

TRANSPORT FOR LONDON

AUDIT COMMITTEE

**SUBJECT: FINAL INTERNAL AUDIT REPORTS – QUARTER 1 2011/12**

**DATE: 28 SEPTEMBER 2011**

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**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 2011/12. The Committee is requested to note the report.

**2 BACKGROUND**

- 2.1 There were 23 final reports issued in the quarter including three 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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Transport for London Audit Committee Final Reports Issued Quarter 1 2011/12

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_204/F	Management of risk in project and programme schedules, LU	<b>01/11/2010 RI</b>	To review the management of schedule risk within project schedules, and provide assurance in relation to TfL strategic risk, "Project delivery", and LU strategic risk: "Loss of, or disruption to, customer service as a result of delivery of the LU Upgrade programme."	<b>20/04/2011 ACL</b>
IA_09_200	Project Delivery and Benefits Management, LU	<b>02/03/2010 RI</b>	To provide assurance on the effectiveness of project delivery and benefits management arrangements within LU.	<b>26/04/2011 ACL</b>
IA_10_341/F	LU Supply Chain Resilience	<b>12/11/2010 RI</b>	To ensure that supply chain resilience has been considered and built into contractual arrangements during procurement processes and contract management.	<b>31/05/2011 ACL</b>
IA_10_348/F	Contract Management of the Victoria Station Upgrade	<b>04/05/2011 WC</b>	To identify and examine the contract management structures and processes in place to manage the contract let to Vinci BAM Nuttall for works on the Victoria Station Upgrade Project and determine whether they were efficient and effective.	<b>04/05/2011 WC</b>
IA_10_334/F	Interface between LU and Crossrail for the Paddington Integrated Project (PIP)	<b>20/06/2011 WC</b>	To review the interface between LU and Crossrail in respect of the PIP to ensure that the processes and controls in place are operating effectively.	<b>20/06/2011 WC</b>
IA_09_137/F	LU Controls over Stock	<b>12/07/2010 RI</b>	To review the effectiveness of the controls that LU exercises over the stock that it holds.	<b>28/04/2011 ANC</b>
IA_10_135/F	Mobile Telephony and Portable Devices	<b>07/01/2011 PC</b>	To review control over the issue, usage and payment for Mobile Telephony and Portable Devices.	<b>20/06/2011 ACL</b>
IA_10_123/F	Management and Communication of Planned Tube Closures	<b>01/02/2011 AC</b>	To review the effectiveness of management and communication processes dealing with planned tube closures.	<b>31/05/2011 ACL</b>
IA_09_201/F	Project Delivery and Benefits Management in Surface Transport	<b>30/04/2010 RI</b>	To provide assurance on the effectiveness of the project delivery and benefits management arrangements within Surface Transport.	<b>11/04/2011 ACL</b>
IA_10_350	Selection of Procurement Strategies – Surface Transport	<b>01/02/2011 AC</b>	To review the process for the selection and approval of the procurement strategies for procurements undertaken by Surface Transport to ensure that they are in accordance with EU directives, mitigate the risk of challenge and provide	<b>19/04/2011 ACL</b>

Transport for London Audit Committee Final Reports Issued Quarter 1 2011/12

Reference	Report Title	Interim Report Issued	Original Objective	Final Report Issued
			best value and cost effective contracts.	
IA_10_301/F	Bus Contracts: The Implementation of iBus Technology for Determining Scheduled and Lost Mileage	11/03/2011 AC	To provide assurance over the implementation and use of i-Bus technology for determining Lost Mileage, part of the performance regime under the Bus Contract Route Agreements.	09/06/2011 ACL
IA_10_309/F	Contract Management of the Relocation of Critical Traffic Management and CCTV Systems	07/02/2011 AC	To review the effectiveness of the process and controls for the contract management of the relocation of critical traffic management and CCTV systems.	17/06/2011 ACL
IA_10_141/F	Woolwich Ferry Contract	01/02/2011 RI	To review the controls in place over the payments process for the Woolwich Ferry contract to ensure they were operating effectively.	25/05/2011 ACL
IA_10_117/F	Talent Management in Surface Transport	01/02/2011 AC	To review the effectiveness of the arrangements in place to deliver the ST Talent Management programme.	18/05/2011 ACL
IA_10_326/F	Selection of Procurement Strategies – Group Procurement	22/12/2010 RI	To review the process for the selection and approval of the procurement strategies for procurements undertaken by Group Procurement, to ensure that they are in accordance with EU directives, mitigate the risk of challenge and provide best value and cost effective contracts.	26/05/2011 ACL
IA_10_439/F	UNIX System Management	14/09/2010 PC	To provide assurance that the strategy, policies, processes, governance and controls in place to manage the TfL UNIX environments are adequate and effective.	18/05/2011 ACL
IA_10_419/F	End User Computing (EUC) Post Implementation Review	28/10/2010 RI	To provide assurance that the EUC project has been suitably managed in order to achieve its objectives.	26/05/2011 ACL
IA_09_423/F	3 <sup>rd</sup> Party Connectivity	29/04/2010 RI	To provide assurance that the necessary security measures and policies were put in place, both internally and externally to ensure that fixed third party connections are managed securely.	31/05/2011 ACL
IA_10_110/F	Equalities and Inclusion spend programme	14/10/2010 AC	To review the effectiveness of controls operating over the E&I spend programme.	31/05/2011 ACL
IA_10_526/F	Parliamentary Undertakings and Commitments	22/12/2010 RI	To provide assurance that effective processes and controls are in place to ensure that commitments and undertakings are identified, complied with, monitored and fully discharged.	31/05/2011 ACL
IA_10_504/F	Management of Scope Alignment	19/10/2010 RI	To provide assurance that effective processes and controls are in place to ensure that the Crossrail project deliverables will fulfil the Sponsors' Requirements and Crossrail Programme Functional Requirements.	16/06/2011 ACL
IA_10_518	SharePoint Implementation	16/05/2011 WC	To provide assurance that the plans to implement SharePoint for document management within Crossrail are being devised and managed appropriately to offer long term benefit to the business.	16/05/2011 WC
IA_10_508/F	Crossrail Accounts Payable Process	30/11/2010 RI	To provide assurance on the effectiveness of the Crossrail accounts payable process.	28/04/2011 ACL