

AUSTIN TRANSIT PARTNERSHIP BOARD OF DIRECTORS MEETING

~ Agenda ~

Wednesday, August 24, 2022

2:00 PM

Austin Transit Partnership
203 Colorado St., Austin, TX 78701
ATP Board Room

1. **Official Seating of New Board Member**
2. **Public Comment**
3. **Technical Advisory Committee Reports**
 - a. Engineering, Architecture & Construction Committee
 - b. Planning, Sustainability, Equity & DBE Advisory Committee
 - c. Finance & Risk Advisory Committee
4. **Executive Director Report**
 - a. Organizational Update
 - b. Project Connect Status Report
 - c. ATP Administration Policies Update
 - d. Board of Directors Strategic Planning Opportunities
5. **Action Items**
 - a. Approval of minutes from the July 20, 2022 Board Meeting
 - b. Approval of a resolution electing ATP Vice Chair
 - c. Approval of a resolution appointing a Board Liaison to the Planning, Sustainability, Equity & DBE Advisory Committee
6. **Discussion Items**
 - a. Status of Work on Updated Light Rail Implementation Plan
 - b. Proposed Fiscal Year 2023 Budget Presentation
7. **Item from Internal Audit**
 - a. Briefing on ATP's Fiscal Year 2023 Audit Plan

ADA Compliance

Reasonable modifications and equal access to communications are provided upon request. Please call (512) 389-7525 or email chloe.maxwell@atptx.org if you need more information.

ATP has resumed in-person board meetings, which are [streamed live](#). Public comment may be conducted in person or remotely. Members of the public who wish to comment must notify ATP 24-hours before the meeting (by 2:00 p.m. on August 23) by calling 512-389-7525 or emailing chloe.maxwell@atptx.org. Provide your name, phone number and the topic you wish to discuss.

On the day of the meeting, you will be contacted, added as an attendee of the board meeting, and have 3 minutes to speak.

Please Note: You will have only one opportunity at the beginning of the board meeting to speak on all items you intend to address.

Public Comment will be over Microsoft Teams (camera may be off) or in person. Once registered for Public Comment, a participation link will be distributed.

BOARD OF DIRECTORS: *Veronica Castro de Barrera, Chair, Steve Adler, Tony Elkins, Jeffrey Travillion, Gina Fiandaca (ex officio), Dottie Watkins (ex officio).*

The Board of Directors reserves the right to adjourn into executive session at any time during the course of this meeting to discuss any of the matters listed above as authorized by Texas Government Code Chapter 551, including, but not limited to: Sections 551.071 (Litigation/Consultation with Attorney), 551.072 (Deliberations regarding real property), 551.073 (Deliberations regarding gifts and donations), 551.074 (Deliberations regarding personnel matters) or 551.076 (Deliberations regarding deployment/implementation of security personnel or devices), and 551.087 (Deliberations regarding Economic Development negotiations).

Date: August 17, 2022

AUSTIN TRANSIT PARTNERSHIP

**Board of Directors Meeting
August 24, 2022**

August 24, 2022- AGENDA

1. Official Seating of New Board Member

2. Public Comment

3. Technical Advisory Committee Reports

- a. Engineering, Architecture & Construction Committee
- b. Planning, Sustainability, Equity & DBE Advisory Committee
- c. Finance & Risk Advisory Committee

4. Executive Director Report

- a. Organizational Update
- b. Project Connect Status Report
- c. ATP Administration Policies Update
- d. Board of Directors Strategic Planning Opportunities

5. Action Items

- a. Approval of minutes from the July 20, 2022 Board Meeting
- b. Approval of a resolution electing ATP Vice Chair
- c. Approval of a resolution appointing a Board Liaison to the Planning, Sustainability, Equity & DBE Advisory Committee

6. Discussion Items

- a. Status of Work on Updated Light Rail Implementation Plan
- b. Proposed Fiscal Year 2023 Budget Presentation

