



Fulton County, GA

Department of Purchasing & Contract Compliance

April 28, 2015

Re: 15RFP04022015BL-B, Technology Assessment

Dear **Proposer**:

Attached is one (1) copy of Addendum 4, hereby made a part of the above referenced 15RFP04022015BL-B, ***Technology Assessment***.

Except as provided herein, all terms and conditions in the ***15RFP04022015BL-B, Technology Assessment*** referenced above remain unchanged and in full force and effect.

Sincerely,

William E. Long, Jr.
Chief Assistant Purchasing Agent

Winner 2000 - 2009 Achievement of Excellence in
Procurement Award • National Purchasing Institute



130 Peachtree Street, S.W., Suite 1168 • Atlanta, GA 30303 • (404) 612-5800

This Addendum forms a part of the contract documents and **modifies** the original RFP documents as noted below:

Questions *and* RESPONSES

Question 1: Will the County permit attendance at the pre-proposal conference by video teleconference or telephone conferencing?

RESPONSE 1: YES

Question 2: Will all firms who have expressed an interest in this RFP receive copies of Questions and answers submitted by all potential bidders? Will this include Q&A from the pre-proposal conference whether a bidder has attended or not?

RESPONSE 2: YES. THE COUNTY ONLY RESPONDS TO QUESTIONS IN THE ADDENDUM THAT ARE SUBMITTED IN WRITING ON OR BEFORE THE DEADLINE FOR FINAL QUESTIONS. RESPONSES TO QUESTIONS SUBMITTED WILL BE POSTED TO THE COUNTY'S WEBSITE UNDER THIS SOLICITATION.

Question 3: The depth of investigation of the desired scope of work (RFP Section 1) does not reconcile with the time frames described in RFP section 3.4 Project Deliverables. The time frames in 3.4 are extremely aggressive and indicate a high-level review rather than an in-depth analysis. Please explain your time frame requirements. Will the County consider other time frames for the project?

RESPONSE 3: NO

Question 4: To what extent will the County be able to provide the consultant with system information, organization charts, cost data, budget information, and other information required for our analysis?

RESPONSE 4: THE COUNTY BELIEVES SUFFICIENT INFORMATION HAS BEEN PROVIDED IN ORDER FOR PROPOSERS TO SUBMIT A PROPOSAL. IF MORE DETAILED INFORMATION IS NEEDED IN ORDER FOR YOUR FIRM TO RESPOND TO THIS RFP PLEASE SUBMIT A REQUEST FOR THOSE SPECIFIC DOCUMENTS. THE SUCCESSFUL PROPOSER WILL BE PROVIDED DETAILED INFORMATION AS REQUIRED.

Question 5: Are there any decentralized IT groups (e.g.: Public Safety, Courts, Schools) that will be part of this study? If so, how many decentralized IT groups and others who have IT roles as part of their responsibilities should we anticipate assessing? Please provide additional information as to size and location as applicable.

RESPONSE 5: THE ASSESSMENT IS ONLY FOR THE CORE DEPARTMENT OF INFORMATION TECHNOLOGY FUNCTIONS AT THIS TIME.

Question 6: How would you like us to address consultant-owned, pre-existing, intellectual property (such as financial models, data gathering instruments, and other tools of the trade) that will not be conveyed to the County and will not be considered a work-for-hire under Article 24 of your Sample Contract?

RESPONSE 6: THE COUNTY HAS REVISED ARTICLE 24, SEE ATTACHMENT I.

Question 7: Are we correct in our understanding that the County is seeking proposals from independent consulting firms only and that the firm to whom this consulting work is awarded will be precluded from providing any systems or solutions that are procured as a result of this study?

RESPONSE 7: THE COUNTY WILL REVIEW THE SITUATION ON A CASE BY CASE BASIS AS TO WHETHER TO PRECLUDE A FIRM FROM PROVIDING ANY SUBSEQUENT SYSTEM(S) OR SOLUTION(S) WHICH MAY RESULT FROM THE ASSESSMENT RECOMMENDATIONS TO ENSURE NO FIRM IS GIVEN AN UNFAIR ADVANTAGE IN FUTURE SOLICITATIONS

Question 8: Has the County established a budget for this consulting project and, if so, can you share that figure with us? (This helps us fine-tune our services to best meet your available funding and expectations.)

RESPONSE 8: NO BUDGET HAS BEEN ESTABLISHED FOR THIS PROJECT AT THIS TIME.

Question 9: Given the complexity of this project and the extent to which answers to these Questions may greatly determine the magnitude of the required scope of work, will you adjust the proposal delivery date (if required) to provide respondents at least 2 weeks to prepare responses after we receive your responses to these Questions? Right now the timeframe is barely over a week from when you receive the Questions much less when we receive the answers. Given that you require time to respond to the Questions and we need to allow time to send proposals express delivery, can the proposal delivery date be changed?

RESPONSE 9: THE PROPOSAL DUE DATE IS SET FOR MAY 7, 2015.

Question 10: Has there been a budget established for the project that can be shared? If so, what is that amount?

RESPONSE 10: SEE RESPONSE TO QUESTION #8.

