

State of Texas

Department of Public Safety

Chief Auditor's Office

Catherine A. Melvin, Chief Auditor



FY2022 Annual Report

November 2022

About the DPS Chief Auditor's Office

CAO Vision

Excellence in progressive internal auditing, through quality-focused innovation and partnership.

The mission of the Chief Auditor's Office (CAO) is to advise the Department of Public Safety (the Department) in achieving its strategic and operational goals by providing risk-based and objective assurance, advice, and insight.

The CAO is an independent and objective assurance and consulting activity designed to add value and improve the Department's operations. The CAO assists the Department in accomplishing its mission and objectives by bringing a systematic and disciplined approach to evaluate and improve the effectiveness of the Department's governance, risk management, and internal control processes.

The CAO contributes directly to the continuous improvement of the Department's operations, governance, risk management, and internal control framework through its delivery of superior assurance and advisory services in an atmosphere of respect and teamwork.

The Chief Auditor's Office is free from organizational impairments to independence reporting directly and accountable to the Public Safety Commission. As such, the CAO is a staff function and has no authority over the activities that it reviews.

CHIEF AUDITOR'S OFFICE TEAM

Catherine A. Melvin, CPA, CIA, CLEA, Chief Auditor
Susan K. Oballe, CGAP, CIA, CISA, Assistant Chief
Isis I. Johnson, Executive Assistant

Tammara E. West, CGAP, CIA, Audit Manager
Nikolaos D. Alexander, Sr. Process Improvement Spc.
Steven L. Clark, Internal Audit Analyst
Katie Fitch, CPA, Sr. Internal Audit Analyst
Elizabeth (Lisa) Hanke, Sr. Internal Audit Analyst
Adam Koppi, CFE, Sr. Internal Audit Analyst
Kaycee Mayhew-Coe, Internal Audit Analyst
Katambra D. Rose, Sr. Internal Audit Analyst
Sara Vallie, Internal Audit Analyst
Darian Wallace, Internal Audit Analyst
Wriley Weaver, Internal Audit Analyst
Jacob M. Whitley, CGAP, Sr. Internal Audit Analyst

TEXAS DEPARTMENT OF PUBLIC SAFETY

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FREEMAN F. MARTIN
DWIGHT D. MATHIS
JEOFF WILLIAMS
DEPUTY DIRECTORS



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DALE WAINWRIGHT

November 1, 2022

The Honorable Gregg Abbott, Governor
The Legislative Budget Board
The State Auditor's Office

We are pleased to present the Texas Department of Public Safety Chief Auditor's Office Annual Report for Fiscal Year 2022.

This report fulfills the requirements set forth in the Texas Internal Auditing Act (the Act). As mandated in the Act, the State Auditor's Office prescribes the minimum content. This report has been prepared in accordance with the State Auditor's content requirements and is current through November 1, 2022.

Fiscal year 2022 was a year of adaption and adjustment. As the Department protected and served the State in an ever-changing environment, the agile staff of the Chief Auditor's Office conducted both assurance and advisory projects to support the Department in its vital charge. The work performed by Chief Auditor's Office is a key element in assuring accountability, economy, efficiency, and effectiveness within Department operations. The Chief Auditor's Office is committed to being a trusted, independent, and objective resource and providing quality internal auditing services. We will aggressively pursue projects in fiscal year 2023 to continue our assistance to the Department in improving controls, reducing risk, and enhancing agency operations.

If you desire further information about the contents of this report or would like to request copies of individual audit reports, please call (512) 424-5711.

Respectfully,

Catherine A. Melvin, CPA, CIA, CLEA
Chief Auditor

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I. Compliance with Texas Government Code §2102.015: Posting the Internal Audit Plan, Internal Audit Annual Report, and Other Audit information on Internet Web Site

House Bill 16 (83rd Legislature, Regular Session) amended the Texas Internal Auditing Act (Texas Government Code 2102) to require state agencies and higher education institutions, as defined in the bill, to post the agency's internal audit plan and the agency's internal audit annual report, and other information on their Internet Web sites, at the time and in the manner provided by the SAO.