7. Item from Internal Audit

- a. Briefing on ATP's Fiscal Year 2023 Audit Plan

OFFICIAL SEATING OF NEW ATP BOARD MEMBER

PUBLIC COMMENT

TECHNICAL ADVISORY COMMITTEE REPORTS

- **Engineering, Architecture & Construction Committee (EAC)**
- **Planning, Sustainability, Equity & DBE Advisory Committee (PSEC)**
- **Finance & Risk Advisory Committee (FAR)**



COMMITTEE: Engineering, Architecture & Construction

DATE: August 10, 2022

ATTENDANCE: We had 25 people attending

- Lyndon Henry (EAC)
- Efrain Velez (EAC)
- David Bodenman (EAC)
- Kathryn Broadwater (CAC)
- Veronica Castro de Barrera (ATP/EAC)

PRIMARY AGENDA ITEMS:

- Update on Light Rail Project Development

COMMITTEE DISCUSSION & RECOMMENDATIONS:

The committee had a great discussion about continued project development, specifically how we align the light rail project implementation plan with our funding capacity. Greg Canally and Brian Buchanan presented a recap of the July Board discussion on this topic and solicited feedback. The committee suggested that TAC Member workshops could be beneficial as a way for members to dive deeper into the project.

The crossing at Lady Bird Lake was discussed and how best to do this with available funding. The committee believes it is critical that the public understands both our available options and how they relate to our available funding sources – while we have a robust funding mechanism, funds are not limitless and necessary funding controls need to be established. The Federal Transit Administration (FTA) will play an important role in this program’s successful delivery. The committee looked at grant awards for large transit projects across the country as a way to gauge what a possible match would look like from the FTA. Maximizing Federal funding is imperative because once the amount is established by the Federal Government, it is a contractual agreement that does not change and we must deliver.

Greg and Brian walked the EAC through the July 20 slide show previously shared with the ATP Board. They discussed that financial changes to the current design to align market conditions, cost estimates, funding availability within the current tax rate.

Value Engineering will be made to:

- Scope and Design
- Phasing and Sequence

- Service plan and Technology
- Revenue
- Delivery Method and Risk

Facilities to receive technical and financial review and modification include:

- Tunnel length, scope and alignment
- Crossings especially relative to Lady Bird Lake
- Maintenance and Storage Yard and Facility that determines the starting project
- Corridor Improvements and partnerships
- Real estate and right-of-way strategies

EAC members suggested a scaling matrix to help rate certain aspects of the alignment to show the priorities and as a way to help ensure that the project reflects the community's priorities. Committee members also recommended clear documentation of decisions as they are made so that the project isn't delayed by returning to the same issues multiple times.

REQUESTS FOR MORE INFORMATION:

EAC has requested a copy of the TIA. Peter Mullan is processing the request through the Director of the Orange Line. The use for the TIA by EAC is to quantify ingress/egress to/from Capitol Complex and Downtown for the purpose of identifying alternative alignment roadway projects necessary to accommodate if traffic will be diverted from Guadalupe.

FUTURE MEETING TOPICS:

Update on the program development.



COMMITTEE: Planning, Sustainability, Equity & DBE Committee

DATE: August 16, 2022

ATTENDANCE:

- Marcel Garza
- Jen Cregar
- Mayor Adler, Board Member
- Gina Fiandaca, Board Member, ex-officio

PRIMARY AGENDA ITEMS:

- Update on Light Rail Project Development – HDR Vice President Brian Buchanan
- Future discussion topics

COMMITTEE DISCUSSION:

- The Committee discussed challenges around the implementation plan and phasing of the project. Discussion focused on community conversations and maintaining transparency during the process as data is evaluated and decisions are made.
- The Committee asked how the team will work to ensure there is a strong representation of disadvantaged businesses. There will be intentional and targeted outreach, and these plans are already in development. Courtney Chavez, Director of Equity, plans for future discussions on this topic as the project progresses.
- PSEC Members walked through various aspects of the ATP website that can be improved for easier access to resources.

NEXT STEPS/ REQUESTS FOR MORE INFORMATION:

- PSEC Members would like to dive deeper into the anti-displacement fund and planning happening with the City of Austin.
- Members would like to invite Anna Lan back to discuss updates in the ETOD program.
- Members will be involved in the review of equity goals and outcomes and developing measures over the next few meetings.



