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First Assistant State Auditor

September 18, 2020

The Honorable Chair Terry Canales
House Committee on Transportation
Texas House of Representatives
Room 4S.4
Austin, TX 78701

Dear Chair Canales,

I want to take this opportunity to provide you with current information regarding the interim charge for monitoring the State Auditor's review of agencies and programs under the jurisdiction of the House Committee on Transportation.

The State Auditor's Office (SAO) released audit reports in fiscal years 2019 and 2020 that have a potential impact for your committee's interim charges. Those completed audits are listed on the following pages, which also include hyperlinks to the full reports on the SAO's website. The SAO originally submitted a similar document to your committee in January 2020. We have updated this document to respond to your committee posting.

Additionally, the State Auditor's Office is completing audits in the fiscal year 2020 audit plan that may be relevant to the Committee's work. I will notify you of those audits as they near completion.

I hope this information is helpful to you. I am available to you and your staff at your convenience. Thank you for the work that you do.

My best,

Lisa R. Collier

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First Assistant State Auditor

Attachment

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STATE AUDITOR'S OFFICE

Lisa R. Collier, CPA, CFE, CIDA, First Assistant State Auditor

House Committee on Transportation

The State Auditor's Office (SAO) reports below may be of interest to the Committee while addressing the Speaker of the House of Representatives' interim charge regarding monitoring the State Auditor's review of agencies and programs. The reports included were released during fiscal years 2019 and 2020. Since the previous document was provided, the list of reports has been updated to include reports released since January 28, 2020. These reports may relate to the agencies under the Committee's jurisdiction and/or other interim charges issued to the Committee. Our Office will continue to keep the Committee informed of any additional reports released that may be of interest.

The reports listed below are divided into two sections: (1) audit and review reports and reports completed by the State Classification Team and (2) reports on work completed to follow up on select recommendations previously issued by the SAO and/or the Sunset Advisory Commission.

The issue ratings for each applicable performance audit are included to indicate the rating categories identified for the report. Individual results contribute to the overall chapter/subchapter issue ratings. See the final page of this document for additional information regarding the issue ratings. However, some types of reports are not rated on this scale. Each report number is hyperlinked to the full report on the SAO website.

State Auditor's Office Contact Information

First Assistant State Auditor Lisa R. Collier, CPA, CFE, CIDA, and the State Auditor's Office personnel are available as a resource to the Committee on any of our reports.

For additional information regarding any report, please contact:



Verma Elliott, Assistant State Auditor, (512) 936-9300, verma.elliott@sao.texas.gov



State Auditor's Office website: <https://www.sao.texas.gov>



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STATE AUDITOR'S OFFICE

Report Title	Report Number	Release Date	Report Ratings
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Reports Released

An Audit Report on Contract Change Management at the Department of Transportation	20-027	03/26/2020	<div><div></div><div></div><div></div><div></div></div>
A Classification Compliance Audit Report on Information Technology Positions at Business and Economic Development Agencies	20-701	01/28/2020	<div><div></div><div></div><div></div><div></div></div>
Entities included: <ul style="list-style-type: none">Department of Housing and Community AffairsDepartment of Motor VehiclesTexas Lottery CommissionDepartment of TransportationTexas Workforce Commission			
A Report on Analysis of Quality Assurance Team Projects	20-010	11/22/2019	
Entities included: <ul style="list-style-type: none">Department of InsuranceDepartment of Motor VehiclesHealth and Human Services CommissionTexas Workforce CommissionDepartment of State Health Services			
An Audit Report on Facilities-related Contracts at the Department of Transportation	19-050	08/28/2019	<div><div></div><div></div><div></div><div></div></div>
An Audit Report on Selected Contracts at the Department of Motor Vehicles	19-029	02/13/2019	<div><div></div><div></div><div></div><div></div></div>
An Audit Report on Information Technology Contract Oversight at the Department of Transportation	19-024	01/30/2019	<div><div></div><div></div><div></div><div></div></div>
An Audit Report on Vehicle Fleet Management at Selected State Entities	19-006	10/29/2018	<div><div></div><div></div><div></div><div></div></div>
Entities included: <ul style="list-style-type: none">Animal Health CommissionDepartment of TransportationParks and Wildlife Department			



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Report Title

Report Number

Release Date

Report Ratings

Review of Prior Recommendations

A Report on the Implementation Status of Prior State Auditor's Office Recommendations

[20-030](#)

04/27/2020

Implementation status verified for:

- Alcoholic Beverage Commission
- Department of State Health Services
- Texas Facilities Commission
- Department of Agriculture
- Department of Transportation
- Department of Public Safety
- Parks and Wildlife Department

A Report on the Implementation Status of Prior State Auditor's Office Recommendations

[19-027](#)

02/06/2019

Implementation status verified for:

- Department of Motor Vehicles
- Office of the Attorney General
- Water Development Board
- Department of State Health Services
- Office of the Comptroller of Public Accounts
- General Land Office
- School for the Deaf

A Report on the Self-reported Implementation of Sunset Advisory Commission Management Actions

[19-012](#)

11/30/2018

Implementation status verified for:

- Board of Chiropractic Examiners
- Department of Licensing and Regulation
- Palo Duro Water District
- Sulphur River Basin Authority
- Upper Colorado River Authority
- Board of Pharmacy
- Employees Retirement System
- Railroad Commission
- Texas Board of Nursing
- Board of Veterinary Medical Examiners
- Optometry Board
- State Bar of Texas
- Department of Transportation



STATE AUDITOR'S OFFICE

Issue Ratings

Auditors use professional judgment to rate the audit findings identified in certain audit reports. For each report, the issue ratings are summarized in the report chapters/subchapters. Auditors determine the ratings based on the degree of risk or effect of the findings in relation to the audit objective(s).

LOW



The audit identified strengths that support the audited entity's ability to administer the program(s)/function(s) audited or the issues identified do not present significant risks or effects that would negatively affect the audited entity's ability to effectively administer the program(s)/function(s) audited.

MEDIUM



Issues identified present risks or effects that if not addressed could moderately affect the audited entity's ability to effectively administer the program(s)/function(s) audited. Action is needed to address the noted concern(s) and reduce risks to a more desirable level.

HIGH



Issues identified present risks or effects that if not addressed could substantially affect the audited entity's ability to effectively administer the program(s)/function(s) audited. Prompt action is essential to address the noted concern(s) and reduce risks to the audited entity.

PRIORITY



Issues identified present risks or effects that if not addressed could critically affect the audited entity's ability to effectively administer the program(s)/function(s) audited. Immediate action is required to address the noted concern(s) and reduce risks to the audited entity.