



Bernard J. Allen  
Executive Director

David M. Silber, CFA, CAIA  
Chief Investment Officer

Melody Johnson  
Deputy Director

December 11, 2020

Mr. Jim Owczarski  
City Clerk  
Room 205, City Hall

Dear Mr. Owczarski:

Please be advised that an Administration & Operations (A&O) Committee Meeting of the Annuity and Pension Board of the Employees' Retirement System has been scheduled for **Thursday, December 17 at 8:30 a.m.** *Special Notice: Due to the COVID-19 pandemic, the meeting will be held remotely via video conference. Instructions on how to observe the meeting will be available on ERS's website ([www.cmers.com](http://www.cmers.com)) prior to the meeting.*

**Please note and observe the following remote attendance etiquette to ensure a smooth and productive meeting:**

- In order to cut down on background noise, participants in the meeting should put their phones on mute when they are not participating.
- At the start of the meeting, the Chairman will announce the names of the members of the Board present on the call, as well as anyone else who will be participating.
- Please request to be recognized by the Chairman if you would like to speak.
- Those participating on the call should identify themselves whenever they speak, and should ensure that the other participants on the call can hear them clearly.

The agenda is as follows:

Please be advised that the Administration and Operations Committee may vote to convene in closed session on the following items (I. and II.), as provided in Section 19.85(1)(e), Wisconsin State Statutes, to deliberate or negotiate the purchasing of public properties, the investing of public funds, or conducting other specified public business, whenever competitive or bargaining reasons require a closed session. The Committee may then vote to reconvene in open session following the closed session.

- I. Approval of CLA Contract.
- II. Approval of DS Consulting Contract Extension.
- III. Jefferson Wells Internal Audit Reports.
- IV. IT Projects Portfolio.
- V. Organizational/Personnel Update.

Sincerely,

Bernard J. Allen  
Executive Director

BJA:jmw



# Employees' Retirement System of the City of Milwaukee:

## Internal Audit Update

December 17, 2020

# Executive Summary

Jefferson Wells has completed the following internal audits:

- Benefit Administration
- Benefit Payroll
- Membership and Enrollment
- HR & Payroll
- IT General Controls Audit

The detailed audit procedures, findings, and recommendations can be found in the full internal audit reports that were provided separately.

The remaining 2020 Audit, Network Vulnerability, is currently in-process and will be presented during the March 2021 A&O Committee meeting.

# 2020 Audit Plan Status

**Milwaukee Employees' Retirement System  
2020 Internal Audit Plan Hours  
As of December 4, 2020**

Description	Estimated Hours 2020	Estimated Cost	Actual Hours	Actual Cost	Hours Variance	Dollar Variance	Status
Engagement Management	142	\$25,400	71.75	\$12,375	70.25	\$13,025	On-going
Benefit Administration Audit	100	\$12,600	100.50	\$12,663	(0.50)	-\$63	Presented at December 2020 meeting
Benefit Payroll Audit	80	\$10,080	78.00	\$9,828	2.00	\$252	Presented at December 2020 meeting
Membership and Enrollment Audit	60	\$7,560	57.00	\$7,182	3.00	\$378	Presented at December 2020 meeting
HR & Payroll Audit	45	\$5,670	43.00	\$5,418	2.00	\$252	Presented at December 2020 meeting
IT General Controls Audit	80	\$12,560	104.50	\$16,407	(24.50)	-\$3,847	Presented at December 2020 meeting
Network Vulnerability Audit	120	\$21,600	80.00	\$14,400	40.00	\$7,200	In Process
Management and Special Projects	0	\$0	-	\$0	-	\$0	TBD
<b>Total Audit Hours / Cost</b>	<b>769</b>	<b>\$95,470</b>	<b>535</b>	<b>\$78,273</b>	<b>92</b>	<b>\$17,198</b>	

# **City of Milwaukee Employees' Retirement Services**

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## ***Benefit Administration Internal Audit***

**NOVEMBER 2020**

**JEFFERSON WELLS**  
RISK AND COMPLIANCE  
WISCONSIN OFFICE

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## **EXECUTIVE SUMMARY**

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### **Background**

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At the direction of the Administration and Operations (A&O) Committee, a Benefit Administration Internal Audit was performed from July 3, 2020 – November 6, 2020. The City of Milwaukee Employees' Retirement System (ERS) has the responsibility of administering the benefits of its member constituency, which is comprised of employees and retirees of the City of Milwaukee and its related agencies.

