

## Appendix 1 – Quality, Safety and Security Assurance Audits Completed in Quarter 3 of 2022/23

### ER1 Inability to deliver safety objectives and obligations

Directorate	Ref.	Audit Title	Objective	Conclusion	Summary of Findings
<b>Network Management &amp; Resilience</b>	22 739	Street Safety Management of the Works for London Contract	To assess if safety duties are being appropriately discharged through the Works for London highways contract.	Well Controlled	The comprehensive nature of the contract (inspection, identification, and defect remediation) enabled the contractor to manage the risks efficiently and effectively. Records and data management were found to be efficient and compliant with the contract requirements. The operatives undertaking and recording safety inspection work were monitored and supported by the contractor.
<b>Rail &amp; Sponsored Services</b>	22 762	Trams Rolling Stock Depot SHE Compliance	To seek assurance that key Safety, Health and Environment (SHE) risks are controlled in accordance with legislation and management system requirements.	Well Controlled	The trams rolling stock depot was found to be managing and controlling key SHE risks/activities in accordance with the legislation and management system requirements.
<b>Asset Performance Delivery</b>	22 753	Supplier Audit - Cleshar Protection Services	To provide assurance that Cleshar are providing competent protection staff in accordance with contractual, Quality, Environmental, Safety and Health (QUENSH) and London Underground (LU) standards requirements.	Adequately Controlled	Cleshar was found to be managing and providing competent protection staff/support activities in accordance with the contract QUENSH conditions and LU standards. One issue was raised regarding internet access to TfL Standards and Rule Books.
<b>Asset Performance Delivery</b>	22 718	LU Maintenance Asbestos Management	To assess compliance in LU Asset Performance and Facilities with the Control of Asbestos Regulations 2012 through TfL's internal standards.	Requires Improvement	Full compliance with the proactive requirements of the TfL standard and LU procedures have not been achieved in relation to competency and monitoring. There were limited issues regarding asbestos surveys and information management and no issues regarding the reactive support role undertaken by the Hazardous Materials team for maintenance and minor works.
<b>Engineering and Asset Strategy</b>	22 766	Trams On Track Plant and Machines	To provide assurance that the approval and use of on track plant and machines is effectively controlled through compliant processes so that safety is not compromised.	Poorly Controlled	A number of non-conformances in relation to the requirements set out in the Trams On Track Plant acceptance and testing procedures were identified. Document control issues were identified along with the interpretation and implementation of the standards.

### Integrated Systems Audits

Directorate	Ref.	Audit Title	Objective	Conclusion	Summary of Findings
<b>Customer Operations - LU</b>	22 712	Morden Traincrew Integrated Systems Audit	To provide assurance that key requirements contained in the management system are being met.	Not Rated	59 per cent conformance, 22 Green, two Amber, 13 Red (compliant, minor non-compliance, major non-compliance).
<b>Asset Performance Delivery</b>	22 716	Stratford Fleet Depot Integrated Systems Audit	To provide assurance that key requirements contained in the management system are being met.	Not Rated	82.5 per cent conformance, 52 Green, one Amber, 10 Red (compliant, minor non-compliance, major non-compliance).
<b>Customer Operations - LU</b>	22 780	Marble Arch Area Integrated Systems Audit	To provide assurance that key requirements contained in the management system are being met.	Not Rated	54 per cent conformance, 30 Green, four Amber, 22 Red (compliant, minor non-compliance, major non-compliance).
<b>Customer Operations - LU</b>	22 779	Circle and Hammersmith Service Control Integrated Systems Audit	To provide assurance that key requirements contained in the management system are being met.	Not Rated	63 per cent conformance, 22 Green, zero Amber, 13 Red (compliant, minor non-compliance, major non-compliance).
<b>Customer Operations - LU</b>	22 778	Edgware Road Traincrew Depot Integrated Systems Audit	To provide assurance that key requirements contained in the management system are being met	Not Rated	58 per cent conformance, 19 Green, one Amber, 13 Red (compliant, minor non-compliance, major non-compliance).
<b>Customer Operations - LU</b>	22 776	Tower Hill Integrated Systems Audit	To provide assurance that key requirements contained in the management system are being met.	Not Rated	70 per cent conformance 40 Green, two Amber, 15 Red (compliant, minor non-compliance, major non-compliance).
<b>Customer Operations - LU</b>	22 777	Battersea Area Integrated Systems Audit	To provide assurance that key requirements contained in the management system are being met.	Not Rated	75 per cent conformance, 43 Green, one Amber, 13 Red (compliant, minor non-compliance, major non-compliance).

