

Category 1 Standard

S1538 Assurance

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MAYOR OF LONDON

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1 Purpose

- 1.1 The purpose of this Standard is to define the requirements for the management and delivery of assurance by both providers and receivers of assurance.

2 Scope

- 2.1 This Standard applies to all parties introducing changes or delivering contracts for service on or about LU's infrastructure, or premises, or affecting LU. This shall include any enabling works, temporary works or temporary measures to facilitate delivery.

3 Requirements

3.1 Assurance arrangements for changes, projects or contracts for service

- 3.1.1 LU and its suppliers shall establish documented and controlled processes and procedures for both receiving and providing risk based assurance in respect of:
- a) Health, safety, environment, sustainability and technical systems, plus their associated management systems and LU requirements;
 - b) Initiation, development, design, construction, delivery, testing, commissioning and handover of new, refurbished or altered systems or assets;
 - c) Maintenance operation and management of systems and assets;
 - d) Withdrawal, decommissioning, demolition and disposal of systems and assets.
- 3.1.2 Suppliers shall make their processes and procedures for assurance available to LU and, on request, to other LU Suppliers.
- 3.1.3 Assurance arrangements and activities, including the provision and receipt of assurance, shall reflect the LU Assurance Principles in Section 3.22.
- 3.1.4 LU, Suppliers or Third Parties initiating a change or delivering a contracted service shall provide LU with sufficient evidence, in good time that:
- a) Compliance will be achieved with LU's technical, safety, health, environmental, sustainability, operational and customer facing requirements, including :
 - i) Legislation;
 - ii) European, National and LU Category 1 Standards (subject to any controlled variation);
 - iii) Relevant Mayoral strategies and plans.
 - b) LU will be notified, in good time, of any residual risks to health and safety, or the environment, which requires LU action to mitigate.
 - c) LU will be notified, in good time, of any potential benefits to health, safety and the environment, which require time for LU to consider or LU action to implement.
 - d) LU operational service impacts arising from the delivery of a change, project or contracted service are mitigated and where this requires action by LU, LU is notified in good time.
 - e) Any change or contracted service intended to support or improve LU operational service to customers, will do so reliably and consistently, in accordance with contractual requirements or pre-determined benefits.
 - f) Affected parties have been consulted.



- 3.1.5 All changes, projects or contracts for service shall be supported by an implementation programme that includes the identification of risk control measures that must be in place before, during and after implementation of the change.
- 3.1.6 Suppliers shall assure LU that a valid process exists for controlling other building works, which include surfacing, finishes and other work within the civil engineering and premises asset areas and which are not subject to the Building Act and Regulations.
- 3.1.7 No change, project or contract for service shall be commenced until:
- a) an Assurance Plan / Project Execution Plan (PEP) / Change Assurance Plan (CAP) is approved by LU,
 - b) all pre-implementation risk control measures have been established and pre-implementation actions and conditions complied with, in accordance with the relevant Assurance Plan / PEP / Change Assurance Plan or management system arrangements.
- 3.1.8 The reasons for submitting items for Directors Risk, Assurance and Change Control Team (DRACCT) acceptance shall be clearly shown.

3.2 Assurance where a change, project or contract for service is managed by LU (the requirements in this clause apply to LU only)

- 3.2.1 LU shall arrange for a single point of contact to project manage:
- a) a change, project, or contract for service initiated by LU;
 - b) LU aspects of a change, project, or contract for service initiated by a Supplier or Third Party.

For changes NOT applying TfL Pathway.

