

Appendix 1 – Integrated Assurance Audits Completed in Q3 against ER1 and ER12

Enterprise Risk	Directorate	Ref.	Audit Title	Objective	Conclusion	Priority Rating			Summary of Findings
						H	M	L	
ER01 Major health, safety or environmental incident or crisis	Surface Transport	21 735	ST Electrical Inspections	To assess whether inspection of electrical assets is in accordance with external requirements and guidance	PC	3	4	0	Compliance with the BS7671 requirements could not be fully demonstrated. There is a gap across the asset areas in data collection, information, recording, storage, and document management of reports/certificates. This could result in poor asset condition impacting on the safety and operability of the network.
ER12 Asset condition unable to support TfL outcomes	London Underground	21 748	LU Track Drainage Management	To examine compliance with the LU standard on track drainage management (S1502)	RI	1	4	2	Evidence was available to show that inspection and maintenance of known assets are being undertaken and recorded, although not all parts of the standard were complied with. Data gaps were identified within the track drainage asset area, but it was noted that these are known to the business and an action plan is already in place to address these.
ER01 Major health, safety or environmental incident or crisis	Surface Transport	21 741	Management of DLR Rolling Stock Assets and Configuration	To seek assurance that DLR Rolling Stock spares stores, are managed by Keolis Amey Docklands in accordance with the requirements in Beckton Stores Manual, using DLR METRO (MAXIMO) management system	RI	2	3	1	There is a high priority finding relating to the absence of a configuration management process for fleet assets and their associated systems. Medium priority findings included no records for a 6-monthly First-In-First Out stock rotation, and incomplete paperwork.
ER01 Major health, safety or environmental incident or crisis	London Underground	21 763	LU Rolling Stock Competence Management	To seek assurance that rolling stock maintainers are demonstrably competent through the application of a robust competent management system	RI	0	7	5	Elements of Ro623 Competence Management System and associated London Underground Skills Development management documents had not been fully implemented.

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ER01 Major health, safety or environmental incident or crisis	London Underground	21 744	LU Service Control Training and Competence	To assess compliance with training and competence requirements	RI	1	2	1	Requires Improvement - There are no Risk Based Training Needs Analysis documents in place for safety-critical service control staff, and there is a significant gap in the assurance of assessor competence. These are significant control gaps which could impact on the competency of service control staff. Medium priority issues were identified with management assurance activities and competence development plans.
ER12 Asset condition unable to support TfL outcomes	London Underground	21 743	LU Vegetation Management	To verify that the actions from the previous poorly controlled audits have been implemented	AC	0	1	0	This follow up audit identified an overall improvement on inspection reporting and the management of vegetation work orders.
ER01 Major health, safety or environmental incident or crisis	Surface Transport	21 746	Trams Infrastructure SHE Compliance	To assess compliance with HSE legislation and Trams SHE management system procedures	AC	0	4	1	Although several issues have been identified, the core risk management requirements of this audit have been satisfied. It is acknowledged that past/current COVID-19 and staffing issues have made compliance in some lower priority areas more challenging.
ER12 Asset condition unable to support TfL outcomes	London Underground	21 745	Fleet Heavy Overhaul Team process and procedures	To provide assurance that the fleet heavy overhaul has suitable and sufficient process and procedures to ensure asset quality	AC	0	0	1	Adequately Controlled – Engineering Changes of Fleet Heavy Overhaul assets were defined in management systems and records well maintained.
ER01 Major health, safety or environmental incident or crisis	Finance	21 771	Commercial Development Skills Centre SHE Compliance	To seek assurance that the Skills Centres are SHE compliant	WC	0	0	0	The roles and responsibilities of the various partners involved in supporting this construction skills initiative were clearly defined and compliant with SHE requirements.