COMMITTEE: Finance & Risk

DATE: Aug 9, 2022

ATTENDANCE:

- Tony Elkins
- Art Alfaro
- John Langmore
- Sandra Menjivar-Suddeath
- Cindy Matula
- Sarah Campbell
- Dave Sullivan
- Sumit DasGupta
- Gretchen Flatau (CAC liaison)
- ATP Staff: Greg Canally, Diane Siler, Shereen Gendy, Katie Houston, Brandon Carr, Sofia Ojeda, Bryan Rivera, Chloe Maxwell, Jamie Atkinson
- Project Connect Partners: Brian Buchanan (HDR), Liane Conte (City of Austin Project Connect Office), Molly King (CapMetro EVP Project Connect)

PRIMARY AGENDA ITEMS:

- Welcome – ATP Board Member Tony Elkins
- Update on Light Rail Project Development – HDR Vice President Brian Buchanan
- FY23 Proposed Budget – ATP Interim CFO Diane Siler & Budget Analyst Jamie Atkinson
- Draft Audit Plan Discussion – ATP Director of Internal Audit Katie Houston
- Discussion – ATP Board Member Tony Elkins
 - a. Future discussion topics
 - b. Member ideas/suggestions

COMMITTEE RECOMMENDATIONS:

- Inflationary pressures are a significant risk for capital projects once engineering is complete and federal partners have committed to a total cost. Any cost escalation would be the responsibility of the local match.
- Sarah noted that how projects are combined or separated can be critical to balance overruns against savings and noted that real estate costs seem to be stabilizing.

- Some FAR members expressed concern about the total number of positions included in the FY23 proposed budget and discussed the necessary balance between permanent, temporary, and consultant/contract oversight.

REQUESTS FOR MORE INFORMATION:

- FAR members would like to see a breakdown of staff by activity and type (ATP staff, CapMetro seconded staff, and consultant/contract staff). This request will be addressed during the formal budget questions process following the budget presentation to the Board.
- FAR would like staff to present on the FTA process at the next meeting and address risks with CapMetro being the planned ATP grant recipient.

NEXT STEPS:

- FAR's next meeting is October 11th and the second Tuesday of every other month thereafter.
- FY23 Proposed Budget will be presented to the Board and posted on the website on August 24th.

DISCUSSION ITEM

Status of Work on Updated Light Rail Implementation Plan

Workplan



What we heard from our experts July 20th:

- Do the work needed now during Project Development to define your project
- Be rigorous about the work
- Be inclusive and transparent in your process and outreach

Community Engagement

- Staff has held a series of briefings with committees
 - City of Austin Mobility Committee
 - CapMetro Joint Planning and Operations Committee
 - Community Advisory Committee (CAC)
 - TACs: EAC, PSEC, FAR
- What we have heard:
 - Understanding of the issue / recognition of the need for the current work
 - Need to balance improvements to meet needs of both existing and new customers
 - Need to look at options, e.g. single lake crossing
 - Access to transit, first and last mile connections are important
 - Get started
 - Ready to engage, ready to assist



Committee and Stakeholder briefings continue through September

Technical Review

- Holding a series of Project Development Workshops this week
 - Working with the partners to collect data and ideas
 - Look at past work for further consideration
- Formulating our work around high-level groupings of:
 - At-Grade
 - Simplified Underground
 - Elevated
- Additional major components such as Combined Maintenance Facility and Vehicle and Systems included in each grouping
- Components of each grouping will be combined to form scenarios for consideration



Partner Workshops are underway

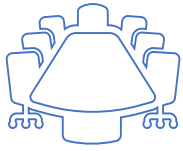
Strategic Partnerships

- Regular coordination meetings with FTA
 - Two Small Starts Grant Agreements (SSGAs) in progress for MetroRapid Expo and Pleasant Valley projects
 - Providing updates on light rail Project Development activities
 - Ongoing coordination regarding NEPA compliance for light rail projects



