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SEPTEMBER 7, 2017

TO: BOARD OF DIRECTORS

THROUGH: PHILLIP WASHINGTON *PW*
CHIEF EXECUTIVE OFFICER

FROM: DIANA ESTRADA *DE*
CHIEF AUDITOR, MANAGEMENT AUDIT SERVICES

**SUBJECT: STATUS OF AUDIT RECOMMENDATIONS AS OF
JUNE 30, 2017**

ISSUE

At the March 2005 Executive Management and Audit Committee meeting, the committee requested that the status of all open audit recommendations be reported to them. The report includes audits performed by Management Audit, Office of the Inspector General and audits performed by outside auditors.

DISCUSSION

In this report Management Audit fulfills the request to report the corrective actions for all open audit recommendations related to findings for Metro Operations, Planning and Development, Communications, Information Technology, Finance and Budget, Program Management, Vendor/Contract Management, Labor/Employee Relations, Congestion Reduction, Systems, Safety and Law Enforcement, and other funded agencies.

During the fourth quarter of FY17, nine recommendations were added and 33 recommendations from previous audits were closed. At the end of the quarter, there were 58 outstanding audit recommendations. Details of all open recommendations as of June 30, 2017 are included in Attachment A.

In addition to the above MAS and external audit recommendations, we closed seven recommendations made by the Office of the Inspector General (OIG). At the end of the quarter, there were 131¹ outstanding OIG audit recommendations. The total open recommendations as of June 30, 2017 are included in Attachment B.

We are actively working with staff to close each recommendation as quickly as possible. Any findings that have not been corrected 90 days after the due date are reported as late.

¹ This total does not include recommendations included in the Audit of Westside Purple Line Extension Section 2-Modification No. 52, and Review of Metro Safety Culture and Rail Operational Safety, as the management response and/or estimated completion dates are still pending.

Table 1
Summary of MAS and External Audit Recommendations
as of June 30, 2017

Executive Area	Closed	Open Recommendations			
		Late	Extended	Not Yet Due/Under Review	Total Open
Program Management	5		1		1
Labor/Employee Relations	1				
Risk Management	10			10	10
Vendor/Contract Management				1	1
Information Technology	2			4	4
Metro Operations	7		9	21	30
Planning and Development	5		5		5
Communications	2		7		7
Congestion Reduction	1				
Totals	33		22	36	58

Table 2
Summary of OIG Audit Recommendations
as of June 30, 2017

Executive Area	Closed	Open Recommendations			
		Late	Extended	Not Yet Due/Under Review	Total Open
Program Management				109	109
Labor/Employee Relations	1		3	5	8
Finance and Budget				1	1
Operations	4		6	1	7
Information Technology	1				
Vendor/Contract Management	1			5	5
Systems, Security & Law Enforcement			1		1
Totals	7		10	121	131¹

NEXT STEPS

Management Audit Services will provide the next quarterly status report for the period ending June 30, 2017.

ATTACHMENT(S)

- A. MAS Open Audit Recommendations Report
- B. OIG Open Audit Recommendations Report

¹ This total does not include recommendations included in the Audit of Westside Purple Line Extension Section 2-Modification No. 52, and Review of Metro Safety Culture and Rail Operational Safety, as the management response and/or estimated completion dates are still pending.

No.	Report Number	Report Date	Audit Entity	Title	Exec Area	Rec No	Recommendation	Finding/Corrective Action	Original Completion Date	Extended Completion Date
1	11-OPS-006	10/25/2013	MAS	HASTUS	Operations	2	We recommend the Chief Operations Officer require the Scheduling department to: Provide training on all ATP features. Update: HASTUS upgrade bug fixes are scheduled during June 2017 shake-up. When the June 2017 shake-up is finished, staff will be fully trained.	Ineffective use of ATP analytical module for Running Time and Minimum Layover Analyses. Scheduling will require Giro to focus training efforts on ATP features.	6/30/2016	12/31/2017
2	11-OPS-006	10/25/2013	MAS	HASTUS	Operations	3	We recommend the Chief Operations Officer require the Scheduling department to: Provide training on all AP features. a. Develop the requirements to utilize AVL data to supplement missing data from the APC. b. Customize the current ATP module to improve its functionality until the proposed upgrade can be accomplished. Update: HASTUS upgrade bug fixes are scheduled during June 2017 shake-up. When the June 2017 shake-up is finished, staff will be fully trained.	Ineffective use of ATP analytical module for Running Time and Minimum Layover Analyses. Scheduling will assess the cost/benefit of customizing the current ATP module, pending availability of the APC and AVL dataset prior to HASTUS 2014 upgrade.	6/30/2016	12/31/2017
3	11-OPS-006	10/25/2013	MAS	HASTUS	Operations	4	We recommend the Chief Operations Officer consider utilizing more of HASTUS' Minibus module features by: Defining the higher minimum of either 1) the United Transportation Union Labor Agreement, or 2) an operational minimum layover time. Update: Upgrade of the HASTUS system to 2015 version is completed. Decision is being made between use of minimum of #1 or #2	Ineffective use of Minibus optimization module in creating vehicle schedules: Scheduling will define the operation minimum layover time based on the results of the run time analyses.	6/30/2016	12/31/2017
4	11-OPS-006	10/25/2013	MAS	HASTUS	Operations	5	We recommend the Chief Operations Officer consider utilizing more of HASTUS' Minibus module features by: Looking for opportunities to interline routes as a strategy for achieving a more cost effective solution. Update: Upgrade of the HASTUS system to 2015 version is completed. Work on Minibus Module is in progress.	Ineffective use of Minibus optimization module in creating vehicle schedules. Scheduling will look for additional interlining opportunities that are "streetable".	6/30/2016	12/31/2017
5	11-OPS-006	10/25/2013	MAS	HASTUS	Operations	6	We recommend the Chief Operations Officer consider utilizing more of HASTUS' Minibus module features by: Developing a more robust, realistic deadhead matrix and use the matrix during the vehicle blocking process to globally optimize its bus system schedules. Update: Upgrade of the HASTUS system to 2015 version is completed. Work on Minibus Module is in progress.	Ineffective use of Minibus optimization module in creating vehicle schedules. Scheduling will review and update the deadhead matrix to support new and existing interlining solutions.	6/30/2016	12/31/2017
6	11-OPS-006	10/25/2013	MAS	HASTUS	Operations	7	We recommend the Chief Operations Officer consider utilizing more of HASTUS' Minibus module features by: Defining the maximum number of vehicle groups possible for any given trip. Update: Upgrade of the HASTUS system to 2015 version is completed. Work on Minibus Module is in progress.	Ineffective use of Minibus optimization module in creating vehicle schedules. Scheduling will update HASTUS to allow for a mix of vehicle types after a review the route infrastructure to ensure/certify the type of vehicles that can operate on a particular line.	6/30/2016	12/31/2017
7	11-OPS-006	10/25/2013	MAS	HASTUS	Operations	8	We recommend the Chief Operations Officer consider utilizing more of HASTUS' Minibus module features by: Training Schedulers to use Minibus advanced features. Update: Upgrade of the HASTUS system to 2015 version is completed. Work on Minibus Module is in progress.	Ineffective use of Minibus optimization module in creating vehicle schedules. Scheduling will require Giro to provide additional training on Minibus	6/30/2016	12/31/2017
8	11-OPS-006	10/25/2013	MAS	HASTUS	Operations	11	We recommend the Chief Operations Officer. Consider multi-division operator run cutting to optimize workforce distribution amongst divisions. Update: Upgrade of the HASTUS system to 2015 version is completed. Work on Minibus Module is in progress.	Ineffective use of CrewOpt optimization module in creating crew schedules: Scheduling will require Giro to perform additional training on new rules for multi-division operator run cutting in HASTUS.	6/30/2016	12/31/2017

