

Appendix 8: Quality Safety Security Assurance Audit Q3 Summary

Audit Plan for 2022/23 in Q3



Key Highlights

Three of the audits issued in Quarter 3 were given a 'Poorly Controlled' conclusion: Environmental risk assessments in London Underground and Buses and Trams and Trams 'On Track Plant and Machines' (see the main paper for details).

There has been good progress against the number of overdue actions, with a significant reduction in the number of actions 100 days or more over due.

Audit planning is currently underway for the 2023/24 programme.

Audit ratings by Chief Officer - last four quarters

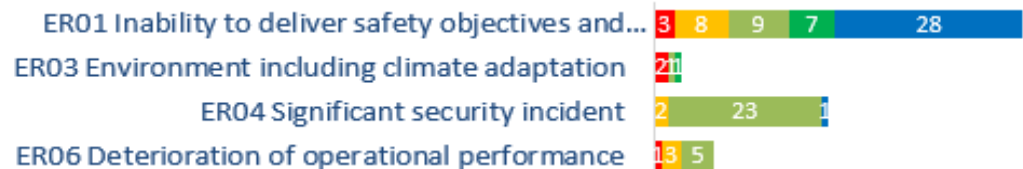
	Poorly Controlled	Requires Improvement	Adequately Controlled	Well Controlled	Not Rated
Chief Capital Officer	1	1	2		
Chief Customer and Strategy Officer			12		1
Chief Finance Officer					
Chief Operating Officer	5	11	24	8	28
Pan TfL		1			
Total	6.4%	13.8%	40.4%	8.5%	30.9%

Action Management

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

Measure	No.	%	6-period rolling trend	Count	Description
No. Actions Closed on time	25	35%		27	Overdue
No. Actions Extended	21	18%		91	Open

Audit Rating By Enterprise Risk – last 4 Quarters



■ Poorly Controlled
 ■ Requires Improvement
 ■ Adequately Controlled
 ■ Well Controlled
 ■ Not Rated

	Overdue Actions To Date	Closed on time (6-period)
Chief Capital Officer		50%
Chief Operating Officer		29%
Chief SHE Officer		0%

■ 0-30 days
 ■ 31-60 days
 ■ 61-100 days
 ■ 100+ days

Based on actions due in the last six periods