

Transport for London Audit and Assurance Committee

Work in progress at the end of Q1 2021/22

Appendix 3

- There were 17 audits in progress at the end of the quarter

Enterprise risk	Directorate	Ref	Audit title	Objective	Current Status
ER14 Opening of the Elizabeth Line	Crossrail	20 502	Management of works deferred to LU	To provide assurance that current identified residual scope is managed effectively	In progress
ER14 Opening of the Elizabeth Line	Crossrail	20 504	Alternative Delivery Model Strategy	To provide assurance that the alternative delivery model strategy is adequate	Reporting
ER14 Opening of the Elizabeth Line	Crossrail	20 507	CRL HSE framework	To provide assurance over the adequacy and effectiveness of the HSE framework	In progress
ER14 Opening of the Elizabeth Line	Crossrail	20 511	Monitoring Professional Service and Framework Development Consultants (FDCs).	To provide assurance that PSCs and FDCs are being managed and monitored by Crossrail in an effective manner	In progress
ER04 Major security incident	Customers Communication & Technology	20 402	Enterprise IT Security Layer	To provide assurance on the governance, accountability, adequacy and effectiveness of TfL's enterprise IT security layers	In progress
ER07 Financial sustainability	Customers Communication & Technology	21 024	ACE-funded projects: The Cultural Recovery Fund Part 2	Certify costs in respect of funding for The Cultural Recovery Fund (Part 2)	In progress
ER07 Financial sustainability	Customers Communication & Technology	21 056	Thales' Annual Financial Report for the Connect Contract	To provide assurance on Thales' compliance to specific clauses within the Connect Contract	Reporting
ER10 Inability to support new ways of working	Customers Communication & Technology	20 405	Digital accessibility TfL	To provide assurance that the main TfL website is in line with WCAG 2.1 principles and requirements	In progress
ER01 Major health, safety or environmental incident or crisis	Finance	21 003	Construction Design and Management (CDM) Regulations	To provide assurance that the arrangements regarding Commercial Development acting as the Client under the CDM Regulations are adequate and effective	In progress

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Enterprise risk	Directorate	Ref	Audit title	Objective	Current Status
ER07 Financial sustainability	Finance	20 612	Management of the Procurement and Supply Chain Improvement Programme (Phase I)	To provide assurance that the management of the Procurement and Supply Chain Improvement Programme (Phase 1) is being delivered effectively and efficiently	Reporting
ER07 Financial sustainability	Finance	20 611	Tenant Billing	To provide assurance over the adequacy and effectiveness of the tenant billing and rent collection processes including lessons learned	In progress
ER07 Financial sustainability	Finance	21 025	Bank reconciliations	To provide assurance on the adequacy and effectiveness of the bank reconciliations process	In progress
ER07 Financial sustainability	Finance	21 060	Management of Defined Costs -Track Programme Contract	To provide assurance that the controls around the management of defined costs are effective	In progress
ER13 Governance and controls suitability	General Counsel	21 055	BEIS white paper	To assess the proposals and recommendations made in the Government's White Paper 'Restoring trust in audit and corporate governance' (March 2021), considering their impact on TfL	Reporting
ER02 Protecting the wellbeing of our employees	Human Resources	21 008	Headcount Controls Process	To provide assurance on the adequacy and effectiveness of controls within the headcount controls process	In progress
ER03 Major service disruption	London Underground	21 011	Engineering Resource Model	To provide assurance over the processes and controls of the Engineering Resource model between Delivery Account Lead and Engineering Lead	Reporting
ER03 Major service disruption	Pan TfL	21 010	Climate Adaptation	To provide assurance that controls over TfL core systems resilience to climate change are adequate	In progress