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## **Policies Review**

**Governance & Audit Report No. 2023-1**

Report Issued April 5, 2023

## EXECUTIVE SUMMARY

### Background

During late 2022 the Governance & Audit team, with input from management and its subject matter advisors, compiled a heat map to identify and illustrate the agency’s risk universe. Perspectives were sought on agency-wide risks, external risks, and threats to IndyGo’s mission and objectives.

The FY2023 Internal Audit Work Plan was approved In January 2023 by the Governance & Audit Committee. Included in this approved work plan was the Policies Review.

### Objective and Scope

The primary objective in performing this process review was to examine the processes and controls in place related to IndyGo policies. Review will include the following:

- Management, update, publication, expiration and approval processes.
- Ownership, oversight, monitoring and enforcement practices.
- Housing, storage and filing practices.
- Board-level vs. management-level policies.

Our approach included performing interviews with members of IndyGo policy owners and Department heads.

### Overall Summary and Review Highlights

Developing Agencywide and Departmental policies and consistently reviewing these policies should be at the top of IndyGo’s strategy. Identifying the current policies in place is the first step for moving towards a solid policy framework for the organization. From the creation of the inventory listing of current existing policies, subsequent identification of gaps in policies still needed should be determined.

Policies should be categorized by Agencywide or Departmental. A policy owner should be assigned to each policy within IndyGo and policies should be retained in a central repository. Housing all Departmental and Agencywide policies on the IndyGo SharePoint hub is being recommended.

An approval process needs to be defined for both Agencywide and Departmental policies. Expiration, review and reissue parameters need to also be defined for these policies as well. Management should determine what format or consistent language should be included In Agencywide and Departmental policies.

We would like to thank IndyGo staff and all those involved in assisting us in connection with the review. Questions should be addressed to Brian Atkinson in the IndyGo Department of Governance & Audit at: [batkinson@indygo.net](mailto:batkinson@indygo.net).

## SUMMARY OF SELECTED POLICY CATEGORIES

Area Title	Categories
<b>1. Inventory</b>	<ul style="list-style-type: none"> <li>• Assign overall Policy Owner for oversight of all Departmental and Agencywide Policies.</li> <li>• Create complete inventory listing of all IndyGo policies.</li> <li>• Categorize policies as Agencywide Policies and Departmental Policies.</li> <li>• Create a central repository as public record for all policies that will be visible by all teammates utilizing such policies.</li> </ul>
<b>2. Agencywide Policies</b>	<ul style="list-style-type: none"> <li>• Issuer should be assigned for each Agencywide policy.</li> <li>• Determine approval required for each Agencywide policy (i.e., CEO, Board Action, etc.)</li> <li>• Agencywide policies to be retained in a central location (in main menu on the IndyGo SharePoint hub, searchable by key word)</li> <li>• Ensure Agencywide policies include an Expiration date to force mandatory review process and approval.</li> <li>• Ensure parameters are set so that Agencywide policies are reissued and redistributed to staff.</li> <li>• Develop a standard template format to be used for all agencywide policies.</li> </ul>
<b>3. Departmental Policies</b>	<ul style="list-style-type: none"> <li>• Issuer should be assigned for each Departmental Policy</li> <li>• Determine approval required for each departmental policy (i.e., division/VP level)</li> <li>• Departmental policies assigned to a location (IndyGo SharePoint hub main menu, Departmental or division level roll up to main policy header, searchable by key word)</li> <li>• Ensure Departmental policies include an Expiration date to force mandatory review process and approval.</li> <li>• Develop a standard template/format or standard language to be used for all departmental policies (NOTE: SOPs should be embedded in a policy, and a policy can reference an SOP and the SOP can be edited and changes occur in method of accomplishing a policy requirement)</li> </ul>