

## Transport for London Audit and Assurance Committee

### Internal audit reports issued in Q1 2021/22

### Appendix 3

- Two reports were issued during the quarter

Enterprise Risk	Directorate	Ref	Audit title	Summary of Finding	Conclusion	H	M	L
ER14 Opening of the Elizabeth Line	Crossrail	20 508	Demobilisation of Tier 1 contractors	There were no issues identified as part of this audit. However, some were noted that will be reported as part of audit 20 504 on the Alternative Delivery Model. This audit (20 508) was also split into two parts, the second part of which will be undertaken as part of the 2021/22 plan.	Well Controlled	0	0	0
ER14 Opening of the Elizabeth Line	Crossrail	20 505	Management of Staff costs	<p>(1) Formal guidance to staff covering Workforce Planning does not reflect current practice, or in the case of contract extensions needs to be put in place.</p> <p>(2) Arrangements for verifying and approving timesheet or timecard entry vary across the contractor base. Adherence to process can be patchy, and in some areas not sufficient to provide assurance that time is monitored consistently through to invoice.</p> <p>(3) Annual Conflict of Interest exercises are focused on the Senior Leadership Team and do not provide sufficient coverage of the business. Frequency needs to increase, and the timeframe within which escalations considered improved.</p> <p>(4) Staff change is not yet consolidated as a Directorate level input to Workforce Planning. Previously proposals were grouped together and templated through the Internal Resourcing Group.</p>	Requires Improvement	0	4	1