No.	Report Number	Report Date	Audit Entity	Title	Exec Area	Rec No	Recommendation	Finding/Corrective Action	Original Completion Date	Extended Completion Date
9	11-OPS-006	10/25/2013	MAS	HASTUS	Operations	12	We recommend the Chief Operations Officer. Adopt integrated scheduling to improve the efficiency of run cuts. Update: Upgrade of the HASTUS system to 2015 version is completed.	Ineffective use of CrewOpt optimization module in creating crew schedules. Scheduling will adopt integrated scheduling to improve run cut efficiency.	6/30/2016	12/31/2017
10	13-CEO-P01	3/31/2016	MAS	Cost Estimating Process	Program Management	2	Communicate the policies and procedures to staff, consultants and users. Update: Closed as of July 2017.	Lack of formal and comprehensive written policies and procedures to clarify roles and responsibilities and to ensure consistency of the process and format used in estimating. Not having comprehensive policies and procedures caused several issues. Program Management agrees on the recommendations and estimated time to complete the recommendations will be about one year if the additional resource is granted.	3/31/2017	6/30/2017
11	16-COM-P01	8/31/2016	MAS	Special Fares Programs	Communications	14	We recommend the Communications Department update the B-TAP Program Policy and/or Agreement terms so that the language on these two documents are consistent with the intended pricing level for B-TAP customers. Update: The B-TAP program is under review by OMB and TAP operations.	Inconsistency between B-TAP Customer Agreement and B-TAP Policy. Metro Commute Services (MCS) agrees. All reduced fare programs are currently under review with the Office of the CEO, DEO of Finance and OMB. The findings from the review/evaluation will determine the policies, procedures and pricing model that will govern the B-TAP program March 31, 2017. We will update our policy and agreement terms to ensure consistency between these two documents and will complete the update in accordance with the new model by March 31, 2017.	3/31/2017	12/31/2017
12	16-COM-P01	8/31/2016	MAS	Special Fares Programs	Communications	20	We recommend the Communications Department to report the program performance periodically to the appropriate level of management to support decision making. Update: Pending completion of MOU which is currently being reviewed by County Counsel.	Lack of program ownership and oversight for Juror TAP (J-TAP) Program. Metro Commute Services (MCS) agrees. MCS will work directly with TAP Operations to implement cross-functional responsibilities between the two departments. An updated MOU may be necessary and if so, once will be written or the current one will be updated by March 31, 2017.	3/31/2017	12/31/2017
13	16-COM-P01	8/31/2016	MAS	Special Fares Programs	Communications	21	We recommend the Communications Department to renew the agreement with the Court to confirm mutual agreement. Update: Pending completion of MOU which is currently being reviewed by County Counsel.	Lack of program ownership and oversight for Juror TAP (J-TAP) Program. Metro Commute Services (MCS) agrees. MCS will work directly with TAP Operations to implement cross-functional responsibilities between the two departments. An updated MOU may be necessary and if so, once will be written or the current one will be updated by March 31, 2017.	3/31/2017	12/31/2017
14	16-COM-P01	8/31/2016	MAS	Special Fares Programs	Communications	22	We recommend the Communications Department to revisit the program purpose and guidelines/requirements to assess the current J-TAP Program performance. Update: Pending completion of MOU which is currently being reviewed by County Counsel.	Lack of program ownership and oversight for Juror TAP (J-TAP) Program. Metro Commute Services (MCS) agrees. MCS will work directly with TAP Operations to implement cross-functional responsibilities between the two departments. An updated MOU may be necessary and if so, once will be written or the current one will be updated by March 31, 2017.	3/31/2017	12/31/2017

No.	Report Number	Report Date	Audit Entity	Title	Exec Area	Rec No	Recommendation	Finding/Corrective Action	Original Completion Date	Extended Completion Date
15	16-COM-P01	8/31/2016	MAS	Special Fares Programs	Communications	23	We recommend the Communications Department obtain a written agreement with DCFS to confirm the mutual agreement and to retain the legal rights to enforce DCFS to meet the Program guidelines and requirements. Update: Pending completion of MOU which is currently being reviewed by County Counsel.	Lack of written agreement for Youth on the Move Program (YOTM for foster youth). Metro Commute Services (MCS) agrees. Although there are Board documentations and writings that assist in governing the YOTM program, the implementation of an MOU will be explored and constructed. MCS periodically produces an active card list and forwards it to the DCFS YOTM program manager for review. We will work with the manager at Department of Children and Family Services (DCFS) to determine a preset calendar schedule. All findings will be shared with the appropriate level of management by March 31, 2017.	3/31/2017	12/31/2017
16	16-COM-P01	8/31/2016	MAS	Special Fares Programs	Communications	25	We recommend the Communications Department to assess the program performance periodically, and report to the appropriate level of management. Update: Pending completion of MOU which is currently being reviewed by County Counsel.	Lack of written agreement for Youth on the Move Program (YOTM for foster youth). Metro Commute Services (MCS) agrees. Although there are Board documentations and writings that assist in governing the YOTM program, the implementation of an MOU will be explored and constructed. MCS periodically produces an active card list and forwards it to the DCFS YOTM program manager for review. We will work with the manager at Department of Children and Family Services (DCFS) to determine a preset calendar schedule. All findings will be shared with the appropriate level of management by March 31, 2017.	3/31/2017	12/31/2017
17	16-COM-P01	8/31/2016	MAS	Special Fares Programs	Communications	26	We recommend the Communications Department to revisit the program purpose and assess the pricing model to generate the optimal program revenue. Update: The B-TAP program is under review by OMB and TAP operations. Once MCS receives an update from OMB regarding the B-TAP pricing, MCS will be implementing new rules and pricing models to ensure optimal program revenue.	Business Transit Access Pass (B-TAP) Program - Revenue neutrality requirement is not satisfied. Metro Commute Services (MCS) agrees. All reduced fare programs are currently under review with the Office of the CEO, DEO of Finance and OMB. The findings from the review/evaluation will determine the policies, procedures and pricing model that will govern the B-TAP program.	3/31/2017	12/31/2017
18	14-EDD-P01	8/31/2016	MAS	Real Estate Property	Planning & Development	9	We recommend that Real Estate Management set dollar threshold levels of approval for credit memos. Update: Dollar thresholds are being finalized and will be reviewed by all stakeholder groups. This recommendation will meet the target of 9/30/2017.	Inaccurate Billings for Leases. Real Estate Management agrees. Real Estate staff has already deactivated all billboard and fiber optic license agreements that are part of a Master License agreement, as a main source of manual invoice discrepancies. Staff is preparing to issue an RFP for a new Asset Management System to address concerns about incorrect invoices and supporting documentation and will develop policies and procedures that will establish dollar threshold limits for approval of credit memos and incorporate into the new Asset Management System by June 30, 2017.	6/30/2017	9/30/2017

