

TRANSPORT FOR LONDON

AUDIT COMMITTEE

**SUBJECT: QUARTER 3 PRODUCTIVITY AND RESOURCES REPORT**

**DATE: 4 MARCH 2010**

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**1 PURPOSE AND DECISION REQUIRED**

- 1.1 The purpose of this report is to inform the Audit Committee of the outputs of, and the use of resources by, the Internal Audit team in Quarter 3 2009/10. The Committee is asked to note the report.

**2 BACKGROUND**

- 2.1 The Scorecard covering the third quarter of the year is attached at Appendix 1 to this report.

**3 RECOMMENDATION**

- 3.1 The Audit Committee is requested to NOTE the report.

**4 CONTACT**

- 4.1 Contact: Clive Walker, Interim Director of Internal Audit  
Number: 020 7126 3022  
Email: [CliveWalker@tfl.gov.uk](mailto:CliveWalker@tfl.gov.uk)

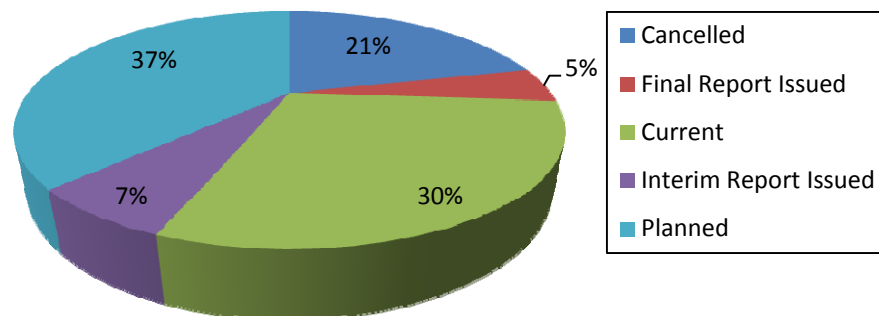
# Internal Audit Scorecard

Activity					
<b>Business &amp; Security Audits</b>					
				<b>Total</b>	<b>YTD</b>
INT	9	13	4	26	88
Final	24	0	0	24	89

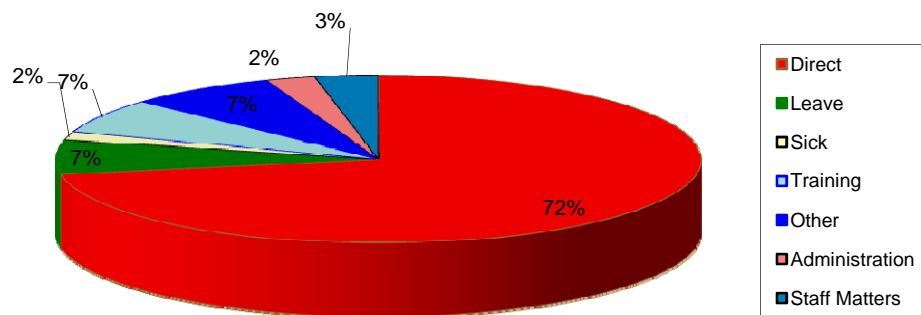
**45 audits in progress**

**Fraud Investigations: New 11 Closed 18 In Progress 31**

**Annual Plan**



**Utilisation Current Period**



**Target is 70% direct**

# Quarter 3

# APPENDIX 1

Resources (20 Sept 09 - 12 Dec 09)						
	Staff Numbers Bf	Joiners	Leavers	Staff numbers Cf	Budget	Variance
Director	1	1	1	1	1	0
Senior Managers and Managers	14	1	1	14	13	1
General Auditors	27	3	2	28	19	9
Fraud Investigators	5	0	0	5	5	0
Fraud Detection & Prevention	3	0	0	3	3	0
Business Support	8	0	1	7	7	0
<b>Total</b>	<b>58</b>	<b>5</b>	<b>5</b>	<b>58</b>	<b>48</b>	<b>10</b>

## Resources:

The Director of Internal Audit left during the quarter. The post is being filled on an Interim basis by the Senior Audit Manager - Business Processes, with the consequent vacancy also being filled on an interim basis from within the department.

An IM auditor joined the department in period 7, filling a vacancy caused by a leaver. Two Internal Auditors also joined in period 7 completing the recruitment to enable us to cover the volume of Crossrail audit work.

One other Internal Auditor left in period 9. We currently, have no plans to fill this vacancy.

## Performance against Budget:

We remain on target to meet our budget for the year.

	Issued	Returned
<b>Customer Feedback Forms - YTD</b>	<b>84</b>	<b>56</b>
<b>Requests for assistance - YTD</b>	<b>13</b>	