

Audit Detail		Audit Scope						Findings			
155 Nr											
Audit Item	Unique Reference Number	Audit Report Date	Subject / Theme	Auditing Against	Detail (Schedule, Part, Clause, Statute etc...)	Detail - Extended Scope	Entity	Type	WRAG Status	Summary Description of Finding	Detailed Description of Finding
303	154	154.1	28/03/2012	Change	M25 DBFO Co Contract Schedules	Schedule 26, Part 2 Review of the DBFO Co's change processes on OnePlace (follow up to workshops held in late 2011, requiring amendments to existing processes and new processes to be prepared by CP/CPS), in particular: - DBFO Co's Service Change & DBFO Co's Works Change	CP	Obs	Green	Re DBFO Co Works Change & DBFO Co Service Change - Issue the new One Place processes reviewed during this audit to [redacted] of the DN Contracts Team for review & comment.	
304	154	154.2	28/03/2012	Change	M25 DBFO Co Contract Schedules	Schedule 26, Part 2 Review of the DBFO Co's change processes on OnePlace (follow up to workshops held in late 2011, requiring amendments to existing processes and new processes to be prepared by CP/CPS), in particular: - DBFO Co's Service Change & DBFO Co's Works Change	CP	Obs	Green	Re DBFO Works Change - Evidence required to demonstrate the DBFO Co's management of the S88 JV's Works / Site change process with the S88 JV [redacted] to action.	
305	154	154.3	28/03/2012	Change	M25 DBFO Co Contract Schedules	Schedule 26, Part 2 Review of the DBFO Co's change processes on OnePlace (follow up to workshops held in late 2011, requiring amendments to existing processes and new processes to be prepared by CP/CPS), in particular: - DBFO Co's Service Change & DBFO Co's Works Change	CP	Imp	N/A	Re DBFO Works Change - It may be pertinent to add a formal DBFO Co audit of the S88 JV's Works Change Process into the DBFO Co's Annual M5 audit plan.	
306	154	154.4	28/03/2012	Change	M25 DBFO Co Contract Schedules	Schedule 26, Part 2 Review of the DBFO Co's change processes on OnePlace (follow up to workshops held in late 2011, requiring amendments to existing processes and new processes to be prepared by CP/CPS), in particular: - DBFO Co's Service Change & DBFO Co's Works Change	CP	Imp	N/A	Re DBFO Co Service Change - It may be pertinent to add a link to the Service Change Register to the appropriate box of the DBFO Co Service Change Process	
307	154	154.5	28/03/2012	Change	M25 DBFO Co Contract Schedules	Schedule 26, Part 2 Review of the DBFO Co's change processes on OnePlace (follow up to workshops held in late 2011, requiring amendments to existing processes and new processes to be prepared by CP/CPS), in particular: - DBFO Co's Service Change & DBFO Co's Works Change	CP	Obs	Green	Re DBFO Co Service Change - The 8 agreed Service Changes in place since Service Commencement need to be documented within the DBFO Co's contract documentation (eg: Sch 33 or other means agreed with the DN).	
308	154	154.6	28/03/2012	Change	M25 DBFO Co Contract Schedules	Schedule 26, Part 2 Review of the DBFO Co's change processes on OnePlace (follow up to workshops held in late 2011, requiring amendments to existing processes and new processes to be prepared by CP/CPS), in particular: - DBFO Co's Service Change & DBFO Co's Works Change	CP	Imp	N/A	Re Change - It may be pertinent for the DBFO Co to produce a fully hyper-linked contract disk similar to that used by the DN.	
309	154	154.7	28/03/2012	Change	M25 DBFO Co Contract Schedules	Schedule 26, Part 2 Review of the DBFO Co's change processes on OnePlace (follow up to workshops held in late 2011, requiring amendments to existing processes and new processes to be prepared by CP/CPS), in particular: - DBFO Co's Service Change & DBFO Co's Works Change	CP	Obs	Green	Re Change - One Place processes for Change to be completed by Easter & supplied to the DN for information	
310	155	155.2	28/03/2012	Management Systems	CP/CPS Processes and Procedures	Implementation of Project Shield A review of a sample of Project Shield processes rolled out in 2011 [redacted] to supply a list of newly rolled out processes for review.	CP/CPS	Obs	Amber	Re Project Shield - A random sample of CPS operatives were audited at their desk to determine if they were aware of Project Shield / their One Place processes. The audit identified that the majority of staff could not navigate to their One Place processes even after successfully navigating to the correct document library. One member of staff claimed 'ignorance' re Project Shield it's self, a number claimed they had received 'no training' on One Place was the issue & another 'was unaware of the DN?'	
311	155	155.3	28/03/2012	Management Systems	CP/CPS Processes and Procedures	Implementation of Project Shield A review of a sample of Project Shield processes rolled out in 2011 [redacted] to supply a list of newly rolled out processes for review.	CP/CPS	Imp	N/A	Re Project Shield - It may be pertinent for CPS to introduce One Place training as part of the standard staff induction process.	
313	156	156.2	28/03/2012	Communications	M25 DBFO Co Contract Schedules	Sch 15 Part 1 Para 7 DBFO Co Communications Plan Review of Customer Complaints / Enquiries, 10 day SLA compliance, Process & quality of responses. Management of CCTV enquiries.	CP/CPS	Obs	Amber	The poor performance of One Place made the DN delivery of this audit extremely difficult.	
314	156	156.3	28/03/2012	Communications	M25 DBFO Co Contract Schedules	Sch 15 Part 1 Para 7 DBFO Co Communications Plan Review of Customer Complaints / Enquiries, 10 day SLA compliance, Process & quality of responses. Management of CCTV enquiries.	CP/CPS	Obs	Green	The overall process for the management of CCTV enquiries needs formalising across the Contract [redacted] to organise a meeting with HA in April 2012 to take forward.	
316	156	156.5	28/03/2012	Communications	M25 DBFO Co Contract Schedules	Sch 15 Part 1 Para 7 DBFO Co Communications Plan Review of Customer Complaints / Enquiries, 10 day SLA compliance, Process & quality of responses. Management of CCTV enquiries.	CP/CPS	Imp	N/A	It may be pertinent for CP to provide a guidance document to HA to assist with the opening of certain file formats / media types.	
317	157	157.1	28/03/2012	Communications	M25 DBFO Co Contract Schedules	Sch 15 Part 1 Para 7 DBFO Co Communications Plan Management of formal correspondence MP / MEP / PQ's / CEO's / FoIA's. Process & quality of responses.	CP/CPS	Obs	Green	Update the Official Correspondence suite of processes on OnePlace when the programmed Inform upgrades are complete.	
319	157	157.3	28/03/2012	Communications	M25 DBFO Co Contract Schedules	Sch 15 Part 1 Para 7 DBFO Co Communications Plan Management of formal correspondence MP / MEP / PQ's / CEO's / FoIA's. Process & quality of responses.	CP/CPS	Obs	Green	Inform ref 10316 - there was no record in the approval tab of [redacted] CP sign off for this official Ministerial correspondence.	

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Audit Item	Unique Reference Number	Audit Report Date	Subject / Theme	Auditing Against	Detail (Schedule, Part, Clause, Statute etc.)	Detail - Extended Scope	Entity	Type	WRAG Status	Summary Description of Finding	Detailed Description of Finding	
321	158	158.1	28/03/2012	Asset Management	M25 DBFO Co Contract Schedules	Sch 14 Part 2 Asset Management - NMM Part 3 & RWSC Part 2.2	Defect Management - This would be an end to end audit - identification, classification, recording, rectification and close out including KPI reporting. This may include a site visit also.	CP/CPS	Obs	Green	CPS Inspect Asset Condition Process - add ref's to RWSC as required, noting links to the NMM are in place.	
322	158	158.10	28/03/2012	Asset Management	M25 DBFO Co Contract Schedules	Sch 14 Part 2 Asset Management - NMM Part 3 & RWSC Part 2.2	Defect Management - This would be an end to end audit - identification, classification, recording, rectification and close out including KPI reporting. This may include a site visit also.	CP/CPS	Imp	N/A	No interaction between Asset Management System into ERP. How is cost captured per Works Order.	
323	158	158.11	28/03/2012	Asset Management	M25 DBFO Co Contract Schedules	Sch 14 Part 2 Asset Management - NMM Part 3 & RWSC Part 2.2	Defect Management - This would be an end to end audit - identification, classification, recording, rectification and close out including KPI reporting. This may include a site visit also.	CP/CPS	Imp	N/A	The methodology re checking existing defects on following 7 day Safety Inspections could be improved. E.g. via DCD instead of the current Excel spreadsheets.	
324	158	158.12	28/03/2012	Asset Management	M25 DBFO Co Contract Schedules	Sch 14 Part 2 Asset Management - NMM Part 3 & RWSC Part 2.2	Defect Management - This would be an end to end audit - identification, classification, recording, rectification and close out including KPI reporting. This may include a site visit also.	CP/CPS	Obs	Amber	Please provide the DN with the long-stop inspections for 54c since Service Commencement. Please close this item out in a timely manner.	
325	158	158.2	28/03/2012	Asset Management	M25 DBFO Co Contract Schedules	Sch 14 Part 2 Asset Management - NMM Part 3 & RWSC Part 2.2	Defect Management - This would be an end to end audit - identification, classification, recording, rectification and close out including KPI reporting. This may include a site visit also.	CP/CPS	Obs	Green	CPS Safety Patrol Process - add links to NMM / RWSC as required. This will give staff links to the performance requirements required in the Standards. Add link to conformed copy of the Patrol Book & associated docs as required.	
326	158	158.3	28/03/2012	Asset Management	M25 DBFO Co Contract Schedules	Sch 14 Part 2 Asset Management - NMM Part 3 & RWSC Part 2.2	Defect Management - This would be an end to end audit - identification, classification, recording, rectification and close out including KPI reporting. This may include a site visit also.	CP/CPS	Imp	N/A	Send CPS Patrol / Defect manuals to the DN for review & comment.	
327	158	158.4	28/03/2012	Asset Management	M25 DBFO Co Contract Schedules	Sch 14 Part 2 Asset Management - NMM Part 3 & RWSC Part 2.2	Defect Management - This would be an end to end audit - identification, classification, recording, rectification and close out including KPI reporting. This may include a site visit also.	CP/CPS	Obs	Amber	Please provide evidence that the current resource on-roads teams can deliver the defined Safety Inspection Programme. Are the routes clearly defined.	
328	158	158.5	28/03/2012	Asset Management	M25 DBFO Co Contract Schedules	Sch 14 Part 2 Asset Management - NMM Part 3 & RWSC Part 2.2	Defect Management - This would be an end to end audit - identification, classification, recording, rectification and close out including KPI reporting. This may include a site visit also.	CP/CPS	Obs	Amber	Provide evidence that the whole network is covered by the planned Safety Inspections.	
329	158	158.6	28/03/2012	Asset Management	M25 DBFO Co Contract Schedules	Sch 14 Part 2 Asset Management - NMM Part 3 & RWSC Part 2.2	Defect Management - This would be an end to end audit - identification, classification, recording, rectification and close out including KPI reporting. This may include a site visit also.	CP/CPS	Obs	Green	CPS Safety Inspections Process - check links to ensure they reference the reference documents correctly.	
330	158	158.7	28/03/2012	Asset Management	M25 DBFO Co Contract Schedules	Sch 14 Part 2 Asset Management - NMM Part 3 & RWSC Part 2.2	Defect Management - This would be an end to end audit - identification, classification, recording, rectification and close out including KPI reporting. This may include a site visit also.	CP/CPS	Imp	N/A	Works to repair Defects should be raised direct from the Defect, from site, not the parallel process currently in place.	
331	158	158.8	28/03/2012	Asset Management	M25 DBFO Co Contract Schedules	Sch 14 Part 2 Asset Management - NMM Part 3 & RWSC Part 2.2	Defect Management - This would be an end to end audit - identification, classification, recording, rectification and close out including KPI reporting. This may include a site visit also.	CP/CPS	Obs	Green	Document a process for scheduling long-stop inspections. RWSC performance requirements factored in?	
332	158	158.9	28/03/2012	Asset Management	M25 DBFO Co Contract Schedules	Sch 14 Part 2 Asset Management - NMM Part 3 & RWSC Part 2.2	Defect Management - This would be an end to end audit - identification, classification, recording, rectification and close out including KPI reporting. This may include a site visit also.	CP/CPS	Imp	N/A	Confirm Mobile - improvements required to make free text fields intelligent for capturing CAT 2 defects.	
333	159	159.1	28/03/2012	Carriageway Condition Criteria	Highways Agency Service Standards	Sch 25 Part 3 Para 2	A review of The Carriageway Condition Criteria to include Ride Quality, Rutting, Texture Condition Criteria & High Friction Surfacing, Micro Surfacing and Surface Dressing. Records will be reviewed for some specific HAPMS Sections.	CP/CPS	Obs	Green	The DN would like to verify the Excel Spreadsheets that sit behind the Paymch Data Warehouse Model. CP to liaise with the DN.	
334	159	159.2	28/03/2012	Carriageway Condition Criteria	Highways Agency Service Standards	Sch 25 Part 3 Para 2	A review of The Carriageway Condition Criteria to include Ride Quality, Rutting, Texture Condition Criteria & High Friction Surfacing, Micro Surfacing and Surface Dressing. Records will be reviewed for some specific HAPMS Sections.	CP/CPS	Obs	Green	CP to provide a spreadsheet showing the overall Network Coverage of TRACS of the Project Road to the DN.	

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335	159	159.3	28/03/2012	Carrageway Condition Criteria	Highways Agency Service Standards	Sch 25 Part 3 Para 2	A review of The Carrageway Condition Criteria to include Ride Quality, Rutting, Texture Condition Criteria & High Friction Surfacing, Micro Surfacing and Surface Dressing. Records will be reviewed for some specific HAPMS Sections.	CP/CPS	Obs	Red	Process for MCCA close-out needs further definition on OnePlace especially after the completion of Lifecycle works. Review if further detail is required on other MCCA processes on One Place because those reviewed during the audit appeared to be very highlevel & potentially lacked detail.			
336	159	159.4	28/03/2012	Carrageway Condition Criteria	Highways Agency Service Standards	Sch 25 Part 3 Para 2	A review of The Carrageway Condition Criteria to include Ride Quality, Rutting, Texture Condition Criteria & High Friction Surfacing, Micro Surfacing and Surface Dressing. Records will be reviewed for some specific HAPMS Sections.	CP/CPS	Obs	Green	CPS to investigate errors with the Paymetech Data Warehouse Model regarding SCRM & Texture failures.			
337	160	160.1	28/03/2012	Asset Management	Highways Agency Service Standards	BD 63/07 - Inspection of Highway Structures / BD 79/06 - Management of Sub-standard Highway Structures	Implementation of the requirements of BD63/07 & 79/06	CP/CPS	Obs	Green	Send the latest electronic version of the 'Structure Inspection Reporting Workshop' PowerPoint presentation to [redacted] for review & comment.			
340	160	160.4	28/03/2012	Asset Management	Highways Agency Service Standards	BD 63/07 - Inspection of Highway Structures / BD 79/06 - Management of Sub-standard Highway Structures	Implementation of the requirements of BD63/07 & 79/06	CP/CPS	Obs	Green	Structure key 3379 is a Network Rail overbridge so can be removed from the PI inspection programme.			
341	161	161.1	28/03/2012	Process	CP/CPS Processes and Procedures	CP IMS	Implementation of the Technical Query process on BIW	CP	Obs	Green	Ensure any outstanding TQ's on One Place are migrated to the new TQ process on BIW. The volume is likely to be low.			
342	161	161.2	28/03/2012	Process	CP/CPS Processes and Procedures	CP IMS	Implementation of the Technical Query process on BIW	CP	Obs	Green	Review the One Place TQ procedure & update the Step 2 & Step 4 content inline with the discussions during the audit (Step Owner & Step 3 ref to Step 7)			
346	164	164.1	28/03/2012	Dartford	CP/CPS Processes and Procedures	Process for the closure of the Dartford Crossing	Implementation of said process.	CPS	Imp	N/A	A formal protocol should be developed between CPS & the Traffic Officer Service to aid the implementation of bridge closures.			
348	164	164.3	28/03/2012	Dartford	CP/CPS Processes and Procedures	Process for the closure of the Dartford Crossing	Implementation of said process.	CPS	Obs	Green	The Traffic Management drawings could not be found in One Place.			
349	164	164.4	28/03/2012	Dartford	CP/CPS Processes and Procedures	Process for the closure of the Dartford Crossing	Implementation of said process.	CPS	Imp	N/A	CPS to review with the local authority the use of traffic signals during an incident at Jct 30 / 31 to see if this can be improved.			
351	165	165.1	28/03/2012	Emergency Planning	Highways Agency Service Standards	NMM Section 7.6 Contingency Planning - Evidence - Contribution - Strategies, Plans, etc - Programme - Incident Management / contingency planning - Reviews of tactical diversion routes / diversion route - Liaison	CP/CPS	NCR	Amber	Electronic version of the Contingency Plan in the CPS CDA was not the 'live' version. Current version returned 'revoked' to CPS in Nov 11, version in CDA dated May 11.				
352	165	165.1	28/03/2012	Emergency Planning	Highways Agency Service Standards	NMM Section 7.6 Contingency Planning - Evidence - Contribution - Strategies, Plans, etc - Programme - Incident Management / contingency planning - Reviews of tactical diversion routes / diversion route - Liaison	CP/CPS	Imp	N/A	Local Resilience Forum (LRF) attendance. CPS were unable to evidence minutes of LRF's on OnePlace because they were stored in Outlook. Generate a document library on OnePlace for LRF minutes.				
353	165	165.2	28/03/2012	Emergency Planning	Highways Agency Service Standards	NMM Section 7.6 Contingency Planning - Evidence - Contribution - Strategies, Plans, etc - Programme - Incident Management / contingency planning - Reviews of tactical diversion routes / diversion route - Liaison	CP/CPS	Imp	N/A	It may be pertinent to add a link from the CPS Contingency Planning process to the CPS CDA for convenience.				
354	165	165.3	28/03/2012	Emergency Planning	Highways Agency Service Standards	NMM Section 7.6 Contingency Planning - Evidence - Contribution - Strategies, Plans, etc - Programme - Incident Management / contingency planning - Reviews of tactical diversion routes / diversion route - Liaison	CP/CPS	Obs	Green	There was not a complete evidence trail for the required 6 monthly reviews of the CPS Contingency Plan retained on OnePlace.				
357	165	165.6	28/03/2012	Emergency Planning	Highways Agency Service Standards	NMM Section 7.6 Contingency Planning - Evidence - Contribution - Strategies, Plans, etc - Programme - Incident Management / contingency planning - Reviews of tactical diversion routes / diversion route - Liaison	CP/CPS	Obs	Green	Resilience Risk Assessment Plan Steering Group needs to meet as planned. Noting that the programmed meeting for Mar 12 did not take place.				

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165	165.7	28/03/2012	Emergency Planning	Highways Agency Service Standards	NMM Section 7.6 Contingency Planning	Attendance at Emergency planning meetings Evidence Contribution Strategies, Plans, etc Programme Incident Management / contingency planning Reviews of tactical diversion routes / diversion route Liaison	CP/CPS	Imp	N/A	Off Network Diversion Routes (ONDR) - It may be pertinent to add to the register the planned review date for each route.	
165	165.8	28/03/2012	Emergency Planning	Highways Agency Service Standards	NMM Section 7.6 Contingency Planning	Attendance at Emergency planning meetings Evidence Contribution Strategies, Plans, etc Programme Incident Management / contingency planning Reviews of tactical diversion routes / diversion route Liaison	CP/CPS	Obs	Amber	Off Network Diversion Routes (ONDR) - There was no evidence on OnePlace for the annual inspections of the ONDR's. Evidence currently retained in Outlook.	
165	165.9	28/03/2012	Emergency Planning	Highways Agency Service Standards	NMM Section 7.6 Contingency Planning	Attendance at Emergency planning meetings Evidence Contribution Strategies, Plans, etc Programme Incident Management / contingency planning Reviews of tactical diversion routes / diversion route Liaison	CP/CPS	Imp	N/A	Consider creating a generic annual inspection template for collecting ONDR review information which can then be stored on OnePlace rather than Outlook as observed during the audit.	
166	166.1	28/03/2012	Information Management	M25 DBFO Co Contract Schedules	Sch 15 Part 1 Para 6 DBFO Co Information Management Plan	Review of Archiving / Retention Periods. Process & implementation. Review of system updates documented in IMP for CY3.	CP/CPS	Obs	Green	Demonstrated the CPS Archive Process. This process is currently published in draft format, update & publish as required. Target date end Apr 12.	
166	166.3	28/03/2012	Information Management	M25 DBFO Co Contract Schedules	Sch 15 Part 1 Para 6 DBFO Co Information Management Plan	Review of Archiving / Retention Periods. Process & implementation. Review of system updates documented in IMP for CY3.	CP/CPS	Obs	Green	Facilitate access to the CP / CPS Control Documents Area for all CP / CPS / DN staff.	
167	167.2	28/03/2012	Event Management	CP/CPS Plan	Olympic Preparedness	A review to give HA confidence that the Olympics are being given due consideration by the DBFO Co.	CP/CPS	Obs	Green	CPS to liaise with HA to determine their Comms Strategy with respect to the Olympics.	
168	168.1	28/03/2012	Environment	M25 DBFO Co Contract Schedules	Annex 4 to Part 2 of Schedule 9 Maintenance and Operation Environmental Management Plan Process	Implementation of the MOEMP for the Project Road inc MOEMP programme of inspections and works	CP/CPS	NCR	Amber	Re Sch 9 Part 2 Annex 4 Para 3.1 MOEMP Programme. There was no evidence that the DBFO Co had fulfilled the delivery programme as documented in Figure 1. For example - Air Quality Management Plan (+3), Surface Water Outfalls Plan (+10), draft MOEMP (+10), EnvIs updates (3 monthly).	
168	168.2	28/03/2012	Environment	M25 DBFO Co Contract Schedules	Annex 4 to Part 2 of Schedule 9 Maintenance and Operation Environmental Management Plan Process	Implementation of the MOEMP for the Project Road inc MOEMP programme of inspections and works	CP/CPS	Obs	Green	Re Sch 9 Part 2 Annex 4 Para 1.2.7 - For audit purposes ensure the DBFO Co records their quarterly updates to EnvIs especially on the occasions when there are no updates to upload.	
168	168.3	28/03/2012	Environment	M25 DBFO Co Contract Schedules	Annex 4 to Part 2 of Schedule 9 Maintenance and Operation Environmental Management Plan Process	Implementation of the MOEMP for the Project Road inc MOEMP programme of inspections and works	CP/CPS	Obs	Green	Re Sch 9 Part 2 Annex 4 Para 2.7 Audit - Based on the findings of this audit the DBFO Co may want to review the scope of their audits to make them more effective.	
168	168.4	28/03/2012	Environment	M25 DBFO Co Contract Schedules	Annex 4 to Part 2 of Schedule 9 Maintenance and Operation Environmental Management Plan Process	Implementation of the MOEMP for the Project Road inc MOEMP programme of inspections and works	CP/CPS	NCR	Amber	Re Sch 9 Part 2 Annex 4 Para 2.6 Quadrant-level plans - Their was insufficient evidence that the content of the Quadrant-level plans met the contractual obligations. The contract Para 2.6.3 states 'Each Quadrant Plan shall contain all necessary information to manage the environmental aspects of the Project Road and mitigation measures for maintenance, operations or scheme work'. Para 2.6.2 'Each Quadrant Plan shall also contain the environmental aspects of the mitigation programmes to be implemented by the on-road teams in that quadrant together with its own prioritised targets & objectives'. & Para 2.6.3 'The Quadrant Plans shall reflect local designations and the requirements of the 3 year rolling LMP. Link in sufficient detail that currently sits outside the Quadrant-level plans to fulfil these obligations.	
168	168.5	28/03/2012	Environment	M25 DBFO Co Contract Schedules	Annex 4 to Part 2 of Schedule 9 Maintenance and Operation Environmental Management Plan Process	Implementation of the MOEMP for the Project Road inc MOEMP programme of inspections and works	CP/CPS	Obs	Green	It wasn't clear if the Inspection Programme was based on known networks/intelligence e.g.: what special requirements (e.g.: flora / fauna) are in place for specific land plots, growing season, 20% programme based on risk etc	

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71	168	168.6	28/03/2012	Environment	M25 DBFO Co Contract Schedules	Annex 4 to Part 2 of Schedule 9 Maintenance and Operation Environmental Management Plan Process	Implementation of the MOEMP for the Project Road inc MOEMP programme of inspections and works	CP/CPS	Obs	Amber	Re Sch 9 Part 2 Annex 4 Para 3.2 - DBFO Co Resource & Team. The DN is concerned that the DBFO Co potentially don't have the resources in place going forward to deliver the MOEMP. This includes the backlog of inspection data into Confirm	
72	168	168.7	28/03/2012	Environment	M25 DBFO Co Contract Schedules	Annex 4 to Part 2 of Schedule 9 Maintenance and Operation Environmental Management Plan Process	Implementation of the MOEMP for the Project Road inc MOEMP programme of inspections and works	CP/CPS	NCR	Red	Re MOEMP v1.26 Para 10, 10.2 & 10.4. The DBFO Co are not uploading environmental data into CONFRIM as required by their MOEMP. There are interface, functionality & licence issues that need to be resolved.	
73	168	168.8	28/03/2012	Environment	M25 DBFO Co Contract Schedules	Annex 4 to Part 2 of Schedule 9 Maintenance and Operation Environmental Management Plan Process	Implementation of the MOEMP for the Project Road inc MOEMP programme of inspections and works	CP/CPS	NCR	Red	Re MOEMP v1.26. Even though the DBFO Co have a MOEMP that has been appropriately endorsed through the Review Procedure. The DBFO Co were not in a position throughout the audit to evidence their delivery & compliance to the plans contained within it.	
74	169	169.1	28/03/2012	Routine Maintenance Programme	M25 DBFO Co Contract Schedules	Schedule 9, Part 2 Routine Service	Delivery of the planned Routine Maintenance Programme, including a review of actuals against planned Routine Service activities - Litter Picking, Grass Cutting, Etc	CP/CPS	Obs	Green	There is no Maintenance Layer in Confirm, so Works Orders for maintenance works can not be raised directly to Inform.	
76	171	171.1	28/03/2012	Health & Safety	Legislation Statute	NMM Section 3.19 / 3.20 / 1.2.1	Leatherhead Depot Audit - Fuel Tank Operations, Legionella, Fire, Asbestos (inc 6m checks), storage of flammable materials, Management of sub-contractors, PAT Testing, RA /MS for Operations, Access to OnePlace. To include check of NMM required Monthly and Quarterly checks processes.		Imp	N/A	Point of Work risk assessment - possible improvements were proposed by the operational team and during audit	The point of work risk assessment was being used in an A4 format as a pre site risk review. Plus this use of the dynamic risk assessment on site. The site team suggested the RA could be improved by adding a location and job number details. The process should be reviewed with operational feedback. The RA could be used to communicate known hazards to the CDMc.
78	171	171.3	28/03/2012	Health & Safety	Legislation Statute	NMM Section 3.19 / 3.20 / 1.2.1	Leatherhead Depot Audit - Fuel Tank Operations, Legionella, Fire, Asbestos (inc 6m checks), storage of flammable materials, Management of sub-contractors, PAT Testing, RA /MS for Operations, Access to OnePlace. To include check of NMM required Monthly and Quarterly checks processes.	CPS	NCR	Amber	Electrical Hazard Electrical cable damaged.	Electrical cable at wash down area near hazard material stores damaged and exposed.
79	171	171.4	28/03/2012	Health & Safety	Legislation Statute	NMM Section 3.19 / 3.20 / 1.2.1	Leatherhead Depot Audit - Fuel Tank Operations, Legionella, Fire, Asbestos (inc 6m checks), storage of flammable materials, Management of sub-contractors, PAT Testing, RA /MS for Operations, Access to OnePlace. To include check of NMM required Monthly and Quarterly checks processes.		Obs	Green	Lights in Hazard stores not maintained	There were 3 lights in the hazardous material stores which were not working correctly. The stores are used at night including for material storage. Posing a slip trip issue due to inadequate lighting.
80	171	171.5	28/03/2012	Health & Safety	Legislation Statute	NMM Section 3.19 / 3.20 / 1.2.1	Leatherhead Depot Audit - Fuel Tank Operations, Legionella, Fire, Asbestos (inc 6m checks), storage of flammable materials, Management of sub-contractors, PAT Testing, RA /MS for Operations, Access to OnePlace. To include check of NMM required Monthly and Quarterly checks processes.	CPS	NCR	Amber	Depot doors not maintained PUWR. Garage doors Number 1 not maintained.	The depot manager confirmed that due to a supply chain management issue Kaba doors arrived on site without suitable risk assessments and method statement to undertake maintenance of the doors. Kaba did not undertake maintenance on the garage door.
81	171	171.6	28/03/2012	Health & Safety	Legislation Statute	NMM Section 3.19 / 3.20 / 1.2.1	Leatherhead Depot Audit - Fuel Tank Operations, Legionella, Fire, Asbestos (inc 6m checks), storage of flammable materials, Management of sub-contractors, PAT Testing, RA /MS for Operations, Access to OnePlace. To include check of NMM required Monthly and Quarterly checks processes.		Obs	Green	Metsel EPM material COSHH data not available	Material COSHH data has been requested from Sygol but was not available at time of audit.
82	171	171.7	28/03/2012	Health & Safety	Legislation Statute	NMM Section 3.19 / 3.20 / 1.2.1	Leatherhead Depot Audit - Fuel Tank Operations, Legionella, Fire, Asbestos (inc 6m checks), storage of flammable materials, Management of sub-contractors, PAT Testing, RA /MS for Operations, Access to OnePlace. To include check of NMM required Monthly and Quarterly checks processes.		Imp	N/A	Depot plans including fire	Consider updating plans in colour so the icons relating to fire and fire exits can be read more easily. Plus laminate drawings if possible.

Audit Detail		Pre-Audit							During Audit			
		Audit Scope							Findings			
Audit Item		Unique Reference Number	Audit Report Date	Subject / Theme	Auditing Against	Detail (Schedule, Part, Clause, Statute etc.)	Detail - Extended Scope	Entity	Type	WRAG Status	Summary Description of Finding	Detailed Description of Finding
383	171	171.8	28/03/2012	Health & Safety	Legislation Statute	NMM Section 3.19 / 3.20 / 1.2.1	Leatherhead Depot Audit - Fuel Tank Operations, Legionella, Fire, Asbestos (inc 6m checks), storage of flammable materials, Management of sub-contractors, PAT Testing, RA / MS for Operations, Access to OnePlace. To include check of NMM required Monthly and Quarterly checks processes.		Obs	Green	Electrical warning missing	The electrical warning on the 400v distributor units within the ISU stores was missing.
384	171	171.9	28/03/2012	Health & Safety	Legislation Statute	NMM Section 3.19 / 3.20 / 1.2.1	Leatherhead Depot Audit - Fuel Tank Operations, Legionella, Fire, Asbestos (inc 6m checks), storage of flammable materials, Management of sub-contractors, PAT Testing, RA / MS for Operations, Access to OnePlace. To include check of NMM required Monthly and Quarterly checks processes.		Obs	Green	Fuel tank information - operation and maintenance including H&S file information not available.	The O&M information for the fuel tank including its location on one place was not communicated to the depot manager. Including tank information confirming that access to the top of the tanks is restricted.
387	173	173.2	28/03/2012	Health & Safety	Legislation Statute	NMM Section 3.19 / 3.20 / 1.2.1	Swanley Depot Audit - Fuel Tank Operations, Legionella, Fire, Asbestos (inc 6m checks), storage of flammable materials, Management of sub-contractors, PAT Testing, RA / MS for Operations, Access to OnePlace. To include check of NMM required Monthly and Quarterly checks processes.		Obs	Green	Walkway paint failure	The walkway paint near fuel tanks was flaking and was falling. It was noted that the paint selection may be a problem which may have caused the failure.
388	173	173.3	28/03/2012	Health & Safety	Legislation Statute	NMM Section 3.19 / 3.20 / 1.2.1	Swanley Depot Audit - Fuel Tank Operations, Legionella, Fire, Asbestos (inc 6m checks), storage of flammable materials, Management of sub-contractors, PAT Testing, RA / MS for Operations, Access to OnePlace. To include check of NMM required Monthly and Quarterly checks processes.	CPS	NCR	Amber	Oil stored within ISU stores	Flammable material was being stored in ISU non flammable stores.
389	173	173.4	28/03/2012	Health & Safety	Legislation Statute	NMM Section 3.19 / 3.20 / 1.2.1	Swanley Depot Audit - Fuel Tank Operations, Legionella, Fire, Asbestos (inc 6m checks), storage of flammable materials, Management of sub-contractors, PAT Testing, RA / MS for Operations, Access to OnePlace. To include check of NMM required Monthly and Quarterly checks processes.		Obs	Green	Pallet Truck maintenance	It could not be confirmed if the pallet truck had been put onto the lifting equipment register or if had been maintained within CPS 6 monthly review of lifting equipment. Please check pallet trucks in all depots have been put onto registers.
390	173	173.5	28/03/2012	Health & Safety	Legislation Statute	NMM Section 3.19 / 3.20 / 1.2.1	Swanley Depot Audit - Fuel Tank Operations, Legionella, Fire, Asbestos (inc 6m checks), storage of flammable materials, Management of sub-contractors, PAT Testing, RA / MS for Operations, Access to OnePlace. To include check of NMM required Monthly and Quarterly checks processes.		Imp	N/A	Depot plans including fire	The plans required electronic updating including an update following vehicle movement changes.
392	176	176.1	28/03/2012	Tunnels Management	Legislation Statute	C11.1 & C1 36.1.4.4 - OHSAS 18001 application: application of NMM, H&S Management Regulations and CPS Management system	At South Mimms Review of Risk Assessments and Method Statements general review including Fire Control in Tunnels		Obs	Green	Document control - workflow was not being applied for Tunnel risk assessments and method statements	CPS need to confirm if workflow document control process is applicable for all documents including Tunnel RA and MS.
393	176	176.2	28/03/2012	Health & Safety	Legislation Statute	C11.1 & C1 36.1.4.4 - OHSAS 18001 application: application of NMM, H&S Management Regulations and CPS Management system	At South Mimms Review of Risk Assessments and Method Statements general review including Fire Control in Tunnels		Obs	Green	Risk Assessment has incorrect reference on One place	RA-HAT-CPS-020 HV switch room visual inspection was incorrectly referenced as document RA-HAT-CPS-036 on one place tunnels RA section.
394	176	176.3	28/03/2012	Health & Safety	Legislation Statute	C11.1 & C1 36.1.4.4 - OHSAS 18001 application: application of NMM, H&S Management Regulations and CPS Management system	At South Mimms Review of Risk Assessments and Method Statements general review including Fire Control in Tunnels		Obs	Green	Tunnel fire risk assessments	The FRA undertaken by CPS for tunnels bores were not in place at time of audit. They were planned to be undertaken within next 6 months. The current tunnel handovers including previous FRA but they need to be reviewed and updated. The issue of access to the tunnels bores causing the delay in completing this issue.
395	177	177.1	28/03/2012	Health & Safety	Legislation Statute	C11.1 & C1 36.1.4.4 - OHSAS 18001 application: application of NMM, H&S Management Regulations and CPS Management system	At South Mimms Review and close out of previous audit findings		Obs	Red	Management of non CPS subcontractors directly engaged and not providing RA and MS prior to commencing works.	CPS do not have a process to manage directly employed subcontractors. The audit Dec 2011 highlighted that these subcontractors did not provide risk assessments and method statements prior to working at depots. Contractors included a. Acklea b. Dennis c. Jaxx
396	177	177.2	28/03/2012	Health & Safety	Legislation Statute	C11.1 & C1 36.1.4.4 - OHSAS 18001 application: application of NMM, H&S Management Regulations and CPS Management system	At South Mimms Review and close out of previous audit findings		Obs	Green	Subcontractor management Form 285 risk assessment review	The CPS managers do not provide sufficient information within the form confirming which risk assessments including revision numbers they have reviewed and accepted. The process needs to be reviewed for consistency of information recorded on sheet.
397	178	178.1	28/03/2012	Health & Safety	Legislation Statute	Application of OHSAS 18001 & NMM, H&S Management Regulations, CDM2007 and CPS Management system	At South Mimms - Application of CDM principles of Design for maintenance.		Obs	Green	CDM training for workers	CPS have not provided training on CDM duties for workers including highlighting Hazards back into CPS PCI information management systems.

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179	179.1	28/03/2012	Health & Safety	Legislation Statute	C111.1 & C136.1.4.4 - OHSA 18001 application of NMM; H&S Management Regulations and CPS Management system	At South Mimms - Review of Near Miss data control and analysis		Imp	N/A	Near Miss Reporting feedback to operatives and training	The feedback to the workforce of actions undertaken following the gathering of near miss reporting could not be confirmed including Roll out of new tool box talks; subcontractor name shame or effect of near miss; general improvements including additional formal training; additional investigations being undertaken by H&S team or TM manager or MSER.
195	195.1	28/03/2012	Security (South Mimms)	M25 DBFO Co Contract Schedules	Sch 13 Para 2.2, 2.5.	South Mimms audit to include • General Security requirements & SoS Security requirements. Physical review of security on site that will include the following items:	CP/CPS	Obs	Green	South Mimms - Car Parking Permits not on view	During the review of the physical security around the perimeter of South Mimms it was noted that a number of vehicles were not displaying the Car Parking permit.
195	195.2	28/03/2012	Security (South Mimms)	M25 DBFO Co Contract Schedules	Sch 13 Para 2.2, 2.5.	South Mimms audit to include • General Security requirements & SoS Security requirements. Physical review of security on site that will include the following items:	CP/CPS	Obs	Amber	South Mimms - Pedestrian Access Gate not shut	During the review of the physical security around the perimeter of South Mimms it was noted that the Pedestrian Access Gate was not shut
195	195.4	28/03/2012	Security (South Mimms)	M25 DBFO Co Contract Schedules	Sch 13 Para 2.2, 2.5.	South Mimms audit to include • General Security requirements & SoS Security requirements. Physical review of security on site that will include the following items:	CP/CPS	Obs	Amber	South Mimms - Staff vehicle registration numbers visible on staff signing in book	Staff utilise a "signing in" book in reception had their vehicle registration numbers on display this could be seen as a data protection violation in that the details were not being held within a secure manner
195	195.4	28/03/2012	Security (South Mimms)	M25 DBFO Co Contract Schedules	Sch 13 Para 2.2, 2.5.	South Mimms audit to include • General Security requirements & SoS Security requirements. Physical review of security on site that will include the following items:	CP/CPS	Imp	N/A	South Mimms - During the review it was noted that there was no record of the NOC duty manager providing a patrol at close of play to secure windows etc	During the review it was noted that there was no record of the NOC duty manager providing a patrol at COP to secure windows etc. It was proposed that a single line entry be added to the duty managers documentation to show that this patrol had been completed.
199	199.1	28/03/2012	IT General Security Requirements	M25 DBFO Co Contract Schedules	Sch 13 Annex 3 Para 1.2.1	To see if the IT have any business continuity plans as per ISO 27001	CP/CPS	Obs	Green	No Disaster Recovery (DR) plan for "legacy" systems	Although there was a comprehensive DR plan for the systems hosted by Northgate, there was no DR plan for legacy systems such as toll booth. It was agreed that there was a DR plan in place from the previous joint venture and this was to be updated to provide the requirement.
200	200.1	28/03/2012	Security (Scratchwood Depot)	M25 DBFO Co Contract Schedules	Sch 13 Para 2.2, 2.5.	Depot audit to include • General Security requirements & SoS Security requirements. Physical review of security on site that will include the following items:	CP/CPS	Obs	Green	Scratchwood Depot - Perimeter Fence not secure	During the review of the perimeter fence it was noted that there were metal structures leaning against the fence and plastic gates on top of the fence.
200	200.2	28/03/2012	Security (Scratchwood Depot)	M25 DBFO Co Contract Schedules	Sch 13 Para 2.2, 2.5.	Depot audit to include • General Security requirements & SoS Security requirements. Physical review of security on site that will include the following items:	CP/CPS	NCR	Amber	Scratchwood Depot - Access to site not controlled	The auditors were permitted access to the depot and offices remotely without challenge. They were not issued with Visitors passes or a temporary vehicle permit. Key cabinet in front office (prior to the access controlled door) easily accessible containing numerous bunches of keys. CCTV control system and recording facility easily accessed.
200	200.3	28/03/2012	Security (Scratchwood Depot)	M25 DBFO Co Contract Schedules	Sch 13 Para 2.2, 2.5.	Depot audit to include • General Security requirements & SoS Security requirements. Physical review of security on site that will include the following items:	CP/CPS	Obs	Green	Scratchwood Depot - Site not secure	During review of the physical security it was found that a door was unlocked. This door allowed access to the Archive store.
203	203.2	18/06/2012	Improvements	M25 DBFO Co Contract Schedules	Schedule 27 - Improvement Schemes	Review of Sch 27 compliance & CP / CPS processes. Review of Sch 27 compliance & CP / CPS processes for Stage 1 Statutory Obligations.	CP/CPS	Obs	Green	The process maps used by CPS to manage this audit item need renumbering in Nimbus Control to ensure the process steps run intuitively. This includes the 'Develop Schemes' process map & those published underneath it.	
204	204.1	18/06/2012	Network Occupancy	M25 DBFO Co Contract Schedules	Schedule 11 - Network Occupancy	Review of Sch 11 Compliance. CP / CPS processes, mapping of incidents from Inform to RSBS. Liaison with NOC.	CP/CPS	Obs	Green	The NOMS user guide published in the NOMS information library on One Place was not the published 'final' version. It had the revision number 0.1 & had highlighted text requiring additional information adding in. The 'final' published version could not be located on OnePlace on the day of the audit.	
204	204.2	18/06/2012	Network Occupancy	M25 DBFO Co Contract Schedules	Schedule 11 - Network Occupancy	Review of Sch 11 Compliance. CP / CPS processes, mapping of incidents from Inform to RSBS. Liaison with NOC.	CP/CPS	Obs	Green	The One Place attachments contained within the NOMS process map could not be accessed during the audit. This included the NOMS Management Plan that the DN would have liked to have reviewed. Post audit Note: [redacted] issued the NDM MP to the auditor post audit for information.	
204	204.3	18/06/2012	Network Occupancy	M25 DBFO Co Contract Schedules	Schedule 11 - Network Occupancy	Review of Sch 11 Compliance. CP / CPS processes, mapping of incidents from Inform to RSBS. Liaison with NOC.	CP/CPS	Obs	Amber	There was no evidence that the NOC duty managers were verifying that incidents logged in Inform had been mapped correctly to RSBS before signing them off as 'closed'. The DN has recently found a number of mapping errors from Inform to RSBS during their monthly RCI validation process that could have been spotted & corrected at source if this level of checking had taken place. A number of process improvements for data input / data verification were discussed & agreed for implementation with [redacted] during the audit session (improvement actions 204.4 to 204.6). The DN will re audit this item again in Q2 CY6 to ensure these improvement actions have been taken on board & implemented effectively by CPS.	
204	204.4	18/06/2012	Network Occupancy	M25 DBFO Co Contract Schedules	Schedule 11 - Network Occupancy	Review of Sch 11 Compliance. CP / CPS processes, mapping of incidents from Inform to RSBS. Liaison with NOC.	CP/CPS	Imp	N/A	The NOC operatives should enter 'actual' times manually in the 'Details' field in the Inform Logs if the time differs from the time in the 'Date Created' field. This would negate any potential issues caused by the lag time between actions happening on the Network & being recorded within Inform.	
204	204.5	18/06/2012	Network Occupancy	M25 DBFO Co Contract Schedules	Schedule 11 - Network Occupancy	Review of Sch 11 Compliance. CP / CPS processes, mapping of incidents from Inform to RSBS. Liaison with NOC.	CP/CPS	Imp	N/A	Consistency of incident data recorded in Inform could be improved if the NOC duty managers ensured that all pertinent data had been included within the log before signing it off as 'closed'. This could include the recording of RCI request to attend the incident, cone down / cone up times, lane in which vehicles were disabled & that they were dragged / pushed to the hard shoulder, clear component times as more lanes become available to traffic following a full closure of the carriageway.	
204	204.6	18/06/2012	Network Occupancy	M25 DBFO Co Contract Schedules	Schedule 11 - Network Occupancy	Review of Sch 11 Compliance. CP / CPS processes, mapping of incidents from Inform to RSBS. Liaison with NOC.	CP/CPS	Imp	N/A	For audit purposes it would aid the process if the NOC duty managers recorded what information is changed (if any) when an Incident Log is opened & closed again in Inform after the original log had been closed. Often Logs are opened & closed some weeks after the original incident with no record of what if anything was changed / edited.	
205	205.1	18/06/2012	Environment	M25 DBFO Co Contract Schedules	Annex 4 to Part 2 of Schedule 9 Para 1.3.3 MOEMP	Implementation of the Landscape Management Plan within the MOEMP.	CP/CPS	Obs	Green	Re Para 1 - Introduction - Define what data as required by IAN 84/10 needs to be entered in Envis rather than the blanket statement 'all'.	
205	205.2	18/06/2012	Environment	M25 DBFO Co Contract Schedules	Annex 4 to Part 2 of Schedule 9 Para 1.3.3 MOEMP	Implementation of the Landscape Management Plan within the MOEMP.	CP/CPS	Obs	Green	Re Para 2.1 - Legal Documents & ES Commitments - The register of commitments compiled from the Data Room could not be located. However, pdf versions of commitments extracted from Public Enquiry were viewed on OnePlace.	

Audit Detail		Pre Audit						During Audit			
		Audit Scope						Findings			
Audit Item	Unique Reference Number	Audit Report Date	Subject / Theme	Auditing Against	Detail (Schedule, Part, Clause, Statute etc...)	Detail - Extended Scope	Entity	Type	WRAG Status	Summary Description of Finding	Detailed Description of Finding
205	205.3	18/06/2012	Environment	M25 DBFO Co Contract Schedules	Annex 4 to Part 2 of Schedule 9 Para 1.3.3 MOEMP	Implementation of the Landscape Management Plan within the MOEMP.	CP/CPS	NCR	Amber	Re Para 2.1 - Legal Documents & ES Commitments - There was no evidence that the contents of the register of commitments compiled from the Contract Data Room had been uploaded to Confirm.	
205	205.4	18/06/2012	Environment	M25 DBFO Co Contract Schedules	Annex 4 to Part 2 of Schedule 9 Para 1.3.3 MOEMP	Implementation of the Landscape Management Plan within the MOEMP.	CP/CPS	Obs	Green	Re Para 2.5 - Strategy for correcting defects to the Soft Estate - The defect report for April 2012 could not be located on One Place.	
205	205.5	18/06/2012	Environment	M25 DBFO Co Contract Schedules	Annex 4 to Part 2 of Schedule 9 Para 1.3.3 MOEMP	Implementation of the Landscape Management Plan within the MOEMP.	CP/CPS	Imp	N/A	Re Para 3.2 - Objectives - It may be pertinent to include specific KPI's for the environmental asset in future revisions of the Performance Management Plan contained within Sch 18.	
205	205.6	18/06/2012	Environment	M25 DBFO Co Contract Schedules	Annex 4 to Part 2 of Schedule 9 Para 1.3.3 MOEMP	Implementation of the Landscape Management Plan within the MOEMP.	CP/CPS	NCR	Amber	Re Para 3.3 - Liaison & Partnering - There was no evidence that a register of comments was being maintained following consultation with Statutory Bodies.	
205	205.7	18/06/2012	Environment	M25 DBFO Co Contract Schedules	Annex 4 to Part 2 of Schedule 9 Para 1.3.3 MOEMP	Implementation of the Landscape Management Plan within the MOEMP.	CP/CPS	Obs	Green	Re Para 3.4.1 - Raw and Sustainable Materials - CP could not provide evidence that CP have rolled out sustainability related education to their contractors & designers.	
205	205.8	18/06/2012	Environment	M25 DBFO Co Contract Schedules	Annex 4 to Part 2 of Schedule 9 Para 1.3.3 MOEMP	Implementation of the Landscape Management Plan within the MOEMP.	CP/CPS	Imp	N/A	Re Para 3.4.2 - Reduction in Carbon Emissions - Reword paragraph re the completion of the Carbon Reduction Plan & its development.	
205	205.9	18/06/2012	Environment	M25 DBFO Co Contract Schedules	Annex 4 to Part 2 of Schedule 9 Para 1.3.3 MOEMP	Implementation of the Landscape Management Plan within the MOEMP.	CP/CPS	Obs	Green	Re Para 3.4.3 - Local Provenance Planting Mixes - Could not provide evidence that the M4 Spur planting (or AN Other plot as discussed) utilised the appropriate planting mix.	
205	205.10	18/06/2012	Environment	M25 DBFO Co Contract Schedules	Annex 4 to Part 2 of Schedule 9 Para 1.3.3 MOEMP	Implementation of the Landscape Management Plan within the MOEMP.	CP/CPS	Obs	Green	Re Para 3.4.4 - Planting & Climate Change - Could not provide evidence that the planned 'Waste' related Tool Box Talk programmed for April 2012 actually took place.	
205	205.11	18/06/2012	Environment	M25 DBFO Co Contract Schedules	Annex 4 to Part 2 of Schedule 9 Para 1.3.3 MOEMP	Implementation of the Landscape Management Plan within the MOEMP.	CP/CPS	Obs	Green	Re Para 5.3 - Assessment of Condition - Could not provide evidence that the Monthly inspection for API 4 took place as programmed in April 2012. Post Audit Note - This item was shown to the auditor after the audit, no further action required.	
205	205.12	18/06/2012	Environment	M25 DBFO Co Contract Schedules	Annex 4 to Part 2 of Schedule 9 Para 1.3.3 MOEMP	Implementation of the Landscape Management Plan within the MOEMP.	CP/CPS	NCR	Amber	Re Para 5.4 - Ecological Consideration - There was no evidence that known ecological considerations are mapped through to individual parcels of land in Confirm eg the M26 Balancing Pond with its Great Crested Newt population.	

Audit Detail		Audit Scope							During Audit Findings			
		CP / CPS							Findings			
Audit Item	Unique Reference Number	Audit Report Date	Subject / Theme	Auditing Against	Detail (Schedule, Part, Clause, Statute etc.)	Detail - Extended Scope	Entity	Type	WRAG Status	Summary Description of Finding	Detailed Description of Finding	
205	205.13	18/06/2012	Environment	M25 DBFO Co Contract Schedules	Annex 4 to Part 2 of Schedule 9 Para 1.3.3 MOEMP	Implementation of the Landscape Management Plan within the MOEMP.	CP/CPS	NCR	Amber	Re Para 5.4 - Ecological Consideration - There was no evidence that the results of current ecological surveys carried out by CPS are then inserted into Confirm to aid future ecological assessments. There was evidence however that the ecological surveys themselves are taking place.		
205	205.14	18/06/2012	Environment	M25 DBFO Co Contract Schedules	Annex 4 to Part 2 of Schedule 9 Para 1.3.3 MOEMP	Implementation of the Landscape Management Plan within the MOEMP.	CP/CPS	Obs	Amber	Re Para 5.5 Cultural Heritage Considerations - The CHAMP needs updating following comments received from HA. This a key document required by English Heritage under DMRB requirements.		
205	205.15	18/06/2012	Environment	M25 DBFO Co Contract Schedules	Annex 4 to Part 2 of Schedule 9 Para 1.3.3 MOEMP	Implementation of the Landscape Management Plan within the MOEMP.	CP/CPS	Obs	Amber	General - It wasn't clear how CP / CPS are going to deliver the commitments contained with the FLMP with the current data / information management issues that exist between Inform & Confirm ref back to Q4 CY3 MOEMP NCR's 168.7 & 168.8.		
206	206.1	18/06/2012	Environment	M25 DBFO Co Contract Schedules	Annex 4 to Part 2 of Schedule 9 Para 3 MOEMP	Implementation of the Air Quality Management Plan within the MOEMP.	CP/CPS	Obs	Green	Re Final Air Quality Management Plan - On the front cover the 'Date Last Approved' box does not contain the required date information.		
206	206.2	18/06/2012	Environment	M25 DBFO Co Contract Schedules	Annex 4 to Part 2 of Schedule 9 Para 3 MOEMP	Implementation of the Air Quality Management Plan within the MOEMP.	CP/CPS	Imp	N/A	It may be pertinent to share Air Quality data collected by CPS with other interested parties including Local Authorities / HA.		
207	207.1	18/06/2012	Service Standard	Highways Agency Service Standards	AMM 129/10	AMM 129/10 - Lane Restrictions at Barrier Repairs	CP/CPS	Obs	Green	Could not provide evidence that AMM 129/10 was rolled to the depot operatives at the time of issue.		
209	209.1	18/06/2012	Motorway Passes	Highways Agency Service Standards	NMM Chapter 6.8 and CP/CPS Processes	NMM Chapter 6.8 & CP / CPS Processes. The aim of this session is to give HA confidence that CP have increased vigilance with the respect to the management of Motorway Passes during the pre-Olympic period	CP/CPS	Obs	Red	There is no resource resilience to support [REDACTED] in the delivery of her motorway pass management duties. There is currently no staff cover when she is on A/L or S/L.		
209	209.2	18/06/2012	Motorway Passes	Highways Agency Service Standards	NMM Chapter 6.8 and CP/CPS Processes	NMM Chapter 6.8 & CP / CPS Processes. The aim of this session is to give HA confidence that CP have increased vigilance with the respect to the management of Motorway Passes during the pre-Olympic period	CP/CPS	Obs	Green	The OnePlace process 'Identify security risks and manage threat' is only published in draft but is versioned as v 4.00 with no last updated date. This is also the case for processes published beneath it.		
209	209.3	18/06/2012	Motorway Passes	Highways Agency Service Standards	NMM Chapter 6.8 and CP/CPS Processes	NMM Chapter 6.8 & CP / CPS Processes. The aim of this session is to give HA confidence that CP have increased vigilance with the respect to the management of Motorway Passes during the pre-Olympic period	CP/CPS	NCR	Amber	There no evidence that CPS were delivering the trial procedure for the self collection & certified destruction of motorway passes process covered under Waiver W081. The trial was due to start on the 01/05/12.		
209	209.4	18/06/2012	Motorway Passes	Highways Agency Service Standards	NMM Chapter 6.8 and CP/CPS Processes	NMM Chapter 6.8 & CP / CPS Processes. The aim of this session is to give HA confidence that CP have increased vigilance with the respect to the management of Motorway Passes during the pre-Olympic period	CP/CPS	Obs	Amber	Formalise existing 'crib sheets' & supporting documentation to integrate them into the documented motorway pass process on OnePlace.		
209	209.5	18/06/2012	Motorway Passes	Highways Agency Service Standards	NMM Chapter 6.8 and CP/CPS Processes	NMM Chapter 6.8 & CP / CPS Processes. The aim of this session is to give HA confidence that CP have increased vigilance with the respect to the management of Motorway Passes during the pre-Olympic period	CP/CPS	Obs	Amber	There is a backlog of 3rd party motorway pass admin with respect to signature sheets & their ultimate return to the HA.		
209	209.8	18/06/2012	Motorway Passes	Highways Agency Service Standards	NMM Chapter 6.8 and CP/CPS Processes	NMM Chapter 6.8 & CP / CPS Processes. The aim of this session is to give HA confidence that CP have increased vigilance with the respect to the management of Motorway Passes during the pre-Olympic period	CP/CPS	NCR	Amber	There is no evidence to indicate who CPS have nominated to the DN as their MAPPA users, as required by Para 6.8.3 of the NMM. As a result it is unclear who in CPS has received specific user accounts and the formal system training from the HA.		
209	209.9	18/06/2012	Motorway Passes	Highways Agency Service Standards	NMM Chapter 6.8 and CP/CPS Processes	NMM Chapter 6.8 & CP / CPS Processes. The aim of this session is to give HA confidence that CP have increased vigilance with the respect to the management of Motorway Passes during the pre-Olympic period	CP/CPS	Imp	N/A	The collection of motorway passes from staff leavers needs to be more robust within CPS / 3rd Parties.		

Audit Detail		Audit Scope										During Audit				
		Findings										Findings				
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452	210	210.1	18/06/2012	Management Systems	Highways Agency Service Standards	Implementation of Project Shield	A review of a sample of Project Shield processes rolled out in 2012. An at desk audit to review staff awareness & understanding of their processes. Note - CP staff	CP	Imp	N/A	It may be pertinent for CP to add to their IMS documentation (support the CMM) what parts of their IMS staff need to be aware of as part of their job delivery. Eg All staff are expected to be familiar with the general requirements of the IMS and other management requirements, but particularly those elements that apply to their day to day activities. Line managers and employees are responsible for ensuring compliance with the requirements.					
453	210	210.2	18/06/2012	Management Systems	Highways Agency Service Standards	Implementation of Project Shield	A review of a sample of Project Shield processes rolled out in 2012. An at desk audit to review staff awareness & understanding of their processes. Note - CP staff	CP	Obs	Green	There was no clear process as to how CP role out updates to their IMS processes in an effective manner.					
457	210	210.3	18/06/2012	Management Systems	Highways Agency Service Standards	Implementation of Project Shield	A review of a sample of Project Shield processes rolled out in 2012. An at desk audit to review staff awareness & understanding of their processes. Note - CP staff	CP	Obs	Green	Review & update as required the CP process maps on OnePlace that sit behind the 'Lifecycle' process to include the latest terminology & agreed process with CPS.					
459	210	210.4	18/06/2012	Management Systems	Highways Agency Service Standards	Implementation of Project Shield	A review of a sample of Project Shield processes rolled out in 2012. An at desk audit to review staff awareness & understanding of their processes. Note - CP staff	CP	Obs	Green	The CP process on OnePlace for 'Asset Management Strategy' is published in draft as a v2.0 with no last update date published.					
460	210	210.5	18/06/2012	Management Systems	Highways Agency Service Standards	Implementation of Project Shield	A review of a sample of Project Shield processes rolled out in 2012. An at desk audit to review staff awareness & understanding of their processes. Note - CP staff	CP	Imp	N/A	It may be pertinent for CP to add a continual improvement cycle recording lessons learnt behind step 13 of the 'Asset Management Strategy' Process.					
461	213	213.1	18/06/2012	Paymch	Highways Agency Service Standards	Schedule 25, Part 3, Annex 2 Para 4 Monthly Technology Defect Condition Adjustment	Technology Paymch data validation. MTMPRR v Paymch Adjustment report, as errors have been picked up during Paymch validation	CP/CPS	Obs	Amber	It was unclear how errors found on site on As-Built drawings are fed back to the drawing owner so they can be updated. Ultimately this feedback loop needs to be in place to get a better inventory dataset for the HA & DBFO Co.					
462	213	213.2	18/06/2012	Paymch	Highways Agency Service Standards	Schedule 25, Part 3, Annex 2 Para 4 Monthly Technology Defect Condition Adjustment	Technology Paymch data validation. MTMPRR v Paymch Adjustment report, as errors have been picked up during Paymch validation	CP/CPS	Obs	Green	Review the CPS One Place process 'Loops damaged by DBFO Co renewals' to ensure it is current & fit for purpose. Check links into other CPS processes.					
463	214	214.1	18/06/2012	Paymch	Highways Agency Service Standards	Sch 25 Part 6 Unplanned Event Management Section B Critical Incident Adjustment	Following issues with RSBS entries in Dec / Jan Paymch Adjustment report. Inc CP / CPS validation of RCI data. CP process for RCI validation Inform v RSBS	CP/CPS	Obs	Amber	Documented processes required for verification / validation of paymch data before it goes into Paymch & when it comes out. Set the processes at the appropriate level of detail. Include validation, verification & escalation processes with NOC / DN as required.					
464	214	214.3	18/06/2012	Paymch	Highways Agency Service Standards	Sch 25 Part 6 Unplanned Event Management Section B Critical Incident Adjustment	Following issues with RSBS entries in Dec / Jan Paymch Adjustment report. Inc CP / CPS validation of RCI data. CP process for RCI validation Inform v RSBS	CP/CPS	Imp	N/A	It would be pertinent to include an auditable trail in both Inform & RSBS when editing records. Information should be retained which records what data is edited, the date / time it was edited & by whom.					
467	215	215.2	18/06/2012	Service Standard	Highways Agency Service Standards	Network Management Manual Chapter 7.12 Secondary Response	In particular the 'Human Resources', Secondary Response resource for Pavement and Structural Engineer deployment.	CP/CPS	Imp	N/A	Secondary response times could be recorded in a smarter way by the NOC operatives especially where Secondary Response is via the review of CCTV in the NOC. The NMM states that the bridge / structure / pavement engineer may have to attend the Incident on site. Reviewing CCTV allows staff to make an informed decision & negate the need to visit site.					
468	215	215.3	18/06/2012	Service Standard	Highways Agency Service Standards	Network Management Manual Chapter 7.12 Secondary Response	In particular the 'Human Resources', Secondary Response resource for Pavement and Structural Engineer deployment.	CP/CPS	Imp	N/A	The recording of Incident Categories within Inform could be more intuitive eg the category 'vehicle breakdown or fire' is potentially too wide. During the audit it wasn't that easy to identify specific Structure / Pavement related incidents requiring Secondary Response because of the way the incidents were categorised. Sometimes less is more -----					
470	215	215.5	18/06/2012	Service Standard	Highways Agency Service Standards	Network Management Manual Chapter 7.12 Secondary Response	In particular the 'Human Resources', Secondary Response resource for Pavement and Structural Engineer deployment.	CP/CPS	Obs	Green	Re incident 10038830 - It wasn't explicit within the Inform log what the engineer did on site. In this case the Secondary Response Pavement Engineer arrived on site, even though this could be inferred from the 'action log' later during the incident. Key time milestones like this for Secondary Response need to be captured within the incident logs for accurate KPI reporting.					
471	216	216.1	18/06/2012	Accident Data	Highways Agency Service Standards	CP / CPS Processes	Data and Intelligence Sources. This is a review of the supply of un-validated accident data from LA's to Cx. Who receives it, how do they a) use it or b) share it appropriately	CP/CPS	Obs	Green	Review & update the OnePlace procedure 'Scan data for anomalies and basic trends & patterns' as required, eg the mis-spelt title & add Kent CC to the list of Service Providers providing Stats 19 data to CPS in Step 1.					
473	217	217.1	18/06/2012	Liaison	Highways Agency Service Standards	Schedule 22 Part 1 & 2 Liaison Procedures / Forums	Review of Liaison Forums process and procedures - Liaison Procedures and Stakeholder/CPS Plans	CP/CPS	Obs	Green	The protocol for the Forestry Commission could not be easily located on OnePlace. In hindsight saving the protocols (616) by stakeholder name would have been easier, rename when the protocols are 'reviewed' with HA.					
474	217	217.2	18/06/2012	Liaison	Highways Agency Service Standards	Schedule 22 Part 1 & 2 Liaison Procedures / Forums	Review of Liaison Forums process and procedures - Liaison Procedures and Stakeholder/CPS Plans	CP/CPS	Obs	Green	ODA - Liaison register, it was unclear reviewing the records available in OnePlace who in the HA made the decision not to issue the Liaison Procedure (Liaison Party No. 38 from Schedule 22, Part 1, Annex 2) to the ODA. Decision making emails stored in Outlook need to be retained on OnePlace to provide the required audit trail.					
475	217	217.3	18/06/2012	Liaison	Highways Agency Service Standards	Schedule 22 Part 1 & 2 Liaison Procedures / Forums	Review of Liaison Forums process and procedures - Liaison Procedures and Stakeholder/CPS Plans	CP/CPS	NCR	Amber	During the audit it was suggested that contact has taken place between DBFO Co design staff and High Speed 2, however no Liaison Procedure was prepared and agreed with this party prior to contact taking place, as required by Part 1 Para 1.4 of Schedule 22.					
476	217	217.4	18/06/2012	Liaison	Highways Agency Service Standards	Schedule 22 Part 1 & 2 Liaison Procedures / Forums	Review of Liaison Forums process and procedures - Liaison Procedures and Stakeholder/CPS Plans	CP/CPS	Imp	N/A	Review the list of Liaison Parties in Schedule 22, Part 1, Annex 2. Propose & formalise updates to the Liaison Procedure Register with the HA. As discussed during the audit there are a number of parties listed than are so geographically remote from the M25 Sphere that they could potentially be removed from the list.					
477	217	217.5	18/06/2012	Liaison	Highways Agency Service Standards	Schedule 22 Part 1 & 2 Liaison Procedures / Forums	Review of Liaison Forums process and procedures - Liaison Procedures and Stakeholder/CPS Plans	CP/CPS	Imp	N/A	It may be pertinent for HA / CP to run a joint spot check audit on the delivery of the Liaison Forums listed in Schedule 22 Part 2 & the CP Comms Plan.					
478	217	217.6	18/06/2012	Liaison	Highways Agency Service Standards	Schedule 22 Part 1 & 2 Liaison Procedures / Forums	Review of Liaison Forums process and procedures - Liaison Procedures and Stakeholder/CPS Plans	CP/CPS	NCR	Amber	Re Emergency Services Forum North & South - there was no evidence that minutes had been produced for these Forums. The minutes (if taken) had not been uploaded to OnePlace. This is contrary to the requirements of Schedule 22, Part 2 Para 3 which requires the DBFO Co to 'the DBFO Co shall organise, administer and participate in: said forums.					
479	218	218.1	18/06/2012	Tunnels Management	Highways Agency Service Standards	CP / CPS Processes	Review of RAP 39 & CP / CPS Tunnel Processes	CP/CPS	Imp	N/A	Ensure Tunnel related job descriptions that include reference to particular duties as set out in RTSR where appropriate.					
480	218	218.2	18/06/2012	Tunnels Management	Highways Agency Service Standards	CP / CPS Processes	Review of RAP 39 & CP / CPS Tunnel Processes	CP/CPS	Obs	Green	Document & publish on OnePlace the detailed tunnel processes that sit beneath the high level ones already published. Ensure that duties as set out in RTSR (and/or EUD) are included as appropriate.					
481	218	218.3	18/06/2012	Tunnels Management	Highways Agency Service Standards	CP / CPS Processes	Review of RAP 39 & CP / CPS Tunnel Processes	CP/CPS	Obs	Green	Review & where necessary update the Tunnel RACI to make sure it is still current. Collate with job descriptions & processes.					

155 Nr		Pre-Audit							During Audit			
Audit Detail		Audit Scope							Findings			
Audit Item	Unique Reference Number	Audit Report Date	Subject / Theme	Auditing Against	Detail (Schedule, Part, Clause, Statute etc.)	Detail - Extended Scope	Entity	Type	WRAG Status	Summary Description of Finding	Detailed Description of Finding	
218	218.4	18/06/2012	Tunnels Management	Highways Agency Service Standards	CP / CPS Processes	Review of RAP 39 & CP / CPS Tunnel Processes	CP/CPS	Obs	Amber	The DN & CP are concerned that CPS will not have a fully functioning tunnel asset management tool within the required contractual timescales (09 Sept 12).		
223	223.1	20/06/2012	Dartford Depot	Highways Agency Service Standards	NMM Section 3.19 / 3.20 / 1.2.1	Dartford Depot Audit - Legionella, Asbestos (inc 6m checks), PAT TestingAccess to OnePlace. (To include check of NMM required Monthly and Quarterly checks processes.)	CPS	NCR	Amber	Dartford Depot NCR due to not complying with PUWR regulations Ladders.	A ladder within the garage area was out of inspection dated needing an inspection 25/5/10; A ladder within the environmental skip area was out of date needing an inspection 26/10/2009 a third ladder within the wash area was identified which was in use but did not belong to CPS.	
223	223.2	20/06/2012	Dartford Depot	Highways Agency Service Standards	NMM Section 3.19 / 3.20 / 1.2.1	Dartford Depot Audit - Legionella, Asbestos (inc 6m checks), PAT TestingAccess to OnePlace. (To include check of NMM required Monthly and Quarterly checks processes.)		Obs	Green	Dartford Depot Observation due to not complying with PUWR regulations.	Compressor SE30C110 located in wash down area was last maintained 17/4/2011 and was in the need of an oil change. The pressure vessel check was undertaken on 30/5/12 and was in date.	
223	223.3	20/06/2012	Dartford Depot	Highways Agency Service Standards	NMM Section 3.19 / 3.20 / 1.2.1	Dartford Depot Audit - Legionella, Asbestos (inc 6m checks), PAT TestingAccess to OnePlace. (To include check of NMM required Monthly and Quarterly checks processes.)		Obs	Green	Legionella Risk Assessment and management was not fully in place at time of audit.	The staff training had not been undertaken and the checks required following the Rentkill report required action.	
225	225.1	20/06/2012	Dartford Depot	Highways Agency Service Standards	NMM Section 3.19 / 3.20 / 1.2.1	Dartford Depot Audit - Depot based Risk Assessments and Method Statements	CPS	NCR	Amber	Dartford Depot The workshop equipment risk assessments and method statements communication.	It was confirmed that the cleaners undertook the flushing and cleaning of showers and that the tanks had been disinfected. Dartford Depot - The CPS workshop equipment risk assessments and method statements were not in use and were not communicated to operatives It was confirmed that operatives did not have IT access and RA and MS were obtainable from the foreman - this would take place at the end of audit. There are 6 key operatives that work in the workshop and their supervisor; Out of this team 2 operate the main machines including Grinder Saw bench etc - one being with his supervisor who were both present during the discussion of risk assessments for the workshop operations. So two out of the three staff that have direct responsibility of the equipment were part of the audit. During the audit and were not aware of the updated risk assessments for the equipment. The operative was aware of the old Le Crossing documents but not the updated CPS RA. The workers who have specialist knowledge regarding the equipment were not involved in the update and development of the CPS RA and should now be consulted.	
227	227.1	20/06/2012	Health & Safety	Highways Agency Service Standards	NMM Section 3.19 / 3.20 / 1.2.1	South Mimms - Asbestos Management for Network Assets		Imp	N/A	Asbestos management surveys on the network for structures and highways.	The asbestos audit plan for highways and structures was reviewed. The survey works are to commence in July 2012 and were under review. The following improvements were discussed. 1. The HA should be copied an update of the current position regarding the inspections. This will be discussed with and possibly integrated into the asset management report section within the monthly report. 2. The Asset team need to consider the other information available from the network including HA databases; projects undertaken from H&S files; other HA databases etc. 3. The risk assessments from the specialist subcontractor Topbond & Adams Environmental were under review using SHEQ form 285. It was noted they had not been created for the network operations and were buildings related. There RA were currently under review. 4. It was suggested that the competency of the person undertaking the asbestos surveys and risk assessment should be provided and reviewed prior to undertaking any works in compliance with CAR 2012.	
228	228.1	20/06/2012	Health & Safety	Highways Agency Service Standards	NMM Section 3.19 / 3.20 / 1.2.1	South Mimms - Review of Asset based Risk Assessments and Method Statements		Obs	Amber	Structures Asset team RA not containing enabling known hazard information.	The structures RA for PI and GI RA143 dated 9/1/12 did not have enabling information shown prior to undertaking any site investigation - including access egress; communicating with COMC about any previous project and reviewing the existing reports and SMS information. Observation due to not complying with Management Regulations and COM Regulations communicating known Risk information to operatives prior to undertaking works.	
228	228.2	20/06/2012	Health & Safety	Highways Agency Service Standards	NMM Section 3.19 / 3.20 / 1.2.1	South Mimms - Review of Asset based Risk Assessments and Method Statements		Obs	Green	Structures Asset RA not linking to MS	The structures RA for PI and GI including RA143 dated 9/1/12 did not have an effective link to the method statement as required by HSP002 paragraph 4.6. HSP002 4.6.1 "Method statements are required when the controls listed on the specific or generic risk assessments require further explanation and planning due to the complex nature or one-off methods involved (e.g. a generic risk assessment for grass cutting for 3 days may be acceptable, but a method statement as to how the slip roads need to be dealt with may be essential to explain the advance signing required, how it is placed and the methods of vehicles crossing the slip roads etc)." In this case the Risk assessment areas where specific additional information was gathered during the asset surveys undertaken in 2010/2011 was not used to update of the RA (As required under HSP002 Section 4.5) and further subsequent explanation was not provided within the method statement - including existing site restrictions. It was suggested that the Form 281 developed for structures that brings all the H&S and method of works issues together could be referenced.	

Audit Detail		Pre Audit							During Audit			
		Audit Scope							Findings			
Audit Item	Unique Reference Number	Audit Report Date	Subject / Theme	Auditing Against	Detail (Schedule, Part, Clause, Statute etc.)	Detail - Extended Scope	Entity	Type	WRAG Status	Summary Description of Finding	Detailed Description of Finding	
503	228	228.3	20/06/2012	Health & Safety	Highways Agency Service Standards	NMM Section 3.19 / 3.20 / 1.2.1	South Mimms - Review of Asset based Risk Assessments and Method Statements	CPS	NCR	Amber	RA and MS not updated following site works undertaken in 2011	With reference to the Highways Inspections it was found that the RA and MS were not being updated with information gathered from the previous site operations undertaken in 2010/11 which highlighted constraints and works requirements. This is a requirement of HSP002 Section 4.9. This also included where surveys were not possible due to hard shoulder tapers etc. The non conformance is due to non compliance with HSP002 Section 4.9 requiring the update of RA and MS from changes in known hazard or process. Non conformance is due to not complying with Management Regulations and CDM Regulations communicating known Risk information to operatives prior to undertaking works. Please can CPS review all asset RA and MS for updates from site inspections.
504	229	229.1	20/06/2012	Health & Safety	Highways Agency Service Standards	NMM Section 3.19 / 3.20 / 1.2.1	South Mimms - Review of HA Asset Data Bases and their update	CPS	NCR	Red	H&S Network constraints not effectively communicated or recorded.	The H&S network constraints information is currently not being coordinated for network operational and general maintenance activities. A policy and procedure needs to be developed to ensure the right people have the right information before accessing the network. Key issues include constraints such as M4 elevated; discontinuous hard shoulders; hard asset access including penstocks; soft network access; in the future this will also include LUS areas; central reserve areas with concrete barrier etc. Non conformance was due to not complying with Management Regulations and CDM Regulations communicating known Risk information to operatives prior to undertaking works.
506	230	230.1	20/06/2012	Health & Safety	Highways Agency Service Standards	NMM Section 3.19 / 3.20 / 1.2.1 and CDM Regs	South Mimms - Update of H&S Files in accordance with CDM/ Handover arrangements		Obs	Green	Document control of CDM documents	The CDM document HSP005 process was reviewed. It was found that the CDM sub documents did not have revision numbers; issue references and dates for effective document control. Documents that did not have referencing included the H&S file checklist and the mini PCI document. Other documents were shown from the CDM coordinators documents list which are shown within HSP005 as hyperlinks. Observation due to QA document management.
507	231	231.1	20/06/2012	Health & Safety	Highways Agency Service Standards	NMM Section 3.19 / 3.20 / 1.2.1 and CDM Regs	South Mimms - Review of preparation of PCI for Schemes		Obs	Green	CDM following of CDM procedure for completing designer risk assessment.	With reference to Dartford project to put up temporary signs for Speed cameras it was noted that a Designer Risk Assessment was not undertaken. The CDAC highlighted design H&S issues within email which were addressed. Observation due to not following HSP005 CDM procedure
508	246	246.1	25/06/2012	Security (Dartford Crossings)	Highways Agency Service Standards	Sch 13 Para 2.2.1	co-operate with the Department's Nominee and the Security Parties in relation to all security matters, including the security of the Project Facilities	CP/CPS	NCR	Red		The requirement by the Highways Agency (HA), prior to access to the HA system is for all staff to have completed a Baseline Personal Security Standard as per the Cabinet Office BPSS. This includes the need for a "Disclosure Scotland" CRB check and not a self declaration. Connect - are still allowing self declaration. This is also a requirement for staff to have an airwave radio account.
509	247	247.1	25/06/2012	Security (Dartford Crossings)	Highways Agency Service Standards	Sch 13 Para 2.2.7	Comply with all counter terrorism security measures notified by the Department's Nominee from time to time in so far as those counter terrorism security measures relate to, affect or are affected by the Project Facilities	CP/CPS	Obs	Amber	Vehicle passes not on display	Staff vehicles within the Dartford Car park not displaying vehicle passes. Random checks of 15 cars produced a result of 9 without passes being displayed
512	247	247.2	25/06/2012	Security (Dartford Crossings)	Highways Agency Service Standards	Sch 13 Para 2.2.7	Comply with all counter terrorism security measures notified by the Department's Nominee from time to time in so far as those counter terrorism security measures relate to, affect or are affected by the Project Facilities	CP/CPS	NCR	Red		Prior to Audit the DN representative had cause to attend the Dartford crossing offices and was allowed, with out any form of authorisation, to enter the site via the two barriers of which the second was open. During the audit this was tested and once again the DN representative was allowed access without any form of authorisation and the second barrier was raised and then kept up.
513	249	249.1	25/06/2012	IT General Security Requirements	Highways Agency Service Standards	Sch 13 Para 2.4	To see if the Department have carried out and actioned a third party penetration test as per ISO 27001	CP/CPS	Obs	Amber	Unauthorised personnel accessing sites	The requirement was given a waiver until 30th June 2012. Due to the Penetration testers work load, the final test and associate report will not be ready until Aug 2012, therefore the waiver will not cover that period.
514	251	251.1	25/06/2012	Security (Swanley Depot)	Highways Agency Service Standards	Sch 13 Para 2.2.1	co-operate with the Department's Nominee and the Security Parties in relation to all security matters, including the security of the Project Facilities	CP/CPS	Obs	Red	Ongoing petty thefts	Due to the lack of CCTV full coverage although petty theft seems to be ongoing at the Swanley depot there is no forensic evidence to identify the personnel involved. The lack of CCTV is also an issue at weekend evenings when the ISU supervisor is not on site leaving the site unmanned.