

Attachment 1 - Audit Services Branch 2023 Risk-Based Work Plan

Alignment
with 2019 to
2023 Strategic
Plan

Plan	Department/Branch	Project	Risk and Rationale for Audit
Economic Vitality	Transportation Services - Transit Operations	Bus Operations Contracts	There are a significant number of high value contracts in place. There are new contracts in place since the last time Audit Services audited this area. Assurance should be provided to ensure that contracts are being managed appropriately.
Good Government	Legal Services - Court Services	Revenue Management	Court Services provides front counter services to the public to pay tickets. Assurance should be provided that Court Services has effective controls in place for cash handling. (In progress)
	Finance - Strategy & Transformation	Payroll Audit	This area processes pay for over 4,000 salaried and hourly employees on a bi-weekly basis. Further, the Region collects and stores private and sensitive employee data in order to accurately pay individuals. There is a risk that private information may be compromised and a risk of errors in pay resulting in under or overpayments to employees. (In progress)
	Finance	Procurement	The Procurement Office currently has several initiatives to modernize the Region's procurement function. A new Procurement bylaw has recently been enacted. COVID-19 has placed a strain on resources and there has been employee turnover.

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Healthy Communities	Finance - Controllership Office & Deputy Treasurer	PCI Compliance	Various branches within Public Works, Legal, Community & Health Services, Corporate Services, and Finance handle credit card information for payments by customers. Approximately 257K transactions were processed in 2021. The Payment Card Industry Security Standards Council (PCI SSC) sets standards for handling credit card information. Assurance should be provided to ensure that the Region is in compliance with PCI SSC. (In progress)
	Community and Health Services – Shelter Operations	Shelter Operations	York Region contracts out the operation of shelters offering short-term and long-term accommodations along with other supports, such as counselling, meals, recreation and emergency transportation. Assurance should be provided that the contracts are being managed appropriately.
	Community and Health Services – Long-Term Care Homes	Long-Term Care Homes	York Region provides services to promote the health, well-being, safety and independence of individuals requiring care. Assurance should be provided that the management systems in place to administer the long-term care homes are operating as intended.

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Environmental Services - Environmental Promotion & Protection	Waste management agreements between Region and the local municipalities	Contamination of blue box materials has been a significant challenge. There is additional cost in processing contaminated blue box materials. Assurance should be provided to ensure there is an appropriate process used to manage these agreements with the local municipalities.
Environmental Services - Operations Maintenance & Monitoring	SCADA/Cybersecurity Audit	Network security of the Region's SCADA system. Third party provider required to conduct the audit. (In progress)

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