

Project and Programme Assurance

Functional Strategy

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1.0			As per CMS work order	Responsible Director	First Issue / Updated
2.0			As per CMS work order	Responsible Director	Updated to reflect governance changes. This document supersedes document ref CR-XRL-O4-GPL-CR001-00001 "Programme Assurance Strategy" which is to be withdrawn. Document ref CRL1-XRL-O-STP-CR001-50003 "Audit Strategy" and CR-XRL-O-GPD-CR001-50002 "Audit Procedure" are also withdrawn.
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Learning Legacy Document

1 Introduction

The 'Three Lines of Defence' Integrated Assurance Framework (3LoD IAF) provides integrity & compliance for programme delivery. The framework is managed within CRL / EL by the Project and Programme Assurance (PPA) function which is generally responsible for coordinating the overall framework and specifically responsible for undertaking 2nd Line of Defence assurance activities, reporting directly to the Elizabeth Line Delivery Group (ELDG) for action and to Elizabeth Line Committee (ELC) and TfL Audit and Assurance Committee (AAC) for noting.

2 Purpose

This document provides an overview of the Project and Programme Assurance function in the context of the Elizabeth Line 3LoD IAF assurance framework including accountabilities, activities, interfaces and outputs. This document forms part of the suite of functional strategies and management plans that collectively describe the organisational structure, processes and procedures underpinning the delivery strategy.

3 Scope

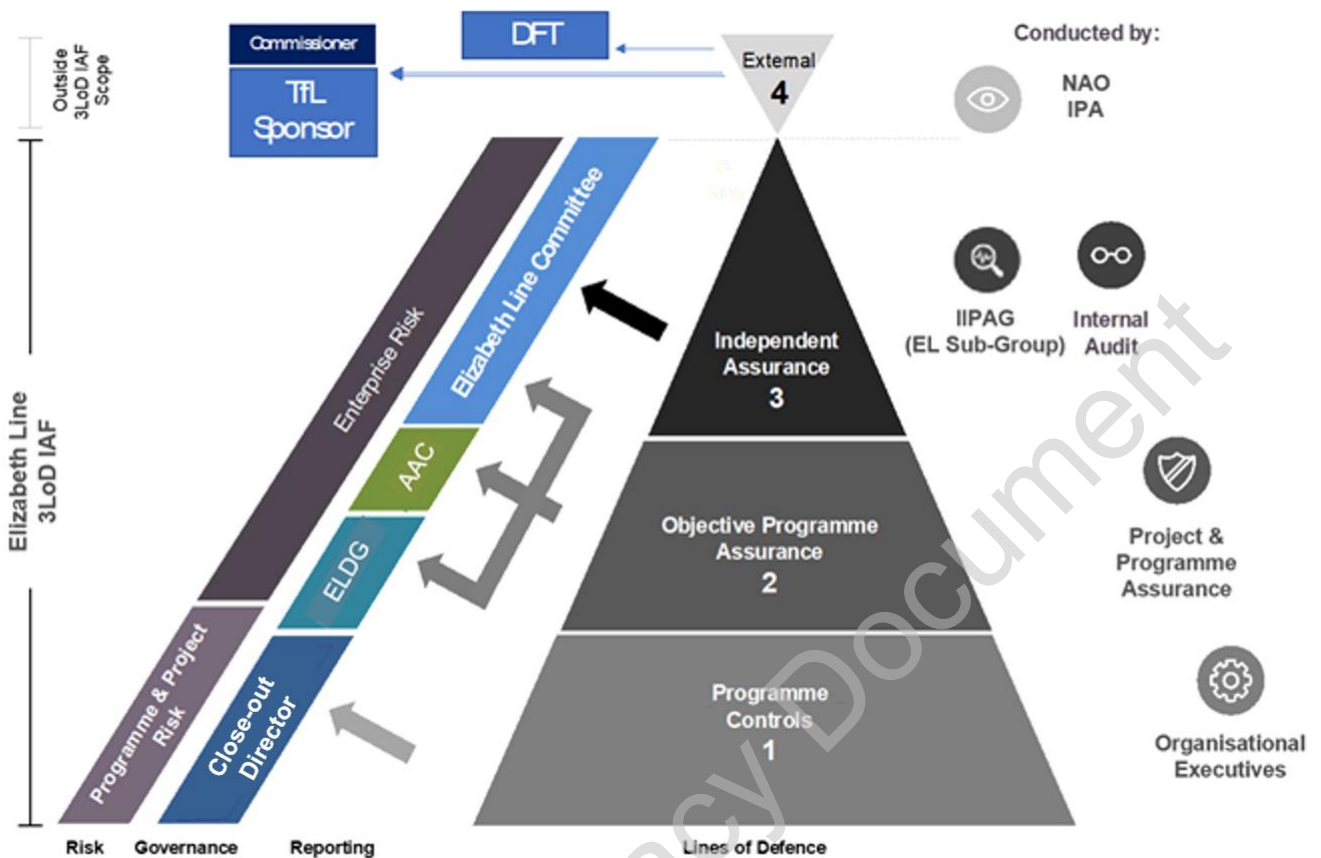
The 3LoD IAF assurance framework described in this document applies to all activities relating to the Elizabeth Line Programme and its interfaces. For the avoidance of doubt, the assurance framework oversees all types of function-specific assurance within the Elizabeth Line. The Assurance Framework does not encompass external audit and assurance functions such as the IPA, NAO or TfL External Audit but does interface and coordinate with these bodies where they engage with the Elizabeth Line.

