

## Audit and Assurance Committee



**Date:** 14 December 2017

**Item:** 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 (reported to 14 December 2017 meeting)

### Actions from last meeting

Minute No.	Item/Description	Action By	Target Date	Status/note
49/10/17	<b>Matters Arising and Actions List</b> An update to be provided on 'firefighter user access'.	Sarah Bradley/ Brian Davey	14 December 2017 meeting	Oral update to be provided at the meeting.
50/10/17	<b>Internal Audit Quarter 1 2017/18</b> Internal Audit to report back on outstanding management actions within the Technology and Data group.	Clive Walker	14 December 2017 meeting	Update included in the quarterly report on the agenda. Completed.
53/10/17	<b>Independent Investment Programme Advisory Group – Review Implementation</b> A further update would be submitted to the next meeting on the recruitment strategy, including diversity issues, and an update on the implementation of the Action Plan to be a standing item.	Michael Bridgeland	14 December 2017 meeting	Update on recruitment strategy is on the agenda and implementation of the Action Plan is a standing item on the Forward Plan.

Minute No.	Item/Description	Action By	Target Date	Status/note
54/10/17	<p><b>Register of Gifts and Hospitality for Members and Senior Staff</b> Further clarification to be sought from MD LU and LTM Director on some of the entries and reported back to the Committee.</p>	Howard Carter	14 December 2017 meeting	Information circulated. Completed.
	Further details as to the reasoning for senior staff attending events be included in future reports.	Howard Carter	14 December 2017 meeting	Incorporated into report on agenda. Completed.
58/10/17	<p><b>Members' Suggestions for Future Discussions</b> Informal presentation on EY's use of data analytics after the next meeting.</p>	Karl Havers, EY	14 December 2017 meeting	Taking place after the meeting. Completed
	Report on key issues/trends for monitoring TfL's effectiveness as an organisation be submitted to the next meeting.	Sarah Bradley/ Clive Walker	14 December 2017 meeting.	Report on agenda. Completed.

## Actions from previous meetings

Minute No.	Item/Description	Action By	Target Date	Status/note
31/07/17	<b>External Quality Assessment of Internal Audit</b> Involvement of the Committee in evaluating and monitoring future performance of internal audit would be discussed once Transformation was completed.	Howard Carter/Clive Walker	6 March 2018 meeting.	Scheduled. On Forward Plan.

Minute No.	Item/Description	Action By	Target Date	Status/note
41/07/17	<b>Strategic Risk Management Update</b> Crossrail Transition to be considered for inclusion as a standalone risk on the Strategic Risk Register.	Andrea Cutinha	14 December 2017 meeting.	Report on agenda. Completed.
11/03/17	<b>Strategic Risk Management Update</b> The Committee to review strategic risks on an annual basis, and the next review to take place at a workshop following a future meeting.	Clive Walker		Date to be arranged before the 6 March 2018 meeting. In progress.
12/03/17	<b>National Fraud Initiative Update</b> That future reports be annual and subject to exceptional reporting only.	Brian Davey	14 December 2017 meeting.	Report on agenda. Completed.