

Agenda

Meeting: Audit and Assurance Committee

Date: Tuesday 14 March 2017

Time: 10.00am

**Place: Conference Rooms 1 and 2,
Ground Floor, Palestra, 197
Blackfriars Road, London, SE1
8NJ**

Members

Anne McMeel (Chair)
Dr Lynn Sloman (Vice-Chair)
Kay Carberry CBE

Dr Mee Ling Ng OBE
Dr Nelson Ogunshakin OBE

Copies of the papers and any attachments are available on tfl.gov.uk [How We Are Governed](#).

This meeting will be open to the public, except for where exempt information is being discussed as noted on the agenda. There is access for disabled people and induction loops are available. A guide for the press and public on attending and reporting meetings of local government bodies, including the use of film, photography, social media and other means is available on www.london.gov.uk/sites/default/files/Openness-in-Meetings.pdf.

Further Information

If you have questions, would like further information about the meeting or require special facilities please contact: Sue Riley, Secretariat Officer; telephone: 020 7983 4392; email: SueRiley@tfl.gov.uk.

For media enquiries please contact the TfL Press Office; telephone: 0845 604 4141; email: PressOffice@tfl.gov.uk

Howard Carter, General Counsel
Monday 6 March 2017

**Agenda
Audit and Assurance Committee
Tuesday 14 March 2017**

1 Apologies for Absence and Chair's Announcements

2 Declarations of Interests

General Counsel

Members are reminded that any interests in a matter under discussion must be declared at the start of the meeting, or at the commencement of the item of business.

Members must not take part in any discussion or decision on such a matter and, depending on the nature of the interest, may be asked to leave the room during the discussion.

3 Minutes of the Meeting of the Audit and Assurance Committee held on 11 October 2016

General Counsel

The Committee is asked to approve the minutes of the previous meeting of the Audit Committee and authorise the Chair to sign them.

4 Matters Arising and Actions List

General Counsel

The Committee is asked to note the updated actions list.

External Audit Items

5 EY Report on Non-Audit Fees for Five Months ended 28 February 2017

Chief Finance Officer

The Committee is asked to note the report and to confirm its agreement to the proposed fees for the non-audit work relating to risk management.

Internal Audit Items

6 Internal Audit Reports Quarter 2 and 3 2016/17

Director of Internal Audit

The Committee is asked to note the report.

7 Management Actions Report

Director of Internal Audit

The Committee is asked to note the report.

8 Crossrail Audit Committee

Director of Internal Audit

The Committee is asked to note the paper.

9 Integrated Assurance Plan 2017/18

Director of Internal Audit

The Committee is asked to approve the Plan.

Accounting and Governance

10 Local Audit and Accountability Act - Appointment of External Auditors

Chief Finance Officer

The Committee is asked to approve the proposal to opt in to the national scheme for the appointment of auditors for a period of five years commencing with the audit of the 2018/19 financial year.

11 Strategic Risk Management Update

Chief Finance Officer

The Committee is asked to note the status of the TfL Strategic Risks, in particular, whether the risk trend has improved, remained stable or deteriorated since October 2016.

12 National Fraud Initiative Update

Chief Finance Officer

The Committee is asked to note the report.

13 Half Yearly Fraud Report 2016/17

Director of Internal Audit

The Committee is asked to note the report.

14 Review of TfL's Independent Reporting Lines for the Year Ended 31 December 2016

General Counsel

The Committee is asked to note the report.

15 Personal Data Disclosure to the Police and Other Law Enforcement Agencies

Director of Enforcement and On-Street Operations

The Committee is asked to note the report.

16 Cyber Security Update

Chief Technology Officer & Director of Customer Experience

The Committee is asked to note the paper.

17 Legal Compliance Report (1 April 2016 - 30 September 2016)

General Counsel

The Committee is asked to note the report.

18 Register of Gifts and Hospitality for Members and Senior Staff

General Counsel

The Committee is asked to note the report.

19 Member Suggestions for Future Agenda Discussions

General Counsel

The Committee is asked to note the forward programme and is invited to raise any suggestions for future discussion items for the forward programme and for informal briefings.

20 Any Other Business the Chair Considers Urgent

The Chair will state the reason for urgency of any item taken.

21 Date of Next Meeting

Wednesday 14 June 2017 at 10.00am.

22 Exclusion of Press and Public

The Committee is recommended to agree to exclude the press and public from the meeting, in accordance with paragraphs 5 and 7 of Schedule 12A to the Local Government Act 1972 (as amended), in order to consider the following items of business.

23 Half Yearly Fraud Report 2016/17

Director of Internal Audit

Exempt supplemental information relating to the item on Part 1.

24 Cyber Security Update

Chief Technology Officer & Director of Customer Experience

Exempt supplemental information relating to the item on Part 1.