- 3.2.2 At an early planning stage, supported by the relevant specialists, the single point of contact shall arrange for an initial assessment of the potential impact of the change, project or contract for service on:
- a) The health and safety of LU's customers, staff or other persons affected by LU's operations;
 - b) The environment;
 - c) Impact on sustainability performance of LU, including asset resilience;
 - d) Service to LU's customers;
 - e) Compliance with LU Standards;
 - f) LU reputation.
- 3.2.3 The outcome of the initial assessment shall be documented.
- 3.2.4 Where this initial assessment indicates that a risk of any significance exists, the single point of contact shall, supported by the relevant specialists produce a Change Assurance Plan detailing:
- a) The proposed change or project
 - b) The reasons for the change of project
 - c) Options considered and reason for selecting / deselecting options (if already covered in other documents reference out to them)
 - d) Lessons learned from similar changes
 - e) The nature of any risks to health and safety of service to LU customers, compliance with LU standards or LU reputation, during and post- change;
 - f) The nature of any risks to the environment and LU neighbours, during and post-change;

- g) The impact of proposed change on sustainability performance, including Whole Life Cost considerations;
 - h) Accountability for introduction of change, including details of the accountable manager, risk owner, individuals involved and the governance arrangements.
 - i) The actions (including timescales and accountability) for ensuring that the change will be introduced in a controlled manner so that risk is mitigated and, in the case of health, safety and environmental risk, maintained as low as is reasonably practicable, and must demonstrate that there is no additional adverse impact on the environment,, including where relevant:
 - i) Further assessments and analysis to be undertaken
 - ii) Consultation/ communication / liaison arrangements
 - iii) Any changes required to corporate documents e.g. Pathway Products
 - iv) Arrangements for assurance of all LU deliverances
 - v) Arrangements for external suppliers to assure LU
 - j) The assurance evidence to be produced.
 - k) The arrangements to be enacted after the change to confirm the purpose of the change has been met and all risks have been effectively mitigated.
- 3.2.5 The following parties shall be consulted, where appropriate during the initial assessment, identification of risk and development of the Change Assurance Plan:
- a) Affected directorates within LU,
 - b) Affected directorates within TfL;
 - c) PPP Suppliers;
 - d) PFIs;
 - e) Train Operating Companies;
 - f) Any other parties affected by the proposal; e.g. the Mayor's office and GLA;
 - g) Health and Safety Representatives where employee health, safety or welfare is affected by the change or project;
 - h) HSE Manager and/or Environment Manager.
- 3.2.6 Project Managers receiving comments as the result of consultation shall ensure that the comments are documented and responded to.
- 3.2.7 The Change Assurance Plan shall be approved by the management level appropriate to the nature and scope of the change, project or contracted service and the associated risks i.e. Change Assurance Plans may be reviewed within project teams and be approved by the relevant Business Manager or General Manager overseeing the project.
- 3.2.8 Prior to approving the Change Assurance Plan, the authorising body shall:
- a) seek the expertise required from the relevant specialists,
 - b) capture their assessments and recommendations in the Change Assurance Plan.
- 3.2.9 Whether or not an item is submitted for DRACCT acceptance all properly authorised CAPs and PEPs (subject to meeting the requirement of clause 3.2.13) shall be sent to the DRACCT mailbox directorsriskandassurancechangecontrolteamDRACCT@tfl.gov.uk for record purposes.
- 3.2.10 Delivery against the Change Assurance Plan shall be reviewed by the single point of contact in consultation as necessary with other directorates.
- 3.2.11 The single point of contact shall include the assurance deliverables in the relevant project or change documentation.

For changes or projects applying Pathway.

3.2.12 The requirements of 3.2.2 and 3.2.3 shall be met through the development of the Project Requirements.

3.2.13 The intent of the requirements of 3.2.4 to 3.2.11 shall be met through the development of the Project Execution Plan (PEP).

3.3 Assurance arrangements and evidence for Supplier or Third Party changes and delivery of contracts for service

3.3.1 Suppliers or Third Parties shall, in good time, submit a risk based Assurance Plan for proposed changes, projects and contracts for service to LU for approval.

3.3.2 The LU Project Manager shall ensure that the Assurance Plan is provided to and reviewed for acceptability by those with assurance responsibilities within LU.

