

## Appendix 1 – Integrated Assurance Audits Completed in Q2 against ER1 and ER12

Enterprise Risk	Directorate	Ref.	Audit Title	Objective	Conclusion	Priority Rating			Summary of Findings
						H	M	L	
ERo1 Major health, safety or environmental incident or crisis	Finance	21732	Commercial Development Estates Management HSE Compliance	To assess compliance with key parts of Safety, Health and Environment (SHE) management - Roles and Responsibilities, Construction Design and Management Regulations, Training and Competence, Incident Reporting and SHE Improvement Plan.	PC	2	16	0	Roles and responsibilities were not always clearly defined in management procedures and/or all controls implemented consistently, resulting in potential legal non-compliances.
ERo1 Major health, safety or environmental incident or crisis	London Underground	21731	LU Operational Communications	To assess whether the revised arrangements for monitoring the standard of London Underground (LU) Operational Communications are being complied with and are delivering an improvement in operational communications standards in practice.	RI	2	4	0	The standard requirements were not fully complied with by the Communication Review Groups and SHE teams providing assurance. Management systems are in place, but in certain areas they have yet to be implemented due to coronavirus related issues.
ERo1 Major health, safety or environmental incident or crisis	London Underground	21733	L&E Engineering Temporary Works Coordinator	To examine compliance with internal standards on temporary works co-ordinator role which has recently changed to be the responsibility of Lift and Escalator Engineering.	RI	1	6	0	The internal standards on Temporary Works Coordinator and Temporary Works Supervisor roles, were not fully complied with by L&E Engineering. This could lead to the Temporary Works being set up incorrectly, with possible risk of failure and adverse impact on health and safety.

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Ro1 Major health, safety or environmental incident or crisis	London Underground	21 737	LU Apprentice Unit	To assess management of the LU Apprentice Unit with regards to competence, safety and safeguarding.	AC	0	3	1	Arrangements were found to be largely well defined, managers and apprentices well trained and records well maintained.
ERo1 Major health, safety or environmental incident or crisis	London Underground	21 736	Management of LU station tenants fire risk assessments (FRA)	To assess the level of compliance with the Fire Regulatory Reform Order (FRRO) risk assessment requirement amongst LU station tenants.	PC	2	10	0	Compliance with the FRA requirements of the FRRO 2005 and TfL procedures and guidance could not be fully demonstrated. The availability and quality of station tenants' FRAs, and the inadequate monitoring and assurance arrangements meant LU is not sufficiently aware of the risk from station tenants in order to manage the overall fire risk.
ERo1 Major health, safety or environmental incident or crisis	London Underground	21 749	LU Track Competence Management	To seek assurance that the Asset Operations track teams are demonstrably competent through the application of a robust Competence Management System.	RI	0	4	5	Elements of R2631 Safety Critical Licensing for Track Maintenance had not been fully implemented. Some of the issues raised during the audit have been previously identified and are planned to be resolved in the revised version.
ERo1 Major health, safety or environmental incident or crisis	Surface Transport	21 740	London Overground L&E Inspections and Assurance	To assess compliance against legislation and internal standards.	AC	0	1	1	Adequately Controlled – Statutory inspections of lifts and escalators were planned and completed with defects corrected.
ERo1 Major health, safety or environmental incident or crisis	London Underground Network Operations		Integrated systems audits of: Arnos Grove Area (21 701) District Line Service Control (21 717) Morden Area (21 715) Mile End Area	To provide assurance that key requirements contained in the Management System are being met.	Not Rated				See report text for trends reported to LU Network Operations.

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		(21 703)	LU Bakerloo and Victoria Track (21 725) Liverpool Street Area (21 706)						