

TRANSPORT FOR LONDON

AUDIT COMMITTEE

SUBJECT: FINAL INTERNAL AUDIT REPORTS – QUARTER 3 2008/09

DATE: 28 JANUARY 2009

1 PURPOSE AND DECISION REQUIRED

1.1 The purpose of this paper is to inform the Audit Committee of the final audit reports issued in the third quarter of 2008/09. The Committee is requested to note the paper.

2 BACKGROUND

2.1 We issued 20 final reports in the quarter including one interim report that was concluded 'well controlled' and immediately closed as there were no management actions to complete.

2.2 Two of the reports issued were repeat follow ups as the first follow up audits found that not all actions had been completed. One report issued in the quarter remains open. Reports that remain open are shown as yellow on the attached spreadsheet, closed reports are shown as green.

3 RECOMMENDATION

3.1 The Audit Committee is asked to NOTE the content of this report.

4 CONTACT

4.1 Contact: Mary Hardy, Director of Internal Audit
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Reference	Report Title	Interim Report Issued	Original Objective	Final Report Issued
IA_07_135	Management Accounting in TfL Corporate	11/08/2008	To assess the effectiveness of the management accounting role within TfL Corporate.	14/11/2008
IA_08_239	East London Transit Project Phase 1b	06/08/2008	To provide assurance, in relation to the TfL strategic risk relating to project delivery, that the ELT Phase 1b project is being managed in an effective and efficient manner.	03/10/2008
IA_08_249	Future Ticketing Project	n/a (only final) WC	To provide assurance in relation to the TfL strategic risks relating to project delivery and revenue collection, that the Future Ticketing Project (FTP) was being managed in an effective and efficient manner.	17/10/2008 WC
IA_08_242	Internal Audit of Quality Management	09/03/2007	To assess the existing quality management arrangements with Crossrail. The review included looking at quality management approach, stakeholder involvement, reporting and implementation.	21/10/2008
IA_08_245	Internal Audit of Financial and Project Cost Reporting	21/02/2007	To assess the existing effectiveness of Financial and Project Cost Reporting arrangements within CLRL.	21/10/2008
IA_08_246	Internal Audit of Stakeholder Management	24/05/2007	To review the Stakeholder Management process within CLRL. This audit focused on the requirements defined in the Managing Successful Programmes (MSP) methodology.	21/10/2008
IA_08_243	Internal Audit of Programme Planning	30/06/2007	To provide a view of the extent to which a planned and controlled environment had been established within Crossrail that could be maintained throughout the life of the programme. The review aimed to establish whether processes were in place for tracking the impact of each project on the programme's overall goals, benefits, risks and costs. It also sought to establish whether processes were in place to monitor the inter-relationships between each project, for example to act when a delay in any one project might jeopardise the work of others.	21/10/2008
IA_08_244	Internal Audit of Investment Planning	24/05/2007	The objective of the review was to assess the existing Investment Planning and Business Planning arrangement within CLRL.	21/10/2008
IA_08_240	Tottenham Court Road Congestion Relief (Governance and Stakeholder Management Review)	06/08/2008	To provide assurance, in relation to the TfL strategic risk relating to project delivery, that the TCR Congestion Relief project was being managed in an effective and efficient manner. The output from the audit was used in support of the CGAP leading to the project's submission for Gate D approval.	01/12/2008
IA_07_336	Connect Operational Phase SoR for CM	01/05/2008	To provide assurance in relation to TfL strategic risk 'Effective contract management.' The audit involved reviewing the contract management processes used by the Service Delivery Team (SDT) to manage Connect Assets.	07/10/2008
IA_07_333	BTP PFI Variation Procedure	07/07/2008	This audit reviewed the contract management processes used to manage variations to the BTP PFI contract in order to provide assurance that those processes are appropriate, working effectively and the contract is being complied with.	03/10/2008
IA_07_317	PPP CuPID and SPIT Payments Management	16/01/2008	To provide assurance in relation to TfL Strategic Risk, 'Effective contract management.' It examined data collection, input and processing to ensure accuracy of the calculation of the adjustments to the Infrastructure Service Charge.	21/10/2008
IA_07_310	SAP Catalogue Supplier Management	16/01/2008	It specifically reviewed whether SAP catalogue contracts were being managed in an effective and efficient manner.	22/10/2008

Reference	Report Title	Interim Report Issued	Original Objective	Final Report Issued
IA_08_300	Power PFI Service Performance	21/08/2008	The audit focused on the ECMT Performance Team, and aimed to: <ul style="list-style-type: none"> • Determine whether organisation and processes are appropriate and effective. • Determine whether documentation is adequate for control purposes and record-keeping. • Ascertain whether the Contract has been complied with and implemented correctly. • Ascertain whether the Contractor is reliable and performing well. • Seek assurance that risk management processes are appropriate and effective. 	27/10/2008
IA_07_306	Management of Bus Stop Information	07/01/2008	The objective of the audit was to ascertain whether adequate controls are in place to ensure the effective management of the contract for the provision of travel information posted at bus stops and shelters.	29/10/2008
IA_07_312	PPP Jubilee Line Upgrade	12/08/2008	This audit reviewed the contract management processes used to control the works to upgrade the Jubilee line.	29/10/2008
IA_07_315	PPP Track Replacement Delivery: BCV and SSL Networks	27/10/2008	This audit reviewed the contract management processes used to control works associated with track replacements on the SSL and BCV networks.	04/12/2008
IA_08_322	PPP Central Line Bogie Modification	24/10/2008	This audit assignment reviewed the contract management processes used to control the works associated with the Central Line bogie modification project.	05/12/2008
IA_08_025	Security of Information Access & Compliance Team	17/09/2008	To assess the effectiveness of the security risk management process surrounding information relating to Data Protection Act (DPA) Subject Access Requests including receipt, storage, dissemination and destruction and to ensure that the information is handled in accordance with the DPA principles and good security practice.	21/11/2008
IA_04_100	IT Network Controls and Disaster Recovery	08/06/2005	To review the network management controls to ensure that the structure, detailed organisation and supporting processes of the IT provision were appropriately secure and well controlled; and review disaster recovery elements of the business continuity plan to ensure that it has been updated to reflect any changes in the IT environment and that management have confirmed that it continues to meet the needs of the department.	26/11/2008