










## 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:** September 16, 2021

### 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	Mar-22	Jun-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				★		



Complete



In-Process



Planned

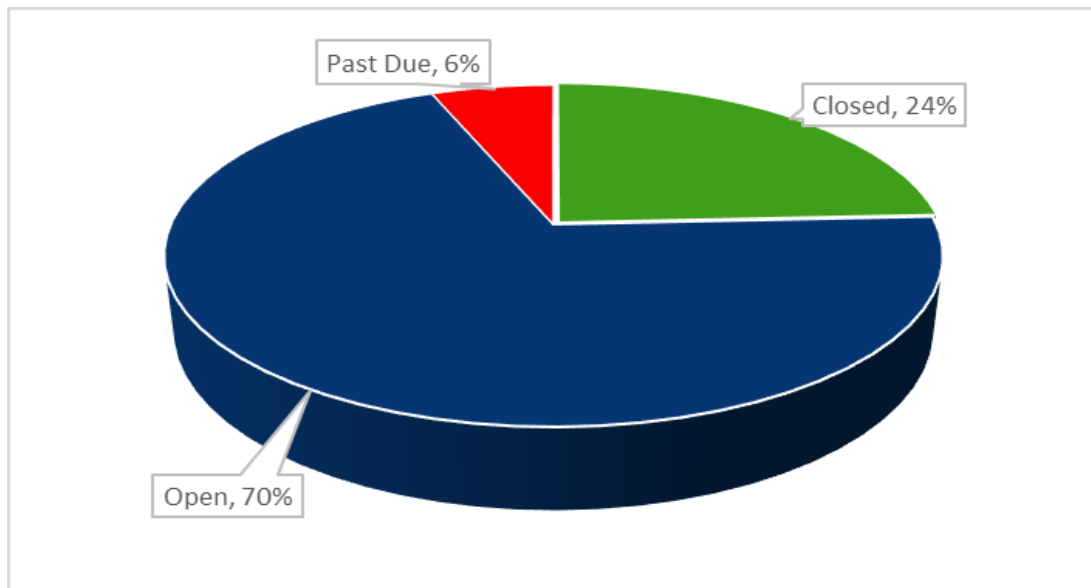


Report targeted to be presented at G&A meeting.

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	0	3	2
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	0	4	0
Total			33	8	23	2
Percentage				24.24%	69.70%	6.06%



# 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

## RECOMMENDATION:

Receive the report.

Brian Atkinson  
Deputy of Governance & Audit