



McCONNELL & JONES LLP
CERTIFIED PUBLIC ACCOUNTANTS

INTERNAL AUDIT SERVICES



INTERNAL AUDIT REPORTS APRIL 6, 2022

Information Items



Agency –Wide Performance Measures Audit

Audit	Audit Rating	Number of Recommendations
22-005 Agency-Wide Performance Measures	Generally Effective	0

Generally, the agency prepares a reports their performance measures in a complete, accurate and timely manner.

Several CBOD measures did not have supporting data for FYQ1-FYQ3. However, we noted a significant improvement in this area with the new leadership.

Audit Focus:

- ✓ Compliance with Definitions
- ✓ Information Capture Process
- ✓ Results Validation
- ✓ Reporting Accuracy

Audit Activity:

- 12 Key and 6 Non-Key Performance Measure
- ✓ FY 2021 and Q1 FY 2022
- ✓ 100 % Recalculation



FY 2022 Internal Audit Plan Status

FY 2022 Annual Internal Audit Plan Status

Schedule

Overall Status:	Green	Percentage Complete	20%
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Approved Audits and Activities

Audit #	Description	Percent Completed	Status
20-005	Background Investigations of Vendor Staff	90%	Reporting
22-001	Retailer Survey Process	100%	Completed
22-002	Confidential Data	5%	Planning
22-003	Ticket and Game Management	20%	In-Progress
22-004	Agency Performance Measures	90%	In-Progress
22-005	Jackpot Estimation System	0%	Not Started
22-006	Claims and Prize Payment Management	0%	Not Started
22-007	Drawings Studio Operations	0%	Not Started
22-008	Game Changes (Aurora)	0%	Not Started

Approved Audits and Activities

General Procedures - No Report	Promotional Game Tickets - Procedures Review	100%	Completed
General Procedures - No Report	Information System User Access Monitoring	50%	In-Progress
General Procedures - No Report	Follow-Up On Prior Audit Findings	15%	In-Progress
General Procedures - No Report	Monitor Ethics Line	50%	In-Progress
General Procedures - No Report	External Audit / Review Assistance	0%	Not Started
FY 2023 Annual Internal Audit Plan	Update Risk Assessment & Develop Audit Plan	0%	Not Started
FY 202 Annual Internal Audit Report	Annual Audit Report	0%	Not Started
General Procedures - No Report	Audit Communications	50%	In-Progress
21-008	Charitable Bingo Operations Division Ledger Account Reconciliations - Newly Approved Addition to FY 2021 Annual Internal Audit Plan	80%	In-Progress

March 23, 2022 Budget Balance:

- 1,234 Hours (60% of approved budget)
- \$249,324 (80% of approved budget)



Internal Audit Activities

Internal Audit Activities Completed This period:

- Continued Charitable Bingo Operations Division Ledger Account Reconciliations.
- Continued Ticket and Game Management audit.
- Continued the Agency Performance Measures audit.
- Continued Planning Confidential Data Management audit.

Internal Audit Activities Anticipated Next Period:

- Finalize the Charitable Bingo Operations Division Ledger Account Reconciliations.
- Continue the Ticket and Game Management audit.
- Finalize the Agency Performance Measures audit.
- Continue Confidential Data Management audit.