

Appendix 7: Integrated Assurance Audit Q3 Summary

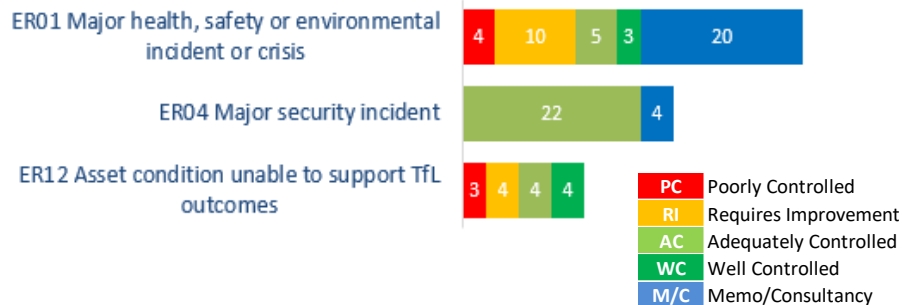
Audit plan 2021/22 in Q3



Audit ratings by Directorate - last 4 Quarters

	PC	RI	AC	WC	M/C
CCT			10		3
Finance	2		2	1	
LU	3	10	7	4	20
MPD				1	
Pan TfL			1		1
Surface	3	4	10	1	
Total	9.6%	16.9%	36.1%	8.4%	28.9%

Audit Rating By Enterprise Risk – last 4 Quarters



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

Key Highlights

Current progress against the audit plan is 50 per cent at the end of Quarter 3. This is still behind target but significant progress from 25 per cent complete at the end of Quarter 2, the projection is positive for Quarter 4.

23 audits were completed in Quarter 3, one was concluded as 'poorly controlled' and has agreed actions in place: Surface Transport Electrical Inspections. The audit is discussed in greater detail in the body of the report.

Four audits were concluded as requires improvement:

- Management of DLR Rolling Stock Assets and Configuration: There was one high priority finding relating to the absence of a configuration management process for fleet assets.

- LU Service Control Training and Competence: The findings related to an absence of risk-based training needs analysis and there were gaps in the assurance of assessor competence and assurance activities.

- LU Track Drainage Management: Evidence was available to show that inspection and maintenance of assets was being undertaken and recorded, although not all parts of the standard were complied with.

- LU Rolling Stock Competence Management. Elements of Competence Management System reference document R0623 and the associated London Underground Skills Development management documents had not been fully implemented.

Overall TfL Performance

Measure	No.	%	6-period trend	Status
Closed on time	103	64%		53 Overdue
Extended	27	17%		85 Open

By Directorate

Directorate	Overdue	Closed on time
CCT		
Crossrail		
Finance	6, 3	85%
Gen. Counsel		
HR		
LU	1, 7, 1, 10	59%
Major Projects	2	75%
Surface	1, 4, 12, 3	63%
SHE	3	67%
Pan TfL		

Based on actions due in the last six periods

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