

TRANSPORT FOR LONDON

AUDIT COMMITTEE

SUBJECT: FINAL INTERNAL AUDIT REPORTS – QUARTER 4 2010/11

DATE: 15 JUNE 2011

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 fourth quarter of 2010/11. The Committee is requested to note the report.

2 BACKGROUND

- 2.1 There were 38 final reports issued in the quarter, including one interim report that was concluded 'Well Controlled' and one which was 'Adequately Controlled' and immediately closed as there were no management actions to complete.

3 RECOMMENDATION

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

4 CONTACT

- 4.1 Contact: Clive Walker, Interim Director of Internal Audit
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Transport for London Audit Committee Final Reports Issued for Quarter 4 2010/11

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

Reference	Report Title	Interim Report Issued	Original Objective	Final Report Issued
IA_10_103/ F	Efficiencies Delivery Programme – Accommodation Strategy	19/11/2010 AC	To review the arrangements that have been put in place to ensure delivery of the planned savings from the Efficiencies Delivery Programme - Accommodation Strategy.	09/02/2011 ACL
IA_10_107/ F	Safer Transport Command Special Services Agreement	09/11/2010 AC	To provide assurance over TfL's contract management of the Special Services Agreement relating to Safer Transport Command.	17/02/2011 ACL
IA_10_201/ F	Programme Management of the Efficiencies Programme within LU	19/11/2010 AC	To provide assurance that the management of the Efficiency Programme within LU is being conducted in an effective and efficient manner.	17/02/2011 ACL
IA_09_217/ F	Central Line Train Refresh Project	02/08/2010 RI	To review whether the Central Line Train Refresh project is being conducted in an effective and efficient manner.	07/01/2011 ACL
IA_09_131/ F	Modal Scorecards	15/10/2009 RI	To review the effectiveness of the processes for agreeing modal scorecards, and for measuring performance against targets.	21/01/2011 ACL
IA_10_436 F	SAP Access Controls	15/07/2010 RI	To provide assurance that the SAP Governance, Risk and Compliance (GRC) access control application is adequately used and maintained by the business to establish effective segregation of duties compliance and ongoing monitoring and control of existing segregation of duties violations.	28/01/2011 ACL
IA_09_246/ F	Olympic Readiness in Surface Transport	29/04/2010 RI	To assess whether the processes to manage Olympic readiness in Surface Transport were being managed in an effective and efficient manner.	31/01/2011 ACL
IA_09_249/ F	Control of Confidential Information within Halcrow	25/06/2010 RI	To review the controls in place to ensure confidentiality of TfL information provided to Halcrow in their capacity of "External Expert" for CGAP reviews.	08/02/2011 ACL

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IA_08_223/ F	Use of Modelling Within Projects	30/07/2010 RI	To provide assurance that models used within the planning of projects had been employed in an appropriate manner.	23/02/2011 ACL
IA_09_133/ F	Tunnel Safety	25/05/2010 RI	To review the effectiveness of the tunnel safety risk management process.	28/02/2011 ACL
IA_09_211/ F	Spearmint PPM Methodology and Use of PMOs	30/04/2011 RI	To provide assurance that the Spearmint Framework and the PMOs support Surface Transport staff in the successful delivery of projects and programmes.	25/02/2011 ACL
IA_10_408/ F	Management and Delivery of Small works Projects	30/03/2011 AC	To provide assurance that IM Small Works Projects are properly managed and delivered in a timely and effective manner.	30/03/2011 ACL
IA_09_218/ F	BCV and SSR Track Renewal Programme	01/10/2010 AC	The audit reviewed the effectiveness of project and programme management, procurement and contract management in place for the BCV and SSR Track Renewal Programme.	31/03/2011 ACL
IA_09_353/ F	ELLP Main Works Contract Readiness for the Management of Claims	29/01/2010 AC	To review that effective processes and controls are in place to undertake the management of claims resulting from the ELLP Main Works Contract.	22/12/2010 ACL
IA_10_347/ F	Contract Management of Tottenham Court Road	30/10/2010 AC	To ensure that the contract management structures and processes in place to manage the main works contract let for the Tottenham Court Road Station Project are efficient and effective.	14/01/2011 ACL
IA_10_307/ F	Highways and Works Contracts-Procurement of Scheme Works	16/07/2010 AC	To review the effectiveness of the processes and controls in place for the procurement of Scheme works under the Highways Maintenance and Works Contracts.	01/02/2011 ACL
IA_10_325/ F	Delivery of Procurement Management Related Training and Development	23/08/2010 AC	To review the effectiveness of the management and delivery of Procurement Management related training and development.	07/02/2011 ACL
IA_10_333/ F	Contact Management of SSR/BCV Stations Programme	12/11/2010 AC	To ensure that the contract management structures and processes in place to support the SSR / BCV Stations Programme are efficient and effective.	10/02/2011 ACL

