

## Transport for London Audit and Assurance Committee

### Work planned to start in Q2 2021/22

### Appendix 4

- There are 22 audits planned to start during the quarter

Enterprise risk	Directorate	Ref	Audit title	Objective
ER14 Opening of the Elizabeth Line	Crossrail	21 049	Employer's Completion Process	To provide assurance that the controls around the Employer's Completion Process are effective
ER14 Opening of the Elizabeth Line	Crossrail	21 051	Information Management and Transfer	To review the effectiveness of controls around information management and transfer from Crossrail to TfL
ER14 Opening of the Elizabeth Line	Crossrail	21 061	Demobilisation of Tier 1 Contractors -phase 2	To provide assurance that the controls around Tier 1 contractor demobilisation are adequate and effective
ER14 Opening of the Elizabeth Line	Crossrail	21 062	Disposal of Temporary Assets	To provide assurance that the controls around the disposal of temporary assets are adequate and effective
ER04 Major security incident	Customers Communication & Technology	21 012	Cubic entity - review of systems	Assess the adequacy and effectiveness of access controls, availability and performance of systems
ER05 Supply chain disruption	Customers Communication & Technology	21 022	Payments to contractors	To provide assurance on the adequacy and effectiveness of payments to contractors on capital and maintenance contracts
ER07 Financial sustainability	Customers Communication & Technology	21 026	Clean Mobile Energy (7th review)	Certify costs in respect of EU funding
ER07 Financial sustainability	Customers Communication & Technology	21 032	Fixed Assets	To determine the effectiveness of the processes and controls for accounting for TfL's fixed assets
ER07 Financial sustainability	Customers Communication & Technology	21 033	Record to Account	To provide assurance on the adequacy and effectiveness of the Record to Account process
ER10 Inability to support new ways of working	Customers Communication & Technology	21 020	Software Development of the Contactless Payments System	Assess the adequacy and effectiveness of controls governing the System Development Life Cycle for the development and implementation of changes to the Contactless Payment System
ER10 Inability to support new ways of working	Customers Communication & Technology	21 040	Transformation	To provide assurance on the adequacy and effectiveness of Transformation processes

## Transport for London Audit and Assurance Committee

<b>Enterprise risk</b>	<b>Directorate</b>	<b>Ref</b>	<b>Audit title</b>	<b>Objective</b>
ER07 Financial sustainability	Finance	21 027	Commercial Development Financial Sustainability Plan	To provide assurance that the controls over the Financial Sustainability Plan in Commercial Development are adequate and effective
ER07 Financial sustainability	Finance	21 028	Commercial Development's asset management strategy to maximise secondary revenue income	To provide assurance over the adequacy and effectiveness of Commercial Development's asset management strategy for maximising secondary revenue income and the extent to which these are being delivered in line with the business plan
ER07 Financial sustainability	Finance	21 057	Effectiveness of the due diligence process for new tenants	Provide assurance on the adequacy and effectiveness of Commercial Development's due diligence process for new retail tenants including financial vetting
ER07 Financial sustainability	Finance	21 058	Governance of Single Sourcing Requests	To provide assurance that the governance process in place to manage the use of single sourcing (or non-competitive) procurements is robust and effective and in line with recommendations from previous audit findings on Single Source Requests
ER07 Financial sustainability	Finance	21 059	Governance of Contract Variation Recommendations	To provide assurance that the governance process in place to manage the use of contract variations is robust and effective
ER10 Inability to support new ways of working	Finance	21 038	SAP Business Planning Consolidation Tool (BPC)	Assess the adequacy of the development and implementation of the current enhancement to BPC
ER13 Governance and controls suitability	Finance	21 044	Procurement & Supply Chain (P&SC) Improvement Plan (PIP)	To provide assurance the P&SC transformation is being delivered effectively and efficiently
ER02 Protecting the wellbeing of our employees	General Counsel	21 042	Business Ethics	To provide assurance on the adequacy and effectiveness of controls supporting business ethics across TfL
ER02 Protecting the wellbeing of our employees	Human Resources	21 007	Core Line Manager Training (staff wellbeing)	To provide assurance on the adequacy and effectiveness of on-line manager training to support wellbeing of staff
ER07 Financial sustainability	Human Resources	21 031	Pensioner Payroll	To provide assurance on the adequacy and effectiveness of controls for Pensioner Payroll
ER13 Governance and controls suitability	Surface Transport	21 043	Integration of Woolwich Ferry	To provide assurance on the adequacy and effectiveness of controls on the Woolwich Ferry integration