

## **Appendix 1 – Integrated Approach to Assurance of Crossrail Transition into TfL**

### **1 Introduction**

- 1.1 This paper, prepared jointly by LoD2 and LoD3, sets out the response to the action from the 17 March 2021 Audit and Assurance Committee meeting as summarised below.

#### **Integrated Assurance Plan 2021/22**

Staff to consider how best assurance work on Enterprise Risk 14 (The Opening of the Elizabeth Line) could be integrated as part of the transition phase of Crossrail into TfL.

- 1.2 This progress update sets out how the assurance organisation is being further integrated and how the integrated assurance will approach the transition of Crossrail into TfL.

### **2 Integrated Approach to Assurance**

#### Organisational Arrangements

- 2.1 The transition of Crossrail's LoD2/Project and Programme Assurance (PPA) function has already commenced with reporting to TfL's Director of Risk and Assurance. The Crossrail Chief Finance Officer and Executive Team will continue to receive Programme Assurance support and reporting as previously.
- 2.2 The role of the transitioned assurance function will expand, seeing both LoD2 and LoD3 encompass the wider Elizabeth line related organisations and functions beyond the immediate Crossrail project and interfaces, to include:
- (a) RfL;
  - (b) RfLi;
  - (c) LU;
  - (d) Other units of TfL where relevant; and
  - (e) Engagement as required with Network Rail, MTR, and key suppliers such as Alstom and Siemens.
- 2.3 The transition of this function will apply the following principles:
- (f) Assurance will be delivered by the most appropriate party within the three lines model;
  - (g) The Crossrail Assurance Group (retitled ELPAG) will continue to provide coordination of assurance, now across the broader Elizabeth line organisation;
  - (h) Continue with the "real time" assurance supplemented by targeted reviews; and
  - (i) The target for completing the assurance transition is end-September 2021.

#### Proposed Lines of Enquiry

- 2.4 The approach to assurance of the principal stated risk 'Enterprise Risk 14 – The opening of the Elizabeth Line', as stated in the introduction to this paper, firstly

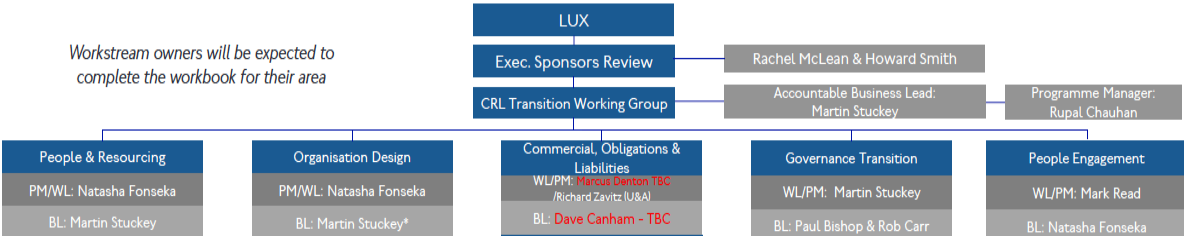
recognises the pertinent underpinning objectives relating to this risk as (in no particular order) being:

- (a) Completion of the required Crossrail project works;
- (b) Infrastructure Operations and Maintenance readiness;
- (c) Service Operations Readiness;
- (d) Rolling Stock Integration;
- (e) National Rail Network Integration;
- (f) Reliability and performance of the integrated railway system
- (g) Closeout of the Crossrail project; and
- (h) Transition of key staff, information, processes and procedures, and commercial, contractual and regulatory liabilities to TfL (or its pertinent operating companies).

2.5 To this end, with regard to items (a) to (g) above, the LoD2 and LoD3 functions will continue to operate based on the terms of engagement adopted to-date but with additional engagement in the areas of operations, rolling stock and the Network Rail interface. With regard to item (h) Transition, as identified in the Committee action, our proposed approach will pursue the following key lines of enquiry relating to the key risks as follows:

Transition of Crossrail people	To provide assurance that the controls around the transition of the Crossrail team are adequate and effective.
Transition of Crossrail assets	To provide assurance that the controls around the transition of Crossrail assets are adequate and effective – this will include TfL’s readiness to accept these assets.
Transition of Crossrail obligations	To provide assurance that the controls around the transition of Crossrail obligations are adequate and effective.

2.6 First steps in undertaking the transition of assurance work will be to propose Terms of Reference with the joint Crossrail – RfLI Transition Planning team and engage in regular progress review meetings to determine key sources of risk and adequacy of controls. Below is an extract from the Elizabeth Line Transition Working Group plan illustrating the main workstreams:



### 3 Conclusion

3.1 The above described plans and proposals will be incorporated into the updated Integrated Audit and Assurance Plan and form the basis of forward assurance delivery, coordination and reporting.