

Audit Division Update

Finance & Audit Committee

12/17/20

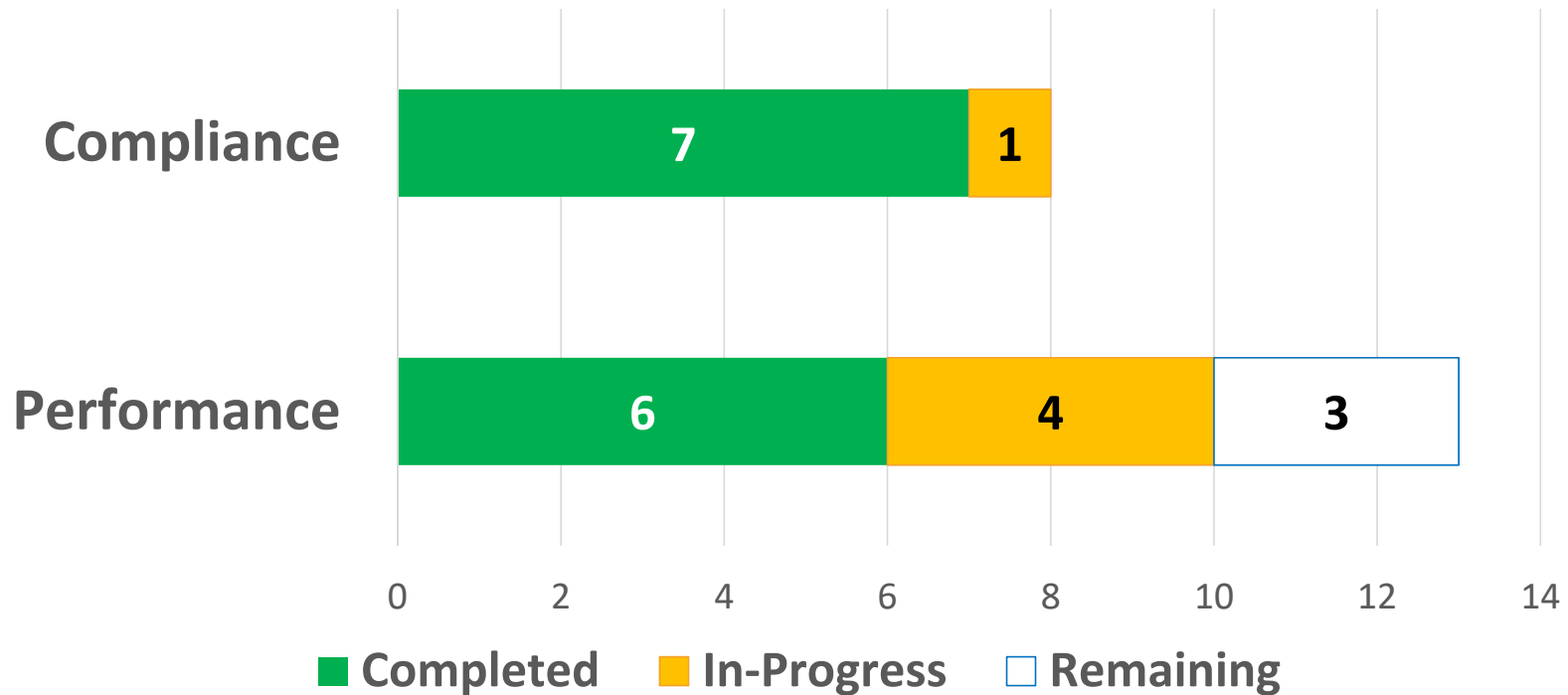


Today's Presentation

- 2020 Audits Completed & In-Progress
- Summary: Information Security Governance
- Summary: Consultant On & Off Boarding
- 2021 Audit Plan
- 2021 Performance Audit topic

Where we are today

Audits (Internal) Completed to Date*



**Data as of November 30, 2020*

Audits Progress since 3Q 2020 Meeting

2020 (Performance) Audits	Year Planned
Information Security Governance	2020
Consultant On & Off-Boarding Practices	2020
Partner Cost Monitoring – Pierce Transit	2019
IT Asset Management (incl. IT Small & Attractive Assets)	2020
Interlocal Government Agreement Management	2020
State of Good Repair Management	2020
Use of Construction Contingency	2020
Construction Change Orders	2020
Employee Travel Practices	2020



- Completed



- In Progress



- Remaining

Summary – Information Security Governance

Scope

Examined the agency's oversight process and management controls in place as of March 2020.