4 3 Lines of Defence (3LoD) Model

The 3LoD IAF framework provides integrity and compliance for programme delivery. Each line of defence is independent, incrementally building assurance evidence of programme maturity. The 3LoD IAF assurance framework responds to Sponsors general requirement for programme assurance (ref. PDA clause 15.2) and specifically to recommendations from Sponsors' Governance Review of December 2018 (ref. Recommendation 7.14.)

The framework was originally approved by the CRL Board on 28 February 2019. This was amended in November 2021 following changes to the corporate governance, bringing CRL under TfL governance arrangements. The framework is illustrated in Figure 1 below and comprises the following elements, as illustrated by the diagram below:

Figure 1



- First Line (LoD 1) – Programme Delivery Controls covering both Crossrail and Rail for London (Elizabeth Line) organisations. These functions are embedded into day-to-day management of the organisations each overseen by the relevant Executive.
- Second Line (LoD 2) – Project and Programme Assurance (PPA) coordinates and integrates across all of Crossrail’s and RfL (EL) assurance using a risk-based approach to proactively scan, assess, and report on; confidence in delivery, adequacy of assurance coverage, potential threats (risks) to objectives that aren’t otherwise being escalated through normal reporting processes. The PPA team is also responsible for coordinating, integrating, and planning across the Three Lines of Defence Integrated Assurance Framework (3LoD IAF) which is undertaken through the periodic Elizabeth Line Programme Assurance Group (ELPAG) forum.
- Third Line (LoD 3) – TfL Internal Audit and a subgroup of the Independent Investment Programme Advisory Group (IIPAG) provide an independent assessment of the overarching integrity and performance of Crossrail’s 3LoD IAF, and control against its overall Enterprise Risk framework, on behalf of the Elizabeth Line Committee (ELC) and ELDG and conduct independent risk-based internal audits and reviews as necessary.

The PPA team receive additional specialist advice and assurance provided by:

- Chris Green – expert support to CRL and TfL Executive

External audits and reviews are conducted on behalf of the Sponsors by the National Audit Office (NAO) and the Infrastructure Projects Authority (IPA). Whilst Crossrail PPA coordinates these to avoid unnecessary duplication, these will remain independent external audits.

The Elizabeth Line 3LoD IAF assurance framework is coordinated within Rail for London and Crossrail by the PPA function through its Elizabeth Line Programme Assurance Group (ELPAG), and the framework is overseen by the TfL Audit and Assurance Committee (AAC).

a. Elizabeth Line Programme Assurance Group (ELPAG)

The ELPAG was established to ensure that all second and third line of defence assurance activities across the Elizabeth Line are co-ordinated and delivered in accordance with the Integrated Assurance and Audit Plan (IAAP).

The ELPAG meets periodically to share assurance intelligence across the Elizabeth Line with the objectives of reviewing current audit and assurance activities, discussing emerging findings and thematic issues that may require further escalation or investigation.

The ELPAG is chaired by the Head of Programme and Project Assurance, with a standing membership drawn from representatives from TfL Audit, CRL / EL Risk, CRL Quality, IIPAG and the specialist advisors. The secretariat is provided by the EL PPA team. The governance and method of operation are described in the ELPAG Terms of Reference.

The ELPAG plays a key role in demonstrating the effectiveness of the EL 2LoD activities to the wider assurance community stakeholders surrounding the EL.

b. Audit and Assurance Committee (AAC)

In addition to the TfL assurance reporting illustrated in Figure 1 above, the EL 2LoD team provides reports to the TfL Audit and Assurance Committee (AAC) which meets on a quarterly basis. The reports outline emerging findings and thematic issues which are brought to the attention of the AAC to prompt discussion and provide confidence in the effectiveness of the EL 2LoD activities.

5 Project and Programme Assurance

The Project and Programme Assurance (PPA) function coordinates the overall 3LoD Integrated Assurance Framework and undertakes the second line assurance (2LoD) within the framework.

As the programme progresses to completion, the objectives of assurance are increasingly focussing upon completion of construction of the railway through to bringing the Elizabeth Line into full operational revenue service (via staged operational openings of the railway).

There will be a focus on step-up and continued growth in Railway System Safety, Operability, Maintainability and Performance (Integration and Reliability.) Prevailing themes will be around Bringing the Railway into Use, embedding Railway Systems and maturing the established IM Organisation (Competence and Capability.)

