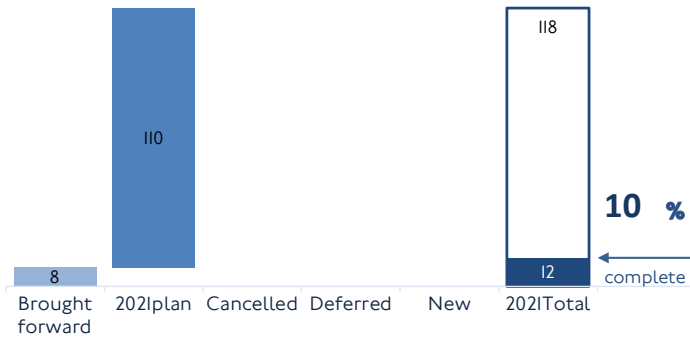


Appendix 7: Integrated Assurance Audit Q1 Summary

Audit plan 2021/22 in Q1



Key Highlights

The eight audits carried over from 2020/21 were all completed in Q1. We are currently significantly behind on the 2021/22 programme. This is a combination of a retirement, a return from long term sickness and two auditor vacancies which are planned to be filled in Q3.

There are a large number of NIS and PCI compliance audits scheduled for Q3 and Q4. These audits are substantially shorter than other audits but make up 30 per cent of the annual plan. Therefore, whilst progress will not be consistent throughout the year, it is expected

that 85 per cent of the plan will be completed as per target.

Three audits: 20 721 PPD Client Duties CDM Compliance, 20 724 Handover of tram fleet asset information (both 'poorly controlled') and 20 760 Network Management Client Duties CDM Compliance ('requires Improvement') have prompted a review of project assurance activities. See the main body of the report.

We have improved the reporting of audit plan progress and action tracking to TfL Senior Management to provide greater awareness and oversight of overdue actions.

Audit ratings by Directorate - last 4 Quarters

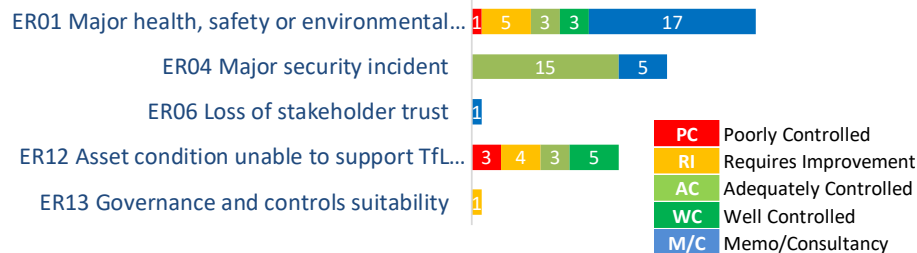
	PC	RI	AC	WC	M/C
CCT			7		3
Finance			2		2
LU	2	5	6	6	16
MPD				1	
Pan TfL			1		1
Surface	2	5	5	1	1
Total	6.1%	15.2%	31.8%	12.1%	34.8%

Action Management

Overall TfL Performance

Measure	No.	%	6-period trend	Status
Closed on time	16	25%		16 Overdue
Extended	11	17%		110 Open

Audit Rating By Enterprise Risk – last 4 Quarters



By Directorate

Directorate	Overdue	Closed on time
CCT		
Crossrail		
Finance	1 (red), 2 (red)	
Gen. Counsel	1 (green)	
HR		
LU	2 (yellow), 1 (brown), 1 (red)	35%
Major Projects	2 (red)	
Surface	1 (brown), 5 (red)	13%
SHE		
Pan TfL		

Based on actions due in the last six periods

- 0-30 days (Green)
- 31-59 days (Yellow)
- 60-99 days (Brown)
- 100+ days (Red)