

Transport for London Audit and Assurance Committee

Changes to the 2021/22 audit plan

Appendix 5

- There were 10 changes to the plan (excluding Elizabeth line) since the last Committee: four new, two cancellations and four deferrals

Ref	Audit Title	Status	Audit Comments
21 067	Procurement of Digital decision support tools - ITT up to Contract Award	New	The objective of this audit is to provide real time assurance on the effectiveness of the procurement process employed for the Development and Implementation of the SHE Management System digital decision-making tool.
21 068	ACE-funded projects: The Cultural Recovery Fund Part 3	New	To certify the statement of income and expenditure prepared by the London Transport Museum in accordance with the 29 October 2021 Cultural Recovery Fund offer letter.
21 070	TfL Scorecard	New	To provide assurance that 2021/22 year-end results on the TfL Scorecard are being accurately reported.
21 071	Obsolescence of Critical Operational Systems	New	To provide assurance that adequate controls are in place to prevent critical operational systems becoming obsolete.
21 030	LU Modernisation Programme (Phase 2)	Deferred	Audit deferred to 2022/23 due to work being carried out for the Department for Transport and the rapidly changing landscape around this area. Work proposed for Quarter 2 2022/23.
21 041	Asset Management Improvement Plan		This audit has been deferred due to recent organisation changes and will commence in Quarter 2 2022/23. It will look at our strategy for achieving ISO 5500.
21 044	Management of the Procurement and Supply Chain Improvement Programme (Phase II)		Audit deferred as the implementation phase is now expected to start at the beginning of the next financial year (2022/23). Review also being carried out by IIPAG so needed to ensure there was no duplication of assurance.
21 004	Pandemic Recovery		This audit has been deferred to 2022/23 in the light of the pan TfL lessons learned exercise currently being undertaken by all areas. We may revisit this topic next year to see how effective the lessons learned have been.
21 015	Implementation of the security programme	Cancelled	Based on the work done by Integrated Assurance this work will be cancelled as they have covered this scope. This was agreed by the Director of Compliance, Policing, Operations and Security. Possible inclusion in the internal Audit Plan for 2024/25.
21 052	Network and Information Systems (NIS) regulations	Cancelled	Following addition of several new audits, a risk prioritisation exercise and based on fact that there is additional assurance via Integrated Assurance in this area has led to this review being cancelled.