



tiaa

Certified
(B)
Corporation

tiaa

**Business Assurance Services With
Your Organisation in Mind**

www.tiaa.co.uk

| 0845 300 3333

Welcome

FOUNDED IN 1995, TIAA HAS EXPERIENCED REMARKABLE GROWTH THANKS TO THE DEDICATION AND EFFORT OF OUR OUTSTANDING TEAM. EVEN THOUGH WE HAVE RADICALLY CHANGED AS A COMPANY OVER 30 YEARS, OUR MISSION IS ENDURING:

TO HELP OUR CLIENTS PROVIDE - AND THEREFORE THEIR CUSTOMERS TO EXPERIENCE - THE HIGHEST QUALITY SERVICES, TREATING PEOPLE FAIRLY AND USING CUSTOMERS' AND TAXPAYERS' MONEY WELL.

Our services are led by passionate professionals making a meaningful impact attracting new clients, while maintaining high reappointment rates. A heartfelt thank you to all our amazing staff for their contributions and commitment, which have made TIAA the success it is today!



A stylized, handwritten signature in white ink, appearing to read 'William'.



TIAA's Commitment to Ethical Practices and Community Engagement



TIAA demonstrates a strong commitment to ethical business practices, social responsibility, and community engagement, verified by its status as a certified B Corporation.

The company emphasises sustainability, equality, and support for local communities through various initiatives and policies.

CERTIFIED B CORPORATION COMMITMENT:

TIAA meets high standards of social and environmental performance, transparency, and accountability, reflecting goals beyond shareholder value.

COMMUNITY AND EMPLOYEE ENGAGEMENT:

TIAA supports local and national charities through fundraising, volunteering, and clear policies on equality, diversity, and ethics. Staff participate in events like beach cleaning and animal welfare.

EMPLOYMENT AND ETHICAL STANDARDS:

TIAA invests in local talent development, especially through graduate and trainee auditor programs, while ensuring clients and suppliers comply with anti-slavery and human trafficking laws under the Modern Slavery Act 2015.



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“ The review was well communicated, conducted and provided constructive feedback and action points. The auditor was friendly, efficient, and kept all involved and updated throughout the audit, and was a pleasure to work with. ”

**OPERATIONAL LEAD
COUNCIL**

“ It’s been a major help for us to have reasonable assurance over our current position and developing the action plan for further strengthening of our defences. Our Board and Committee members really appreciated the specialist presentation, a mix of big picture and vital technical detail. ”

**DEPUTY CHIEF
EXECUTIVE OFFICER
HOUSING ASSOCIATION**

Sectors We Work With:



HOUSING



HEALTHCARE



EDUCATION



CHARITIES



GOVERNMENT



BLUE LIGHT ORGANISATIONS

We also offer services to other sectors, including Credit Unions and Private and Commercial organisations.

Services We Offer:



Internal Audit

AN EFFECTIVE INTERNAL AUDIT SERVICE CAN PLAY A VITAL ROLE IN HELPING YOU MAINTAIN A STRONG GOVERNANCE AND RISK MANAGEMENT FRAMEWORK.

A High-quality, Collaborative Service

Internal audit provides independent assurance that your organisation's risk management, governance, and internal controls are working efficiently and effectively.

- We collaborate with clients to build strong professional relationships grounded in communication and respect.
- What distinguishes TIAA is our commitment to integrating ourselves and being seen as a respected component of your organisation. We harmonise with your values and objectives, recognising that your success is our success.
- We offer a variety of options, ranging from fully outsourced or co-sourced services to individual ad-hoc assignments.

Experience and Insight

Our internal auditors apply their expertise to provide reliable advice and assurance, always considering your overall business environment.

Many of our team members have direct experience in relevant industries, which helps them relate to your daily challenges. This insight allows us to offer practical and effective solutions that can make a real impact.

Your audit team also benefits from the support of various specialists, ensuring all your assurance requirements are fully met.

Our Internal Audit Approach

We use a risk-based approach to identify strategic, operational, and financial risks in organisations.

We continuously innovate and use subject matter experts, assessment tools, and data analytics to improve audit quality, efficiency, and effectiveness.

