

Transport for London

Minutes of the Audit and Assurance Committee

Committee Rooms 1 and 2, Ground Floor, Palestra,
197 Blackfriars Road, London, SE1 8NJ
10.00am, Tuesday 6 March 2018

Members

Anne McMeel	Chair
Dr Lynn Sloman	Vice Chair
Kay Carberry CBE	Member
Dr Mee Ling Ng OBE	Member
Dr Nelson Ogunshakin OBE	Member

Executive Committee

Howard Carter	General Counsel
Simon Kilonback	Interim Chief Finance Officer
Andrew Pollins	Transformation Director (Minute Reference 16/03/18)

Staff

Richard Bevins	Head of Information Governance (Minute Reference 11/03/18)
Sarah Bradley	Group Financial Controller
Michael Bridgeland	Head of TfL Project Assurance
Steve Burton	Director of Compliance, Policing and On-Street Operations (Minute reference 05/03/18 and 10/03/18)
Tanya Coff	Finance Director, London Underground
Justin Kennedy	Project Manager, Finance (Minute Reference 09/03/18)
Nico Lategan	Head of Enterprise Risk
Dili Origbo	Head of Internal Audit
Sue Riley	Secretariat
Howard Smith	Director of Operations – Crossrail (Minute Reference 09/03/18)
Clive Walker	Director of Risk and Assurance

Also In Attendance

Caroline Mulley	Partner, Ernst & Young (EY)
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01/03/18 Apologies for Absence

There were no apologies for absence. The Chair welcomed Nico Lategan to his first Committee meeting.

02/03/18 Declarations of Interest

Members confirmed that their declarations of interests, as published on tfl.gov.uk, were up to date and there were no interests that related specifically to items on the agenda.

03/03/18 Minutes of the Meeting Held on 14 December 2017

The minutes of the meeting held on 14 December 2017 were approved as a correct record and signed by the Chair, subject to a minor typing amendment.

04/03/18 Matters Arising and Actions List

Caroline Mulley updated Members on firefighter user access issues (63/12/17). There was still a high volume of users but a formal update, including benchmarking data, would be submitted to the next meeting. **[Action: EY]**

The Committee noted the Actions List.

05/03/18 Internal Audit Quarter 3 Report 2017/18

Dili Origbo presented the update on audit work completed in Quarter 3 of 2017/18, work in progress and work planned for Quarter 4.

Steve Burton updated Members on the actions outstanding within his area which were more than 60 days overdue. A bridging system had been introduced to address issues of data protection and safeguarding around process documentation and data retention controls, while a satisfactory technological solution was being progressed. A new system was currently being tested.

All the relevant stakeholder parties were being kept informed and TfL's risk of exposure was being mitigated by the use of a manual system. An update would be included in the Quarter 4 report at the next meeting.

Members requested that future reports include a breakdown of audit report conclusions by directorate, if there were sufficient reports to provide meaningful data.

[Action: Dili Origbo]

The Committee welcomed the development of control environment trend indicators and agreed that the range of indicators should be kept under review.

The Committee congratulated staff on the continued positive customer feedback responses, particularly during transformation in the Risk and Assurance team.

The Committee noted the report.

06/03/18 Integrated Assurance Plan 2018/19

Dili Origbo presented the 2018/19 Integrated Assurance Plan.

The Committee noted that co-sourcing, through the use of external IT expertise, would be used to assist in auditing a number of IT projects, and staff vacancies would be filled as soon as possible.

Members noted that a review of safeguarding was being undertaken in TfL and requested that the planned audit of safeguarding be widened to include boarder issues, including staff protection and sexual harassment in the workplace. **[Action: Dili Origbo]**

It was confirmed that the planned audit for the review of the Healthy Streets Portfolio would include a strategic review of the appropriateness of the project portfolio as well as an assessment of controls over project spend.

The Committee requested that the future Plan include information on the model of assurance being used, once the Strategic Risks and controls in place had been mapped. **[Action: Dili Origbo]**

Members welcomed the Plan.

The Committee approved the Plan.