- Question 11: What is the expected start date and desired completion date for the project?
- RESPONSE 11: THE START DATE WILL BE DETERMINED ONCE THIS ITEM IS APPROVED BY THE BOARD OF COUNTY COMMISSIONERS.**
- Question 12: Would the consultant that is selected to perform the IT Assessment be eligible to perform any project work that comes out of the Assessment that the County deems necessary to secure the services of an external consultant to assist in performing the work?
- RESPONSE 12: SEE RESPONSE #7**
- Question 13: Is an electronic copy of the previous County Auditor's Assessment of the IT Department available for review?
- RESPONSE 13: YES. SEE ATTACHMENT II**
- Question 14: Since the last day of Questions is Friday, April 24th when do you anticipate a final addendum being released? The concern would be that if there is something of substance in the final addendum that would leave little time for responders to adjust their proposal accordingly since the proposals are due on Monday, May 4th which is a challenge in itself since the proposals would need to be sent out on Friday, May 1. Given that, would the County consider extending the proposal response date by a few days.
- RESPONSE 14: WE ANTICIPATE FINALIZING AN ADDENDUM WITH ALL RESPONSES BY APRIL WEDNESDAY APRIL 29, 2015.**
- Question 15: Is a review of the GIS function considered within the scope of project?
- RESPONSE 15: YES, AN ASSESSMENT OF THE GIS FUNCTION SHOULD BE CONSIDERED WITHIN THE SCOPE OF THIS PROJECT.**
- Question 16: Is a review of any of the County business applications considered within the scope of the project such as Advantage and other major County applications?
- RESPONSE 16: YES, AN ASSESSMENT OF THE COUNTY'S CURRENT BUSINESS APPLICATIONS AND HOW THEY ARE MANAGED SHOULD BE CONSIDERED WITHIN THE SCOPE OF THIS PROJECT.**
- Question 17: Is a review of the various IT administrative functions and procedures considered within the scope of the project (e.g., virus and patch management processes, security processes, workstation management processes, etc.)?
- RESPONSE 17: YES, AN ASSESSMENT OF THE DEPARTMENT OF INFORMATION TECHNOLOGY'S POLICIES AND**

PROCEDURES SHOULD BE CONSIDERED WITHIN THE SCOPE OF THIS PROJECT.

Question 18: What are you expecting with the Preliminary Report that is due within 30 days of issuance of the Notice to Proceed, as it relates to a review of the audit findings and management response? Is the "management response" County IT's response to the audit findings?

RESPONSE 18: AN ANALYSIS OF THE AUDIT FINDINGS AND MANAGEMENT RESPONSES TO THOSE FINDINGS. YES, "MANAGEMENT RESPONSE" IS THE COUNTY'S IT RESPONSES TO THE AUDIT FINDINGS.

Question 19: In the project deliverables section, does the reference to days refer to calendar days or business days?

RESPONSE 19: CALENDAR DAYS

Question 20: Section 3, page 3-10: Should "Section 9 – Cost" be included in the Technical Proposal as there is a separate Cost Proposal that is to be submitted?

RESPONSE 20: COST MUST BE SUBMITTED IN A SEPARATE IDENTIFIABLE ENVELOPE.

Question 21: As a Partnership, we do not provide detailed financial information regarding our firm. In lieu of providing recent balance sheets, would the County be open to other information that indicates our firm's financial stability such as a bank reference, positive credit references and summary balance sheet information?

RESPONSE 21: THE FINANCIAL DOCUMENTS WE REQUIRE TO BE SUBMITTED ARE IDENTIFIED IN THE PROPOSAL.

Question 22: Does the Fulton County First Source Jobs Program apply to this solicitation? If so, when there is a reference to "entry level jobs", does this only apply to positions on the project or is something else implied?

RESPONSE 22: YES, FOR THIS PROJECT ONLY.

Question 23: Would the County be open to providing references within the last six (6) versus last five (5) years?

RESPONSE 23: YES

Question 24: The RFP for a Technology Assessment for the Department of Information Technology at Fulton County mentions that there is a possibility that this scope of work could be broken out and distributed to more than one vendor? DM&A has worked

extensively with commercial and public organizations on similar projects, but feel Fulton County would receive the greatest value of our expertise if we were engaged to perform just two of the five areas outlined in Section 1.1. Would it be acceptable if we submitted a bid for consideration solely for those two areas in the event Fulton County decides to segment the work? Our understanding would be that should there be a decision to engage one firm to perform the entire assessment our bid would not be considered.

Please let me know your thoughts and whether Fulton County would receive a revised bid such as this without disqualification.

RESPONSE 24: NO

Question 25: Page 5-14 includes Form E: Georgia Security and Immigration Contractor Affidavit and Agreement Form. Our firm subscribes to and uses the Federal e-Verify program and have the 6-digit E-Verify (Employment Eligibility Verification) number. Is this what is being requested on Form E as it does not specifically reference e-verify?

RESPONSE 25: Yes, this would apply for both the Prime Contractor (Form E) and any subcontractor (Form H) the Prime may utilize for this project.

Question 26: Has the County determined a budget for this project? If so, can it be shared?

RESPONSE 26: SEE RESPONSE TO QUESTION 8.

Question 27: Does the County anticipate the selected consultant will need to meet with the various departments that receive IT support services? If so, with how many departments and at what organizational level (e.g., County leadership, management, end-users) does the County expect the consultant to conduct these meetings?

RESPONSE 27: NO

Question 28: Has the County developed an IT Strategic Plan in the past, either internally or with the assistance of a consultant? If so, can it be shared?

RESPONSE 28: YES.

Question 29: Would the County provide a list of the existing core set of policies and procedures currently in place?

RESPONSE 29: YES

Policy	Policy Title
600-2	Copy Machine Administration
600-	Telecommunications Services Administration
600-	Personal Computers and Workstations
600-	Approved Retention Guidelines Required for County Records
600-	Transfer of Records to the Fulton County Records Center
600-	Mobile Communication Device Use Policy
600-	Information Technology-Acceptable Use Policy
600-	Information Technology Network Infrastructure Administration

Question 30: Does the County envision that meetings with department staff will be conducted at a central location or at multiple locations throughout the County?

RESPONSE 30: CENTRALIZED.

Question 31: Has the county contracted with any consultant or consultancy in building/ maintaining its current infrastructure, management of its current staff/ HR, application portfolio and/ or Public Cloud?

RESPONSE 31: YES. The County had contracts with professional services companies until end of 2014 to receive database management services, virtual storage/infrastructure management, network management, and disaster recovery/business continuity implementation. Mainly services that we had received were related to database, network and infrastructure area.

Question 32: Please provide a list of attendees at the pre-proposal meeting and any questions & answers

RESPONSE 32: THIS INFORMATION IS AVAILABLE FROM THE BID SOLICITATION SITE.
http://fultoncountyga.gov/county/bidss/index.php?table_name=bids&function=details&where field=ID&where value=5054

Question 33: Would a two (2) week extension for the submission of proposal be granted? With the questions due on 4/24/15 we do not feel that there is sufficient time to take any information obtained in the responses to the questions into consideration in the proposal response with a due date of 5/4/15.

