

Audit and Assurance Committee



Date: 8 December 2015

Item: Actions List

This paper will be considered in public

1 Summary

1.1 This paper informs the Committee of progress against actions agreed at previous meetings.

2 Recommendation

2.1 **The Committee is asked to note the Actions List.**

List of appendices to this report:

Appendix 1: Actions List

List of Background Papers:

Minutes of previous meetings of the Committee

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Audit and Assurance Committee Actions List (reported to 8 December 2015 meeting)

Actions from last meeting

Minute No.	Item/Description	Action By	Target Date	Status/note
55/10/15	Strategic Risk Management Update – Quarter 1 2015			
	(a) Officers to check the validity of the reduction in the risk of managing industrial relations in the context of an overall increase in people risk.	Ian Nunn	-	The Q1 Update stated that TFL02 (People Risk) had increased by £45m. The report also stated that there has been a £4m reduction in the risk of managing industrial relations. This is because People Risk encompasses several risks: Industrial relations in disruption to the service, People strategy, legislative changes and regulations from EU and UK, TfL Pensions Fund Deficit and TfL People Strategy. Industrial relations (disruption to the service) is therefore just one component of People Risk. Having reviewed the risks we have noted that Industrial relations risk was incorrectly shown as being reduced when it should have been maintained at the same level.
	(b) a report on major/catastrophic incident insurance be submitted to the next meeting and become an annual report.	Nigel Blore	8 December 2015 meeting.	Completed. On agenda and Forward Plan.
	(c) the financial qualitative assessment of the Technology Risk be reviewed.	Ian Nunn	-	In Q1, current Technology Risk was rated as 'Very high' with the Target rated as 'Medium'. At the meeting it was noted that since the Technology Risk includes Cyber crime this should always be rated as 'Very high', (as despite mitigating actions in place, it is difficult to reduce this status in the current climate).

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				At an IM Risk discussion held on 24 November 2015, the Chief Information Security Officer confirmed that the Target of this risk should be changed to 'High' rather than 'Medium', even with the planned mitigating activity in place.
56/10/15	National Fraud Initiative In future reports, references to taxi drivers to differentiate between drivers of taxis and private hire vehicles when appropriate.	Brian Davey	8 December 2015 meeting.	Completed. Incorporated into report on agenda.

Actions from previous meetings

Minute No.	Item/Description	Action By	Target Date	Status/note
20/06/15	Matters Arising and Actions List Further information to be provided on the effectiveness of the project peer review arrangements.	Ian Nunn	8 December 2015 meeting	<p>Before the introduction of the Three Lines of Assurance model, peer reviews were mostly convened by Project Assurance, now defined as the Second Line of Assurance. Approximately 10 per cent of Integrated Assurance Reviews in 2014/15 were carried out by peer teams and were effective in promoting cross-departmental learning, but have been difficult to coordinate with project requests for approval, which is the main purpose of the Second Line.</p> <p>The development of the First Line of Assurance Handbook to be introduced in Pathway is well</p>

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				advanced and will be included in early 2016. This formalises the processes for conducting Project Reviews at the First Line, which will have the first call on the finite capacity of project staff to carry out peer reviews. The First Line of Assurance can be more flexible, enabling more opportunistic use of peer reviewers' limited time.
34/06/15	Legal Compliance Report (1 October 2014 - 31 March 2015) Where possible, individuals should be named in future reports where enforcement action is taken against employees.	Howard Carter	8 December 2015 meeting	On agenda.
38/06/15	Cyber Security Update Cyber security to continue to be a standing item on future agendas.	Steve Townsend	8 December 2015 meeting.	Completed. On agenda and Forward Plan.
09/03/15	Review of TfL's Independent Reporting Lines Future reports to include, where possible, similar concerns or complaints raised through other means, review possible reasons for the low take up of the schemes and provide benchmarking data compared to other similar size organisations.	Howard Carter	8 March 2016 meeting.	On Forward Plan.
10/03/15	National Fraud Initiative 2014 Update Internal Audit to review, as part of its 2015/16 audit plan, whether non	Clive Walker	June 2016 meeting.	On Forward Plan.

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	London based taxi and private hire drivers were improperly avoiding paying the congestion charge.			
161/12/14/ 149/10/14	Matters Arising and Actions List Once the findings from the review of social needs transport have been implemented, Internal Audit to conduct a review of the effectiveness of Dial-A-Ride.	Clive Walker	8 March 2016 meeting.	To be reported once the findings from the review have been implemented.
163/12/14	Internal Audit Quarter 2 Report 2014/15 A report to be submitted to a future meeting on improvements made to taxi and private hire compliance towards implementing an intelligence led, risk based approach to the tasking and deployment of compliance officers, and any early results.	Steve Burton	8 March 2016 meeting.	On Forward Plan.
168/12/14	Personal Data Disclosure to Police and Other Law Enforcement Agencies Future reports to include a breakdown of crime categories for data requests relating to taxi and private hire licensees.	Steve Burton	8 December 2015 meeting.	Completed. On agenda.