

Status of audit recommendations and management action plans

February 23, 2022

Project Name	Dept.	Report Date	Short Recommendation	Target Date	Management Status Assertion (1)	Audit Verification (2)
NHSD Under One Roof	NHSD	4/5/2021	Adjust programs restrictive covenants and adjust.	3/26/2021	Behind Schedule	Verification Pending
			Effectively manage user access to systems and share drives.	1/6/2021	Behind Schedule	Verification Pending
CCDO Centro San Antonio Contract	CCDO	4/5/2021	Establish controls over equipment management.	3/31/2021	Complete	Verified w/o exception
			Improve subcontractor expense review process.	5/31/2021	Complete	Verification Pending
			Perform reconciliations between the CTAX property accounts and the SAP PID fund.	11/30/2021		
City Attny's Off Outside Legal Counsel Billings	Attorney	4/5/2021	Update detailed guidelines for allowable expenses to reflect current practices. Explore feasibility of automating billing process.	3/30/21 9/30/21	Complete	Verified w/o exception
			Update detailed guidelines for case monitoring to reflect current practices.	3/30/2021	Complete	Verified w/o exception
ITSD Email Security (Confidential)	ITSD	4/5/2021	Confidential	3/31/2022	On Schedule	On Schedule
			Confidential	3/31/2021	Complete	Verified w/o exception
Aviation Facilities Maintenance	Aviation	5/27/2021	Update policies and procedures to maintenance processes and fully transition to NetFacilities software.	10/1/2021		Complete Follow-up Audit Scheduled in June, 2022
			Improve controls over physical parts inventory and document.	8/15/2021		
			Maintain vendor repair quotes on file.	4/15/2021		
			Monitor staff professional licenses.	1/16/2021		
			Establish periodic user access review for the NetFacilities system.	3/30/2021		
City Clerk Vital Records	City Clerk	7/9/2021	Ensure amended birth records are marked properly on both electronic and hard copies.	9/30/2021	Complete	Verification Pending
			Ensure birth records for deceased individuals are marked properly.	7/31/2021	Complete	Verification Pending
			Update mainframe system password requirements.	9/30/2021	Behind Schedule	Verification Pending
			Update City Clerk's Business Continuity Plan.	1/31/2022	Complete	Verified w/o exception
Risk Safety Programs	Risk	7/9/2021	Ensure property listing used for safety inspections is accurate and current.	4/1/2021	Complete	Verified w/o exception
			Increase identification and training for personnel meeting high risk criteria.	8/30/2021	Complete	Verified w/o exception
			Implement controls for monitoring departmental adherence to safety guidelines.	10/1/2021	Complete	Verified w/o exception
Parks Pool Inspections Follow-up	Parks	7/9/2021	Ensure sufficient trainings are conducted and completed timely by certified personnel in order to meet internal and state required guidelines.	6/30/2021	Complete	Verified w/o exception
SAPD Overtime Authorizations	Police	8/10/2021	Implement controls in PEMS to ensure special events cannot be reentered into the system after they have been closed out.	6/1/2021	Complete	Verified w/o exception
			Ensure that overtime records incorrectly approved are rejected.	6/1/2021	Complete	Verified w/o exception
			Perform periodic user access reviews and modify PEMS roles accordingly.	6/30/2021	Complete	Verified w/o exception
ITSD Windows Server Vulnerability Follow-up (Confidential)	ITSD	8/10/2021	Confidential	12/31/2022	On Schedule	On Schedule
			Confidential	5/3/2021	Complete	Verified w/o exception
			Confidential	12/31/2022	On Schedule	On Schedule
			Confidential	8/10/2021	Behind Schedule	Verification Pending
EDD Economic Incentive Monitoring	EDD	9/24/2021	Update the Monitoring & Compliance SOP to include detailed tax abatement procedures	12/31/2021	Complete	Verified w/o exception
			Investigate the feasibility of implementing a system to automate the Incentive Reporting Form	12/31/2021	Complete	Verified w/o exception

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CCDO Riverwalk Leases	CCDO	9/24/2021	Establishes procedures that require periodic review of lease summary accuracy with current lease agreements.	12/31/2021	Complete	Verified w/o exception
			Establish procedures to ensure staff performs periodic site visits, and documentation is retained.	12/31/2021	Complete	Verification Pending
			establishes a process to assess and bill tenants for applicable late fees outlined in the lease agreements.	12/31/2021	Complete	Verification Pending
Finance Accounts Payable	Finance	9/29/2021	Reassess processes to ensure early payment discounts are taken when available.	3/31/2022	On Schedule	On Schedule
Finance Citywide Payroll	Finance	9/29/2021	Remove excessive user access privileges by role prohibiting the ability to modify basic pay, employee name, employee address, employee time, and process payroll.	12/31/2021	Complete	Verified w/o exception
			Finance C&R should maintain a central list of all segregation of duties conflicts with the corresponding compensating controls and select controls on a test basis to ensure they are in place and operating effectively.	12/31/2021	Complete	Verified w/o exception
			Perform SAP user access reviews on a semi-annual basis and recommend departments modify SAP roles accordingly.	12/31/2021	Complete	Verified w/o exception
Fire Mobile Integrated Health	Fire	9/29/2021	Review and update, as needed, standard operating procedures to reflect current processes and maintain the procedures with an annual review	Completed	Complete	Verified w/o exception
			Enhance the inventory process for controlled substances including reviews for accuracy and completeness.	Completed	Complete	Verified with exception
			Enhance and enforce guidelines for periodically reviewing user access for systems and applications used by MH personnel. Additionally, ensure that all cabinets containing patient data be secured and locked at all times.	Completed	Complete	Verification Pending
Storm Water FILO Program	PW	10/5/2021	Ensure payments are received prior to recording of plats.	2/1/2022	Behind Schedule	Verification Pending
			Clarify requirement for engineer's certification of projects.	10/30/2022	On Schedule	Verification Pending
			Establish formal procedures for holding payments and seek approval from Finance if longer than 24 hours.	1/1/2022	Behind Schedule	Verification Pending
			Ensure accuracy of data. Move toward automating process to eliminate manual redundancies in process.	6/30/2023	On Schedule	Verification Pending
P-Card Program	Finance	10/6/2021	Comply with policies and procedures for generic cards.	10/31/2021		
			Require the monthly distribution of reports that identify declined transactions, unapproved statements, and sales tax charges. This policy should also be strengthened to require departments to submit a response addressing identified issues.	10/31/2021		
			Strengthen and consistently apply the policy that requires a periodic review of cardholder credit limits for reasonableness. This policy should include a review of average monthly purchases by cardholders versus their monthly credit limit.	12/15/2021		
			Implement a policy which prohibits the use of the P-Card for recurring monthly charges.	12/31/2021		
Delegate Agency Contract Monitoring	DHS	12/20/2021	Perform periodic reviews of access to shared drives and remove excessive user access privileges to department shared drive.	2/1/2022	On Schedule	Verification Pending

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Note (1) For Management Status Assertion, options are:

**Complete** - Action plan to address audit recommendation is complete and implemented.

**On-Schedule** - Action plan to address audit recommendation is on schedule to be completed by target date.

**Behind Schedule** - Action plan is not on schedule to be completed by target date or has missed target date.

Note (2) For Audit Verification options are:

**Verified w/o exception** - Audit has tested the updated process and verified it is implemented and working as intended.

**Verified with exception** - Audit has tested the updated process and has determined implementation is not complete or working as intended.

**On Schedule** - Audit has verification planned when action plan is completed.

**Verification Pending** - Audit verification is delayed due to delay in action plan implementation or due to scheduling conflicts.