

## Information Update – Governance & Audit Workplan Status Report

**To:** Chair and Board of Directors  
**Through:** President & CEO Inez Evans  
**From:** Director of Governance & Audit, Brian Atkinson  
**Date:** October 19, 2023

### GOVERNANCE & AUDIT WORKPLAN STATUS REPORT AND 2020-23 PRIOR AUDIT FINDING STATUS PRESENTATION

### Governance & Audit Work Plan Status Report

Project / Activity	Governance & Audit Committee Meeting					
	FY22		FY2023			
	Oct-22	Jan-23	Apr-23	Jul-23	Oct-23	Jan-24
Covid and Pandemic Recovery	█					
Employee Share of Health Insurance Premiums	█					
Retail Center Audit	█					
Annual Risk Refresh 2023	█					
Paratransit Review	█					
Maintenance/Storeroom Workflow Reivew	█					
Policies	█					
Bus Rapid Transit Lines		█				
Ridership Experience		█				
Flowbird/MyKey System			█			
Transit Asset Management			█			
FORVIS Financial Audit Review (2022)					█	
Decentralized Operations				█		
Coach Operator Scheduling Review				█		
Staffing, Hiring & Recruiting					█	★
Retail Desk Transfer to Finance					█	★
Annual Risk Refresh 2024					█	★

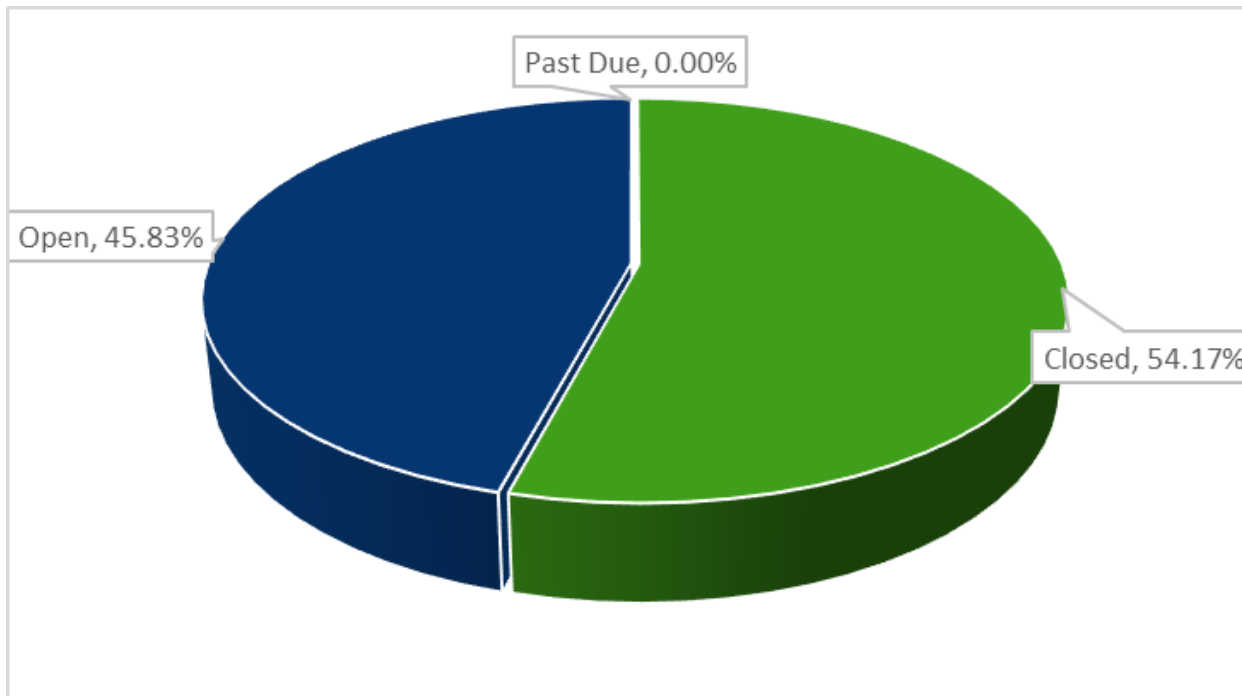
Complete   
 In-Process   
 Planned

★ 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.

# 2020-23 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	5	2	0
Physical and Facility Security	2022-03	07/12/22	8	4	4	0
Paratransit Program Assessment	2022-09	02/01/23	5	4	1	0
Audit Maintenance & Stockroom Review	2022-10	01/06/23	5	2	3	0
Bus Rapid Transit (BRT) Review	2023-02	04/03/23	4	2	2	0
Ridership Experience Assessment	2023-03	07/14/23	7	3	4	0
Flowbird MyKey Review	2023-04	06/04/23	5	2	3	0
Transit Asset Management Review	2023-05	06/14/23	2	0	2	0
		<b>Total</b>	<b>48</b>	<b>26</b>	<b>22</b>	<b>0</b>
		<b>Percentage</b>		54.17%	45.83%	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 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 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
2022-8	Annual Risk Refresh & Proposed Audit Plan 2023	1/19/2023
2022-9	Paratransit Program Assessment	4/27/2023
2022-10	Stockroom & Maintenance Review	4/27/2023
2023-1	Policy Review	4/27/2023
2023-2	Bus Rapid Transit (BRT) Review	7/20/2023
2023-3	Ridership Experience Review	7/20/2023
2023-4	Transit Asset Management Review	7/20/2023
2023-5	Flowbird/Mykey Review	7/20/2023
2023-6	Decentralized Operations Review Report	10/19/2023
2023-7	Operator Scheduling Review Report	10/19/2023

**RECOMMENDATION:**

Receive the report.



Brian Atkinson  
Deputy of Governance & Audit