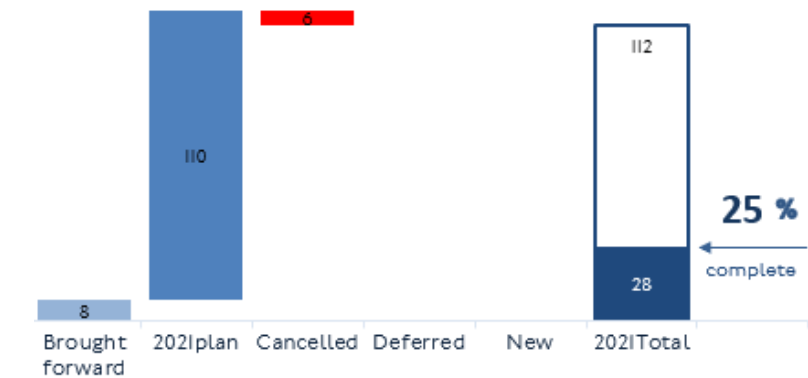


# Appendix 7: Integrated Assurance Audit Q2 Summary

## Audit plan 2021/22 in Q2



### Key Highlights

As reported last quarter we remain behind on the audit plan. Two recent recruitments and a greater number of shorter audits in the second half of the year means we are confident of achieving our target.

16 audits were completed in Q2, two were concluded as poorly controlled. Both have programme of actions in place and are discussed in greater detail in the body of the report.

'Commercial Development Estates HSE Compliance'.  
'Management of LU station tenants fire risk assessments'.

Three audits were concluded as Requires Improvement:

- LU Operational Communications - The standard requirements were not fully complied with by the Communication Review Groups and SHE teams providing assurance. Systems were in place but were yet to be implemented in all areas.
- LU Track Competence Management - Elements of management system document R2631 had not been fully implemented. Some of the issues raised had been previously identified and will be resolved in a revised version.
- Engineering Temporary Works Coordinator - The internal standards were not fully complied with by Lift and Escalator Engineering, with possible risk of failure and adverse impact on health and safety.

## Audit ratings by Directorate - last 4 Quarters

	PC	RI	AC	WC	M/C
CCT			9		3
Finance	1		2		2
LU	3	8	7	5	18
MPD				1	
Pan TfL			1		1
Surface	2	4	7	1	
<b>Total</b>	<b>8.0%</b>	<b>16.0%</b>	<b>34.7%</b>	<b>9.3%</b>	<b>32.0%</b>

## Action Management

### Overall TfL Performance

Measure	No.	%	6-period trend	Overdue	Open
Closed on time	38	38%		<b>30</b>	
Extended	26	26%			<b>106</b>

## Audit Rating By Enterprise Risk – last 4 Quarters



## By Directorate

Directorate	Overdue	Closed on time
CCT		
Crossrail		
Finance	4	2
Gen. Counsel		
HR		
LU	17	34%
Major Projects	2	75%
Surface	1	2
SHE		

Based on actions due in the last six periods

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