



State Agency Coordinating Committee

**STATE
AGENCY
INTERNAL
AUDIT
FORUM**

October 19, 2018

Agenda

- Introductions
- Approval of Minutes – August 3rd
- TeamMate + Demonstration
- State Auditor's Office Updates
- Committee Updates
- Open Comments
- Adjourn

2019-2020 SAIAF Leadership



Chair – Tracey Hall
Vice Chair – Chance Watson
Recorder – Dale Hernandez
Peer Review – Craig Otto
Legislative Issues – Angelia Harris
Internal Audit Leadership Development – Catherine Melvin
Technology – Zoi Kondis

Approval of Minutes

TeamMate +

Der



Wolters Kluwer

TeamMate

State Auditor's Office Updates



Reminders

- Internal Audit Annual Reports are due November 1
- New process for submitting large or confidential files to the SAO – MOVEit (contact IACoordinator@sao.texas.gov for instructions)

Committee Updates

Legislative Committee

86th Texas Legislative: Regular Session



Dates of Interest

January 8, 2019

Session Begins

Upon the Convening of the Session, the Comptroller of Public Accounts Delivers the Biennial Revenue Estimate to the Governor and the 86th Legislature

January 14, 2019

LBB Budget Estimates

Delivered to the Governor and the 86th Legislature

January 15, 2019

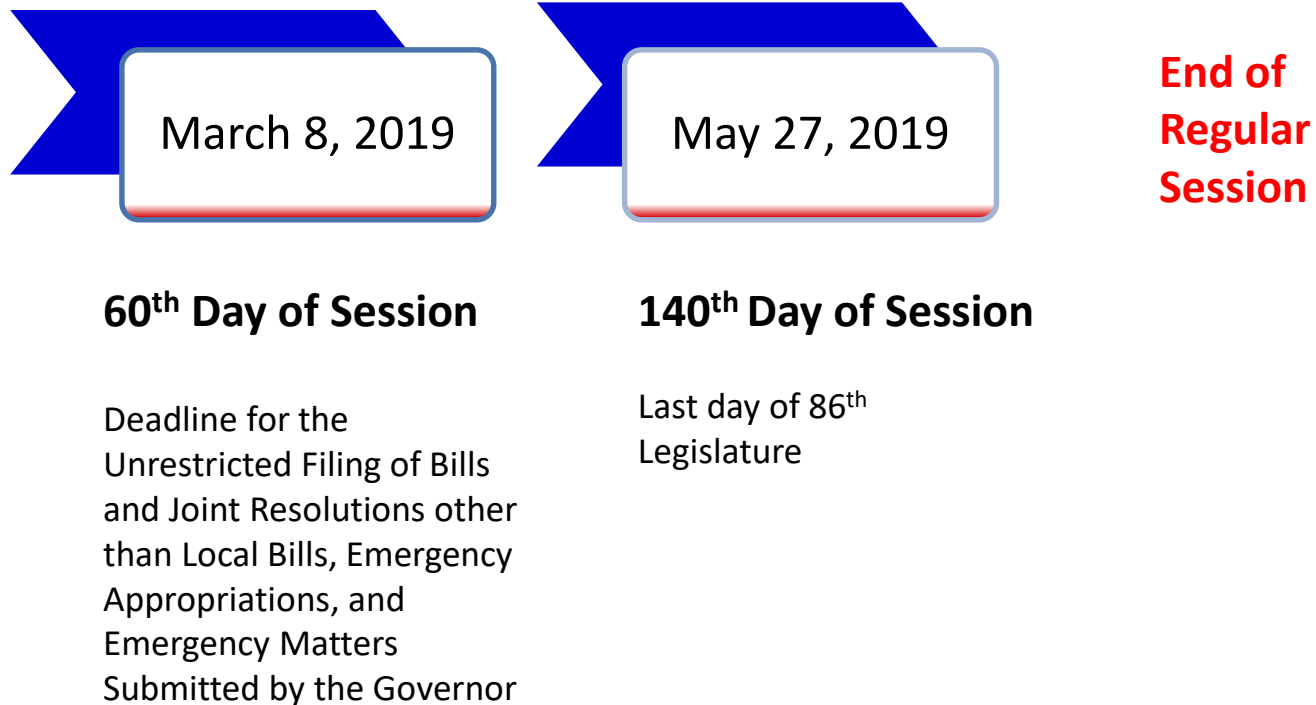
LBB General Appropriations Bill

Delivered to the Governor and the 86th Legislature

86th Texas Legislative: Regular Session



Dates of Interest - Concluded



State Agency Coordinating Committee (SACC)

August 9, 2018 -
Meeting Updates



Meeting Highlights

- The General Services Administration (GSA) is collaborating with agencies to shift from waterfall development to agile methods. The procurement committee is developing a presentation to discuss the initiative.
- The Comptroller's Office is developing a policy on vendor communications that will be effective in January.
- Anyone interested in the vision of the Next Gen DCS can go to the Electronic Business Daily (ESBD). The ESBD is being used as a marketing engagement tool.

Internal Audit Leadership Development Program (IALDP)

Inception...



IALDP by the Numbers

8: Number of Cohorts to Date

6 – 8: Approximate Size of Each Cohort

10: Largest Cohort

60: Number of Graduates to Date

32-40: Number of CPE Hours

\$0: Cost

5 of 6: Graduates from Inaugural Cohort that went on to become CAEs


IALDP Purpose

Section 1.