3.3.3 The Assurance Plan shall include or reference documents containing the following:

- a) a description of the activity, including reference to the key elements of any design;
- b) 'V', or other valid project model, that will be applied, where the activities relate to project work;
- c) programme of target dates (based on information which aligns with that in the Master Project Database) for submissions to LU (as applicable) in accordance with the stages of the project shown on the project V diagram;
- d) assurance roles, responsibilities and accountabilities;
- e) standards applicable and any concessions sought;
- f) surveillance plan;
- g) details of accredited entities;
- h) assurance evidence to be produced, clearly identifying those elements that it intends to provide to LU;
- i) means of controlling changes, whether temporary or permanent, to any of the above items;
- j) controls to be applied.

3.3.4 In determining the assurance evidence to be provided for a project, change, or contract for service, providers and receivers of assurance shall assess:

- a) the impact on health and safety of LU customers, staff or other persons affected by LU operations
- b) the security of LU's network, customers, staff or other persons affected by LU operations;
- c) the impact on the quality of life of LU's neighbours or other persons affected by LU operations;
- d) the impact on the environment;
- e) the impact on Whole Life Cost
- f) the impact on LU assets and their resilience;
- g) the impact on LU operational service, including accessibility of network;
- h) the impact on LU's reputation;
- i) the level of understanding of asset condition;
- j) how compliance with requirements will be demonstrated;
- k) the complexity of the mitigation regimes and interfaces;
- l) the previous performance of the provider of assurance in respect of the activity;
- m) the outputs from the assurance process.

3.3.5 Assessments to determine the appropriate level of assurance evidence shall be undertaken by those with knowledge, skills and experience of the aspects they are assessing.

- 3.3.6 Where information from LU is required to adequately assess risk, the Supplier or Third Party shall request this from LU.
- 3.3.7 Any proposed alternatives to the assurance requirements outlined in this standard shall be made through the Assurance Plan and require approval by LU.
- 3.3.8 Where the LU response to an Assurance Plan cannot be provided within the agreed timescale, LU shall provide an estimated response time.
- 3.3.9 Where approval of an Assurance Plan or revisions to an Assurance Plan is withheld, LU shall identify the amendments required and the associated justification.
- 3.3.10 The assurance plan shall be followed and change control processes applied by the Supplier to ensure that all changes to the Assurance Plan are approved by LU and communicated to relevant parties.
- 3.3.11 The Supplier or Third Party shall include the Assurance deliverables and milestones in the delivery programme for the change, project, or contract for service.
- 3.3.12 LU shall indicate the acceptability of the assurance evidence provided to LU.

3.4 Supplementary requirements for the Assurance of Project / Programme Works delivering new or altered assets

- 3.4.1 Suppliers shall adopt a project lifecycle representation, in which assurance in respect of critical items in one stage have to be completed prior to commencement of the subsequent stage.
- 3.4.2 Critical items to be provided prior to the commencement of the subsequent stage shall be identified in the Assurance Plan.
- 3.4.3 During the Outcome Definition and before the Feasibility stages TfL Pathway commences, LU shall be provided with assurance that:
 - a) The project is aligned with either contractual obligations where the project is being managed by a Supplier or LU's strategic objectives (i.e. Customer / Operational and Sustainability requirements) where the project is being managed by LU.
 - b) The business case is robust (i.e. affordable, achievable, sustainable) (LU managed projects/changes/contracts only).
 - c) Risks have been identified and controls have been developed to ensure such risks remain acceptable to LU and health, safety and environmental risks are ALARP, following and throughout the course of the project.
 - d) Integration and impacts of the change at a systems level have been identified, including interfaces with Third Parties.
 - e) Function, requirements, specifications and scope have been captured and agreed with LU and other relevant internal and external stakeholders, including fixed requirements that apply to all activities including legislation, internal and external standards and variable requirements that are specific to a particular activity, such as works specifications or instructions.
- 3.4.4 During the Feasibility stage and before the Concept Design stage commences, LU shall be provided with assurance that:
 - (a) The selected option has been developed in sufficient detail to ensure that LU operational, technical, health, safety, environmental, sustainability and customer facing requirements have been met including satisfying the Project Requirements.

