

Date: 14 July 2022

Item: Elizabeth Line Programme Assurance Update

This paper will be considered in public

1 Summary

- 1.1 This paper reports on progress with programme assurance activity across the Elizabeth line during Quarter 1 (Q1) of 2022/23 (1 April to 25 June 2022).
- 1.2 A paper is included on the Part 2 agenda which contains supplementary information that is exempt from publication by virtue of paragraph 3 of Schedule 12A of the Local Government Act 1972 in that it contains information relating to the business affairs of TfL. Any discussion of that exempt information must take place after the press and public have been excluded from this meeting.

2 Recommendation

- 2.1 **The Committee is asked to note the paper and the exempt supplementary information in Part 2 of the agenda.**

3 Background

- 3.1 The Elizabeth line Integrated Assurance Framework (IAF) is 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 Line of Defence 3 (LoD3), to ensure that assurance is carried out by the right team, at the right time and to avoid duplication and minimise overlap of effort.

4 Line 2 (PPA) Assurance

- 4.1 Excellent progress has been made since the last report. Entry into Revenue Service was successfully achieved on 24 May 2022, and operational performance since then has been good with no significant delays to passenger services each day.

- 4.2 Based upon the Line of Defence 2 (LoD2) Period 2 assessment, and with the positive reliability performance trajectory, LoD2 support the decision for the Elizabeth line to target the next phase of Revenue Service to open in autumn this year. However, in order for Stage 5b minus to proceed, a solution for transition at Stratford is required as well as a final solution for auto-reverse, essential to support a 24 trains per hour railway at Stage 5b in December.
- 4.3 LoD2 Assurance has continued to provide assurance on an ongoing continuous basis as well as carrying out Targeted Assurance Reviews on key areas where there are risks identified, which may impact upon the later stages of Revenue Service (Stages 5b minus, 5b and 5c). Formal reporting continues to be through the LoD2 Periodic Assurance Review (PAR) Reports.
- 4.4 Since the last meeting of the Committee, LoD2 has issued PAR Reports covering Periods 1 and 2 of 2022/23 (1 April to 28 May 2022), which have provided input to the periodic Integrated Assurance Report to the Elizabeth Line Delivery Group and this Committee.
- 4.5 Regarding cost to complete, although potential new cost pressures continue to be prudently recognised in the Anticipated Final Crossrail Direct Cost (AFCDC) as they arise, the Programme has continued to maintain provision and contingency budgets. Actions are ongoing across all areas to identify opportunities to reduce the AFCDC and mitigate cost pressures.
- 4.6 The project has continued to make significant progress since the last report, key progress highlights include:
- (a) entry into Revenue Service on 24 May 2022 with successful operations continuing over the Queen's Jubilee celebration;
 - (b) the introduction of a new release of signalling software ELR201 on 11 June 2022, and new train software H5.7 continue to contribute to the improvements in the overall system reliability performance;
 - (c) station works continue at Bond Street working towards bringing into use in autumn 2022; and
 - (d) maintenance productivity and access continue to improve and support the projected Revenue Service requirements.
- 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.

5 Line 3 (TfL Internal Audit) Assurance

- 5.1 This section covers the Internal Audit activities that were agreed in the Integrated Audit and Assurance schedule shared on 24 March 2022.
- 5.2 In Q1 we issued one report, we have two in progress and there are three audits planned to commence in Quarter 2 of 2022/23 (Q2).

Audit Delivery

- 5.3 Summary information of the report issued in Q1 is set out below.
- 5.4 The Information Management and Transfer audit was rated as 'Requires Improvement'. Two high priority issues and one medium priority issue were raised. The high priority issues relate to the transfer of systems and information identified as part of the 2017 IT Transition Strategy not being managed as a formal programme, and governance arrangements for monitoring the programme of information transfer not being in place.
- 5.5 Audits in progress at the end of Q1 are included as Appendix 1, and work planned to start in Q2 is included as Appendix 2.

Management Actions

- 5.6 The team monitors the implementation of all Internal Audit management actions and confirms whether they have been adequately addressed. There are currently no overdue actions.

Changes to the Audit Plan

- 5.7 TfL Internal Audit regularly review and update the Audit Plan throughout the year, in liaison with management, to reflect changing business priorities. No changes to the Audit Plan have been made.

6 Line 3 (IIPAG-EL) Assurance

- 6.1 IIPAG-EL continue to focus on the key areas identified as part of the Integrated Audit and Assurance Schedule and supports the 'continuous assurance' process established by LoD3. This schedule is maintained by LoD2 and reviewed within the Elizabeth Line Programme Assurance Group which is co-ordinated by LoD2/PPA.
- 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.

List of Appendices:

Appendix 1: Line 3 (TfL Internal Audit) Work in progress at the end of Q1 2022/23
Appendix 2: Line 3 (TfL Internal Audit) Work due to start in Q2 2022/23

Exempt supplementary information is contained in a paper on Part 2 of the agenda.

List of Background Papers:

None

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