No.	Report Number	Report Date	Audit Entity	Title	Exec Area	Rec No	Recommendation	Finding/Corrective Action	Original Completion Date	Extended Completion Date
19	14-EDD-P01	8/31/2016	MAS	Real Estate Property	Planning & Development	11	We recommend that Real Estate Management complete the required inspections and document inspection records on file. Update: Master schedule is in development as well as logistics, after-action, and resource requirements for successful execution of any Inspection Master Schedule.	Under performance of required inspections. Real Estate Management concurs. A change to the policies and procedures for placing records into ECMS by the Property Management Unit has been implemented on May 19, 2016. In addition, Staff will conduct annual inspections of MTA-owned buildings that are leased to others (as required by existing policy) and record those inspections in ECMS by June 30, 2017. Ground leases will be inspected when the subject lease is being reviewed for FMV rental adjustments (every three to five years as required by existing policy).	6/30/2017	12/31/2017
20	14-EDD-P01	8/31/2016	MAS	Real Estate Property	Planning & Development	12	We recommend that Real Estate complete the write off process for delinquent accounts that are deemed uncollectable in accordance with the policy established for writing off uncollectable amounts. Update: Property management is in the process of revising its write off process and procedures as defined in Audit Recommendation 13 and then will begin the process of writing off all customer accounts deemed uncollectable with an expected completion timeline of 12/31/2017.	Revenue collection process can be improved. Real Estate Management agrees and had already started implementing the corrective actions. Real Estate staff has completed the write-off of all accounts that have been deemed to be uncollectable on March 4, 2016. County Counsel has hired outside counsel to assist in resolving issues with Time Warner Telecom and Level 3. Staff will work with County Counsel to address these accounts. Staff will develop policies and procedures for collecting and writing off past due accounts including consultation with County Counsel as required. This will be completed by June 30, 2017. Staff will establish a process for investigating customer's payment that has no invoice reference so proper application of payment received can be made or invoice can be prepared and incorporate into the new Asset Management System.	6/30/2017	12/31/2017
21	14-EDD-P01	8/31/2016	MAS	Real Estate Property	Planning & Development	13	We recommend that Real Estate Management develops policies and procedures for collecting and writing off past due accounts including when consultation with County Counsel is required. Policy should include timeframes to ensure timely actions are taken. Update: Asset Management will revise its dollar thresholds once senior management positions have been filled.	Revenue collection process can be improved. Real Estate Management agrees and had already started implementing the corrective actions. Real Estate staff has completed the write-off of all accounts that have been deemed to be uncollectable on March 4, 2016. County Counsel has hired outside counsel to assist in resolving issues with Time Warner Telecom and Level 3. Staff will work with County Counsel to address these accounts. Staff will develop policies and procedures for collecting and writing off past due accounts including consultation with County Counsel as required. This will be completed by June 30, 2017. Staff will establish a process for investigating customer's payment that has no invoice reference so proper application of payment received can be made or invoice can be prepared and incorporate into the new Asset Management System.	6/30/2017	12/31/2017

No.	Report Number	Report Date	Audit Entity	Title	Exec Area	Rec No	Recommendation	Finding/Corrective Action	Original Completion Date	Extended Completion Date
22	14-EDD-P01	8/31/2016	MAS	Real Estate Property	Planning & Development	14	We recommend that Real Estate Management will establish a process for investigating customer's payment that has no invoice reference so proper application of payments received can be made or invoice can be prepared. Update: Real Estate Management is working with Accounting to resolve the reconciliation of discrepancy between invoices vs. actual payment made by the customer because Asset Management in Real Estate Department is responsible for preparing billing schedules and Accounting is responsible for generating invoices. Both departments need to work together to correct the issue.	Revenue collection process can be improved. Real Estate Management agrees and had already started implementing the corrective actions. Real Estate staff has completed the write-off of all accounts that have been deemed to be uncollectable on March 4, 2016. County Counsel has hired outside counsel to assist in resolving issues with Time Warner Telecom and Level 3. Staff will work with County Counsel to address these accounts. Staff will develop policies and procedures for collecting and writing off past due accounts including consultation with County Counsel as required. This will be completed by June 30, 2017. Staff will establish a process for investigating customer's payment that has no invoice reference so proper application of payment received can be made or invoice can be prepared and incorporate into the new Asset Management System.	6/30/2017	10/31/2017
23	16-OPS-P01	11/18/2016	MAS	Wayside Systems - Track Maintenance	Operations	1	We recommend the Chief Operations Officer require Track management to develop an inventory of linear assets and their components that can be the basis of a PMP to accurately forecast maintenance requirements and component replacements.	Track Preventative Maintenance Plan is not Proactively Aimed towards Sustainment of the Track Structure. Management agrees with the recommendations and Operations will develop an inventory of linear assets and their components by June 30, 2017. This will be dependent on available resources to purchase or develop an M3 module to ensure that a robust inventory of track assets and their components are used as the basis of a PMP for forecast maintenance requirements and component replacements.	6/30/2017	
24	16-OPS-P01	11/18/2016	MAS	Wayside Systems - Track Maintenance	Operations	2	We recommend the Chief Operations Officer require Track management to develop a formal risk assessment of potential failures for track components or assets aimed at supplementing the current inspection program with a scheduled maintenance plan for selected components or maintenance practices.	Track Preventative Maintenance Plan is not Proactively Aimed towards Sustainment of the Track Structure. Management agrees with the recommendations and Operations will develop a formal risk assessment of potential failures for track components or assets to supplement the existing inspection program inclusive of models and equations to support assessment data and analysis.	6/30/2017	
25	16-OPS-P01	11/18/2016	MAS	Wayside Systems - Track Maintenance	Operations	4	We recommend the Chief Operations Officer require Track management to develop quality standards for track maintenance to proactively maintain Metro's unique track infrastructure.	Track Preventative Maintenance Plan is not Proactively Aimed towards Sustainment of the Track Structure. Management agrees with the recommendations and Operations will include quality standards in the Track Field Inspection Manual and policies and procedures.	6/30/2017	
26	16-OPS-P01	11/18/2016	MAS	Wayside Systems - Track Maintenance	Operations	6	We recommend that while the long-term recommendation is being evaluated, that the Chief Operations Officer require Track management to revise inspection forms/reports to include: applicable checklists with inspection criteria for the different types of inspections; condition description, and ranking description of conditions with estimated completion for corrective actions.	Track Inspection Data not used for Analysis and Evaluation of Track Structure Condition. Management agrees with the recommendations and Operations will revise inspection forms/reports to include: applicable checklists with inspection criteria for the different types of inspections; condition description, and ranking description of conditions with estimated completion for corrective actions by June 30, 2017.	6/30/2017	

