

Internal Review's BSC

IR's purpose is providing critical information to decision makers to mitigate risk, ensure compliance, and improve the stewardship of WYDOT resources

GOAL	MEASURE	STRATEGY	TARGET	ACTUAL	COMMENTS	LAST YR
Improve Internal Processes and Procedures						
	# of processes and procedures improved		3	2	IR has made several improvements to A-133 including delegating Incharge assignments to various staff members to make the planning process more efficient. We also do not need to go out on field work any more due to the use of EDS nor do we need to pull records from the records office since we can utilize Falcon. In addition, IR has fully covered at least three assignment types to electronic workpapers (change funds, A-133 and subrecipient monitoring).	
	# of processes and procedures improved		3		3 improvements per year	
		Review and discuss "changes for next time" for assignment types, as necessary			IR will complete on assignments as completed. No document necessary. A step will be added to the each program to remind staff to complete.	
		<i>Improve efficiency of A-133</i>			Staff will make notes for FY 2014 in February after FY 2013's audit is complete.	
		Develop an IR procedure manual			Staff member will regroup and delegate assignments after FY 2013 A-133 is complete.	
		<i>Develop a database to track assignments</i>			Program Manager is currently working with IT to provide demos.	
		Restructure and map shared drive, consistently			Need to discuss.	

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Assist WYDOT Programs in Improving Processes and Procedures						
	# of processes and procedures improved		2	TBD		
	# of processes and procedures improved					
		Assist in creating and implementing a new process for fuel tax			N/A. Fuel Tax has not included IR, however, IR will audit Fuel Tax in FY 2014.	
		Work with Highway Safety to determine sub-awards and amounts			Budget has taken some of this over so may not be applicable to IR going forward. IR is also working with HS, FS, Budget & SPIP to map out processes. In 2014, IR will provide HS staff with training.	
		Document other Programs internal controls				
		Document grant process in Highway Patrol			IR staff will regroup after A-133. Need to meet with HIDTA and start on other grant processes.	
		Document Aeronautics internal controls			IR going out on audits in Spring 2014 and then we will start on documenting the Aeronautics internal controls.	
		Conduct cost analysis for Traffic logo signs			Completed in FY 2013.	
		Provide training including NSO, change funds, LPA certification, etc.			These trainings will be recorded in new project management system. Meet with FS on change fund training to update & determine who is training what.	

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GOAL	MEASURE	STRATEGY	TARGET	ACTUAL	COMMENTS	LAST YR
Develop Staff						
	% of Employees Meeting Continuing Professional Education Requirements		1	TBD	Each employee must have 80 hours of CPE every 2 years with 24 of those hours in Government related work.	
	% of Employees Meeting Continuing Professional Education Requirements				Each employee must have 80 hours of CPE every 2 years with 24 of those hours in Government related work.	
		Attend CPE to meet Yellow Book requirements			This will be incorporated into IR's project management system. Working through Yellow Book as a staff to determine the impact on the office.	
		<i>Attend personal development training</i>			This will be incorporated into IR's project management system.	
		Continue to expand knowledge of WYDOT groups and cross train that knowledge			Included on monthly staff meetings.	
		<i>Foster Relationships with federal agencies including NHTSA, FHWA, FTA, FAA, etc.</i>				
		Explore the idea of developing a statewide auditors association to share knowledge			Start attending Mountain Plains Audit Forum conference in Colorado.	
		<i>Participate in AASHTO peer reviews</i>			Have applied to be on peer review prior to having a WYDOT peer review. Waiting to hear from AASHTO. Look into tagging up with Department of Audit.	
		Continue to participate in teambuilding activities to strengthen the team			Staff meetings help accomplish some teambuilding. Staff will discuss ideas after A-133.	

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Implement an Electronic Work Paper System						
	# of assignment types converted to electronic work paper system target		3	3	Completed the following: Change funds A-133 Subrecipient Monitoring	
	# of assignment types converted to electronic work paper system target				3 conversions per year	
		Identify assignment types that need to be converted				
		<i>Convert assignment type audit programs to electronic</i>				

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Identify Assignments Based on Risk Assessment						
	Completion date for fiscal year work plan		Sept 30 of each year	41640		
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		Prepare a fiscal year work plan			Currently working on 2014 Work Plan for presentation to Commission in January. Met with Executive Staff, Budget and Financial Services to develop work plan.	
		Develop risk assessments for areas			Identify areas for risk assessment including consultants (Staff member has put together), local entities (Program Manager and Staff member working on for AIP), WYDOT Programs (work plan), change fund (done.)	