RESPONSE 33: NO

Question 34: Section 1: Top of Page 1-2 appear to be missing section 1.1 and the information that is prior to section 1.2 does not appear to relate to this RFP.

RESPONSE 34: SHOULD READ AS FOLLOWS:

SECTION 1 INTRODUCTION

1.1 PROJECT DESCRIPTION

Fulton County, Georgia ("County") is seeking a qualified firm with demonstrated experience in assessing Information Technology ("IT") to provide professional and consulting services for the purposes of conducting a current assessment of the County's Department of Information Technology ("DoIT") to address organizational structure, technology project management, skills assessment, readiness review to determine whether the County is positioned to move towards digital government, ability to support County business needs and manage resources effectively.

1. The Proposer must perform a comprehensive assessment of the County's existing technology use for the following functional areas:

A. IT INFRASTRUCTURE

- 1) Disaster Recovery
- 2) Business Continuity Management
- 3) Cloud Issues
- 4) Platform of Services and Databases
- 5) Security

B. ORGANIZATION STRUCTURE

- 1) Current Organization Structure
- 2) Technology staffing needs
- 3) Current skills set
- 4) In-house versus contracted service opportunities

- 5) Technology training needs for IT
- 6) Succession Plan
- 7) Best practices/benchmarks
- 8) Management skills of staff

C. TECHNOLOGY PROJECT MANAGEMENT

- 1) Project tracking
- 2) Project reporting
- 3) Project prioritization

D. BUSINESS PROCESSES

- 1) Review of Business Processes/Work Flow
- 2) Digital Government Applications
 - i. Mobile application
 - ii. Citizen engagement
- 3) Policy Review

E. IT SKILLS ROADMAP

- 1) High-level Partnering
- 2) Global assessment

Question 35: Please verify the preliminary report which is due in 30 days is the Project Plan report for the completion of the Project.

RESPONSE 35: Preliminary Report should be the project plan with any modifications or adjustments based on what was learned by consultants in initial 30 days of work, any scope changes due to contractual negotiations, and as the RFP states a review of the audit findings and management responses.

Question 36: Please define what components are included in your definition of "infrastructure" such as:

- Data Center Operations (server, storage, network)
- Data Center Facilities (power, cooling, fire suppression, security)
- End-user Services (desktop, laptop, mobile)
- Network and Telecommunication (voice, data, wireless)

RESPONSE 36: Infrastructure includes all of the above with the exception of end user services, the analysis of desktop, laptop, and mobile services are not part of the infrastructure assessment. The RFP does also include Security and server platforms, infrastructure as it relates to DR and Business Continuity, and an overview of the pros and cons of public sector organizations utilizing the cloud and moving away from internal data centers.

Question 37: Please clarify if the "organizational Structure" is to include a review of all 110 resources, or only the resources from the specific "infrastructure" areas to be defined in previous question 2.

RESPONSE 37: The Organizational structure should include the departmental staff, including project management resources, business analysts, database resources, etc.

Question 38: Has the county completed a disaster recovery criticality assessment which includes ranking citizen's services by criticality, then mapping those services to their applications and infrastructure?

RESPONSE 38: The County has a secondary site at Lithia Springs which houses a second copy of critical county data and applications. The county had a DR contract which in 2015 was slated to document the architecture, complete all the connections, and update the County's COOP plan. That contract was not renewed. The assessment should provide a go forward strategy to complete the task, and how best to create what you ask in our question.

Question 39: In order to validate the requirements can be met in the specific time period, please clarify the expectations, level of detail, and any specific County parameters which are required in the 30 day preliminary report.

RESPONSE 39: Preliminary Report should be the project plan with any modifications or adjustments based on what was learned by consultants in initial 30 days of work, any scope changes due to contractual negotiations, and as the RFP states a review of the audit findings and management responses.

Question 40: We would like to request a few minor wording changes on:Page 2 – Certificate of Insurance
Add the words " to the extent of the liabilities assumed by Contractor as set forth in the Indemnification Section of this Agreement " after the word:

" Insured : in Line 3 of paragraph 1;

" Insurance " in Line 1 of Paragraph 2;

" Insured " in Line 1 of paragraph 3.

Paragraph 4—Add the words " at Contractor's Corporate Headquarters in Blue Bell, PA. " after the word " inspection " in line 2.

Protection of Property

- Replace the word " all " with the word " the " in Paragraph's 1, 2 and 3.
- RESPONSE 40: THE COUNTY'S RISK MANAGER WILL NOT ALLOW THESE CHANGES.**
- Question 41: Is there an incumbent vendor currently working with the County and is that vendor responding to the RFP?
- RESPONSE 41: NO**
- Question 42: Where should the Proposal Forms (outlined in Section 5) be included in the Proposal? Are they included as attachments to the Technical Proposal, or in a separate envelope specific to the Proposal Forms?
- RESPONSE 42: PROPOSAL FORMS CAN BE INCLUDED WITH THE TECHNICAL PROPOSAL**
- Question 43: The RFP Table of Contents includes appendices (Section 10.0). This information is not included in the RFP. Where can we find this information?
- RESPONSE 43: THERE ARE NO APPENDICE FOR THIS RFP.**
- Question 44: Section 2.21 says that Form E must be submitted on the top of the bid/proposal at the time of submission. What does it mean to submit "on the top" of the bid/proposal? Should it be in a separate envelope, or should it be included in each envelope? Or instead should it only be included with the Contract Compliance Exhibits?
- RESPONSE 44: FORM E, GEORGIA CONTRACTOR IS TO BE INCLUDED WITH THE PURCHASING FORMS. WHAT SHOULD HAVE BEEN SAID WAS THAT YOUR E-VERIFY NUMBER SHOULD APPEAR ON THE COVER OF THE PROPOSAL SUBMITTAL**
- Question 45: Please confirm that a Certificate of Authority is required only if a bidder is awarded the contract, and not included in the Proposal submission.
- RESPONSE 45: If the Proposer is a Georgia corporation, the corporation, prior to contract execution shall submit documentary evidence from the Secretary of State that the Corporation is in good standing and that the corporation is authorized to transact business in the State of Georgia. If the Proposer is a foreign (non-Georgia) corporation, the corporation, prior to contract execution shall submit a Certificate of Authority and documentary evidence from the Georgia Secretary of State of good standing which reflects that the corporation is authorized to do business in the State of Georgia.**

Question 46: Per section 6.4, we must complete Exhibit H - First Source Jobs Program Information, Form 1. Form 1 appears to be policy information. Please confirm which First Source form must be completed and included in the Proposal submission.

