

Draft Audit and Assurance List November 2021 – Appendix 5

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 2 Assurance) / IIPAG (Independent Programme Assurance Group)	Ongoing
2	Romford Control Centre (RCC). Resilience of team (numbers, training, capacity) to deal with busy operations & 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	Technical and Safety Assurance and Approvals for entry into Trial Operations and Passenger Service – including ORR, RfLi 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 / IIPAG	Ongoing
7	TfL 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 documents (Soft & hard copies), Contract negotiation information	Audit	Audit Team	Dec/Jan

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11	Operational Readiness (People, process, interfaces) of all parties to receive the Elizabeth Line (RFLi, LUL, 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 & Canary Wharf) (Under Review due to potential overlap)	Audit	Audit Team	Feb/Mar
13	Organisation Effectiveness (Under review due to potential overlap)	Audit	Audit Team	Nov/Dec