The bill's provisions also require covered entities to post a summary of any "weaknesses, deficiencies, wrongdoings, or other concerns, if any, raised by the audit plan or annual report" and a summary of actions taken "to address the concerns, if any, that are raised by the audit plan or annual report".

The Chief Auditor's Office has complied with this mandate by posting its internal audit plans and annual reports on the DPS website.

Upon completion, this report will also be posted on the DPS website. At this time, no weaknesses or concerns have been raised by either the audit plan or the annual report.

II. Internal Audit Plan for Fiscal Year 2022

III. Consulting Services and Nonaudit Services Completed

The Internal Audit Plan for the Department of Public Safety is approved as the DPS CAO Internal Audit Strategy. The FY2022 Internal Audit Strategy was approved in the August 12, 2021, Public Safety Commission Meeting. The columns marked under “Internal Audit Strategy” tie the FY22 CAO efforts to the approved strategy.

Project	Internal Audit Strategy								Status	
	FY21 Carryover	Financial Controls & Processes	Information Resources - IT & Cybersecurity	Law Enforcement Support Services	Licensing & Regulatory Service	Critical Infrastructure - Health, Safety, Welfare of Employees	Emerging Risk (Rapid Response Project)	Other		
Audits (Assurance Projects)										
22-101	FFCRA Compliance (c/o 21-105)	✓	✓							Complete
22-102	Follow-Up - Agency Controls Over User Account Provisioning (c/o 21-106)	✓		✓						Complete
22-105	Performance Measures (c/o 21-104)	✓	✓							Complete
22-106	Payroll (c/o 21-102)	✓	✓							Complete
22-107	Employee Random Drug Testing Program						✓	✓		c/o 23-101
22-108	CAPPS User Access		✓	✓						c/o 23-102
Management Requests, Special Projects, Advisory Services (may not result in a written report)										
22-103	Procurement -- RFP Scoring Process (c/o 21-108)	✓	✓							Complete
22-201	Field Administration (c/o 21-107)	✓					✓			Complete
22-202	Crime Lab Drug Testing Process Improvement and Drug Evidence Destruction				✓			✓		<i>Reporting</i>
22-203	DLS Roadmap			✓		✓		✓		c/o 23-201
22-204	Contract Review Board Follow-up		✓							c/o 23-202

Project		Internal Audit Strategy								Status
		FY21 Carryover	Financial Controls & Processes	Information Resources - IT & Cybersecurity	Law Enforcement Support Services	Licensing & Regulatory Service	Critical Infrastructure - Health, Safety, Welfare of Employees	Emerging Risk (Rapid Response Project)	Other	
22-205	Position Control Number Process		✓							c/o 23-203
22-206	Field Administration				✓					c/o 23-103
Special Investigatory Assistance - EEO, OIG, SAO Hotline										
22-400s	The Chief Auditor's Office serves as a central point of contact for hotline complaints forwarded to the Department by the SAO.								✓	N/A
External Audits/Reviews										
22-500s	The Chief Auditor's Office serves as a liaison for all external audits/reviews of the Department. The Department is routinely audited by entities such as the State Auditor's Office (SAO). The Department underwent several external audits and reviews during FY2022.								✓	N/A
CAO Strategic Risk Assessments & Research-Based Projects										
22-602	Intern Projects								✓	Complete
CAO Administration										
22-001	FY21 CAO Annual Report								✓	Complete
22-002	FY23 Risk Assessment and Strategy Development								✓	Complete
22-003	Quality Assurance Review - Self-Assessment & Peer Review								✓	Complete
22-004	Onboarding Revamp (c/o 21-004)								✓	Complete

IV. Quality Assurance and Improvement Program

The Chief Auditor has implemented a quality assurance and improvement program that covers all aspects of the internal audit function. In addition to evaluating the CAO's conformance to required professional standards and the IIA Code of Ethics, the program also assesses the efficiency and effectiveness of the internal audit function and identifies opportunities for improvement. The quality assurance and improvement program includes both internal and external assessments.

