

Transport for London Audit and Assurance Committee

Work planned to start in Q4 2022/23

Appendix 5

- There are 12 audits planned to start during the next quarter

Enterprise Risk	Directorate	Ref	Audit Title	Objective
ER02 Attraction, retention, wellbeing and health of our employees	Chief Finance Officer	22 008	Movers and Leavers	To provide assurance on the adequacy and effectiveness of the joiners, movers and leavers process.
ER06 Deterioration of operational performance	Chief Capital Officer	22 030	Engineering Resource Model - interaction between delivery lead and business	To assess the adequacy of the processes and controls in place for planning and communication between delivery leads and the business.
ER06 Deterioration of operational performance	Chief Operating Officer	22 041	Impact of Extreme Weather	To provide assurance on the adequacy and effectiveness of controls in place to deal with the impact of extreme weather.
ER04 Significant security incident	Chief Customer and Strategy Officer	22 032	Third-Parties with OneLondon Access	To provide assurance on the adequacy and effectiveness of the joiners, movers and leavers controls to third-parties.
ER07 Financial resilience	Chief Customer and Strategy Officer	22 039	London Transport Museum (LTM) Financial Controls	To determine the adequacy and effectiveness of the LTM's key financial controls.
ER07 Financial resilience	Chief Finance Officer	22 040	Accounts Receivable	To provide assurance on the adequacy and effectiveness of the accounts receivable process.
ER07 Financial resilience	Chief Finance Officer	22 035	LU Payroll	To provide assurance on the adequacy and effectiveness of payroll controls in London Underground (LU).
ER07 Financial resilience	Chief Finance Officer	22 038	Accounts Payable	To provide assurance on the adequacy and effectiveness of the Accounts Payable process.
ER04 Significant security incident	General Counsel	22 033	Deletion of SAP data	To determine the extent of compliance of SAP record keeping in line with General Data Protection Regulation requirements.

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Enterprise Risk	Directorate	Ref	Audit Title	Objective
ER10 Governance and controls suitability	General Counsel	22 042	Information Management and Transfer - Hardcopy Documents	To provide assurance on the adequacy and effectiveness of transferring hardcopy data from Crossrail to TfL.
ER03 Environment including climate adaptation	Chief Safety, Health and Environment Officer	22 028	Climate Adaptation - risk assessments	To review the plan and scope for climate risk assessments, thresholds and measures, including the impact of reduced options on safety, service and financial sustainability.
ER06 Deterioration of operational performance	Chief Operating Officer	22 044	Elizabeth Line Transition from Capital Programme to BAU	To provide assurance on the effectiveness of the Elizabeth line's transition from a capital programme to a business-as-usual operation.