No.	Report Number	Report Date	Audit Entity	Title	Exec Area	Rec No	Recommendation	Finding/Corrective Action	Original Completion Date	Extended Completion Date
27	16-OPS-P01	11/18/2016	MAS	Wayside Systems - Track Maintenance	Operations	7	We recommend that while the long-term recommendation is being evaluated, that the Chief Operations Officer require Track management to train inspectors to properly complete both inspection and maintenance forms.	Track Inspection Data not used for Analysis and Evaluation of Track Structure Condition. Management agrees with the recommendations and Operations will train inspectors to properly complete both inspection and maintenance forms by June 30, 2017.	6/30/2017	
28	16-OPS-P01	11/18/2016	MAS	Wayside Systems - Track Maintenance	Operations	8	We recommend that while the long-term recommendation is being evaluated, that the Chief Operations Officer require Track management to log all conditions that impact the track structure in the inspection reports, including water damage in the tunnels.	Track Inspection Data not used for Analysis and Evaluation of Track Structure Condition. Management agrees with the recommendations and Operations will log all conditions that impact the track structure in the inspection reports, including flooding in the tunnels. Coordinate with other units, including Facilities Maintenance, to implement corrective actions for all key inspection conditions impacting the track structure by June 30, 2017.	06/30/2017	
29	16-OPS-P01	11/18/2016	MAS	Wayside Systems - Track Maintenance	Operations	9	We recommend that while the long-term recommendation is being evaluated, that the Chief Operations Officer require Track management to collaborate with ITS to explore best options to enter inspection results in electronic format in a centralize location to allow future trends and analyses of data. Update: Closed as of August 2017.	Track Inspection Data not used for Analysis and Evaluation of Track Structure Condition. Management agrees with the recommendations and Operations will work with ITS to explore digitalizing inspection results and store results in a central location to allow future trends and analysis of the data by June 30, 2017. This may coincide with the purchase of an M3 module as noted in Recommendation No. 1 .	6/30/2017	
30	16-OPS-P01	11/18/2016	MAS	Wayside Systems - Track Maintenance	Operations	10	We recommend that while the long-term recommendation is being evaluated, that the Chief Operations Officer require Track management to work with other business units who are responsible to implement any corrective actions that may impact track maintenance and/or track condition.	Track Inspection Data not used for Analysis and Evaluation of Track Structure Condition. Management agrees with the recommendations and Operations will record all obvious deviations and communicate them to the appropriate units to maintain safe track conditions by June 30, 2017. Further, Operations agrees that track maintenance is a team effort and should be planned in accordance with the frequency of other inspections that occur in the tunnel.	6/30/2017	
31	16-OPS-P01	11/18/2016	MAS	Wayside Systems - Track Maintenance	Operations	11	We recommend that the Chief Operations Officer, require Track management to collaborate with ITS to maximize the use of the M3 system (Inspection and/or Work Management modules) or identify a new system that is more suited for their process and make this a budgetary priority. Update: Closed as of August 2017.	Track Work Order Process Is Incomplete. Management agrees with the recommendations and Operations will collaborate with ITS to maximize the use of the M3 system (Inspection and/or Work Management modules) by June 30, 2017.	6/30/2017	
32	16-OPS-P01	11/18/2016	MAS	Wayside Systems - Track Maintenance	Operations	12	We recommend that the Chief Operations Officer, require Track management to provide training for track management, supervisors and/or leads that create work orders in the M3 system.	Track Work Order Process is Incomplete. Management agrees with the recommendations and Operations will provide training on M3 work orders by June 30, 2017.	6/30/2017	
33	16-OPS-P01	11/18/2016	MAS	Wayside Systems - Track Maintenance	Operations	13	We recommend that the Chief Operations Officer, require Track management to log all open maintenance conditions in M3, as they are identified, to produce meaningful reports.	Track Work Order Process is Incomplete. Management agrees with the recommendations and Operations will log all open maintenance conditions in M3 as they are identified to produce meaningful reports by June 30, 2017.	6/30/2017	

