

Transport for London

Safety and Sustainability Panel

Subject: Annual Resilience Assurance Letters

Date: 27 September 2012

1 Purpose and Decision Required

- 1.1 To provide the Panel with assurance on the status of the implementation of the requirements of the TfL Resilience Management Policy Framework across TfL. The Panel is asked to note the paper.

2 Background

- 2.1 TfL introduced the Resilience Assurance Letters process in 2007 following the introduction of the HSE Assurance Letters process three years earlier. The Assurance Letters process is recognised as best practice and has been well received by the Commissioner and the Panel.
- 2.2 In 2005, TfL developed and agreed a Resilience Management Policy Framework. This was last reviewed in 2011. The Resilience Assurance Letter process is a means to assess the extent to which the Resilience Management Policy Framework has been implemented in each of the businesses.

3 Resilience Assurance Letters for 2011/12

- 3.1 Early in the financial year 2012/13 all Managing Directors completed Resilience Assurance letters addressing the status of their business's compliance with the TfL Group Resilience Management Policy Framework at the financial year end of 2011/12.
- 3.2 The completed Resilience Assurance Letters were submitted to the Commissioner prior to their submission to the Panel.
- 3.3 In the Assurance Letters, the implementation status of the various elements of the Policy Framework is assessed as being at one of the following levels:
 - (a) **'Under development'** – is considered to be the status when work is in progress to deliver documented processes, procedures, standards etc.
 - (b) **'In place'** – describes the status when processes, procedures or standards are already documented but not yet being used as intended.

- (c) **'Implemented'** – is the status when all processes, procedures or standards are documented and are being used as intended.

Status	Implemented
Status	In Place
Status	Under Development

- 3.4 This is the first Resilience Assurance letter since recent organisational changes resulting in the reallocation of some resilience functions across the business.

IM services continue to be developed with plans in place to improve resilience and disaster recovery.

- 3.5 The Resilience Assurance Letters for 2011/12 are attached as Appendices to this report:

- (a) Appendix 1 – London Underground's Resilience Assurance Letter;
- (b) Appendix 2 – Surface Transport's Resilience Assurance Letter;
- (c) Appendix 3 – London Rail's Resilience Assurance Letter;
- (d) Appendix 4 – Crossrail's Resilience Assurance Letter; and
- (e) Appendix 5 – Corporate Directorates' Resilience Assurance Letter.

4 Recommendation

- 4.1 The Panel is asked to NOTE the paper and attached Resilience Assurance Letters for 2011/12.

5 Contact

- 5.1 Contact: Nigel Furlong, Head of Resilience Planning
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**Transport for London
LONDON UNDERGROUND**

Subject: Resilience Assurance Letter 2011/12

Date: 25 June 2012

1. Introduction

This Letter documents the status of Resilience Management for London Underground (including Tube Lines Limited) as at 31 March 2012.

2. Assurance Compliance Statements

2.1 TfL Resilience Policy

Status	Implemented
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The Resilience Policy Framework has been communicated to appropriate staff in the contingency planning and business continuity teams in LU. It is also available through Source to all staff.

2.2 Civil Contingencies Act 2004

Status	Implemented
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In line with the regulations of the Civil Contingencies Act 2004 LU is a member of the London Resilience Forum and are members of a number of its committees. LU has participated in government exercises at the COBRA level, most recently those that have been held in relation to the Olympic Games.

2.3 Resilience Management Process

Status	Implemented
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The resilience management process which has been developed is in accordance with the Group Resilience Policy Framework. The process covers emergency planning and business continuity arrangements including risk assessments, planning, and assessment of existing controls, mitigating actions to be taken and testing of arrangements. Enhanced resilience structures for the Olympic Games have been developed with other parts of TfL to ensure that fully integrated processes are in place.

2.4 Resilience Planning

Status	Implemented
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Resilience plans have been developed for both operational and non-operational parts of the business based upon worst case scenarios. Copies are available through the Head of Network Operations and Control.

2.5 Business Planning

Status	Implemented
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The TfL Business Planning Guidelines were adopted by LU for development of the 2012/13 Business Plan. These guidelines include the need to assess resilience implications during the development of the plan.

2.6 IM Resilience and Security

Status	Implemented
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Information Management has specific responsibility for ensuring that appropriate IM controls, assurance, resource and reporting processes are in place to counter all threats to the organisation's IM infrastructure. The policies, standards, processes and procedures currently implemented ensure that all IT threats are dealt with to minimise their impact on the business. This is achieved by the introduction of control systems, adoption of industry-best practice and the after event investigations and lessons learnt exercises.

This is then supplemented by identifying and documenting the significant risks associated with IM activities and ensuring that these are addressed by establishing and maintaining appropriate processes and internal controls. This is designed to improve resilience by obtaining assurance on an ongoing basis that these controls are operating as intended, reporting any significant control failures as soon as they occur with details of remedial action to be taken.