The primary purpose of the State Agency Internal Audit Forum (SAIAF) Internal Audit Leadership Development Program (IALDP) is to promote and develop the future leaders of the Texas state government internal auditing community. The IALDP is specifically designed to develop and prepare future Texas state government Chief Audit Executives (CAEs).

Section 2.


The IALDP is committed to fostering our future internal audit leaders through innovative, effective, and economical means. A cornerstone of the IALDP is the commitment made by each participating Chief Audit Executive in contributing their personal knowledge, expertise, and experiences. Through the collaboration and commitment of fellow Chief Audit Executives, the IALDP will provide high caliber **leadership training and mentoring**.




Why So Special?

- ❖ Leadership development, not audit skills training
 - ❖ Involvement and active participation by CAEs in every class
 - ❖ Curriculum tailored to each cohort
 - ❖ Framework – SAIAF program, IALDP Advisory Committee
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Minimum Requirements: To be considered for the IALDP, the nominee must possess the following criteria:

- Certification as a Certified Internal Auditor (CIA) or Certified Public Accountant (CPA)
 - At least five years of internal and/or external audit experience
 - Record of exceptional performance
 - Responsibility for developing audit programs and leading teams of audit staff
 - Responsibility for presenting information to senior or executive management or a board/commissioners
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Functional Requirements: In addition, nominees should be able to demonstrate the following in their application:

- Willingness and ability to dedicate the time and effort to fully participate in the program
 - Understanding of the internal audit profession and the role of internal audit in state government
 - Interest in executive-level opportunities
 - Service as a positive role model and leader
 - Awareness of current trends, topics and issues impacting the internal audit profession
 - Ability to develop positive relationships with management that enhance the effectiveness of the internal audit function.
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Rigorous Schedule

Two (2) Writing Assignments

Mock Audit Committee
Presentation

Class Project

Presentation of Class Project
at SAIAF Meeting

Community Service Project

IALDP VIII SCHEDULE (2017)

January 6	Class 1	True Colors & Team Dynamics	Karin Hill, HHSC
January 20	Class 2	New CAEs Panel Texas State Budgeting 101	Sandra Menjivar-Suddeath, DMV Cheryl Scott, CPA Lisette Nadal, DIR Zoi Kondis, TDA Gordon Taylor, DPS
February 3	Class 3	Strategic Planning, ERM, Fraud, and COSO	Jay LeBlanc, TRS Jan Engler, TRS Hugh Ohn, TRS
February 17	Class 4	Overview and Perspective from the Office of the Governor	Rene Valadez, OOG
March 3	Class 5	Innovation and the Trusted Advisor	Phil Flora

March 24	Class 6	Collaboration, Persuasion, and Effective Leadership at TDCJ	Chris Cirrito, TDCJ
April 7	Class 7	Ethics Service to the Profession	Michael Peppers, UT System
April 21	Class 8	Mock Audit Committee Presentations	
May 5	Class 9	Path to CAE Politics of Internal Auditing	Catherine Melvin, DPS Chance Watson, DFPS Steve Goodson Karin Hill, HHSC
May 12	Presentation of Class Project at SAIAF Meeting		
May 19	Class 10	<i>So You're an Introvert. Get Over It!</i>	Murray Harvel



IALDP Cohort VIII

May 2017

Open Comments

The committee is seeking suggestions for speakers and topics for future meetings. Please contact the Chairman.

SAIAF meetings will be held monthly beginning in January through March then quarterly.

Motion to Adjourn

Next Meeting Date/Time: Friday, January 18, 2019 @8:30AM

Physical Location: TX General Land Office
1700 N. Congress Ave.
Austin, TX 78701
Conf. Rm 940A

Reference Material

Legislative Issues Committee

Chair

Angelia Harris, Office of the Attorney General

Volunteers to Assist are Welcome – Please Contact Chair

Objective / Deliverable

- To monitor proposed legislation that may directly or indirectly impact the Internal Audit function.
- To provide SIAIF members a summary of pending legislation impacting the Internal Audit (IA) function (e.g., scope of work, resources, mandates, and other high risks audit areas).

Deliverable Update / Requests

- Overview of Session Schedule (Provided in October 19, 2019 SIAIF Meeting)
- During Session Updates Every Two Weeks to Chair and Co-Chair for Group Distribution
- Goal: Same or Next Business Day Update for Bills That Have Significant Impact on IA Function
- Monthly Bill Update/Report Provided in SIAIF Meetings

Peer Review Committee

Chair

- Craig Otto, Texas Department of Transportation

Objective

- To provide SAIAF members with a peer review program to prepare for, conduct and report the results of a quality assessment review in accordance with Standards and guidance.

Deliverables

- Provide training to qualified, independent assessors to conduct peer reviews at member institutions.
- Update and maintain the peer review program.
- Maintain point balances, new eligible activities, and communicate them.
- Coordinate peer reviews actively.

Information Technology Committee

Chair

- Zoi Kondis

Objective

- To help state internal audit functions create, identify, and retain quality IT auditors and help mitigate risks by increasing awareness of IT risks by:
 - Improving the IT audit function
 - Increasing visibility and understanding of emerging and high IT risks areas
 - Identifying IT technologies that can help audit functions gain efficiencies

Planned Deliverables

- IT Training
- IT Annual Audit Plan Risk Methodology
- IT Auditor Development