

Date: 6 March 2018

Item: Members' Suggestions for Future Discussion Items

This paper will be considered in public.

1 Summary

- 1.1 This paper presents the current forward programme for the Committee and explains how this is put together. Members are invited to suggest additional future discussion items.

2 Recommendation

- 2.1 **The Committee is asked to note the forward programme and is invited to raise any suggestions for future discussion items.**

3 Forward Plan Development

- 3.1 The Board and its Committees and Panels have forward plans. The content of the plans arises from a number of sources:
- (a) standing items for each meeting: minutes; matters arising and actions list; and any regular quarterly reports. For this Committee these include quarterly internal audit reports; Crossrail updates; strategic risk management updates and cyber security updates;
 - (b) regular items (annual, half-year or quarterly) which are for review and approval or noting: examples include the legal compliance report, fraud report, integrated assurance plan, and TfL annual report and accounts;
 - (c) matters reserved for annual approval or review: examples include those already mentioned above as well as annual audit fee, annual resilience and strategic risk management and assurance annual report 2017/18; and
 - (d) items requested by Members: the Deputy Chair of TfL and the Chair of this Committee will regularly review the forward plan and may suggest items. Other items will arise out of actions from previous meetings (including meetings of the Board or other Committees and Panels) and any issues suggested under this agenda item.
- 3.2 The Committee is required to meet in private, on an annual basis, with the Director of Internal Audit, External Auditors and Chief Finance Officer. These discussions are scheduled after the following Committee dates:
- | | |
|--------------------|--------------------------------|
| 7 June 2018: | External Auditors |
| 13 September 2018: | Director of Risk and Assurance |
| 14 March 2019: | Chief Finance Officer |

4 **Current Plan**

- 4.1 The current plan is attached as Appendix 1. Like all plans, it is a snapshot in time and items may be added, removed or deferred to a later date.

List of appendices to this report:

Appendix 1: Audit and Assurance Committee Forward Plan.

List of Background Papers:

None.

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Audit and Assurance Committee Forward Planner 2018/19

Appendix 1

Membership: Anne McMeel (Chair), Dr Lynn Sloman (Vice Chair), Kay Carberry CBE, Dr Mee Ling Ng OBE and Dr Nelson Ogunshakin OBE

Chair's Action in consultation with members of the Committee April/May 2018		
TfL Scorecard 2017/18 Outturn Audit	General Counsel	Sign-off of Audit, prior to the Remuneration Committee's consideration of performance awards.
7 June 2018		
Internal Audit Quarterly Report	D. Risk and Assurance	Quarterly
Internal Audit Annual Report 2017/18	D. Risk and Assurance	Annual
Crossrail Audit Committee	D. Risk and Assurance	Quarterly
Crossrail Transition Governance Update	D. Operations - Crossrail	Standing Item
Strategic Risk Management Report	D. Risk and Assurance	Quarterly
Gifts and Hospitality	General Counsel	Quarterly
IIPAG Annual Report 2017/18	General Council	To review (via Programmes and Investment Committee).
Implementation of the IIPAG Action Plan	General Counsel	Standing Item
Annual Report and Statement of Accounts	MD CCT & Chief Finance Officer	Annual – to Board
Review of Governance and the Annual Governance Statement	General Counsel	Annual
Independence and Objectivity Letter	EY	Annual
Report to those charged with Governance	EY	Annual
Legal Compliance Report (period ended 31/03/18)	General Counsel	Six Monthly
Report on Non-Audit Fees for the Year Ended 31 March 2018	Chief Finance Officer	Six Monthly
Half Yearly Fraud Report 2017/18	D. Risk and Assurance	Half Yearly
Review of Internal Audit/External Assessment	D. Risk and Assurance	Annual
Transformation Update	D. Transformation	Standing Item.
Briefing: Transformation	D. Transformation	More detailed update.

Annual informal meeting with the External Auditors

13 September 2018		
Internal Audit Quarterly Report	D Risk and Assurance	Quarterly
Crossrail Audit Committee	D Risk and Assurance	Quarterly
Crossrail Transition Governance Update	D Operations - Crossrail	Standing Item
Strategic Risk Management Report	D Risk and Assurance	Quarterly
Gifts and Hospitality	General Counsel	Quarterly
Implementation of the IIPAG Action Plan	General Counsel	Standing Item
Annual Audit Letter	EY	Annual
External Audit Plan TfL, TTL and Subsidiaries – Year Ending 31 March 2019	EY	Annual
Annual Audit Fee 2018/19	Chief Finance Officer	Annual
Effectiveness Review of External Auditors	Chief Finance Officer	Annual
Transformation Update	D. Transformation	Standing Item.
Briefing: Transformation	D. Transformation	More detailed update.

Annual informal meeting with the Director of Risk and Assurance

29 November 2018		
Internal Audit Quarterly Report	D. Risk and Assurance	Quarterly
Crossrail Audit Committee	D. Risk and Assurance	Quarterly
Crossrail Transition Governance Update	D. Operations - Crossrail	Standing Item
Strategic Risk Management Report	D. Risk and Assurance	Quarterly
Gifts and Hospitality	General Counsel	Quarterly
Implementation of the IIPAG Action Plan	General Counsel	Standing Item
Legal Compliance Report (period ended 30/09/18)	General Counsel	Six Monthly
Summary Report on Data Disclosed to Police and Other Agencies	D. Street Enforcement	Annual
Half Yearly Fraud Report 2018/19	D. Risk and Assurance	Six Monthly
EY Non-Audit Fees for Six Months Ended 30 September 2018	Chief Finance Officer	Six Monthly
Transformation Update	D. Transformation	Standing Item.
Briefing: Transformation	D. Transformation	More detailed update.

14 March 2019		
Internal Audit Quarterly Report	D. Risk and Assurance	Quarterly
Crossrail Audit Committee	D. Risk and Assurance	Quarterly
Integrated Assurance Plan 2019/20		
Crossrail Transition Governance Update	D. Operations - Crossrail	Standing Item
Strategic Risk Management Report	D. Risk and Assurance	Quarterly
Gifts and Hospitality	General Counsel	Quarterly
Implementation of the IIPAG Action Plan	General Counsel	Standing Item
Independent Reporting Lines for the Year Ended 31 December 2018	General Counsel	Annual
Personal Data Disclosure to the Police and Other Agencies	D. Enforcement	Annual
NFI Update	Chief Finance Officer	6 Monthly or on an exceptional basis
Transformation Update	D. Transformation	Standing Item.
Briefing: Transformation	D. Transformation	More detailed update.

Annual informal meeting with the Chief Finance Officer

Regular items:

- Internal Audit Quarterly Reports
- Crossrail Audit Committee
- Strategic Risk Management Update
- Gifts and Hospitality
- Implementation of the IIPAG Action Plan
- Crossrail Transition Update
- Transformation Update (brief paper on agenda and more detailed briefing after each meeting)

Items to be scheduled:

None