2.7 Security of Staff, Customers and Assets

Status	Implemented
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LU have adopted the national terrorism threat level as determined by Transec as a means of assessing the security measures to be implemented at operational sites.

For assets security measures have been adopted and there is a continuing programme to review and assess security risks and measures under the resilience programme.

For those roles that have been assessed as requiring security clearance this is obtained from the Department for Transport.

2.8 Project and Change Management

Status	Implemented
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These issues are considered as part of the LU Resilience Programme. In addition, resilience matters are considered during the appraisal of projects by the Programme Management Office.

All changes to the resilience arrangements are managed through the Directors Risk Assurance and Change Control Team (DRACCT).

2.9 Procurement Management

Status	Implemented
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Works, goods and services are procured using a process that provides adequate assurance that supply chain resilience risks are appropriately managed, recorded and communicated in accordance with the TfL risk management framework. This process also ensures that business critical contractors and suppliers have business continuity/recovery plans.

LU conforms to the arrangements that have been introduced by TfL regarding critical suppliers.

2.10 Emergency, Contingency and Business Continuity Plans

Status	Implemented
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There are in place Emergency, Contingency and Business Continuity plans in line with the Policy and addressing operational and non operational areas, and as necessary, supporting other parts of TfL and third party partner organisations (e.g. London Resilience and its members).

The plans detailed above have been developed for LU.

2.11 Training, Testing and Exercises

Status	Implemented
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LU tested the Business Recovery Plan in February 2012 as part of the TfL wide business recovery test of the processes which are to be in place for the Olympic Games.

LU has actively partaken in exercises in relation to the Olympic Games to ensure that the plans for the games are fit for purpose.

2.12 Staffing

Status	Implemented
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The Business Recovery Plans and Operational Contingency Plans provide these details.

2.13 Auditing of Resilience Management Processes

Status	Implemented
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LU has a process in place to review the resilience management process on an ongoing basis and there is a programme in place to review emergency plans quarterly. Additionally, resilience management processes may be subject to review by either TfL Internal Audit or the Safety Audit teams as part of their annual audit plans.

2.14 Management Review of Resilience Management Processes

Status	Implemented
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The Security Steering Group reviews security risks and resilience matters within LU and develops strategies for managing these.

3. Future Resilience Management Developments

As part of the ongoing review and development of Resilience Management the following significant improvement actions are scheduled for 2012/13.

A full review of the business recovery plans and arrangements will be undertaken post the Olympic and Paralympic Games

Mike Brown
Rail and Underground Managing Director

25 June 2012

Transport for London
SURFACE TRANSPORT

Subject: Resilience Assurance Letter for Surface Transport
Date: 31 June 2012

1. Introduction

This Letter documents the status of Resilience Management for Surface Transport as at 14 June 2012.

2. Assurance Compliance Statements

2.1 TfL Resilience Policy

Status	Implemented
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The framework addresses the requirements for the resilience of operational services across TfL and includes business continuity for non operational management and support activities.

2.2 Civil Contingencies Act 2004

Status	Implemented
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TfL is an active partner of the London Resilience Team (LRT) which is now under the umbrella of the Greater London Assembly (GLA). Surface Transport participates fully in the London Resilience Forum (LRF) along with the LRT through planning, exercises and reviews. As a Category 2 Responder under the CCA, Surface Transport has recently participated in Reviews of the Mass Evacuation Plan and Mass Shelter Plan as per requirements of the CCA.

2.3 Resilience Management Process

Status	Implemented
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Business Continuity and Resilience matters are contained under one directorate with the Surface Resilience Management Group (SRMG) overseeing the functions across Surface Transport. It provides a regular update to the Surface Board comprising the MD for Surface Transport and other senior directors.

Resilience and Business Continuity plans exist and are tested, reviewed and updated on a regular basis.

The Resilience and Business Continuity Managers within the Corporate and Surface Transport Resilience Team have both completed and passed the Business Continuity Institute’s Certificate in Business Continuity Management.

2.4 Resilience Planning

Status	In Place
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The resilience and business continuity plans are focused on ensuring an effective operational response to major planned events and unplanned incidents as well as any disruption to business activities. These plans incorporate arrangements for dealing with those with physical disabilities. All current plans when being reviewed and any new plans being produced take into consideration equality and inclusion matters

2.5 Business Planning

Status	Implemented
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The process for assessing, recording and communicating resilience risks is integrated with quarterly strategic risk reporting and business planning process. This risk process is underpinned by Surface Transport’s risk architecture and protocols for communication, and assessment of the changing risk profile of the organisation.

2.6 IM Resilience and Security

Status	In Place
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Critical systems have been identified and IT systems and services are being reviewed with upgrades implemented based on business priority, to ensure fitness for purpose. Prioritisation is based on Olympics critical TfL wide Enterprise and Business Applications which have been implemented. The remaining critical systems being planned for upgrade post Olympics.

