

# STATE AGENCY INTERNAL AUDIT FORUM

## MEETING MINUTES

**Friday, February 10, 2017**

**8:30 a.m. – 10:30 a.m.**

Brown Heatly Building  
Conference Room 3501  
4900 N. Lamar Blvd.

### **8:30 am – MEETING CALLED TO ORDER**

#### Welcome & Introductions:

- Tracey Hall, SAIAF Vice-Chair, welcomed attendees
- Attendee introductions

#### Minutes from January 13, 2017 meeting for approval:

- No changes offered by attendees
- Move to approve – Karin Hill
- Second – Bill Wilson
- Vote by Acclamation = unanimous AYE, zero NAY, zero ABSTAIN
- RESULT = ACCEPTED

#### Texas Sunset Advisory Commission – Amy Tripp, Senior Policy Analyst

The legislative oversight process of the Sunset Advisory Commission was reviewed. The three phases include -

- Sunset Staff Evaluation
- Sunset Commission deliberation, and
- Legislative Action

Two types of recommendations can result from the review:

- Statutory changes and
- Management recommendations

Internal audit's role in the process can include:

- Identify areas of risk
- Identify statutory barriers
- Provide input on Sunset recommendations
- Coordinate internal audits with Sunset recommendations
- Follow up audits on Sunset recommendations
- Inform Sunset of recurring problems noted in IA reports

Sunset's website – [www.sunset.texas.gov](http://www.sunset.texas.gov)

- Information on how Sunset works
- Dedicated page for each agency currently under review
- Public input forms to submit comments on an agency under review

- Sunset Commission meeting schedule
- Database of all previous Sunset reviews, reports, and results

## **Committee Updates**

### State Agency Coordinating Committee (SACC) Update – Tracey Hall, GLO

- SACC is seeking more participation on sub-committees
- Two new sub-committees have been established –
  - Records Retention
  - Quality, Process Improvement / Innovation
- Monthly meetings
- Minutes posted and handouts available on website
- SACC tracks legislation

### Legislative Issues – Cheryl Scott, Comptroller of Public Accounts

- A database for tracking bills has been developed – Bill Tracker FY SAIAF 2017
- Hard copies were shared with members, and will be posted on the SAIAF site
- The list will change as deadlines pass and bills tracked change
- Monthly summaries will be provided at future meetings

### Peer Review – Luis Solis, TWC

- The Peer Review Manual has been updated and will be emailed out for member review by Monday, February 13<sup>th</sup>, and will be open for comments until March 10
- Added an Independence Statement (Appendix A)
- Added a Customer Survey instrument for evaluating team performance, to be returned to Peer Review Committee and ultimately shared with Team Members
- Changes to the current version will be summarized for members
- Appendices will be posted as stand-alone documents on SAIAF site when the review process is completed
- Once this version has member approval, training sessions will be scheduled
- The approved, updated version will be posted to the SAIAF site, replacing the May 2016 version

<http://dir.texas.gov/View-Search/Generic.aspx?keyword=saiaf%20peer%20review>

### IALDP – Cat Melvin, DPS

- Six students in the current cohort
- Two written assignments; email Cat if interested in reviewing
- Presentation to SAIAF set for May

### Technology – Derrick Miller, TxDMV

- IT Training – would like to get some big names such as Gartner or Weaver to provide IT training or speak at SAIAF meetings
- ISACA people to speak at SAIAF meetings on IT topics such as cloud security
- Call for new members; can be staff

#### TeamMate – Derrick Miller, TxDMV

- DMV has moved to Team Cloud; associated costs were discussed
- TeamMate will not negotiate contract terms
- Questions arose about required contract clauses related to confidentiality and right to audit and possible contract compliance issues if not included

#### **Other Announcements, Comments, Discussions:**

#### SAIAF Member Survey – Benito Ybarra

- Survey for April meeting date – either 4/7 or 4/21
- Future meeting topics

#### Open Comments

- Lisette Nadal-Hogan, DIR – To follow technology bills go to DIR website and look under Resources for Technology Legislation.

**10:35 AM – MEETING ADJOURNED**