When control weaknesses are found, we collaborate with clients to perform root cause analysis and implement SMART, prioritised actions to address risks.



A Complete Service

Working with over 400 clients throughout England, Wales, Scotland and Northern Ireland, TIAA combines experience with access to a wealth of benchmarking information to deliver a complete service.

We provide a full range of internal audit services, tailored to meet the requirements of each client organisation.

- Governance
- Risk management and assurance frameworks
- ICT and cyber security
- Financial and operational performance
- Capital projects and investment
- Value for money
- Project consultancy
- Sustainability

“

The Auditor was brilliant, really credible, totally understood the subject area and context, easy to work with and asked great questions which prompted my thinking!

A breath of fresh air as an auditor and the best audit experience I've had so far!

”

**EDUCATION,
DEPUTY CEO**



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IT Audit

ORGANISATIONS RELY HEAVILY ON DIGITAL TECHNOLOGY FOR THEIR OPERATIONS. AT TIAA, A DEDICATED TEAM OF ICT SPECIALISTS PROVIDES THE EXPERTISE NEEDED TO OPTIMISE AND MAKE THE BEST USE OF DIGITAL SYSTEMS.



You can be confident that your digital systems have undergone comprehensive analysis and testing.

Today's organisations rely heavily on digital infrastructure for their operations, so it's crucial to safeguard, monitor, and consistently enhance these valuable assets.

Detailed Analysis and Reports

Our specialist ICT Governance Team supports you in handling data protection and privacy, making sure you comply with regulations, and offering guidance on protecting sensitive information.

TIAA's range of Digital Audit services includes:

- Digital strategy and transformation
- Digital risk assessments
- Assurance on strategic and operational digital projects
- Software application and database audits
- Network infrastructure management and communications audits

- Cloud technologies
- Cybersecurity
- Cyber Resilience
- Internet of Things (IoT)
- Artificial Intelligence
- Intelligent Automation
- Information governance and legal compliance
- Strategies for business continuity and disaster recovery
- Systems under development



Data Security Protects Your Reputation and Bottom Line

Customers trust you with their personal information.

With stricter regulations like GDPR, a breach risks financial penalties and damaged trust.

Our independent information governance review helps your organisation manage complex data systems, ensuring compliance and safeguarding your reputation.

How We Work With You

TIAA can provide assurance and advice on the confidentiality, integrity and availability of your information. We act as a trusted third party expert, helping ensure you can access and use your data with total confidence.

OUR EXPERIENCED SPECIALIST TEAM WILL ENABLE YOU TO:

- Comply with current legislation and codes of practice
- Build the right skill sets, culture and conditions for good data governance
- Successfully project manage and map your data governance
- Avoid pitfalls and overcome roadblocks in data governance initiatives
- Benefit from best practice advice and support in information handling

WE ALSO OFFER THE FOLLOWING SERVICES:

- Data Protection Act 2018 (GDPR) compliance
- On-line training modules made available to our clients
- Information governance training materials validation

In response to data breach incidents our Cyber experts are also available to assist with the provision of wider assurance over your ICT services or recovery of data should the need arise.

Please contact us for more information or to discuss how TIAA can benefit your organisation.

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Cyber Security

NO IT SYSTEM IS 100% SECURE. WHAT MATTERS IS HOW PREPARED YOU ARE.

Risk and Damage Limitation

The Information Commissioner's Office requires notification of a data breach of personal information, resulting from a cyber-attack, within 72 hours. Many organisations don't have robust monitoring capability to detect such incidents, let alone pro-actively identifying patterns which could show the initial stages of attack.

By leveraging TIAA's multi-layered cyber security approach, your organisation gains the confidence that its digital assets are protected by robust and thoroughly tested controls.

Our comprehensive audits and assurance services not only identify and address vulnerabilities but also demystify complex security findings, empowering you to make informed decisions. This means enhanced business resilience, reduced risk, and peace of mind knowing your cyber security management system is strong and future-ready.