2.7 Security of Staff, Customers and Assets

Status	In Place
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The security of operational and business premises is regularly reviewed in regard to both crime and terrorism risks. All staff in key operational roles are security cleared to the levels required for their roles. There are clear security arrangements with regard to staff roles and their access to key infrastructure.

Regular briefings on threat levels are obtained from the Department for Transport and arrangements are in place to obtain emergency updates when

required. Following a change of threat level that requires a change in current working practices, it can be implemented very quickly.

2.8 Project and Change Management

Status	Under development
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All major current and new projects have resilience and business continuity arrangements set out and taken into account. Business critical projects are reviewed to ensure effective business continuity and resilience arrangements are in place.

2.9 Procurement Management

Status	In Place
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Procurement processes include analysis and assessment of the financial stability of suppliers and their capability to deliver contract requirements. Business continuity arrangements are aligned with project and operational business continuity plans and managed by contract managers as appropriate.

2.10 Emergency, Contingency and Business Continuity Plans

Status	In Place
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Plans are in place which are regularly reviewed to deal with most foreseeable situations These plans include providing support within Surface Transport, to the London Resilience Team, the emergency services, local authorities and other agencies. Business Recovery Strategy has been developed alongside business continuity plans which will allow Surface Transport to provide Mutual Aid across TfL and vice versa.

2.11 Training, Testing and Exercises

Status	In Place
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Regular training of staff and the testing and exercising of current plans via table top exercises take place throughout the year. In the past year Surface Transport has taken part in Olympic preparations exercises. Regular exercises are also carried out to test the emergency arrangements and response of critical surface Infrastructure such as the road tunnels operated by Surface Transport. All operational plans, including Control Room fallback and recovery exercises and the results of exercising are reviewed at regular intervals. The Non-operational business recovery management structure is exercised annually.

2.12 Staffing

Status	In Place
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The roles and responsibilities of all managers who deal with emergency situations are reviewed annually as part of our command and control processes. Training takes place to ensure that suitable managers are able to cover a number of different roles as and when required and on manager availability.

2.13 Auditing of Resilience Management Processes

Status	In Place
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There is a Surface Resilience Management Group Risk Register, which drives the work of the SRMG. The Risk register is reviewed bi-monthly. There is a risk based approach to the annual audit programme undertaken by the Internal Audit function.

2.14 Management Review of Resilience Management Processes

Status	Implemented
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The SRMG takes an overview of resilience issues and preparedness across the organisation. This will also be reported via the Safety report to the Surface Strategy meeting on a regular basis. There is a risk register which also ensures regular reviews of all the key elements.

3. Future Resilience Management Developments

As part of the ongoing review and development of Resilience Management the following significant improvement actions are scheduled for 2012/13.

Representatives from Bus Operations and London Streets will continue to work with local authorities to review and update as required plans for dealing with adverse weather conditions.

Bus Operations Area Managers to act as points of contact with Borough Emergency Planning units in regard to supporting Borough Resilience Forums and their associated Borough Risk Registers set up under the Civil Contingencies Act 2004 to discharge TfLs duty to support and share information with category one responders.

Regularly test fall back facilities at 200 Buckingham Palace Road for CentreComm, LSTCC and Metrocomm.

Review of TfL Recovery Management Structure in light of the new Business Recovery Strategy (Mutual Aid) and exercise the new structure.

Carry out Business Impact Analysis and Continuity Resource Analysis as part of the Business Continuity lifecycle for Surface Transport.

To produce business recovery plans for all Surface Transport premises.

Leon Daniels
Surface Transport Managing Director

3 September 2012

Transport for London

London Rail

Subject: Resilience Assurance Letter

Date: 31 March 2012

1. Introduction

This Letter documents the status of Resilience Management for London Rail as at 31 March 2012.

London Rail is made up of three separate business areas, Docklands Light Railway (DLR), London Overground and London Tramlink. The transport services themselves are delivered by private sector contractors.

Comments have been made in each section where requirements have not been categorized as 'Implemented'.

2. Assurance Compliance Statements

2.1 TfL Resilience Policy

London Rail HQ	Docklands Light Railway	London Overground	London Tramlink
Implemented	Implemented	Implemented	Implemented

The TfL Resilience Policy Framework has been actively communicated to staff with a requirement to be informed of its content and is available to all employees.

2.2 Civil Contingencies Act 2004

London Rail HQ	Docklands Light Railway	London Overground	London Tramlink
Implemented	Implemented	Implemented	Implemented

The requirements of the Civil Contingencies Act 2004 are met through active participation in Local Resilience Forum Transport Sector Panel, ensuring that TfL is represented at these forums.

