

Transport for London Audit and Assurance Committee

Work in progress at the end of Q3 2022/23

Appendix 4

- There were 10 audits in progress at the end of the quarter

Enterprise Risk	Directorate	Ref	Audit Title	Objective
ER07 Financial resilience	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.
ER10 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.
ER07 Financial resilience	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.
ER10 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.
ER07 Financial resilience	Chief Finance Officer	22 022	Controls over non-competitive transactions (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) and to ensure that the process complies with the procurement policy and procedures.
ER07 Financial resilience	Chief Finance Officer	22 024	Property Transfer Accounting	Adequacy and Effectiveness of the Property transfer accounting process (between Finance and TTL Properties Limited (TTLP)).
ER01 Inability to deliver safety objectives and obligations	Chief Safety, Health and Environment Officer	22 026	Implementation of the Digital Safety Health and Environment System	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 monitoring and assurance system.
ER04 Significant security incident	Chief Operating Officer	22 031	Safety and Security of Staff in 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.

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Enterprise Risk	Directorate	Ref	Audit Title	Objective
ER07 Financial resilience	Chief Customer and Strategy Officer	22 037	Accounting and Cash Management Processes TTLP	To provide assurance the accounting and cash management processes for TTLP are adequate.
ER05 Procurement including supply chain	Chief Finance Officer	22 034	Management of the Relationship with Critical (key) Suppliers by P&C	To provide assurance on the maintenance and development of the key supplier relationship management process to improve the security of supplies.