

Transport for London Audit and Assurance Committee

Work planned to start in Q3 2022/23

Appendix 5

- There are 12 audits planned to start during the next quarter

Enterprise risk	Chief Officer area	Ref	Audit title	Objective
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.
ER3 Major service disruption	Chief Capital Officer	22 030	Engineering Resource Model - interaction between delivery lead and business	To assess the adequacy of the processes and controls in place for planning and communication between delivery leads and the business.
ER2 Attraction, retention and wellbeing of our employees	Chief Customer and Strategy Officer	22 029	Diversity and Inclusion Strategy	To provide assurance on the effectiveness and adequacy over key controls in the implementation of Equality Impact Assessments in TfL.
ER4 Major security incident	Chief Customer and Strategy Officer	22 032	Third Parties with OneLondon Access	To provide assurance on the adequacy and effectiveness of the joiners, movers and leavers controls to third parties.
ER7 Financial sustainability	Chief Customer and Strategy Officer	22 037	Accounting and Cash Management processes TTLP	To provide assurance that the accounting and cash management processes for TTL Properties Limited (TTLP) are adequate.
ER7 Financial sustainability	Chief Finance Officer	22 007	Benefits Realisation for the 'Fit for the Future – Stations' Programme	To provide assurance that benefits from transformational activities have been realised.
ER7 Financial sustainability	Chief Finance Officer	22 024	Property Transfer accounting	To provide assurance on adequacy and effectiveness of the Property transfer accounting process (between Finance and TTLP).

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Enterprise risk	Chief Officer area	Ref	Audit title	Objective
ER5 Supply chain disruption	Chief Finance Officer	22 034	Management of Critical (key) suppliers by Procurement & Commercial	To provide assurance on the development of the key supplier management process to maintain delivery of critical goods and services.
ER7 Financial sustainability	Chief Finance Officer	22 038	Accounts Payable	To provide assurance on the adequacy and effectiveness of the accounts payable process.
ER13 Governance and controls suitability	Chief Operating Officer	22 010	Integration of Woolwich Ferry	To provide assurance on the adequacy and effectiveness of controls on the Woolwich Ferry integration.
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.
ER4 Major security incident	Chief Operating Officer	22 031	Safety and Security of Control Rooms and Stations	To provide assurance on the adequacy and effectiveness of the physical security of stations, as well as any control rooms that are on site