

Appendix 7: Quality Safety Security Assurance Audit Q4 Summary

Audit Plan for 2022/23 in Q4



Key Highlights

The team achieved the year end target of 85% with minimal change to the annual plan. The outstanding audits will be delivered in early Quarter 1 (Q1). The plan for 2023/24 has been split into Q1-2 and Q3-4 to allow for review and alignment at mid-year.

There was one poorly controlled audit: 'Management of Civil Engineering Deep Tube Project Asset Data For New Assets' - see the main body of the report for full details. Actions have been agreed with the teams and are in progress.

Audit ratings by Chief Officer - last four quarters

	Poorly Controlled	Requires Improvement	Adequately Controlled	Well Controlled	Not Rated
Chief Capital Officer	1	2	1		
Chief Customer and Strategy Officer		2	9		
Chief Finance Officer			1		
Chief Operating Officer	6	8	19	8	31
Pan Tfl		1			1
Total	7.8%	14.4%	33.3%	8.9%	35.6%

Action Management

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

Measure	No.	%	6-period rolling trend	Count	Status
No. Actions Closed on time	32	30%		35	Overdue
No. Actions Extended	17	20%		92	Open

Audit Rating By Enterprise Risk – last 4 Quarters



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

By Directorate

Directorate	Overdue Actions To Date				Closed on time (6-period)
Chief Capital Officer	6	1			50%
Chief Customer and Strategy Officer					100%
Chief Operating Officer	8	6	2	5	29%
Chief SHE Officer	3	3	1		25%

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

Based on actions due in the last six periods