Strategic Initiative CORE December 2020

The Contract Oversight Review Expert Committee continues to meet monthly focused on the collaboration alignment of program and fiscal monitoring. Contracts, cash match transition, leases, and financial accountability are common topic areas. Focus the past year has been in developing and improving our internal control process.

The Internal Control Work Group meets regularly to assure internal controls are in place. The Work Group consists of Brandy McOmber and Richard Clark, with assistance from other PDT staff as applicable. The Work Group reviews policy and reaches out to others as applicable to assign the writing of the Internal Control based on which individual(s) should be the author.

As more internal controls are completed, the Work Group will provide updates to the CORE team and on Friday PDT calls. This has not occurred within the last several months as the Internal Control Work Group has not received requested internal controls from several PDT team members. Once this is received, the next update will occur.

- As necessary, Jyl will continue to serve as a liaison when Financial input is needed. Currently, the Financial staff have indicated they are working on policies and procedures which means they have not yet completed their internal controls.
- The template for Internal Controls is still updated and is available in PowerDMS for all staff to utilize.
- The following process is continuing:
  - When a new Internal Control is sent to Brandy, she will give it a number and add it to the numbering Google Doc. This list has been shared with CORE so anyone can view it and easily identify who has written which documents.
  - The Internal Control is reviewed by Brandy to check for editing errors and consistency.
  - The Internal Control Work Group sets up workflows in PowerDMS annually to prompt the owner of the Internal Control to review the document for updates.
- The Internal Control Work Group has drafted a spreadsheet that will assist with the risk assessment process. This is a work in progress and will be further shared with the PDT team when fully developed.
- Internal Controls continue to be divided by division (e.g. Financial) or specialty area (e.g. Policy, QA, Transition). These have been moved from the shared drive to PowerDMS to allow for easy access.
- The list of internal controls has increased, and we currently have 26 completed.
- The goal for this year was to incorporate the updated MTAG into the internal control process. This would assure we were reviewing the MTAG for risks that could be incorporated into further internal controls. This has not yet occurred, however, because the updated MTAG has not yet been released by RSA. When it is released, the plan is to continue with this process of MTAG incorporation.