



JULY 17, 2024

Recommendation Follow-Up

ATP Internal Audit

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Background

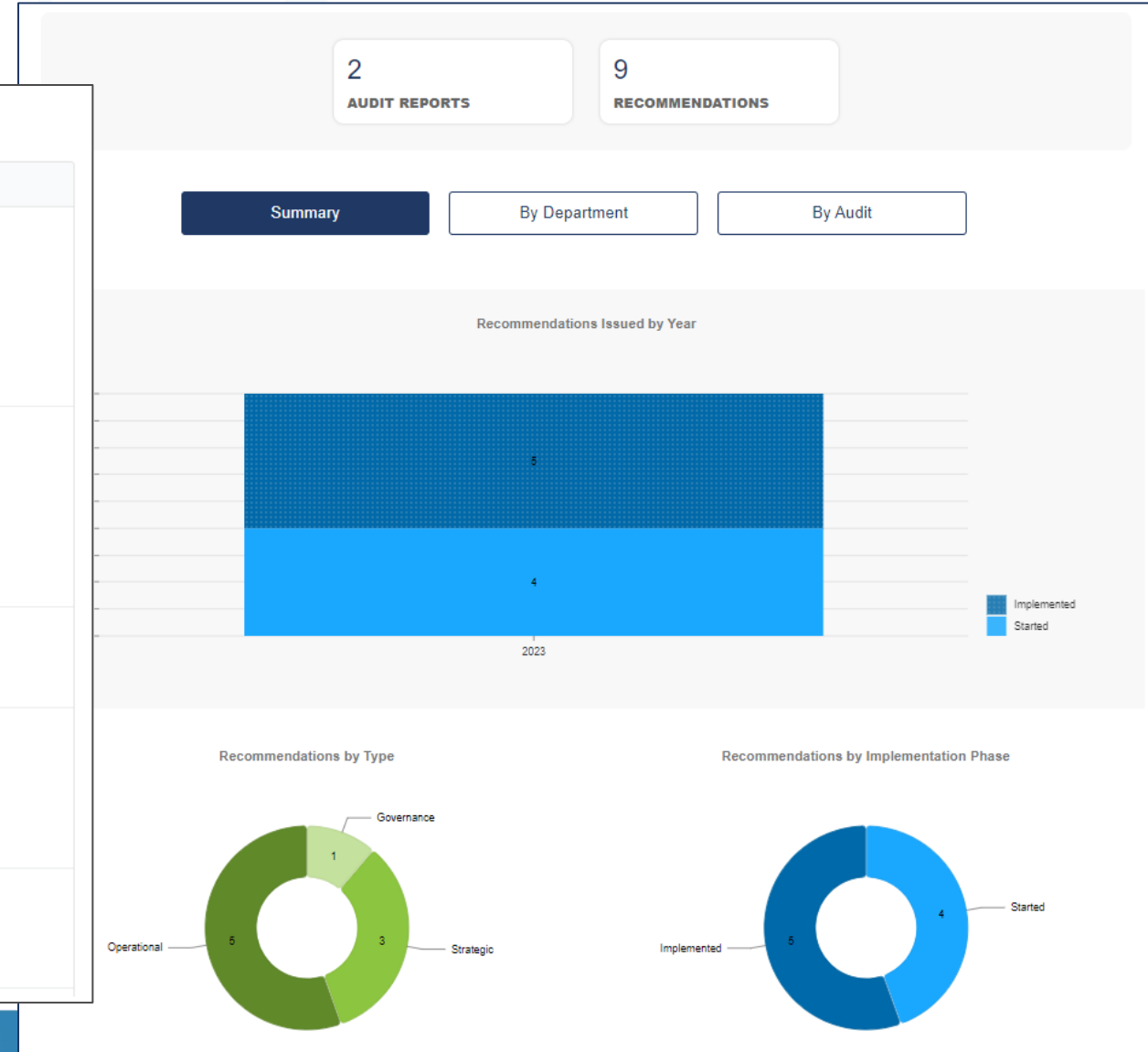
- Internal Audit conducts projects that often result in findings and **recommendations**
- Internal Audit assigns each recommendation a **category**
- Post-audit, we **follow up** to assess the actions taken by management to address those recommendations
- ATP management provides regular updates on **actions** taken for each recommendation

Recommendations Dashboard

<https://www.atptx.org/about/internal-audit/>

Recommendation List
This table will filter itself as you interact with the charts above.

