

Audit and Assurance Committee



Date: 16 June 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
Appendix 2: Briefing Note
Appendix 3: Spreadsheet

List of Background Papers:

Minutes of previous meetings of the Committee

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Audit and Assurance Committee Actions List (reported to 16 June 2015 meeting)

Actions from last meeting

Minute No.	Item/Description	Action By	Target Date	Status/note
04/03/15 14/10/14	Matters Arising and Actions List UKAS accreditation (140/10/14) to be referred to the Rail and Underground Panel as a future agenda item and remain on the Actions List until completed.	Secretariat	Following the meeting.	Steve Wright has met with officers to discuss. Completed.
06/03/15	Internal Audit Quarter 3 Report 2014/15 Confirmation to be provided on completion of the follow up actions in relation to non-safety critical training in London Underground.	Clive Walker	16 June 2015 meeting.	The non-safety critical training for staff transferred from UK Power Networks is now aligned with LU requirements and the backlog has been dealt with. Completed.
07/03/15	Crossrail Audit Committee Members' congratulations to be passed on to those officers responsible for assisting in the production of the BBC2 documentary currently being aired.	Vernon Everitt	Following the meeting.	Completed.
08/03/15	Integrated Assurance Plan Finance to carry out an assessment during 2015/16 of the effective use of peer reviews to perform integrated assurance reviews of projects.	Andrew Pollins	16 June 2015 meeting.	The peer Integrated Assurance Reviews carried out to date have been well received. The new framework for the assurance of projects follows a "Three Lines of Defence" model. As part of the model, the Programme Management Office will coordinate peer reviews as part of the first line of defence, and in advance of the second line of defence IARs conducted by Project Assurance. The effectiveness of the new arrangements will be reviewed in Quarter 4, 2015/16. Completed.

Minute No.	Item/Description	Action By	Target Date	Status/note
09/03/15	<p>Review of TfL's Independent Reporting Lines for Year Ended 31 December 2014</p> <p>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.</p>	Howard Carter	8 March 2016 meeting.	Scheduled.
10/03/15	<p>National Fraud Initiative 2014 Update</p> <p>Data on Blue Badge licence matches to be provided on a borough by borough basis.</p> <p>Internal Audit to review, as part of its 2015/16 audit plan, whether non London based Taxi and Private Hire drivers were improperly avoiding paying the congestion charge.</p>	<p>Brian Davey</p> <p>Clive Walker</p>	<p>By 16 June 2015 meeting.</p> <p>June 2016 meeting.</p>	<p>Attached at Appendix 2.</p> <p>Scheduled.</p>
11/03/15	<p>Strategic Risk Management Update - Quarter 3</p> <p>Management to consider making attendance on risk management training compulsory for certain key staff.</p>	Andrew Pollins	By 16 June 2015 meeting.	Being considered at the Strategic Risk Management Panel. [Oral update to be provided at the meeting].
	<p>Richard Barnes requested to be invited to attend a meeting of the Resilience Steering Group as an observer.</p> <p>Officers to review the relevant risk category which included pensions and its RAG status, with more detailed updates included in future Strategic Risk reports.</p>	<p>Nigel Furlong</p> <p>Andrew Pollins</p>	<p>To be confirmed</p> <p>16 June 2015 meeting.</p>	<p>In progress.</p> <p>Included in report on agenda. Completed.</p>

Actions from previous meetings

Minute No.	Item/Description	Action By	Target Date	Status/note
161/12/14/ 149/10/14	<p>Matters Arising and Actions List Cyber security to be a standing item on future agendas and include any updates on IT issues which had occurred during the previous quarter.</p>	Steve Townsend	16 June 2015 meeting.	On agenda. Completed
	<p>Once the findings from the review of the social needs transport had been implemented, Internal Audit to conduct a review of the effectiveness of Dial-A-Ride.</p>	Clive Walker	Early 2016	To be reported once the findings from the review have been implemented.
163/12/14	<p>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 the early results.</p>	Steve Burton	8 December 2015 meeting.	Scheduled.
165/12/14	<p>Strategic Risk Management Update – Quarter 2, 2014/15 A briefing to be provided for Board Members on the Industrial Relations Strategy, the implementation plan, and feedback from the staff survey 'Viewpoint'.</p>	Tricia Riley	March 2015.	Completed.
166/12/14	<p>Half Yearly Fraud Report 2014/15 Future reports to include the names of successfully prosecuted individuals for fraudulent activities, confirmation of any press releases, and include more detailed information on the numbers of suspects involved.</p>	Rob Brooker	16 June 2015 meeting.	Included in report on agenda. Completed.