RESPONSE 46: IF YOU ARE ADDING NEW POSITIONS AS A RESULT OF THIS PROJECT, THEN FIRST SOURCE WOULD BE COMPLETED TO IDENTIFY THE POSITIONS THAT WILL BE ADDED IN ORDER TO COMPLETE THIS PROJECT.

Question 47: Is item #6 of the Required Proposal Submittal Check List different than the financial information required in item #8?

RESPONSE 47: YES

Question 48: Form B, Non-Collusion Affidavit of Bidder/Offeror, requires signature by President/Vice President and the Secretary. These are officers normally found in a corporation; however, partnerships do not have these roles. Is there an alternative form for entities that are not corporations, or can a Bidder amend the form to indicate the signees?

RESPONSE 48: IN THIS CASE, THE BIDDER WOULD COMPLETE THIS FORM FOR THEIR ORGANIZATION.

Question 49: When will the Answers to Questions be posted?

RESPONSE 49: April 28, 2015

ACKNOWLEDGEMENT OF ADDENDUM NO. 4

The undersigned proposer acknowledges receipt of this addendum by returning one (1) copy of this form with the proposal package to the Department of Purchasing & Contract Compliance, Fulton County Public Safety Building, 130 Peachtree Street, Suite 1168, Atlanta, Georgia 30303 by the RFP due date and time **Thursday, May 7, 2015, 11:00 A.M.**

This is to acknowledge receipt of Addendum No. 4, _____ day of _____, 2015.

Legal Name of Bidder

Signature of Authorized Representative

Title

Email Address

**ATTACHMENT I
(RESPONSE FOR QUESTION 6)**

ARTICLE 24. OWNERSHIP OF INTELLECTUAL PROPERTY AND INFORMATION

Consultant agrees that Fulton County is the sole owner of all information, data, and materials that are developed or prepared subject to this Agreement (**hereinafter, "Fulton County Information"**). Consultant or any sub-consultant is not allowed to use or sell any information subject to this contract for educational, publication, profit, research or any other purpose without the written and authorized consent of the County. All electronic files used in connection to this Agreement, which are by definition, any custom software files used in connection to this Agreement, (collectively, the "Software"), shall be turned over to the County for its use after termination hereof and Consultant shall have no interest of any kind in such electronic files. Any required licenses and fees for the Software or other required materials shall be purchased and/or paid for by Consultant and registered in the name of the County, if possible. The Software as defined hereunder, specifically excludes all software, documentation, information, and materials in which Consultant has pre-existing proprietary rights and/or has otherwise been licensed to Consultant prior to this Agreement, and any upgrades, updates, modifications or enhancements thereto. Consultant agrees to provide at no cost to County any upgrades to any software used in connection with this Agreement which may be subsequently developed or upgraded for a period of three (3) years from the date of completion of the work under the Agreement, except in the case of commercial Software licensed to the County. Any information developed for use in connection with this Agreement may be released as public domain information by the County at its sole discretion. **Notwithstanding the foregoing, Consultant will retain all intellectual property rights in pre-existing intellectual property (including any improvements or knowledge developed while performing the services of this Agreement), and in any working papers compiled in connection with the services (but not the Fulton County Information reflected in them.**

ATTACHMENT II

- I. Information Technology Response to Audit Report – January 23, 2015
- II. Amended Audit Response and Remediation Plan – January 30, 2015
- III. Fulton County Georgia Technology Strategic Plan 2015
- IV. Policy and Procedures

Policy #	Policy Title
600-2	Copy Machine Administration
600-13	Telecommunications Services Administration
600-29	Personal Computers and Workstations
600-48	Approved Retention Guidelines Required for County Records
600-49	Transfer of Records to the Fulton County Records Center
600-52	Mobile Communication Device Use Policy
600-60	Information Technology-Acceptable Use Policy
600-61	Information Technology Network Infrastructure Administration



INTEROFFICE MEMORANDUM

TO: Anthony Nicks, County Auditor
Office of the County Auditor

FROM: Shin Kim, Interim CIO/Director 
Department of Information Technology

DATE: January 23, 2015

SUBJECT: Information Technology Response to the Audit Report

I would like to extend my appreciation for the opportunity to review and respond to the DoIT Final Audit Report of December 12, 2014. As you know, I was recently appointed Interim Director on October 21, 2014, but please rest assured that I am as committed to investigating and, where appropriate, redressing all allegations of the audit findings. My vision for the Department of Information Technology includes only the highest ethical standards as a foundation for business going forward.

It is important to remember that there have been many changes in the leadership of the Department recently. I am the fourth IT Director (interim, acting or permanent) in one year, and there have been many changes within our senior management as well. The decisions that led to the business practices underscored in the audit were decisions made by IT Senior Management long ago, under previous IT Directors. I say this not to absolve myself or anyone for continuing to operate under these processes, but simply to indicate that this is how we were directed to do business in the past.

The response before you includes very detailed and specific information regarding findings and my plans for the Department during my tenure as Interim Director; however, I would like to make it clear that I share your concern over many of the issues that were raised during this audit. The findings of this audit will bear a heavy impact on my strategic plan for the Department. I plan to immediately focus on contract administration and management, including standardized processes for measuring and documenting performance. Moreover, I plan to have an independent evaluation of the Department completed in order to ensure the best possible direction in the future. I will continue to have and to welcome evaluation of the Department as often as is practical. I consider it a critical tool for growth and improvement.

Thank you once again for allowing me to participate in the audit process, and for the opportunity to respond and correct the issues at hand. It is my intention to rebuild the Department of Information Technology on a foundation of transparency, ethics, and wise business decisions.

