

Transport for London Audit and Assurance Committee

Work in progress at the end of Q2 2022/23

Appendix 4

- There were 10 audits in progress at the end of the quarter

Enterprise risk	Chief Officer area	Ref	Audit title	Objective	Status
ER7 Financial sustainability	Chief Finance Officer	22 021	Use of Consultants and Professional Services	To provide assurance that the controls in place to manage the use of consultants and professional services are robust and effective.	Draft report issued
ER10 Inability to support new ways of working	Chief Customers and Strategy Officer	21 019	IT Disaster Recovery and Operational Resilience	To provide assurance over TfL's ability to withstand and recover from disruptive IT events.	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 TTL Properties Limited's due diligence process for new retail tenants including financial vetting.	In progress
ER2 Attraction, retention and wellbeing of our employees	Chief Customer and Strategy Officer	22 006	Staff and Contractor Vetting in T&D	To provide assurance on the adequacy and effectiveness of vetting controls for Technology and Data (T&D) staff and contractors with elevated privileges. These are users granted the ability to do more than standard users of IT systems. An example is the rights given to system administrators.	Draft report issued
ER7 Financial sustainability	Chief Finance Officer	22 025	Assets Under Construction Accounting Process	To provide assurance on the adequacy and effectiveness of the Assets Under construction accounting process.	Draft report issued
ER13 Governance and controls suitability	Chief People Officer	22 016	Executive Recruitment	To provide assurance on the adequacy and effectiveness of controls in place for executive recruitment.	In progress

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Enterprise risk	Chief Officer area	Ref	Audit title	Objective	Status
ER3 Major service disruption	Chief Safety Health and 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.	In reporting
ER3 Major service disruption	Chief Safety Health and 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.	In reporting
ER1 Failure to prevent SHE incident or meet commitment	Chief Safety Health and Environment Officer	22 026	Implementation of the Digital Safety Health and Environment System	To provide assurance on the adequacy and effectiveness of the controls in place for contract award and implementation of the digital Safety, Health and Environment monitoring and assurance system.	In progress
ER13 Governance and controls suitability	General Counsel	22 017	Taxi and Private Hiring (TPH) Controls for the Licensing Process (Private Hire Driver Assessment)	To provide assurance on the effectiveness of the private hire driver assessment process that forms part of licensing for applications made since 1 October 2021 as well as for existing licensees that need to undertake the English Language speaking and listening test as well as the Safety, Equality and Regulatory Understanding test.	In reporting