FULTON COUNTY

FULTON COUNTY, GEORGIA

OFFICE OF THE COUNTY AUDITOR

DEPARTMENT OF INFORMATION TECHNOLOGY FINAL AUDIT REPORT

December 12, 2014

TABLE OF CONTENTS

PAGE

Introduction

The Office of the County Auditor was asked by Commissioner Joan Garner to conduct a comprehensive audit of the Department of Information Technology (DoIT) department. Due to the magnitude of the request, our office had to narrow the focus of the audit to concentrate on the most critical areas of concerns that posed the greatest risk to the County and would allow us to complete the audit in a timely manner as this was a time sensitive request. The primary focus of our audit consisted of a review of professional services contracts; more specifically, the county contracts with Randstad Technology (Technisource) and Consilium Consultants (Consilium). The review was conducted to address concerns regarding the infrastructure, administration, invoice payments, deliverables and overall Information Technology (IT) operations.

Background

The DoIT provides a wide range of technology services and resources targeted to ensure Fulton County employees are supplied with the necessary tools to enable them to deliver quality services to their constituents.   Services include technical support services for information technology (IT) infrastructure, applications support and administrative support services. DoIT services more than 45 county departments, totaling over 6,000 users in over 200 locations county-wide.

The internal and external environments of Fulton County are ever changing and technology is critical to the development, implementation, and enhancement of services to the citizens, employees, businesses, and visitors of Fulton County. As the largest county in the State of Georgia, it is imperative that there is an overall approach for the selection, use and support of technology and that it aligns with County resources, business needs, and processes. In order to acquire a comprehensive solution to address operational needs, DoIT has employed the use of outside professional services. The two contracts that provide these professional services are Randstad Technology (Technisource) and Consilium Consulting.

Randstad Technology (Technisource) provides On-Demand IT Professional Services for a number of specialized professional services. These services include: network engineering and architecture, telephony technical support and administration, enterprise e-mail administration, project management and program management.

Consilium provides the provision and management of the County's Oracle licensing and Oracle-provided product support, the resources necessary for Oracle and MS-SQL database support and administration, and professional services necessary to provide Oracle server (Unix-Linux) administration. In addition, Consilium provides support of the County's information systems disaster recovery and operational continuity plan.   Consilium also provides on-demand,

specialized, information technology professional services to the County, which includes: network engineering/architecture, enterprise e-mail administration and project management.

According to DoIT, these products and services are required to ensure that all mission critical systems in the County are available, fully functional, and secure at all times.

Objective

The objectives of this audit were to review and assess the infrastructure, administration and internal controls of the DoIT. Additionally, this audit was conducted to also assess the scope, deliverables, procurement process, payments, staffing, and cost of services in reference to the Randstad Technology (Technisource) and Consilium Consulting contracts for the DoIT.

Scope

The audit period for this review is January 1, 2011 through November 30, 2014.

Methodology

We conducted this audit in accordance with Generally Accepted Government Auditing Standards. To accomplish our objectives, we:

- Reviewed DoIT controls as they currently exist;
- Interviewed and performed walkthroughs with key personnel to gain an understanding of controls and how risks are mitigated in the DoIT environment;
- Interviewed consultants as needed;
- Identified and reviewed DoIT written policies and procedures, applicable laws, codes, plans and regulations;
- Reviewed departmental organization charts and office structure;
- Reviewed various salaries of various positions within DoIT;
- Conducted a site visit to the Disaster Recovery Center;
- Reviewed scope and content of contracts with Randstad Technology (Technisource) and Consilium Consulting; and
- Reviewed and analyzed vendor invoices, payment processing and authorizations required to issue payments.

Generally Accepted Government Auditing Standards require that we plan and perform the audit to obtain sufficient and appropriate evidence to provide a reasonable basis for our findings and conclusions based on our audit objectives. We believe that the evidence obtained provides a reasonable basis for our findings and conclusions based on our audit objectives.