Integrated Systems Audits

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ER01 Major health, safety or environmental incident or crisis	London Underground	21 704	Russell Square Area Integrated Systems Audit	To provide assurance that key requirements contained in the management system are being met	Not Rated	1	0	0	Conformance rate 72% - Significant issues related to DSE, lone working, system checks programme, planned general inspections (PGIs), asset checks, Fire Risk Assessment actions, evacuation drills, fire call point tests, control of keys, security checks, digital CCTV checks, night worker questionnaires, communications of rule book changes.
ER01 Major health, safety or environmental incident or crisis	London Underground	21 705	Marylebone Area Integrated Systems Audit	To provide assurance that key requirements contained in the management system are being met	Not Rated	1	0	0	Conformance rate 90% - Significant issues related to lone working, secure room checks, COVID-19 Assurance Checks, evacuation training and cleaners' key control.
ER01 Major health, safety or environmental incident or crisis	London Underground	21 707	Blackfriars Area Integrated Systems Audit	To provide assurance that key requirements contained in the management system are being met	Not Rated	1	0	0	Conformance Rate 65% - Issues related to risk assessments for medically restricted staff, lone working controls, systems check programme, PGI checklists, asset checks, platform edge camera checks, lift and escalator checks, COVID-19 Assurance Checks, Station Information Files, Track Layout Diagram Checks, DNA Swab Kits availability, station familiarisation, fire call point regimes, security checks, competence assurance, night worker health questionnaires.
ER01 Major health, safety or environmental incident or crisis	London Underground	21 726	LU Stonebridge Park Depot Integrated Systems Audit	To provide assurance that key requirements contained in the management system are being met	Not Rated	1	0	0	Conformance rate 75% - Significant issues related to chemicals, manual handling, vibration, PGIs, COVID-19 Checks, Night Worker Questionnaires, Fire Risk Assessments, Fire Drills, Pollution Prevention toolbox talks.

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ERo1 Major health, safety or environmental incident or crisis	London Underground	21 719	Jubilee Service Control Integrated Systems Audit	To provide assurance that key requirements contained in the management system are being met	Not Rated	0	1	0	Conformance Rate 68% - Issues related to Display Screen Equipment (DSE), medical restrictions risk assessments, PGI checklists, fire risk assessments actions and drills, emergency equipment checks and checks of the back up control room, night worker health questionnaires, communication of rule book changes, authorisation of shift plans in advance and quarterly financial systems checks.
ERo1 Major health, safety or environmental incident or crisis	London Underground	21 720	Stratford Traincrew Integrated Systems Audit	To provide assurance that key requirements contained in the management system are being met	Not Rated	0	0	1	Conformance rate 76% - Significant issues related to DSE, medical restrictions risk assessments, first aid boxes, traffic controller diagrams, Train Managers expired competence development plans, monitoring of periodic medicals, maintenance of notices cases and quarterly financial system checks.
ERo1 Major health, safety or environmental incident or crisis	London Underground	21 708	Westminster Area Integrated Systems Audit	To provide assurance that key requirements contained in the management system are being met	Not Rated	0	0	1	Conformance rate 73% - Significant issues related to overdue risk assessments, medical restriction risk assessments, lone working arrangements, PGI checklists, lift communications tests, station information files, checking of track layout diagrams, tenants familiarisation, digital CCTV logs, expired competence development plans, night worker health questionnaires.

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ER01 Major health, safety or environmental incident or crisis	London Underground	21 709	Vauxhall Area Integrated Systems Audit	To provide assurance that key requirements contained in the management system are being met	Not Rated	0	0	1	Conformance rate 74% - Significant issues related to expired workplace risk assessments, DSE, medical restrictions risk assessments, lone working arrangements, checks on secure rooms, lift comms tests, out of date Station Information files, station familiarisation, digital CCTV data logs, providing an assurance of competence, night worker health questionnaires, communication of rule book changes, ticketing and revenue controlled stationery.
ER01 Major health, safety or environmental incident or crisis	London Underground	21 727	LU Track District Integrated Systems Audit	To provide assurance that key requirements contained in the management system are being met	Not Rated	1	0	0	Conformance rate 58% - Significant issues related to medical restrictions risk assessments, PGI action tracking, COVID-19 assurance checks, approved driver training. There were a number of on site issues related to the competence file not being up to date, worksite briefings, checking of competencies and checks of vehicles. The Patrol Route Plans and prompt lists had not been reviewed annually and there was no process for the briefing of the plans to patrollers to be recorded.