Information Update – Governance & Audit Workplan Status Report

To: Chair and Board of Directors
Through: President/CEO Inez Evans
From: Deputy of Governance & Audit Brian Atkinson
Date: January 19, 2023

GOVERNANCE & AUDIT WORKPLAN STATUS REPORT AND

2020-22 PRIOR AUDIT FINDING STATUS PRESENTATION

Governance & Audit Work Plan Status Report

| Project / Activity	Governance & Audit Committee Meeting					
	FY22		FY223			
	Oct-22	Jan-23	Apr-23	Jul-23	Oct-23	Jan-24
FORVIS Financial Audit Review	�-bar (Complete)					
Covid and Pandemic Recovery	(Complete)					
Employee Share of Health Insurance Premiums	(Complete)					
Retail Center Audit	(Complete)					
Annual Risk Refresh 2023	(Complete)					
Para Transit Review	(In-Process)	★				
Maintenance/Storeroom Workflow Review	(In-Process)	★				
Ridership Experience		(Planned)	★			
Bus Rapid Transit Lines		(Planned)	★			
Policies		(Planned)	★			
Staffing, Hiring & Recruiting			(Planned)	★		
Flowbird/MyKey System			(Planned)	★		
Transit Asset Management			(Planned)	★		
Decentralized Operations				(Planned)	★	
Retail Desk Transfer to Finance				(Planned)	★	
Annual Risk Refresh 2024					(Planned)	★

■ Complete   ■ In-Process   ■ Planned

★ Report targeted to be presented at G&A meeting.

Note: the timelines reflected above are estimates and may be subject to change due to scheduling constraints and/or Board requests.

2020-22 Prior Audit Findings Status Presentation

Audit Report/Subject	Report Number	Report Issue Date	Corrective Actions			
			Total	Closed	Open	Past Due
BCP Progress Assessment	2020-06	08/31/20	5	4	1	0
Strategic & Capital Planning/Grant Management Review	2020-10	08/31/20	7	4	3	0
Fare Collections Review	2021-02	06/10/21	4	2	2	0
Capital Projects	2021-03	09/01/21	4	3	1	0
Major Service Contracts/Memorandums of Understanding	2021-04	09/10/21	2	0	2	0
Healthcare Costs Review	2021-05	01/07/22	4	3	1	0
Training	2022-01	04/12/22	4	3	1	0
Microsoft Dynamics 365 Upgrade: Independent Project Oversight Status Assessment	2022-02	07/07/22	10	6	4	0
Physical and Facility Security	2022-03	07/12/22	8	0	8	0
Cyber Security Readiness	2022-04	07/07/22	3	2	1	0
Pandemic Recovery Review	2022-05	09/22/22	2	1	1	0
Employee Share of Healthcare Insurance Premiums Review	2022-06	09/26/22	1	1	0	0
Retial Center Audit	2022-07	10/03/22	4	4	0	0
		Total	58	33	25	0
		Percentage		56.90%	43.10%	0.00%

IndyGo℠
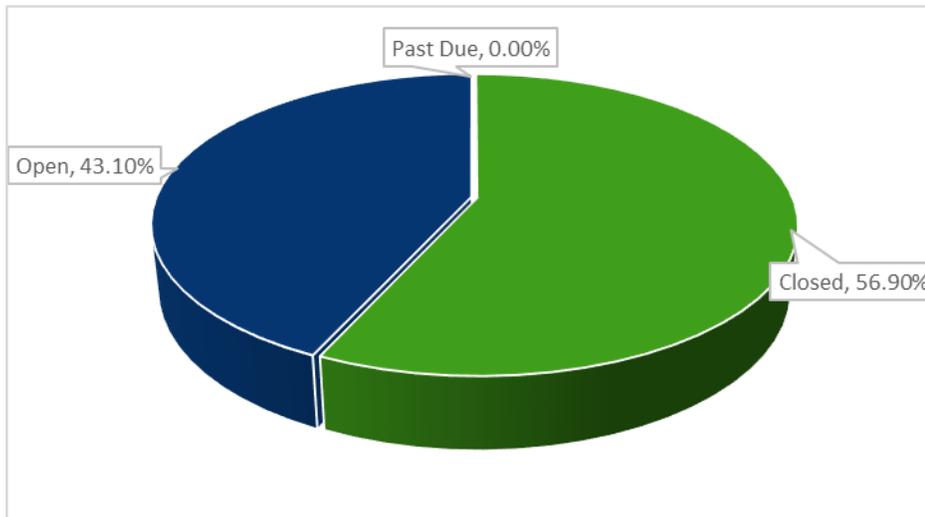
Governance & Audit Completed Reviews & Audits

Report ID	Report Title	Date Reported
2020-1	Employee Terminations Timely Update in ADP	2/27/2020
2020-2	Transdev Fuel Purchase Reporting	6/16/2020
2020-3	Lost and Found Policy Addressing Found Cash	6/16/2020
2020-4	Lost Revenue - Online Credit Card Error	6/16/2020
2020-5	Payments Against Expired Agreement-Non-Order Invoices	6/16/2020
2020-6	BCP Progress Assessment	9/17/2020
2020-7	Red Line Lessons Learned	9/17/2020
2020-8	Annual Risk Refresh & Proposed Audit Plan 2021	1/21/2021
2020-9	Procurement Process Review	1/21/2021
2020-10	Strategic & Capital Planning/Grant Management Review	1/21/2021
2020-11	Compliance Mapping Exercise	1/21/2021
2020-12	Comprehensive IT Risk Assessment	3/18/2021
2021-1	Fare Collection Audit	6/16/2021
2021-2	Storeroom and Materials Management Audit	6/16/2021
2021-3	Capital Project Management	9/16/2021
2021-4	Memorandums of Understanding Review	9/16/2021
2021-5	Annual Risk Refresh & Proposed Audit Plan 2022	1/20/2022
2021-6	Healthcare Costs Review	1/20/2022
2022-1	Training	4/21/2022
2022-2	Microsoft D365 Implemention	7/21/2022
2022-3	Physical and Facility Security	7/21/2022
2022-4	Cyber Security Readiness	7/21/2022
2022-5	Covid and Pandemic Recovery	10/20/2022
2022-6	Employee Share of Health Insurance Premium	10/20/2022
2022-7	Retail Center Audit	10/20/2022
2022-8	Annual Risk Refresh & Proposed Audit Plan 2023	1/19/2023

RECOMMENDATION:
Receive the report.

IndyGo SM

Brian Atkinson
Deputy of Governance & Audit