ERS administers group life, health, and (COBRA) dental benefits for retired and disabled Fire, Police and other City of Milwaukee employees. ERS also administers group life benefits for active City of Milwaukee employees. Milwaukee Public Schools (MPS), Milwaukee Area Technical College (MATC) and Milwaukee Metropolitan Sewage District (MMSD), however, administer their own benefits.

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### **Audit Scope & Objectives**

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The objective of this internal audit was to determine the design and operating effectiveness of the controls in place to mitigate the risks in the Benefit Administration processes. The scope of the Benefit Administration internal audit included the following processes:

- Benefit Insurance Rates
- Participant Health, Dental and Life Insurance Selections
- Health, Dental and Life Insurance City Monthly Fund Transfers
- Participant Health, Dental and Life Insurance Changes
- Management and Termination of Participant Life Insurance
- Life Insurance Death Claims
- Safeguarding of Participant Personal Information
- User Access Review

Various internal audit techniques were used to assess and examine the effectiveness of the ERS internal control environment. Techniques included conducting interviews with ERS personnel, observation of performance of required procedures and controls, and examination of related documentation.

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### **Overall Assessment**

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Historically, ERS management has implemented and maintained a solid internal control environment for its Benefit Administration process. ERS employees have either worked remotely or have worked in the office according to an office rotation plan established due to the pandemic. The Internal Control Environment operated effectively during the pandemic with the shift to a remote worker model being used by ERS. Based on the results of our review, no internal control deficiencies were identified.

Internal audits are only one part of a comprehensive risk management and control program. The procedures performed are included in the next section of this report.

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## **Procedures Performed**

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The following procedures were performed during the internal audit:

- Reviewed existing documented procedures for process updates related to the benefit process.
- Reviewed and agreed Health, Dental and Life Insurance rates used within MERITS to approved rates. Determined they were reviewed and approved by another person who was independent and knowledgeable of the process.
- Selected a sample of 25 participants for testing and determined the participants' policy election form was on file and the correct rate was being applied for:
  - Health Insurance
  - Dental Insurance
  - Life Insurance
- Tested three months of Fund Transfers for Health, Dental and Life Insurance premium payments. For each month tested:
  - Determined the transfers were properly reconciled and authorized by ERS management.
  - Determined that the MERITS Employee Insurance Deduction register was properly reconciled to the Monthly Fund Transfer.
- Selected a sample of eight participants who made changes to their Insurance policy selections and determined that the policy change was properly authorized.
- Selected a sample of 25 Life Insurance Death Claims for testing and determined that the death claims were calculated accurately, and properly supported before the claim was processed for payment.
- Selected a sample of five Active Members who were on Leave of Absence:
  - Determined that the members Life Insurance premiums were put on hold and that the members were being properly invoiced for their premiums.
  - Determined that the cash controls put in place to manage the receipt of checks from active employees and agencies owing premiums for group life insurance are properly safeguarded, deposited and reviewed by the ERS management.
- Evaluated access to MERITS and relevant System applications for propriety and potential segregation of duties concerns.
- Assessed physical and system controls over sensitive member information:
  - Determined that User Access for systems used by ERS were regularly reviewed and approved by management for the MERITS systems.

- Through virtual observation, noted that employee workstations were clear of sensitive member information at the end of the day and were in compliance with ERS policy.
- Determined a Remote Access policy is established.
  - Additional procedures will be performed during the IT General controls audit for employees working remotely during the pandemic.
- Determined that management regularly evaluates personnel assigned to manage the Benefit Administration process.

# City of Milwaukee Employees' Retirement Services

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## *Benefit Payroll Internal Audit*

**OCTOBER 2020**

**JEFFERSON WELLS**  
RISK AND COMPLIANCE  
WISCONSIN OFFICE

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## **EXECUTIVE SUMMARY**

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### **Background**

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At the direction of the Administration and Operations (A&O) Committee, a Benefit Payroll Internal Audit was performed from June 15, 2020 – July 31, 2020. The City of Milwaukee Employees' Retirement System (ERS) has the responsibility of administering the benefits to its member constituency, which is comprised of employees and retirees of the City of Milwaukee and its related agencies.

