

Transport for London Audit and Assurance Committee

Work planned to start in Q3 2021/22

Appendix 4

- There are 19 audits planned to start during the quarter

Enterprise risk	Directorate	Ref	Audit title	Objective
ERo1 Major health, safety or environmental incident or crisis	Safety, Health and Environment	21 005	Strategic Review of the SHE management system	Provide assurance over the adequacy and effectiveness of the updated Safety, Health and Environment management system.
ERo2 Protecting the wellbeing of our employees	Human Resources	21 007	Core Line Manager Training (staff wellbeing)	Provide assurance on the adequacy and effectiveness of online manager training to support wellbeing of staff.
ERo3 Major service disruption	Pan TfL	21 066	Climate Adaptation – roles, responsibilities, and knowledge	To provide assurance that roles and responsibilities around Climate Adaptation are clearly allocated and understood.
ERo4 Major security incident	Customers, Communication and Technology	21 012	Cubic entity - review of systems	Assess the adequacy and effectiveness of access controls, availability and performance of systems.
ERo4 Major security incident	Customers, Communication and Technology	21 014	Data Loss Prevention	Assess the adequacy and effectiveness of data leakage prevention controls in relation to personal, sensitive and confidential data.
ERo4 Major security incident	Customers, Communication and Technology	21 016	Security of Bring your Own Devices (BYOD)	Provide assurance on the effectiveness of the strategy to ensure security of TfL data during use of BYOD.
ERo7 Financial sustainability	Customers, Communication and Technology	21 029	LTM Security of Valuable Collections	Provide assurance on the adequacy and effectiveness of controls in place supporting Collections.
ERo7 Financial sustainability	Finance	21 027	Commercial Development Financial Sustainability Plan	To provide assurance that the controls over the Financial Sustainability Plan in Commercial Development are adequate and effective.
ERo7 Financial sustainability	Finance	21 057	Effectiveness of the due diligence process for new tenants	Provide assurance on the adequacy and effectiveness of Commercial Development's due diligence process for new retail tenants including financial vetting.
ERo7 Financial sustainability	Finance	21 065	Tenant Billing Lessons Learned	Provide assurance over lessons learned on the tenant billing and rent collection processes and procurement.

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Enterprise risk	Directorate	Ref	Audit title	Objective
ER10 Inability to support new ways of working	Finance	21 038	SAP Business Planning Consolidation Tool (BPC)	To assess and evaluate the adequacy of the development and implementation of the SAP BPC enhancements, the preventative controls for daily loads of data, and the roles and accountabilities (RACI) for access controls.
ER10 Inability to support new ways of working	Finance	21 039	The Estate Management Strategy	Provide assurance on the adequacy and effectiveness of the Estate Management Strategy to show efficiency - cost per full time equivalent space and to reduce associated head office running costs.
ER13 Governance and controls suitability	Customers, Communication and Technology	21 045	Recruitment	Provide assurance on the adequacy and effectiveness of controls within recruitment.
ER13 Governance and controls suitability	General Counsel	21 063	Conflicts of Interest	Provide assurance of the adequacy and effectiveness of controls around conflicts of interest.
ER14 Opening of the Elizabeth Line	Crossrail	21 048	Crossrail Complaints Commissioner Accounts	Provide assurance on the accuracy of the Crossrail Complaints Commissioners Accounts for 2020/21.
ER14 Opening of the Elizabeth Line	Crossrail	21 049	Employer's Completion Process	To provide assurance that the controls around the Employer's Completion Process are effective.
ER14 Opening of the Elizabeth Line	Crossrail	21 051	Information Management and Transfer	To review the effectiveness of controls around information management and transfer from Crossrail to TfL.
ER14 Opening of the Elizabeth Line	Crossrail	21 053	Organisational Effectiveness	To provide assurance that the Elizabeth line organisation governance is adequate and effective.
ER14 Opening of the Elizabeth Line	Crossrail	21 061	Demobilisation of Tier 1 Contractors - phase 2	To provide assurance that the controls around Tier 1 contractor demobilisation are adequate and effective.