A. Internal Quality Assurance Review (Assessments)

The DPS Chief Auditor's Office internal assessments include ongoing monitoring of the performance of the internal audit function and periodic self-assessments.

Ongoing monitoring is exhibited through day-to-day supervision, review, and measurement of the internal audit function. Ongoing monitoring is incorporated into the routine policies and practices used to manage the office and includes practices necessary to evaluate conformance with required professional standards and the IIA Code of Ethics.

In addition to the ongoing monitoring as described above, the DPS Chief Auditor's Office also undergoes a comprehensive annual internal self-assessment. The most recent comprehensive internal self-assessment was completed in August 2022.

Continued on next page

August 25, 2022

Catherine Melvin
Chief Auditor
Department of Public Safety Chief Auditor's Office

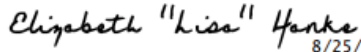
We have completed an internal self-assessment of the Department of Public Safety Chief Auditor's Office (Chief Auditor's Office-CAO) for the period of September 2020 through August 2021. During our review, we followed the standards and guidelines outlined in the 2017 edition of the Peer Review Manual published by the State Agency Internal Audit Forum (SAIAF).


The Institute of Internal Auditors (IIA) *International Professional Practices Framework (IPPF) Standard 1311* and Code of Ethics, the U.S. Government Accountability Office (GAO) *Generally Accepted Government Auditing Standards (GAGAS) Requirement 5.02*, and the Texas Internal Auditing Act (Texas Government Code, Chapter 2102) require internal audit functions to establish a quality assurance and improvement program to include internal assessments to evaluate conformance with the Code of Ethics and the Standards. This self-assessment should not be interpreted as an independent certification of compliance with applicable standards. Rather, a certification of compliance with standards is issued after the CAO receives an external quality assessment review by an independent third party. The last external review was performed October 2019.

We reviewed the internal quality control system of the Chief Auditor's Office and conducted tests in order to determine if the internal quality control system operated to provide reasonable assurance of conformance with the IIA *International Standards for the Professional Practices of Internal Auditing* standards, *Government Auditing Standards*, and the Texas Internal Auditing Act. Conformance does not imply adherence to standards in every case but does imply adherence in most situations.

We have concluded that the Chief Auditor's Office is in compliance with the IIA *International Standards for the Professional Practices of Internal Auditing*, the *Government Auditing Standards*, and the Texas Internal Auditing Act. This conclusion means that policies, procedures, and practices are in place to implement the standards and requirements necessary for ensuring the independence, objectivity, and proficiency of the internal audit function. We have prepared a separate report providing details of our findings and recommendations for strengthening CAO's internal quality control system.

The Chief Auditor's Office has reviewed the internal self-assessment team's results and accepted them to be an accurate representation of the Chief Auditor's Office's operations.

DocuSigned by:

2F0D9C35842C419... 8/25/2022
Elizabeth "Lisa" Hanke Date
Senior Internal Audit Analyst
Self-Assessment Team Leader

DocuSigned by:

E1E4047167094C5... 8/25/2022
Kaycee Mayhew-Coe Date
Internal Audit Analyst
Self-Assessment Team Member

While the internal self-assessment concluded the Chief Auditor's Office is **in compliance** with the IIA *International Standards for the Professional Practices of Internal Auditing*, the *Government Auditing Standards*, and the Texas Internal Auditing Act, the self-assessment did identify five opportunities for improvement. Below are those findings to include the CAO management response to each.

1. **Opportunity for Improvement:** *The documented procedure for developing yearly training plans is outdated. We recommend revising the procedure for developing training plans to reflect the current process.*

CAO Action Plan: *The CAO management team concurs. We will revisit our documented procedure to determine necessary revisions and update it to ensure an effective and efficient process for the development of the yearly training plans.*

Responsible Party: *Assistant Chief Auditor*

Target Completion Date: *December 31, 2022*
2. **Opportunity for Improvement:** *In the prior self-assessment, an action plan was created with targeted completion dates. We recommend documenting when the corrective actions have been completed.*

