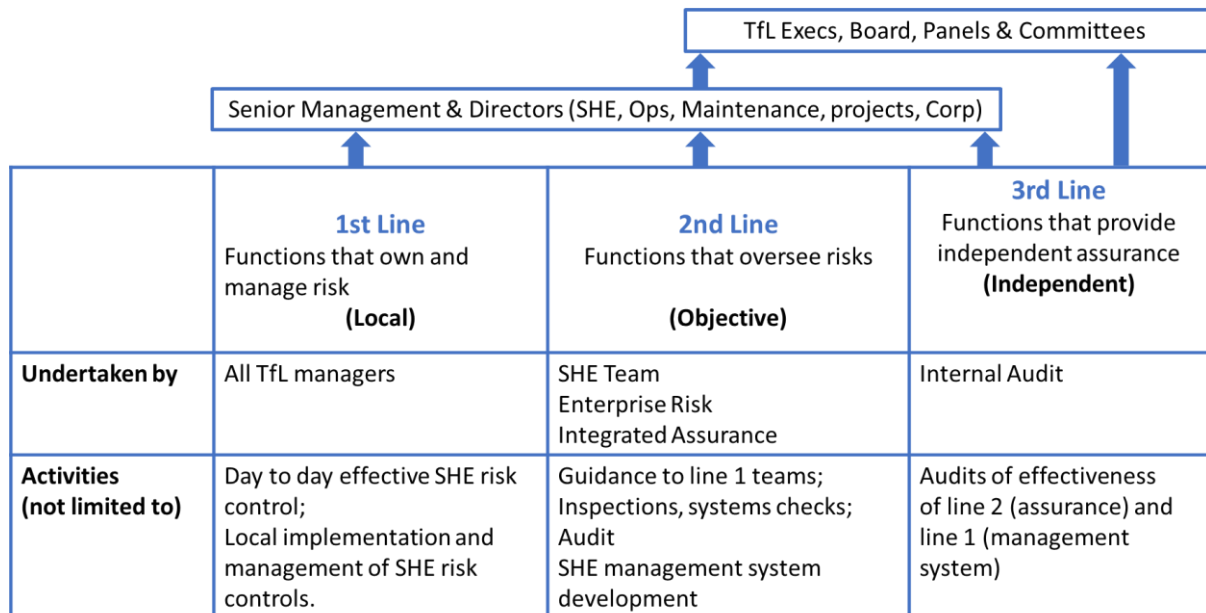


## Appendix 1 – Three Lines Model of Assurance (as applied to SHE)

- 1 All assurance in TfL, including SHE, is based on the three lines model as outlined in the TfL Enterprise Risk Management Framework which is supported by the TfL Enterprise Risk Management Policy.
- 2 Local management teams remain accountable for first line SHE assurance, with SHE support.
- 3 Risk oversight functions like the SHE Directorate, Integrated Assurance, TfL Engineering, Programme Management Office etc. are accountable for second line (objective) assurance.
- 4 Independent assurance functions, like the Internal Audit team, are accountable for third line assurance.

### SHE Specific Three Lines Model



- 5 Beyond the scope of internal assurance functions, regulators and enforcement authorities act as a de facto 'fourth line' of assurance.