ✓ Proactive approach to identifying solutions
- ✓ Cross-functional collaboration
- ✓ Addressing potential threats or risks before they become problems and reducing their impact
- ✓ Increased safety for employees and the public
- ✓ Cost savings
- ✓ Improved public perception of TxDOT
- ✓ Business process improvements

RPM Process

Risk management attorney updates risk framework

Reviews framework with General Counsel Division

1. Forms and trains subject matter work group
2. Work group identifies and prioritizes risks
3. Survey DE/DDs and chiefs and presents work group findings
4. Presents top risks to select Administration
5. Facilitates risk management plans

Monitors and reports on risk management plans

Subject Work Group Process

1. Risk Prevention and Management Orientation with SMEs.
2. Work Group facilitation with SMEs to review the risk framework/ survey of laws.
3. Analyze each law, rule, or regulation.

Risk ID	Relevant Law/Policy	Division/District	Function	Description of Risk	Risk Category	Risk Impact	Risk Likelihood
Unique Risk Identifier	Link to law, rule, regulation, policy, or procedure	Risk Owner	Functional area the law/policy/regulation affects	Description/nature of the risk and actions contributing to the risk including stakeholders and their expectations.	Noncompliance, Operational Risk, Financial Risk, Safety Risk, Risk of Altered Legislative Perception, Risk of Litigation, Strategic Risk	Score 1-5 (Negligible (1), Minor (2), Moderate (3), Major (4), Critical (5))	Score 1-5 (Exceptionally Rare/Unlikely (1), Rare (2), Possible (3), Probable (4), Almost Certain/Imminent (5))
S-30	Bridge Inspection Manual Chapter 6	BRG					
S-31	23 CFR 650.315	BRG					
S-32	23 CFR 630 Subpart J	TRF					
S-33	29 CFR Part 1910	OCC					

    a. Ask, "Are we in compliance?" and "What is the risk if we were not in compliance?"

    b. Assess current controls.

    c. Determine the impact of noncompliance on a scale of 1 (low) to 5 (high).

    d. Determine the likelihood of the risk occurring on a scale of 1 (low) to 5 (high).

4. Develop mitigation plans or process improvements for overall high-risk items or those identified as necessary by SMEs.
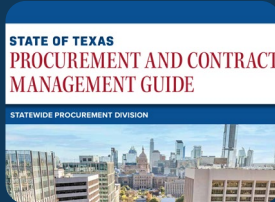
STR-RPM Collaboration
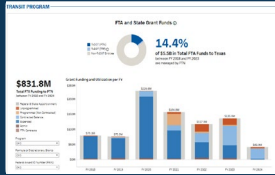
Grants Management Dashboard

- Scoping project that resulted from a conversation with Director of Planning and Modal Programs.
- RPM completed interviews and collaborated with the Transportation Performance Management Team who is establishing a series of dashboards for the modal divisions providing insight on the "grant story".

AI Risk Framework

- Additional project assignment.
- RPM adopted the National Institute of Technology Standards (NIST) AI Risk Framework (AI 1.0) and modified it to TxDOT's culture. RPM collaborated with the Digital Roadway Data Branch and ITD to establish the framework and begin implementation.

Certified Texas Contract Manager

- Monica CTCM in 2020, Kelly CTCD in 2023 in preparation for the Contracts Work Group.
- RPM is collaborating with the Contracts Management Team on developing material and managing contracts.