

Appendix 2 – Integrated Assurance Audit Data

Audit progress against the 2021/22 plan in Q3 -

Table shows 8 audits brought forward, 110 planned for 2021/22 and 10 cancelled or deferred, with 50 per cent completed.

Table shows overdue audits by directorate:

Finance: 6 (31-59 days), 3 (100+ days)

LU: 1 (0-30 days), 7 (31-59 days), 1 (69 days) 10 (100+ days)

Major Projects: 2 (100+ days)

Surface: 1 (0-30 days), 4 (31-59 days), 12 (69 days) 3 (100+ days)

SHE: 3 (0-30 days)

Audit ratings by Directorate:

Table shows:

CCT: 10 adequately controlled, 3 memo/consultancy

Finance: 2 poorly controlled, 2 adequately controlled, 1 well controlled

LU: 3 poorly controlled, 10 requires improvement, 7 adequately controlled, 4 well controlled and 20 memo/consultancy

MPD: 1 well controlled

Pan TfL: 1 well controlled, 1 memo/consultancy

Surface: 3 poorly controlled, 4 requires improvement, 10 adequately controlled, 1 well controlled

As percentages, this is: 9.6 per cent poorly controlled, 16.9 per cent requires improvement, 36.1 per cent adequately controlled, 8.4 per cent well controlled and 28.9 per cent memo/consultancy

Table shows Audit Conclusions by Enterprise Risk:

ER10 Major SHE incident or crisis: 42

ER4 Major Security incident: 26

ER12 Asset condition unable to support TfL outcomes: 15