

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 20, 2022

GOVERNANCE & AUDIT WORKPLAN STATUS REPORT AND 2020-21 PRIOR AUDIT FINDING STATUS PRESENTATION

Governance & Audit Work Plan Status Report

Project / Activity	Governance & Audit Committee Meeting					
	FY21			FY22		
	Mar-21	Jun-21	Sep-21	Jan-22	Apr-22	Jul-22
Comprehensive IT Risk Assessment	█					
Fare Collection	█					
Storeroom & Materials Management	█					
Capital Project Management	█					
Memorandums of Understanding Review	█					
Data Analytics	█					
Microsoft D365 Implementation (Ongoing Updates)	█	█			█	★
Healthcare Costs			█			
Annual Risk Refresh			█			
Training				█		★
Staffing, Hiring & Recruiting				█		★

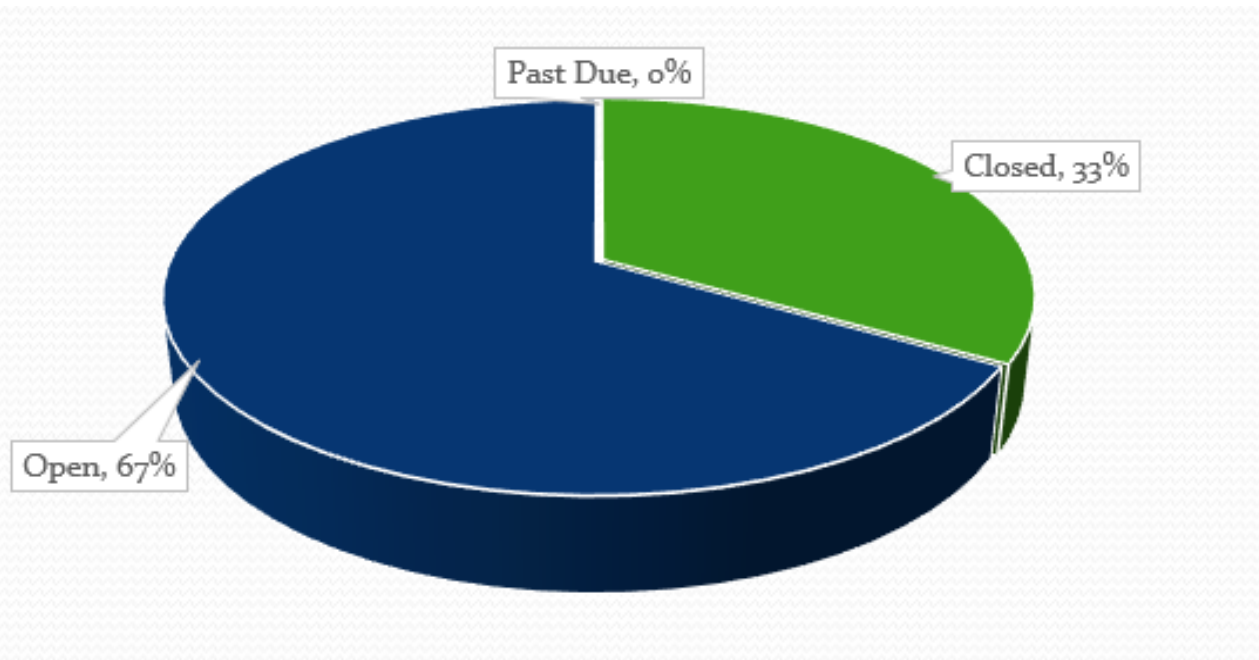
 Complete
  In-Process
  Planned

★ 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.

2020-21 Prior Audit Findings Status Presentation

Audit Report/Subject	Report Number	Report Issue Date	Corrective Actions			
			Total	Closed	Open	Past Due
Employee Terminations Timely Update in ADP	2020-01	02/27/20	1	1	0	0
Transdev Fuel Purchase Reporting	2020-02	02/27/20	1	1	0	0
Lost and Found Policy Addressing Found Cash	2020-03	02/27/20	1	0	1	0
Lost Revenue - Online Credit Card Error	2020-04	03/30/20	1	1	0	0
Payments Against Expired Agreement-Non-Order Invoices	2020-05	06/20/20	1	1	0	0
BCP Progress Assessment	2020-06	08/31/20	5	3	2	0
Red Line Lessons Learned	2020-07	09/17/20	0	0	0	0
Procurement Process Review	2020-09	01/04/21	4	0	4	0
Strategic & Capital Planning/Grant Management Review	2020-10	08/31/20	7	3	4	0
Compliance Mapping Exercise	2020-11	01/07/21	1	0	1	0
Comprehensive IT Risk Assessment	2020-12	03/04/21	4	0	4	0
Storeroom & Materials Management Review	2021-01	06/08/21	3	1	2	0
Fare Collections Review	2021-02	06/10/21	4	1	3	0
Capital Projects	2021-03	09/01/21	4	1	3	0
Major Service Contracts/Memorandums of Understanding	2021-04	09/10/21	2	0	2	0
		Total	39	13	26	0
		Percentage		33.33%	66.67%	0.00%



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	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	1/20/2022
2021-6	Healthcare Costs Review	1/20/2022

RECOMMENDATION:

Receive the report.

Brian Atkinson
Deputy of Governance & Audit