No.	Report Number	Report Date	Audit Entity	Title	Exec Area	Rec No	Recommendation	Finding/Corrective Action	Original Completion Date	Extended Completion Date
34	16-OPS-P01	11/18/2016	MAS	Wayside Systems - Track Maintenance	Operations	15	We recommend the Chief Operations Officer require Tracks Management to develop departmental policies and procedures specific to Track Maintenance activities and specify the track maintenance standards and/or guidelines that should be followed.	No Metro Specific Policy Developed to Maintain Track Structure. Management agrees with the recommendations and Operations will develop policies and procedures specific to Track Maintenance and incorporate them into the Track Field Inspection Manual reference in recommendation #4, by June 30, 2017.	6/30/2017	
35	16-OPS-P01	11/18/2016	MAS	Wayside Systems - Track Maintenance	Operations	16	We recommend the Chief Operations Officer require Tracks Management to develop an illustrative field manual based on Metro's own criteria for track maintenance and allocate the necessary budget to do this.	No Metro Specific Policy Developed to Maintain Track Structure. Management agrees with the recommendations and Operations will develop an illustrative field based manual based on Metro's own criteria for track maintenance, which will be incorporated into the Track Field Inspection Manual by June 30, 2017.	6/30/2017	
36	16-OPS-P01	11/18/2016	MAS	Wayside Systems - Track Maintenance	Operations	17	We recommend the Chief Operations Officer require Tracks Maintenance to update SOPs to align with the track inspection criteria.	No Metro Specific Policy Developed to Maintain Track Structure. Management agrees with the recommendations and Operations will update SOPs to align with the track inspection criteria, which will be noted in the Track Field Inspection Manual by June 30, 2017.	6/30/2017	
37	16-OPS-P01	11/18/2016	MAS	Wayside Systems - Track Maintenance	Operations	19	We recommend that the Chief Operations Officer require Track Management to create a long term maintenance equipment acquisition and replacement plan, recognizing the need for reliable and uninterrupted equipment utilization for our expanding rail operations and obtain the budget and resources necessary for the plan. Update: Closed as of August 2017.	Lack of Long-Term Plan for Acquisition and Replacement of Track Maintenance Equipment. Management agrees with the recommendations and Operations will include a long term maintenance equipment acquisition and replacement plan in the FY18 Operations capital project non-revenue service plan/efforts dependent on available resources by June 30, 2017.	6/30/2017	
38	16-OPS-P01	11/18/2016	MAS	Wayside Systems - Track Maintenance	Operations	20	We recommend that the Chief Operations Officer require Track Management to define training and certification program requirements for each task performed by the unit, including the frequency for each course.	Track Inspector Training is Incomplete and Needs Updating. Management agrees with the recommendations and Operations will define training and certification program requirements for each task performed by the unit, including the frequency for each course, by June 30, 2017.	6/30/2017	
39	16-OPS-P01	11/18/2016	MAS	Wayside Systems - Track Maintenance	Operations	21	We recommend that the Chief Operations Officer require Track Management to bring inspectors current on all their training and re-certification requirements including refresher and welding courses.	Track Inspector Training is Incomplete and Needs Updating. Management agrees with the recommendations and Operations will ensure that training and certification requirements are current for all Inspectors by March 31, 2017. Please note that as of today, November 10, 2016, all Inspector training and recertification requirements are up-to-date except for welding, which is not a requirement for inspectors at this time.	3/31/2017	
40	16-OPS-P01	11/18/2016	MAS	Wayside Systems - Track Maintenance	Operations	22	We recommend that the Chief Operations Officer require Track Management to consider collaborating with ITS to determine whether Operations' existing OTTS system can be modified and used by Rail Instruction or implement and automated Track Training Management system to gain greater visibility of employee training records and data.	Track Inspector Training is Incomplete and Needs Updating. Management agrees with the recommendations and Operations will work with ITS to determine if the OTTS system can be used by Rail instruction to automate Track's training records and data by December 31, 2017.	12/31/2017	

No.	Report Number	Report Date	Audit Entity	Title	Exec Area	Rec No	Recommendation	Finding/Corrective Action	Original Completion Date	Extended Completion Date
41	16-OPS-P01	11/18/2016	MAS	Wayside Systems - Track Maintenance	Operations	23	We recommend that the Chief Operations Officer require Track Management to consider making specialized areas such as welding a part of the Inspector's Job specification.	Track Inspector Training is Incomplete and Needs Updating. Management agrees with the recommendations and Operations will consider making specialized areas such as welding part of the inspector's job specification, dependent on collaboration with labor unions and available budget for training, by June 30, 2017.	6/30/2017	
42	16-OPS-P01	11/18/2016	MAS	Wayside Systems - Track Maintenance	Operations	24	We recommend that the Chief Operations Officer require Track Management to consider acquiring a dedicated instructor for Track Maintenance to ensure all employees receive appropriate training.	Track Inspector Training is Incomplete and Needs Updating. Management agrees with the recommendations and Operations will consider acquiring a dedicated instructor for Track Maintenance by July 1, 2017. This will be requested in the FY18 budget.	7/31/2017	
43		12/16/2016	PUC	2016 Triennial Safety Review of the Los Angeles County Metropolitan Transportation Authority	Risk Management/ Operations	1	LACMTA must review and/or revise Emergency Plans at intervals as required by LACMTA procedures.	No dates or hardcopy documentation was available to show plans were reviewed per Metro policy. This item was forwarded to the responsible party, and Corporate Safety is awaiting action.	7/1/2017	
44		12/16/2016	PUC	2016 Triennial Safety Review of the Los Angeles County Metropolitan Transportation Authority	Risk Management/ Operations	2	LACMTA Management should properly complete and fill out the Ride Check Forms with accurate and correct information.	Ride checks were improperly filled out. We verified July/August 2016 ride check forms, and about 25 out of 50 forms were improperly filled out (i.e. missing location on/off, Operator/Student name, Badge #). Corporate Safety met with Operations Staff and advised staff to issue a memorandum to all affected staff stating all forms should be completely filled out. After memorandum has been issued, Corporate Safety and CPUC will field-verify three months to ensure practice is being followed.	7/15/2017	
45		12/16/2016	PUC	2016 Triennial Safety Review of the Los Angeles County Metropolitan Transportation Authority	Risk Management/ Operations	5	LACMTA Management should assure employees complete the SCADA Monthly Preventative Maintenance sheets per Metro procedure and LACMTA Line Managers should properly complete and fill out the Ride Check Forms with accurate and correct information.	Paper IDS Monthly Preventative Maintenance sheets not fully completed. Corporate Safety and the CPUC will verify the monthly IDS Preventative Maintenance sheets have been properly completed.	7/7/2017	
46		12/16/2016	PUC	2016 Triennial Safety Review of the Los Angeles County Metropolitan Transportation Authority	Risk Management/ Operations	6	LACMTA Management should sign and approve current SCADA Systems Engineering and Maintenance manual.	Signature page for SCADA Systems Engineering and Maintenance manual not signed. Corporate Safety & CPUC will field-verify signature pages have been signed by Metro Management for latest revision of SCADA Systems Engineering and Maintenance procedures manual.	7/7/2017	
47		12/16/2016	PUC	2016 Triennial Safety Review of the Los Angeles County Metropolitan Transportation Authority	Risk Management/ Operations	8	LACMTA should keep hard copies of maintenance records.	Numerous hard copies of maintenance records missing but was shown as closed in LACMTA M3 database. Corporate Safety and the CPUC will verify the preventative maintenance inspection forms identified as part of the audit are available for review.	7/11/2017	

