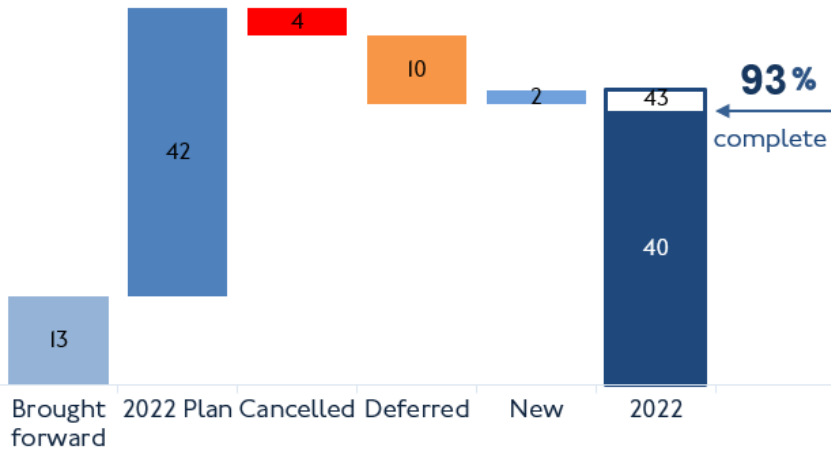


## Appendix 6: Internal Audit Q4 Summary

### Audit plan for 2022/23 in Q4



At the end of Quarter 4 (Q4) 93 per cent of the plan had been delivered. We are only carrying over three audits into 2023/24 slightly less than predicted in the Quarter 3 (Q3) paper and significantly less than last year's 13. We issued one poorly controlled, six requires improvement, three adequately controlled and four memos.

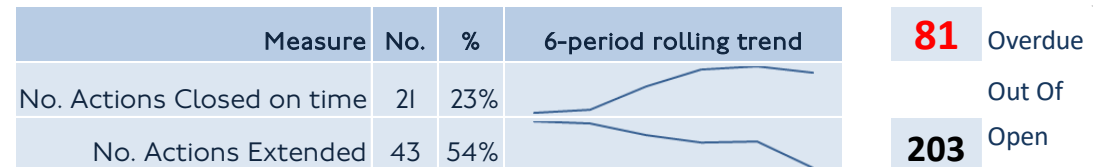
The number of actions closed on time has improved slightly from Q3 but the number of overdue actions has increased from 38 to 81 - although the majority of these are 0-30 days. At the end of Q4 there was one action over 100 days old but this has since been closed.

### Reports



### Action Management

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



### Audit ratings by Directorate - last 4 Quarters

	Poorly Controlled	Requires Improvement	Adequately Controlled	Well Controlle	Memo/ Consultancy
Chief Capital Officer		1			
Chief Customer and Strategy Officer	1	5	2		5
Chief Finance Officer	1	3	3		4
Chief Operating Officer		4	1		2
Chief People Officer	1	1			
Chief SHE Officer		1			3
Comms & Corp. Affairs					
Crossrail					
General Counsel		2			
Pan TfL					
<b>Total</b>	<b>7.5%</b>	<b>42.5%</b>	<b>15.0%</b>	<b>0.0%</b>	<b>35.0%</b>

### By Directorate

Based on actions due in the last six periods