Findings and Recommendations

Finding 1 – Lack of Management, Oversight and Monitoring of Vendor Contract

According to best practices, contracts should be properly monitored and procedures in place to track the success of vendor performance. During our audit, we discovered adequate monitoring of the contract did not occur as there were no policies, procedures, reports or documentation in place to measure their performance. IT management failed to properly plan for and implement contract monitoring procedures. As a result, it is impossible to determine whether or not the vendor is functioning as intended or if the goods and services provided to the County meet the contract requirements.

Recommendation

We recommend DoIT establish procedures that provide adequate contract management and oversight to ensure effective vendor performance and that Fulton County receives the services required under the contract.

Finding 2 –Lack of Payroll Records for Contract Employees

Attendance and leave records are considered a part of an official Personnel record and used as a means to verify hours worked and accurate pay. According to the contract, contract employees are required to work the standard work week, which is 8:30 a.m.-5:00 p.m. Due to the critical nature of the IT operations, on-call or after hours support is required for the database and server administrators. The after hour schedule is defined as hours worked outside of the standard work week, including Fulton County recognized holidays. The contract requires vendors to provide on-site full-time employees as part of the services to be rendered. During our review, we noted that DoIT management did not maintain any attendance records for these contracted employees and could not verify daily on-site attendance of contracted workers. This is the result of the DoIT's failure to provide proper management and oversight of the contract. Subsequently, Fulton County was exposed to the potential loss of service and over payments to a contracted vendor.

Recommendation

Fulton County DoIT should immediately implement a separate attendance and leave accounting system that tracks hourly attendance for use by the contractors and sub-contractors to record their on-site presence. This would provide the County with a verifiable means of work hours that can be used to compare to invoices for payment.

Finding 3 – Advance Payment of Invoices

According to the contract, monthly invoices for work performed during the previous calendar month should be provided in a form acceptable to the County and accompanied by all supporting documentation requested by the County for payment and for services that were completed during the preceding phase. The County should make payments approximately thirty (30) days after receipt of the proper invoice. During our review, from FY2011-FY2014, we noted that $14,577,160.16 was paid in advance of services being rendered/deliverables being confirmed. The DoIT did not comply with the requirements of the contract as it relates to invoicing and payment. Making payments prior to receipt of goods and services violates County policy and contract terms and places the County's assets at risk.

Recommendation

Terms of the contract and standard County policies and procedures pertaining to payment of invoices for service should be routinely followed. Any exceptions should be noted and a justification provided for the exception.

Finding 4 – Cost for Service (salaries) Exceed that of Comparable Counties

Fulton County's pay structure for contracted services should be aligned with comparable counties for comparable service. During our audit, we noted that the salaries Fulton County pays the contracted IT positions far exceed the salaries of comparable counties with like positions and similar duties. As it relates to the Oracle Licensing and Database Support Service contract with Consilium Consulting, Fulton County's contract provides for five (5) employees at a cost of $1.2 million. These positions consist of: one (1) Database Manager, two (2) Database Administrators, one (1) Senior Systems Administrator, and one (1) Systems Administrator. The chart below reflects the salaries for information technology positions in comparable counties with Fulton County.

SALARIES FOR INFORMATION TECHNOLOGY POSITIONS-2014				
	Database Manager	**Database Administrator**	**Senior Systems Administrator**	**Systems Administrator**
Fulton County	$336,391.00	$192,223.00	$288,335.00	$192,223.00
Maricopa County	$119,995.20	$ 85,259.20	$101,524.80	$ 72,987.20
Mecklenburg County	$103,134.79	$107,823.68	$ 90,277.77	$ 61,661.99

According to DoIT management, contracted personnel has highly specialized skills that are required to work 24 hours a day 365 days per year; however, in other counties, senior IT full-time staff are also required to be on-call 24 hours a day 365 days a week.

Fulton County did not employ good business practices by failing to research the pay scale of the respective positions prior to evaluating the proposal submitted to ensure costs presented in the proposal were in line with industry standards. As a result, Fulton County's costs far exceed those salaries in other comparable counties for similar positions/service.