07/03/18 Internal Audit Charter

Dili Origbo introduced the update on the Internal Audit Charter. A proposed revision to the wording of the Charter was circulated at the meeting and agreed.

The Committee approved the updated Internal Audit Charter.

08/03/18 Strategic Risk Management Update

Clive Walker and Nico Lategan introduced the update on the Strategic Risk Management workshop held on 21 February 2018.

It was agreed that an update on the workshop should be provided to other Board Members, including those who were unable to attend. **[Action: Howard Carter]**

Members welcomed the constructive and effective dialogue with the Executive Committee.

A progress update would be submitted to the next meeting. **[Action: Nico Lategan]**

The Committee noted the update.

09/03/18 Crossrail Transition Update

Howard Smith and Justin Kennedy introduced the update paper on Crossrail transition governance arrangements.

Areas identified as high risk were being closely monitored by the Executive Committee.

The Committee noted the paper and the supplemental information on Part 2 of the agenda.

10/03/18 Personal Data Disclosure to Police and Other Statutory Law Enforcement Agencies (2017)

Steve Burton introduced the annual update to the Committee on the operation of TfL's policy covering the disclosure of personal data to police and other Statutory Law Enforcement Agencies.

Members welcomed the excellent work done in this area in close liaison with the police and other statutory law enforcement agencies to reduce the overall number of data requests and noted that no Production Orders had been received by TfL.

The Committee recorded its thanks and recognition of the work carried out by TfL staff to assist the British Transport Police Special Branch to identify the suspect in the Parsons Green terrorist incident.

The Committee noted the paper.

11/03/18 Progress Report on Implementation of the General Data Protection Regulation

Richard Bevins presented the progress report on implementation in TfL of the General Data Protection Regulation (GDPR) and related legislation.

The Committee noted the paper and preparations underway to achieve compliance with the new requirements. The Committee commended staff on their work to date in preparation for the GDPR. A further update would be provided to the next meeting.

The Committee noted the paper.

12/03/18 Independent Investment Programme Advisory Group (IIPAG) – Review Implementation

Michael Bridgeland updated the Committee on progress against the actions required to implement the IIPAG review recommendations.

To facilitate an effective and wide ranging recruitment process, the advert for the IIPAG Chair had been extended and a specialist recruitment agency engaged.

Arrangements would be made to ensure that appropriate transition measures and continuity were in place.

The Committee noted the update on the implementation of the IIPAG review recommendations.

13/03/18 Review of TfL's Independent Reporting Lines for the Year Ended 31 December 2017

Howard Carter presented the standing update on reports to the independent reporting lines.

The Committee noted the paper.

14/03/18 Register of Gifts and Hospitality for Members and Senior Staff

Howard Carter presented the standing item setting out details of the gifts and hospitality declared by the Board and senior staff for the period 1 December 2017 to 31 January 2018.

The Committee noted the paper.

15/03/18 TfL Scorecard 2017/18 Outturn Audit

Howard Carter introduced the paper seeking the use of Chair's Action to review the Scorecard outturns.

The Committee noted the paper and endorsed the use of Chair's Action, in consultation with the members of the Committee, to review the TfL Scorecard 2017/18 outturn audit in May 2018 and provide any commentary to the meeting of the Remuneration Committee in June 2018.

16/03/18 Transformation Programme

Andrew Pollins provided the Committee with the regular update on the Transformation Programme.

The Committee noted the update on the Transformation programme.

17/03/18 Members' Suggestions for Future Discussions Items

Howard Carter presented the current forward programme for the Committee.

The Committee noted the forward programme.

18/03/18 Date of Next Meeting

The next meeting would be held on Thursday 7 June 2018 at 10.00am

19/03/18 Exclusion of Press and Public

The Committee agreed to exclude the press and public from the meeting, in accordance with paragraph 3 of Schedule 12A to the Local Government Act 1972 (as amended), in order to consider the exempt information in relation to the item on Crossrail Transition Update.

The meeting closed at 11.55am.

Chair: _____

Date: _____