

TRANSPORT FOR LONDON

AUDIT COMMITTEE

SUBJECT: FINAL INTERNAL AUDIT REPORTS – QUARTER 2 2010/11

DATE: 15 DECEMBER 2010

1 PURPOSE AND DECISION REQUIRED

- 1.1 The purpose of this report is to inform the Committee of the final audit reports issued in the second quarter of 2010/11.
- 1.2 The Committee is asked to note the report.

2 BACKGROUND

- 2.1 There were 31 final reports issued in the quarter including four interim reports that were concluded 'well controlled' and immediately closed as there were no management actions to complete. Three final reports were not closed.

3 RECOMMENDATION

- 3.1 The Committee is asked to NOTE the report.

4 CONTACT

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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_09_101 F	Efficiencies Delivery Programme: Delivering Greater Value for Money	14/04/2010	To review the implementation of the initiatives arising from the Delivering Greater Value for Money (DGVfM) Efficiencies Delivery Programme.	07/07/2010 ACL
IA_10_155/ F	TfL Property Sales and Development	08/09/2010	To review the adequacy of the controls over the TfL property sales and development process.	08/09/2010 WC
IA_09_205 F	Management of Risk and Contingency Funds in London Rail	25/02/2010	To review the effectiveness of the management of risk and contingency funds for projects within London Rail (LR).	29/06/2010 ACL
IA_10_407 F	ERP Integration Programme (ERP-IP) Phase 2: HR Parallel Pay Run (PPR)	08/07/2010	To provide assurance regarding the approach to and the execution of the HR Parallel Pay Run (PPR) activities that form part of Phase 2 of the ERP-IP.	08/07/2010 ACL
IA_09_215 F	Marble Arch Station Modernisation Project	24/11/2009	To provide assurance that the Marble Arch Station Modernisation Project is being managed in an effective and efficient manner.	20/07/2010 ACL
IA_09_220 F	SSR Upgrade Programme - Organisation and Governance	28/04/2010	To provide assurance that the Sub-Surface Railway Upgrade Programme (SUP) was being managed in an effective and efficient manner.	28/07/2010 ACL
IA_08_256 F	Victoria Station Upgrade Project	11/09/2009	To provide assurance that the Project Organisation and Control arrangements for the Victoria Station Upgrade are effective and efficient.	27/08/2010 ACL

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IA_09_305 F	Management of Claims in Streets	15/02/2010	To review whether effective processes and controls are in place to undertake the management of claims in Streets.	29/07/2010 ACL
IA_09_304 F	TCMS Contracts Service Delivery and Performance Management	06/04/2010	To review the management of the service delivery and performance aspects of the Traffic Control Maintenance and Related Services (TCMS) contracts, specifically in relation to the Peek contract, and assess whether the contracted levels of service delivery and performance are being achieved.	02/09/2010 ACL
IA_09_355 F	Croydon Tramlink, Management of the Operating Agreement	09/03/2010	To review the effectiveness of the management processes used to control the Croydon Trams Operating Agreement.	28/07/2010 ACL
IA_09_323 F	Management of LU's Obligations under the Development Agreement with CRL	31/03/2010	To review the management of LU's obligations and responsibilities under the Development Agreement (DA) to ensure that the processes and controls employed were operating effectively.	28/07/2010 ACL
IA_09_003 F	Screening of Mail	05/07/2010	To assess the effectiveness of the security arrangements in operation that ensure all relevant risks have been identified and mitigated for the scanning of mail and associated procedures within TfL mail rooms.	05/07/2010 WC
IA_09_113 F	Implementation of the Skills and Employment Strategy	24/12/2009	To review how effectively the Skills and Employment (S&E) Strategy is being implemented within TfL.	28/06/2010 ACL
IA_09_108 F	Performance Management in London Rail	11/03/2010	To review the effectiveness of the staff performance management processes within London Rail (LR).	28/07/2010 ACL
IA_09_106 F	Staff Performance Management Processes in Surface Transport	08/12/2010	To review the effectiveness of the staff performance management processes (both for operational and non-operational staff) within Surface Transport (ST).	31/08/10 ACL
IA_09_123 F	Stakeholder Relationship Management	23/02/2010	To review the adequacy of the TfL stakeholder relationship management processes.	19/08/2010 ACL

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IA_10_415 F	System Development Life Cycle (SDLC) Application Development Processes	19/08/2010	To provide assurance that system developments within LU IM comply with the revised LUL SDLC methodology and good practice.	19/08/2010 WC
IA_09_146 F	Risk Management in London Underground	01/03/2010	To ensure that an effective risk management process was in operation within LU for identifying, assessing, managing and reporting on risk.	15/07/2010 ACL
IA_09_125/ F	Dial-a-Ride Operations	19/04/2010	To review the adequacy of the processes by which the risks associated with Dial-a-Ride operations are managed.	19/07/2010 ACL
IA_09_131 F	Modal Scorecards	15/10/2009	To review the effectiveness of the processes for agreeing modal scorecards, and for measuring performance against targets.	30/07/2010 ANC
IA_09_126 F	Revenue Protection Activities in LU	11/09/2009	To review the adequacy of the LU revenue protection processes.	30/06/2010 ANC
IA_10_147 F	Accounting and Division of Oyster PAYG Revenues with National Rail	28/07/2010	To assess the effectiveness of the processes in place to ensure a fair apportionment of Oyster PAYG Revenues between TfL and National Rail (NR).	28/07/2010 WC
IA_09_143/ F	Event Management	29/04/2010	To review the governance and spend arrangements operating over events run or supported by TfL in order to obtain assurance that there are effective controls in place.	15/09/2010 ACL
IA_09_152 F	London Transport Museum Shop	18/03/2010	To review the adequacy of the processes relating to the shop's activities.	30/06/2010 ANC
IA_09_149 F	TfL Pension Fund Rule Changes	25/05/2010	To review the effectiveness of controls over changes to pension fund rules.	31/08/2010 ACL
IA_10_522 F	Risk Management	19/08/2010	Ensure an effective risk management process is in operation within Crossrail for identifying, assessing, managing and reporting on risk, and assess if the Crossrail risk management system is currently at the ALARM risk maturity model level 4.	19/08/2010 ACL
IA_09_235 F	Progress Reporting	27/01/2010	To provide assurance by reviewing the effectiveness of the progress reporting arrangements within Crossrail.	28/06/2010 ACL
IA_09_418 F	Delivery of FLEX Services	09/03/2010	To provide assurance that the Crossrail IT Service provided by Fujitsu is adequately defined, meets the needs of the company and represents good value to the business.	29/07/2010 ACL

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IA_09_420 F	Active Directory Management	14/01/2010	Gain an understanding of the policies, processes and controls in place to establish and manage the AD environment. Walk through and sample test the policies, processes and controls to assess their adequacy in supporting an effective AD environment.	29/07/2010 ACL
IA_09_120 F	Governance Arrangements	14/04/2010	To review the adequacy of the Crossrail governance arrangements and determine the extent of compliance with the governance requirements of the Principle Project Documents.	12/07/2010 ACL
IA_08_160 F	Crossrail Risk Management	09/12/2009	To ensure an effective risk management process was in operation within Crossrail for identifying, assessing, managing and reporting on risk.	10/08/2010 ACL