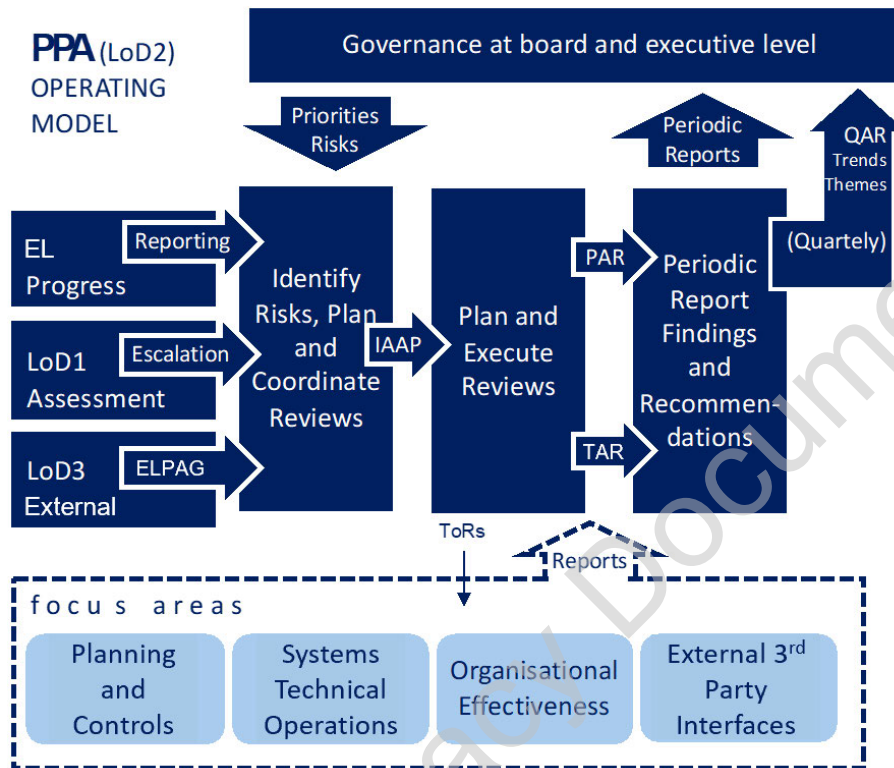
a. PPA Operating Model

As illustrated in Figure 2, the production of the PAR, AAC report and ELPAG report are the business-as-usual outputs of the 2LoD functions.

Whilst gathering intelligence to produce these reports, specific matters will be highlighted which are believed to present significant risks to the safe timely delivery of the Elizabeth line within the budget constraints.

These matters are the subject of Targeted Assurance Reviews (TARs), which are carried out by the PPA team either directly or with the assistance of relevant experts as necessary.

Figure 2



b. Focus Areas

While the remits and lines of inquiry will respond to very specific risks and performance concerns, the PPA function is organised to engage with the programme across a number of focus areas, set out below:

i. Planning and Controls

The effectiveness of planning and project controls including financial and risk functions is at the heart of programme success and integrity. The assurance of the DCS Baseline and surveillance of its delivery through targeted TAR interventions will continue to be the highest priority of LoD2.

ii. Operations, Systems and Technical

Technical Strategy - The approach of the Operational, Technical (Regulatory) and Systems TARs is to conduct top-down and bottom-up assessments across RfLI and CRL, the Railway and Railway Organisations projects and activities. The TARs are focused on physical and digital system/s areas including: Safety, RfLI Operational Readiness, Reliability Growth, Integration, Approvals, Quality and Risk.

iii. Organisational Effectiveness

Coherence, completeness and agility of the People, Process and Technology framework is essential to the effective operation of the programme, particularly during the coming phases of programme completion which will be highly dynamic and will see responsibilities shift and adjust with the transition to an increasingly operational environment.

iv. External 3rd Party Interfaces

PPA LoD2 activities will scrutinise key relationships and agreements with external stakeholders critical to delivery of CRL Project and Elizabeth Line Asset Lifecycle, e.g. the Supply Chain, Infrastructure Managers, Regulatory Bodies and Local Authorities.

c. PPA Organisation

In response to the functions set out in the operating model, the team organisation comprises three tiers, as shown in Figure 3 below and includes: leadership, coordination and assurance delivery.

Figure 3



6 Planning and Reporting

The planning and reporting of assurance activity across the 3LoD IAP framework is captured in the Integrated Audit and Assurance Plan (IAAP) which coordinates all assurance activities to ensure that appropriate assurance activities are logically linked, effectively planned, scheduled, coordinated and that resources are secured in advance.

The IAAP sets out planned assurance activities aligned to the Delivery Control Schedule critical paths and milestones. The IAAP is regularly updated to reflect emerging priorities, findings and conclusions identified and key Enterprise and Programme risk identified by the ELDG.