

Transport for London Audit and Assurance Committee

Work in progress at the end of Q2 2021/22

Appendix 3

- There were 16 audits in progress at the end of the quarter

Enterprise risk	Directorate	Ref	Audit title	Objective	Current Status
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
ER02 Protecting the wellbeing of our employees	General Counsel	21 042	Gifts and Hospitality	Provide assurance on the adequacy and effectiveness of controls around gifts and hospitality.	In Progress
ER03 Major service disruption	Pan TfL	21 010	Climate Adaptation - Planning	To provide assurance that controls over TfL core systems resilience to climate change are adequate.	Reporting
ER04 Major security incident	Customers, Communication and Technology	20 402	Enterprise IT Security Layer	Provide assurance on the governance, accountability, adequacy, and effectiveness of TfL's enterprise IT security layers.	Reporting
ER07 Financial sustainability	Customers, Communication and Technology	21 026	Clean Mobile Energy (7th review)	Certify costs in respect of EU funding.	Reporting
ER07 Financial sustainability	Customers, Communication and Technology	21 032	Fixed Asset Accounting	To determine the effectiveness of the processes and controls for accounting for TfL's fixed assets.	In Progress
ER07 Financial sustainability	Finance	20 611	Tenant Billing	Provide assurance over the adequacy and effectiveness of the tenant billing and rent collection processes including lessons learned.	Reporting
ER07 Financial sustainability	Finance	21 058	Governance of Single Sourcing Requests	To provide assurance that the governance process in place to manage the use of single sourcing (or non-competitive) procurements is robust and effective and in line with recommendations from previous audit findings on Single Source Requests.	In Progress
ER07 Financial sustainability	Finance	21 059	Governance of Contract Variation Recommendations	To provide assurance that the governance process in place to manage the use of contract variations is robust and effective.	In Progress

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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
ER07 Financial sustainability	Human Resources	21 031	Pensioner Payroll	Provide assurance on the adequacy and effectiveness of controls for Pensioner Payroll.	In Progress
ER07 Financial sustainability	Surface Transport	21 064	Additional Dedicated Home to School and College Transport Funding (Part 2)	Provide assurance that conditions attached to the Additional Dedicated Home to School and College Section 31 Grant S31/5137 have been complied with.	In Progress
ER07 Financial sustainability	Finance	21 028	Commercial Development's asset management strategy to maximise secondary revenue income	To provide assurance over the adequacy and effectiveness of Commercial Development's asset management strategy for maximising secondary revenue income and the extent to which these are being delivered in line with the business plan.	In Progress
ER10 Inability to support new ways of working	Customers, Communication and Technology	20 405	Digital accessibility TfL	Provide assurance that the main TfL website is in line with Web Content Accessibility Guidelines (WCAG) 2.1 principles and requirements.	Reporting
ER14 Opening of the Elizabeth Line	Crossrail	20 507	Crossrail HSE framework	To provide assurance over the adequacy and effectiveness of the Health, Safety and Environment framework.	In Progress
ER14 Opening of the Elizabeth Line	Crossrail	21 062	Disposal of Temporary Assets	To provide assurance that the controls around the disposal of temporary assets are adequate and effective.	In Progress