

# AGENDA

## Meeting Audit Panel

**Date** Wednesday 22 October 2014

**Time** 2.30 pm

**Place** Committee Room 5, City Hall, The Queen's Walk, London, SE1 2AA

Copies of the reports and any attachments may be found at [www.london.gov.uk/mayor-assembly/london-assembly/audit-panel](http://www.london.gov.uk/mayor-assembly/london-assembly/audit-panel)

Most meetings of the London Assembly and its Committees are webcast live at [www.london.gov.uk/mayor-assembly/london-assembly/webcasts](http://www.london.gov.uk/mayor-assembly/london-assembly/webcasts) where you can also view past meetings.

### Members of the Panel

John Biggs AM (Chairman)  
Roger Evans AM (Deputy Chairman)

Gareth Bacon AM  
Dr Onkar Sahota AM

A meeting of the Panel has been called by the Chairman of the Panel to deal with the business listed below.

Mark Roberts, Executive Director of Secretariat  
Tuesday 14 October 2014

### Further Information

If you have questions, would like further information about the meeting or require special facilities please contact: David Hoilette, Committee Assistant; telephone: 020 7983 4306; email: [david.hoilette@london.gov.uk](mailto:david.hoilette@london.gov.uk)

For media enquiries please contact Mark Demery, Head of Assembly External Relations; Telephone: 020 7983 5769; Email: [mark.demery@london.gov.uk](mailto:mark.demery@london.gov.uk). If you have any questions about individual items please contact the author whose details are at the end of the report.

This meeting will be open to the public, except for where exempt information is being discussed as noted on the agenda. 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 at [www.london.gov.uk/sites/default/files/Openness-in-Meetings.pdf](http://www.london.gov.uk/sites/default/files/Openness-in-Meetings.pdf).

There is access for disabled people, and induction loops are available. There is limited underground parking for orange and blue badge holders, which will be allocated on a first-come first-served basis. Please contact Facilities Management on 020 7983 4750 in advance if you require a parking space or further information.

If you, or someone you know, needs a copy of the agenda, minutes or reports in large print or Braille, audio, or in another language, then please call us on 020 7983 4100 or email [assembly.translations@london.gov.uk](mailto:assembly.translations@london.gov.uk).

Si usted, o algùn conocido desea recibir una copia del order del dia, acta o informe en Braille o en su propio idioma, y gratis, no dude en ponerse en contacto con nosotros llamando al teléfano 020 7983 4100 o por correo electrónico: [assembly.translations@london.gov.uk](mailto:assembly.translations@london.gov.uk).

Se você, ou algüem que conheça precisa uma cópia da ordem do dia, anotações ou relatorios em prensa grande ou Braille, ou em outra lingu, então por favour nos telephone em 020 7983 4100 ou e-mail [assembly.translations@london.gov.uk](mailto:assembly.translations@london.gov.uk).

Haddii ama ama qof aad taqaanid, uu ugu baahan yahay koobiga ajendhada, haddaladii ama warbixinta in far waaweyn loogu qoro ama farta qofka indoolaha akhrin karo, amaba luuqad kale, fadlan naga soo wac telefoonkan 020 7983 4100 ama email [assembly.translations@london.gov.uk](mailto:assembly.translations@london.gov.uk).

Ta ba ri enikeni ti o ba ni ife ni eda ewe nla ti igbimo awon asoju tabi papa julo ni ede ti abinibi won, ki o kansiya lori ero ibanisoro. Nomba wa ni 020 7983 4100 tabi ki e kan si wa lori ero [assembly.translations@london.gov.uk](mailto:assembly.translations@london.gov.uk).

જો તમને અથવા તમે જાણતાં હો તેવી કોઈ વ્યક્તિને એજન્ડા (કાર્યસૂચિ), મિનિટ્સ (ટૂંકી નોંધો) અથવા રિપોર્ટ્સ (અહેવાલો)ની નકલ મોટા અક્ષરોમાં છપાયેલી કે બ્રેઈલમાં અથવા બીજી કોઈ ભાષામાં જોઈતી હોય, તો કૃપા કરીને 020 7983 4100 ઉપર ફોન અથવા [assembly.translations@london.gov.uk](mailto:assembly.translations@london.gov.uk) ઉપર અમને ઈ-મેઈલ કરો.