ERS manages the benefits of its members in accordance with legislative guidance and contractual obligations. A database of monthly benefits is maintained for over 13,000 retired and/or disabled ERS members. ERS uses the MERITS application to calculate and prepare monthly pay checks for each member or surviving beneficiary, as applicable. The prepared benefit payroll file from MERITS must be transferred to the Planet Press application for proper print format and to have check printing initiated. A third-party vendor (UMS) is used to stuff the monthly checks, ACH notices and newsletters into envelopes. UMS also delivers the envelopes to the post office for metering and mailing. Standard Practice Instructions (SPIs) are maintained to document individual processes.

### **Audit Scope & Objectives**

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The objective of this internal audit was to determine the design and operating effectiveness of the controls in place to mitigate the risks in the Benefit Payroll processes. The scope of the Benefit Payroll internal audit included the following processes:

- Bank Authorizations
- Payment Processing
- Benefit Payment and Calculation Reconciliations
- User Access Review
- Participant Receivables
- Cost of Living Adjustment (COLA)
- Withholding Taxes
- 1099 Reporting

Various internal audit techniques were used to assess and examine the effectiveness of the ERS internal control environment. Techniques included conducting interviews with ERS personnel, observation of performance of required procedures and controls, and examination of related documentation.

### **Overall Assessment**

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Historically, ERS management has implemented and maintained a solid internal control environment for its Benefit Payroll process. As the audit was conducted during the COVID-19, ERS employees have now either worked from home or have worked in the office according to an office rotation plan. There were no changes in either the Internal Control Environment or in its ability to operate effectively during the Pandemic. Based on the results of our review, no internal control deficiencies were identified.

Internal audits are only one part of a comprehensive risk management and control program. The procedures performed are included in the next section of the report.

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## **Procedures Performed**

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The following internal audit procedures included the period January 1, 2019 through April 30, 2020, unless otherwise noted:

- Reviewed existing documented procedures for process updates related to the benefit process.
- Tested four months of Fund Transfers to determine that the monthly benefit payroll payments made to its participants were accurately and completely recorded in the MERITS system.
  - Reviewed and agreed participant direct deposit and check records to their proper inclusion in the monthly distribution.
  - Reviewed the monthly payment reconciliation and verified MERITS Benefit Payment totals to monthly bank transfers.
- Determined that the check stock used for benefit payments was properly accounted for and secured.
- Reviewed Wells Fargo Authorized Bank Signatory list and the User Security Report and determined that the current users were properly authorized.
- Selected a sample of four months for testing and examined evidence that all changes made to benefit payroll data were independently reviewed and verified for accuracy and validity.
- Selected four months of MERITS Expected Changes Report and determined that the reports were being properly reviewed and approved by management.
- Tested MERITS system to ensure that the System could not make a duplicate payment to a plan participant.
- Assessed physical and system controls over sensitive member information:
  - Determined that User Access for systems used by ERS were regularly reviewed and approved by management for the MERITS systems.
  - Through virtual observation, noted that employee workstations were clear of sensitive member information at the end of the day and were in compliance with ERS policy.
  - Evaluated those controls in place that would prevent fraudulent transactions (ie. Creation of Ghost Employees).
  - Evaluated access to MERITS and relevant System applications for propriety and potential segregation of duties concerns.
  - Determined a Remote Access policy is established.

- Additional procedures will be performed during the IT General controls audit for employees working remotely during the pandemic.
- Reviewed the internal controls over participant receivables following the death of a member:
  - Reviewed and determined that the processes used by ERS to identify deceased members were operating effectively
  - Tested the MERITS system and determined that the system will not issue a payment to a participant who passed and where a receivable is outstanding.
- Determined that ERS management is properly reviewing the Receivable listing and is actively engaged in collections.
- Reviewed Cost of Living Adjustment (COLA) table/schedule used in MERITS and determined that the COLA table/schedule was properly supported and calculated.
  - Noted that the COLA table/schedule was reviewed and approved by another person who was independent and knowledgeable of the process.
- Reviewed the 2019 Federal and State Tax Filings and performed the following:
  - Reviewed and agreed Federal and State Tax withholding tables/schedules used within MERITS and determined they were approved by another person who was independent and knowledgeable of the process.
  - Determined that the Federal and State withholding taxes were properly supported, reviewed and approved by management.
- Determined that management regularly evaluates personnel assigned to manage the Benefit Payroll process.

