

# **Transport for the North Audit & Governance Committee – Item 9**

**Subject:** FPR Internal Audit Action Log

**Author:** Graham Bramwell

**Sponsor:** Iain Craven

**Meeting Date:** 13 June 2019

## **1. Purpose of the Report:**

- 1.1 This report provides an update on progress made by TfN to comply with audit recommendations.
- 1.2 The report is accompanied by one appendix:  
A - TfN Internal Audit Action Plan

## **2. Executive Summary:**

- 2.1 RSM Risk Assurance Services LLP (RSM) were appointed in September 2018 to provide Internal Audit services to TfN.
- 2.2 RSM provide independent objective assurance to assist organisations in ensuring they have proper controls, governance and risk management processes in place.
- 2.2 RSM have completed a number of audits so far and have requested that TfN undertake some management actions where necessary. The actions are fully set out in the Appendix report.
- 2.3 The status of each management action is also recorded on the Appendix report, along with comments where applicable.

## **4. Conclusion:**

- 4.1 This a progress report with supporting documentation to update Committee members.

**5. Recommendation:**

- 5.1 Note the progress made on the management actions in relation to recent audits.

**6. Appendices:**

- 6.1 Appendix A – TfN Internal Audit Action Plan

### Equalities:

|                         |     |    |
|-------------------------|-----|----|
| Age                     | Yes | No |
| Disability              | Yes | No |
| Gender Reassignment     | Yes | No |
| Pregnancy and Maternity | Yes | No |
| Race                    | Yes | No |
| Religion or Belief      | Yes | No |
| Sex                     | Yes | No |
| Sexual Orientation      | Yes | No |

| <b>Consideration</b> | <b>Comment</b>   | <b>Responsible Officer</b> | <b>Director</b> |
|----------------------|--|----------------------------|-----------------|
| Equalities           | A full Impact assessment has not been carried out because it is not necessary for this report. | Graham Bramwell            | Iain Craven     |

### Environment and Sustainability

|     |    |
|-----|----|
| Yes | No |
|-----|----|

| <b>Consideration</b>  | <b>Comment</b>   | <b>Responsible Officer</b> | <b>Director</b> |
|---|--|----------------------------|-----------------|
| Sustainability / Environment – including considerations regarding Active Travel and Wellbeing | A full impact assessment has not been carried out because it is not necessary for this report. | Graham Bramwell            | Iain Craven     |

### Legal

|     |    |
|-----|----|
| Yes | No |
|-----|----|

| <b>Consideration</b> | <b>Comment</b>  | <b>Responsible Officer</b> | <b>Director</b> |
|----------------------|---|----------------------------|-----------------|
| Legal                | TfN Legal Team has confirmed there are no legal implications. | Debbie Dimmock             | Sasha Wayne     |

### Finance

|     |    |
|-----|----|
| Yes | No |
|-----|----|

| Consideration | Comment   | Responsible Officer | Director    |
|---------------|---|---------------------|-------------|
| Finance       | The financial implications have been considered and are included in the report. | Gareth Sutton       | Iain Craven |

### Resource

|     |    |
|-----|----|
| Yes | No |
|-----|----|

| Consideration | Comment   | Responsible Officer | Director   |
|---------------|---|---------------------|------------|
| Resource      | TfN HR Team has confirmed there are no resource implications. | Stephen Hipwell     | Dawn Madin |

### Risk

|     |    |
|-----|----|
| Yes | No |
|-----|----|

| Consideration | Comment  | Responsible Officer | Director    |
|---------------|--|---------------------|-------------|
| Risk          | A risk assessment has been carried out and the key risks are included in the report. | Haddy Njie          | Iain Craven |

### Consultation

|     |    |
|-----|----|
| Yes | No |
|-----|----|

| Consideration | Comment   | Responsible Officer | Director    |
|---------------|---|---------------------|-------------|
| Consultation  | A consultation has not been carried out because <i>[to be completed by the report author]</i> . | Graham Bramwell     | Iain Craven |

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