

FY22 INTERNAL AUDIT PLAN

Department Scorecard

	Projects	Status & % Complete	Additional Details
	FAA COMMITTEE & INTERNAL AUDIT CHARTER COMPLIANCE		
1	Finance, Audit & Administration (FAA) Committee Meetings: 10/13; 11/10; 12/8; 2/14; 4/13; 5/11; 6/13; 7/13; 8/15; 9/14	In-Process	
2	Semi-annual Implementation Status Report - November 2021	Completed	February
3	Semi-annual Implementation Status Report - May 2022	Completed	July
4	FY2022 Risk Assessment & development of FY23 Audit Plan	In-Process	October
	FY22 Audit Assurance & Advisory Projects		
1	GRC (ITS2403) & Contract Performance Management System Advisory (ITS2205)	Completed	June
2	Transit Store with Ticket Focus (Hardcopy and e-tickets)	Completed	December
3	Saltillo Development with Focus on Lease Revenues	Completed	February
4	Business Continuity (COOP Plan, Advisory)	Completed	June
5	NIST Cybersecurity Framework (Facilitated Self-Assessment) - will resume when BCG Review is completed		Dependent on BCG Completion
6	FTA Triennial Review - 11/29 Notice; 1/21 Delivered Files; 4/11 Virtual Site Visit	Completed	July
7	QAR (Quality Assurance Review) of Internal Audit practices and IIA & GAO compliance - week of 8/29 for site visit	In-Process	October 2022
8	Annual Cybersecurity Review (Vulnerability Assessment & Penetration Test)	In-Process	September
9	ERP (Oracle) Implementation Advisory	In-Process	October
10	P-Cards & IT Procurement	Completed	June - UT Interns
11	Public Transportation Agency Safety Plan (PTASP)	In-Process	September
12	Benchmarking Policies & Procedures (Structure, Content, Governance & Training)		September
	CONTINGENT AUDIT PROJECTS - FY22		
1	Infor (Hexagon) System - post go live review		
2	Salary Adjustment & Merit Process		
3	Facilities Maintenance - Contract Monitoring & Compliance	Completed	June
4	Paratransit & Demand Response Operations		
5	United Healthcare & Other Self-Insured Benefits (TPA Payments)		
6	Bytemark - Account-Based System		
7	Microsoft Sharepoint & Active Directory		
8	Safety Management System (SMS) - Management of Change		
9	Board Policies/Goals - Monitoring & Reporting (e.g., OTP; Fare Recovery; DBE; Title 6 Equity Analysis; etc.)		

	NEW PROJECTS ADDED TO FY22 AUDIT PLAN by Terry Follmer		
1	Downtown Station - Closeout (Benchmarking & Analysis)	In-Process	September
2	MV Contract Changes - Audit Support (e.g. Payroll controls, Spare Parts, etc.)	In-Process	September/October
3	GRC (Governance Risk & Compliance) System Implementation	In-Process	Jan 2023
4			
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