Recommendation

The user department should implement measures to ensure costs submitted in proposals are aligned with the actual cost for service in comparable regions and counties to avoid overpaying for service. Fulton County should change its salary structure in order to transition these services in-house as the current salary structure does not support the rate of pay for like positions that are consistent with industry standards. This would allow a change in the current model whereby functions can be transitioned in-house versus hiring a contractor to perform these duties.

Finding 5 – Failure to obtain background check for contractor/sub-contractor

Best practices indicate that individuals employed in positions that have access to sensitive information undergo and successfully pass background checks. According to the contract, all candidates must agree to and pass a thorough background check by the Fulton County Police prior to being accepted. We found no evidence that the DoIT requested and conducted a Fulton County Police background check. During our audit, we discovered that a sub-contractor who provides telephony/technical support and administration for Fulton County has a felony arrest record. Due diligence pertaining to the performance and successful passing of a background check conducted by the Fulton County Police Department appears not to have been performed by DoIT. In the absence of a thorough background check, the DoIT was not able to adequately determine if the contractor and/or sub-contractor was appropriate for the job and work environment or if the contractor and/or sub-contractor posed a potential threat to Fulton County employees or customers as they have access to sensitive, personal-identifiable information via Fulton County systems/records.

Recommendation

DoIT should follow the guidelines specified in the contract. In addition, any employee, contractor or sub-contractor and its employees who have access to Fulton County sensitive systems and/or records should have a thorough background check performed. This background check should be successfully passed prior to employment and access being granted to Fulton County systems/records.

Finding 6 – Lack of Knowledge Transfer Plan for Fulton County upon Departure of Vendor

Good business practice dictates that an organization that is not permanently outsourcing services will develop a knowledge transfer or transition plan to ensure contracted services can be performed by existing full-time staff through training. Typical plans will outline:

- A project timeline that includes services to be provided;
- The length of time those services will be provided;
- Training to current full-time employees; and
- A follow-up component prior to departure of a vendor.

We discovered during the course of our audit that no transition or knowledge transfer plan exists for contracted vendors upon their departure from the organization. The current contracted vendor has been on sight for a decade, which indicates management's dependence on the vendor. According to management, having the vendor available is an attempt to right source; however, the goal of true "right sourcing" is to reduce costs in modernizing an organizations communication platform. The current model being used does not appear to reduce costs and is not cost effective. Based on management documentation and memorandums for project justification, it seems that there is no intention by management to implement a knowledge transfer plan for the contracted vendors. In the absence of knowledge transfer, reliance on the contracted vendor for service will continue for an indefinite period of time. If adequate knowledge transfer methodologies were in place Fulton County would have the opportunity to reduce costs for services as there are capable full-time staff available to provide these same services. Please see the table below for an example that exists within the Infrastructure Division of the DoIT.

Infrastructure Division - Storage, Server, Database and Domain (SSDD) Section						
Fulton County Full-Time Employees				Professional Service Contractors		
Name	Job Title	Salary and Benefits		Name	Job Title	Salary
Employee 1	Assistant Director	$ 112,201.00		Contractor 1	Oracle Database Administrator	$ 356,886.40
Employee 2	Network Manager	111,670.00		Contractor 2	Sr. Database Administrator	349,440.00
Employee 3	Network Administrator	101,443.00		Contractor 3	Sr. Database Administrator	299,520.00
Employee 4	Network Administrator	94,528.00		Contractor 4	Storage Administrator	299,520.00
Employee 5	Network Administrator	93,607.00		Contractor 5	Storage Administrator	299,520.00
Employee 6	Network Administrator	91,016.00		Contractor 6	Program Manager	261,040.00
Employee 7	Network Administrator	83,158.00		Contractor 7	Oracle Database Administrator	203,923.20
Employee 8	Network Administrator	81,956.00		Contractor 8	Program Manager	166,400.00
Employee 9	Network Administrator	78,554.00				
Employee 10	Network Manager	75,101.00				
Employee 11	Network Administrator	71,580.00				
Employee 12	Network Specialist	62,373.00				
Employee 13	Network Specialist	58,050.00				
Total		$ 1,115,237.00		Total		$ 2,236,249.60

The DoIT is currently paying full-time staff and contracted vendors in the Infrastructure Division $3.3M; however, if the implementation of knowledge transfer plan was to occur these costs could be reduced significantly.

