

Transport for London Audit and Assurance Committee

Work planned to start in Q2 2022/23

Appendix 4

- There are 13 audits planned to start during the next quarter

Enterprise risk	Directorate	Ref	Audit title	Objective
ER7 Financial sustainability	Chief Finance Officer	22 007	Benefits Realisation of Transformational Activities	To provide assurance that benefits from transformational activities have been realised.
ER2 Attraction, retention and wellbeing of our employees	Chief Customer and Strategy Officer	22 006*	Staff and Contractor Vetting in T&D	To provide assurance on the adequacy and effectiveness of vetting controls for Technology and Data (T&D) staff and contractors with elevated privileges. These are users granted the ability to do more than standard users of IT systems. An example is the right given to system administrators.
ER7 Financial sustainability	Chief Operating Officer	22 011	Invoicing of Third Parties at Victoria Coach Station	To provide assurance over the adequacy and effectiveness of controls of third-party invoice approvals.
ER14 Opening of the Elizabeth Line	Chief Operating Officer	22 014*	Crossrail Act Obligations	To provide assurance that obligations in the Crossrail Act have been met.
ER13 Governance and controls suitability	Chief People Officer	22 016*	Executive Recruitment	To provide assurance on the adequacy and effectiveness of controls in place for executive recruitment.
ER13 Governance and controls suitability	General Counsel	22 017*	Taxi and Private Hire (TPH) Controls for the Licensing Process (Private Hire Driver Assessment)	To provide assurance on the effectiveness of the Licensing (driver assessment) process.
ER14 Opening of the Elizabeth Line	Chief Operating Officer	22 018*	Complaints Commissioners Accounts 22/23	To provide assurance on the accuracy of the Crossrail Complaints Commissioners accounts for financial year 2022/23.
ER7 Financial sustainability	Chief Capital Officer	22 021*	Use of Consultants and Professional Services	To provide assurance on the adequacy and effectiveness of controls in place for the use of consultants.
ER7 Financial sustainability	Chief Capital Officer	22 022	Management of Single Sourcing Requests (SSRs) below £100,000	To provide assurance on the adequacy and effectiveness of the process for approving SSRs for low value (less than £100,000). Ensure that the process complies with the procurement policy and procedures.
ER7 Financial sustainability	Chief Finance Officer	22 024	Property Transfer accounting	Adequacy and effectiveness of the Property transfer accounting process (between Finance and TTL Properties Limited).

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Enterprise risk	Directorate	Ref	Audit title	Objective
ER7 Financial sustainability	Chief Finance Officer	22 025*	Assets Under Construction (AUC) Accounting Process	Adequacy and effectiveness of the AUC accounting process.
ERI Failure to prevent SHE incident or meet commitment	Chief Safety Health and Environment Officer	22 026 *	Implementation of the Digital Safety Health and Environment System (WP I&3)	To provide assurance on the adequacy and effectiveness of the controls in place for contract award and implementation of the digital Safety, Health and Environment (SHE) monitoring and assurance system.
ERI2 Asset condition unable to support TfL outcomes	Chief Operating Officer	22 027 *	Obsolescence of Critical Operational Systems	To provide assurance that adequate controls are in place to prevent critical operational systems becoming obsolete.

* Audits that have started since the end of Q1.