2.3 Resilience Management Process

London Rail HQ	Docklands Light Railway	London Overground	London Tramlink
Implemented	Implemented	Implemented	Implemented

A structured approach to resilience management has been developed in accordance with the criteria laid down in the TfL Resilience Policy Framework.

2.4 Resilience Planning

London Rail HQ	Docklands Light Railway	London Overground	London Tramlink
Implemented	Implemented	Implemented	Implemented

All Resilience planning and responses support the TfL business plan in fully reflecting TfL’s ethical values and vision. This also ensures that resilience takes full and appropriate account of equality and inclusion matters, including customer and staff safety and security.

2.5 Business Planning

London Rail HQ	Docklands Light Railway	London Overground	London Tramlink
Implemented	Implemented	Implemented	Implemented

There is a process in place for assessing, recording and communicating resilience risks and their implications during business planning and ongoing routine business activities.

2.6 IM Resilience and Security

London Rail HQ	Docklands Light Railway	London Overground	London Tramlink
Implemented	In Place	In Place	In Place

Management reviews of IM resilience to risks and malicious threats are conducted of systems and processes and when gaps or shortfalls are identified they are recorded within a risk register.

London Rail has taken the lead across TfL in coordinating and developing engineering asset cyber security. Reviews of cyber security are underway in London Rail. Control systems relating to the operation of the tram network are being replaced and upgraded as part of the new Tram Management System project.

2.7 Security of Staff, Customers and Assets

London Rail HQ	Docklands Light Railway	London Overground	London Tramlink
Implemented	Implemented	Implemented	Implemented

Measures are in place, including the responses to changes in HM Government threat levels and compliance with Section 17 of the Crime and Disorder Act 1998 to ensure the security of TfL staff, customers and assets from crime, terrorism and other malicious threats.

2.8 Project and Change Management

London Rail HQ	Docklands Light Railway	London Overground	London Tramlink
Implemented	Implemented	In Place	Implemented

Resilience risks are considered and addressed using the TfL risk management framework when projects are planned or changes introduced.

For London Overground resilience risks are included in the risk management process and risk owners have been allocated. Risks are regularly monitored by senior managers and directors and further improvements to the process are planned.

2.9 Procurement Management

London Rail HQ	Docklands Light Railway	London Overground	London Tramlink
In Place	Implemented	In Place	Implemented

Critical suppliers are checked. However the checks for all suppliers have not been consistent across the London Rail businesses. Improvements to the current arrangements are planned for next year.

2.10 Emergency, Contingency and Business Continuity Plans

London Rail HQ	Docklands Light Railway	London Overground	London Tramlink
Implemented	Implemented	In Place	Implemented

Emergency plans and business continuity plans are available across the businesses, however further improvements need to be made to plans on London Overground to ensure they take account of recent office moves.

2.11 Training, Testing and Exercises

London Rail HQ	Docklands Light Railway	London Overground	London Tramlink
In Place	In Place	In Place	Implemented

Numerous exercises have taken place across the businesses mainly in preparation for the Olympics. Improvements in the planning and scheduling of testing and exercising will take place in the forthcoming year, as will enhancements to training.

2.12 Staffing

London Rail HQ	Docklands Light Railway	London Overground	London Tramlink
Implemented	Implemented	In Place	Implemented

Processes are in place on London Overground but are not as well embedded as in other parts of London Rail.

2.13 Auditing of Resilience Management Processes

London Rail HQ	Docklands Light Railway	London Overground	London Tramlink
In Place	In Place	In Place	Implemented

Audits are carried out by the TfL internal Audit department. In addition, there are other audits undertaken ‘in house’ and by external auditors. Governance and review arrangements are in place; these include reviews at the quarterly London Rail Safety Committee.

2.14 Management Review of Resilience Management Processes

London Rail HQ	Docklands Light Railway	London Overground	London Tramlink
Implemented	Implemented	In Place	Implemented

London Overground now ensures that resilience is included in the Management Reviews held within the business.

3. Future Resilience Management Developments

As part of the ongoing review and development of Resilience Management the following significant improvement actions are scheduled for 2012/13.

London Rail HQ

- Following on from last year’s successful winter weather preparation programme further enhancements are planned to improve system resilience for both next summer and winter.

DLR

- The further refinement of the joint systems with the Franchisee covering both operational risk management and the change assurance process

will continue to provide long term benefits to DLR with regards to resilience management. This is supported by the considerable work both parties are doing in preparation for the Olympics, the outputs of which will not only provide improved resilience for the Games time but will also provide long lasting legacy benefits to the DLR.

London Overground

- Like DLR, London Overground has made a considerable investment in preparing for the Olympics, the outputs of which will not only provide improved resilience for Games time but will also provide long lasting legacy benefits to the Overground.

Tramlink

- A number of work streams are planned to enhance operational resilience and security. These include twin tracking at Mitcham Junction and a project to improve security at the depot.