FTA & PMOC meeting in September

- Meeting has been scheduled with FTA and its Program Management Oversight Consultant (PMOC) for September 13 and 14, 2022
 - Agenda includes briefings and project tours for light rail and MetroRapid



ATP Board Workshop
City of Austin Mobility Committee
CapMetro Planning & Ops
CAC / TACs

July – August 2022



Advance Project Development
Workplan
Technical & Community Check-ins

September 2022 – Spring 2023



**Updated Light Rail
Implementation Plan**

Spring 2023

EXECUTIVE DIRECTOR REPORT

ACTION ITEM

Approval of minutes from the July 20, 2022 ATP Board Meeting

AUSTIN TRANSIT PARTNERSHIP BOARD OF DIRECTORS MEETING

203 Colorado St. Austin, TX 78701

~ Minutes ~

Board Secretary Casey Burack
512-369-6040

Wednesday, July 20, 2022
10:30 AM

10:47 AM Meeting Called to Order
2:53 PM Meeting Adjourned

I. Briefing on Light Rail Program and Project Development

ATP Interim Executive Director, Greg Canally, introduced presenters and provided a summary of the objective of the meeting.

Presenters provided an overview on the Light Rail Program and project development plan, which included current analysis related to cost and recommended actions both short and long term for program success. Presenters included:

- Brian Buchanan, Vice President, HDR;
- Tom Rousakis, Sr. Managing Director, Ernst & Young Infrastructure Advisors;
- Nicole Doheny, Sr. Managing Director Ernst & Young Infrastructure Advisors;
- Carolyn Flowers, Managing Principal, InfraStrategies; and
- Arjun Garg, Partner, Hogan Lovells.

The Board discussed the project development phase and the recommended next steps to advance program objectives. The Board also discussed opportunities for engaging the Joint Partnership on the issues presented.

Chair Castro de Barrera recessed the Board Meeting at 12:55 PM

Chair Castro de Barrera reconvened the Board Meeting at 2:06 PM

II. Public Comment

There was no public comment at the meeting.

III. Technical Advisory Committee Reports

Board Member Tony Elkins represented the following items on behalf of the Finance & Risk Advisory Committee:

- Fiscal Year 2022 Second Quarter Performance Report
- Draft Audit Plan Discussion
- ATP Director of Internal Audit Discussion

IV. Action Items

1. Approval of minutes from the June 15, 2022, Austin Transit Partnership Board Meetings.
RESULT: ADOPTED [UNANIMOUS]
MOVER: Castro de Barrera
SECONDER: Adler
AYES: Castro de Barrera, Stratton, Elkins, Adler
ABSENT:
2. Approval of a resolution adopting Title VI Program Plan for ATP
RESULT: ADOPTED [UNANIMOUS]
MOVER: Castro de Barrera
SECONDER: Adler
AYES: Castro de Barrera, Stratton, Elkins, Adler
ABSENT:
3. Approval of a resolution electing ATP Vice Chair and appointment of Vice Chair as Board liaison to the Planning, Sustainability, Equity, and DBE Committee
RESULT: POSTPONED
MOVER:
SECONDER:
AYES:
ABSENT:
4. Approval of a resolution authorizing the negotiation and execution of an interlocal grant agreement with Capital Metro for Expo Center and Pleasant Valley MetroRapid bus projects capital funding in an amount not to exceed \$35,635,829.00
5. Approval of a resolution amending the ATP Fiscal Year 2022 Budget to provide funding for the Expo Center and Pleasant Valley MetroRapid bus projects in the amount of \$13,349,695.00
RESULT: ADOPTED [UNANIMOUS]
MOVER: Castro de Barrera
SECONDER: Elkins
AYES: Castro de Barrera, Stratton, Elkins, Adler
ABSENT:

V. Item(s) from the Board

1. Update on Executive Director recruitment and hiring process

Chair Castro de Barrera and Board Member Elkins presented the proposed recruitment process. A more detailed timeline, to include community engagement, will be developed.

VI. Adjournment

ADA Compliance

Reasonable modifications and equal access to communications are provided upon request. Please call (512) 369-6040 or email chloe.maxwell@austintransitpartnership.org if you need more information.