## ER3 Environment including climate adaptation

Directorate	Ref.	Audit Title	Objective	Conclusion	Summary of Findings
<b>Asset Performance Delivery</b>	22 770	Greenwich Power Station Greenhouse Gas Monitoring	To assess effectiveness of Greenwich Generating Station's arrangements for data monitoring and reporting of CO2 emissions for the UK Emissions Trading Scheme.	Well Controlled	There is no cause for concern, the data monitoring and reporting of CO2 emissions was well managed. The installation Annual Emissions Monitoring report was verified by Lucideon CICS Limited on 2 March 2022, this is in-line with the requirement of report submission on or before 31 March each year.
<b>Chief Operating Officer</b>	22 738	LU Environmental Risk Assessment	To provide assurance that management systems requirements for identifying and managing TfL's impacts on the environment are complied with.	Poorly Controlled	It could not be assured that risk assessments had been completed to identify relevant environmental risks, the associated controls and applicable regulations. A non-compliance with the SHE Management System requirements was identified relating to the management of TfL's environmental risks.
<b>Chief Operating Officer</b>	22 754	Buses and Trams Environment Risk Assessment	To provide assurance that management systems requirements for identifying and managing TfL's impacts on the environment are complied with.	Poorly Controlled	In Buses, it could not be assured that risk assessments had been completed to identify relevant environmental risks, the associated controls and applicable regulations. Trams had a suitable and sufficient 'Aspects and Impacts Register' in place.

## ER4 Significant security incident

Directorate	Ref.	Audit Title	Objective	Conclusion	Summary of Findings
<b>Network Management &amp; Resilience</b>	22 750	PCI DSS Compliance Audit: London Road User Charging and Traffic Enforcement Notification Processing	To seek assurance that the London Road User Charging and Traffic Enforcement Notification processing is operating in compliance with the Payment Card Industry Data Security Standards (PCI DSS) and additionally TfL's contractual obligations to its Acquiring Banks.	Adequately Controlled	The London Road User Charging and Traffic Enforcement Notification Processing was found to be compliance to the PCI DSS.
<b>Chief Operating Officer</b>	22 759	PCI DSS Compliance Audit: Section 50 (Road Space	To seek assurance that the Section 50 Licencing Unit is operating in compliance with PCI DSSv.3.2.1 and additionally TfL's contractual obligations to its Acquiring Banks.	Adequately Controlled	The Section 50 Licencing Unit was found to be operating in a compliant manner with the PCI DSS.

Directorate	Ref.	Audit Title	Objective	Conclusion	Summary of Findings
		Management - RSM)			
<b>Pan TfL</b>	21 776	TfL management of new protective security risks from initiatives	To seek assurance that protective security considerations are identified and appropriately controlled through the TfL Pathway Project Management System, to achieve compliance with legislative requirements.	Requires Improvement	There is a robust and proven project management methodology in Pathway. However, several of the project management products related to security requirements were found to be out of date and the security content of Pathway is not mandated or a 'core' product. This increases the risk that security risks may not be accurately identified and controlled.

### ER6 Deterioration of operational performance

Directorate	Ref.	Audit Title	Objective	Conclusion	Summary of Findings
<b>Rail &amp; Sponsored Services</b>	22 726	London Overground Track Asset Management	To provide assurance that key aspects of the management system for track assets are effective and complied with.	Adequately Controlled	London Overground was ensuring that track assets were managed effectively in co-ordination with Cleshar and Construction (Design and Management) legal duties discharged, actions have been raised to strengthen assurance and record keeping.
<b>Rail &amp; Sponsored Services</b>	22 729	Managing Access to Tram Infrastructure	To seek assurance that the appropriate controls are in place to safely manage access to the tramway.	Requires Improvement	The combination of documents and systems means it is not always possible to assure that staff hold the required competence for the activity in advance. A risk assessment and method statement could not be located for a Works Request Form, and overdue inspections and incident investigations were highlighted. These gaps increase the risk that management system controls are not effective.