  Recommendation

A knowledge transfer plan needs to be developed when possible that allows for the reliance on outside vendors to be reduced unless there is a plan to permanently outsource a particular service.

Finding 7 – Violation of Procurement Policy

All provisions of a contract to obtain goods and services should be followed.

> *According to the Randstad On-Demand contract, Part 3.3.1 includes a provision for other technical resources, which are not specifically identified, but are anticipated, to be required "on demand" on an as/when needed basis to address needs or projects which may arise during the term of the contract.*

Section 3.3.1 also specifies the following procedure is to be followed when additional technical resources are requested. It states,

> *…the County will provide all vendors that receive an award resulting from this Request for Proposal (RFP) with a detailed description of the desired specialized technical skills and requirements. The contracted vendor(s) will furnish to the County, within a stated period of time, comprehensive information on available resources who meet the County's requirements. The information will include detailed candidate qualifications and hourly cost. In cases where candidates are submitted to the County by multiple contracted vendors, a selection committee composed of senior County technology managers will be appointed to review all submissions and make the final candidate selection.*

Our audit detected that the process was not followed for the selection of the candidate to conduct a technical assessment. It was determined that the former Chief Information Officer (CIO) requested a specific candidate be hired through this contract to perform the technical assessment. During the selection process the specific candidate requested for hire was not submitted by either contracted vendors. In this instance, the provisions of the contract were circumvented to hire a specific candidate. Failure to follow procurement regulations results in the disqualification of other qualified vendors and places the integrity of County business practices and processes in question.

  Recommendation

We recommend all Purchasing regulations and contract requirements be followed for the procurement of goods and services. Services should only be obtained through the established procedures reflected in the contract.

Finding 8 – Bid Process Lacks Adequate Internal Controls – Bid Evaluation Inconsistencies

Evaluation of contract reviewers should be statistically consistent but not identical. Theory and research show that evaluation scores should not show material inconsistencies in the central tendencies from fellow evaluators. During our review, we noted that one reviewer significantly underrated a highly qualified, competing vendor in a heavily weighted category, which caused a drastic reduction in the overall score for this vendor. This could be the result of the informal relationships that have developed because the vendor has worked on the project for an extended period of time. The discrepancy in the scoring gives the appearance of an attempt to steer the contract to that specific vendor. Consequently, this could result in Fulton County not receiving the best services for the most economical price.

Recommendation

We recommend an independent firm conduct a bi-annual review of the statistical central tendencies of evaluation scores for proposals/bids/contracts over $500,000 to ensure the fairness of the contract review process.

Finding 9 – Vendor Advantage Resulting From Longevity

All potential bidders should have a fair and equal opportunity to win a contract. During our review, we noted that Consilium may have an unfair advantage over outside potential vendors due to the longevity, inside knowledge and control over the DoIT's infrastructure and operations. The contracted vendor has been in place for over 10 years and is heavily intertwined in our overall IT operations. In addition, they have direct knowledge of the inner workings of our system strengths and weaknesses, which would reasonably allow them to be able to better respond to bid and proposal requests. This is the result of failure by the DoIT to implement a management strategy that would decrease the dependency on the vendor. Lack of proper contract management, administration and oversight has afforded the current contractor with what seems to be an unfair advantage and potentially places the county at risk should the relationship with the respective vendor be severed.

Recommendation

We recommend that a reputable, professional, government organization complete a review of DoIT contracts and its entire office structure to provide guidance on best business practices and proper contract oversight and management. We also recommend DoIT management inform both the County Manager and Director of Purchasing and Contract Compliance, when there are instances of the existence of informal relationships and recuse themselves from direct management of a contracted vendor to avoid the appearance of any impropriety.