Attachment: DoIT Written Response dated January 23, 2015

Cc: Patrick O'Connor, Interim County Manager

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Response to DoIT Final Audit Report Quick Summary

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

DoIT agrees that it needs to formally document contract monitoring procedures. However, DoIT respectfully disagrees that there were inadequate monitoring procedures in place to monitor vendor performance. Moving forward, DoIT will follow the standards for contract administration in the Fulton County Purchasing Code to ensure that contract monitoring is documented properly.

FINDING 2 – Lack of Payroll Records for Contract Employees

DoIT agrees that contracted staff resources should utilize a timekeeping system when the contract calls for them to be onsite daily. DoIT has implemented a change in internal process for the resources to utilize the County Kronos timekeeping system.

FINDING 3 – Advance Payment of Invoices

DoIT agrees that it did pay Professional Services vendors before all the services were rendered and that an amendment for the payment variation should have been requested. In the future, DoIT will follow the recommendations and make sure that contract terms and County policies and procedures are followed.

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

DoIT respectfully disagrees with this finding as the contract services were bid competitively via the County's solicitation process, so any comparison would have to have a more comprehensive technical assessment than what was provided. DoIT has a long precedent for outsourcing technical services and positions and while the Office of Internal Audit's recommendations are inconsistent with the County's strategic direction to outsource, DoIT will follow the recommendation and work with the Department of Personnel to evaluate the contract positions for inclusion in the Pay and Compensation Plan.

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

DoIT respectfully disagrees with this finding as there is not a County policy that dictates the elimination of a vendor or subcontractor for an arrest, especially since no conviction or trial ever occurred. Furthermore, DoIT is not aware of any requirements to perform criminal background checks on the owner(s) of main or sub companies doing business with Fulton County particularly when the individual has no direct access to the County's IT system or sensitive information. If such a recommendation is being made that would apply County-wide, it would appear that this is a matter of policy that is better addressed by the County Manager, County Attorney, Purchasing Agent, and ultimately decided by the Board of Commissioners (BOC).

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

DoIT respectfully disagrees with this finding as the County Manager and DoIT management decided to permanently outsource Oracle Database Support and Disaster Recovery services since 2002 and that action was approved by the Fulton County Board of Commissioners. Staff reductions and budget cuts have made a full knowledge transfer impossible and the current County Payment and Compensation Plan could not support the salary requirements if such a knowledge transfer had occurred.

FINDING 7 – Violation of Procurement Policy

DoIT agrees that the appropriate process was not followed for the selection of the candidate to conduct a technical assessment and to follow all contract provisions in present and future contracts.

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

DoIT respectfully disagrees with this finding as the bid evaluator in question was never interviewed and it was the understanding of the evaluator that his scores were warranted due to documentation required by the RFP not being provided. There were amendments made to the Purchasing Code in mid-year 2013 but they were not fully implemented when these bids were reviewed.

FINDING 9 – Vendor Advantage Resulting From Longevity

DoIT is not aware of any procurement policies that prevent an incumbent vendor from bidding on future business. Furthermore, the Department of Purchasing is precluded from excluding a vendor from consideration solely on the ground that the vendor had been previously awarded a contract with the County.

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

DoIT respectfully disagrees with this finding as the existence of multiple vendors on the On Demand Professional Services contract was created to minimize the dependency on one vendor.

FINDING 11 – Violation of the County Code of Ethics

DoIT agrees to take steps to ensure contractors and sub-contractors are aware of County's rules and policies, but it cannot control all vendor actions.

FINDING 12 – Lack of Evidence of a Disaster Recovery Plan

DoIT disagrees with the finding of a lack of evidence of a Disaster Recovery Plan. This document describes the enormous technological steps taken to move forward with DR/BC, and where the County stands with respect to DR/BC at this time. Full documentation and updating of the Continuity of Operations Plan (COOP) was never intended to be written until the full implementation of the technology stack was complete. The current COOP document is on the County's website:

[http://fultoncountyga.gov/images/stories/Information%20Technology/Fulton_COOP_Plan -
_12312009.pdf](http://fultoncountyga.gov/images/stories/Information%20Technology/Fulton_COOP_Plan_-_12312009.pdf)

FINDING 13 – Lack of a Full-Recovery Testing

DoIT agrees with the recommendation of the Office of Internal Audit to perform routine DR/BC tests that was previously cited by the Auditor and addressed by DoIT in Finding 12.

FINDING 14 – Conflict of Interest

DoIT disagrees with this finding. The business relationship in question was; (1) fully disclosed, and (2) assessed and found to not raise a conflict of interest.

FINDING 15 – Lack of Training

DoIT agrees on the importance of training but staff reductions and budget cuts have made the level of training needed enormously difficult in the past. DoIT is willing to provide technical training for staff if

budget dollars are provided. While DoIT agrees that training for internal staff is necessary, the department never intended to perform knowledge transfer to existing full-time staff to match the specialized skill sets provided by permanently outsourced services.

FINDING 16 – Misclassification of Expenditures in the Asset Management System

DoIT respectfully disagrees with this finding but does agree a formal change in nomenclature should be made to the non-agency telephone utility object codes to avoid confusion. DoIT will immediately implement a control procedure using our Finance Budget Analyst to ensure costs and expenses are accurately recorded and correctly expended. The Finance Department is in the process of modifying the object codes in non-agency so they now reflect countywide telecom and network expenses.

FINDING 17 – Contractor Performance Evaluations lack Evidence of Ratings

DoIT acknowledges the need to add additional reporting capabilities to our existing monitoring systems and better compile data on vendor deliverables but disagrees that there was no data upon which to base a vendor performance rating. In the future, DoIT will carefully review the Fulton County Purchasing Code and follow contract administration requirements to properly monitor vendor performance.

