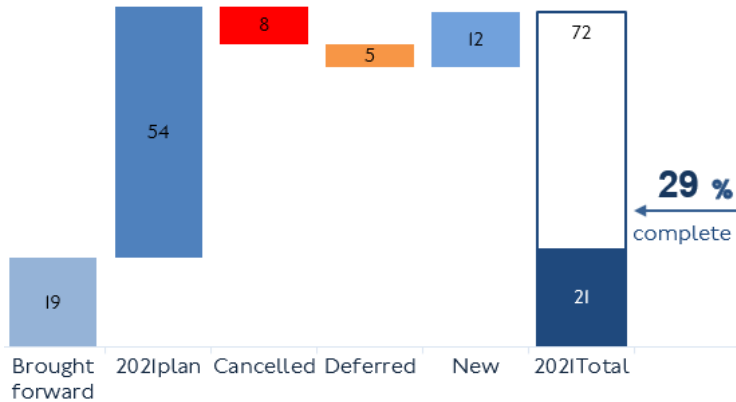


Appendix 6: Internal Audit Q2 Summary

Audit plan 2021/22 in Q2



We are behind on the 2021/22 plan which at the end of Period 7 stood at 35 per cent. 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 of TIS auditors. One of the general auditors, after completion of her secondment placement, has left and a TIS auditor has now also left TfL. A number of new audits were added in Q1 and Q2 thereby increasing the overall size of the plan. Since the end of Q2 we have cancelled a number of audits to account for the loss of staff and the new audits added to the plan in Q2.

There were no poorly controlled reports issued. There were two requires improvement audit reports issued in the quarter. These were both against Enterprise Risk 14 and were on related topics “Works deferred to LU” and the “Alternative Delivery Model”. Actions have been agreed with management to address all the issues and are being followed up.

Reports



Audit ratings by Directorate - last 4 Quarters

	PC	RI	AC	WC	M/C
Crossrail		4	2	1	2
CCT		5	1		5
Finance		4	1	1	2
Gen.Counsel		2			2
HR		2	1	1	1
LU			1	1	1
Surface	1	3		1	3
Total	2.1%	41.7%	12.5%	10.4%	33.3%

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	25	17%		11 Overdue
Extended	111	76%		184 Open

By Directorate

	Overdue	Closed on time
CCT	4	17%
Crossrail	3	10%
Finance		0%
Gen. Counsel	4	8%
HR		17%
LU		67%
Major Projects		
Surface		16%
SHE		100%

Based on actions due in the last six periods

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