

TRANSPORT FOR LONDON

AUDIT COMMITTEE

SUBJECT: FINAL INTERNAL AUDIT REPORTS – QUARTER 4 2009/10

DATE: 15 JUNE 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 fourth quarter of 2009/10. The Committee is requested to note the report.

2 BACKGROUND

- 2.1 Thirty final reports were issued in the quarter including five 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 Audit Committee is asked to NOTE the report.

4 CONTACT

- 4.1 Contact: Clive Walker, Interim Director of Internal Audit
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Reference	Report Title	Interim Report Issued	Original Objective	Final Report Issued
IA_08_155F	London Underground Nominee Companies General Ledger Controls	29/05/2009	To provide assurance as to the effectiveness of the controls that were operating over the general ledger of the two companies formally known as Metronet.	28/01/2010
IA_08_140F	Surface Transport Revenue Protection	26/02/2009	To review the adequacy of the Surface Transport revenue protection processes.	31/03/2010
IA_09_223F	Thameslink Programme	17/11/2009	To provide assurance, in relation to the TfL strategic risk relating to project delivery and to the LU strategic risk relating to contract performance and delivery, that the Thameslink programme was being managed in an effective and efficient manner.	29/01/2010
IA_08_200F	Crossrail Requirements Definition	26/05/2009	To provide assurance that Requirements Definition was being managed in an effective and efficient manner.	08/02/2010
IA_08_228F	Programme Management of Capital Renewals	20/08/2009	To provide assurance, in relation to the TfL's strategic risk relating to project delivery, that programme management of Capital Renewals was being conducted in an effective and efficient manner.	23/02/2010
IA_09_214F	Programme Management of the Operating Cost Reduction	27/10/2009	To provide assurance in relation to TfL strategic risk concerning project delivery, and in particular over whether the Operating Cost Reduction Programme was being managed in an effective and efficient manner.	26/02/2010
IA_09_004F	Building Access Control Arrangements	17/12/2009 WC	To assess the effectiveness of the security controls and governance arrangements in operation to ensure all relevant risks have been identified and mitigated for access control throughout the Head Office building portfolio.	17/12/2009 WC
IA_09_360F	TfL Data Centre 1	14/10/2009	To ensure that the procurement process employed for the TfL Data Centre 1 was managed effectively, in accordance with approved procedures and EU directives and was open, fair and transparent.	23/12/2009
IA_09_306F	Bus Shelter Build and Maintenance contract	22/12/2009	To review the effectiveness of the contract management processes used to control the Bus Shelter Build and Maintenance contract.	22/12/2009
IA_09_362F WC	Ticketing Services Transition and Handback	23/12/2009 WC	To review the effectiveness of the contract management processes and structures in place to manage the handback from TranSys and the transition of the Ticketing Service Contract to Cubic.	23/12/2009 WC
IA_09_351F	Risks and Obligations Crossrail	21/08/2009	To provide assurance that there are effective processes and controls in place for the strategic management of Crossrail's (CRL) contractual obligations and risks in the Agreements between CRL, the Sponsors and its Industry Partners.	18/01/2010
IA_08_367F	Tottenham Court Road - Audit of Halcrow	02/11/2009	To provide assurance that Halcrow has invoiced TfL in accordance with agreed contractual terms and has maintained appropriate records to support the amounts invoiced. In particular, the audit reviewed the management of appropriate supporting records, accuracy of invoice calculation and any other reporting by Halcrow in relation to the costs they have incurred.	01/03/2010

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IA_08_120F	Pre-Employment Screening	22/12/2009	The audit reviewed the effectiveness of the pre-employment screening of new recruits within TfL.	22/12/2009
IA_09_115F	TfL Corporate Organisational Change Process	08/03/2010 WC	To ensure that TfL's organisational change policy is complied with appropriately and consistently.	08/03/2010 WC
IA_09_013F	Security of TfL Data Centre 2	22/09/2009	To review the physical and logical security arrangements in place at Data Centre 2 to ensure confidentiality, integrity and availability of TfL data and the protection of TfL computer equipment and personnel.	11/02/2010
IA_09_021F	Secure Disposal of IM Equipment	14/09/2009	To assess the effectiveness of the process for the disposal of IM equipment to ensure it was being managed in a controlled and secure manner, and in accordance with both TfL policy and contractual and legal requirements.	17/02/2010
IA_09_017F	Security of Pier Walk	31/03/2010 WC	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 Pier Walk.	31/03/2010 WC
IA_07_428F	Congestion Charging Data Protection Audit	14/04/2009	To provide assurance that data held in the Congestion Charging systems and supporting processes are being controlled and maintained in accordance with TfL's data privacy policies and in line with industry accepted practice.	28/01/2010
IA_08_157F	London Underground Nominee Companies - Risk Management	30/03/2009	To provide assurance that the LU Nominee Companies' risk management policies, procedures and controls were appropriate, effective and operating in the manner intended.	29/01/2010
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	28/01/2010
IA_09_029F	Security of Records Management and Custody	11/03/2010 WC	To review the processes and procedures in place for the security surrounding TfL's offsite storage facility.	11/03/2010 WC
IA_08_447F	IM Procurement Review	18/12/2008	To review the existing IM Procurement policies, processes and procedures and consider the extent to which these are effective in ensuring that procurement of IT systems/services/personnel within TfL is undertaken in a timely and cost-effective manner.	23/12/2009
IA_08_437F	Ellipse Finance and Materials Management System & Ellipse Asset Management System – General Controls	16/06/2009	To review the IM processes and controls implemented for the change management and user access management processes covering the Ellipse application. Also, to Review the adequacy of general system security settings applied on the network operating system for users of Ellipse.	27/01/2010
IA_08_454F	Metronet Alliance IT Integration Programme	11/09/2009	To obtain assurance that the Metronet Alliance IT Integration Programme is aligned with the Business Plan, and has been established, governed and managed using a defined programme and project management approach that enables stakeholder participation in, and monitoring of, project risks.	29/01/2010
IA_08_420F	Train Scheduling System	17/11/2009	To provide assurance that delivery of the IM aspects of TSS were subject to sufficient control and management, in line with the recognised standard used within London Underground IM, CIMM (Common IM Methodology).	29/01/2010

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IA_08_421F	Electronic Incident Reporting Form Security	12/08/2009	The objective of this audit was to review: <ul style="list-style-type: none"> • The design and operational effectiveness of access management processes and controls over the EIRF application and supporting operating system and server infrastructure; and, • The extent to which key security configurations at the application, server and operating system level are in place, operating in line with expectations, and compliant with TfL security policies. 	29/01/2010
IA_08_139F	Fares Refund	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.	12/01/2010
IA_08_167F	London Transport Museum Purchasing & Accounts Payable	29/06/2009	To assess the effectiveness of controls over London Transport Museum's purchasing and accounts payable processes.	28/01/2010
IA_08_152F	TfL Pension Fund Compendia Member Services Implementation	16/09/2009	To provide assurance that the implementation of the MSS component of the Compendia Pensions system was subject to suitable governance and control.	28/01/2010
IA_08_153F	London Transport Museum - Ticket Revenue	20/03/2009	To review the adequacy of the processes relating to Ticket Revenue.	29/01/2010