CAO Action Plan: *The CAO management team concurs. Any opportunities for improvement resulting from the annual self-assessment will be documented as an "Issue" in our audit software. This will allow for more formalized tracking and documentation of the disposition of any prior issues identified in the self-assessment. We will include this step in the template for the self-assessment program.*

Responsible Party: *Chief Auditor*

Target Completion Date: *December 31, 2022*
3. **Opportunity for Improvement:** *The chief audit executive must discuss with the board the qualifications and independence of the external assessment team, including any potential conflict of interest. We recommend creating a procedure to document the board's participation in external assessments.*

CAO Action Plan: *The CAO management team concurs. We will include a step in the template for the self-assessment program to ensure the qualifications and independence of the external assessment team are discussed with the board and that that communication is documented.*

Responsible Party: *Chief Auditor*

Target Completion Date: *December 31, 2022*
4. **Opportunity for Improvement:** *Policies and procedures are located across various documents, making it difficult to find information. We recommend creating an audit manual to serve as the primary reference source for internal audit policies and procedures and to provide essential guidelines to internal audit staff.*

CAO Action Plan: *The CAO management team concurs. We will work to find a more streamlined and efficient way to ensure CAO policies and procedures are well-organized, and easily retrievable and accessible. We will focus on documenting CAO guidance on the performance of audit and advisory engagements.*

Responsible Party: *Chief Auditor*

Target Completion Date: *August 31, 2023*
5. **Opportunity for Improvement:** *A follow up policy has been established to assurance findings, but it does not address consulting engagements. We recommend incorporating the disposition of results for consulting engagements to the extent agreed upon with the client in the follow up policy.*

CAO Action Plan: *The CAO management team concurs. We will update our follow-up policy to include the consideration of consulting engagements results as appropriate – i.e., to the extent agreed upon with the client, or based on a CAO-designation of high risk or interest.*

Responsible Party: *Chief Auditor*

Target Completion Date: *December 31, 2022*

- 6. Opportunity for Improvement:** *During interviews, it was discovered internal audit staff did not understand the CAO's follow up policy and how it aids in the annual risk assessment. We recommend revisiting the follow up policy with staff during the annual CAO risk assessment.*