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48		12/16/2016	PUC	2016 Triennial Safety Review of the Los Angeles County Metropolitan Transportation Authority	Risk Management/ Operations	9	LACMTA should update the maintenance plans to reflect the systems equipment and conditions.	Maintenance plan needs to be updated according to the equipment used for each line. Traction Power management to perform a review of the Maintenance Plan to ensure plan reflects the system equipment, and conditions.	9/1/2017	
49		12/16/2016	PUC	2016 Triennial Safety Review of the Los Angeles County Metropolitan Transportation Authority	Risk Management/ Operations	10	LACMTA maintenance personnel should completely fill out checklists before closing out work order.	There were several versions of the checklist found for the same maintenance item. Checklists were not completed before the work ticket was closed. Corporate Safety and the CPUC will verify the preventative maintenance inspection forms identified as part of the audit have been properly completed.	7/11/2017	
50		12/16/2016	PUC	2016 Triennial Safety Review of the Los Angeles County Metropolitan Transportation Authority	Risk Management/ Operations	13	LACMTA should completely and correctly fill out daily inspections for all HY-Rail vehicles in service, document any defects found on inspections and not operate vehicles until these defects are corrected, have all required inspection documents, such as daily inspections, properly filled out with dates, employee signatures, items checked for safety, and supervisor's signature to verify inspections are being done.	90 day HY- Rail vehicle inspections were not completely filled and various defects were not documented, did not consistently have employee and supervisor signature for review and approval, and Random 90 day Hy-Rail inspections missing. Corporate Safety and the CPUC will verify the daily inspection forms identified as part of the audit have been properly completed.	7/30/2017	
51		12/16/2016	PUC	2016 Triennial Safety Review of the Los Angeles County Metropolitan Transportation Authority	Risk Management/ Operations	16	LACMTA should comply with MUTCD 8C.04 for gate striping.	Improper striping on gates. Corporate Safety and the CPUC field-verified the locations identified as part of the audit have been abated. Going forward. Signals to issue memo to staff regarding the manner in which to abate existing striping. Memo should be published by July 1.	7/1/2017	
52		12/16/2016	PUC	2016 Triennial Safety Review of the Los Angeles County Metropolitan Transportation Authority	Risk Management/ Operations	20	LACMTA Rule 4392 should comply with CPUC G.O. 175, Section 2.23 definition of a watchperson. (Watchperson cannot do anything other than look out for oncoming trains.) Update: Closed as of July 2017.	LACMTA Rule 4392 - "Watchperson shall maintain communication with Control on the appropriate operations radio channel", possibly does not meet the intent of G.O. 175 section 2.23. Rail Instruction to review and revise Rule 4392 denoting watch persons duties per GO175A. Also training to be revised to reflect rule change.	7/15/2017	
53		5/2/2017	FTA	Fiscal Year 2017 Triennial Review	Operations	3b	LACMTA needs to submit to the FTA Region IX Los Angeles Metropolitan Office a subrecipient maintenance oversight program, along with evidence of its implementation. Update: Closed as of August 2017.	Inadequate oversight of subrecipient maintenance activities.	8/9/2017	
54		5/2/2017	FTA	Fiscal Year 2017 Triennial Review	Vendor Contract Management	6	LACMTA needs to submit to the FTA Region IX Los Angeles Metropolitan Office evidence that it has implemented its revised subrecipient procurement monitoring program. Update: Closed as of August 2017.	Insufficient oversight of procurement.	8/9/2017	
55	16-ITS-P02	6/30/2017	MAS	Performance Audit of IT Asset Management	Information Technology Services	1	We recommend that the ITS Department Management continue to locate the 136 computers that were reported not found during the physical inventory conducted on August 24, 2016.	IT Asset List is inaccurate and status of the asset is not updated. Management agrees with this recommendation. ITS will continue to actively locate the missing 136 computers until September 30, 2017. Any computers still missing will be deemed location "unknown" and the inventory database will be updated upon subsequent discovery or declared "salvaged" if over five years old. We will provide a status report at that time.	12/31/2017	

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56	16-ITS-P02	6/30/2017	MAS	Performance Audit of IT Asset Management	Information Technology Services	2	We recommend that the ITS Department Management complete the update of the Standards Compliance and Asset Management (IT 7) Policy to clarify the roles and responsibilities of the ITS department and other cost centers in tracking and managing IT assets. The policy should include the types of IT assets that need to be maintained in IT asset inventory records. The policy revision should also include the extent of the periodic physical inventory/reconciliation based on the risk associated with the type of IT assets and the amount of investment on various types of IT assets.	IT Asset List is inaccurate and status of the asset is not updated. Management agrees with this recommendation. ITS will draft updated language for IT-7 and circulate among the departments most likely to be impacted by these changes to solicit their feedback. A final draft will be submitted for official policy review.	12/31/2017	
57	16-ITS-P02	6/30/2017	MAS	Performance Audit of IT Asset Management	Information Technology Services	3	We recommend that the ITS Department Management establish a process to maintain a complete and accurate IT asset list by improving the monitoring/tracking for IT asset acquisition, issuance, retirement, disposal, etc.	IT Asset List is inaccurate and status of the asset is not updated. Management agrees with this recommendation. ITS will enhance its current process to address improved monitoring/ tracking for IT asset acquisition, issuance, retirement and disposal.	10/31/2017	
58	16-ITS-P02	6/30/2017	MAS	Performance Audit of IT Asset Management	Information Technology Services	4	We recommend that the ITS Department Management oversee the periodic physical inventory (at least annually) of IT assets that are excluded from the physical inventory/ reconciliation for federally funded assets (below \$5000 unit price), but had been determined material in amount due to high frequency/volume purchases. Resolve any discrepancies to ensure the accuracy and completeness of IT asset inventory records.	IT Asset List is inaccurate and status of the asset is not updated. Management agrees with the concept of this recommendation. Due to the relatively large numbers of assets to be tracked (excess of 10,000) and the level of resources required an annual physical inventory of each asset is not practical. Alternatively, ITS will use its tools to electronically discover the assets to be tracked and will verify physical location of 10% of the asset base using a random sampling technique. Assets not discovered electronically will be verified via a physical audit. ITS will develop a schedule by August 31, 2017.	8/31/2017	

