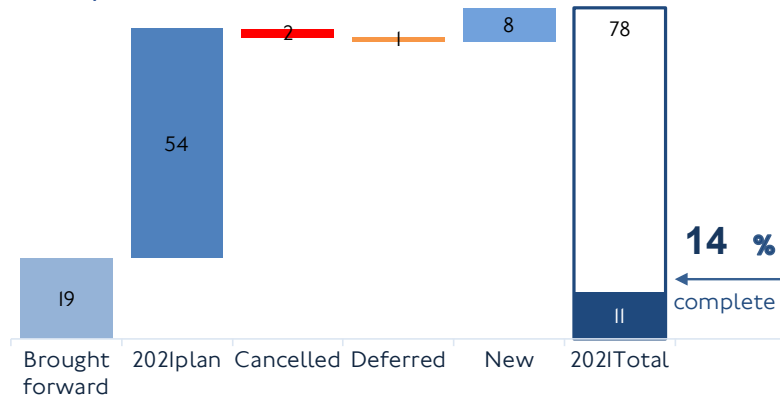


Appendix 6: Internal Audit Q1 Summary

Audit plan 2021/22 in Q1



There were 19 audits carried over from the 2020/21 plan, eight of which were still in progress at the end of Q1. We are behind on the 2021/22 plan. This is due to a large number of audits carried over from the previous year and the effect of current vacancies in the team and continued difficulties in recruitment in TIS auditors. One of the general auditors also secured a secondment position in a different team and was not replaced.

A number of new audits were added in Q1 thereby increasing the overall size of the plan. We also reprogrammed some audits originally scheduled for Q1 for later in the year after discussions with the business. We will be reprioritising the plan and reviewing our use of the co-source to recover our position.

There was one poorly controlled and four requires improvement audit reports issued in the quarter. The poorly controlled report was for an audit from the 2020/21 plan. This was for Bus Service Delivery Model and had six high and four medium priority issues. Actions have been agreed with management to address all the issues and are being followed up.

Reports

11 Issued In Q1 **40** Issued In the Last 4 Quarters

	PC	RI	AC	WC	M/C
Crossrail		2	1	1	2
CCT		6	1		3
Finance		4			2
Gen.Counsel		2			1
HR		2		1	1
LU				1	1
Surface	1	3		1	4
Total	2.5%	47.5%	5.0%	10.0%	35.0%

PC Poorly Controlled
RI Requires Improvement
AC Adequately Controlled
WC Well Controlled
M/C Memo/Consultancy

Action Management

Overall TfL Performance

Measure	No.	%	6-period trend
Closed on time	39	36%	
Extended	55	50%	

13 Overdue

247 Open

By Directorate

Directorate	Overdue	Closed on time
CCT	2	30%
Crossrail		26%
Finance		40%
Gen. Counsel	1	33%
HR	1	33%
LU		100%
Major Projects		
Surface	8	41%
SHE		100%
Pan TfL		

Based on actions due in the last six periods

■ 0-30 days
■ 31-59 days
■ 60-99 days
■ 100+ days