# **City of Milwaukee – Employees’ Retirement System (ERS)**

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## ***Enrollment and Member Services Internal Audit***

**OCTOBER 2020**

**JEFFERSON WELLS**  
RISK AND COMPLIANCE  
WISCONSIN OFFICE

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## **EXECUTIVE SUMMARY**

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### **Background**

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At the direction of the Administration and Operations Committee, an Enrollment and Member Services audit was performed from July 30 – August 30, 2020. The City of Milwaukee Employees' Retirement System (ERS) has the responsibility of administering the benefits of its member constituency, which is comprised of employees and retirees of the City of Milwaukee and its related agencies.

As part of its administrative responsibilities, ERS enrolls new employees as retirement system members in the MERITS pension administration system. Any documentation that is used to support the enrollment process is imaged and indexed within the member's record to make available electronically in MERITS to support various pension administration workflows. To provide its members with information regarding their benefits, including the process to enroll and apply for benefits, the ERS member services area provides its members counseling sessions and information through various channels, including publications as well as the ERS website.

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### **Audit Scope & Objectives**

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The objective of this internal audit was to determine the design and operating effectiveness of the controls in place to mitigate the risks in the Enrollment and Member Services processes. The scope of the internal audit included the following processes:

- Regulatory Development Monitoring
- Member Documentation
- User Access Review

Various audit techniques were used to assess and examine the effectiveness of the ERS internal control environment. Audit techniques included conducting interviews with ERS personnel, observation of performance of required procedures and controls, and examination of related documentation.

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### **Overall Assessment**

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ERS management has implemented and maintained a solid internal control environment for the Enrollment and Membership Services process. ERS employees have either worked from home or have worked in the office according to an office rotation plan established due to the pandemic. The Internal Control Environment operated effectively during the pandemic with the shift to a work from home model being used by ERS. Based on the results of our review, no internal control deficiencies were identified.

Audits are only one part of a comprehensive risk management and control program. The procedures performed are included in the next section of this report.

## **Procedures Performed**

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The following procedures were performed during the internal audit.

- Reviewed existing documented procedures for process updates related to the Enrollment and Member Services process.
- Assessed physical and system controls over sensitive member information.
  - Determined that User Access to systems used by ERS was regularly reviewed and approved by management.
  - Through direct physical observation, noted that employee workstations were clear of sensitive member information at the end of the day and were in compliance with ERS policy.
  - Determined a Remote Access policy is established.
    - Additional procedures will be performed during the IT General controls audit for employees working remotely during the pandemic.
- Evaluated access to MERITS for propriety and potential segregation of duties concerns.
- Verified regulatory developments are monitored and presented to the Board for approval.
- Completed a walkthrough of the document imaging process and tested the applicable controls.
- Determined that management regularly evaluates personnel assigned to manage the Enrollment & Member Services process.

# City of Milwaukee – Employees' Retirement System (ERS)

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## *Human Resources and Payroll Internal Audit*

**OCTOBER 2020**

**JEFFERSON WELLS**  
RISK AND COMPLIANCE  
WISCONSIN OFFICE

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*This report is intended solely for the use of City of Milwaukee Employees' Retirement System and is not intended to be and should not be used by any other parties without the prior written consent of Jefferson Wells.*

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## **EXECUTIVE SUMMARY**

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### **Background**

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At the direction of the Administration and Operations Committee, a Human Resources and Payroll audit was performed from July 30 – August 30, 2020. The City of Milwaukee Employees' Retirement System (ERS) provides Human Resource and Payroll services to the employees of ERS. ERS' HR and Payroll functions include shared services performed with the Department of Employee Relations ("DER") and the Comptroller's Office.

