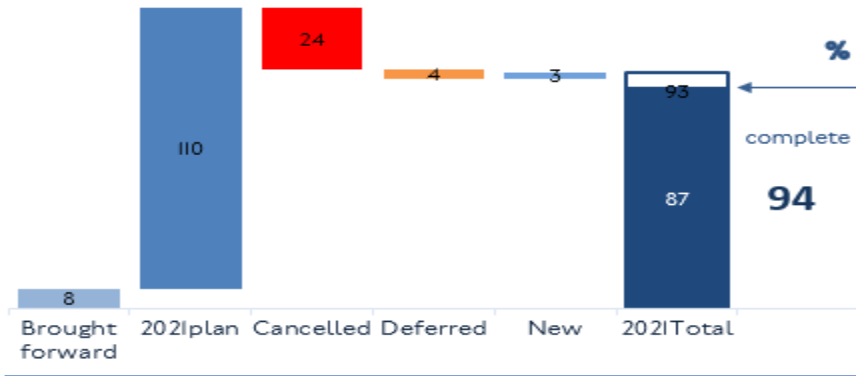


Appendix 7: Quality, Safety and Security Assurance: Q4 Summary

Audit plan 2021/22 in Q4



Key Highlights

By year end the Integrated Assurance team had completed 94 per cent of the audit plan with four audits that will be issued in Quarter 1 of 2022/23.

There were 35 audits completed in Q4: 18 were 'adequately controlled', three 'well controlled', seven not rated and seven 'requires improvement'. The audits are discussed in greater detail in the body of the report.

Over the past six months there has been a reduction in action extensions granted and an increase in the number of actions closed on time. However, there are a large number of actions that are over 100 days overdue that we continue to work with the business on. Of the 107 open action, 68 are overdue.

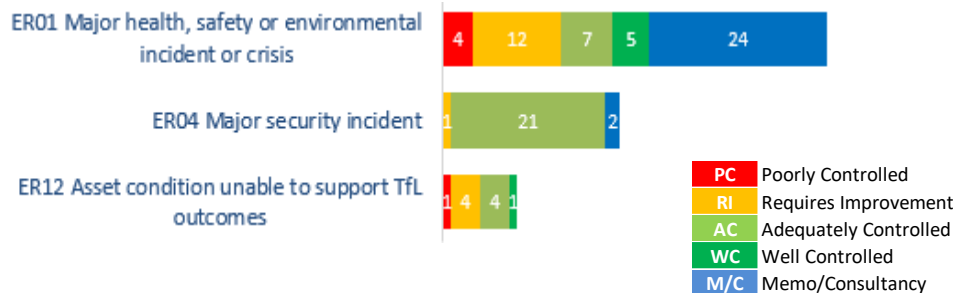
Audit ratings by Directorate - last 4 Quarters

	PC	RI	AC	WC	M/C
Crossrail	0	0	0	0	0
Chief Operating Officer	3	15	19	4	24
Chief Customer and Strategy Officer	2	0	12	1	1
Chief Capital Officer	1	2	0	1	0
Pan TfL	0	0	0	0	1
Total	7.0%	19.8%	36.0%	7.0%	30.2%

Overall TfL Performance

Measure	No.	%	6-period trend	Count	Status
Closed on time	89	68%		68	Overdue
Extended	15	11%		107	Open

Audit Rating By Enterprise Risk – last 4 Quarters



By Directorate

Directorate	Overdue	Closed on time
Chief Operating Officer	4 (0-30), 11 (31-59), 8 (60-99), 26 (100+)	58%
Crossrail		
Finance		
Gen. Counsel		
Chief People Officer		
Chief Customer and Strategy Officer	17	79%
Chief Capital Officer	5 (0-30), 2 (31-59)	56%
Communications and Corporate Affairs		
SHE	3	75%
Pan TfL		

Based on actions due in the last six periods

Legend for Overdue: 0-30 days (Green), 31-59 days (Yellow), 60-99 days (Orange), 100+ days (Red)