

Transport for London Audit and Assurance Committee

Work planned to start in Q1 2022/23

Appendix 4

- There are 10 audits planned to start during the next quarter

Enterprise risk	Directorate	Ref	Audit title	Objective
ER01 Major health, safety or environmental incident or crisis	Chief Safety, Health and Environment Officer	22 001	Digital Assurance - Procurement of Digital Monitoring and Assurance System	Provide assurance on the adequacy and effectiveness of key controls for the implementation of Digital Safety, Health and Environment (SHE) Assurance - procurement of Digital Monitoring and Assurance System.
ER01 Major health, safety or environmental incident or crisis	Chief Safety, Health and Environment Officer	22 002	Climate Adaptation – Data Management	Review the adequacy and effectiveness of key controls for identifying and improving data and systems to support adaptation activities.
ER01 Major health, safety or environmental incident or crisis	Chief Safety, Health and Environment Officer	22 003	Climate Adaptation - Reporting	Review key controls over collaborating, communicating and reporting on adaptation across TfL and with external stakeholders and experts.
ER02 Protecting the wellbeing of our employees	Chief Customer and Strategy Officer	22 006	Staff and Contractor Vetting in Technology & Data (T&D) teams	Provide assurance on the adequacy and effectiveness of vetting controls for staff and contractors in positions of authority in T&D.
ER07 Financial sustainability	Chief Customer and Strategy Officer	22 009	Arts Council England -funded projects: Designation Development Fund ("Making a Poster")	Certify costs in respect of funding for the Designation Development Fund.
ER07 Financial sustainability	Chief Operating Officer	22 011	Invoicing of Third Parties at Victoria Coach Station	Provide assurance over the adequacy and effectiveness of controls of third-party invoice approvals.
ER07 Financial sustainability	Chief Capital Officer	22 021	Use of Consultants and Professional Services	Provide assurance on the adequacy and effectiveness of controls in place for the use of consultants.
ER04 Major security incident	Chief Customer and Strategy Officer	22 023	Review of Data centres	Provide assurance on the adequacy and effectiveness of access and environmental controls to datacentres.

Transport for London Audit and Assurance Committee

Enterprise risk	Directorate	Ref	Audit title	Objective
ER07 Financial sustainability	Group Finance Director	22 025	Assets Under Construction Accounting Process	Provide assurance on adequacy and effectiveness of the assets under construction accounting process.
ER01 Major health, safety or environmental incident or crisis	Chief Safety, Health and Environment Officer	22 026	Implementation of the Digital Safety Health and Environment System (Work Packages 1&3)	Provide assurance on the adequacy and effectiveness of the controls in place for contract award and implementation of the digital SHE monitoring and assurance system.