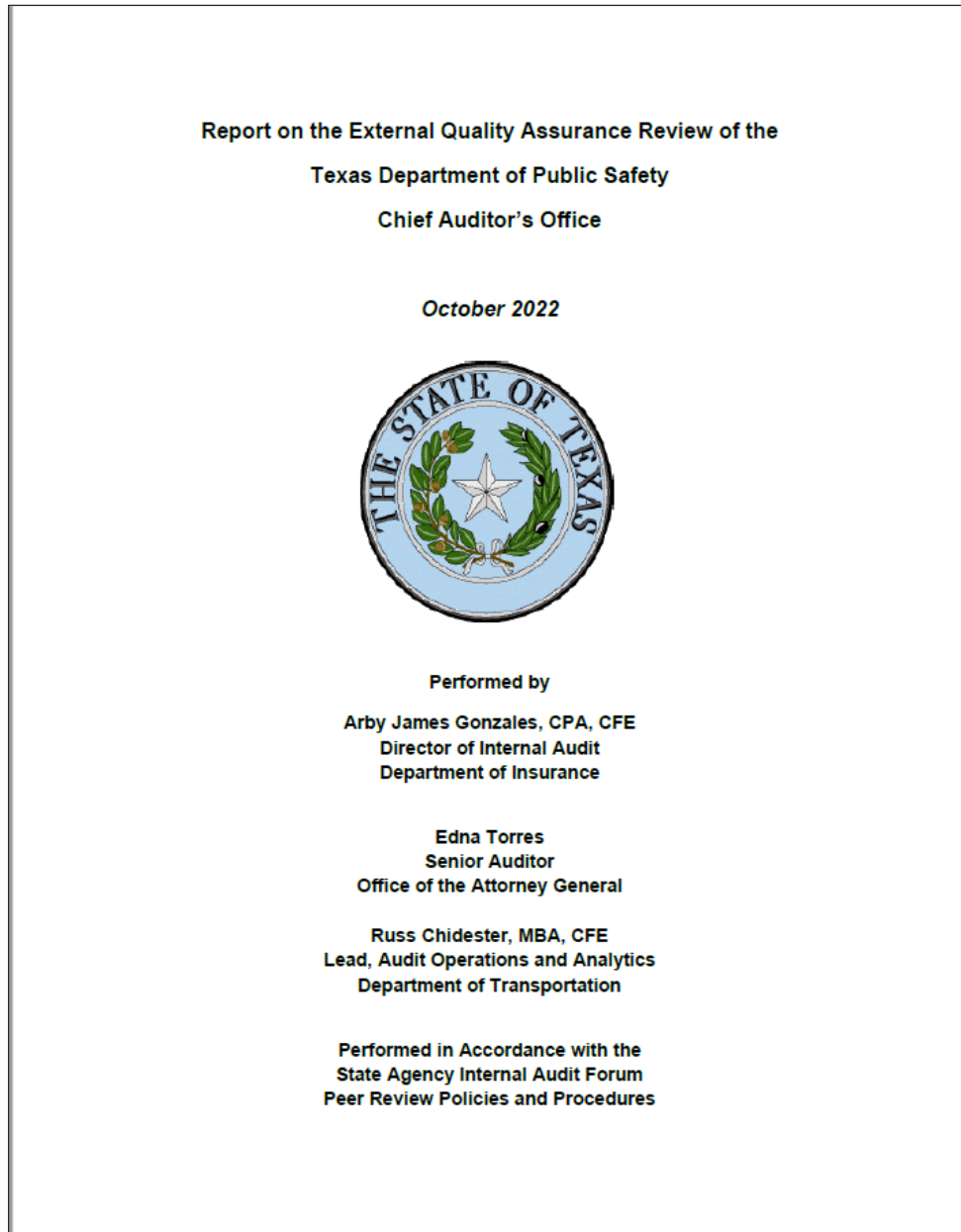
CAO Action Plan: The CAO management team concurs. The next annual risk assessment will occur over the summer of 2023. We will ensure the CAO's follow-up policy is included in the discussion and consideration of risk.

Responsible Party: Chief Auditor

Target Completion Date: August 31, 2023

B. External Quality Assurance Review (Peer Review)

Every three years, the DPS Chief Auditor’s Office undergoes an external quality assurance review (QAR) as required by professional standards and the Texas Internal Auditing Act. In the most recent QAR, dated October 2022, the office received an overall opinion of “Pass/Generally Conforms” which was the highest of possible ratings. The following is the resulting certificate and an excerpt from that report:



Texas Department of Public Safety Chief Auditor's Office
External Quality Assurance Review – October 2022

Overall Opinion

Based on the information received and evaluated during this external quality assurance review, it is our opinion that the Texas Department of Public Safety (Department) Chief Auditor's Office (CAO) receives a rating of **"Pass/Generally Conforms"** and is in compliance with the Institute of Internal Auditors (IIA) *International Standards for the Professional Practice of Internal Auditing* and Code of Ethics, the United States Government Accountability Office (GAO) *Government Auditing Standards*, and the Texas Internal Auditing Act (Texas Government Code, Chapter 2102). This opinion, which is the highest of the three possible ratings, means that policies, procedures, and practices are in place to implement the standards and requirements necessary for ensuring the independence, objectivity, and proficiency of the internal audit function.

We found that the CAO is independent, objective, and able to render impartial and unbiased judgments on the audit work performed. The staff members are qualified, proficient, and knowledgeable in the areas they audit. Individual audit projects are planned using risk assessment techniques; audit conclusions are supported in the working papers; and findings and recommendations are communicated clearly and concisely.

The CAO is well managed internally. In addition, the Department has effective relationships with the Board and is well respected and supported by management. Surveys and interviews conducted during the quality assurance review indicate that management considers Internal Audit a useful part of the overall agency operations and finds that the audit process and report recommendations add value and help improve the agency's operations.