Background

For a number of years, DoIT maintained three separate Professional Services contracts with differing goals, directions and monitoring processes. The Disaster Recovery and Business Continuity (DR/BC) contract was designed to evaluate, design and update the Disaster Recovery program, create a secondary data center and move the County from conventional Disaster Recovery (DR) to cutting-edge Business Continuity (BC) concept. Oracle Licensing and DBA Support was an outsourcing program to provide Oracle software licenses and DBA (Database Administrators) support for both Oracle and SQL Server database systems, positions which the County did not have. The third contract was for On Demand Professional Services to provide skill sets as needed to augment staff.

On Demand Professional Services

The On Demand Professional Services contract with Randstad, Inc. and Consilium Consulting Inc. was a contract that allowed DoIT to augment the skill sets of our internal staff with those that do not exist internally and positions that are not currently included in the County's Pay and Compensation Plan.

- This service was obtained through the competitive procurement process (RFP).
- The County has used this type of staff augmentation contract for more than 10 years as shown in Appendix C.
- Program that covers on-going support of several mission-critical, high tech functional areas. Also, it provides on-demand, highly specialized technical resources, as needed.
- Mission-critical resources include Exchange Architect, Network Architect, Telephony Technician, Project Management (for Odyssey Court Case Management System) and Program Management.
- This contract provides individual specialized staff as opposed to managing a program of services.
- Allows flexibility to add and delete required resources without creating permanent positions with associated on-going liabilities such as benefits, retirement contributions, and training.

Disaster Recovery and Business Continuity Services (DR/BC)

DR/BC contract resources were acquired via the Request for Proposal (RFP) process to assist in a five-year program to evaluate the current environment, plan for change to a new platform, design and configure the secondary data center, and migrate systems to the new platform. These tasks were to be done while all applications remained online and operational.

- This program was obtained through the competitive procurement process (RFP).
- This is not a typical "staff augmentation" contract simply acquiring individual staff. This is an outsourced program to manage all services related to Disaster Recovery and Business Continuity.
- This program ensures the County data and systems are highly available and all data/records are securely backed-up to ensure compliance and minimize downtime associated with any system disruption.
- The County has outsourced this type of service for more than 10 years as shown in Appendix D, Item 2.

- The County manages many mission-critical systems operating 24 hours a day, 7 days a week, and 365 days a year. Downtime caused by disruptions to these systems must be minimized to protect public safety (e.g. Jail, E911, and Police).

Oracle Licensing, Database Support, and LINUX Administration Services

The outsourcing contract for Oracle licensing, maintenance, and support was a program of services that support servers and databases for mission-critical applications such as Odyssey Court Management System, Enterprise Resource Planning System, and Tax Management System.

- This service was obtained through the competitive procurement process.
- The County has used this type of outsourced model for more than 10 years as shown in Appendix C.
- Program provides and supports Oracle licenses at discounted price, database server administration, Oracle and SQL database administration for mission-critical applications, and UNIX/LINUX server administration.
- Ensures full back-up of the County's data for major applications.
- Provides 24 hours a day, 7 days a week, and 365 days a year support to minimize downtime to protect public safety (e.g. Jail, Police).
- Administrates highly complex LINUX servers and maintenance including specialized virtualization.

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.

DoIT Response

DoIT does agree that it needs to formally document contract monitoring procedures and regularly scheduled technical meetings that set goals and priorities, review accomplished objectives, and set plans for technical achievements for contract resources. The IT Assistant Directors had regularly scheduled meetings with internal employees and contractors as follows:

- DR/BC Team - Mondays and Wednesdays Weekly at 9:00 a.m.
- Database and LINUX Team - Fridays Weekly at 9:00 a.m.

DoIT respectfully disagrees that there were inadequate monitoring procedures in place to monitor vendor performance. DoIT relied on the respective managers over each function to provide feedback on contractor performance. Senior management, along with respective section managers, received regular updates and briefings throughout the year regarding contractor performance to compile an overall annual rating in each of the categories required for the Contractor Performance Report. The County Manager, Deputy Director and the CIO would have been involved if a performance issue persisted to the point of requiring an escalation with the responsible vendor.

DoIT understands that a formal process of documenting goals, changes in direction and priorities should have been in place, but disagrees with the finding that the monitoring of the DR/BC, On Demand, or Oracle resources did not occur. The vendors were functioning as desired and the goods and services provided to the County met the contract requirements. As show in Appendix A of the response, DoIT has received many awards in recent years as a result of the vendor delivering the services required under the contract.

Moving forward, DoIT will follow the standards for a contract administration (Fulton County Purchasing Code, Section 5-11) to ensure that procedures and measures are documented properly.

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.

DoIT Response

DoIT respectfully disagrees with the finding that the County was unduly exposed or that any overpayments were made and specifically disagrees with this finding as it relates to the On Demand contract. As part of On Demand contract, DoIT was provided access to the Randstad's time keeping system to review and approve the time records of staff resources. Four (4) different managers had access to the timekeeping system to enter time records for each contractors assigned to DoIT. Appendix B of the response shows the URL to Randstad's timekeeping system and a screenshot of the main page.

DoIT agrees that there was no formal time keeping system for tracking attendance for the Oracle Licensing & Support (Oracle) and Disaster Recovery and Business Continuity (DR/BC) programs. Oracle and DR/BC contracts are not staff augmentation contracts. Rather, they are programs of services for which a timekeeping model is not appropriate based on industry standards.

The only reason hourly rates of the positions were included in the RFP was for Fulton County to be able to compare the price responses equally. This approach was recommended by the Purchasing Department to make it easier to compare the cost portion of the RFP responses. However, quoted hourly rates were not intended to force a timekeeping model for programs of services contracts.

DoIT agrees to enhance the documentation processes to better capture the work of contractors and has already implemented a procedural change to incorporate contractors into the County's Kronos time keeping system.

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.

DoIT Response

DoIT agrees that an amendment for the payment variation should have been requested. However, the County did receive the services and support requested by the contract and DoIT was at all times satisfied with the performance and results of the contracted resources.

Due to the criticality of the services provided and the length of time to get invoices processed, previous DoIT management approved semiannual invoices for Oracle and DR/BC contracts to ensure that service would not be disrupted. These services supported initiatives such as the Odyssey implementation, the AMS upgrade, and the design/implementation of secondary data center.

