

Appendix 1

Legal and compliance matters reported from 1 October 2022 to September 2024.

| | 1/10/2022 to 31/3/2023 | 1/4/2023 to 30/9/2023 | 1/10/2023 to 31/3/2024 | 1/4/2024 to 30/9/2024 |
|---|------------------------------|-----------------------------|------------------------------|-----------------------------|
| (a) Prosecutions against TfL | 0 | 1 | 0 | 0 |
| (b) formal warnings or notices from the Health and Safety Executive (HSE), the Office of Rail and Road, the London Fire Commissioner, the Environment Agency, the Information Commissioner or the other Government agencies | 11 | 9 | 10 | 5 |
| (c) investigations by the Ombudsman | 2 | 1 | 0 | 6 |
| (d) alleged legal breaches notified by local authorities or other bodies | 6 | 9 | ⁱ 10 | 6 |
| (e) judicial reviews | 3 | 5 | 4 | 3 |
| (f) involvement in inquests | 10 | 9 | 9 | 17 |
| (g) commercial/ contract claims in excess of £100,00 | 2 | 1 | 0 | 1 |
| (h) personal Injury claims | 230 | 205 | 276 | 316 |
| (i) proceedings in relation to discrimination including on the grounds of race, sex, disability, age, religion or belief, sexual orientation, equal pay or breach of contract | 89 | 89 | 73 | 63 |
| (j) wrongful or unfair dismissal | 47 | 45 | 51 | 55 |
| (k) actions to recover unpaid debt in excess of £5,000 | 0 | 0 | 0 | 0 |
| (l) breaches of procurement rules and/ or the Competition Act 1998 | 0 | 0 | 0 | 0 |

ⁱ Correction: the calculation for (b) reported in period 1/10/2023 to 31/03/2024 was incorrectly reported as 17 due to a calculation error and has been corrected.