

TRANSPORT FOR LONDON

AUDIT COMMITTEE

SUBJECT: FINAL INTERNAL AUDIT REPORTS – QUARTER 3 2009/10

DATE: 4 MARCH 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 third quarter of 2009/10. The Committee is requested to note the report.

2 BACKGROUND

- 2.1 Twenty four 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. All of the final reports were closed.

3 RECOMMENDATION

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

4 CONTACT

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Reference	Report Title	Interim Report Issued	Original Objective	Final Report Issued
IA_08_166F	Crossrail - General Ledger Controls	14/04/2009	To provide assurance as to the effectiveness of the controls that are operating over Crossrail's General Ledger.	21/10/2009
IA_08_110F	LU Nominee Companies Accounts Payable Processes	23/06/2009	To assess the effectiveness of the controls that were operating over LU Nominee Companies' Accounts Payable processes.	30/10/2009
IA_08_211F	Palestra Control Rooms Project	27/07/2009	The audit assessed the project management arrangements for the delivery of the Palestra Control Rooms Project.	27/10/2009
IA_08_212F	Palestra Move Post Implementation Review	27/07/2009	To provide assurance that the delivery of the scheme had been project-managed in accordance with the original Business Case requirements (including any subsequent authorised amendments), and to assess whether the expected benefits had been achieved or were on course to be achieved.	30/11/2009
IA_08_006F	Security of Confidential Waste	19/09/2009	To assess the effectiveness of the security controls in operation and supporting processes to ensure that all relevant risks have been identified and mitigated in relation to confidential waste.	07/12/2009
IA_08_330F	Bulk Supply Point Flexible Electricity Procurement	29/04/2009	The audit reviewed the arrangements for the flexible procurement of London Underground's Bulk Supply Point electricity requirements, and the effectiveness of the contract management that supports this procurement.	30/09/2009
IA_08_340F	Procurement of the Enabling Works Framework - Civils and Utilities	22/07/2009	To ensure that the procurement process employed for the Enabling Works frameworks was managed effectively, was in accordance with approved procedures and EU directives and was open, fair and transparent.	09/10/2009
IA_09_307F	East London Transit Phase 1A implementation	15/10/09 WC	This audit assignment reviewed the effectiveness of the contract management processes used to control the East London Transit (ELT) Phase 1a contract.	15/10/09 WC
IA_08_349F	Procurement of Wireless Communications	20/05/2009	To ensure that the procurement process employed for the Mobile Telephony Contract was managed effectively, was in accordance with approved procedures and complied with all legal requirements.	26/10/2009
IA_08_303F	Management of the Performance Management Regime on the Highways Maintenance and Works Contracts	24/07/2009	This audit assignment reviewed the effectiveness of the management of the Performance Management regime on the Highways Maintenance and Works Contracts.	30/10/2009
IA_08_313F	Contract Management of the A13 Design, Build, Finance, Operate Project's Operating and Maintenance Phase	23/07/2009	This audit assignment reviewed the effectiveness of the contract management processes used to control the Operating and Maintenance phase of the A13 Design, Build, Finance, Operate (DBFO) project.	29/10/2009
IA_09_361F	Compliance with Competition within Balfour Beatty	09/10/2009	To provide assurance that Balfour Beatty has appropriate management processes and procedures in place to prevent, detect and manage non-compliance with competition laws.	04/11/2009
IA_09_364F	Compliance with Competition within Carillion	09/10/2009	To provide assurance that Carillion has appropriate management processes and procedures in place to prevent, detect and manage non-compliance with competition laws.	04/11/2009
IA_09_301F	Procurement of the Bus Stop Information Posting Contract	05/11/2009 WC	To provide assurance that the procurement process employed for the Bus Stop Information Posting contract is being managed effectively and is in accordance with approved procedures and EU Directives.	05/11/2009 WC
IA_07_329F	Procurement of the Design Consultancy Frameworks	10/09/2009	To review the processes being used to let the Design Consultancy frameworks and call-off contracts, in order to provide assurance that the processes used were open and fair, and complied with all legal requirements.	26/11/2009

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IA_08_128F	London Living Wage	21/07/2009	To review the effectiveness of the arrangements that TfL put in place to ensure that where applicable, its contractors paid their staff the London Living Wage (LLW).	30/11/2009
IA_08_118F	Redeployment Unit	31/03/2009	To ensure that there were effective and efficient policies, practices and procedures in place in respect of the Redeployment process.	07/10/2009
IA_08_119F	Campaign Recruitment	24/07/2009	This audit reviewed the effectiveness of TfL's processes for campaign recruitment delivered through the contract with Pertemps.	26/10/2009
IA_08_008F	Security of Contractor Screening	14/07/2009	To assess the effectiveness of the security controls in operation and any supporting processes to ensure that all relevant risks have been identified and mitigated in relation to contractor screening.	04/11/2009
IA_08_442F	DTO IT Healthcheck	24/09/09 WC	To make an assessment of the current level of maturity of Directorate of Traffic Operations (DTO) System and Software (S&S's) management and control of IT by focusing on a selection of IT processes and understanding what policies, procedures and controls have been designed to manage and control these processes. Comparisons were made to COBIT (Control Objectives for Information and related Technology) and other industry accepted practices.	24/09/09 WC
IA_08_402F	Palestra House - IM Post Implementation Review (PIR)	22/09/09 WC	To provide assurance that the project to implement IM solutions at Palestra House as part of the wider IM Service Improvement Programme (IMSIP) has been implemented in the manner intended, and to assess whether any variations in terms of expected service and/or functionality are within acceptable limits.	22/09/09 WC
IA_08_130F	Victoria Coach Station Healthcheck Review	22/09/2009	To review the controls operating over the core business processes within Victoria Coach Station (VCS) to ensure that they were appropriate and were operating effectively.	22/09/2009
IA_09_141F	FSC Payment Terms for Small Businesses	16/11/2009 WC	To review Financial Services Centre's (FSC's) arrangements to ensure compliance with the Mayoral Directive on payment terms for Small and Medium Size Enterprises (SMEs).	16/11/2009 WC
IA_08_169F	LT Museum - Implementation of Patron Edge	12/06/2009	To provide assurance that key elements of the implementation of the Patron Edge system were being planned, tested and implemented in a manner aligned with industry best practices.	29/10/2009