Mike Brown
Rail and Underground Managing Director

25 June 2012

Transport for London

Crossrail

Subject: Resilience Assurance Letter

Date: 31 March 2012

1. Introduction

This Letter documents the status of Resilience Management for Crossrail Limited as at 31 March 2012.

Crossrail manages the design and construction stages of a new railway and, hence, unlike TfL's other subsidiaries, is not currently an operational unit. The statements below give an overview of the current position and any planned work.

2. Assurance Compliance Statements

2.1 TfL Resilience Policy

Status	Implemented
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The TfL Resilience Policy Framework has been actively communicated to staff with a need-to-know and is available to all employees.

In 2012 Crossrail published a new Incident Management and Resilience Policy that sets out the principles and objectives for the achievement of excellence in incident management and resilience for our industry partners, stakeholders and contractors.

2.2 Civil Contingencies Act 2004

Status	Implemented
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Crossrail recognises that the Duty Holders of the final operational railway will collectively perform the requirements of Category 2 responders under the Civil Contingencies Act 2004.

In developing the design of the railway Crossrail has applied, in consultation with Rail for London, Network Rail, London Underground and the London Fire Brigade (LFB), design standards and operational concepts consistent with good practice on other railways and which therefore should not unreasonably constrain the future duty holder's ability to respond to their duties under CCA.

A dedicated LFB officer joined the Crossrail team in 2010 as a point of contact for Crossrail for comments on issues affecting fire safety design of the railway; and as a sign post to other relevant LFB contacts. As part of the consultative process, and now that the fixed infrastructure is largely determined, it is intended to engage with the Local Resilience Forum structure through contacts within London Fire Brigade.

2.3 Resilience Management Process

Status	Implemented
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A structured approach to resilience management has been developed in accordance with the criteria laid down in the TfL Resilience Policy Framework and addresses all business critical activities, both operational and non-operational, with risks being assessed and managed in accordance with the TfL risk management processes.

The Crossrail Incident Management and Resilience Policy is supported by a matching strategy which describes Crossrail’s commitment to, and the governance structure for, incident management and resilience planning. The Strategy sets out the arrangements for resilience planning and managing an incident, including audit and management review.

This structured approach to resilience management has been developed in accordance with the criteria laid down in the TfL Resilience Policy Framework and addresses all business critical activities, both operational and non-operational, with risks being assessed and managed in accordance with the Crossrail risk management processes.

2.4 Resilience Planning

Status	In Place
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All Resilience planning and responses are based on the principle of ‘prudent over-reaction’ and support the TfL business plan in fully reflecting TfL’s ethical values and vision. This also ensures that resilience takes full and appropriate account of equality and inclusion matters, staff safety and security.

Resilience planning is led by the Health & Safety Director. The Crossrail Incident Response Manual takes into account the structure of the Crossrail organisation and the Crossrail programme. The business continuity management system is incorporated within this manual and is being further developed during 2012 with the aim to fully align to BS 25999.

The resilience planning process will be consistent with this standard and will be reviewed and approved by the Health and Safety Director.

Crossrail has followed an exercise programme which tests the effectiveness of plans, procedures and teams both at headquarters and on site in the response to an incident. This programme is set to continue for the duration of the project.

2.5 Business Planning

Status	In Place
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There is a process in place for assessing, recording and communicating resilience risks and their implications during business planning and ongoing routine business activities.

Crossrail is further developing its plans for the continuance of critical business activities and the recovery of operations following a business interruption event. Threat assessments are included in these procedures and consider information held in the ARM database, (Crossrail Risk Management Process identified in the Risk Management Plan). These assessments aim to identify single points of failure and where possible identify mitigation options for implementation.

2.6 IM Resilience and Security

Status	In Place
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All information management systems and services are hosted in secure data centres on resilient IT equipment which have in-built fail-over capability and the ability to fail-over between data centres. The data centres are secure and rated to HMG standards for restricted and secret data.

There is an IT Service Continuity Plan which is tested annually. Any failures to the test are recorded and remedied. All IT system and services have been reviewed in line with business continuity requirements and the key systems identified. These have a restore point objective of 24 hours.

The last recovery test in July 2011 was completed successfully and in line with recovery targets. The next test will be completed after the virtualisation of the current physical server infrastructure which is due to be completed at the end of July 2012. This test has subsequently been planned for the end of September to take into account of this project and the Olympics.

2.7 Security of Staff, Customers and Assets

Status	Implemented
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Measures are in place, including the responses to changes in HM Government threat levels and compliance with Section 17 of the Crime and Disorder Act 1998 to ensure the security of TfL staff, customers and assets from crime, terrorism and other malicious threats.

Measures are in place to ensure the security of Crossrail staff, and assets, including assessments of threat levels and responses to changes in threat levels.

