



State Agency Coordinating Committee

STATE AGENCY INTERNAL AUDIT FORUM

February 16, 2018

Agenda

- Introductions
- Approval of Minutes – November 10, 2017
- TeamMate Transition
- Committee Updates
- Open Comments
- Adjourn

Approval of Minutes

TeamMate Transition

Committee Updates

CAPPS

Agenda

- Roles and Responsibilities
- Best Practices
- Things to look out for
- Internal Audit's Potential role

Roles and Responsibilities – Deployment

During Deployment

- The agencies are committed to changing business practices to minimize customizations to CAPPS.
- Recognizing that customizations may be necessary in order to deliver required functionality, any recommended changes will be required to go through the CAPPS governance process for approval and prioritization.
- Define team members
- Establish project organizational and communication structure
- Establish project documentation file structure

Roles and Responsibilities – Deployment

Review and Discovery Sessions

CAPPS Overview

- Familiarize agency team with basic CAPPS functionality

CAPPS Review Sessions

- Provide deeper dive into CAPPS functionality by module (all agencies present)

CAPPS Discovery Sessions

- Review of CAPPS functionality (by business process) with each agency for purposes of assessing potential impact to agency business processes

Roles and Responsibilities – Deployment

Prototyping Sessions and User Acceptance Test

Prototyping

- Input initial configurations and modify as necessary

Conference Room Pilots

- Analysts conduct informal sessions with your SMEs to work through any potential problem areas for your agency.
- CRP sessions help identify processes needing additional change enablement.

User Acceptance Test

- Loading conversion data, security configurations, etc.
- Documenting and executing test agency required scenarios and scripts
- Refining security
- Finalizing reports, conversion, interfaces and batch schedules

Roles and Responsibilities – Production

CAPPS User Group

- New functionality is presented and discussed monthly
- Meetings are public

User Acceptance Testing

- Happens when code is preparing to migrate

Change Management

- Continues throughout the life of the system, not just at Go Live.

Best Practices

Set good expectations regarding Agency participation

- Dedicated agency subject matter experts for business process analysis (purchasing, payroll, etc.)
- Management level decision makers (CFO, Department Director, etc.)
- Assigning a Project Manager with technical expertise

Best Practices

System familiarization prior to User Acceptance Testing (UAT)

- Oracle/PeopleSoft Functional
- PeopleSoft User Productivity Kit (UPK)
- Business Objects Reporting (BI)

Transfer Knowledge to Agency-wide Training

- Agency trainers
- Create cheat sheets

Things to Look Out For

- Access Configuration - not enough to review what you can see
- Staff being assigned roles that are not appropriate for their position
- Communication between subject matter experts and those in charge of conversion
- Staff not understanding roles and permissions

Internal Audit's Potential Role

- Conduct advisory work prior to CAPPs
- Attend CAPPs User groups
- Dedicate IAD staff to advise on CAPPs Project
- Review Configuration Workbook (access controls) prior to final sign off

Open Comments

Motion to Adjourn

Next Meeting Date: May 25, 2018

Physical Location: TxDOT

Reference Material

Legislative Issues Committee

Co-Chairs

- Cheryl Scott
- Zoi Kondis
- Darrell Carter (as available)

Objective / Deliverable

- To monitor proposed legislation that may directly or indirectly impact the Internal Audit function.
- Provide SAIAF members a monthly summary of pending legislation impacting the Internal Audit function.

Deliverable Update / Requests

- Bills Update submitted to SAIAF website
- Will continue to update bi-weekly
- Bill Analysis for next meeting

Peer Review Committee

Chair

- Cindy Hancock, Texas Parks and Wildlife

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 and communicate them.
- Coordinate peer reviews actively.

Information Technology Committee

Chair

- Sandra Menjivar-Suddeath, Department of Motor Vehicles

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

Teammate Committee

Chair

- Nicole Kludt, Health and Human Services Commission

Objectives

- To provide a source of information and expertise related to the operation and maintenance of TeamMate by:
 - Staying current on new releases of TeamMate as well as any known issues
 - Reviewing TeamMate Connect for discussions from other users that may be relevant to SAIAF users
 - Serving as a resource for SAIAF members

Deliverable

- Training/Presentations