

Audit and Assurance Committee



Date: 8 October 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 October 2015 meeting)

Actions from last meeting

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	By December 2015 meeting	Work is underway to revise Pathway to reflect the new assurance arrangements and an update will be provided at the next meeting.
28/06/15	Internal Audit Quarter 4 Report 2014/15 Confirmation to be provided that the outstanding actions in relation to the supplier bank accounts and control weaknesses were being addressed.	Clive Walker	For 8 October 2015 meeting	Several of the management actions have been completed. The remainder are in progress and have had their deadlines extended to 30 September, as completion is dependent on the implementation of an IM solution.
32/06/15	Strategic Risk Management Update - Quarter 4 That future reports include mitigating measures when identifying risks.	Andrew Pollins	For 8 October 2015 meeting	Included in report on agenda. Completed.
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	Scheduled.
36/06/15	National Fraud Initiative 2014 Members concern and dissatisfaction with the continuing poor quality data submitted by the Home Office for the checking and matching of taxi and private hire vehicle licence matches be recorded, and escalated as appropriate.	Brian Davey	Following the meeting	Included in the Committee summary report to Board meeting of 1 July 2015.

Minute No.	Item/Description	Action By	Target Date	Status/note
38/06/15	Cyber Security Update Cyber security to continue to be a standing item on future agendas.	Steve Townsend	8 October 2015 meeting.	On agenda.

Actions from previous meetings

Minute No.	Item/Description	Action By	Target Date	Status/note
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.	Scheduled.
10/03/15	National Fraud Initiative 2014 Update 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.	Clive Walker	June 2016 meeting.	Scheduled.
11/03/15	Strategic Risk Management Update - Quarter 3 Richard Barnes to be invited to attend a meeting of the Resilience Steering Group as an observer.	Nigel Furlong	Attended 28 September 2015 meeting	Completed.

Minute No.	Item/Description	Action By	Target Date	Status/note
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	Early 2016	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 December 2015 meeting.	Scheduled.
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.	Scheduled.