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### **Audit Scope & Objectives**

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The objective of this internal audit was to determine the design and operating effectiveness of the controls in place to mitigate the risks in the Human Resources and Payroll processes. The scope of the Human Resources and Payroll internal audit included the following processes:

- Approval for New Hires, Promotions, Transfers and Terminations
- Time Off approvals
- Wage increase approvals
- Payroll Expense Reconciliations
- User Access Review

Various audit techniques were used to assess and examine the effectiveness of the ERS internal control environment. Audit techniques included conducting interviews with ERS personnel, observation of performance of required procedures and controls, and examination of related documentation.

Processes in which DER or the Comptroller's Office is the primary business owner were not tested as a part of this internal audit.

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### **Overall Assessment**

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ERS management has implemented and maintained a solid internal control environment over the Human Resources and Payroll processes. ERS employees have either worked from home or have worked in the office according to an office rotation plan since the COVID-19 pandemic began. There have been no changes in either the Internal Control Environment or in its ability to operate effectively during the pandemic. Based on the results of our review, internal control deficiencies were not identified.

Internal Audits are only one part of a comprehensive risk management and control program. The procedures performed are included in the next section of this report.

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## **Procedures Performed**

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The following internal audit procedures were conducted for the period January 1, 2019 through April 30, 2020, unless otherwise noted:

- Reviewed existing documented procedures for process updates related to the Human Resources and Payroll processes.
- Assessed physical and system controls over sensitive member information.
  - Determined that User Access to systems used by ERS was regularly reviewed and approved by management.
  - Through direct physical observation, noted that employee workstations were clear of sensitive member information at the end of the day and were in compliance with ERS policy.
  - Determined a Remote Access policy is established.
    - Additional procedures will be performed during the IT General controls audit for employees working remotely during the pandemic.
- Determined that management regularly evaluates personnel assigned to manage the Human Resource and Payroll processes.
- Selected a sample of ten employees and determined that the wage increases were properly approved.
  - Recalculated each of the selected employees wage increases and determined that they had been properly calculated.
- Tested a sample of three new hires, transfers, and wage adjustments to ensure proper supporting documentation was on file and accurate.
  - Verified that salary adjustments were in compliance with DER salaried and hourly plans.
- Selected a sample of 15 employees and determined that employee time off was properly approved and recorded.
- Tested four months of payroll periods to ensure the payrolls were approved and reported accurately to the City of Milwaukee.
- Selected a sample of three recently hired employees and determined that employee background checks generated proper certifications from DER.
- Recalculated the net wages of ten employees to ensure deductions were properly taken.
  - Confirmed the wage rate of the employees to the rate in the PeopleSoft system as well as the employee deductions.
- Selected a sample of three terminated employees and recalculated the final paychecks for those employees to ensure vacation and sick banks were accurately paid out.
  - Confirmed that exit checklists were utilized for recent terminations to ensure physical and security access for terminated employees was removed timely.

# **City of Milwaukee Employees' Retirement Services**

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## ***Information Technology General Controls (ITGC) Audit***

**DECEMBER 8, 2020**

**JEFFERSON WELLS**  
RISK ADVISORY SERVICES  
WISCONSIN OFFICE

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## **EXECUTIVE SUMMARY**

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### **Background**

At the direction of the Administration and Operations Committee, the IT General Controls (ITGC) Audit was completed to cover the period January 2020 – November 2020. The audit reviewed controls within the IT environment which includes logical access, change management and data center operations. The primary application used by most business areas is MERITS which is used to manage multiple aspects of pension funds. Additionally, Microsoft technology is used for network access and user operating systems.

### **Audit Objectives & Scope**

The objective of the audit was to determine if controls were in place for information systems, and management was able to provide evidence on completing the controls. The scope included the following areas:

- Network Logical Access for Windows Active Directory and MERITS Application
  - Access / Authentication Security
  - Privileged Users
  - Default User IDs
  - Generic User IDs
  - Periodic Review of User IDs
  - Remote Access
- Change Management
  - System/database Changes
  - Emergency Changes
  - SDLC Changes
- Data Center & Network Operations
  - Monitoring
  - Logging
  - Environmental controls
  - Access (physical and logical)

Various audit techniques were utilized to assess and examine the effectiveness of the ERS IT control environment. Audit techniques included conducting interviews with ERS personnel, evaluating completeness of policies and procedures, and reviewing other pertinent reports and supporting documentation. See the Procedures Performed section of this report for detailed testing performed.