আপনি বা আপনার পরিচিত কেউ যদি এজেন্ডা, মিনিট বা রিপোর্টের একটি কপি বড় ছাপা বা ব্রেইল অথবা অন্য কোন ভাষায় পেতে চান তবে দয়া করে আমাদেরকে 020 7983 4100 এ নাম্বারে ফোন করুন বা [assembly.translations@london.gov.uk](mailto:assembly.translations@london.gov.uk) এ ই-মেইলে যোগাযোগ করুন।

ਜੇ ਤੁਹਾਨੂੰ ਜਾਂ ਤੁਹਾਡੇ ਵਾਕਫ਼ ਕਿਸੇ ਹੋਰ ਵਿਅਕਤੀ ਨੂੰ, ਏਜੰਡੇ, ਮੀਟਿੰਗ ਦੀ ਕਾਰਵਾਈ ਜਾਂ ਰਿਪੋਰਟਾਂ ਦੀ ਕਾਪੀ, ਵੱਡੇ ਅੱਖਰਾਂ ਵਿੱਚ ਛਪਾਈ ਜਾਂ ਬਰੇਲ ਦੇ ਰੂਪ ਵਿੱਚ ਜਾਂ ਕਿਸੇ ਹੋਰ ਬੋਲੀ ਵਿੱਚ ਚਾਹੀਦੀ ਹੈ ਤਾਂ ਕਿਰਪਾ ਕਰਕੇ ਸਾਨੂੰ 020 7983 4100 'ਤੇ ਟੈਲੀਫ਼ੋਨ ਕਰੋ ਜਾਂ ਇਸ ਪਤੇ 'ਤੇ ਈਮੇਲ ਕਰੋ : [assembly.translations@london.gov.uk](mailto:assembly.translations@london.gov.uk)

اگر آپ یا آپ کے جاننے والے کسی فرد کو اس ایجنڈا کی کاپی، تفصیل یا رپورٹیں بڑے پرنٹ یا بریل یا کسی دوسری زبان میں درکار ہوں تو براہ کرم ہمیں 020 7983 4100 پر فون کیجئے یا درج ذیل ای میل پر رابطہ کیجئے [assembly.translations@london.gov.uk](mailto:assembly.translations@london.gov.uk)



Certificate Number: FS 80233

**Agenda  
Audit Panel  
Wednesday 22 October 2014**

**1 Apologies for Absence and Chair's Announcements**

To receive any apologies for absence and any announcements from the Chair.

**2 Declarations of Interests** (Pages 1 - 4)

**The Panel is recommended to:**

- (a) That the list of offices held by Assembly Members, as set out in the table at Agenda Item 2, be noted as disclosable pecuniary interests;**
- (b) Note the declaration by any Member(s) of any disclosable pecuniary interests in specific items listed on the agenda and the necessary action taken by the Member(s) regarding withdrawal following such declaration(s); and**
- (c) Note the declaration by any Member(s) of any other interests deemed to be relevant (including any interests arising from gifts and hospitality received which are not at the time of the meeting reflected on the Authority's register of gifts and hospitality, and noting also the advice from the GLA's Monitoring Officer set out at Agenda Item 2) and any necessary action taken by the Member(s) following such declaration(s).**

**3 Minutes** (Pages 5 - 16)

**The Panel is recommended to confirm the minutes of the meeting of the Audit Panel held on 15 July 2014 to be signed by the Chair as a correct record.**

**4 Summary List of Actions** (Pages 17 - 18)

Report of the Executive Director of Secretariat  
Contact: David Hoilette, [david.hoilette@london.gov.uk](mailto:david.hoilette@london.gov.uk), telephone 020 7983 4306.

**The Panel is recommended to note the completed action arising from the previous meeting of the Audit Panel.**

## 5 External Audit Reports (Pages 19 - 40)

Report of the Executive Director of Resources

Contact: Tom Middleton; email: [tom.middleton@london.gov.uk](mailto:tom.middleton@london.gov.uk); telephone 020 7983 4257

**The Panel is recommended to note the External Auditor's GLA and GLA Group Audit Results Report 2013-2014.**

## 6 Internal Audit Reports (Pages 41 - 140)

Report of the Executive Director of Resources

Contact: Tom Middleton, [tom.middleton@london.gov.uk](mailto:tom.middleton@london.gov.uk), telephone: 020 7983 4257

**The Panel is recommended to note:**

- (a) The contents of recent internal audit reports attached to the report at Appendices 1a to 1d;**
- (b) The internal audit follow up reports attached to the report at Appendices 2a to 2f; and**
- (c) The Progress report at Appendix 3.**

The following appendices are attached to the report.

