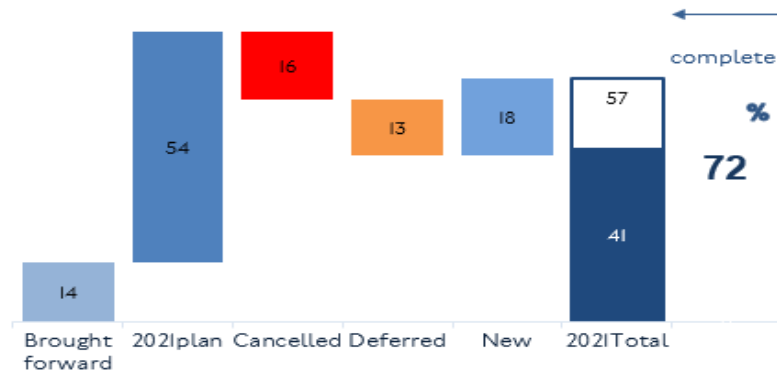


Appendix 6: Internal Audit Q4 Summary

Audit plan 2021/22 in Q4



- The team have had a very good quarter issuing 15 reports by year end. As a result, the revised target of 70 per cent was met.
- Despite active management of our co-source arrangements, the delivery of Technology Information Security (TIS) audits has been disappointing and means we are carrying more audits over into 2022/23 than anticipated. The Audit team carry-over is minimal and time to complete these reviews has been allocated in the 2022/23 programme.

Reports



Audit ratings by Directorate - last 4 Quarters

	PC	RI	AC	WC	M/C
Crossrail		4	1	1	2
Chief Operating Officer		1			1
Finance		2	2	1	1
Gen.Counsel		1			2
Chief People Officer			2	1	
Chief Customer and Strategy Officer		2	2		5
Chief Capital Officer		2	1		1
Pan Tfl		2			
SHE					2
Communications and Corporate Affairs			1		
Total	0.0%	35.0%	22.5%	7.5%	35.0%

- 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	Overdue	Open
Closed on time	90	76%		58	
Extended	56	47%			222

By Directorate

Directorate	Overdue	Closed on time
Chief Operating Officer		78%
Crossrail		26%
Finance		58%
Gen. Counsel		80%
Chief People Officer		100%
Chief Customer and Strategy Officer		50%
Chief Capital Officer		90%
Communications and Corporate Affairs		50%
SHE		100%
Pan Tfl		50%

Based on actions due in the last six periods

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