TRANSPORT FOR LONDON

AUDIT COMMITTEE

SUBJECT: **FINAL INTERNAL AUDIT REPORTS - Q4 2008/09**

DATE: **10 JUNE 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 fourth quarter of 2008/09. The Committee is requested to note the paper.

2 BACKGROUND

2.1 We issued 35 final reports in the quarter including four interim reports that were concluded 'well controlled' and immediately closed as there were no management actions to complete.

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_106	Accuracy of reporting to the Board	28/01/08	The objective of this audit was to review the arrangements in place to ensure effective and accurate reporting of key operational and financial information to the TfL Board.	05/12/2008
IA_08_104/F	Treasury Management	04/12/08	To provide assurance in relation to TfL strategic risk: Availability and Use of Funding. In particular, it aimed to review the effectiveness of the controls in place over the management of Treasury activities.	26/02/09
IA_08_158/F	Metronet Desk Phones	26/11/08	To investigate the usage of desk phones and to ascertain the adequacy of the established policies, procedures and controls governing their use.	06/03/09
IA_08_173/F (Metronet Ref: IA_08_604 PR15)	Metronet Company Mobiles	12/09/08	To review the adequacy of the policies, procedures and key controls surrounding company mobiles.	18/03/09
IA_08_247	Baker Street Step-Free Access Project	06/10/08	To provide assurance, in relation to the TfL strategic risk relating to project delivery, that the Baker Street Step-Free Access project is being managed in an effective and efficient manner. Output from the audit was used in support of the Corporate Gateway Approval Process (CGAP) leading to the project's submission for Gate B & D approval.	06/01/2009
IA_08_248	Green Park Step-Free Access Project	08/10/08	To provide assurance, in relation to the TfL strategic risk relating to project delivery, that the Green Park SFA project is being managed in an effective and efficient manner.	13/01/09
IA_07_231	Computerisation - Track Access Control	10/07/08	The objective was to review the C-TAC programme and to assess whether or not it was being managed in an effective and efficient manner. The review also included the extent to which C-TAC is being developed to meet business needs.	21/01/2009
IA_07_224	SABRE Replacement Project	28/05/08	To review the SABRE replacement project and assess whether or not it was being managed in an effective and efficient manner. The review also included the extent to which the SABRE.Net application has been developed to meet business needs.	21/01/2009
IA_08_239/F	East London Transit Project Phase 1b	06/08/08	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. Interim output from the audit was used in support of the Corporate Gateway Approval Process (CGAP) leading to the project's submission for Gate B approval.	26/02/09
IA_08_346	Governance of Procurement in LU - Tender Boards	18/09/08	To determine whether effective controls are in place over the governance of tender approvals in LU.	17/12/2008
IA_08_305	TCMS Contracts Service Delivery and Performance	09/01/09 WC	The audit reviewed the management of the service delivery and performance aspects of the TCMS contracts and assessed whether these are operating effectively.	09/01/09 WC
IA_07_318/F	Oyster Roll-out to National Rail	14/03/08	To provide assurance in respect of the effective contract management strategic risk, by reviewing the effectiveness of arrangements in place to manage the roll-out of Oyster to National Rail Services	06/02/09
IA_08_304/F	A316 Country Way Viaduct Contract	04/12/08	This audit assignment reviewed the contract management processes used to control the works associated with the A316 Country Way Viaduct.	13/02/09
IA_08_306/F	East London Transit Phase 1a Procurement	14/01/09	To ensure that the procurement process employed for the East London Transit Phase 1a Works contract was managed effectively, was in accordance with approved procedures and complied with all legal requirements.	09/03/09
IA_07_113/F	Internal Communications	22/08/08	To assess the effectiveness of Group Internal Communications (GIC) in carrying out its communications activities within the TfL Group.	11/02/09
IA_08_124	Diversity Reporting	03/12/08	To review the effectiveness of TfL's arrangements for reporting on workforce diversity.	19/12/2008
IA_07_119F	Effectiveness of e-Learning initiative	23/05/08	To assess the controls over the use of e-Learning to deliver the learning, training and development needs of staff within the TfL Group.	31/03/09

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IA_08_014	Emergency Threats and Warnings Procedure	12/01/09 WC	To assess the effectiveness of controls operating to ensure that any emergency threats or warnings are received and dealt with in an appropriate and expeditious manner.	12/01/09 WC
IA_08_423	DSL Eradication and WAN Upgrade	09/01/09 WC	To provide assurance that the programme to replace and add additional capacity to data links at stations and other parts of the LU estate is managed in line with good practice, operating efficiently, and delivering to clear and defined expectations.	09/01/09 WC
IA_07_423	TfL Data Centre Strategy	17/06/08	To confirm that the governance processes around the implementation of the TfL Data Centre and Hosting Strategy (DC&H) were appropriate for a successful delivery.	10/12/2008
IA_07_414	Journey Planner Web Application Test	09/05/08	To simulate the attacks that a "hacker" or other threat groups might employ to determine the extent to which the technical security of the Journey Planner web application can be compromised.	12/01/09
IA_07_406F	PCI DSS Compliance Project Review	23/09/08	To provide assurance over the governance around the Payment Card Industry Data Security Standard (PCI DSS) compliance project during its life to assure that it is being managed in an effective and efficient manner.	18/03/09
IA_08_407	Change Control Process	06/10/08	To confirm that the change control process, including authorisation and validation of change through to testing and release, was appropriate for TfL.	30/03/09
IA_07_401F	IM aspects of the Palestra programme	31/10/08	To provide assurance over the governance and security considerations around the IM aspects of the Palestra programme during its life.	31/03/09
IA_08_132/F	LB Network Operations Payroll and Overtime Processes	17/10/08	To assess the effectiveness of the controls operating over the payroll and overtime processes for Network Operations staff employed within the four different regions.	12/03/09
IA_08_145F	Surface Transport Complaints Handling Processes	29/08/08	To ensure that efficient and effective policies, practices and procedures were in place in respect of ST's complaints handling process in the context of changes arising out of the implementation of SAP CRM.	30/03/09
IA_08_101/F	Review of the Compilation of the Annual Governance Statement	09/09/08	To ensure that there was an efficient and effective annual review process in place to determine conformance to the requirements of TfL's Code of Governance.	18/02/09
IA_08_134/F	Risk Management Process in Finance	16/06/08	To ensure an effective risk management process is in operation within Finance for identifying, assessing, managing and reporting on risk.	03/03/09
IA_08_136F	Whistleblowing Process	05/01/09	To review the adequacy of TfL's whistleblowing processes.	26/03/09
IA_08_142	DLR Revenue Protection Processes	15/10/08	To review the adequacy of the revenue protection processes that operate on the DLR.	21/01/2009
IA_07_130	Controls to prevent Non-Oyster Ticket Fraud	04/04/09	To review the adequacy of TfL's arrangements for managing fraud risk relating to non-Oyster tickets.	23/03/09
IA_07_148F	Bus Passenger Number Reporting	06/10/08	To assess the effectiveness of arrangements for calculating and reporting bus passenger numbers.	30/03/09
IA_07_127/F	Pension Fund Interface Controls	25/07/08	To assess the effectiveness of the processes and controls put in place to ensure the integrity of interfaces to the pensions system.	23/02/09
IA_08_033/F	Security of TfL Pension Fund Office	20/11/08	To assess the effectiveness of the security controls in operation and supporting processes to ensure that all relevant risks have been identified and mitigated.	02/03/09
IA_08_011/F	Security Audit of Metronet Office, Templar House	26/02/09 WC	To assess the effectiveness of the risk management process and protective security measures in place at Templar House.	26/02/09 WC