

## STATUS OF AUDIT SERVICES BRANCH 2021 RISK-BASED WORK PLAN

**Table 1 – Status of Audit Projects**

| Strategic Plan<br>Area of Focus | Department  | Project   | Status   |
|---------------------------------|---|---|--|
| <b>Economic Vitality</b>        | Transportation  | Mobility Plus Contract Management Audit                             | Complete   |
|                                 | York Region Rapid Transit Corporation (YRRTC)                 | YRRTC Audit*  | In progress  |
|                                 | Transportation  | Bus Operations Contracts Audit                                      | Not started  |
|                                 | Finance – Treasury Office                                     | Development Charges   | Not started  |
| <b>Good Government</b>          | Legal Services – Court Services                               | Revenue Management  | Not started  |
|                                 | Finance – Strategy & Transformation                           | Payroll Audit   | Deferred and replaced with Long-term Disability Management and Oversight Audit |
|                                 | Corporate Services – Human Resources                          | Long-term Disability Management and Oversight Audit*                | In progress  |
|                                 | Corporate Services – Regional Clerk                           | Phase 1 – Handling of Private Information                           | Not started  |
|                                 | Finance – Strategy & Transformation                           | Employee Expenses Audit   | Complete   |
|                                 | Corporate Services – Human Resources                          | Hiring Practices  | Not started  |
|                                 | Finance – Controllership Office & Deputy Treasurer            | PCI Compliance  | In progress  |
|                                 | Finance – Procurement Office                                  | Advisory Services   | Not started  |
|                                 | All Departments impacted by the Construction Act              | Construction Act  | Not started  |
|                                 | Finance – Information Technology Services                     | Cyber Security  | In progress  |
| <b>Sustainable Environment</b>  | Environmental Services – Environmental Promotion & Protection | Waste Management agreements between Region and local municipalities | Not started  |
|                                 | Environmental Services – Operations Maintenance & Monitoring  | SCADA Audit   | In progress  |
|                                 | Environmental Services – Infrastructure Asset Management      | Water Billing Audit   | Not started  |
| *Project added in year          |   |   |  |

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Table 2 – Other Activities

| Project Name   | Status      |
|--|-------------|
| 1. Forensic Investigation Services   | Ongoing     |
| 2. Advisory and Consulting Services  | Ongoing     |
| 3. Control Monitoring Program  | Ongoing     |
| 4. Quality Assurance and Improvement Initiatives   | Ongoing     |
| 5. Audit Services under the Memorandum of Understanding for seven of the local municipalities. | Ongoing     |
| 6. Education and Outreach  | Ongoing     |
| 7. Risk-Based Work Plan 2022   | Not started |
| 8. Fraud Prevention Program  | In progress |