

Transport for London Audit and Assurance Committee

Work planned to start in Q4 2021/22

Appendix 4

- There are 15 audits planned to start (excluding Elizabeth line) during the next quarter

Enterprise risk	Directorate	Ref	Audit title	Objective
ER01 Major health, safety or environmental incident or crisis	Safety Health and Environment	21 005	Procurement of a Digital Safety Health and Environment System (SHEMS) with role-based capabilities -ITT to Contract Award	Provide assurance that the procurement process for the digital SHE Management System is effective.
ER02 Protecting the wellbeing of our employees	Human Resources	21 007	Core Line Manager Training (staff wellbeing)	Provide assurance on the adequacy and effectiveness of line manager training to support wellbeing of staff.
ER04 Major security incident	Customers Communication & Technology	21 016	Security of Bring Your Own Device (BYOD)	Provide assurance on the effectiveness of the strategy to ensure security of TfL data during use of BYOD.
ER04 Major security incident	Customers Communication & Technology	21 017	Software License Management	Assess the adequacy and effectiveness of controls in place to manage risks associated with software licensing across TfL.
ER10 Inability to support new ways of working	Customers Communication & Technology	21 019	IT Disaster Recovery and Operational Resilience	Provide assurance over TfL's ability to withstand and recover from disruptive IT events.
ER07 Financial sustainability	Commercial Development	21 027	Commercial Development Financial Sustainability Plan	Provide assurance that the controls over the Financial Sustainability plan in Commercial Development are adequate and effective.
ER07 Financial sustainability	Commercial Development	21 029	LTM Security of Valuable Collections	Determine the effectiveness of the measures for ensuring the preservation and security of the London Transport Museum's valuable collections. Valuable collections are those with a high financial value and/or rare items mostly kept at the Acton Depot and the London Transport Museum, Covent Garden.
ER08 Delivery of key projects and programmes	Major Projects	21 036	Benefits Realisation	Provide assurance that controls in place to deliver programme benefits are adequate and effective.
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.

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Enterprise risk	Directorate	Ref	Audit title	Objective
ER13 Governance and controls suitability	Surface Transport	21 043	Integration of Woolwich Ferry	Provide assurance on the adequacy and effectiveness of controls on the Woolwich Ferry integration.
ER13 Governance and controls suitability	General Counsel	21 046	Risk Management in TfL	Provide assurance on the adequacy and effectiveness of risk management in TfL.
ER07 Financial sustainability	Finance	21 065	Tenant Billing Lessons Learned	Provide assurance over lessons learned on the tenant billing and rent collection processes and procurement.
ER01 Major health, safety or environmental incident or crisis	Safety Health and Environment	21 067	Procurement of Digital decision support tools – Invitation to Tender (ITT) up to Contract Award	Provide real time assurance on the effectiveness of the procurement process employed for the Development and Implementation of the SHE Management System digital decision-making tool.
ER07 Financial sustainability	Finance	21 070	TfL Scorecard	Provide assurance that 2021/22 year-end results on the TfL Scorecard are being accurately reported.
ER07 Financial sustainability	Finance	21 068	ACE-funded projects: The Cultural Recovery Fund Part 3	Certify the statement of income and expenditure prepared by the London Transport Museum in accordance with the 29 October 2021 Cultural Recovery Fund offer letter. The statement relates to the activity for which the grant was made, which runs from 1 November 2021 to 31 March 2022.