

Date: 14 March 2017

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 arise 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; management actions report; 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 & Assurance Annual Report 2016/17.
 - (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:
- | | |
|------------------|------------------------------|
| 14 March 2017: | Chief Finance Officer |
| 14 June 2017: | External Auditors |
| 11 October 2017: | Director of Internal Auditor |

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 2016/17

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

14 June 2017		
Management Actions Report	Director of Internal Audit	Quarterly
Internal Audit Reports	Director of Internal Audit	Quarterly
Crossrail Audit Committee	Director of Internal Audit	Quarterly
Strategic Risk Management Report	Chief Finance Officer	Quarterly
TfL's Annual Report	Chief Finance Officer	Annual
TfL's Statement of Accounts	MD CCT	Annual
EY Report to Those Charged with Governance	EY/Chief Finance Officer	Annual
EY Letter on Independence and Objectivity	EY/Chief Finance Officer	Annual
EY Report on Non-Audit Fees	EY/Chief Finance Officer	Six Monthly
Annual Audit Fee 2017/18	EY/Chief Finance Officer	Annual
Gifts and Hospitality	General Counsel	Quarterly
Cyber Security	Chief Information Officer	Quarterly
Strategic Risk Management & Assurance Annual Report 2016/17	Chief Finance Officer/Risk Manager	Annual
Review of Annual Governance and the Annual Governance Statement for Year Ended 31 March 2017	General Counsel	Annual
Half Yearly Fraud Report	Director of Internal Audit	Six Monthly
Legal Compliance Report	General Counsel	Six Monthly

11 October 2017		
Management Actions Report	Director of Internal Audit	Quarterly
Internal Audit Reports	Director of Internal Audit	Quarterly
Crossrail Audit Committee	Director of Internal Audit	Quarterly
Strategic Risk Management Report	Chief Finance Officer	Quarterly
External Audit Plan TfL, TTL and Subsidiaries - Year Ending 31 March 2018	EY/Chief Finance Officer	Annual
Effectiveness Review of the External Auditors	Chief Finance Officer	Annual
EY Report on Non-Audit Fees	EY/Chief Finance Officer	Six Monthly
Gifts and Hospitality	General Counsel	Quarterly
Cyber Security	Chief Information Officer	Quarterly
National Fraud Initiative Update	Head of FSC	Six Monthly
Half Yearly Fraud Report	Director of Internal Audit	Six Monthly
Personal Data Disclosure to the Police and Other Law Enforcement Agencies	MD, Surface Transport	Annual

14 December 2017		
Management Actions Report	Director of Internal Audit	Quarterly
Internal Audit Reports	Director of Internal Audit	Quarterly
Crossrail Audit Committee	Director of Internal Audit	Quarterly
Strategic Risk Management Report	Chief Finance Officer	Quarterly
Legal Compliance Report	General Counsel	Six Monthly
Gifts and Hospitality	General Counsel	Quarterly
Cyber Security	Chief Information Officer	Quarterly

Regular items:

- Management Actions Report
- Internal Audit Reports
- Crossrail Audit Committee
- Strategic Risk Management Update
- Gifts and Hospitality
- Cyber Security

Items to be scheduled:

IIPAG Review