

# 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:** April 27, 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			FY223		
	Oct-22	Jan-23	Apr-23	Jul-23	Oct-23	Jan-24
FORVIS Financial Audit Review	Complete					
Covid and Pandemic Recovery	Complete					
Employee Share of Health Insurance Premiums	Complete					
Retail Center Audit	Complete					
Annual Risk Refresh 2023	Complete					
Para Transit Review	Complete					
Maintenance/Storeroom Workflow Review	Complete					
Ridership Experience		In-Process		Planned		
Bus Rapid Transit Lines		In-Process		Planned		
Policies		In-Process				
Staffing, Hiring & Recruiting			Planned	Planned		
Flowbird/MyKey System			Planned	Planned		
Transit Asset Management			Planned	Planned		
Decentralized Operations				Planned	Planned	
Retail Desk Transfer to Finance				Planned	Planned	
Annual Risk Refresh 2024					Planned	Planned

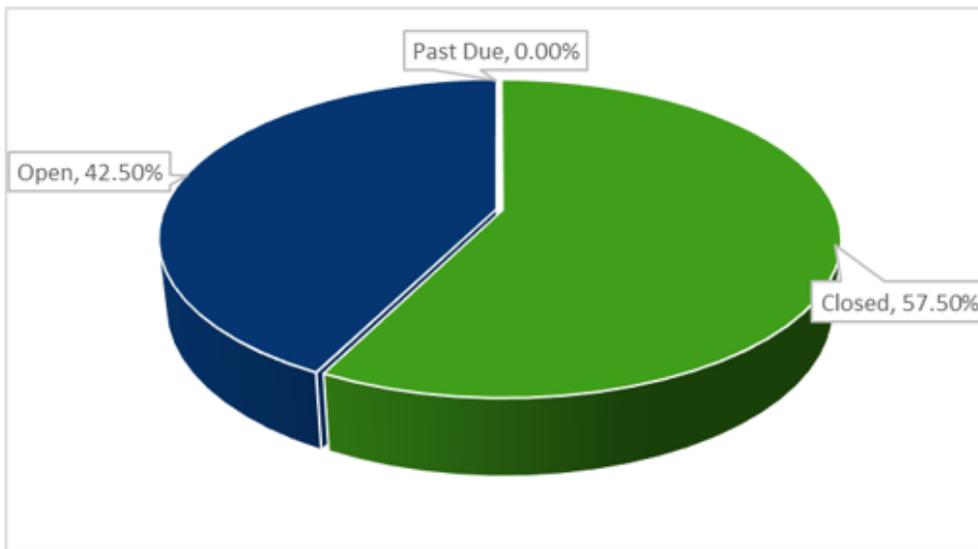
Complete   
 In-Process   
 Planned

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
Fare Collections Review	2021-02	06/10/21	4	2	2	0
Capital Projects	2021-03	09/01/21	4	3	1	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
Physical and Facility Security	2022-03	07/12/22	8	3	5	0
Pandemic Recovery Review	2022-05	07/12/22	2	1	1	0
Total			40	23	17	0
Percentage				57.50%	42.50%	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	4/27/2023

**RECOMMENDATION:**

Receive the report.