

Date: 11 October 2016

Item: Management Actions Report

This paper will be considered in public

1 Summary

- 1.1 The purpose of this report is to inform the Audit and Assurance Committee of those recommendations to management which have not been actioned and are more than 60 days overdue.

2 Recommendation

- 2.1 The Committee is asked to note the report.**

3 Background

- 3.1 When Internal Audit reports identify issues, actions to address those issues are agreed with management, with defined owners and due dates. Internal Audit follows up the management actions to ensure that they are properly addressed.
- 3.2 Where actions have not been addressed within 60 days after their due date, it has been the practice of the Audit and Assurance Committee to invite the Director with responsibility for the actions to attend the Committee meeting to discuss them.
- 3.3 A statistics report showing the numbers of open audit actions across TfL and the extent to which these are overdue is attached as Appendix 1.
- 3.4 There are two management actions that are more than 60 days overdue, both within Surface Transport. These relate to audits of compliance with the HSE requirements of the TfL Management System in London River Services and in Dial-A-Ride. In both cases the overdue action relates to the need to perform checks of the competence of contractors engaged to carry out work for the businesses.
- 3.5 The Director of Service Operations, who is responsible for both of the actions, has been invited to attend the Audit and Assurance Committee in order to discuss them.

List of appendices to this report:

Appendix 1 – Outstanding Actions Statistics

List of Background Papers:

Audit reports.

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Appendix 1

Outstanding Actions Statistics

Directorate	Not yet due	1-30 Days	31-60 Days	61-90 Days	91+ Days
Rail and Underground	185	10	0	0	0
Surface Transport	53	0	0	0	2
Finance	26	5	0	0	0
Commercial Development	21	4	0	0	0
Planning	0	0	0	0	0
Customers, Communication and Technology	28	3	0	0	0
General Counsel	15	0	0	0	0
HR	20	0	2	0	0
Crossrail	27	0	0	0	0
LT Museum	9	0	3	0	0