



December 9, 2015

To: Finance and Administration Committee

From: Darrell Johnson, Chief Executive Officer

Janet Sutter, Executive Director
Internal Audit Department

Subject: Review of Technology and User Support Section

Overview

The Internal Audit Department has completed a review of the Technology and User Support Section within the Information Systems Department. Based on the review, procedures for handling requests for in-house technology support and controls for review and approval of invoices for copier, printer, and contracted labor services are adequate.

Recommendation

Receive and file Review of Technology and User Support Section, Internal Audit Report No. 16-503 as an information item.

Background

The Technology and User Support Section (Section) operates the Information Systems Help Desk and is responsible for providing technical support to all Orange County Transportation Authority (OCTA) employees and Board of Directors. The Section supports over 1,000 computers and provides assistance with personal phones and tablets used for OCTA business purposes. The Section utilizes contracted labor to provide user support and is responsible for overseeing contracts for copier and printer services.

The Section uses Cherwell Service Management software to log, track, and monitor requests for assistance and to monitor performance.

Discussion

Internal Audit interviewed applicable personnel, tested a sample of invoices for copier, printer, and contracted labor services, reviewed Help Desk statistics, and tested monthly reporting information, and determined that controls in place are adequate.

Summary

Internal Audit has completed a review of the Technology and User Support Section.

Attachment

- A. Review of Technology and User Support Section, Internal Audit Report No. 16-503

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Orange County Transportation Authority Internal Audit Department



Review of Technology and User Support Section

Internal Audit Report No. 16-503

November 6, 2015



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Conclusion

The Internal Audit Department (Internal Audit) has completed a review of the Technology and User Support Section (Section) within the Information Systems Department (IS). Based on the review, procedures for handling requests for in-house technology support and controls for review and approval of invoices for copier, printer, and contracted labor services are adequate.

Background

The Section operates the IS Help Desk and is responsible for providing technical support to all Orange County Transportation Authority (OCTA) employees and Board of Directors (Board). The Section supports over 1,000 computers and provides assistance with personal phones and tablets used for OCTA business purposes. The Section is also responsible for installing and moving all computers, printers, and other audio/visual equipment. Section staff provide support at all Board and committee meetings held at the Orange administrative offices.

Help Desk Technicians (HD Techs) answer phone calls and respond to e-mail requests from users with hardware and software issues. The Section uses Cherwell Service Management software (CSM) to log, track, and monitor these reports. Reports are entered into the system and assigned an incident number. HD Techs assign incidents to the appropriate staff members for resolution. At the end of each month, the Section compiles a report of activity and results of customer surveys and provides information to Section staff and the Chief Information Officer for purposes of monitoring performance.

The section utilizes contracted labor to staff the Help Desk and maintains agreements with Coast to Coast Business Equipment for maintenance and support of copy machines and with C3 Office Solutions for maintenance and support of network printers.

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Objectives, Scope, and Methodology

The objective of this review was to determine the adequacy of procedures in place for handling of requests for in-house technology support and to determine the adequacy of controls over review and approval of invoices for copier, printer, and contracted labor services. The scope of the review included monthly status reports, Cherwell System information, and payments made to Intratek Computer, Inc., Coast to Coast Business Equipment, Inc. and to C3 Office Solutions from July 2013 through June 2015. The review methodology included, but was not limited to, interview of applicable personnel, review of a sample of invoices from Intratek Computer, Inc., Coast to Coast Business Equipment, Inc. and C3 Office Solutions for evidence of compliance with key terms of the agreement and review of incidents recorded in the CSM.

We conducted this performance audit in accordance with Generally Accepted Government Auditing Standards. Those standards require that we plan and perform the audit to obtain sufficient, appropriate evidence to provide a reasonable basis for our findings and conclusions based on our audit objectives. We believe the evidence obtained provides a reasonable basis for our findings and conclusions based on our audit objectives.