

Category 5 Standard

5-539 Verification of Assurance

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MAYOR OF LONDON



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1 Purpose

1.1 This standard describes LU's requirements for:

- a) LU's response to Supplier and Third Party assurance proposals;
- b) Determining LU verification activities;
- c) Approval of Verification Activity Plans (VAPs);
- d) Implementing verification activity.

1.2 This standard also describes LU directorate accountabilities for accepting assurance.

2 Scope

2.1 This Standard applies to all LU directorates for all changes, projects or contracts for service delivered by LU, a Supplier, or under an agreement between LU and a Supplier or Third Party, on or about LU's infrastructure, premises, or affecting LU. This shall include any enabling works, temporary works or temporary measures to facilitate delivery.

2.2 For changes which put into service new or altered vehicles or infrastructure which:

- a) incorporates significant changes in its design and construction compared to the vehicles or infrastructure in use on LU (the "difference" test);
and
- b) would be capable of significantly increasing existing risk, or creating a significant safety risk to passengers or members of the public (the "risk" test).

LU Category 5 Standard 5-540 shall be applied in addition to the requirements of this standard.

3 Requirements

3.1 Building the team

3.1.1 As soon as the scope of the change, project or contract for service being delivered by LU, a Supplier or Third Party is agreed, typically in response to a Supplier or Third Party's assurance arrangements, or Change Assurance Plan (CAP), the LU Project Manager shall liaise with the nominated managers within LU Directorates to:

- a) review the suitability of the assurance arrangements;
- b) assess the need for verification activity.

3.1.2 For changes which put into service new or altered vehicles or infrastructure which:

- a) incorporates significant changes in its design and construction compared to the vehicles or infrastructure in use on LU (the "difference" test);
and
- b) would be capable of significantly increasing existing risk, or creating a significant safety risk to passengers or members of the public (the "risk" test),

the LU Project Manager shall also notify the Head of Engineering, who, supported by his/her selected resource, is LU's appointed Independent Competent Person (ICP) under the Railways and Other Guided Transport Systems (Safety) Regulations.

- 3.1.3 Where the Head of Engineering confirms that elements of the project meet the criteria outlined in section 3.1.2, he/she shall assign resource to conduct safety verification for those elements in accordance with LU Category 5 Standard 5-540.

3.2 LU Response to Supplier or Third Party assurance arrangements

- 3.2.1 The LU Project Manager shall ensure that:
- a) The assurance arrangements proposed by Suppliers or Third Parties are provided to, and reviewed for, acceptability by those with assurance responsibilities within LU, as outlined in section 4 including any assigned ICP resource;
 - b) Suppliers or Third Parties are informed of approval of their assurance arrangements, together with any conditions of approval or reasons in the case of approval being withheld;
 - c) Where a response cannot be provided within a response time defined with the relevant contract, an estimated response time is provided;
 - d) Records of all correspondence are maintained.
- 3.2.2 Where a change, project or contract for service initiated by a Supplier or Third Party requires action by LU, the LU Project Manager shall identify and programme the necessary actions and assurance evidence in a Change Assurance Plan or Project Execution Plan (PEP) in accordance with LU Category 1 Standard 1-538, to ensure:
- a) The benefit of the change or contract for service is realised;
 - b) That risk is mitigated and any other requirements are met.

3.3 Development and Implementation of a Verification Activity Plan (VAP)

- 3.3.1 In assessing the need for verification activities the following shall be taken into account:
- a) Any known areas of potential high risk or possible non-compliance to standards.
 - b) Results obtained from any use of the Risk Based Intrusion (RBI) tool (the assessment of people, process and product) (see section 3.7).
 - c) The assurance activities and the arrangement for the provision of assurance to LU proposed by the party delivering the change, project or contract for service.
 - d) Past audit and inspection findings, including the findings of any previous verification activity.
 - e) Verification activities required by the Railway and Other Guided Transport Systems (Safety) Regulations (ROGS) for changes or projects which are both novel and potentially introduce significant risk.
- 3.3.2 Where the assessment determines that a VAP is not required as the work presents a low risk to LU operations, staff, customers, tenants, or neighbours, then this shall be recorded by the LU Project Manager in the relevant project documentation.
- 3.3.3 Where the assessment determines that a VAP is required, the LU Project Manager, in consultation with those with specific assurance accountabilities in respect of the change (see Section 4) and any assigned ICP resource shall develop a risk based VAP.
- 3.3.4 An approved VAP shall be in place prior to any design activity.
- 3.3.5 The detail and content of the VAP shall be risk based i.e. proportionate to, and commensurate with, the risks associated with the scope of the change, contract or maintenance activity involved, as informed by the assessment carried out under clause 3.3.1. Section 3.4 provides further detail regarding the content of a VAP.