



Email Account Validation Review Report

Governance & Audit Report No. 2025-4

Issued on March 7, 2025

EXECUTIVE SUMMARY

Background

The Internal Audit Work Plan approved by the Governance and Audit Committee for fiscal year 2025 included an Email Account Validation Review.

During the annual risk interviews, it was reported numerous times that not all IndyGo staff members have email accounts. It was also reported that the All IndyGo Email Distribution List has many bad email addresses and messages are returned.

Our audits are performed in accordance with the professional practice standards of the Institute of Internal Auditors. This report was prepared for use by IndyGo’s Board of Directors, Governance and Audit Committee, and management.

Objective and Scope

Examine the policies, procedures, and controls in place for email account management. Considerations included:

- Does IndyGo maintain a current list of employee email accounts?
- Should there be a policy regarding email use?
- How are accounts established and deleted?

Overall Report Rating & Observations

(See Appendix A for definitions)

	Report Rating	Number of Observations by Rating		
		High	Medium	Low
Email Account Validation Review	High	3	0	0

Overall Summary and Review Highlights

IndyGo Governance and Audit performed an Email Account Validation Report. After having multiple reports of numerous staff members not having valid email accounts, a review was done of our active All IndyGo Email Distribution List. In addition, IT policies were reviewed to determine if there are policies or procedures regarding email usage.

Governance and Audit noted the following observations:

- All IndyGo Email Distribution List errors
- Not all IndyGo employees have an email account
- No policy regarding email usage requirements

The observations and management’s responses are presented in our accompanying report.

Our overall report rating for this review is considered a “High” risk.

We would like to thank IndyGo staff and all those involved in assisting us in connection with the review.

Questions should be addressed to the IndyGo Department of Governance and Audit at batkinson@indygo.net.



1. All IndyGo Email Distribution List Errors

Observation:

The All IndyGo Email Distribution List is the official listing of employees with IndyGo email accounts. During review, it was determined there were multiple errors in the list.

Recommendation:

Review and edit the All IndyGo Email Distribution List and make corrections.

Management Response:

Observation Rating: High

The All IndyGo Email Distribution List is used to communicate with everyone that has an IndyGo email address. Included in this distribution list are employees, contractors, interns and foundation staff.

In reviewing the list as of March 7, there were 604 email addresses of which 504 are employees. Out of the 604 email addresses, there were several addresses no longer valid, duplicate names, names with no email addresses and bad email addresses.

Below is a chart showing the various email addresses and errors reconciling the difference between total email addresses and which are employee email addresses.

All IndyGo Email Distribution List 3/7/2025		
Total Names		604
Contractors		-61
12 of these contractors are termed		
Names No Email Address		-17
Termed	5	
No Employee Data	2	
Contractor	1	
Employees	9	
	17	
Foundation Staff		-4
No Employee Data		-1
Termed Employees		-11
Leave		-1
Interns		-3
Duplicated Names		-2
Employees on Email Distribution List		504

It is recommended that the All IndyGo Email Distribution List is reviewed in detail and necessary corrections made for terminated employees and contractors. Other errors such as duplications and unknown names should also be edited.

The G & A department can provide the list of corrections that need to be made which were found during the time of review.

Ensure there is a statement in contract agreements including a section requiring IndyGo IT to be notified when a contractor is no longer assigned to a project or no longer needs an IndyGo email address. This could also be done with an IT ticket by the department with whom the service is contracted.

Action Plan:

IndyGo IT has a standard operating procedure (SOP) that checks the accuracy of the All IndyGo distribution list weekly. We remove members from the list based on notifications from the Office of People or stakeholders through email communication or our Helpdesk ticket system - if we do not receive a notification, then members are not removed from the list. It is standard procedure that when employment is separated, the individual is removed from all network and distribution groups. IndyGo IT Management will work with the IT Team to ensure that the weekly email cleanup procedure is performed as scheduled. Please note that the IndyGo Foundation has transitioned from IndyGo's email system to GMail (indygofoundation.org).