3.4.5 During Concept Design and before Detailed Design commences, LU shall be provided with assurance that:

- a) Operational and technical solutions will fully integrate at a systems level, with all identified impacts and interfaces controlled.
- b) Project organisational controls are defined and in place and competent resources are available, or are planned for, to ensure appropriate and manageable delivery.
- c) The outline design complies with the design brief and Project Requirements.
- d) Non-compliances associated with existing assets, have been identified where the works proposed:
 - i) Include the alteration of existing assets; or,
 - ii) Are in direct physical connection with the assets; or,
 - iii) Have the potential to alter the relationship with or between existing assets; or,
 - iv) Might introduce compatibilities or inconsistencies with existing assets that could have implications for health, safety, environment and sustainability (including Whole Life Costs).
- e) Unless the approved Assurance Plan / PEP indicates otherwise, a Conceptual Design Statement in accordance with 3.15 has been produced and approved in principle by the recognised assurance authority prior to commencement of detailed design.
- f) Unless the approved Assurance Plan / PEP indicates otherwise, the Conceptual Design Statement approved in principal by the supplier organisation has been submitted to LU, and a letter of “no objection to concept” obtained.

3.4.6 During Detailed Design and before Delivery commences, LU shall be provided with assurance that:

- a) The proposed design is compliant with all relevant LU Standards subject to any concessions and risks associated with the assets are ALARP.
- b) The proposed design is compliant with all relevant external standards, e.g. CEEQUAL (The sustainability assessment, rating and awards scheme for civil engineering projects).
- c) The proposed design is compliant with all relevant Mayoral strategies and plans.
- d) The proposed design meets the operational, customer-facing, technical, health, safety, environmental and sustainability requirements, subject to any agreed variations.
- e) Management controls are in place to manage the project through to completion, including contract management aspects, management and control of transitional conditions (including health, safety and environmental risks, risks to LU operations and LU reputation) and change management (technical, operational and sustainable).
- f) Risks to LU customers, neighbours, staff and the public from the works have been assessed, any necessary mitigation put in place and LU informed of the assessment and mitigations.
- g) LU has been informed of, and accepts any risk requiring LU operational management.
- h) Certification is available confirming that all designs have been checked in accordance with section 3.16, including design reviews with LU where appropriate and critical findings have been addressed.
- i) All design checks include, to the extent required in 3.16
 - i) the validity of the criteria and assumptions made;
 - ii) the arithmetical accuracy of calculations;
 - iii) the compliance of the calculations and designs with the relevant engineering standards, including concessions;
 - iv) the accurate translation of the designs into the contract drawings, where relevant;

- v) the compliance with and resolution of the requirements for the conceptual design statement, approved in principle, as described, with those relating to human factors to include all operability and other training procedures and other human factors implied in the design.
- j) That drawings issued for manufacture or construction are signed to confirm that they comply with 3.4.6(g)(iv) and are authorised.
- k) A compliant position has been achieved. Unless the approved Assurance Plan / PEP indicates otherwise, this shall be in accordance with 3.17 and approved in principle by the recognised assurance authority.