BOARD OF DIRECTORS: *Veronica Castro de Barrera, Chair; Steve Adler, Tony Elkins, Eric Stratton and Gina Fiandaca (ex officio).*

The Board of Directors may go into closed session under the Texas Open Meetings Act. In accordance with Texas Government Code, Section 551.071, consultation with attorney for any legal issues, under Section 551.072 for real property issues; under Section 551.074 for personnel matters, or under Section 551.076, for deliberation regarding the deployment or implementation of security personnel or devices; arising regarding any item listed on this agenda.

ACTION ITEM

Approval of a resolution electing ATP Vice Chair



SUBJECT: Approval of a resolution electing a Vice Chair to the Austin Transit Partnership Board of Directors.

FISCAL IMPACT: This item has no fiscal impact.

RESPONSIBLE DEPARTMENT: Legal

EXECUTIVE SUMMARY: The ATP Bylaws stipulate that the officers of ATP shall be the Chair, Vice Chair, Secretary, Treasurer, Executive Director, and such other officers as the Board may from time to time elect or appoint. Dr. Colette Pierce Burnette served as the Vice Chair of the Board, until she resigned her position from the ATP Board of Directors, effective June 30, 2022. Therefore, in accordance with ATP's Articles of Incorporation, a new Vice Chair must be elected or appointed.

The primary duties of the Vice Chair are to perform the duties and exercise the powers of the Chair upon the Chair's death, absence, disability, or resignation, or upon the Chair's inability to perform the duties of their office.

**RESOLUTION
OF THE
AUSTIN TRANSIT PARTNERSHIP
BOARD OF DIRECTORS**

STATE OF TEXAS

Resolution ID: ATP-2022-008

COUNTY OF TRAVIS

Election of ATP Board Vice Chair

WHEREAS, the Austin Transit Partnership (“ATP”) Articles of Incorporation adopted by the Austin City Council and the Capital Metro Board of Directors on December 18, 2020, and as amended on April 25, 2022 by the Capital Metro Board of Directors(Resolution No. AI-2022-409) and on May 5, 2022 by the Austin City Council (Resolution No. 20220505-033), state that the ATP Board shall elect or appoint Officers, including a Vice Chair, by a majority vote of Board members; and

WHEREAS, Dr. Colette Pierce Burnette served as the Vice Chair of the ATP Board of Directors until her resignation, effective June 30, 2022; and

WHEREAS, the Board desires to elect or appoint a replacement Vice Chair;

NOW, THEREFORE, BE IT RESOLVED that the Board of Directors of ATP hereby elects _____ as Vice Chair of the Austin Transit Partnership Board of Directors, effective immediately, and effective through _____.

Casey Burack
Secretary of the Board

Date: _____

ACTION ITEM

Approval of a resolution appointing a Board Liaison to the Planning, Sustainability, Equity & DBE Advisory Committee



*Appointment of Board Liaison to Planning, Sustainability, Equity, and DBE
Technical Advisory Committee*

SUBJECT: Approval of a resolution appointing a Board liaison to the Planning, Sustainability, Equity, and Diversity Business Enterprise Technical Advisory Committee.

FISCAL IMPACT: This item has no fiscal impact.

RESPONSIBLE DEPARTMENT: Legal

EXECUTIVE SUMMARY: Dr. Colette Pierce Burnette served as the Board liaison to the ATP Planning, Sustainability, Equity, and Disadvantaged Business Enterprise Technical Advisory Committee (PSEC). She resigned her position from the ATP Board of Directors, effective June 30, 2022, therefore a new Board liaison must also be appointed to the PSEC.