Crossrail takes a holistic approach to security by covering the three elements of security – human, physical and information – under one umbrella.

Security policy, processes and standards are published and a security schedule has been added to the Works Information for contractors. Assurance against the requirements of the Works Information is provided by the Crossrail Security Team.

A range of measures are in place to ensure Crossrail security in respect of staff contractors and industry partners, these include:

- Pre employment screening against human resources industry standards
- Liaison with the UK Border Agency.
- Smart card access to all Crossrail floors and areas
- Photograph identification access to all Crossrail offices, checked by security at entry
- Robust floor supervision and patrolling regimes

Crossrail's main office is located within the Canary Wharf complex which has been designed and is maintained to high security standards.

Crossrail employees are given security information during induction, and have been given information on security topics, in group briefing sessions. Subjects covered have included personal safety, IT security, and clear desk policy.

Crossrail has assessed the threat risk to the project to inform the security strategy and business continuity. An assurance process reviews the adequacy of security measures in place at each construction site and identifies recommendations for improvement.

The security procedure and standard details the standards required to be implemented by our contractors.

2.8 Project and Change Management

Status	Implemented
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Resilience risks are considered and addressed using the Crossrail risk management framework when projects are planned or changes introduced.

The Head of Risk manages the Crossrail risk registers covering all aspects of Crossrail activities. The highest ranked programme and strategic risks are reviewed every period by the Risk Sub-Committee (a Board sub-committee).

2.9 Procurement Management

Status	Implemented
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Works, goods and services are procured using a process that provides adequate assurance that supply chain continuity and resilience risks are appropriately managed, recorded and communicated in accordance with the TfL risk management framework and requirements of the TfL resilience management policy framework. This process also ensures that business critical contractors and suppliers have business continuity/recovery plans.

2.10 Emergency, Contingency and Business Continuity Plans

Status	In Place
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The Crossrail Incident Response Manual covers all activities within the Crossrail organisation, including arrangements to support contractors experiencing a site emergency. These arrangements have been prioritised over the past year, with the introduction of a Gold, Silver and Bronze incident management structure supported by a Gold Response Team of directors from across the Crossrail organisation. Crossrail is now prioritising the further development of its business continuity management system to meet the requirements of the programme going forward and to align with BS 25999.

2.11 Training, Testing and Exercises

Status	Implemented
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There are plans in place for the training of staff and testing and exercising of plans, procedures and capabilities to ensure that plans remain fit for purpose and that staff develop and retain the necessary skills to execute them and that these exercise and training programmes are recorded for audit purposes.

2.12 Staffing

Status	In Place
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Members of Crossrail's Silver and Gold response teams have received training and been involved in two simulation exercises testing Crossrail procedures. These provided realistic experience in dealing with a serious incident. This will now be extended to include critical roles which support the recovery of services in the event of disruption and further construction site emergencies.

Crossrail has introduced an Incident Response Desk which is responsible for the coordination of communications and alerting response teams to an incident. This desk will commence operating 24 hours a day later in 2012.

2.13 Auditing of Resilience Management Processes

Status	Implemented
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There is a risk based audit programme in place to provide confirmation of the existence of effective resilience management plans and processes.

2.14 Management Review of Resilience Management Processes

Status	Implemented
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Management reviews of resilience management are conducted and when gaps or shortfalls are identified necessary improvements are put in place.

3. Future Resilience Management Developments

As part of the ongoing review and development of Resilience Management the following significant improvement actions are scheduled for 2012/13.

- Crossrail will procure external expert support to facilitate an emergency exercise planning and delivery for the duration of the construction programme.
- Crossrail will further develop its business continuity management system to align with BS 25999.
- Crossrail will continue training key staff involved in the emergency response and resilience roles to ensure they have the appropriate skills and competences.

Andrew Wolstenholme
CEO Crossrail

11 June 2012

Transport for London
CORPORATE DIRECTORATES

Subject: Resilience Assurance Letter for Corporate Directorates

Date: 16 August 2012

1 Introduction

This Letter documents the status of Resilience Management for the Corporate Directorates as at 31 March 2012.

Sections 2 and 3 address the processes that are in place for the management of resilience activities such as Business Continuity Management for the Corporate Directorates collectively.

Section 4 addresses the specific roles that Corporate Directorates play in relation to wider resilience matters, including support to the prevention of, planning for and responding to major incidents.

2 Resilience Management Process

2.1 TfL Resilience Policy

General Counsel	Group Marketing & Communications	Finance	Planning
Implemented	Implemented	Implemented	Implemented

The TfL Resilience Policy Framework has been actively communicated to staff with a need to know and is available to all employees.

2.2 Civil Contingencies Act 2004

General Counsel	Group Marketing & Communications	Finance	Planning
Implemented	Implemented	Implemented	Implemented

The requirements of the Civil Contingencies Act 2004 are met in sharing information with other category 2 responders and category 1 responders.