Results

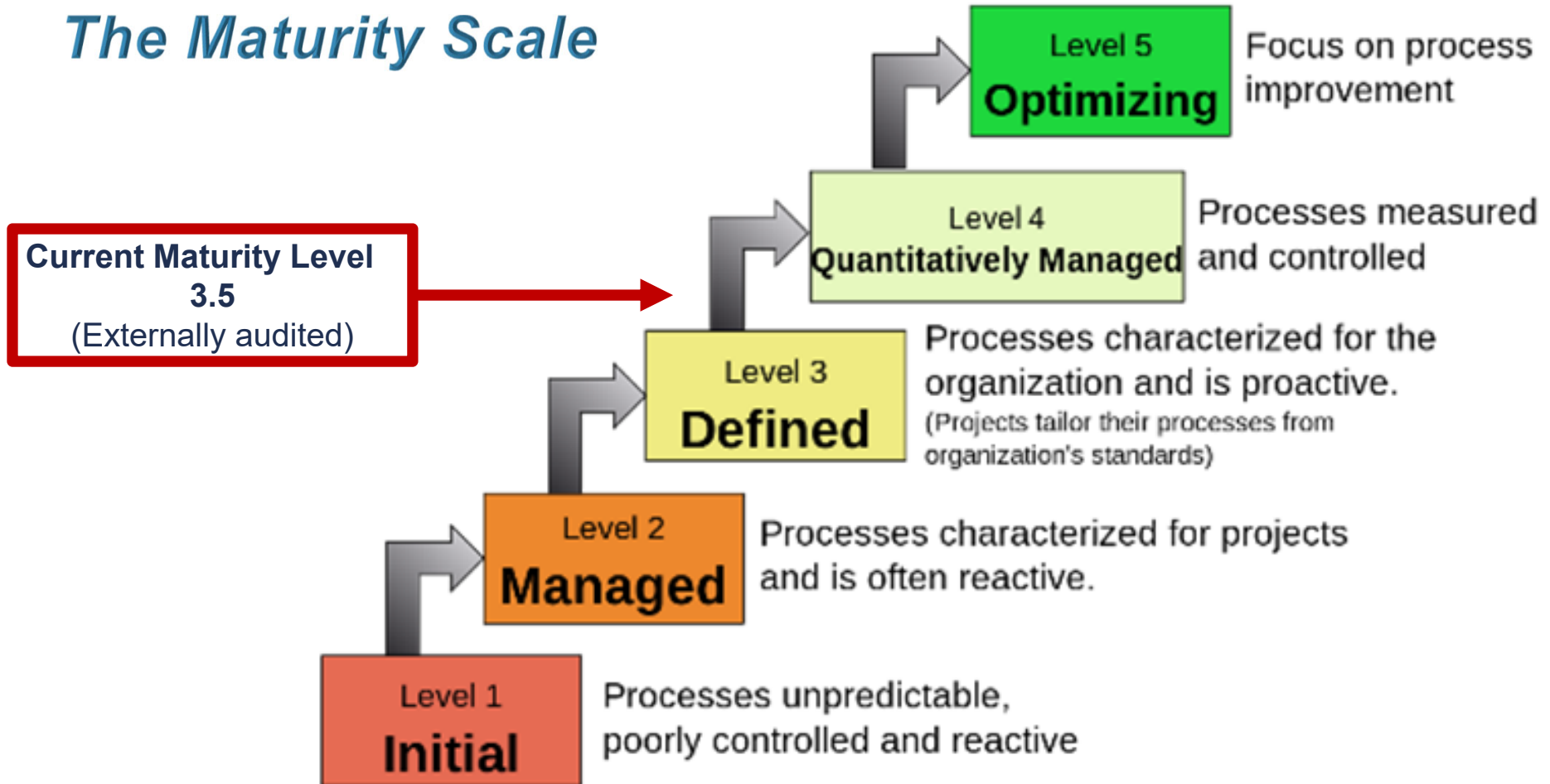
Commend: Sound Transit has improved the InfoSec Program Maturity level from 0 to a maturity level of 3.5 in a four year period

Finding: Information Security Governance has not been formally defined at the Agency

Management Response – Information Security Governance

- Information Security agrees with the findings and observations noted.
- Currently, InfoSec is strengthening communication, reporting, and monitoring controls that support information security governance and risk management.
- Evaluating and implementing the appropriate level of executive oversight.

The Maturity Scale



Summary – Consultant On & Off Boarding Practices

Scope

Examined consultant, contractor and extranet user records from January 1, 2017 to April 15, 2020.

Results

Finding: The Agency lacks effective consultant onboarding and off-boarding processes.

- * Policies, procedures, and processes are inconsistent
- * Users are not off-boarded properly

Management Response – Consultant On and Off-Boarding Practices

- Agency management agrees with the finding and observations noted.
- Created a process for deactivation of building access for inactive and temporarily inactive consultants.
- Created a tracking system for mandatory COVID-19 training for consultants with need to work onsite at the Sound Transit campus
- Created a cross-functional task force to identify process and control improvement areas.

2021 Audit Plan

Audit Topic	Planned
Use of Construction Contingency (2020)	Q1
Business Continuity & Disaster Recovery	
IT Access Control	Q2
System Access Fund	
IT Wireless Device Policy - 2016 Follow Up	
Link Operations Contractor Oversight	Q3
Construction Change Orders (2020)	
IT Vendor Management	Q4

2021 Performance Audit Topic for approval

Due to COVID-19, it was decided to cancel the procurement process for the 2020 Performance Audit

- Construction Performance Metrics Management

We recommended during the last Finance & Audit Committee Meeting in October that the agency move ahead with this topic as a carry over and complete in 2021.

Thank you.



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