

Date: 16 March 2022

Item: Elizabeth Line Programme Assurance Quarter 3 Report
2021/22

This paper will be considered in public

1 Summary

1.1 This paper provides an overview of programme assurance activity in relation to the Elizabeth line during Quarter 3 of 2021/22 (Q3).

2 Recommendation

2.1 The Committee is asked to note the paper.

3 Background

3.1 The Crossrail Integrated Assurance Framework (IAF) was established in June 2019, based on a Three Lines of Defence (3LoD) model comprising:

- (a) Line 1 - Management functions of Crossrail, Rail for London (Infrastructure) Limited and key interfaces;
- (b) Line 2 - Project and Programme Assurance Elizabeth line (PPA-EL); and
- (c) Line 3 - TfL Internal Audit and a sub-group of the Independent Investment Programme Advisory Group (IIPAG-EL).

3.2 This paper reports specifically on Line 2 (PPA-EL), Line 3 (Internal Audit) and Line 3 (IIPAG-EL) assurance progress.

3.3 The teams meet periodically with a panel of advisers and the Project Representative to ensure that assurance is carried out by the right team, at the right time and to avoid duplication and minimise overlap of effort.

3.4 A risk based Integrated Assurance and Audit Schedule is being developed for the next six months and will be discussed with key stakeholders before being submitted to the necessary groups and Committees for sign off.

4 Line 2 (PPA) Assurance

4.1 Excellent progress has been made since the last report and the Elizabeth line is progressing at pace, building confidence that the railway is nearing completion and getting closer to being ready for Revenue Service. The train and overall

system performance continues to build and there are still additional software drops and other interventions to further improve operational performance.

- 4.2 Line of Defence 2 (LoD2) Assurance continues to provide assurance on an ongoing continuous assurance basis as well as carrying out a series of Targeted Assurance Reviews on key areas where there are risks identified, which may impact upon Revenue Service and beyond. Formal reporting continues to be through the LoD2 Periodic Assurance Review (PAR) Reports.
- 4.3 Since the last meeting of the Committee, LoD2 has issued PAR Reports covering Periods 8, 9, 10 and 11 of 2021/22, which have provided input to the periodic Integrated Assurance Report to the Elizabeth Line Delivery Group and the Elizabeth Line Committee.
- 4.4 In relation to the timeline to complete, based upon our Period 11 assessment, it is the opinion of LoD2 assurance that whilst the schedule for bringing the Elizabeth line into Revenue Service is under pressure, considering the balance of risks, it is currently most likely to still be on-track to open within 'first half of 2022'.
- 4.5 Regarding cost to complete, current costs and financial commitments are still within the approved budget. Costs to complete the works remain under pressure but cost reduction works are ongoing, and contract close out negotiations with the Tier 1 Suppliers nears completion enabling all remaining costs to be fully understood and provisioned for.
- 4.6 On completion of the works, the project has continued to make significant progress since the last report, key progress highlights including:
 - (a) the introduction of a new release of Siemens software ELR110 during December 2021, and new train software H5.4 improving the overall system reliability performance;
 - (b) Trial Running in the Central Operating Section continues with increasing periods of 12 trains per hour;
 - (c) stations progress continues with the transfer of responsibility for Canary Wharf to the Infrastructure Manager Rail for London (Infrastructure), leaving only Bond Street remaining;
 - (d) maintenance productivity and access continue the trajectory to support projected Revenue Service requirements; and
 - (e) Trial Operations phase 2 with the first mass evacuations exercises having been completed and lessons learned for the Operations teams.
- 4.7 Key indicators of maintenance performance are being monitored to provide greater clarity around the average fault identification and diagnosis interval and the overall fault-to-fix cycle time, both of which are improving week on week.

5 Line 3 (TfL Internal Audit) Assurance

- 5.1 This section covers the Internal Audit activities that were agreed in the Integrated Assurance and Audit Schedule shared at the last meeting.

- 5.2 In Q3 no audit reports were issued, four audits are in progress and three audits are planned to commence in Quarter 4 of 2021/22 (Q4).

Audit Delivery

- 5.3 A full list of audits in progress at the end of Q3 is included as Appendix 1, work planned to start in Q4 is included as Appendix 2, and details of changes to the Audit Plan is included as Appendix 3.
- 5.4 A reprioritisation exercise was recently completed of the Audit Plan to ensure assurance was being provided against the relevant risks. As a result, four audits have been cancelled and two audits added, all of which are detailed in Appendix 3.
- 5.5 There has been an evident shift in the accountability of audits moving from Crossrail to cover all of the Elizabeth line. These have been reflected in the focus of new audits in Q4.

Management Actions

- 5.6 There are currently seven open actions that have only recently gone overdue. All are in the process of being followed up and are of no cause for concern.

6 Line 3 (IIPAG-EL) Assurance

- 6.1 The terms of reference of the IIPAG-EL sub-group require the group to provide a look ahead of its proposed areas of interest and work. The previous work plan has been completed and a revised list of areas of interest has been proposed as part of the revised Audit and Assurance Plan. This plan is maintained by LoD2 and reviewed within the Elizabeth Line Programme Assurance Group which is co-ordinated by LoD2/PPA. Progress with the IIPAG-EL's previous three main areas of focus is summarised as follows:
- (a) Baseline 1.2 (BL1.2) – the sub-group has received regular updates from LoD2, the Project Representative and other stakeholders, reviewing the logic and compliance to the programme. A number of suggestions have been put forward by IIPAG-EL to the Planning teams as they develop the next version of the baseline incorporating the detailed schedule to take us from Stage 3 (Revenue Service) to Stage 5b and 5c of the programme delivery.
 - (b) supporting the work of the Railway Assurance Board - the Integrated Technical Assurance Panel (ITAP) – the sub-group has engaged with ITAP, gaining an understanding of the planning arrangements and implications for closing out the remaining assurance dependencies. This continues to be a key area of focus for the Assurance team; and
 - (c) digital railway – the sub-group has completed its review of this area including an assessment of cyber security concerns.
- 6.2 The new targeted areas for IIPAG-EL will be included in the next Integrated Assurance and Audit Schedule mentioned above.

6.2 The overall assessment by LoD3 (IIPAG-EL sub-group) is that the overall assurance framework has continued to operate effectively over the last quarter.

7 Integrated Audit and Assurance Plan

The 3LoD IAF maintains an integrated plan of assurance activity coordinated through the Elizabeth Line Programme Assurance Group forum. The areas proposed to be covered from now in the lead up to Revenue Service and beyond until Stage 5b and 5c is currently being agreed across all stakeholders.

List of Appendices:

Appendix 1: Line 3 (TfL Internal Audit) Work in progress at the end of Q3 2021/22

Appendix 2: Line 3 (TfL Internal Audit) Work due to start in Q4 2021/22

Appendix 3: Line 3 (TfL Internal Audit) Changes to the 2021/22 Audit Plan

List of Background Papers:

None

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