### **Overall Assessment**

The IT environment continues to have controls and processes in place for logical access, change management and operations. The application portfolio remains consistent (primarily MERITS) and there were no major changes introduced for the period under review. During the COVID 19 pandemic, ERS successfully deployed technology solutions to employees to allow remote access to key applications. **There were no issues identified during the testing.**

Audits are only one part of a comprehensive risk management and control program. This report is provided with the objective to assist the Board, Audit Committee and Management in the effort to eliminate, reduce or mitigate overall risks. These have all been discussed with management during the assessment as identified.

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## **PROCEDURES PERFORMED**

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Processes and items audited or reviewed within IT included the following, but were not limited to:

- Reviewed high level network diagrams to determine if a layered structure is in place to protect applications and data.
- Reviewed policies and procedures related to employees working remotely due to the COVID 19 pandemic.
  - Remote Access Policy – Based on review of the policy, determined there are security standards for connecting to the ERS network and for computers that are allowed to connect remotely to the organizational network. The policy specifies how remote users can connect to the organization’s resources and the requirements each system must meet before connecting. It is designed to allow flexibility for users to work outside ERS’ offices while preventing damage to the organization’s network or computer systems.
  - Virtual Private Network (VPN) Access – Reviewed user listing of individuals with VPN access and determined permissions where appropriate
  - Password Policy – Based on review of the policy, determined there is a standard for creating, protecting, and changing passwords such that they are strong, secure, and protected.
    - Reviewed password settings for the network and determined they are aligned with the policy.
- Reviewed monitoring procedures and collected evidence for servers, VM’s, interface connections and other network devices.
- Reviewed a sample of 20 infrastructure changes, non-infrastructure changes, system/database changes, and emergency changes for adherence to the Change and Patch Management procedures to determine if changes were occurring as management intended.
- Reviewed user access provisioning procedures to determine whether access was granted after management’s approval and removed timely when a business need no longer existed. Tested 3 new and 2 terminated employees’ access to verify access was either approved or removed in a timely manner.
- Reviewed the minutes from the bi-annual user access review on 9/24/2020 to determine if the review was completed and included relevant applications and/or security groups.
- Reviewed MERITS data replication configuration and determined the replication is occurring as intended.

# IT Projects and Ticket Statistics

- Major Projects/Initiatives:

- Vulnerability Assessment - 2020 (In Progress)
- IT General Controls Audit (In Progress)
- Network Infrastructure/OS Upgrade (In Progress)
- System Galaxy Security System Upgrade (Completed)
- Backup Exec Upgrade (Completed)
- WUG Upgrade (Completed)
- VMware Upgrade (Completed)
- Symantec Endpoint Protection Upgrade (Completed)
- SSRS (SQL Server Reporting Services ) Reports Migration (In Progress)
- MERITS- New deduction type for vision insurance ( In Progress)
- FileNet –SQL Server Patching (Completed)
- Perforce Upgrade (Completed)
- FileNet WebSphere Application Server Patching (Completed)
- Tracker/Serena Business Manager Upgrade (Completed)

- Application Statistics

Category	High Priority	Low Priority	Total
Current Inventory	9	0	9
PIR's	1	0	1
CCR's	8	0	8
Pending/Hold	0	0	0
Deployed(Awaiting Next stage) /Ready for Production	1	0	0
Net Current Inventory	8	0	8

