

TRANSPORT FOR LONDON

AUDIT COMMITTEE

SUBJECT: FINAL INTERNAL AUDIT REPORTS – QUARTER 1 2010/11

DATE: 28 SEPTEMBER 2010

1 PURPOSE AND DECISION REQUIRED

- 1.1 The purpose of this report is to inform the Audit Committee of the final audit reports issued in the first quarter of 2010/11. The Committee is requested to note the report.

2 BACKGROUND

- 2.1 There were 29 final reports issued in the quarter including six interim reports that were concluded 'well controlled' and immediately closed as there were no management actions to complete. One final report was not closed.

3 RECOMMENDATION

- 3.1 The Audit Committee is asked to NOTE the report.

4 CONTACT

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Interim	Final
AC= Adequately Controlled	AC= Adequately Controlled
RI= Requires Improvement	PC= Poorly Controlled
PC= Poorly Controlled	WC= Well Controlled
WC= Well Controlled	ACL= Audit Closed
	ANC= Audit Not Closed

Reference	Report Title	Interim Report Issued	Original Objective	Final Report Issued
IA_08_105F	Business Planning Process	20/07/2009	To assess the effectiveness of key elements of the business planning process across TfL.	26/05/2010 ACL
IA_09_100F	Efficiencies Programme – Arrangements for Ensuring Delivery of Savings	01/03/2010	To provide assurance in relation to TfL strategic risk: Availability and use of funding.	02/06/2010 ACL
IA_08_114F	LU Nominee Companies – Control over Fixed Assets	03/03/2009	To provide assurance as to the effectiveness of the controls that were operating over the management of the fixed assets retained within the two companies formerly known as Metronet (MR).	28/05/2010 ACL
IA_09_116F	Integration of LU Nominee Companies into LU	11/03/2010	To review the controls in place to ensure that the integration of LU Nominees into LU was implemented effectively and in accordance with the relevant TfL policies.	18/05/2010 ACL
IA_08_208F	Group IM Portfolio Management	04/11/2009	To review the ProSight system for portfolio management (known as ‘Air Traffic Control’) to assess whether the tool and processes were fit for purpose and of potential value to other parts of the business.	28/04/2010 ACL
IA_08_257F	LU Nominee Companies Civils Projects Programme	18/08/2009	To provide assurance that the Civils Projects programme was being managed in an effective and efficient manner.	30/04/2010 ACL
IA_09_203F	Management of Risk and Contingency Funds in LU	23/12/2009	To ensure that there were efficient and effective policies, practices and procedures in place in respect of the management of risk and contingency funds for projects in London Underground (LU).	30/04/2010 ACL
IA_09_401F	SAP Implementation – Project Compass	14/06/2010 WC	To provide assurance that the SAP implementation is properly managed, delivery of components of the project meets the necessary quality standards, and that the project will deliver the described benefits to the business.	14/06/2010 WC
IA_09_231F	Contract Centre Transformation Programme (CCTP) Management	06/01/2010	To provide assurance in relation to the TfL strategic risk relating to project delivery, and assess whether the CCTP was being managed in an effective and efficient manner.	07/04/2010 ACL