2.3 Resilience Management Process

General Counsel	Group Marketing & Communications	Finance	Planning
Implemented	Implemented	Implemented	Implemented

The Business Continuity Management of non operational management and support activities is undertaken within the TfL resilience policy framework and is co-ordinated through a Business Continuity programme Board and led for the Corporate Directorates by a Business Continuity Manager in Group Property and Facilities.

In line with the TfL wide approach, the Corporate Directorates have identified business critical activities and those who deliver them through Business Impact Analyses. Business Recovery Plans that address all areas of the Corporate Directorates have been developed. The Business Recovery Plans document the actions to be taken in the event of the loss of office accommodation or other business disruption.

A Corporate Directorates Lead Director, Business Recovery Management Team and associated Business Recovery Management Team Plan are in place to support and co-ordinate recovery activities in the event of an incident.

2.4 Resilience Planning

General Counsel	Group Marketing & Communications	Finance	Planning
Implemented	Implemented	Implemented	Implemented

Due account of equality and inclusion issues has been taken in to consideration in the development of the Business Recovery Plans and in relation to the selection of recovery sites. All these sites have primary step free access, their facilities are accessible and plans are in place to address other specific equality and inclusion needs that might arise.

2.5 Business Planning

General Counsel	Group Marketing & Communications	Finance	Planning
Implemented	Implemented	In Place	Implemented

As part of ongoing business planning, including updating forecasts, processes are in place to ensure resilience activities have sufficient funding.

2.6 IM Resilience and Security

General Counsel	Group Marketing & Communications	Finance	Planning
Implemented	Implemented	Under Development	Under development

The TfL IM Service Stabilisation Programme has been mobilised and has received funding approval. The first phase activities will provide the necessary underlying infrastructure capability required to deliver IT Disaster Recovery hosting capabilities for IT services on the TfL estate

2.7 Security of Staff, Customers and Assets

General Counsel	Group Marketing & Communications	Finance	Planning
Implemented	Implemented	In Place	Implemented

All TfL Head Office buildings have physical security measures in place to prevent unauthorised access and protect staff, visitors and assets. These include static guarding by contract security staff, building passes, visitor control, electronic access control systems, intruder alarms, CCTV systems etc.

2.8 Project and Change Management

General Counsel	Group Marketing & Communications	Finance	Planning
Implemented	Implemented	In Place	Implemented

Resilience risks are considered and addressed using the TfL risk management framework when projects are planned or changes introduced.

2.9 Procurement Management

General Counsel	Group Marketing & Communications	Finance	Planning
Implemented	Implemented	Implemented	Implemented

Works, goods and services are procured, managed, recorded and communicated in accordance with the TfL risk management framework and requirements of the TfL resilience management policy framework.

2.10 Emergency, Contingency and Business Recovery Plans

General Counsel	Group Marketing & Communications	Finance	Planning
Implemented	Implemented	Implemented	Implemented

There are in place Business Recovery Plans in line with the TfL resilience management policy framework.

2.11 Training, Testing and Exercises

General Counsel	Group Marketing & Communications	Finance	Planning
Implemented	Implemented	Implemented	Implemented

There are plans in place for the training of staff and testing and exercising of plans.

2.12 Staffing

General Counsel	Group Marketing & Communications	Finance	Planning
Implemented	Implemented	In Place	Implemented

Staff in business and time critical roles for emergencies and business disruptions have been identified.

2.13 Auditing of Resilience Management Processes

General Counsel	Group Marketing & Communications	Finance	Planning
Implemented	Implemented	Implemented	Implemented

Internal Audit has a risk based audit programme to provide confirmation of the existence of effective resilience management processes.

2.14 Management Review of Resilience Management Processes

General Counsel	Group Marketing & Communications	Finance	Planning
Implemented	Implemented	Implemented	Implemented

3 Future Resilience Management Developments

Business Continuity processes will continue to be improved and aligned with the ISO 22301 Business Continuity Management standard which is replacing BS 25999 to ensure measurable standards TfL utilises and to be able to certify should we wish to.

4 Directorate Specific Resilience Matters

The following sections address the specific roles that each of the Corporate Directorates plays in relation to wider resilience matters

4.1 General Counsel

- (a) Internal Audit's Annual Audit Plan regularly includes audits which examine resilience management processes across the organisation.
- (b) Internal Audit carried out a follow up review of its 2010/11 audit of IT Disaster Recovery and Resilience arrangements. This found that a robust IT Disaster Recovery Strategy is now in place and is in the process of being delivered. Internal Audit also audited the resilience of some key applications used by the Traffic Directorate in Surface Transport. Some issues were raised that management is now working to address. Internal Audit will follow up progress during 2012/13.
- (c) General Counsel provides legal advice and support to resilience planning and incident management, including having in place an emergency plan to provide out of hours support should it be needed.
- (d) TfL Legal provides training and guidance on legal issues during incidents and events to mitigate legal and reputational risks.
- (e) TfL Legal provides support for enforcement
- (f) Information Governance manages the response to incidents involving the loss or unauthorised disclosure of personal information to mitigate legal and reputational risks.