The CAO has reviewed the results of the peer review team's work and has accepted them to be an accurate representation of the Department's operations.

Texas Department of Public Safety Chief Auditor's Office
External Quality Assurance Review – October 2022

Acknowledgements

We appreciate the courtesy and cooperation extended to us by the Internal Audit Director, Internal Audit staff, the Chairman and Vice-Chairman of the Board, the Executive Director, and the senior managers who participated in the interview process. We would also like to thank each person who completed surveys for the quality assurance review. The feedback from the surveys and the interviews provided valuable information regarding the operations of the CAO and its relationship with management.



Arby James Gonzalez, CPA, CFE
Director of Internal Audit
Department of Insurance

October 7, 2022

Date



Edna Torres
Senior Auditor
Office of the Attorney General

October 11, 2022

Date



Russ Chidester, MBA, CFE
Lead, Audit Operations and Analytics
Department of Transportation

October 10, 2022

Date

V. Internal Audit Plan for Fiscal Year 2023

The DPS Internal Audit Plan for fiscal year 2023 was approved as the *DPS Chief Auditor's Office Fiscal Year 2023 Internal Audit Strategy* at the Public Safety Commission meeting held on August 25, 2022.

The Chief Auditor's Office develops the proposed Internal Audit Strategy by first assessing the risk environment facing the Department. This assessment is a systematic process for assessing risk to the Department and integrating professional judgments. The risk assessment process provides a means of organizing and integrating professional judgments for development of the work priorities. Critical functional areas with higher risk are assigned higher audit priorities. The risk assessment process leads the Chief Auditor's Office to propose priorities which become the Internal Audit Strategy upon the Public Safety Commission's approval.

In addition to identifying individual audits to be conducted during the year, the Internal Audit Strategy ensures the Chief Auditor's Office aligns its efforts during the fiscal year with the priorities as approved by the Public Safety Commission. These efforts include reviews of the Department's major systems and controls, including accounting, administrative, and information technology systems and controls. The Chief Auditor's Office also considers the Department's methods for ensuring compliance with contract processes and controls, and for monitoring agency contracts.

* Continued on next page.*

Fiscal Year 2023

Internal Audit Strategy

For the Period September 2022 – August 2023

Internal Audit Assurance and Consulting/Advisory Efforts

1. Financial Controls and Processes
2. Information Resources – IT and Cybersecurity
3. Procurement and Contract Management
4. Asset Management and Critical Infrastructure
5. Personnel Management
6. Completion of FY22 Projects in Progress
7. Emerging Risks (*Rapid Response Projects, as requested*)

Routine Internal Audit Efforts

8. Field Administration Review
9. Follow-Up Program
10. Efficiency and Effectiveness of Business Processes

Coordination of External Audits/Reviews

11. Statewide Single Audit – State Auditor's Office with CliftonLarsonAllen
12. Other External Audits/Reviews – State Auditor's Office, Comptroller's Office, etc.

Mandatory Internal Audit Activities

13. Quality Assurance and Improvement Program
14. Continuing Professional Education
15. Development of the Fiscal Year 2024 Internal Audit Strategy

Other Internal Audit Activities

16. Service to the Profession
17. Administration of the Chief Auditor's Office

VI. External Audit Services Procured in Fiscal Year 2022

The Chief Auditor's Office is not aware of any external audit services procured in fiscal year 2022.

VII. Reporting Suspected Fraud and Abuse

The DPS home page includes a link to the State Auditor's website for fraud reporting as required by Section 7.09, page IX-37, the General Appropriations Act (86th Legislature).

The DPS General Manual, Section 05.49.00 FRAUD POLICY states that:

Employees who suspect fraud is occurring in the workplace should immediately notify their supervisors. If for some reason the employee is uncomfortable with notifying their supervisor, they may notify Internal Affairs or the State Auditor's Office

Reports prepared by the Chief Auditor's Office in collaboration with the Office of Inspector General are provided to the State Auditor's Special Investigations Unit in compliance with Tex. Gov't Code §321.022.