Minute No.	Item/Description	Action By	Target Date	Status/note
168/12/14	<p>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.</p>	Steve Burton	8 December 2015 meeting.	Scheduled.
169/12/14	<p>Contactless – Security Controls in Place to Protect Payment Card Data The Committee to receive six monthly high level reports on security controls.</p>	Shashi Verma	16 June 2015 meeting.	On agenda. Completed.
140/10/14	<p>Matters Arising and Actions List Consideration to be given to the drafting of the accounts for next year on presentation aspects including remuneration. (123/06/14).</p>	Andrew Pollins	16 June 2015 meeting.	On agenda. Completed.
123/06/14	<p>TfL Statement of Accounts for the Year Ended 31 March 2014 For future years, officers to consider using graphical representations as part of Section 5 (Remuneration) and review how operational expenditure across the business was represented, to provide further clarity on the differences between contractual arrangements within different areas of the business.</p>	Vernon Everitt	16 June 2015 meeting.	Included in report on agenda. Completed.

Blue Badge and National Fraud Initiative Work

1 Background

- 1.1 Blue Badge holders can register with Transport for London for a 100 per cent discount from the Congestion Charge. There are 111,646 customers registered with TfL for the 100 per cent Blue Badge Discount
- 1.2 Blue Badges are issued and managed by local authorities and TfL has no involvement in this process.
- 1.3 All local authorities are required to update a national data base where a Blue badge has been lost, stolen or the holder is deceased.
- 1.4 On a Monthly basis TfL performs a sample check against the national database to ensure that new Blue Badges registered with TfL are not on the database. TfL also performs a number of checks internally to ensure that the Blue Badge discount scheme is not being abused.

2 National Fraud Initiative (NFI) AUDIT

- 2.1 Every two years TfL takes part in an NFI audit whereby the details of Blue Badge holders who are now deceased are passed to TfL to ensure that the 100 per cent discount is not being granted unnecessarily.
- 2.2 In the last NFI audit (2013) 3686 cases were passed to TfL for investigation and:
 - a) 3660 Blue Badge Discounts had either been closed, expired or were closed based on this information;
 - b) 19 Discount holders were found to be still alive and entitled to their discount (these are due to data entry error's by Local Authorities); and
 - c) seven cases (0.2 per cent) were passed to TfL fraud team for further investigation.
- 2.3 The 2015 data shown in spreadsheet is now being analysed and processed.
- 2.4 We have written to some 2,000 customers and the processing of these cases and account closures will be completed by the end of June 2015.
- 2.5 In the 2015 data attached, no expired Blue Badges were indicated for City of London (CoL). This may be due to the comparatively lower population of the CoL relative to other London boroughs, and the fact that no Blue Badge Discount holders had deceased since the time of the previous audit. As the data provided in the spreadsheet is the only information that TfL receives from the NFI, however, absolute clarification on this point is not possible.

List of potentially fraudulent Blue Badges flagged by NFI, that TfL will investigate

Council / Borough Name	Number of BBs flagged
Barking and Dagenham	37
Barnet	139
Bexley	48
Brent	67
Bromley	84
Camden	49
Croydon	62
Ealing	76
Enfield	71
Greenwich	69
Hackney	39
Hammersmith and Fulham	40
Haringey	64
Harrow	83
Havering	42
Hillingdon	55
Hounslow	54
Islington	53
Kensington and Chelsea	11
Kingston upon Thames	21
Lambeth	58
Lewisham	74
Merton	36
Newham	69
Redbridge	93
Richmond upon Thames	36
Southwark	90
Sutton	17
Tower Hamlets	40
Waltham Forest	65
Wandsworth	50
Westminster	19
Ashford	2
Aylesbury Vale	4
Babergh	1
Basildon	15
Basingstoke and Deane	9
Bassetlaw	1
Bedford	6
Birmingham	3
Blaby	2
Blackburn with Darwen	1
Blackpool	1
Bournemouth	1
Bracknell Forest	4
Bradford	1
Braintree	5