“ Some attacks will get through. What you need to do is cauterise the damage

**CIARAN MARTIN,
FORMER HEAD OF
THE NATIONAL CYBER
SECURITY CENTRE**

Readiness To Respond and Recover

As a fully integrated element of Digital Audit and Assurance, we utilise our in-house skills and resources, to provide a seamless service for your organisation. Our holistic approach includes linkage to:

- Robust Cyber Security Maturity Assessments
- Passive Penetration Testing (vulnerability scanning), and deep dive reviews.

- Recognising user education and awareness as a key element in achieving the National Cyber Security Centre (NCSC) 10 steps to cyber security, we can offer an extensive range of training services to empower your staff.

With our help, we can make sure your organisation has appropriate readiness to respond and recover, thereby minimising potential disruption, financial loss, or reputational damage.

Artificial Intelligence (AI)

We can help review your readiness and guide you through to adopt a safe deployment. AI and machine learning are reshaping personal and organisational landscapes, though they pose challenges such as data security concerns and unreliable training data.

We offer assessments of your preparedness and guidance to help you implement these technologies securely.

- AI Readiness Assessment
- Data Maturity Review
- AI Ethics and Governance
- Training and Support

Vulnerability Scanning Subscription Service - Secure Scan

Helping you spot vulnerabilities before the attackers do.

With our Secure Scan service, you gain enhanced protection for your critical assets through both proactive and reactive vulnerability scanning. Scheduled scans and rapid responses to new threats help minimise your security risks. You benefit from independent verification that ensures any recent changes to your infrastructure have not introduced vulnerabilities, giving you confidence and peace of mind in your operations.

- Class leading vulnerability scanning tools
- Scalable solution to meet your exact needs
- Regular scanning to provide on-going assurance
- PCI – DSS compliance checks
- Web application testing

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Fraud Risk Management

IN TODAY'S CHANGING RISK ENVIRONMENT, ORGANISATIONS DEMAND STRONGER PROTECTION AND GREATER CONFIDENCE. SINCE 2000, OUR TEAM HAS PROVIDED KNOWLEDGEABLE GUIDANCE AND HANDS-ON SOLUTIONS, SUPPORTING CLIENTS IN BOTH PREVENTING AND ADDRESSING FRAUD RISKS AND ASSOCIATED ISSUES.

Fraud Risk and Prevention

By partnering with us, your organisation can minimise risks and safeguard its reputation.

Our Fraud Risk Management Specialists act quickly in the event of fraud, conducting thorough investigations and applying suitable penalties as needed. This proactive approach helps prevent financial loss, keeps your business running smoothly, and protects your public image.

With a team of certified investigators and experts, we enhance your ability to tackle fraud and bribery, providing increased peace of mind and a more secure business environment.

TIAA commissioned a review from CIPFA of our Counter Fraud arrangements, providing assurance over the quality of our people and our ability to provide high quality services to our clients.

We're delighted to confirm that we were rated with Substantial Assurance.



Whistleblowing protects the integrity of organisations by encouraging employees to speak up about any misconduct, unethical behaviour, or potential risks they witness. It keeps workplaces transparent, accountable, and safe for everyone.

TIAA's comprehensive Whistleblowing Health Check can provide your organisation with assurance that its organisational culture is working effectively.

How We Work With You

We will work in partnership with you to develop and implement an organisation-wide culture of fraud prevention and fraud risk management. We can assess your organisation's specific fraud risks and provide an analysis of the gaps that could allow fraud to occur.

OUR FRAUD RISK MANAGEMENT SPECIALISTS HAVE EXPERT KNOWLEDGE AND EXTENSIVE EXPERIENCE IN ALL AREAS OF FRAUD PREVENTION INCLUDING:

- Comprehensive fraud risk assessments
- Gap analysis of controls, including development of fraud prevention measures
- Advice on recruitment, codes of conduct and systems and controls
- Bribery Act Compliance – review of anti-bribery systems and risks, and development of anti-bribery controls
- Compliance with GFS – Fraud
- FraudSmart service – access to the latest fraud alerts and prevention notices
- Training and policy development
- Targeted fraud prevention reviews

An Experienced Team With a Variety of Sector Experience

A RANGE OF INVESTIGATION SERVICES, TO MEET YOUR BESPOKE NEEDS AND OBJECTIVES INCLUDING:

- Rapid response fraud investigation
- Crisis management
- Corruption and bribery investigations
- Regulatory investigations (including Skilled Person assignments)
- Background checks and desktop reviews
- Specialist advice to the board on next steps
- ACAS trained specialists for internal investigations supporting HR

WE HAVE A PROVEN TRACK RECORD OF ASSISTING ORGANISATIONS TO SEEK REDRESS BY RECOVERING THE MONIES LOST THROUGH FRAUD.