Finding 10 – Excessive Dependency on Contracted Vendor for the Operation of IT Systems

Good business practice dictates that an organization should retain control over its network and data systems. During our audit investigation, it was discovered that Fulton County does not maintain adequate control over its network and data systems. A memorandum dated November 14, 2014 from the Interim Director of the DoIT states that failure by Fulton County to renew existing contracts with contracted vendors would result in:

- "Significant system downtime on mission-critical applications due to various major system outages. Applications include but not limited to Odyssey Unified Management System, Jail Management System, Tax Management Systems, Financial & Purchasing Management System, HR & Payroll Management System, and Integrated Library Management System;
- Significant network downtime on systems and employee workstations due to uncontrolled cyber-attack and malware outbreak;
- Possibility of non-compliance with the Georgia Records Act and Fulton County Code to retain records and data;
- Significant data loss of mission-critical applications in the event of major outage;
- Disruption of services in email systems, conventional telephone systems, data storage management, virtual server management, database management, and file storage such as H:\ and P: drives;
- Significant performance issues on major applications;
- Face challenges to keep up with technical changes and response time in the event of system disruption;
- Higher Oracle licensing cost dealing with Oracle directly and face cost increase annually; and
- Oracle and SQL databases for major applications will remain unchanged and unpatched."

Due to the County's failure to maintain adequate control over the network and data systems, the County is at risk of losing access to its data, experiencing shutdown, disruption and/or delay time in mission essential applications, which impacts the organizations ability to operate and provide service to its citizens. Should the contracted vendor default on any of its agreements or cease to exist, the County would experience significant risks and liabilities and result in the inability to successfully operate and provide service to citizens.

Recommendation

The DoIT should immediately take action to ensure all network and data systems are controlled by Fulton County and not a contracted vendor. A management strategy should be implemented that outlines steps to be taken to regain control over the County's network and data system. This plan should include the development of an override system to which only the County has access

to ensure complete control over systems in the event a vendor needs to be replaced and have access denied to the County's systems.

Finding 11 – Violation of Fulton County Code of Ethics

Fulton County Code of Ethics, Section 2-77(a) Unemployed Officers and Employees, states

> *"...no officer and employee shall after the termination of his or her employment with the County participate in any contract with the County in a managerial, entrepreneurial, or consulting capacity. Section 2-77 (b) states" the restriction set forth in this section shall be in effect for a period of one year after the termination of the officer's or employee's employment of the County."*

During our investigation, we discovered that a former 20 year DoIT employee of Fulton County went to work for a current contractor approximately three months after retirement in 2013. This is in direct violation of the Fulton County Code of Ethics.

Recommendation

The DoIT should take steps to ensure contractors and sub-contractors and their employees are not former Fulton County employees who are ineligible for hire based upon the Fulton County Code of Ethics.

Finding 12 – Lack of Evidence of a Disaster Recovery Plan

The purpose of a Disaster Recovery Plan (DRP) is designed to provide guidance to personnel responsible for preparing and maintaining an Information Technology DRP. The DRP Plan is an IT-focused plan designed to restore operability of targeted systems, applications, or a computer facility due to a natural or man-made extended interruption of an agency's business services. The DRP should be viewed as documentation of the structured process of planning, restoring and safeguarding the operability of systems, applications and facilities. Elements of an adequate DRP will include:

- Recovery team descriptions;
- A call tree;
- Methods for communicating during a disaster;
- How to deal with a disaster;
- Methods of restoring IT functionality; and
- DRP testing and maintenance

According to documentation provided to the former CIO for justification to retain the contracted vendor by the IT Assistant Director/Interim Section Chief,

"...the County first adopted an outsourced Disaster and Technology Continuity Program with Board approval of a multi-year in December, 2002. Over the last 10 years, the County's evolving IT Disaster Recovery and Business Continuity Program has been recognized nationally as a best practice model and has led to many awards."

To date, DoIT has not been able to produce evidence of an official written documented plan.