DoIT agrees that it did pay Professional Services vendors before all the services were rendered. DoIT will follow the recommendations and make sure that contract terms and standard County policies and procedures are followed in the future.

FINDING 4 – Cost of 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.

Purchasing Response

The first step in the procurement process is that the User Department identifies a need for a good or service. Once that need is identified then specifications are developed in conjunction with the User Department to ensure that the User Department obtains the good and/or service it requires through a competitive process.

DoIT Response

DoIT and the Purchasing Department respectfully disagree with the finding that the cost of "salaries" far exceed that of comparable counties. These services were bid competitively via the County's solicitation process, so any comparison would have to have a comprehensive technical assessment of what other Counties were asking staff or outsourced resources to do.

As early as 2002, the County Manager, Thomas Andrews, and IT Director, Robert Taylor, decided to permanently outsource Oracle Database Support and other highly technical positions and it was approved by the Board of Commissioners. The documents in the following Appendices support this decision:

- Appendix C - Memorandum dated July 23, 2003 to recommend RFP (03RRFP0009B) to acquire outsourced specialized technical services to cover Oracle Database Administration, UNIX Administration, E-Mail Administration, Telecommunications Project Management, IT Project Management, and Mainframe System Administration.

DoIT has always maintained that the initial Oracle solicitation created by a previous CIO, Robert Taylor, was not a staff augmentation contract but rather a managed services contract to provide licenses, maintenance, and database support resources in order to have one vendor to deal with. The contract therefore is not appropriately measured by the calculation of hourly rates. The rates included in RFP represent the total cost for a vendor to provide a complete service. DoIT could not confirm whether the salary figures from Maricopa and Mecklenburg Counties represent the total cost of having comprehensive services internally. DoIT was advised that the salary figures on the table for these counties were base salaries; therefore, the comparison does not appear to be a true "apples to apples" comparison because of the following reasons:

- 1) A vendor's rate includes all costs such as profit, overhead, liability, planning sessions with staff, training requirements for costly Oracle, LINUX and Microsoft training and certifications, and the flexibility of resources to provide expertise in new technologies.
- 2) A vendor's cost also includes research and testing of new technologies, proofs of concept, and approaches to assist in determining new trends and directions for county applications and requirements.
- 3) Maricopa and Mecklenburg's cost do not include benefits and ongoing employee training cost.
- 4) No number of total positions was provided.
- 5) No position descriptions were provided.
- 6) No levels of education for any of the positions were provided.
- 7) No requirements for certifications or other credentials were included for any of the positions.

The Office of Internal Audit has included a recommendation for the County to change its salary structure in order to transition the services provided for by this program to in-house permanent staff, while acknowledging that the current compensation structure does not support salaries for these services that are consistent with industry standards. The fact is that the County has made a conscious decision in the past to avoid adding permanent head-counts and taking on additional long term budgetary commitments by outsourcing this function. Finally, bringing these services in-house will deprive the County of the flexibility to "retool" contract positions with more advanced expertise to take advantage of advances in technology.

While this recommendation remains inconsistent with the strategic direction to outsource, and limits DoIT's flexibility to retool contract positions, DoIT will follow the recommendation and work with the Department of Personnel to evaluate the Database Administration positions for inclusion in the Pay and Compensation Plan and thereby bring these critical skill sets to in house positions.

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.

DoIT Response

The individual referenced by the Office of Internal Audit identified has a felony arrest related to a bounced check in 2013. However, he was never convicted. Furthermore, the identified individual is the primary owner of the company that is a sub-contractor to one of the prime contractors. This individual does not provide any direct services to Fulton County and has no direct access to any County information systems, sensitive data, or personally identifiable information. There is not a County policy that dictates the elimination of a vendor or subcontractor for an arrest, especially since no conviction or trial ever occurred.

Furthermore, DoIT is not aware of any requirements to perform criminal background checks on the owner(s) of main or sub companies doing business with Fulton County. Nor, does this appear to be an appropriate matter to be taken up by an individual County department. If such a recommendation is being made that would apply County-wide, it would appear that this is a matter of policy that is better addressed by the County Manager, County Attorney, Purchasing Agent, and ultimately decided by the Board of Commissioners (BOC).

Note: Currently County employment background checks are not completed prior to a hiring decision. Reports often come back weeks or months after the employee has begun work.

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.

DoIT Response

DoIT respectfully disagrees with this finding. The fundamental concept of outsourcing is to secure a vendor to provide the service better or more efficiently than you can do internally. As early as 2002, the County Manager and DoIT management decided to permanently outsource Oracle Database Support and Disaster Recovery services and that recommendation was approved by the Fulton County Board of Commissioners. The following Appendices support their decision:

- Appendix C - Memorandum dated July 23, 2003 to recommend RFP (03RRFP0009B) to acquire outsourced specialized technical services to cover Oracle Database Administration, UNIX Administration, E-Mail Administration, Telecommunications Project Management, IT Project Management, and Mainframe System Administration.
- Appendix D - At September 18, 2002 BOC Meeting, Disaster Recovery (it was called Business Restart in 2002) service was approved.

The department never intended to train existing full-time staff to match the specialized skill sets provided by outsourced services. The department did not want to lock itself into a dependency on full-time staff for certain skill sets or technologies. Rather, the department leveraged the flexibility of an outsourced solution that affords access to new, advanced IT skill sets, as demand dictates.

If the implementation of knowledge transfer plan had occurred, salaries of Fulton County full-time employees would have to increase significantly. The County's current pay structure does not accommodate a higher pay grade for technical positions. In December of 2009, full-time employees who gained highly specialized skill sets from contractors quickly found more lucrative positions elsewhere.

Additionally, the continued reduction in full-time staff resources made it impossible for full knowledge transfer to occur in those contracts where it was practical. DoIT has seen a constant reduction in staff from 137 positions in 2008 to 121 positions in 2014, which forced full-time staff to be fully utilized on daily support, on-going projects and tasks. Note the above reductions are even more drastic when you consider DoIT merged 18 staff members from the Department of Environmental & Community Development when GIS was merged into DoIT in 2010.