Investigatory Services

Our accredited investigators respond rapidly to suspected fraud, following best practice and regulatory guidelines. TIAA has one of the largest teams of NHS-accredited Counter Fraud Specialists.

Our Fraud Risk Management team combines expertise and experience across all aspects of fraud and internal investigations, ensuring compliance with relevant legal frameworks.

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Security Management

SINCE 2004, OUR SECURITY AND RISK MANAGEMENT SPECIALISTS HAVE HELPED CLIENTS BY THOROUGHLY ASSESSING THEIR REQUIREMENTS AND DEVELOPING CUSTOMISED PLANS TO MINIMISE ORGANISATIONAL SECURITY RISKS.

With TIAA's security and risk management services across the UK, you can feel confident knowing your employees, visitors, and assets are protected.

Since 2004, our knowledgeable consultants have worked alongside organisations like yours to overcome security hurdles and design strategies that help reduce the risks of violence and crime.

Thanks to our nationwide service delivered through local teams, you receive personalised attention and a trusted partnership. Our Special Projects Team is dedicated to identifying any potential vulnerabilities in your organisation and creating tailored protection plans to ensure your peace of mind.

- **Our goal** is to provide our clients with security and risk management services and solutions that make a difference.
- **Our mission** is to provide the best security and risk management support in the U.K.
- **Our Special Projects Team** will assess all your individual security vulnerabilities and advise accordingly to give you the best advice and protective security solutions available.



Security Matters

Security is essential for every organisation - not just to protect staff, service users, and visitors, but also assets. Safeguarding people and property helps avoid downtime, costs, and reputational harm.

Violence and aggression towards staff are increasing, making effective security risk assessment and management crucial. Our advice includes innovative improvements, such as optimising office and public space layouts. We offer training in security awareness, risk assessment, and conflict resolution --providing practical tools to manage threats and de-escalate incidents.

We work with you to investigate security incidents, implement crime reduction strategies, and build a strong security-focused culture.



Our Security and Risk Management Services

We can offer both pro-active and reactive services:

PRO-ACTIVELY:

- Crime reduction surveys / site visits
- Risk Assessments of security systems, such as CCTV, access control
- Risk assessments regarding lone working and violence and aggression
- Specialist advice on crime hot spots
- Procedure design and implementation
- Training
- Incident trend analysis
- Policy development and reviews
- Provide detailed reports and recommendations
- Penetration testing – testing security vulnerabilities, whether they are physical, social (people)

REACTIVELY:

- Investigation* support, including action plans
- Liaison with third parties such as police and government agencies
- Support and advice for victims of crime

ADDITIONAL:

- Martyn's Law – Terrorism (Protection of Premises) Bill
- Heritage and Cultural Property Crime

**Our highly skilled investigations team work around the clock. We cover a wide range of investigation services tailored to your specific requirements.*



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HR Investigations

TIAA'S HR INVESTIGATION SERVICE AIDS HR DEPARTMENTS BY PROVIDING SWIFT INDEPENDENT AND PROFESSIONAL SUPPORT.

Our Support

THERE HAS NEVER BEEN GREATER PRESSURE ON HUMAN RESOURCES (HR) DEPARTMENTS TO HELP DELIVER ON FINANCIAL AND PERFORMANCE TARGETS.

OUR SUPPORT INCLUDES THE FOLLOWING AREAS:

- Information or allegation triage and assessment
- Investigation strategy planning and management
- Independent fact-finding investigation, inclusive of interviewing support
- Presentation of evidence at hearings or formal proceedings



Our Investigations

Our investigations are carried out in a sensitive and proportionate manner. We consider that these types of investigations need to be discrete, yet expeditious and should always seek to minimise any potential disruption to the day-to-day business of your organisation.

