

DATE: October 30, 2019
TO: Metropolitan Council Audit Committee
FROM: Matt LaTour, Director, Program Evaluation and Audit
SUBJECT: Departmental Performance in 2019

Department Update

- Department Staffing is Stable — I am starting to review needs for 2020 and Beyond.

Audit Plan Completion

	Planned	Complete	On-Going	Planning or TBA
Audits	19	5	8	6
Consultations	7	4	1	1
Recurring Reviews	4	0	3	1
External Audits	6	3	2	1
Total	36	12	14	9

On-going Activity

- Audits
 - FTA Compliance Audits — U of M, Maple Grove, First Transit
 - Fare Compliance
 - SWLRT — Civil Contract
 - Technology Asset Management
 - Purchasing Cards
 - Metro Transit and Environmental Services Stockrooms
- Consultations
 - Cybersecurity
 - Technology Governance
 - Continue in coordination and monitoring role through 2019
 - Managing contract for Technology Strategic Plan
- Other Activities
 - Navex Global Fraud and Ethics Hotline and Case Management System

- Audit Department Continuous Improvement
 - Progress has been made on completing the items on the non-audit workplan in the following four areas:
 - The refresh of audit tools and work instructions is mostly complete.
 - The focus of Q4 will be updating policy and procedures as well as continued work on the audit department framework and completing the refresh of audit tools.
 - Work instructions are almost complete.
 - It is expected most of these activities will be done by the end of the year.
 - Will take a fresh look at continuous improvement activities for 2020. Likely considerations include updating our audit product line and developing an audit department 5-year strategic plan.
- The entire audit team participated in a three-day on-site training by Greg from MISTI. The training introduced the team to the concept of using business data to identify key risk indicators to help inform the audit team's annual risk assessment. We are currently working on incorporating what we've learned into our risk assessment methodology in preparation for activities related the 2020 Audit Plan development.
- The Audit Team is the Council-lead in coordinating a training opportunity related cyber threats targeting critical infrastructure and personal data. We are coordinating this effort in conjunction with the US Attorney's Office. Cyber security experts from the US Attorney's Office, the FBI, the Department of Homeland Security and the private sector will discuss the current threat landscape for the public sector, data security, costs, preventive measures, and how to work with law enforcement. The training is geared for managers of critical infrastructure; IT and operational technology specialists; compliance and audit staff, and others that are custodians of critical information and assets. (Monday, November 18, 2019 from 9:00 am - 12:00 pm)
- I continue to participate on a committee formed with the purpose of reforming standards for how the Council's policies and procedures are written, reviewed, approved and updated.