

Transport for London Audit and Assurance Committee

Work in progress at the end of Q4 2021/22

Appendix 3

- There were 12 audits in progress at the end of the quarter

Enterprise risk	Directorate	Ref	Audit title	Objective	Current Status
ERo4 Major security incident	Chief Customer and Strategy Officer	21 012	Cubic User Access Management Controls	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.	Draft report Issued
	Chief Customer and Strategy Officer	21 014	Data Loss Prevention	Assess the adequacy and effectiveness of data leakage prevention controls in relation to personal, sensitive and confidential data.	Fieldwork
	Chief Customer and Strategy Officer	21 016	Security of Bring Your Own Device (BYOD)	Provide assurance on the effectiveness of the strategy to ensure security of TfL data during use of BYOD.	Fieldwork
	Chief Customer and Strategy Officer	21 017	Software License Management	Assess the adequacy and effectiveness of controls in place to manage risks associated with software licensing across TfL.	Fieldwork
ERo7 Financial sustainability	Finance	21 068	Arts Council England - funded projects: The Cultural Recovery Fund (Part 3)	Certify the statement of income and expenditure prepared by the London Transport Museum (LTM) in accordance with the 29 October 2021 Cultural Recovery Fund offer letter. The statement relates to the activity for which the grant was made, which runs from 1 November 2021 to 31 March 2022.	Final report Issued
	Commercial Development	21 027	Commercial Development Financial Sustainability Plan	Provide assurance that the controls over the Financial Sustainability plan in Commercial Development are adequate and effective.	Fieldwork

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Enterprise risk	Directorate	Ref	Audit title	Objective	Current Status
ER07 Financial Sustainability	Chief Customer and Strategy Officer	21 029	London Transport Museum (LTM) Security of Valuable Collections	Determine the effectiveness of the measures for ensuring the preservation and security of the LTM's valuable collections. Valuable collections are those with a high financial value and/or rare items mostly kept at the Acton Depot and the LTM Covent Garden.	Reporting
	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 and tenant vetting.	Fieldwork
	Finance	21 070	TfL Scorecard	Provide assurance that 2021/22 year-end results on the TfL scorecard are accurately reported.	Reporting
ER08 Delivery of key projects and programmes	Chief Capital Officer	21 036	Benefits Realisation	Provide assurance that controls in place to deliver programme benefits are adequate and effective.	Fieldwork
ER10 Inability to support new ways of working	Customers, Communication and Technology	21 019	Information Technology Disaster Recovery and Operational Resilience	Provide assurance over TfL's ability to withstand and recover from disruptive IT events.	Fieldwork
ER10 Inability to support new ways of working	Finance	21 039	The Estate Management Strategy	Provide assurance on the adequacy and effectiveness of the Estate Management Strategy to show efficiency – cost per full time equivalent space and to reduce associated head office running costs.	Fieldwork