- Objective in our approach
- Conducted in accordance with your HR's policies and framework
- Thorough and discrete



If an Investigation Goes Wrong

Upfront investment can prevent costly litigation, management time, downturn in productivity and disruption.



How We Can Help

- Design and implementation of disciplinary and related policies and frameworks
- Assist in the triage and assessment of information received, whistleblowing matters, grievances and management conduct matters
- Provide expert independent and professional investigators, with an ability to deploy at short notice to investigate the dispute / allegations sensitively and identify the facts
- Provide a facts based report to support your actions and decision making process, which will withstand scrutiny
- Call upon our wider specialist support and networks to assist where the complexity or case circumstances dictate
- Post investigation root cause analysis / lessons learned support, to address system of procedural weaknesses
- Training for your staff and specialists on conducting investigations and management of whistleblowing incidents



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Advisory Services

AS BUSINESS ASSURANCE PROVIDERS, WE ARE IDEALLY PLACED TO PRO-ACTIVELY ASSIST ORGANISATIONS TO DEVELOP STRONG GOVERNANCE ARRANGEMENTS, AND TO HELP DEAL WITH CHALLENGES SUCH AS PERIODS OF FINANCIAL CONSTRAINT.

Improving Your Organisation's Processes and Practices

TIAA IS DISTINCTIVE IN THAT WE ARE A SPECIALIST BUSINESS ASSURANCE PROVIDER, RATHER THAN AN ACCOUNTANCY FIRM. THIS GIVES US THE ABILITY TO OFFER ADDITIONAL SERVICES UNIQUE TO BUSINESS ASSURANCE.

We know that organisations are under significant pressure to meet challenging financial targets. Our innovative business services add real worth in terms of improving your organisation's processes and practices. Such efficiency adds value and quality to the business you provide and supports you to succeed.



Our Clients

TIAA HAVE BEEN FORTUNATE TO WORK WITH COMPANIES IN ALL SECTORS ACROSS THE UK.

“ The review was well communicated, conducted and provided constructive feedback and action points. The auditor was friendly, efficient, and kept all involved and updated throughout the audit, and was a pleasure to work with. ”

OPERATIONAL LEAD COUNCIL

Specialist Investigations Service

Our bespoke investigations service forms part of our Fraud Risk Management and Investigations Team.

Our team of dedicated specialists are able to provide focussed services in areas including:

MANAGEMENT
CONDUCT REVIEWS

DISCIPLINARY
INVESTIGATIONS

FACT FINDING
REVIEWS

WHISTLEBLOWING
MATTERS



FRAUD HEALTH
CHECK SERVICE

GOVERNMENT
FUNCTIONAL STANDARDS
REVIEW SERVICE

REGULATORY BREACHES
(SUCH AS DATA LOSS /
DPA ISSUES)

CRIMINAL
INVESTIGATIONS

Data Protection Advisory Service

Our data security team can provide a fully outsourced, resilient data protection service or assistance for your Data Protection Officer.

KEY ELEMENTS OF OUR SERVICE INCLUDE PROVIDING:

- Assistance with responding to Subject Access Requests in a timely and independent manner
- Ongoing data protection awareness training for your staff and Trustees
- Resilience when your key staff are on leave
- Data audits to establish any vulnerabilities and to advise on proactive corrective action
- Periodic data protection action alerts
- Ability for your organisation to demonstrate to funders, regulators and similar, that you have in place an independent and robust data protection infrastructure
- Proactive reviews on DPA systems and processes (inclusive of FOI procedures)

Risk Management Service

Risk management if done properly, protects people, reputation and will improve efficiency and effectiveness in service delivery.

HOW TIAA CAN HELP YOU ACHIEVE THIS:

- We can perform a health check on your risk management arrangements
- We look at risk maturity – do you know what yours is?
- We can provide training and workshops to all staffing levels across your organisation including Board, Corporation, Governors, and Members
- We can act as mentor and/or facilitator to work with your Risk Management Team

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ADSURE
SERVICES PLC



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