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1	15-AUD-02	1/12/2015	OIG	Review of Metro Mandatory Training	Employee & Labor Relations	1	Consider ways to proactively set up a system to identify all employees who require mandatory training, and notify the employees to sign up for the required classes.	Employees Required to Attend Mandatory Training Classes are not Identified. Training & Development will work with departments that require mandatory training to ensure that our existing system reflects all mandatory training required for each job class.	3/31/2017	8/31/2017
2	15-AUD-02	1/12/2015	OIG	Review of Metro Mandatory Training	Employee & Labor Relations	2	Update the SharePoint database by: a. Reviewing the mandatory training classes listed in the SharePoint database to ensure that all mandatory training classes are annotated as "mandatory" in the database, and b. Periodic reviewing the database to ensure that the information listed is current and all mandatory training classes are annotated.	All Mandatory Training Classes are not Identified in the Database. Training & Development will connect monthly with other relevant departments to ensure maintenance of the most current and up-to-date database.	3/31/2017	12/31/2017
3	15-AUD-02	1/12/2015	OIG	Review of Metro Mandatory Training	Employee & Labor Relations	3	Update the Metro Policy on Training, HR 8-2, in accordance with General Management Policy GEN 5. Update: Revised Policy is complete and awaiting comments and approval from other Strategic Business Units.	Metro Training Policy Needs Updating. Training & Development has reviewed this policy and will make recommendations for revision, particularly with regard to identifying mechanisms to more tightly monitor and pursue mandatory training compliance.	8/31/2016	8/31/2017
4	16-AUD-03	1/4/2016	OIG	Metro Policing and Security Workload and Staffing Analysis	Systems, Security & Law Enforcement	8	The Metro System Safety and Law Enforcement Division should consider developing or acquiring and implementing a resource oversight and monitoring application for use on the smartphones currently used by Metro safety and security personnel. Metro should also consider identifying specific reporting requirements as input into the development of the new Computer Aided Dispatch (CAD) system by the LASD.	We acquired GPS enabled mobile phone validators (MPV) and will install a new 'transit watch officer app' that enables Metro to capture location, call dispatch and disposition in real-time. The new MPV's will be issued when the new policing contract goes into effect. We also incorporated agency computer aided dispatched requirements into the RFP.	1/31/2017	9/1/2017
5	17-AUD-03	3/2/2017	OIG	Audit of Rail Operator Service Hours	Operations	1a	We recommend the Senior Executive Officer of Rail Operations to require Rail Transportation supervisors (Division Directors/RTOSs) to receive training on HASTUS reports.	Time Restrictions Violations. Management agrees with the recommendations. Linda Leone, Rail Instruction Director, will develop a training curriculum on HASTUS reports alongside a HASTUS Manager. Linda Leone, along with Service Operations Superintendents Patricia Alexander and John Johnson, will deliver training to Division Directors. Completion date is April 30, 2017.	4/30/2017	7/31/2017
6	17-AUD-03	3/2/2017	OIG	Audit of Rail Operator Service Hours	Operations	1b	We recommend the Senior Executive Officer of Rail Operations to instruct RTOSs to avoid bypassing HASTUS warnings of potential rest break violations and make all necessary adjustments to rail operators' schedules.	Time Restrictions Violations. Management agrees with the recommendations. Linda Leone and Rail Instruction staff will revise YSOP-55 to include language to avoid bypassing HASTUS flags and warnings. Rail Instruction staff will develop a memo to inform RTOS of SOP amendments. Completion date is April 30, 2017.	4/30/2017	7/31/2017
7	17-AUD-03	3/2/2017	OIG	Audit of Rail Operator Service Hours	Operations	1d	We recommend the Senior Executive Officer of Rail Operations to remind RTOSs that when necessary, they should adjust the rail operators' remaining hours to ensure they do not exceed 12 hours when rail operators unexpectedly work through unpaid splits in the middle of their workdays.	Time Restrictions Violations. Management agrees with the recommendations. Linda Leone and Rail Instruction staff will revise YSOP-55 to include language to avoid bypassing HASTUS flags and warnings. Rail Instruction staff will develop a memo to inform RTOS of SOP amendments. Completion date is April 30, 2017.	4/30/2017	7/31/2017
8	17-AUD-03	3/2/2017	OIG	Audit of Rail Operator Service Hours	Operations	1e	We recommend the Senior Executive Officer of Rail Operations to remind supervisors (Division Directors/RTOSs) to be careful when updating HASTUS with operators' schedules to avoid typos or other errors that could result in erroneous payments.	Time Restrictions Violations. Management agrees with the recommendations. Linda Leone and Rail Instruction staff will revise YSOP-55 to include language that RTOS are to accurately document and input pay time to avoid erroneous payments. Rail instruction staff will develop a memo to inform RTOS of SOP amendments. Completion date is April 30, 2017.	4/30/2017	7/31/2017

