

Audit Division Update

Finance & Audit Committee
10/16/2020

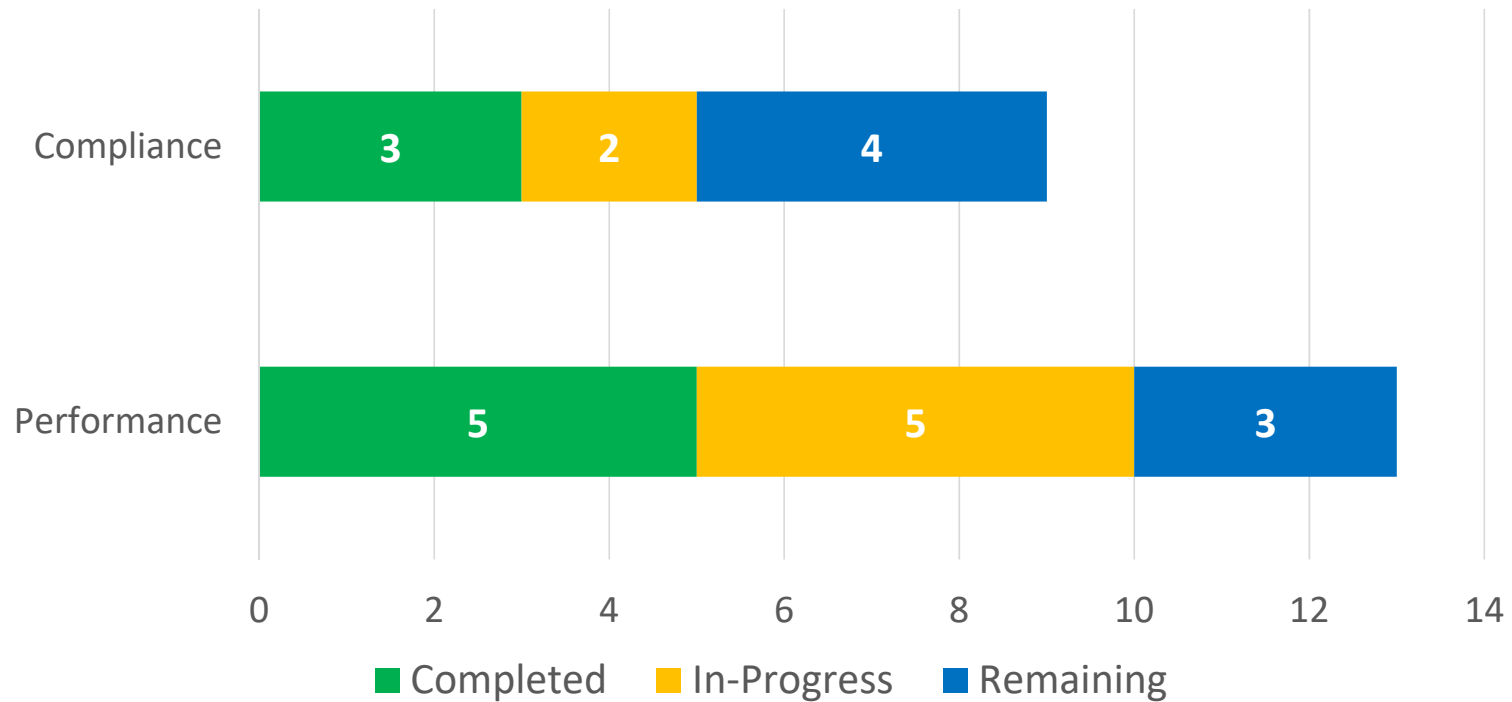


Today's Presentation

- 2020 Audit Status (At-A-Glance)
- 2021 Performance Audit topic for recommendation

Where we are today

Audits (Internal) Completed to Date*



**Data as of September 30, 2020*

Audits Completed & In Progress (as of 09/30/2020)

| 2020 (Performance) | Year Planned |
|--|---------------------|
| Budget Process Review During Project Development Audit | 2019 |
| Safety Assurance Audit* | 2019 |
| Work Order Process Audit* | 2019 |
| Construction Contract Procurement Audit | 2020 |
| Information Security Governance Audit # | 2020 |
| Consultant On & Off-Boarding Audit # | 2020 |
| Partner Cost Monitoring – Pierce Transit # | 2019 |
| IT Asset (including Small & Attractive) Audit | 2020 |
| Interlocal Government Agreement Management Audit | 2020 |

Notes: Audits listed in **GREEN** are currently in progress

* A finding was raised and are in progress

Draft Findings are in development

Recap – Construction Contract Procurement Process Audit

Audit Objectives

To determine whether the agency has effective controls in place to ensure:

- Appropriate procedures for soliciting, evaluating, and selecting qualified contractors.
- Reasonable process for determining construction costs in the selecting contractors.

Audit Scope

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

We selected four construction contracts awarded between 2015 and 2020:

- **Design-Build (DB):** F200 and R200
- **General Contractor / Construction Manager (GCCM):** E130
- **Design-Bid-Build (DBB):** T100

Audit Results: No Findings

2021 Performance Audit Topic for recommendation

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

- Construction Performance Metrics Management

We are recommending that the agency move ahead with this topic as a carry over and complete in 2021.

Thank you.



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