Audit Follow Up

As of September 30, 2003

CITY OF TALLAHASSEE
OFFICE OF THE CITY AUDITOR

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"Audit of the Fleet Division's FASTER System Application Controls"

(Report #0325, Issued September 8, 2003)

Report #0403   December 2, 2003

Summary

City management has completed both action steps due (100%) from the original Audit of the Fleet Division's FASTER System Application Controls.

In audit report #0325, issued September 2003, we identified areas in which application and general information technology (IT) controls could be improved to ensure that the FASTER system processing and output controls were working effectively to produce accurate and complete information.

The action plan steps related to the FASTER system completed during this period include:

√ documenting the backup and restoration expectations; and

√ periodically conducting application restoration tests.

Scope, Objectives, and Methodology

Audit Report #0325 and this subsequent follow up were conducted in accordance with Generally Accepted Government Auditing Standards and Standards for the Professional Practice of Internal Auditing, as applicable. We reviewed documentation, interviewed staff, and conducted tests of selected application and general controls as were considered necessary.

Report #0325

The scope of report #0325 included a review of selected software application controls and related general IT controls within the newly upgraded FASTER system. Fieldwork took place during March through July 2003.

Our audit objectives were to:

1. Determine whether the application controls in the FASTER system provided for authorized, accurate, and complete processing of transactions from processing to transmission and output of information.

2. Evaluate selected general controls related to the FASTER system to include: the appropriateness of user security, software change management, and adequacy of backup and restoration processes.

The scope of this audit was limited in that this audit did not include the input process and related input controls, instead focusing on the processing and output of data. In addition, we did not include the FASTER Fuel Module, since Fleet had not implemented this module.

The FASTER system is an asset management application utilized by the Fleet Division (Fleet) of the Public Works Department to manage their operations. The system is an automated recordkeeping system that consists of multiple modules, including Assets (vehicle information and history), Parts (purchases, issuances, and inventory), Work Orders (recording repair labor and parts costs for billing), Fuel (purchases, issuances and inventory), and

Reports (pre-designed for management's use).

Report #0403

The purpose of this audit follow up is to report on the progress and/or status of the efforts to implement the recommended action plan steps due as of September 30, 2003. We reviewed documentation provided by Information Systems Services (ISS).

Previous Conditions and Current Status

In report #0325, the action plan identified eleven total action steps to make improvements in the following six areas:

- System Settings in the FASTER system.

- Functionality of Controls and Features in the FASTER system.

- Reports that are extracted from the FASTER system.

- User Access Security in the FASTER system.

- Software Change Management related to the FASTER system.

- Backup and Restoration of the FASTER system program and data.

As of September 30, 2003, 2 of the 11 action plan steps were due to be completed, and ISS staff had completed both of them (100%). Table 1 identifies what the tasks were and shows actions taken and their current status.

Table 1
Conditions Identified in Report #0325 and Current Status

Previous Conditions	Current Status
Backup and Restoration	
• Document the backup and restoration expectations.	√ Documentation has been completed and made available to appropriate ISS staff.
• Periodically conduct restoration tests to ensure that the FASTER system can be restored as needed.	√ Staff has had multiple occasions to restore from the backups, and on each occasion they have been successful.

Table Legend:

-     Issue addressed in the original audit

√   Issue has been resolved

Summary

As noted in Table 1 above, ISS has completed both action plan steps that were due as of September 30, 2003. We would like to thank ISS for their cooperation and assistance provided during this audit follow up.

Appointed Official Response

City Manager Response:

I am pleased to see that ISS has successfully completed the action steps due as of September 30, 2003. I want to thank both the City Auditor's Office and ISS in their cooperative efforts to improve this system.