Responsible Party:

IndyGo Chief Information Officer

Due Date:

N/A



2. Not All IndyGo Employees Have an Email Account		
<p>Observation:</p> <p>In reviewing the All IndyGo Email Distribution List with an employee roster dated March 7, 2025, it was determined 354 employees do not have an IndyGo email address.</p>	<p>Recommendation:</p> <p>Stress with employees the importance of keeping their IndyGo email address active, allow time for email management by employees and consider additional methods of contacting employees.</p>	<p>Management Response:</p>
Observation Rating: High		
<p>Currently all employees are provided with an IndyGo email and added to the All IndyGo Email Distribution List upon hire.</p> <p>As a cost saving measure, if the email account is inactive for 90+ days, the email account is disabled and removed from the list. The IT Department is scheduled to review the email distribution list weekly.</p> <p>It was shared that the Cyber Security Auditors recommended that any email accounts inactive for 30 days be disabled. IndyGo is considering disabling accounts at 60 days</p> <p>When the email account is created, there is a standard Microsoft email account address established that must be edited into the IndyGo standard email address format.</p> <p>IndyGo is challenged with a good method to communicate with all employees. Efforts are made by email, US postal mail and group text. In trying to reach employees regarding the open enrollment for benefits and employee longevity awards, many employees could not be readily contacted by the Department of People and Culture. Not only do many employees not use their IndyGo email address but also do not update their contact information.</p> <p>Most of the employees that do not have a current IndyGo email address work in the operations area. Placing safety first, employees cannot use their cell phones for email communication when driving or when working in safety sensitive areas such as the maintenance</p>	<p>It is recommended by G & A that the 11 email addresses with incorrect format be updated to the correct IndyGo email address format. G & A can provide the names.</p> <p>Review the feasibility of providing an email account for all employees and providing a weekly or monthly basis to ensure that all employees review their IndyGo email and maintain an active email account.</p> <p>Utilize the Hastus coach operator portal to post employee communication other than those related to the pick.</p> <p>G & A agrees with a suggestion provided by the IT Department to have all employees verify and update their contact information in ADP at the time of the pick. This would allow for updates for most operations employees multiple times a year.</p> <p>It is noted that G & A spoke with the IndyGo Deputy Chief Operating Officer who stated that the Operations Group is agreeable to allow employees to review and update contact information during the various picks.</p>	<p>Action Plan:</p> <p>The policy to disable inactive accounts is not a cost-saving measure; according to third-party security assessments, TSA, CISA, and our cybersecurity insurance provider, it is a cybersecurity measure. IndyGo IT provides all employees with email and network accounts upon onboarding. If an email or network account is dormant for a period of time, the account is disabled and thus removed if the employee does not request to reactivate their email address. If email is not part of your daily duties, then there is a high probability that your network and email account will be disabled. There is a distinct difference between the daily duties of represented staff (email use is optional if it is not explicitly stated in the CBA) and those of non-represented staff (email is required).</p> <p>The cost of email accounts for all employees <u>AND</u> keeping said accounts active (which violates our security policy) will cost IndyGo \$18,000 to \$50,000 per year in addition to our existing Microsoft Office 365 licenses. This will potentially be the cost of maintaining dormant email accounts.</p> <p>All employees should have their personal email address listed in ADP. As suggested to G & A, all employees should be able to verify and update their contact information in ADP at the time of the pick.</p> <p>There is a distinct difference between an employee's email and network accounts. The network account is used to authorize and access IndyGo systems and resources, whereas an email</p>



area. Computers are placed for employee use in break rooms but asking employees to work on IndyGo email during lunch and breaks would be asking employees to be working on IndyGo business during their personal time.

Below is a chart comparing the March 7 employee roster and the All IndyGo Distribution List.

IndyGo Employee Roster per Payroll 3/7/2025		
Total Employees		858
Employees with Email Address on Distribution List		-504
Correct Email Address Format	493	
Incorrect Email Address Format	11	
	504	
Employees with No Email		354

In researching this similar problem with other transit agencies, it is an issue across the industries. Some transit agencies such as the San Francisco Municipal Transportation Agency have established an operator portal. They have found this to be an effective way to get information out to the operators. Operators have gotten used to using this tool as bulletins and other business-related information are posted. This was established when the online pick process was initiated. They still have some coach operators that allow their portal access to go dormant requiring IT to reestablish credentials.