Howard Carter
Managing Director General Counsel

03 July 2012

4.2 Group Marketing and Communications

- (a) Group Marketing and Communications are part of the London Resilience Partnership communications structures and liaise with the London Resilience Team and the GLA in regard to resilience matters.

- (b) Group Customer Services through Journey Planner and a number of associated information channels, such as the Travel Information Contact Centre, SMS mobile alerts and Realtime information provide minute by minute information services to Londoners in the event of incidents. The hosting servers have a capacity which allows for 100 percent growth, unexpected demand or single or multiple server failures. This arrangement does not provide resilience against a catastrophic failure of the site, which could result in Journey Planner being unavailable for a significant period.
- (c) As a 24 hour-a-day, 365-day-a-year operation the TfL Press Office has put in place robust resilience plans. There is a structured command system and on-call arrangements, including links with all the relevant TfL operational control centres. There are well practised procedures in place for managing incidents and communicating with the media. The TfL Press Office also leads on TfL's multi-agency communications liaison and planning with the London Resilience Team through their Strategic Communications Group.
- (d) Group Internal Communications develops and delivers employee communications in the event of any major incident or emergency. The team has a nominated lead member and a deputy within the Business Recovery Management Team for TfL. Processes for internal communication are documented within the Business Recovery Plans and the TfL Safety and Wellbeing Policy.
- (e) Group New Media manage and develop key online services including the TfL website and Intranet. These provide updates to the public and partner organisations on the status of London's public transport and roads networks supporting over 10 million visits per month during normal times. This is supported through a highly resilient hosting environment. Group New Media provide a 24/7 on-call team to support these services.

Vernon Everitt

26 June 2012

Managing Director Group Marketing and Communications

4.3 Finance

- (a) Business Planning ensures that there is an appropriate contingency to deal with unforeseen circumstances which may arise.
- (b) Human Resources has an enhanced Employment Screening Process for external recruited employees under which all new roles are assigned a category for employment screening based on the risks associated with the role. Checks include confirmation of identify, financial probity and government security vetting, if required.
- (c) Group Property & Facilities is responsible for the provision of a total facilities management service (strategic, tactical and operational) to the TfL Group Head Office property portfolio.

- (d) Group Property & Facilities responsibility includes ensuring that the TfL Group Head Office portfolio remains capable of both fully supporting the business and complying with legislative requirements and that foreseeable risks to the continuity of business operation are mitigated and asset life optimised. This is achieved by a combination of routine planned and reactive maintenance to the buildings' fabric, services and systems and a programme of more significant maintenance activities known as Property Care and additional activities such as physical security of buildings and Business Continuity planning and implementation.
- (e) In relation to Business Continuity, Group Property & Facilities provides and manages the provision of business recovery accommodation for the Corporate Directorates by ensuring that workstations, facilities, services and IT requirements are available for use by business critical functions based in TfL managed Head Office buildings in the event that their normal place of work becomes unavailable for an extended period of time. This is achieved by a mix of in-house recovery sites and the provision of mutual aid workstations at designated Head Office buildings.
- (f) Group Property & Facilities ensures that all Corporate Directorates business recovery plans are reviewed twice a year. After each review all business recovery data is consolidated into a report to determine the business recovery requirements for corporate functions.
- (g) Group Property & Facilities maintain and test building emergency arrangements for all TfL managed Head Office buildings. These procedures are documented and published on Source. A Facilities Incident Management Plan is provided and maintained for use by the Facilities Incident Management Team during a serious incident at a TfL Head Office building.
- (h) The Group Property & Facilities Accommodation Strategy ensures that all new Head Office accommodation provides sufficient resilience in relation to their location, services systems and fabric to meet the functional requirements of the Business Units located in them.

Steve Allen
Managing Director Finance:

27 July 2012

4.4 Planning

- (a) Planning ensures that the projects, policies, strategies and plans it develops address resilience matters in line with Business Planning's documented requirements. A significant amount of work has taken place over the last 12 months to align the business planning process with the transport planning process.

- (b) Robust analysis and planning is undertaken to mitigate against potential future difficulties which could significantly impact the operational resilience of the TfL transport network. Appropriate strategic plans are developed through the Mayor's Transport Strategy and other relevant policies to address identified issues.

- (c) A Planning Leadership Team has been established post Project Horizon to ensure that the principles that underpinned that organisational change of collaborating across the TfL business. The Transport Planning Steering Group has been established to consider and shape transport strategy and policy for TfL

Michèle Dix,
Managing Director, TfL Planning

6 August 2012