Department	Recommendation	Last Update	Status	Audit	Category
Business Services	In conjunction with the results of the governance assessment being conducted, ATP should propose changes to the TAC bylaws and operations to include: •Attendance requirements •Term definitions and limits •Staggered Terms •Bylaw amendments •Advisory duties and responsibilities. •Staff role in liaising with TACs	The ATP Board will consider an item on its 7/17/24 Board Meeting Agenda to address recommendations related to its advisory groups.	Started	Joint Partnership Agreement and Related Agreements Audit 12/2023	Governance
Engineering and Construction	We recommend that ATP work with the COA to explore options to streamline the permitting process for Project Connect.	ATP is working with the COA Project Connect Office to create a strategy for streamlining the permitting process and for amending City Code and Criteria to address Austin Light Rail. A Permitting Manual containing processes and applicable Code and Criteria will be created before the CIG Entry to Engineering phase.	Started	Joint Partnership Agreement and Related Agreements Audit 12/2023	Strategic
Legal Services	Work with Human Resources to ensure an employee salaries spreadsheet is routinely updated and readily accessible to the PIR team.	Salary information is available to the ATP HR director in the Oracle system, which has a Human Capital Management System available to ATP.	Implemented	Public Information Requests Audit 7/2023	Operational
Legal Services	Calculate estimated fees for requests and ensure decisions to charge or waive fees are equitably and consistently applied across all PIRs requests.	Management revised the PIR Standard Operating Procedure to include procedures for calculating estimated fees for requests and ensuring decisions to charge or waive fees are applied equitably and consistently. The SOP is readily available to ATP employees.	Implemented	Public Information Requests Audit 7/2023	Operational
Legal Services	Finalize and provide the PIR training to ATP employees and contractors. The training should be recorded and shared with new employees during onboarding.	Following the audit, management provided PIR training to all ATP staff. Training is offered multiple times annually and is a component of new employee onboarding.	Implemented	Public Information Requests Audit 7/2023	Operational



FY23 Public Information Request Audit

ATP Department	Category	Risk Rating	Recommendation	Management Update	Status
Legal Services	Operational	Low	Develop template language for a letter to requestors explaining the amount of information provided and the expected format for broad requests for emails and text messages requiring duplication of records across multiple responders.	Management updated the public information request cost estimate letter template to provide additional context that is helpful to a requester.	Implemented
Legal Services	Operational	Low	Identify a staff member to serve as the backup to the PIR Coordinator.	Management designated an ATP staff member as a backup to the primary PIR Coordinator.	Implemented
Legal Services	Operational	Medium	Calculate estimated fees for requests and ensure decisions to charge or waive fees are equitably and consistently applied across all PIRs requests.	Management revised the PIR Standard Operating Procedure to include procedures for calculating estimated fees for requests and ensuring decisions to charge or waive fees are applied equitably and consistently. The SOP is readily available to ATP employees.	Implemented
Legal Services	Operational	Medium	Finalize and provide the PIR training to ATP employees and contractors. The training should be recorded and shared with new employees during onboarding.	Following the audit, management provided PIR training to all ATP staff. Training is offered multiple times annually and is a component of new employee onboarding.	Implemented
Legal Services	Operational	Low	Work with Human Resources to ensure an employee salaries spreadsheet is routinely updated and readily accessible to the PIR team.	Salary information is available to the ATP HR director in the Oracle system, which has a Human Capital Management System available to ATP.	Implemented

FY23 JPA and Related Agreements Audit

ATP Department	Category	Risk Rating	Recommendation	Management Update	Status
Business Services	Governance	Medium	In conjunction with the governance assessment, ATP should propose changes to the TAC bylaws and operations to include: <ul style="list-style-type: none"> •Attendance requirements •Term definitions and limits and staggered terms •Bylaw amendments •Clarity on advisory duties and staff roles for TACs 	The ATP Board will consider an item on its 7/17/24 Board Meeting Agenda to address recommendations related to its advisory groups.	Started
Engineering and Construction	Strategic	Medium	We recommend that ATP work with the COA to explore options to streamlining the permitting process for Project Connect.	The Project Connect Office will work with ATP to create a strategy for streamlining the permitting process and for amending City Code and Criteria to address Austin Light Rail. A Permitting Manual containing processes and applicable Code and Criteria will be created before the CIG Entry to Engineering phase.	Started
Planning and Risk Management	Strategic	Medium	We recommend that ATP develop the Community Engagement Dashboard and a key performance indicators dashboard to accompany the Equity Assessment Tool, as required by the JPA, and determine the best place to host the dashboards on a public-facing website.	ATP provides online reports related to engagement activities including voluntarily submitted demographic information by participants. Additional planning is required to develop the reporting tool for key project performance indicators that will coincide with federal reporting requirements.	Started
Planning and Risk Management	Strategic	Medium	ATP should establish a formal process for monitoring partner work related to Project Connect, such as the use of anti-displacement funds and CapMetro Project Components, to include: setting a schedule for conducting quality audits, determining ATP attendance at partner meetings, and requiring regular updates from partners to the ATP Board on activities and critical issues that impact Project Connect service delivery, schedule, and budget.	The Project Connect Status Report and Board Brief includes program updates from CapMetro and the City of Austin for regular reporting on issues that impact Project Connect. The report is published on ATP's web site and now has an added section for quarterly updates. These updates also are accompanied by Board briefings.	Started

Next Steps

- Internal Audit will regularly follow-up with management to determine the status of past recommendations
- Recommendation dashboard is live on the ATP Internal Audit webpage and will be continuously updated as statuses are provided by management
- Internal Audit will provide another summary follow-up presentation next FY