

## Audit and Assurance Committee



**Date:** 8 October 2014

**Item 4:** Actions List

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### **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

### Actions from the Last Meeting

Minute No.	Item/Description	Action By	Target Date	Status/note
113/06/14	<p><b>Matters Arising and Actions List</b> Steve Wright to meet with the Head of Engineering at Dial-A-Ride to discuss the vehicle maintenance schedule.</p>	Clive Walker	Following the meeting	Meeting being arranged..
119/06/14	<p><b>Internal Audit Quarter 4 Report 2013/14</b> A report on TfL's Make A Difference employee recognition scheme to be submitted to the next meeting.</p> <p>The Director of Internal Audit to find out whether UKAS accreditation was a contractual requirement for potential suppliers under the TfL procurement process.</p>	<p>Tricia Riley</p> <p>Clive Walker</p>	<p>8 October 2014 meeting</p> <p>-</p>	<p>On agenda. Completed.</p> <p>Obtaining UKAS accreditation is not generally a contractual requirement for suppliers as it would be quite onerous and expensive for a small company where the risk associated with the goods/services is low, and could deter small companies from tendering for work. The procurement process for any goods or services considers the level of associated risk to determine whether any external accreditation is required. For many safety critical rail services, part of the procurement process includes only considering suppliers that have been registered by Link-Up. This is a specific rail industry scheme, which means the supplier has been audited and its management system found to meet appropriate standards, including external accreditation.</p>

Minute No.	Item/Description	Action By	Target Date	Status/note
123/06/14	<p><b>TfL Statement of Accounts for the Year Ended 31 March 2014</b></p> <p>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	On-going.
	<p>A review of the completeness of TfL's property asset register to be added to the Audit Plan for 2015/16.</p>	Clive Walker	4 March 2015 meeting	Scheduled.
128/06/14	<p><b>Half Yearly Fraud Report</b></p> <p>Further detailed information to be included in future reports on the outcomes of closed fraud activity.</p>	Rob Brooker	December 2014	To be incorporated into 17 December 2014 meeting report.
135/06/14	<p><b>Legal Compliance Report (1 October 2013 – 31 March 2014)</b></p> <p>Appendix 1 to be circulated to Committee Members immediately following the meeting.</p>	Secretariat	Following the meeting	Completed.
	<p>An update report on Freedom of Information issues to be submitted to the next meeting.</p>	Howard Carter	8 October 2014 meeting	On agenda. Completed.

Minute No.	Item/Description	Action By	Target Date	Status/note
136/06/14	<b>Half Yearly Fraud Report 2013/14</b> Officers to investigate if TfL was liable to incur any costs for the use of stolen dye stained notes.	Rob Brooker	8 October 2014 meeting	Exempt information was provided to Members. Completed.

### Outstanding Actions from Previous Meetings

Minute No.	Item/Description	Action By	Target Date	Status/note
98/03/14	<b>Internal Audit Quarter 3 Reports 2013/14</b> A follow up report on cyber security to be submitted to a future meeting.	Steve Townsend	8 October 2014	On agenda. Completed.
100/03/14	<b>Integrated Assurance Plan 2014/15</b> A report to be submitted to a future meeting on the sustained delivery of TfL's programme of savings and efficiencies.	David Goldstone	8 October 2014 meeting	On agenda. Completed.