

AGENDA

Meeting **Audit Panel**

Date **Tuesday 10 July 2012**

Time **3.30 pm**

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

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Members of the Panel

John Biggs (Chair)
Roger Evans (Deputy Chair)
Gareth Bacon
Murad Qureshi

A meeting of the Panel has been called by the Chairman of the Committee to deal with the business listed below. This meeting will be open to the public. There is access for disabled people, and induction loops are available.

Mark Roberts, Executive Director of Secretariat
Monday 2 July 2012

Further Information

If you have questions, would like further information about the meeting or require special facilities please contact: Joanna Brown or Teresa Young, Senior Committee Officers; telephone: 020 7983 6559; email: joanna.brown@london.gov.uk; or teresa.young@london.gov.uk; Minicom: 020 7983 4458.

For media enquiries please contact Mark Demery, Head of Assembly External Relations, telephone 020 7983 5769 and email: mark.demery@london.gov.uk.

If you have any questions about individual reports please contact the report author whose details are at the end of each report.

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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.

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.

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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 kansywa lori ero ibanisoro. Nomba wa ni 020 7983 4100 tabi ki e kan si wa lori ero assembly.translations@london.gov.uk.

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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 এ ই-মেইলে যোগাযোগ করুন।

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Certificate Number: FS 80233

**Agenda
Audit Panel
Tuesday 10 July 2012**

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 - 2)

The Committee is recommended to:

- (i) Note as disclosable pecuniary interests the list of memberships of functional bodies and London Borough Councils, as set out in the table at Agenda Item 2;**
- (ii) Declare any disclosable pecuniary interests in specific items listed on the agenda and take any necessary action regarding withdrawal following such declaration(s); and**
- (iii) Additionally declare any relevant interests (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 take any necessary action regarding withdrawal following such declaration(s).**

3. Membership of the Panel

The Panel is recommended to note the membership and chairing arrangements for the Panel, as agreed by the Annual Meeting of the Assembly on 11 May 2012, as follows:

**John Biggs AM (Chair)
Roger Evans AM (Deputy Chair)
Gareth Bacon AM
Murad Qureshi AM**

4. Terms of Reference

The Panel is recommended to note its terms of reference, which are as follows:

- 1. The Audit Panel will be concerned with ensuring the security of and monitoring of financial systems, ensuring that there is an anti-fraud culture, and promoting probity and good practice within the core GLA.**
- 2. To liaise with the external auditors over their annual programme and, with the Mayor as appropriate, to approve the annual internal audit programme.**
- 3. To deal as appropriate with matters raised by the external auditors' management letters and reports and, where a report is made in respect of the GLA, to make recommendations to the Assembly at the meeting at which the report is to be formally considered in the presence of the Mayor in accordance with Schedule 8 in the 1999 Act.**
- 4. To deal as appropriate with matters arising from the internal auditors' reports and to comment to the Mayor on matters relevant to his/her responsibilities.**
- 5. To review the GLA's Risk Management Policy and comment to the Mayor as appropriate.**

5. Minutes (Pages 3 - 10)

The Panel is recommended to note the minutes of the meeting of the Audit Panel held on 13 March 2012 (signed by the Chair at the Assembly's Annual meeting on 11 May 2012 as a correct record).

6. Summary List of Actions (Pages 11 - 14)

Report of the Executive Director of Secretariat

Contact: Joanna Brown, joanna.brown@london.gov.uk and Teresa Young, teresa.young@london.gov.uk, both on telephone 020 7983 6559.

The Panel is recommended to note the completed and outstanding actions arising from the previous meetings of the Audit Panel.

7. Draft Annual Governance Statement (Pages 15 - 36)

Report of the Head of Paid Service and Executive Director of Resources

Contact: Tom Middleton: tom.middleton@london.gov.uk and telephone 020 7983 4257

The Panel is recommended to comment on the draft GLA Annual Governance Statement for 2011-12 (attached at Appendix 1).

The appendix set out on pages 17 to 35 of the report is attached for Members and officers only but is available from the following area of the GLA's website: <http://www.london.gov.uk/who-runs-london/the-london-assembly/committees/audit-panel>

8. Position Statement from the District Auditor - June 2012 (Pages 37 - 40)

Report of the Executive Director of Resources

Contact: David Gallie; david.gallie@london.gov.uk; telephone 020 7983 4968

The Panel is recommended to note the District Auditor's Position Statement of June 2012, attached at Appendix 1 to the report.

9. Internal Audit Reports (Pages 41 - 164)

Report of the Executive Director of Resources

Contact: David Gallie, david.gallie@london.gov.uk, telephone: 020 7983 4968

The Panel is recommended to:

- (a) Note the contents of recent internal audit reports attached to the report at Appendices 1a to 1e;**
- (b) The internal audit follow up reports attached to the report at Appendices 2a to 2c; and**
- (c) The internal audit progress report attached to the report at Appendix 3; and**
- (d) The internal audit Annual Report 2011/12 attached to the report at Appendix 4.**

The following appendices are attached to the report.

Appendix 1a -	Review of London Engagement (Marketing and Events)	pages 45 to 57
Appendix 1b -	Review of Information Management (Accessibility of Public Data)	pages 59 to 77
Appendix 1c -	Review of GLA's Business Continuity Control Framework	pages 79 to 96
Appendix 1d -	Review of Gifts and Hospitality	To Follow
Appendix 1e -	Review of City Operations Programme Management Framework	pages 97 to 106
Appendix 2a -	Follow Up Review of Risk Management	pages 107 to 117
Appendix 2b -	Follow up Review of Mayor's Planning Powers	pages 119 to 127
Appendix 2c -	Follow Up Review of Expenses and Benefits Control Framework	pages 129 to 140
Appendix 3 -	Internal Audit Progress Report	pages 141 to 147
Appendix 4 -	Internal Audit Annual Report 2011/2012	pages 149 to 164

The appendices set out on pages 45 to 164 of the report are attached for Members and officers only but are available from the following area of the GLA's website:

<http://www.london.gov.uk/who-runs-london/the-london-assembly/committees/audit-panel>

10. Monitoring of Expenses - Mayor, Elected Members and Senior Staff (Pages 165 - 184)

Report of the Executive Director of Resources

Contact: David Gallie, david.gallie@london.gov.uk and telephone 020 7983 4968.

The Panel is recommended:

(a) To note the expenses incurred by the Mayor, London Assembly Members and senior staff for the period 1 February 2012 to 31 March 2012; and

(b) To note the comparative information on expenses.

The appendices set out on pages 171 to 184 of the report are attached for Members and officers only but are available from the following area of the GLA's website:

<http://www.london.gov.uk/who-runs-london/the-london-assembly/committees/audit-panel>

11. Audit Arrangements for the GLA Group (Pages 185 - 188)

Report of the Executive Director of Resources

Contact: David Gallie; email: david.gallie@london.gov.uk; telephone 020 7983 4968

The Panel is recommended to consider the report.

12. Audit Panel Work Programme for 2012/13 (Pages 189 - 194)

Report of the Executive Director of Secretariat

Contact: Joanna Brown, joanna.brown@london.gov.uk or Teresa Young, teresa.young@london.gov.uk, both on telephone number 020 7983 6559.

The Committee is recommended to note its work programme for 2012/13 and identify any additional issues it wishes to consider at future meetings.

13. Date of Next Meeting

The next meeting of the Panel is scheduled for 23 October 2012 at 3.30pm in Committee Room 5.

14. Any Other Business the Chair Considers Urgent