VIII. Other Internal Audit Activities

Activity	Description
Professional Credentials	During FY 2022, CAO staff pursued professional certifications and advanced degrees. These included certification as Certified Internal Auditor, Certified Public Accountant, and Certified Fraud Examiner Professional. The CAO staff members proudly hold numerous professional certifications and a combined 119.65 years of experience providing assurance and advisory services.
Ongoing Quality Assurance and Improvement Program (QAIP)	This activity includes on-going and periodic monitoring of audit quality, as well as the annual self-assessment. As a result of this effort, we have greater assurance that our work meets quality standards and is in compliance with professional audit standards and the Texas Internal Auditing Act.
Continuing Professional Education	Professional standards require each internal auditor to obtain 40 hours of continuing professional education annually. The Chief Auditor’s Office strives to conserve and maximize its budget while seeking quality continuing professional education to develop and enhance our professional competencies to better serve the Department.
External Auditor Liaison	CAO served as the official contact point and liaison for external audits and reviews of DPS activities.
Professional Organizations	<p>CAO staff actively supported professional organizations by participating and/or serving in professional audit organizations including:</p> <ul style="list-style-type: none"> • State Agency Internal Audit Forum (SAIAF) • Association of Certified Fraud Examiners (ACFE) • Institute of Internal Auditors (IIA) • Information Systems Audit and Control Association (ISACA) • International Law Enforcement Auditors Association (ILEAA)

<p>Professional Speaking</p>	<ul style="list-style-type: none"> • Chief Catherine A. Melvin, IIA Houston Chapter, “Next-Gen Internal Audit Leaders”, February 7, 2022 • Chief Catherine A. Melvin, IIA Austin Chapter “Future Ready”, April 28, 2022 • Chief Catherine A. Melvin, Texas Fiscal Officers Academy “Audit Ready! How to Work with Auditor”, April 29, 2022 • Chief Catherine A. Melvin, UT McCombs School of Business, Executive Masters in Public Leadership program, “Internal Audit in the Public Sector”, March 26, 2022 • Chief Catherine A. Melvin, UT McCombs School of Business, Management Auditing and Control class, “Managing the Internal Audit Function”, October 18, 2021 and March 7, 2022 • Chief Catherine A. Melvin, Texas State Agency Business Administrators Association “Audit Ready! Strategies for Success”, July 20, 2022 • Asst. Chief Susan Oballe, DPS IOD Leadership Development School, “Intro. to Process Improvement”, presented with Senior Process Improvement Specialist Niko Alexander and IOD Process Improvement Manager Bill Wahlgren, Feb. 1, 2022, Feb. 22, 2022 & March 22, 2022 • Asst. Chief Susan Oballe, AGA Austin Chapter, “Developing Thought Leaders to Bring Innovative Solutions”, presented with Audit Manager Tammara West, April 19, 2022 • Asst. Chief Susan Oballe, State Auditor’s Office Training, “Auditing for Efficiency and Effectiveness”, taught 1-day class with Alfredo Mycue, June 15, 2022 • Asst. Chief Susan Oballe, Texas State Agency Business Administrator’s Association (TSABAA) Summer Conference, “Audit Ready! Strategies for Success”, presented with Chief Auditor Catherine Melvin, July 20, 2022 • Manager Tammara West, AGA Austin Chapter, “Developing Thought Leaders to Bring Innovative Solutions”, presented with Assistant Chief, Susan Oballe, April 19, 2022 • Manager Tammara West, DPS IOD Leadership Development School, “Intro. to Process Improvement”, presented with Senior Process
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Activity	Description
	<p>Improvement Specialist Niko Alexander and IOD Process Improvement Manager Bill Wahlgren, August 8, 2022</p> <ul style="list-style-type: none"> • Sr. Process Improvement Spc. Alexander Nikolaos, DPS Infrastructure Operations Division Leadership Development School, “Intro. to Process Improvement Tools”, February 1, 2022, February 22, 2022, March 22, 2022, and August 2, 2022.
Fraud Waste and Abuse Prevention	Through our audit and advisory services, we continue to promote the prevention and detection of fraud, waste and abuse.

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