Portfolio as of December 10, 2020

Project Health	% Complete	Priority	Complexity (S / M / L)	Project Name	Project Mgr	Description	Strategic Goal	Status	External Vendor Required: Y/N	Actual Start Date	Target Completion Date	Estimates (Hours)	Actuals (Hours)	Hours Variance = Estimates - Actuals	Hardware/Software & External Labor Budget (\$)	Actual Spent-to-Date on Hardware /Software & External Labor (\$)	Estimate to Completion (ETC) (of Hardware/ Software & External Labor Costs)
G	40%	1	M	MERITS- New Deduction Types for Vision @	Manchu	New functionality for MERITS to track new benefit deduction	G1	IP	N	11/10/20	1/10/21	300	140	160	\$0	\$0	\$0
G	95%	2	M	IT General Controls Audit @	Siddiqui	Audit of the overall IT processes and controls	G1	IP	Y	10/1/20	12/18/20	100	41	59	\$0	\$0	\$0
G	20%	3	M	Vulnerability Assessment - 2020 @	Raynal	Experis/Jefferson Wells audit of our technology environments	G1	IP	Y	10/14/20	1/30/21	200	13	188	\$0	\$0	\$0
G	18%	4	M	Upgrade Network Infrastructure/OS @	Zampino	Upgrade of the operating systems for our network equipment	G1	IP	N	9/30/20	5/31/21	200	12	188	\$0	\$0	\$0
G	80%	5	M	SSRS Report Migration	Manchu	Replacing our discontinued reporting software with SSRS	G1	IP	Y	3/6/19	4/26/21	11,884	8,011	3,873	\$483,417	\$388,498	\$94,919

Green = On Target - No Significant Issues  
 Yellow = On Watch List – Issues Being Addressed  
 Red = Project cannot move forward as planned without management attention or approval.

NS = Not Started      OH = On Hold      @ = Activity (no charter)  
 IP = In Process      C = Completed

**Special Note: SSRS Report Migration costs are part of the HP maintenance contract.**

Completed Projects & Tasks in Last 12 Months	Finished	Hours / \$ Spent
Installing IBM DataCap/Upgrading FileNet (Manchu)	11/7/2019	1318.5 hours / \$209,806
Business Continuity Test @ (Siddiqui)	11/27/2019	20.25 hours / \$2,025
Storage Area Network Upgrade @ (Raynal)	2/12/2020	24.5 hours / \$2,450
Network Infrastructure Firmware Upgrade @ (Powell)	3/27/2020	140 hours / \$14,000
MSS Multi Factor Authentication @ (Manchu)	4/16/2020	291 hours / \$28,950
MERITS Certificate Renewals @ (John)	4/27/2020	64.25 hours / \$6,425
Routine audit of Phishing Preparedness @ (Siddiqui)	4/22/2020	5 hours / \$18,500
Routine audit of IT General Controls @ (Siddiqui)	4/22/2020	12.5 hours / \$25,250
Routine audit of Business Continuity @ (Siddiqui)	4/22/2020	6 hours / \$24,600
Vulnerability Audit @ (Raynal)	6/22/2020	140.5 hours / \$62,050
Veeam Upgrade @ (Powell)	7/31/2020	6 hours / \$600
IP Address Review and Cleanup @ (Zampino)	8/31/2020	96 hours / \$9,600

	Finished	Hours / \$ Spent
DNS Review and Cleanup @ (Zampino)	8/31/2020	28 hours / \$2,750
Firewall Review and Cleanup @ (Zampino)	8/31/2020	28 hours / \$2,800
AD Review and Cleanup @ (Zampino)	8/31/2020	15 hours / \$1,500
MERITS DB patching & SQL Audit Finding Fixes @ (John)	8/15/2020	75 hours / \$7,500
WUG Upgrade @ (Zampino)	9/14/2020	2.75 hours / \$275
MERITS Websphere App. Server Patching @ (Manchu)	9/15/2020	96 hours / \$9,600
Upgrade Tracker/Serena Business Manager @ (John)	9/29/2020	13 hours / \$1,300
VMware Upgrade @ (Powell)	9/22/2020	44 hours / \$4,400
Backup Exec Upgrade @ (Powell)	10/9/2020	58 hours / \$5,800
SQL Audit Finding Fixes - FileNet @ (John)	9/24/2020	49.5 hours / \$5,940
SQL Audit Finding Fixes - Utilities Databases @ (John)	10/27/2020	27 hours / \$2,700
FileNet - WebSphere App Server Patching @ (Manchu)	11/12/2020	40 hours / \$7,610
Upgrade System Galaxy Security System @ (Powell)	11/12/2020	6.5 hours / \$1,045

# Organizational/Personnel Update

Administration and Operations Committee

Thursday, December 17, 2020

ERS is working with DER to fill the following positions:

- Network Administrator
- Accounting Assistant II