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9	17-AUD-03	3/2/2017	OIG	Audit of Rail Operator Service Hours	Operations	1fi	We recommend the Senior Executive Officer of Rail Operations to: i. comply with Metro's Employee Code of Conduct in regards to employees obtaining approval from their supervisors before starting outside employment, ii. discuss procedures when an employee is approved to have outside employment, iii. and discuss the Secondary Employment Notification form procedures.	Time Restrictions Violations. Management agrees with the recommendations. Linda Leone will revise rule 2093 to be consistent with the Metro Employee's Code of Conduct language regarding outside employment notification and supervisor approval. Rail Operators will be notified of change via distribution of documents during Monthly Rap Session discussions. Completion date is April 31, 2017.	4/31/2017	7/31/2017
10	17-AUD-03	3/2/2017	OIG	Audit of Rail Operator Service Hours	Operations	1fiii	We recommend the Senior Executive Officer of Rail Operations to: i. comply with Metro's Employee Code of Conduct in regards to employees obtaining approval from their supervisors before starting outside employment, ii. discuss procedures when an employee is approved to have outside employment, iii. and discuss the Secondary Employment Notification form procedures.	Time Restrictions Violations. Management agrees with the recommendations. Service Operations Superintendents John Johnson and Patricia Alexander will draft and circulate a memorandum to Division Directors, informing them of their responsibility to obtain Secondary Employment Notification forms at shake-ups. Bernard Jackson, Senior Executive Officer, Rail Operations, will discuss these responsibilities at the Rail Operations Staff Meeting. Completion date is April 30, 2017.	4/30/2017	
11	17-AUD-03	3/2/2017	OIG	Audit of Rail Operator Service Hours	Operations	1g	We recommend the Senior Executive Officer of Rail Operations to modify the Secondary Employment Notification form to be specific to rail operations or make it generic enough to apply to both rail and bus.	Time Restrictions Violations. Management agrees with the recommendations. John Johnson and Patricia Alexander will develop a rail-specific Secondary Employment Notification form. Division Directors will log Secondary Employment within HASTUS to avoid rest break violations. Completion date is April 30, 2017.	4/30/2017	7/31/2017
12	17-AUD-03	3/2/2017	OIG	Audit of Rail Operator Service Hours	Employee & Labor Relations/ Operations	2a	We recommend the Chief Human Capital & Development Officer in coordination with Rail Operations to consider negotiating a 10-hour rest break period for rail operators in the new SMART contract. Update: Closed as of August 2017.	Secondary Employment Procedures. Management agrees with the recommendation. Sr. Executive Officer of Rail or designee will forward recommendation to Chief Employee and Labor Relations Officer for consideration in contract negotiations. There is currently an 8-hour 1-minute rest break period, which is enforced. Violations noted in the audit were predominantly due to Startup activities. Management will ensure that these violations do not repeat during future Startup activities nor during regular operations. Completion date is June 30, 2017.	6/30/2017	
13	17-AUD-03	3/2/2017	OIG	Audit of Rail Operator Service Hours	Employee & Labor Relations / Operations	2b	We recommend the Chief Human Capital & Development Officer to consider negotiating a requirement in the upcoming new SMART contract to limit the number of consecutive days rail operators can work. Update: Closed as of August 2017.	Secondary Employment Procedures. Management agrees with the recommendation. Sr. Executive Officer of Rail or designee will forward recommendation to Chief Employee and Labor Relations Officer for consideration in contract negotiations, and make application consistent in contract. Completion date is June 30, 2017.	6/30/2017	
14	17-AUD-06	6/28/2017	OIG	Statutorily Mandated Audit of Miscellaneous Expenses for the Period July 1, 2016 to September 30, 2016	Employee & Labor Relations	1a	We recommend that the Travel Program Administrator require TAs involving business meetings have a business itinerary that includes contacts, location of the meeting, and date/time of the meeting.	Management agrees with the recommendation. The Travel Program Administrator will require a travel justification memo that accompanies a signed TA for any trip that does not have a published conference agenda to include an itinerary with contacts, location of the meeting, and date/time of the meeting for each day of travel.	8/31/2017	
15	17-AUD-06	6/28/2017	OIG	17-AUD-06 - Statutorily Mandated Audit of Miscellaneous Expenses for the Period July 1, 2016 to September 30, 2016	Employee & Labor Relations	1b	We recommend that the Travel Program Administrator implement plans to require written approval from the travelers' Executive Officers for any exceptions to the lodging rate.	Implemented 06/13/2016. Effective 07/01/2016, Chief Officers are required to authorize exceptions to travel policy cost control measures, including exceptions to the lodging per diem rate.		

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16	17-AUD-06	6/28/2017	OIG	Statutorily Mandated Audit of Miscellaneous Expenses for the Period July 1, 2016 to September 30, 2016	Employee & Labor Relations	1c	We recommend that the Travel Program Administrator ensure rental cars are not picked up until they are needed, when feasible.	Management agrees with the recommendation. The Travel Program Administrator will exercise additional care that, when practical, rental car reservations are made for dates when the traveler expects to drive during a trip, and to avoid excess rental and parking charges for dates when the traveler will not be driving.	8/31/2017	
17	17-AUD-06	6/28/2017	OIG	Statutorily Mandated Audit of Miscellaneous Expenses for the Period July 1, 2016 to September 30, 2016	Vendor / Contract Management	2a	We recommend that the Chief, Vendor/Contract Management ensure that approved TAs involving business meetings include an adequate business itinerary that includes contacts, location of the meeting, and date/time of the meeting. Update: Closed as of August 2017.	Management agrees with the recommendation. The Chief Vendor Contract Management Officer will ensure all travelers follow the travel program requirements to provide an adequate business itinerary that includes contacts, location of the meetings, and date/time of the meeting for each day of travel.		
18	17-AUD-06	6/28/2017	OIG	Statutorily Mandated Audit of Miscellaneous Expenses for the Period July 1, 2016 to September 30, 2016	Vendor / Contract Management	2b	We recommend that the Chief, Vendor/Contract Management in coordination with the Travel Program Administrator, consider whether Metro should seek reimbursement from the former procurement official for the Saturday expenses for the personal day (\$338). Update: Closed as of August 2017.			
19	17-AUD-06	6/28/2017	OIG	Statutorily Mandated Audit of Miscellaneous Expenses for the Period July 1, 2016 to September 30, 2016	Vendor / Contract Management	2c	We recommend that the Chief, Vendor/Contract Management ensure all TBE reports are submitted within 30 days after travel is completed. Update: Closed as of August 2017.	Management agrees with the recommendation. The Chief Vendor Contract Management Officer will ensure all Vendor Contract Management staff submit their TBE reports within 30 days after travel is completed.		
20	17-AUD-06	6/28/2017	OIG	Statutorily Mandated Audit of Miscellaneous Expenses for the Period July 1, 2016 to September 30, 2016	Vendor / Contract Management	2d	We recommend that the Chief, Vendor/Contract Management remind Contracting Administrators to include all required costs when drafting contracts. Update: Closed as of August 2017.	Management agrees with the recommendation. The Chief Vendor Contract Management Officer will ensure (through education and training) that all required costs are included in the contracts. However, if during negotiations, should any cost elements be removed from the proposed price, those costs will not be included in the contract and the Contract Administrator will communicate this information to the project manager.		
21	17-AUD-06	6/28/2017	OIG	Statutorily Mandated Audit of Miscellaneous Expenses for the Period July 1, 2016 to September 30, 2016	Vendor / Contract Management	2e	We recommend that the Chief, Vendor/Contract Management have Contract Administrators remind Project Managers to carefully review contracts and follow all of the contract terms. Update: Closed as of August 2017.	Management agrees with the recommendation. The Chief Vendor Contract Management Officer will instruct Contract Administrators to remind Project Managers to carefully review contracts and follow all of the contract terms once the contract is awarded.		
22	17-AUD-06	6/28/2017	OIG	Statutorily Mandated Audit of Miscellaneous Expenses for the Period July 1, 2016 to September 30, 2016	Finance & Budget	3	We recommend that the Executive Officer Finance/Controller should revise section 1.2.1 of FIN 14 to reflect current practices. Update: Closed as of July 2017.	Management agrees with the recommendation. To avoid confusion, the Senior Director of Accounting will ensure that section 1.2.1 of FIN 14-Travel and Business policy is corrected by July 31, 2017	7/31/2017	
23	16-AUD-01	2/29/2016	OIG	Capital Project Management Best Practices Study	Program Management	1-109	The 109 recommendations included in this report address findings in low bid contracting, project delivery method selection process and criteria, contract administration, obtaining necessary approvals from cities to avoid delays, etc. Update: As of June 30, 2017, 60 recommendations have been completed that are pending review of supporting documentation by the OIG.			