

FY21 INTERNAL AUDIT PLAN

Department Scorecard

	Projects	Status & % Complete	Additional Details
	FAA COMMITTEE & INTERNAL AUDIT CHARTER COMPLIANCE		
1	Finance, Audit & Administration (FAA) Committee Meetings: 10/14; 11/9; 12/7; 2/10; 3/17; 4/14; 5/12; 6/16; 8/18; 9/15; 10/13	Completed	
2	Semi-annual Implementation Status Report - November 2020	Completed	February
3	Semi-annual Implementation Status Report - May 2021	Completed	August
4	FY2021 Risk Assessment & development of FY22 Audit Plan	Completed	October
	FY21 Audit Assurance & Advisory Projects		
1	Quadrennial Performance Audit (Requisition #306188) - RFP, Selection Process and Quadrennial Audit Report - Contract awarded to Weaver for \$180,610	Completed	January
2	QAR (Quality Assurance Review) of Internal Audit practices - Started Self-Assessment. The external assessments have been postponed by GAO/ALGA due to COVID-19.	Postponed to FY22	
3	Payroll Process - SOX Like Key Financial Control Testing	Completed	September
4	Project Connect - System Controls & Processes (e-Builder)	ATP Auditor	
5	PTC (Positive Train Control) - Expenditures & Drawings	Completed	May
6	DBE Program	Completed	May
7	Petty Cash - Policy Compliance	Completed	February
8	Transit Store with Ticket Focus (Hardcopy and e-tickets)	In-Process	
9	Saltillo Development with Focus on Lease Revenues	In-Process	
10	FTA Triennial Review	Postponed to FY22	
11	Annual Cybersecurity Review (AT&T Vulnerability Assessment & Penetration Test)	Completed	November
12	Rail Systems Security (Railcomm, PTC, Signaling, etc.)	Postponed due to Procurement	
13	NIST Cybersecurity Framework (Facilitated Self Assessment)	In-Process but Postponed	Postponed due to BCG Review
	CONTINGENT AUDIT PROJECTS - FY21		
1	ITS2403: Governance Risk and Compliance Software - (ServiceNow; Galvanize) TXDOT implementing Galvanize	In-Process	
2	Downtown Station - Contract Closeout		
3	Project Connect - Marketing & Planning Expenditures		
4	Infor Asset Mgt System - Post Go-Live Review		
5	Discounted Pass Program (Advisory)	Completed	UT Interns-August
6	Facilities Maintenance - Contract Monitoring & Compliance		
7	Paratransit & Demand Response Operations (Advisory)	Completed	UT Interns-August
8	Board Policies/Goals - Monitoring & Reporting (e.g. OTP; Fare Recovery; DBE; Title 6 Equity Analysis; etc.)		

	NEW PROJECTS ADDED TO FY21 AUDIT PLAN by Terry Follmer		
1	New Electric Bus Fleet – In-Processing Procedures (Advisory)	Completed	UT Interns-August
2	Security Incidents – Process Flowcharting & Analysis (Advisory)	Completed	UT Interns-August
3	Security Incidents – Data Analytics (Advisory)	Completed	UT Interns-August
4	Marketing/Communication - Process Flowcharting & Forecasting (Advisory)	Completed	UT Interns-August
5	Quadrennial Recommendation - implement a Contract Performance Management System (ITS2205)	In-Process	
6	APTA Support - helped rewrite/update APTA's Recommended Practices on Cybersecurity Considerations for Public Transit sponsored by the TSA	Completed	
7	RFP No. 306897 – Enterprise Resource Planning (ERP) System - Technical Advisor to Selection Committee - Oracle has been selected	Completed	
8	APTA Peer Review - volunteered on RTD Denver, to develop Internal Audit Transformation Plan	Completed	
9	ITS1901 - Advisor on ERP Selection Process (Oracle chosen)	Completed	
10	Business Continuity (COOP Plan, Advisory)	In-Process	UT Interns-Fall 2021