

Transport for London Audit and Assurance Committee

Work planned to start in Q1 2023/24

Appendix 4

- There are 15 audits planned to start during the next quarter

Enterprise risk	Directorate	Ref	Audit title	Objective
ERo2 Attraction, retention, wellbeing and health of our employees	Technology & Data (T&D)	23 002	Attraction and Retention of Staff in T&D	To provide assurance on the adequacy and effectiveness of the HR controls supporting attraction and retention of T&D staff.
ERo4 Significant security incident	Technology & Data	23 005	Legacy Technology – Public Services Telephone Network (PSTN) services for telephony and data (Live Audit)	Real time audit to assess and evaluate the adequacy of the plans to move from the legacy PSTN services to alternative services.
ERo4 Significant security incident	Technology & Data	23 006	Review of Strategics (application)	To assess and evaluate the adequacy and effectiveness of a selection of key controls, in relation to the Strategics application managed by Cubic on behalf of TfL, with respect to the accounting and reconciliation of transactions.
ERo6 Deterioration of operational performance	Elizabeth Line	22 044	Elizabeth Line Transition from Capital Programme to Business As Usual (BAU)	To provide assurance on the effectiveness of the Elizabeth line's transition from a capital programme to a BAU operation.
ERo6 Deterioration of operational performance	Engineering and Asset Strategy	23 009	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.
ERo7 Financial resilience	Technology & Data	23 007	Ultra Low Emission Zone (ULEZ) Extension Scrappage Scheme	To determine the adequacy and effectiveness of the key controls governing the ULEZ extension scrappage scheme.
ERo7 Financial resilience	London Transport Museum	23 010	London Transport Museum (LTM) Financial Controls	To determine the adequacy and effectiveness of the LTM's key financial controls.
ERo7 Financial resilience	Chief Finance Officer	23 011	Government Funding Conditions	To provide assurance that the conditions of the Government's funding agreement are being effectively managed and accurately reported.
ERo7 Financial resilience	Technology & Data	23 012	ULEZ debt management	To determine the adequacy and effectiveness of the ULEZ debt management key controls.
ERo7 Financial resilience	London Transport Museum	23 016	Arts Council England (ACE) Review 1	To certify costs in respect of funding for the Designation Development Fund.
ERo7 Financial resilience	Business Services	23 026	VAT on Expenses and P-Cards	To provide assurance that adequate controls are in place for claiming VAT on expenses and P-Cards.

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Enterprise risk	Directorate	Ref	Audit title	Objective
ER10 Governance and controls suitability	Programme Management Office	23 017	Stage Gate Compliance	To provide assurance over the adequacy and effectiveness of internal controls in place for compliance with the Pathway Stage Gate process.
ER10 Governance and controls suitability	Information Governance	23 020	Privacy and Data Protection: Surveillance Cameras in London Underground (LU) and Elizabeth Line Trains	To determine if TfL's use, management and control of surveillance cameras inside LU and Elizabeth line train carriages are in accordance with the relevant TfL policies, laws and codes of practice.
ER10 Governance and controls suitability	Information Governance	23 023	Processing of General Data Protection Regulation (GDPR) Data by Third Parties – low value contracts	To determine the extent of compliance of third parties that store and/or process personal data with GDPR requirements.
ER10 Governance and controls suitability	General Counsel	23 025	Gifts and Hospitality	To review the adequacy and effectiveness of controls in place to manage the recording, authorisation and monitoring of gifts and hospitality.