

TRANSPORT FOR LONDON
AUDIT COMMITTEE MEETING

SUBJECT: Final Internal Audit Reports Issued
- Third Quarter, 2007/08

MEETING DATE: 23 January 2008

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 2007/08.

2. Background

- 2.1 We issued 28 final reports in the period including 3 interim reports that were concluded 'well controlled' and were immediately closed as there were no management actions to complete.
- 2.2 Three reports issued in the quarter were not closed as not all actions had been completed, although good progress was being made in all cases. These reports are shown as yellow on the attached spreadsheet. All other reports were closed in the quarter and are shown as green.

3. Recommendations

- 3.1 The Committee is requested to note the contents of this paper.

Reference	Mode	Report Title	Interim Report Issued	Original Objective	Final Report Issued
IA_05_068	F	Archiving, Search and Retrieval Tool Project	23/02/07	To assess the extent to which the build of the ASART reflects business requirements, security, and compliance with legislation and TfL's policies.	24/10/2007
IA_07_203	GS	Project Management of the Move to Palestra	W/C 26/10/07	To provide assurance that the project was being managed in an effective and efficient manner.	26/10/2007 W/C
IA_06_211	ST	Project Estimating and Forecasting within Surface Transport	23/04/07	To review the effectiveness of the project cost estimating and forecasting process within Surface Transport.	07/11/2007
IA_06_260	ST	Sustainable Freight Distribution Project	19/06/07	To ensure that the Sustainable Freight Distribution Project was being managed in an effective and efficient manner.	12/11/2007
IA_06_133	GS	Learning and Development	11/05/07	To assess the effectiveness of the arrangements to deliver TfL Learning and Development's strategic goals as set out in its Strategy document.	07/11/2007
IA_06_117	GS	Graduate Recruitment and Management	12/12/06	To assess the effectiveness of the arrangements that TfL has put in place for the recruitment and management of graduates	06/12/2007
IA_06_301	ST	A13 DBFO Contract - Service payments	15/05/07	To assess whether service payments to the design, build, finance and operating company (DBFO Co) had been accurate and well controlled	04/10/2007
IA_06_332	LUL	PPP Remedies for Poor Performance	30/04/07	To provide assurance that remedies for sub-standard performance available to LU for failure by an Infraco had been operating effectively within the terms of the London Underground (PPP) contracts	24/09/2007
IA_07_320	ST	Public Carriage Office's Vehicle Inspection & Licensing Services	04/10/07 W/C	To determine whether effective controls are in place to ensure an appropriate service is delivered to a suitable specification	04/10/2007 W/C
IA_07_301/F	LR	London Rail Concession Procurement	19/06/07	To assess the effectiveness of the Best and Final offer (BAFO) phase of the procurement of the London Rail Concession, providing assurance that the process was conducted in a fair and competitive manner, and was consistent with EU and UK public procurement regulations and TfL procedures	12/10/2007
IA_06_124	LUL	CPO Audit Peer Review	04/05/07	To assess the effectiveness of procedures for performing local audits within CPO, by reference to best practice, to ensure that they were appropriate and operating effectively.	24/10/2007
IA_07_302	ST	Tour de France Grand Départ Contract Management	20/06/07	To ascertain whether the Tour de France Grand Départ contracts were managed in an effective and efficient manner.	07/11/2007

Reference	Mode	Report Title	Interim Report Issued	Original Objective	Final Report Issued
IA_06_348	LUL	Connect PFI for PPP Variations	22/06/07	To review the controls around processes and procedures for variations undertaken by Connect PFI contractors in support of the PPP contracts.	07/11/2007
IA_06_346	LUL	Connect Payments and Financial Control	20/07/07	To determine whether payments made for the Connect contract have been adequately controlled.	09/11/2007
IA_06_347	LU	Connect Project Programming	22/06/07	To review the effectiveness of Connect Project programme planning.	06/12/2007
IA_07_309	LR	DLR New Franchise and City Extension Service Performance	08/08/07	To determine whether the management of service performance and associated processes operated effectively within the terms of the DLR new Franchise Agreement and the City Extension concession.	21/11/2007
IA_06_104	F	Forecasting Effectiveness	18/04/07	To review the effectiveness of the business forecasting process across TfL.	17/10/2007
IA_05_119/F	F	Corporate Network Systems, RAS	23/02/07	To assess existing arrangements to provide accessible services & access to TfL systems, by employees and others.	04/10/2007
IA_06_412/F	ST	Implementation of Common Information Management Methodology (CIMM) within Surface IM	22/02/07	To review the design of proposed software development policies, processes & procedures and to consider the extent to which they are adequate to control the introduction of new applications and changes made to IT systems in Surface IM	12/10/2007
IA_05_133/F	F	Preparation of Group Management Accounts	22/06/06	To review the arrangements in place to deliver relevant, timely and accurate GMAs for the TfL Group	04/10/2007
IA_06_215/F	LR	Estimating and Forecasting within London Rail	09/03/07	To review the effectiveness of the project cost estimating and forecasting process within London Rail	05/10/2007
IA_06_222	P	Use of Project Management Tool and Systems within Major Projects Business Unit	29/07/07	To review the use made of project management tools and systems within MPBU.	17/10/2007
IA_06_224	ST	Use of Project Management Tools and Systems within Surface Transport	30/04/07	To review the use made of project management tools and systems within Surface Transport.	07/11/2007
IA_06_221	LU	Use of PM Tools and Systems within LU	21/11/07	To review the use made of project management tools and systems within London Underground.	07/12/2007

Reference	Mode	Report Title	Interim Report Issued	Original Objective	Final Report Issued
IA_06_126	ST	Health and Safety Training for Operational Staff	16/02/07	To review the processes and controls surrounding the management and provision of health and safety training of front line operational staff (such as network traffic controllers, bus station controllers and revenue inspectors) within Surface Transport (excluding Street Management).	21/11/2007
IA_06_428	LU	Master Projects Database - Application Security Audit	06/06/07	To review the design and operational effectiveness of user access management processes and controls over the MPD application and supporting operating system infrastructure; and to review the extent to which key security configurations at the MPD application level and at the supporting operating system infrastructure level are in place and comply with TfL Information Security Standard.	07/12/2007
IA_07_002/F	GS	Assurance of Security Industry Authority (SIA) Licensing	10/10/07 W/C	To examine the GP & F management of the guarding contractor's compliance to assess the effectiveness of the processes and procedures employed to give assurance that all security contractors are qualified to perform their tasks in accordance with current legislation	10/10/2007 W/C
IA_07_030	ST	Audit of Congestion Charge DEMO Team Reorganisation	15/05/07	To examine the effectiveness of DEMO case selection and investigation process related to suspicious applications for resident Congestion Charging discount and the management of the contract in relation to fraud risk.	19/10/2007