

## Transport for London Audit and Assurance Committee

### Work in progress at the end of Q3 2021/22

### Appendix 3

- There were 14 audits in progress (excluding Elizabeth line) 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
ER04 Major security incident	Customers Communication & Technology	21 014	Data Loss Prevention (DLP)	Assess the adequacy and effectiveness of DLP controls in relation to personal, sensitive and confidential data.	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
ER07 Financial sustainability	Human Resources	21 031	Pensioner Payroll	Provide assurance on the adequacy and effectiveness of controls for Pensioner Payroll.	In Reporting
ER07 Financial sustainability	Customers Communication & Technology	21 032	Fixed Asset Accounting	To determine the effectiveness of the processes and controls for accounting for TfL's fixed assets.	In Reporting
ER10 Inability to support new ways of working	Finance	21 038	SAP Business Planning Consolidation Tool (BPC)	To assess and evaluate the adequacy of the development and implementation of the SAP BPC enhancements, the preventative controls for daily loads of data, and the roles and accountabilities (RACI) for access controls.	In Progress
ER13 Governance and controls suitability	Customers Communication & Technology	21 045	Recruitment	Provide assurance on the adequacy and effectiveness of controls within recruitment.	In Progress
ER07 Financial sustainability	Finance	21 057	Effectiveness of the due diligence process for new tenants	Provide assurance on the adequacy and effectiveness of Commercial Development's due diligence process for new retail tenants including financial vetting.	In Progress

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<b>ER07 Financial sustainability</b>	Finance	21 058	Governance of Single Sourcing Requests	The purpose of the audit was 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 (SSRs).	In Reporting
<b>ER07 Financial sustainability</b>	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 Reporting
<b>ER07 Financial sustainability</b>	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 Reporting
<b>ER13 Governance and controls suitability</b>	General Counsel	21 063	Declaration of Interest	Provide assurance of the adequacy and effectiveness of controls around declarations of interest.	In Reporting
<b>ER03 Major service disruption</b>	Pan TfL	21 066	Climate Adaptation – roles, responsibilities and knowledge	To provide assurance that roles and responsibilities around Climate Adaptation are clearly allocated and understood.	In Reporting
<b>ER04 Major security incident</b>	Customers Communication & Technology	21 012	Cubic User Access Management Controls	To assess and evaluate the adequacy and effectiveness of a selection of key controls, in relation to the Central System managed by Cubic on behalf of TfL, with respect to user access management.	In Progress