Internal Audit Finding Progress Update

Of the 32 in-progress findings, 5 are considered key findings listed below. Key findings focus on controls that are not fully addressing key risks or working effectively and consistently; instances of noncompliance with laws, regulations, or policies; or occurrences of inefficient or ineffective processes. Management is making progress to address these findings, which are listed in detail below.

Audit findings greater than 1 year old

AUDIT: Application Incident Management

Finding 1: Comprehensive monitoring and logging of incidents is not performed for sampled applications.

Finding 2: Logging of events is not performed for sampled applications.

Original/Revised Target Completion Date Applies to Findings 1 & 2: June 2023/March 2024

Finding 3: Alarms and alerts that can be resolved quickly do not always results in the creation of a service ticket.

Original/Revised Target Completion Date: December 2022/March 2024

Status: Currently, alerts are being collected, maintained, and are available to query. Applications are moving to cloud services providers that include monitoring tools, as deploying new non-cloud, application monitoring tools is not cost-effective. Monitoring will be added as eligible applications are migrated to the CalSTRS/AWS cloud.

Audit findings less than 1 year old

AUDIT: System Implementation (Software Development Life Cycle)

Finding 1: Available policies, standards, and guidelines do not provide clear guidance to project managers regarding project deliverable requirements.

Status: The Project Management Program is working to finalize updates to processes and plans and expect to meet the revised target date.

Original/Revised Target Completion Date: December 2023/April 2024

AUDIT: Contract Management

Finding 1: While "key personnel" is defined in some contract documents, the definition differs. As a result, business contract managers may be unclear on which contract compliance forms and recertifications are required and for whom and when to process amendments for personnel changes.

Status: The definition of key personnel is in the final review process.

Original/Revised Target Completion Date: December 2023/May 2024