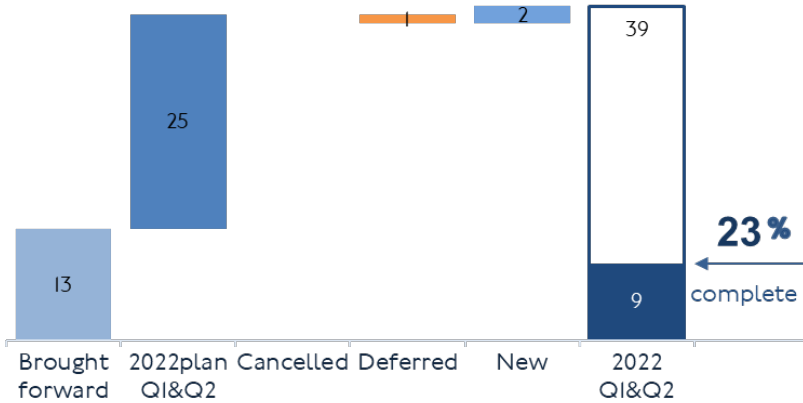


Appendix 6: Internal Audit Q1 Summary

Audit plan for Q1&Q2 2022/23 in Q1



There were 13 audits carried over from the 2021/22 Audit Plan, we finalised eight of these in Q1 with five in progress at the end of the quarter. We have made a good start to the first half of the 2022/23 Audit Plan with a number of audits in the reporting phase at the end of Q1. We have started the process to recruit two new TIS auditors and reduce our reliance on co-source.

While we find that key controls are generally in place and working as intended we continue to identify weaknesses in record keeping and clarity of roles and responsibilities.

Reports

9

Issued In Q1

38

Issued In the Last 4 Quarters

Audit ratings by Directorate - last 4 Quarters

	Poorly Controlled	Requires Improvement	Adequately Controlled	Well Controlled	Memo/ Consultancy
Chief Capital Officer		1	1		
Chief Customer and Strategy Officer		4	2		7
Chief Finance Officer		3	1	1	2
Chief Operating Officer					1
Chief People Officer			2		
Chief SHE Officer					2
Comms & Corp. Affairs			1		
Crossrail		2	1		3
General Counsel		1			1
Pan TfL		2			
Total	0.0%	34.2%	21.1%	2.6%	42.1%

Action Management

Open Audit Actions - Overall TfL Performance (6-Period trend)

Measure	No.	%	6-period rolling trend	Count	Status
No. Actions Closed on time	12	22%		52	Overdue
No. Actions Extended	40	48%		181	Open

By Directorate

Directorate	Overdue Actions To Date	Closed on time (6-period)	Legend
Chief Capital Officer		11%	0-30 days (Green)
Chief Customer and Strategy Officer		18%	31-60 days (Yellow)
Chief Finance Officer		23%	61-100 days (Brown)
Chief Operating Officer		0%	100+ days (Red)
Chief People Officer		0%	
Comms & Corp. Affairs			
Crossrail		17%	
General Counsel		0%	