

2020 Audit Division Year End Report

Finance and Audit Committee

3/18/21



Audits facilitated by the Finance Dept. (2020)

Compliance Audits

- ORCA Audit
- National Transit Database Audit
- Subarea Audit

Accountability Audits

- State Auditor’s Office Financial Audit Review

Financial Statement Audits

- Financial Statement & Single Audit (A-133)

Q1	Q2	Q3	Q4
	✓		
	✓		
		✓	
Q1	Q2	Q3	Q4
		✓	
Q1	Q2	Q3	Q4
	✓		

Audits facilitated by the Audit Division (2020)

Performance Audits

- Budget Process Review
- Safety Assurance Audit (Safety Department)
- Work Process Audit
- Information Security Governance
- Construction Contract Conformance
- Consultant On/Off-Boarding Practices

	Q1	Q2	Q3	Q4
Budget Process Review	✓			
Safety Assurance Audit (Safety Department)		✓		
Work Process Audit		✓		
Information Security Governance			✓	
Construction Contract Conformance			✓	
Consultant On/Off-Boarding Practices				✓

2021 Audit Plan

2021 Audit Plan

Performance Audits

- Business Continuity & Disaster Recovery
- Use of Construction Contingency
- IT Access Controls
- System Access Fund
- IT Wireless Device Policy (Follow-up)

Q1	Q2	Q3	Q4
✓			
✓			
	✓		
	✓		
	✓		

2021 Audit Plan (Cont.)

Performance Audits

- Link Operations Contractor Oversight
- IT Vendor Management

Q1	Q2	Q3	Q4
		✓	
			✓

Performance Audit (Consultant)

- Construction Performance Metrics Management

Q1	Q2	Q3	Q4
	✓		

Thank you.



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