G & A has been informed that beginning in 2026, all EEO compliance training during the annual in-service training will be done within the Learning Management System (LMS). The LMS system requires employees to have an active account.

address is associated with an employee's network account as one of IndyGo's resources. If a network account is disabled, all authorization and access to IndyGo systems and resources is disabled. ADP uses separate login credentials from a user's IndyGo network account; disabling a user's network account does not affect a user's ADP credentials or LMS access.

Email is NOT the answer if the overall question is communication with all employees. You have to use as many methods as possible if you want essential information disseminated to staff (email, public website, posting on bulletin boards, displaying on digital information displays, notes left in staff mailboxes, communicating with internal and external ATU representatives, email text notifications (although vendors are starting to suppress this method), physical engagement through outreach as we do with the public, a Facebook/Twitter group that users can follow to receive messages or updates, etc.).

Responsible Party:

IndyGo Chief Information Officer

Due Date:

N/A

3. No Policy Regarding Email Usage Requirements		
<p><u>Observation:</u></p> <p>In reviewing the various IT Department policies placed in the IT policy folder in SharePoint, an email usage requirement policy or statement could not be found.</p>	<p><u>Recommendation:</u></p> <p>It is recommended that the IT Department develop an email usage policy.</p>	<p><u>Management Response:</u></p>
Observation Rating: High		
<p>In completing this review, it is suspected that most IndyGo employees do not understand that email accounts are made inactive after remaining dormant for 90 days.</p> <p>In reviewing the various IT policies provided, a policy specific to email usage requirements was not found. In addition, in reviewing other policies such as the Equipment Use Agreement an email usage requirement statement was not found.</p>	<p>It is recommended that the IT Department develop an email usage policy that includes the process of deactivating email accounts after the designated dormant period.</p> <p>This policy should be distributed to all employees with an active email account as well as at the time of hire when new email accounts are established.</p>	<p><u>Action Plan:</u></p> <p>Although we have language in our IT policies concerning access, acceptable use of resources, and data security, IndyGo IT will create a separate and distinctive End User Account Security policy with applicable language focused on email and network accounts.</p> <p><u>Responsible Party:</u></p> <p>IndyGo Chief Information Officer</p> <p><u>Due Date:</u></p> <p>June 1, 2025</p>

APPENDIX A – RATINGS DEFINITIONS

Observation Rating Definitions		Report Rating Definitions	
Rating	Definition	Rating	Explanation
Low	Process improvements exist but are not an immediate priority for IndyGo. Taking advantage of these opportunities would be considered best practice for IndyGo.	Low	Adequate internal controls are in place and operating effectively. Few, if any, improvements in the internal control structure are required. Observation should be limited to only low risk observations identified or moderate observations which are not pervasive in nature.
Medium	Process improvement opportunities exist to help IndyGo meet or improve its goals, meet, or improve its internal control structure, and further protect its brand or public perception. This opportunity should be considered in the near term.	Medium	Certain internal controls are either: <ul style="list-style-type: none"> Not in place or are not operating effectively, which in the aggregate, represent a significant lack of control in one or more of the areas within the scope of the review. Several moderate control weaknesses in one process, or a combination of high and moderate weaknesses which collectively are not pervasive.
High	Significant process improvement opportunities exist to help IndyGo meet or improve its goals, meet, or improve its internal control structure, and further protect its brand or public perception presents. This opportunity should be addressed immediately.	High	Fundamental internal controls are not in place or operating effectively for substantial areas within the scope of the review. Systemic business risks exist which have the potential to create situations that could significantly impact the control environment. <ul style="list-style-type: none"> Significant/several control weaknesses (breakdown) in the overall control environment in part of the business or the process being reviewed. Significant non-compliance with laws and regulations. Observations which are pervasive in nature.
Not Rated	Observation identified is not considered a control or process improvement opportunity but should be considered by management or the Board, as appropriate.	Not Rated	Adequate internal controls are in place and operating effectively. No reportable observations were identified during the review.