Appendix 1a -	Review of London's European Office	pages 45 to 56
Appendix 1b -	Review of Procurement Framework	pages 57 to 70
Appendix 1c -	Performance Management Analytical Review	pages 71 to 83
Appendix 1d -	Review of Income from the GLA Estate	pages 85 to 96
Appendix 2a -	Follow Up Review of Estate Strategy and Management of Assets	pages 97 to 106
Appendix 2b -	Follow Up Review of Energy and Environmental Strategy Framework and Implementation	pages 107 to 112
Appendix 2c -	Follow Up Review of London Plan and Implementation	pages 113 to 115
Appendix 2d -	Follow Up Review of the Mayor's Mentoring Programme Management Framework	pages 117 to 123
Appendix 2e -	Follow Up Review of Sickness Monitoring and Control	pages 125 to 129

Appendix 2f -	Follow Up Review of the Performance Management Framework	pages 131 to 134
Appendix 3	Progress Report	Pages 135 to 139

## 7 **Risk Management** (Pages 141 - 154)

Report of the Executive Director of Resources

Contact: Tom Middleton, [tom.middleton@london.gov.uk](mailto:tom.middleton@london.gov.uk), telephone: 020 7983 4257

**The Panel is recommended to note the corporate risk register.**

## 8 **Monitoring of Expenses and Taxable Benefits - Mayor, Elected Members and Senior Staff - 2014/15** (Pages 155 - 184)

Report of the Executive Director of Resources

Contact: Doug Wilson, [doug.wilson@london.gov.uk](mailto:doug.wilson@london.gov.uk), telephone: 020 7983 4968

**The Panel is recommended to note the taxable benefits and expenses submitted by the Mayor, London Assembly Members and senior staff during the period 1 April 2014 to 31 August 2014.**

The appendices to this item are attached for Members and Officers only but are available from the following area of the GLA's website:

[www.london.gov.uk/mayor-assembly/london-assembly/audit-panel](http://www.london.gov.uk/mayor-assembly/london-assembly/audit-panel)

## 9 **Register of Gifts and Hospitality - Mayor and Assembly Members** (Pages 185 - 196)

Report of the Monitoring Officer

Contact: Ed Williams, [ed.williams@london.gov.uk](mailto:ed.williams@london.gov.uk), telephone 020 7983 4399.

**The Panel is recommended to note the report and the contents of Appendix 1, which sets out gifts and hospitality declared by the Mayor and Members of the London Assembly in the period from 1 February 2014 (10am) until 1 September 2014 (10am).**

## **10 Register of Gifts and Hospitality - Senior Staff** (Pages 197 - 212)

Report of the Monitoring Officer

Contact: Ed Williams, [ed.williams@london.gov.uk](mailto:ed.williams@london.gov.uk), telephone 020 7983 4399.

**The Panel is recommended to note the declared gifts and hospitality by (i) staff directly appointed by the Mayor under section 67(1) of the Greater London Authority Act 1999 (as amended) and (ii) senior staff appointed by the Head of Paid Service, namely staff at Head of Unit level and above, during the period from 1 February 2014 (10am) to 1 September 2014 (10am).**

## **11 Work Programme for the Audit Panel 2014/15** (Pages 213 - 216)

Report of the Executive Director of Secretariat

Contact: David Hoilette, [david.hoilette@london.gov.uk](mailto:david.hoilette@london.gov.uk), telephone: 020 7983 4306.

**The Panel is recommended to approve its work programme for the remainder of the 2014/15 Assembly year and identify any additional issues it wishes to consider at future meetings.**

## **12 Date of Next Meeting**

The next meeting of the Panel is scheduled for 10 December 2014 at 2.00pm in Committee Room 5.

## **13 Any Other Business the Chairman Considers Urgent**