The county entered into a contract with a select vendor to provide this service in 2012. Per Section 3.3.1 of the Disaster Recovery contract, a total of five (5) employees were hired with the responsibility of providing services to "support data storage and replication systems, servers, networks, Microsoft Server OS's, Microsoft Exchange, Linux, Oracle Virtual Machine (OVM), VMware, Oracle and MS-SQL databases, web servers, security, data center operations, and overall project management dedicated to ensuring maximum systems availability, redundancy, disaster recover readiness, security and mandate compliance. The required services also include the establishment and continued maintenance of comprehensive documentation which details the design, operation, and disaster contingency plans for all systems."

During our investigation, we discovered the DoIT lacked evidence of a DRP. The DoIT management presented a list of accomplishments and milestones regarding a DRP but failed to have a current DRP that included basic required elements that best practices indicate should be contained within a DRP. We are still in contract with the vendor and have expended $2.3M to date. However, as of December, 2014, the County still does not have a written DRP for its systems, applications and facilities in the event of a natural disaster. A review of the response to the RFP submitted by this vendor did not provide for a specific timeline for any deliverables associated with this contract. As such, conducting a full-service recovery test of the County's systems has been delayed contingent upon the completion of the DRP.

Recommendation

According to DoIT management the DRP is scheduled as a deliverable in FY2015. However, because the timeline is not established by the contract the date is not binding. DoIT should immediately implement a DRP that effectively safeguards the operability of systems, applications and facilities. Testing of the DRP should occur quarterly and be reported to the Board and County Manager regarding its success and/or failure.

Finding 13 – Lack of a Full-Recovery Testing

Periodic testing of disaster recovery capabilities is a viable and important element to maintain business continuity for an organization. During a site visit to the data recovery center, we discovered that the performance of a full recovery of IT systems had not been performed since 2010. According to DoIT Management, this has not taken place due to the fact that there is no official disaster recovery plan that has been prepared or approved. As a result, Fulton County

lacks assurance that full recovery of IT systems is possible and effective. In the event of a disaster, there could be significant delays in recovery of data and systems, which could potentially cause a disruption in providing service to citizens and the County's ability to fully conduct business.

Recommendation

We recommend DoIT implement interim procedures, processes and a schedule to fully test the effectiveness of the recovery of IT systems. The outcomes of these tests should be reported to the Board of Commissioners and the County Manager. This should be done to ensure availability of the systems in the event of a disaster. These procedures, processes and schedules should be made available to all DoIT management and staff.

Finding 14 – Conflict of Interest

A conflict of interest arises in the workplace when an employee has competing interests or loyalties that either are, or potentially can be, at odds with each other. A conflict of interest causes an employee to experience a struggle between diverging interests, points of view, or allegiances. Best practices indicate government business shall be conducted in a manner above reproach and with complete impartiality exhibiting no preferential treatment. Transactions relating to the expenditure of public funds require the highest degree of public trust and an exceptional standard of conduct. The general rule is to strictly avoid any conflict of interest or even the appearance of a conflict of interest in Government-contractor relationships. While many Federal laws and regulations place restrictions on the actions of Government personnel, their official conduct must be such that they would have no reluctance to make a full public disclosure of their actions.

During our review, we noted that informal relationships exist between IT management and contracted vendors. For example, one of the current Assistant Directors in DoIT was a former business partner with a current contract employee. The business partner was hired by Consilium and the Assistant Director now supervises his former business partner. This represents a direct conflict of interest in that there was no disclosure regarding the business relationship between the Assistant Director and the contract employee. Lack of proper contract management, administration and oversight has created an environment conducive for conflicts of interest. Actions such as these place the integrity of the county's business practices in an unfavorable light thereby leaving potential outside vendors with the perception of impropriety regarding our ethical and professional standards.

Recommendation

We recommend an evaluation be performed by a reputable, professional, government organization to review the entire office structure of the DoIT to provide guidance on best

business practices. We also recommend mandatory ethics training for all DoIT staff and management in an effort to provide a complete understanding of items that could be considered unethical, questionable practices or conflicts of interest.