**RESOLUTION
OF THE
AUSTIN TRANSIT PARTNERSHIP
BOARD OF DIRECTORS**

STATE OF TEXAS

Resolution ID: ATP-2022-009

COUNTY OF TRAVIS

**Appointment of Board Liaison to Planning,
Sustainability, Equity, and Diversity
Business Enterprise Advisory Committee**

WHEREAS, Dr. Colette Pierce Burnette served as the Board liaison to the ATP Planning, Sustainability, Equity, and Disadvantaged Business Enterprise Technical Advisory Committee (PSEC) until her resignation, effective June 30, 2022; and

WHEREAS, the Board desires appoint a replacement Board liaison to the PSEC;

NOW, THEREFORE, BE IT RESOLVED that the Board of Directors of ATP hereby appoints _____, or their designee, as the Board liaison to the ATP Planning, Sustainability, Equity, and Disadvantaged Business Enterprise Technical Advisory Committee, effective immediately.

**Casey Burack
Secretary of the Board**

Date: _____

DISCUSSION ITEM

Proposed Fiscal Year 2023 Budget Presentation

ITEM FROM INTERNAL AUDIT

Briefing on ATP's Fiscal Year 2023 Audit Plan

Draft Audit Plan for FY23

AUDIT PROJECTS			
Project Topic	Preliminary Objective	Priority	Source
Contract Compliance Audits of HDR, AECOM, and HNTB agreements¹	Are ATP contract monitoring practices ensuring task orders are effectively evaluated and contractor compliance with key contract provisions?	High	Co-source with external auditors
Joint Powers Agreement	<p>Are processes being designed and implemented to ensure ATP fulfills key provisions of the joint powers agreement?</p> <p>Focus areas may include:</p> <ul style="list-style-type: none"> • Conducting community engagement • Establishing transit equity goals and metrics • Developing the Disadvantaged Business Enterprise (DBE) program • Ensuring OSHA compliance • Identifying ways to clarify expectations 	High	Internal Audit staff (two audit positions requested for FY23)
Procurement Process	Do procurement processes comply with ATP policies and promote efficient and fair contracting processes?	Medium	Co-source with external auditors
Public Information Requests	Do current processes ensure ATP is following open records laws and ensure ATP is properly responding to public information requests (PIRs) in accordance with State law?	High	Internal Audit staff (two audit positions requested for FY23)

¹Agreements were executed by CapMetro in December 2018, March 2019, and April 2019 respectively prior to the establishment of the Austin Transit Partnership. As the contracting entity, the CapMetro Board continues to provide oversight of contract modifications related to these agreements.

Draft Audit Plan for FY23

NON-AUDIT AND ADVISORY PROJECTS			
Project Topic	Objective	Priority	Source
Annual Audit Planning	Perform entity-wide risk evaluation and prepare annual audit plan	High	Internal Audit staff (two audit positions requested for FY23)
Ethics Investigations²	Review complaints received through the ethics hotline and website, and conduct related investigations as needed	High	Internal Audit staff (two audit positions requested for FY23)
Other Risk Advisory Services	<ul style="list-style-type: none"> • Review executive travel and expense reimbursements • Provide input on ATP policies to enhance internal controls, as requested by management • Participate as risk advisor in various capacities 	Low	Internal Audit staff (two audit positions requested for FY23)

² Suspected misconduct or ethics-related concerns can now be reported at atp.ethix360.com or by calling 888-57-ATPTX (2-8789).

Next Steps

- Board approval of Draft Audit Plan in September
- Advertise ethics reporting hotline and website
- Establish KPIs for audit function
- Hire internal audit staff, as needed
- Develop scope of work for external assurance providers



**INTERNAL AUDIT PLAN
FISCAL YEAR 2023**

The mission of Internal Audit is to help improve ATP’s governance, control, and risk management through independent, objective assurance and advisory services. Internal Audit assessed the governance, risk environment, and operations of ATP to prepare this audit plan. Using that assessment, this plan was developed following a risk-based approach to provide the greatest possible benefit to ATP given resources and combined assurance from other oversight functions.

Projects in this plan include auditⁱ and advisory servicesⁱⁱ conducted by Internal Audit, as well as projects co-sourced and outsourced to external assurance providers. If needed, this audit plan will be revised throughout the fiscal year in response to changes in ATP’s risk environment, operations, programs, systems, and controls. Significant deviations will be presented to the ATP Board.