Brentwood	8
Brighton and Hove	5
Bristol, City of	3
Broxbourne	10
Calderdale	1
Cambridge	1
Canterbury	11
Castle Point	9
Central Bedfordshire	15
Charnwood	3
Chelmsford	9
Cherwell	5
Cheshire East	2
Chichester	4
Chiltern	8
Chorley	1
Colchester	3
Cornwall	2
Cotswold	5
Coventry	1
Crawley	1
Dacorum	10
Dacorum Borough Council	3
Dartford	7
Daventry	1
Derby	2
Derbyshire Dales	1
Dover	4
Dundee West	1
East Dorset	1
East Hampshire	7
East Hertfordshire	10
East Lindsey	2
East Northamptonshire	3
Eastbourne	3
Eden	1
Elmbridge	19
Epping Forest	28
Epsom and Ewell	7
Erewash	2
Fareham	1
Fenland	3
Fylde	1
Gateshead	1
Gedling	1
Glasgow City Council	1
Gosport	3
Gravesham	12
Guildford	7
Gwent County Borough Council	1
Halton	1
Harborough	1
Harlow	3

Harrogate	3
Hart	6
Hastings	1
Herefordshire, County of	3
Hertsmere	27
Horsham	4
Huntingdonshire	4
Ipswich	2
Isle of Wight	4
Kettering	1
Kingston upon Hull, City of	1
Lancaster	1
Leicester	2
Lewes	6
Lichfield District Council	4
Liverpool	2
Luton	9
Maidstone	4
Maldon	4
Medway	19
Melton	1
Mendip	1
Merthyr Tydfil Borough County Council	1
Mid Suffolk	2
Mid Sussex	2
Milton Keynes	9
Mole Valley	4
Monmouthshire Council	1
Neath Port talbot County Borough Council	1
New Forest	3
Newark and Sherwood	1
Newport City Council	1
North Dorset	4
North East Derbyshire	1
North East Lincolnshire	2
North Hertfordshire	7
North Lincolnshire	2
North Norfolk	1
North Somerset	1
North West Leicestershire	2
Northampton	3
Norwich	2
Nottingham	1
Nuneaton and Bedworth	2
Oadby and Wigston	2
Oxford	3
Peterborough	3
Plymouth	1
Poole	3
Portsmouth	1
Preston	1
Purbeck	1
Reading	5

Reigate and Banstead	12
Rickmansworth, Three Rivers District Council	7
Rochdale	1
Rochford	4
Rother	1
Rotherham	1
Runnymede	7
Rushcliffe	1
Rushmoor	1
Rutland	3
Salford	2
Sandwell	2
Selby District Council	1
Sevenoaks	10
Shepway	9
Shropshire	1
Slough	8
South Bucks	19
South Cambridgeshire	4
South Norfolk	1
South Northamptonshire	1
South Oxfordshire	5
South Somerset	3
Southampton	1
Southend-on-Sea	11
Spelthorne	15
St Albans	21
St Edmundsbury	5
Stevenage	4
Stirling Council	1
Stockport	2
Stoke-on-Trent	1
Stratford-on-Avon	3
Stroud	1
Suffolk Coastal	3
Surrey Heath	5
Swale	12
Swindon	3
Tameside	1
Tandridge	7
Taunton Deane	2
Teignbridge	3
Tendring	7
Tewkesbury	2
Thanet	7
Three Rivers	8
Thurrock	15
Tonbridge and Malling	8
Tunbridge Wells	5
Uttlesford	6
Vale of Glamorgan borough	5
Vale of White Horse	2
Wakefield District Borough	2

Warwick	3
Watford	4
Watford Borough Council	3
Waveney	1
Waverley	5
Wealden	3
Wellingborough	3
Welwyn Hatfield	11
West Berkshire	3
West Dorset	1
West Oxfordshire	6
Weymouth and Portland	2
Wigam Metropolitan Council	2
Wiltshire	11
Winchester	3
Windsor and Maidenhead	13
Wirral	1
Wokingham	7
Worthing	4
Wychavon District ouncil	2
Wycombe	7
Grand Total	2677