Finding 15 – Lack of Training

Training teaches new employees how to meet County expectations and gives existing employees a platform for improving current knowledge. The DoIT does not provide adequate training for their employees. DoIT management informed us that reductions to their training budget has prevented them from providing adequate training to full-time employees. As a result, the department continues to outsource IT's professional services versus training in-house staff to perform the services.

Recommendation

We recommend in future contracts, where possible, that a training component be included in an effort to transfer knowledge to full-time employees.

Finding 16 - Misclassification of Expenditures in the Asset Management System

Review of expenditure classification should occur to ensure expenditures are classified properly upon the initiation of the Purchase Order (PO). This is done at the department level when creating and electronic payment requests prior to submission to accounts payable and verified in the accounts payable department prior to processing. A sample review of expenditures found a total of twenty-seven (27) out of sixty-eight (68) or 40% of transactions tested totaling $2,827,981 were not classified/coded properly. These expenditures were coded as telephone-utility payments. Due to the failure by DoIT to properly classify expenditures at the initiation of the PO and failure of verification by accounts payable, expenditures were classified incorrectly. Consequently, this created a misrepresentation of actual expenditures for accounting categories that define the types of expenses that have been paid in a department.

Recommendation

We recommend the DoIT implement procedures to ensure expenditures are classified properly when initiating purchase orders. Additionally, we recommend the Accounts Payable Division of the Finance Department verify that invoice descriptions match the appropriate category prior to processing payments.

Finding 17 – Contractor Performance Evaluations lack Evidence of Ratings

All Contractor Performance Evaluation reports should be supported with documentation or reports that can substantiate the writer's evaluations. Consilium Consulting received a rating of 3.95 out of a possible 4.0 points on their Contractors Performance Report. The acting Director and the Deputy Director indicated that the report was based solely on their opinion and did not provide any downtime reports, subordinate prepared field reports or schedules of completion. Internal Audit requested a downtime report from the Acting Director of the DoIT; none could be provided. The Deputy Director indicated that a downtime report was being implemented due to our request. Failure to have sufficient measurement tools in place to effectively rate and monitor vendor performance resulted in the lack of a DRP. It is the responsibility of DoIT management to have supporting documentation and internal controls in place in an effort to provide fair evaluations of Fulton County DoIT contractors.

Recommendation

We recommend DoIT immediately develop measurement tools to track and monitor vendor performance to ensure at contract completion a DRP is prepared. The preparation of all future contractor reviews should be submitted with documentation, reports and unbiased appraisals that substantiate vendor evaluation scores.

Conclusion

Our audit of DoIT indicated various internal control weaknesses that should be addressed immediately to ensure our information technology systems are adequately safeguarded. A few of our most critical findings included:

- Lack of management oversight and monitoring of vendor contracts;
- Violation of procurement policy;
- Excessive Dependency on contracted vendor for the operations of I.T. systems;
- Violation of Fulton County Code of Ethics;
- Lack of evidence of a Disaster Recovery Plan; and
- Vendor advantage resulting from longevity.

Best practices for IT departments require strong internal controls, regular testing, continuous training, strict and unbiased compliance to procurement regulations and adequate mechanisms designed to protect the overall systems of its respective organization. While DoIT has demonstrated its ability to meet the needs of the organization, improvements and corrective actions are needed in the areas identified in this audit.

We would like to thank DoIT management and staff for their cooperation as we worked to complete this audit. Additionally, we would like to thank the Finance Department for providing the necessary resources to assist our department with the completion of this time sensitive audit.

Please provide a written response to this audit within 30 days. You may email your written response to the County Manager and Brigitte Bailey, Administrative Coordinator III, in the Office of the County Auditor at Brigitte.Bailey@fultoncountyga.gov. We would like to thank management and staff for their timely cooperation and assistance during this audit. The distribution of this report is reserved for the executive management of Fulton County and the Board of Commissioners.