AUDIT PROJECTS				
Project Topic	Preliminary Objective	Priority	Source	Resources & Cost
Contract Compliance Audits of HDR, AECOM, and HNTB agreements¹	Are ATP contract monitoring practices ensuring task orders are effectively evaluated and contractor compliance with key contract provisions?	High	Co-source	Tiered contract with external assurance provider
Joint Powers Agreement	Are processes being designed and implemented to ensure ATP fulfills key provisions of the joint powers agreement? Focus areas may include: <ul style="list-style-type: none"> • Conducting community engagement • Establishing transit equity goals and metrics • Developing the Disadvantaged Business Enterprise (DBE) program • Ensuring OSHA compliance • Identifying ways to clarify expectations 	High	Internal Audit	Internal Audit staff (two audit positions requested for FY23)

¹ **NOTE:** Agreements were executed by the Capital Metropolitan Transportation Authority (CapMetro) in December 2018, March 2019, and April 2019 respectively prior to the establishment of Austin Transit Partnership. As the contracting entity, the CapMetro Board continues to provide oversight of contract modifications related to these agreements.

AUDIT PROJECTS (cont.)				
Project Topic	Preliminary Objective	Priority	Source	Resources & Cost
Procurement Process	Do procurement processes comply with ATP policies and promote efficient and fair contracting processes?	Medium	Co-source	Contract with external assurance provider
Public Information Requests	Do current processes ensure ATP is following open records laws and ensure ATP is prepared to properly respond to public information requests (PIRs) in accordance with State law?	High	Internal Audit	Internal Audit staff (two audit positions requested for FY23)

NON-AUDIT AND ADVISORY PROJECTS				
Project Topic	Objective	Priority	Source	Resources & Cost
Annual Audit Planning	Perform entity-wide risk evaluation and prepare annual audit plan	High	Internal Audit	Use two internal audit staff described above
Ethics Investigations²	Review complaints received through the ethics hotline and conduct related investigations as needed	High	Internal Audit	Use two internal audit staff described above
Other Risk Advisory Services	<ul style="list-style-type: none"> Review executive travel and expense reimbursements Provide input on ATP policies to enhance internal controls, as requested by management Participate as risk advisor in various capacities 	Low	Internal Audit	Use two internal audit staff described above

² Suspected misconduct or ethics-related concerns can now be reported at atp.ethix360.com or by calling 888-57-ATPTX (2-8789).

Project Alternatives

If it is determined that one or more of the projects above cannot be completed or completion would provide more value at a later date, priority should be given to the following replacement projects. Needed resources and costs will be evaluated as project replacements occur.

Project Topic	Type	Preliminary Objective	Priority	Source
Communication with Impacted Businesses	Audit	Are communications with impacted businesses transparent and timely?	Medium	Internal Audit
Human Resources	Advisory Service	Evaluate human resources policies to identify priority areas for further development. Focus areas may include: <ul style="list-style-type: none"> • Recruiting and hiring • Onboarding and training • Employee relations • Employee benefits • Organizational structure and culture • Performance management 	High	Internal Audit
Shared Services	Advisory Service	Evaluate functions shared with partner organizations to identify gaps and redundancies.	Medium	Internal Audit
Transparency: External	Advisory Service	Assemble community feedback on what information the public would most like to receive and determine if ATP has established processes to communicate transparently and meet those needs.	High	Internal Audit

ⁱ An audit, or assurance, engagement is a project whereby an independent internal auditor objectively assesses an entity, operation, function, process, system, or other subject matter to provide an opinion or overall conclusion on the efficacy of the audited subject. The nature and scope of an assurance engagement are determined by the internal auditor. Results are reported to an oversight entity such as a Board of Directors or Audit Committee.

ⁱⁱ An advisory, or consulting, service is generally performed at the specific request of an engagement client, or the intended recipient of the advisory service. The nature and scope of the consulting engagement are subject to agreement with the engagement client. Internal auditors are required to maintain objectivity throughout advisory engagements, and not assume management responsibility despite the advisory nature of the project.

**AUSTIN
TRANSIT
PARTNERSHIP**

THANK YOU!