

Overview of Internal Audit work completed during year ended 31 March 2022

Appendix 1

- 41 Internal Audit reports were issued, 1 audit concluded as poorly controlled.

Enterprise Risk	Directorate	Ref	Audit Title	Conclusion
ER 1 Major Health, safety or environmental incident or crisis	Surface Transport	20 004	Fatigue Risk Management	Requires Improvement
	Safety, Health and Environment	21 005 & 21 067	Real time audit of the Procurement of a Digital Safety, Health and Environment Management System (SHEMS) – Work Package (WP)1, User Experience and WP3, Decision tools for specific identified SHEMS topics	Memo
ER 2 Protecting the wellbeing of employees	Human Resources	21 008	Headcount Controls Process	Adequately controlled
	General Counsel	21 042	Gifts and Hospitality	Memo
ER 3 Major Service Disruption	London Underground	21 011	Engineering Resource Model	Adequately controlled
	Pan TfL	21 010	Climate Adaptation - Planning	Requires Improvement
	Pan TfL	21 066	Climate Adaptation – Roles and Responsibilities	Requires Improvement
ER 4 Major security incident	Customers Communication & Technology	20 404	Privileged Access to mission and Business Critical systems	Requires Improvement
	Customers Communication & Technology	20 402	Enterprise Information Technology Security Layer	Memo
ER 7 Financial Sustainability	Customers, Communications & Technology	21 023	Arts Council England funded projects: The Cultural Recovery Fund Part 1	Memo
	Finance	21 034	TfL Scorecard	Memo
	Human Resources	20 108	Transitioning to the new Additional Voluntary Contributions provider.	Well controlled
	Surface Transport	21 113	Additional dedicated home to school and college transport funding	Memo
	Customers, Communication & Technology	21 056	Thales' Annual Financial report for the Connect contract	Memo

Enterprise Risk	Directorate	Ref	Audit Title	Conclusion
	Customers, Communication & Technology	21 024	Arts Council England funded projects: The Cultural Recovery Fund Part 2	Memo
	Finance	20 612	Management of the Procurement and Supply Chain Improvement Programme – Phase 1	Adequately controlled
	Finance	21 025	Bank reconciliations	Well controlled
	Customers, Communication & Technology	21 026	Clean Mobile Energy – 7 th review	Memo – grant certification
	Finance	20 611	Tenant billing	Requires Improvement
	Surface Transport	21 064	Additional dedicated home to school and college transport funding – part 2	Adequately controlled
	Customers, Communication & Technology	21 032	Fixed asset accounting	Adequately controlled
	Chief Capital Officer	21 060	Management of Defined Costs – Track programme contract	Requires Improvement
	Procurement & Commercial	21 058	Governance of Single Source requests	Requires Improvement
	Procurement & Commercial	21 059	Governance of Contract Variations	Requires Improvement
	Chief Customer and Strategy Officer	21 028	Commercial Development’s asset management asset strategy to maximise secondary income	Requires Improvement
	Chief People Officer	21 031	Pensioner Payroll	Adequately controlled
ER 10 Inability to support new ways of working	Customers, Communication & Technology	20 405	Digital accessibility TfL	Adequately controlled
ER 13 Governance and controls suitability	Customers, Communication & Technology	20 403	Compliance with General Data Protection Regulation – Concessions System	Adequately controlled
R 13 Governance and controls suitability	Surface Transport	20 006	Bus Service Delivery Model	Poorly controlled
	General Counsel	21 055	Department for Business, Energy, and Industrial Strategy (BEIS) white paper	Memo
	General Counsel	21 063	Declaration of Interests	Requires Improvement

Enterprise Risk	Directorate	Ref	Audit Title	Conclusion
ER 13 Governance and controls suitability	Finance	21 069	TfL Procurement and Commercial capacity to take on the procurement of Elizabeth Lines' existing contracts.	Adequately controlled
	Group Finance Director	21 045	Recruitment – Business services element	Requires Improvement
ER 14 Opening of the Elizabeth Line	Crossrail	20 508	Demobilisation of Tier 1 contractors	Well Controlled
	Crossrail	20 505	Management of Staff costs	Requires Improvement
	Crossrail	20 504	Alternative Delivery Model Strategy	Requires Improvement
	Crossrail	20 511	Monitoring Professional Service and Framework Development Consultants (FDCs)	Adequately controlled
	Crossrail	20 502	Management of works deferred to LU	Requires Improvement
	Crossrail	21 048	Crossrail Complaints Commissioner Accounts	Memo
	Crossrail	21 062	Disposal of Temporary Assets	Requires Improvement
Crossrail	21 051	Information Management and Transfer	Requires Improvement	