

## Transport for London Audit and Assurance Committee

### Work in progress at the end of Q1 2022/23

### Appendix 3

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

Enterprise risk	Directorate	Ref	Audit title	Objective	Status
ER4 Major security incident	Chief Customer and Strategy Officer	21 014	Data Loss Prevention (DLP)	To assess the adequacy and effectiveness of DLP controls in relation to personal, sensitive and confidential data.	Reporting
ER10 Inability to support new ways of working	Chief Operating Officer, Chief Customer and Strategy Officer	21 019	Information Technology (IT) Disaster Recovery and Operational Resilience	To provide assurance over TfL's ability to withstand and recover from disruptive IT events.	Reporting
ER8 Delivery of key projects and programmes	Chief Capital Officer	21 036	Benefits Realisation	To provide assurance that controls in place to deliver programme benefits are adequate and effective.	Draft Report Issued
ER10 Inability to support new ways of working	Chief Customer and Strategy Officer	21 039	Office Estates Hub Disposal Strategy	To provide assurance that the controls around the Office Estates Hub Disposal Strategy are adequate and effective in delivering the benefits set out in the Office Estates Strategy.	Draft Report Issued
ER7 Financial sustainability	Chief Customer and Strategy Officer	21 057	Effectiveness of the due diligence process for new tenants	To provide assurance on the adequacy and effectiveness of Commercial Development's due diligence process for new retail tenants including financial vetting.	Fieldwork
ERI Failure to prevent SHE incident or meet commitment	Chief Safety Health & Environment Officer	22 001	Digital Assurance - Procurement of Digital Monitoring and Assurance System	To provide assurance on the adequacy and effectiveness of key controls for the implementation of Digital safety, health and environment (SHE) Assurance - procurement of Digital Monitoring and Assurance System.	Draft Report Issued
ER3 Major service disruption	Chief Safety Health & Environment Officer	22 002	Climate Adaptation - Data Management	To review the adequacy and effectiveness over key controls for identifying and improving data and systems to support adaptation activities.	Fieldwork
ER3 Major service disruption	Chief Safety Health & Environment Officer	22 003	Climate Adaptation - Reporting	To review the key controls over collaborating, communicating and reporting on adaptation across TfL and with external stakeholders and experts.	Fieldwork
ERI4 Opening of the Elizabeth Line	Chief Finance Officer	22 012	Cost verification - Engie	To certify that spend is accurate and appropriate.	Fieldwork

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ER7 Financial sustainability	Chief People Officer	22 013	Group Saving Portfolio tracking process	To provide assurance over the adequacy and effectiveness of the new group savings portfolio process.	Draft Report Issued
ER14 Opening of the Elizabeth Line	Chief Operating Officer	22 015	Complaints Commissioners Accounts 21/22	To provide assurance on the accuracy of the Crossrail Complaints Commissioners accounts for financial year 2021/22.	Fieldwork
ER4 Major security incident	Chief Customer and Strategy Officer	22 023	Review of Datacentres	Provide assurance on the adequacy and effectiveness of access and environmental controls to datacentres.	Draft Report Issued