

TRANSPORT FOR LONDON

AUDIT COMMITTEE

SUBJECT: FINAL INTERNAL AUDIT REPORTS – QUARTER 3 2011/12

DATE: 7 MARCH 2012

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 third quarter of 2011/12.
- 1.2 The Committee is requested to note the report.

2 BACKGROUND

- 2.1 There were 18 final reports issued in the quarter including two interim reports that were concluded 'Well Controlled' and immediately closed as there were no management actions to complete. We also had one interim report that was 'Adequately Controlled' and went straight to final.

3 RECOMMENDATION

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

4 CONTACT

- 4.1 Contact: Clive Walker, Director of Internal Audit
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Transport for London Audit Committee Final Reports Issued Quarter 3 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_335 F	Connect Variations	25/03/2011 AC	Review the contract management processes used to manage delivery of variations to the Connect PFI contract to provide assurance that those processes were appropriate, working effectively and the contract was being complied with.	30/09/2011 ACL
IA_10_337 F	Contract Management of the Technical Support and Spares Supply Arrangements with Bombardier Transport UK Ltd	09/06/2011 AC	Review the contract management processes used to manage delivery of TSSSA arrangements with BTUK Ltd in order to provide assurance that those processes are appropriate, working effectively and the contract is being complied with.	30/09/2011 ACL
IA_10_321 F	Readiness for the Contract Management of the East London Line Infrastructure Maintenance Contract	13/07/2011 RI	Review the handover from the East London Line Project to the ELL Infrastructure Management team and their readiness for the contract management of the ELL Infrastructure Maintenance Contract.	29/11/2011 ACL
IA_11_405 F	LU IM Supplier Management	30/11/2011 WC	To assess the effectiveness of the contractual arrangements that have been put in place to manage LU IM suppliers and to ensure that key LU IM supplier contracts are reviewed, and their performance and service delivery are managed within defined processes.	30/11/2011 WC
IA_11_615 F	Contract Management of Total Purchased Services	09/12/2011 WC	To ensure that the contract management structures and processes in place to manage the Total Purchased Services contracts are efficient and effective.	09/12/2011 WC
IA_10_217 F	New Bus for London	23/05/2011 AC	To provide assurance over the project management arrangements for the New Bus for London.	14/10/2011 ACL
IA_09_204 F	Management of Risk and Contingency Funds in Surface Transport	15/06/2010 AC	To ensure that there are efficient and effective policies, practices and procedures in place in respect of the management of risk and contingency funds for projects in Surface Transport.	30/09/2011 ACL
IA_10_400 F	Trapeze Application Review	11/03/2011 RI	Provide assurance that the processes and controls supported by Trapeze relating to user access, change management and IT Operations were operating in an effective and efficient manner.	25/10/2011 ACL
IA_10_438 F	Congestion Charging IBM Transfer	15/10/2010 RI	To provide assurance that the transfer of the business systems from Capita to IBM (in November 2009) was sufficiently well controlled to avoid delay, additional cost, scope and security problems.	27/09/2011 ACL

Transport for London Audit Committee Final Reports Issued Quarter 3 2011/12

Reference	Report Title	Interim Report Issued	Original Objective	Final Report Issued
IA_10_109 F	Efficiency Delivery Programme – IM Savings	07/06/2011 AC	To review the arrangements that were put in place to ensure delivery of the planned savings from the Efficiencies Delivery Programme – IM Savings.	18/10/2011 ACL
IA_10_401 F	One London Governance and Stakeholder Management	06/07/2011 RI	To provide assurance that the One London Shared Services programme is properly managed in respect of programme governance and stakeholder management.	18/11/2011 ACL
IA_10_424 F	SAP Customer Relationship Management Application Controls	18/08/2011 RI	Provide assurance that the change management, user access management and interface processes used with regards to the SAP Customer Relationship Management application were appropriate and operating in an effective manner.	24/10/2011 ACL
IA_11_134 F	Payroll Controls	08/09/2011 Advisory	To provide assurance on the effectiveness of Tube Lines Limited's payroll key controls.	02/12/2011 ACL
IA_11_504 F	Crossrail Budgetary Controls	11/10/2011 AC ACL	To provide assurance on the effectiveness of budgetary controls within Crossrail	11/10/2011 AC ACL
IA_10_519 F	Estates Management	02/08/2011 AC	To provide assurance over the effectiveness of the strategy, processes and controls for Estate management, and Land and Property valuations, in Crossrail.	28/10/2011 ACL
IA_10_517 F	The Provision of the 'Enhanced As Is Services' contract	23/08/2011 AC	To provide assurance that Crossrail manages the 'Enhanced As Is Services' contract effectively and that the services provided are operating effectively and meet the needs of the business.	12/11/2011 ACL
IA_10_435 F	IT Governance including Disaster Recovery and Business Continuity Planning	20/05/2011 RI	To review the IT governance arrangements within the London Transport Museum with a particular focus on Business Continuity Planning, Disaster Recovery and IT resilience.	29/09/2011 ACL
IA_10_153 F	LT Museum - Fixed Asset Management	08/06/2011 RI	To review the adequacy and effectiveness of the controls operating over the London Transport Museum's fixed asset management processes.	08/11/2011 ACL