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IA_10_300/ F	Financial and Procurement Controls within London Overground Infrastructure (LOI) and North London Railway Infrastructure Project (NLRIP)	04/11/2010 PC	To review the effectiveness of and compliance with the financial and procurement controls within LOI. This included the procurement of the programme management services provided by Parsons Brinckerhoff to the NLRIP.	31/03/2011 ACL
IA_10_316/ F	e-Tendering and e-Evaluation Procurement systems Implementation	29/10/2010 AC	To review the implementation of the new e-tendering and e-evaluation procurement systems.	31/03/2011 ACL
IA_10_009/ F	London Rail Civilian Transport Security Officers	02/11/2010 AC	To assess the effectiveness of the security controls and governance arrangements in operation for the use of civilian transport security officers operating across London Rail.	06/01/2011 ACL
IA_10_114/ F	Resilience Planning Processes for Potential Emergencies	08/09/2010 AC	To review TfL's resilience planning processes for dealing with potential emergencies.	06/01/2011 ACL
IA_10_001/ F	Security of London Tramlink	24/09/2010 RI	To assess the effectiveness of the security arrangements and associated processes and procedures in operation that ensure London Tramlink assets are effectively protected and mitigated against security risks.	27/01/2011 ACL
IA_10_005/ F	Security of London Overground	09/09/2010 RI	To assess the effectiveness of the security controls and governance arrangements in operation to ensure all relevant risks have been identified and mitigated for the physical security of London Overground stations, depots, offices and other buildings.	15/03/2011 ACL
IA_10_002/ F	Security of Travel Information Centres (TICs)	09/09/2010 AC	To assess the effectiveness of the security controls and governance arrangements in operation that ensure all relevant risks have been identified and mitigated for the physical security of the six TICs.	21/03/2011 ACL
IA_09_107/ F	Staff Performance Management Processes in LU	15/06/2010 RI	To review the effectiveness of the staff performance management (PM) processes (both for operational and non-operational staff) within London Underground.	26/01/2010 ACL
IA_10_121/ F	Breakthrough – Recruitment Process Recommendations	16/11/2010 AC	To review control over the implementation of recommendations identified by the Breakthrough review of the recruitment process.	15/02/2011 ACL

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IA_09_428/ F	Active Directory (AD) Management	08/07/2010 RI	To provide assurance that the policies, processes and controls in place to establish and manage the AD environment were adequate to support an effective AD environment.	11/03/2011 ACL
IA_10_126/ F	Declarations of Interest – Corporate Governance	06/08/2010 AC	To review the adequacy of the policies, procedures and key controls surrounding declaration of interests and related parties.	19/01/2011 ACL
IA_10_126/ F	Declarations of Interest – Procurement	09/08/2010 RI	To review the adequacy of the policies, procedures and key controls surrounding declaration of interests and related parties.	21/01/2011 ACL
IA_10_132/ F	Risk Management Process in Finance Directorates	14/10/2010 AC	To ensure that an effective risk management process is in operation within Finance directorates for identifying, assessing, managing and reporting on risk.	31/01/2011 ACL
IA_08_138/ F	Implementation of New Scheme of Delegated Authority	13/10/2009 RI	To review the adequacy of controls over the delegation of authority across the TfL Group.	16/02/2011 ACL
IA_10_158 WC	Tube Lines Corporate Governance	31/03/2011 WC	To ascertain the governance arrangements at Tube Lines.	31/03/2011 WC
IA_09_139/ F	Supplier Registration Process	06/08/2011 RI	To review the effectiveness of both FSC and Group Procurement controls operating over the supplier registration processes.	31/03/2011 ACL
IA_09_028/ F	London Transport Museum Security Arrangements	15/01/2010 PC	To assess the effectiveness of the security controls at the LTM (including offices) at Covent Garden and Acton depot.	23/12/2010 ACL
IA_10_505/ F	Introduction of Programme Supply Chain Management in CRL	19/10/2010 AC	To ensure that introduction of Supply Chain Management in CRL, including the management of CRL's critical suppliers, is undertaken effectively.	20/01/2011 ACL
IA_10_510	Legacy HR System and Payroll	05/10/2010 RI	To provide assurance that the controls over the HR Pro application maintain the integrity and confidentiality of personnel data. In addition, the audit reviewed the controls and regulatory compliance requirements surrounding the transmission of payroll information to the payroll providers (ADP).	28/02/2011 ACL

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IA_10_512/ F	Business Continuity, Resilience and Disaster Recovery	26/10/2010 RI	To provide assurance over the Business Continuity, Resilience and Disaster Recovery arrangements put in place by management to ensure that Crossrail is in a position to deal effectively with a major unexpected event.	07/03/2011 ACL