Transport for London Audit Committee Final Reports Issued for Quarter 1 2010/11

Reference	Report Title	Interim Report Issued	Original Objective	Final Report Issued
IA_09_248F	Hydrogen Transport Programme	23/04/2010 WC	To provide assurance in relation to the TfL strategic risk relating to project delivery, that the Hydrogen Transport Programme is being managed in an effective and efficient manner.	23/04/2010 WC
IA_09_210F	Hybrid Bus Programme	04/12/2009	To provide assurance in relation to TfL strategic risk relating to project delivery, that the Hybrid Bus Evaluation Project is being managed in an effective and efficient manner.	30/04/2010 ACL
IA_08_363F	Procurement of the Engineering and Project Management Framework (TfL 90001)	28/01/2010	To ensure that the procurement process employed for the Engineering and Project Management Framework was managed effectively, was in accordance with approved procedures and EU directives and was open, fair and transparent.	30/04/2010 ACL
IA_09_330F	Connect Service Monitoring and Reporting	30/04/2010 WC	To provide assurance over the service monitoring and reporting aspect of the Connect contract undertaken by the Connect Performance Team.	30/04/2010 WC
IA_09_336F	Contract Management of Sub Surface Railway Line Upgrade	21/06/2010 WC	To ensure that the contract management structures and processes in place to support the SSL Upgrade Programme (SUP) are efficient and effective.	21/06/2010 WC
IA_09_363F	East Croydon Track Renewal Contract Readiness for the Management of Claims	04/01/2010	To ensure that effective processes and controls were in place to undertake the management of claims resulting from the East Croydon Track Renewal contract.	30/04/2010 ACL
IA_09_132F	Traffic Enforcement PCN Processes	17/03/2010	To provide assurance over the processing of Traffic Enforcement Penalty Charge Notices.	14/06/2010 ACL
IA_09_347F	Land Properties Acquisition Programme	02/03/2010	To ensure the effectiveness of the procedures, processes and controls relating to the acquisition of land and property for the delivery of Crossrail.	26/05/2010 ACL
IA_09_015F	London Resilience Team	29/04/2010 WC	To assess the effectiveness of TfL's involvement with the LRT and how it reacts to the information and disseminates it to the appropriate areas of the business.	29/04/2010 WC
IA_08_121F	Corporate, Surface and Rail Disciplinary Procedures	30/10/2009	To ensure that Corporate, Surface and Rail non-operational disciplinary procedures operated effectively.	29/04/2010 ACL
IA_09_109F	Management of 'yoursay' survey	18/09/2009	To review how the results of yoursay are being analysed, reported and used to drive performance improvements within TfL.	28/05/2010 ACL
IA_09_426F	SAP 3 rd Party Access to the Borough Portal	12/11/2009	To provide assurance on the operational effectiveness of access management policies, strategy, and processes to control access to the SAP Borough Portal by both external TfL employees and third parties.	29/04/2010
IA_08_433F	Crossrail - IT General Controls	06/10/2009	To review the IM processes and controls implemented for change management and user access management covering the network and business critical applications, and the adequacy of general system security settings applied on the network operating system used by Crossrail.	29/04/2010 ACL

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Reference	Report Title	Interim Report Issued	Original Objective	Final Report Issued
IA_09_024F	PCI DSS Compliance	21/05/2010 WC	To review the extent to which TfL is currently complying with the PCI DSS requirements and any subsequent plans for working towards full compliance.	21/05/2010 WC
IA_08_439F	Crossrail - IT Healthcheck	15/10/2009	To assess the current level of maturity of Crossrail's management and control of IT and to consider the extent to which plans are in place to provide appropriate IT to support Crossrail.	29/04/2010 ACL
IA_07_427F	Data Security and Information Assurance	27/10/2008	To provide assurance that Information Assurance and Data Privacy issues were being adequately addressed, including an assessment of the protection put in place against risks to the security of information.	23/04/2010 ACL
IA_08_135F	Risk Management in London Rail	20/07/2009	To review the effectiveness of the arrangements put in place to ensure that an effective risk management process is in operation within London Rail to identify, assess, manage and report on risk.	28/05/2010 ACL
IA_08_139F	Fares Refunds	09/03/2009	To provide assurance in relation to the TfL strategic risk relating to Revenue Collection, specifically with regard to the effectiveness of controls over fares refunds exercised by the Oyster Call Centre.	21/06/2010 ANC
IA_08_152F	Pensions Fund Personal Data Privacy	02/10/2010	To provide assurance that information relating to individuals ('Personal Data') was managed appropriately in line with relevant legislative and regulatory guidance.	21/05/2010 ACL
IA_09_145F	TfL Payroll Deductions and Payments to the Pensions Fund	19/01/2010	To provide assurance on whether the system for deduction and payment of pension contributions from the TfL payroll was operating effectively.	01/01/2010 ACL