3.4.7 During Delivery and before entry of any asset into operational service, LU shall be provided with assurance that:

- a) The original LU operational, customer-facing, technical, health, safety, environmental and sustainability requirements have been met.
- b) The original projected business benefit is likely to be achieved (LU managed changes/contracts only).
- c) The assets subject to change conform to all relevant LU Standards, subject to any concessions and risks associated with the assets are ALARP.
- d) The health, safety, environmental, operational, technical and customer facing impacts of the works are managed.
- e) Works on or interfacing with the Operational Railway shall only commence when the resources, plans and management are in place to complete the task ahead of the next scheduled customer service.
- f) There are agreed plans for inspection and testing within the Assurance Plan / PEP, and where testing impacts on the Operational Railway, this shall include Consent to Test submission in accordance with 3.18, endorsed by the recognised assurance authority and accepted by LU.
- g) There are feasible and tested contingency and reversion arrangements.
- h) All necessary inspection and testing outlined in the Assurance Plan / PEP is complete to the satisfaction of LU, subject to any agreed outstanding actions, such that LU may approve commencement of operations.
- i) There are agreed plans for LU and where applicable, Supplier, training, communication, roll-out and support for operations where these are contracted for and they have been completed to enable staff to use new or altered assets, subject to any agreed outstanding actions.
- j) Maintenance arrangements have been implemented.
- k) The works are complete. For each stage of completion, unless the approved Assurance Plan / PEP indicates otherwise, a report shall be produced in accordance with 3.19 and endorsed by the recognised assurance authority.

3.4.8 Prior to Close Out, unless the approved Assurance Plan / PEP indicates otherwise, a Completion and Consent to Operate report in accordance with 3.20 shall be produced and endorsed by the recognised assurance authority.

3.4.9 Before Close Out LU shall be assured that:

- a) All records associated with the project, change or contract are complete, in accordance with statutory requirements, LU standards and the internal governance arrangements of the organisations involved.
- b) The anticipated benefits at this stage are being delivered.

3.5 Supplementary requirements for the assurance of Organisational and Management Change

3.5.1 Suppliers shall provide assurance to LU prior to:

- a) A change of ownership.
- b) A significant organisational change.

- c) Any other organisational change that may impact on a contractual relationship between LU and a supplier or on contract or project deliverables.

3.5.2 Assurance shall be provided in respect of all LU organisational and management changes.

3.5.3 Assurance shall be provided to LU that:

- a) The change has no adverse impact on either contract or project deliverables (for suppliers organisational or management changes) or LU's strategic objectives (for LU organisational or management changes).
- b) Assessment(s) of risk and impacts to LU resulting directly and indirectly from the change have been undertaken (i.e. significant interfaces with / within LU, required changes to standards, working practices etc) and mitigated and that health safety and environmental risks are ALARP.
- c) All parties who may be affected by the change have been consulted.
- d) Plans have been developed for the controlled implementation and management of the change.

3.6 Supplementary requirements for the assurance of Maintenance or Inspection Regimes and Changes to these regimes

3.6.1 Assurance Plans, in respect of Supplier asset maintenance and inspection activities by asset area, shall be submitted to LU at least annually.

3.6.2 LU shall be provided with assurance that:

- a) The choice of, or change in, a maintenance or inspection regime will not result in an adverse effect on LU.
- b) Risks have been identified and controls have been developed to ensure that risks which could affect LU remain ALARP during the maintenance activity and after completion of the maintenance activity.
- c) Assets will remain safe, reliable, fit for purpose and continue to meet performance requirements.
- d) Assets will not introduce significant environmental impacts and will maximise environmental benefits.
- e) Assets will be maintained to a level that ensures all relevant LU Standards and requirements are satisfied, subject to any concessions.
- f) Proposed maintenance regimes will ensure the required life of the asset is achieved.
- g) Mechanisms are in place to monitor the effectiveness of new, changed or existing maintenance or inspection regimes and provide preventative or remedial action(s) where required.
- h) Direct impacts and indirect impacts at a systems level as a result of maintenance activity have been identified and mitigated.
- i) Assets will be available for use in service as determined by contractual obligations.
- j) Measures are in place to ensure that relevant information is shared with LU, Suppliers or third parties where appropriate.
- k) Any effect on LU operational services arising from the change is minimised.

3.7 Supplementary requirements for the assurance of New or Modified Rolling Stock

3.7.1 Approval for the introduction of new or modified rolling stock into service, including testing, shall be obtained from LU prior to the commencement of the operation of: