

Appendix 5

# Audit and Assurance List

## November 21

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Audit and Assurance – Areas to be covered				
Priority	Topic	Targeted Review / Continuous Assurance	Who	When
1	Reliability of Performance (System, Train, Integration)	Continuous Assurance	LoD2 (Line of Defence 2 Assurance) / IIPAG (Independent Investment Programme Advisory Group)	Ongoing
2	Romford Control Centre (RCC). Resilience of team (numbers, training, capacity) to deal with busy operations and incidents (in view of number of Operational Restrictions, Alarms during the transition)	Targeted Review	LoD2 / IIPAG	Nov/Dec
3	Gate process for readiness assessment as we go through the Phases of Trial Operations, Revenue Service and into Stage 5b, c	Continuous Assurance	LoD2 / IIPAG	Ongoing
4	Assurance and Approvals for entry into Trial Operations and Passenger Service – including ORR(Office of Rail and Road), RfLI (Rail for London Infrastructure) acceptance	Continuous Assurance	LoD2 / IIPAG	Ongoing
5	RfLI Maintenance effectiveness (People, Process, Systems, Suppliers)	Targeted Review	LoD2 / IIPAG	Dec/Jan
6	Schedule review – Assurance of the Schedule and Cost of the revised schedule	Continued Assurance	LoD2	Ongoing
7	TfL (Transport for London) Procurement and Supply Chain Capacity to take on the procurement of Elizabeth line’s existing contracts	Audit	Audit Team	Dec/Jan
8	Assurance of works handed over to the Residual Works team (scope, cost, risk)	Project Assurance	TfL Project Assurance	TBC
9	Information transfer – (excluding asset data), emails, contract	Audit	Audit Team	Dec/Jan

# Audit and Assurance – Areas to be covered

Priority	Topic	Targeted Review / Continuous Assurance	Who	When
11	Operational Readiness (people, process, interfaces) of all parties to receive the Elizabeth line (RFLI, London Underground, Network Rail, TfL, MTR) as we integrate the later Stages 5b, 5c	Targeted Review	LoD2 / IIPAG	Feb/Mar
12	Management of Direct Contracts (Bond Street and Canary Wharf) <b>(Under Review due to potential overlap)</b>	Audit	Audit Team	Feb/Mar
13	Organisation Effectiveness <b>(Under review due to potential overlap)</b>	Audit	Audit Team	Nov/Dec

