

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: Oct 20, 2022

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					
	FY21		FY22			
	Sep-21	Jan-22	Apr-22	Jul-22	Oct-22	Jan-22
Training	Complete					
Microsoft D365 Implementation (Final Report)	Complete					
Physical and Facility Security	Complete					
Cyber Security Readiness	Complete					
FORVIS Financial Audit Review	Complete					
Covid and Pandemic Recovery		Complete				
Employee Share of Health Insurance Premiums				Complete		
Retail Center Audit				Complete		
Paratransit Review				In-Process		★
Garage/Storeroom Workflow Review					Planned	
Decentralized Operations					Planned	
Staffing, Hiring & Recruiting		In-Process				★
Annual Risk Refresh					Planned	

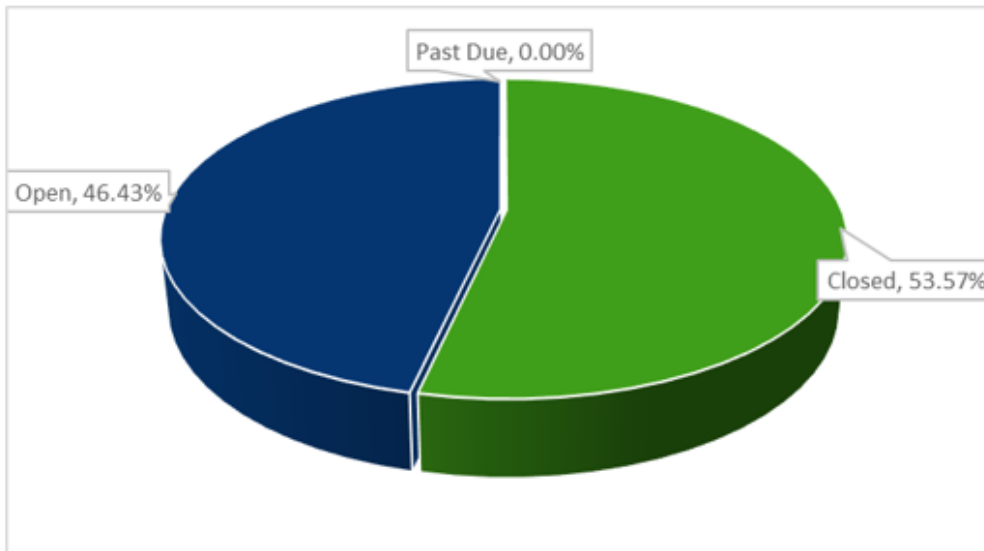
Complete
 In-Process
 Planned

★ 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
Compliance Mapping Exercise	2020-11	01/07/21	1	0	1	0
Comprehensive IT Risk Assessment	2020-12	03/04/21	4	3	1	0
Fare Collections Review	2021-02	06/10/21	4	2	2	0
Capital Projects	2021-03	09/01/21	4	2	2	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	1	7	0
Cyber Security Readiness	2022-04	07/07/22	3	2	1	0
		Total	56	30	26	0
		Percentage		53.57%	46.43%	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
2022-1	Training	4/21/2022
2022-2	Microsoft D365 Implementation	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



RECOMMENDATION:

Receive the report.

Brian Atkinson
Deputy of Governance & Audit