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.J 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.

DoIT Response

The previous CIO, Maurice Ficklin, wanted to move forward immediately with a COBIT (Control Objectives for Information and Related Technology) audit of the department and directed the vendor to provide a specific resource to conduct a technology audit of the department. This specific resource started several days later with the highest hourly rate compare to other high technical resources.

DoIT agrees to follow all contract provisions in present and future contracts.

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.

Purchasing Response

This issue has been addressed. The Purchasing Audit made several recommendations in regard to the Request for Proposal process. As a result, the evaluation scoring guidelines were revised based on those recommendations to ensure consistency. The revised Purchasing Code was approved by the Board in January 2013. Subsequently training was provided to the purchasing staff and the user departments.

The County Attorney's office assisted the Department of Purchasing & Contract Compliance with revising the Confidentiality Agreement and Disclosure Report, which must be signed by all Evaluation Committee members, to include the following paragraph regarding scoring discrepancies;

The undersigned understands and acknowledges that if their individual scores deviate significantly from the range of all scores of the Evaluation Committee as determined by the Purchasing Agent that a written explanation will be required and maintained in the official Purchasing file for the above-referenced project.

This revision was made in mid-year 2013 but had not been fully implemented at the time the three projects in question were released.

DoIT Response

DoIT and the Department of Purchasing disagree with this finding. DoIT interviewed the reviewer in question regarding the finding of "inconsistencies" with the score assigned by the reviewer for a category within a proposal submitted by a specific vendor in response to the County's Request for Proposal (13RFP90001YB-TR) On Demand IT Professional Services. The review in question provided the following response:

"As part of my work on the evaluation committee for the procurement action to obtain On Demand IT Professional Services (13RFP90001YB-TR), I reviewed all of the requirements contained within the Request for Proposal (RFP). In the case of the proposal in question, I noted that **the responding vendor's proposal did not include any of the supporting documentation required to substantiate the education and training of their proposed candidates.** Specifically, the RFP stated the following requirements:

3.3 SCOPE OF WORK

3.3.1 GENERAL

“...Respondents must submit copies of resumes for all proposed resources within the above listed specialized technical areas to include all relevant experience, course work, and certifications. Copies of all relevant diplomas and certifications must also be submitted with the proposal.”

“**As the proposer failed to include documentation for my review, I had no choice but to assign a low score to this category of their proposal.** Additionally, I reviewed the examples of “relevant experience” this vendor provided as part of their response to the RFP as required in the following section:

3.4 TECHNICAL PROPOSAL FORMAT AND CONTENT

Section 4 – Relevant Experience/Past Performance

“Identify three (3) examples where the Proposer has provided the same or similar services.”

“I noted that, although the proposing vendor provided a number of examples of past work in the IT field, **none of the examples provided were related to providing On Demand IT Professional Services. Rather, each of the examples of prior experience appeared to document IT project-based work.** Again, as I was faced with evaluating information that was not provided, I had no choice but to assign a score of zero (0) to this category of their proposal.”

Of particular concern is the fact that the Office of Internal Audit made this finding without having interviewed the RFP reviewer in question, despite being urged to do so by multiple senior IT managers who were questioned about the apparent inconsistencies in the RFP evaluation process. The reviewer assigned a score of zero (0), not "low scores", in two areas simply because the particular vendor did not provide the required supporting documentation. The On Demand RFP had 19 responses from the vendor community.

Moreover, in 2013, the Department of Purchasing went through an independent audit where the RFP procedures were reviewed, revised and updated.

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.

Purchasing Response

There is no basis for precluding a bidder/proposer from submitting a bid/proposal to the County for a competitive procurement issued by the County. Based on current law, the award must be made to the most responsive and responsible bidder/proposer.

DoIT Response

DoIT and the Department of Purchasing agree that a vendor may have an advantage from experience, and from having already won a competitive award, but fails to see how that would be different from any vendor who has won a previous award, anywhere in the County.

When issuing new procurement vehicles (Invitation to Bid (ITB) or Request for Proposals (RFP)), it is of critical importance for County departments to maintain total control of the procurement process, especially during the development of requirements and specifications. A great deal of effort is expended to ensure that any incumbent vendor's "direct knowledge of the inner workings of our system strengths and weaknesses..." provides as little advantage as is reasonably possible.

It is important not to confuse operational dependency that is an expected consequence of an aggressive "outsourcing" strategy with a dependency on a specific contractor due to a lack of contractor management. While it is true that the County is very dependent on outside contractors to provide a number of critical tasks, DoIT managers and supervisors are responsible for directing all aspects of those operations that have been "outsourced" to contractors via the County's competitive procurement process. No contractor enjoys a degree of dependency that would preclude their being replaced, should another vendor successfully win a new competitive procurement, or if the County chooses to make a change for cause or convenience.

The very existence and creation of the On Demand contract was to minimize dependency on any single vendor, and to provide another avenue to secure resources should changes be needed because of non-performance, changes in technology, or loss of resources. However, as it relates to a vendor winning multiple awards, DoIT cannot find any procurement statutes that indicate a vendor should be downgraded in scores or excluded from the participation simply because they are already present.

As for the recommendation of the Office of Internal Audit, DoIT already routinely seeks review of both contracts and ITB/RFP specifications from Gartner, Inc. Gartner is recognized as one of the leading international IT research and advisory firms and is independent of any IT vendors/contractors with whom the County might potentially engage. Gartner has also reviewed and endorsed the County's IT outsourcing strategy; DoIT's technology infrastructure strategy; and Fulton County's approach to IT Disaster Recovery and Business Continuity via multiple conference calls in December of 2014.

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.

DoIT Response

The reasoning behind DoIT's strategy to utilize a multi-vendor award for On Demand IT Professional Services is in direct response to the risk of becoming too dependent on a single vendor. Over the past decade, DoIT has worked closely with both the County Manager and the Department of Purchasing to break up the original, omnibus IT professional services contract into three different procurement vehicles. This strategy, combined with the multi-vendor award for On Demand IT Professional Services and use of the County's Telecommunications (Voice and Data) Master Agreement to obtain certain professional services, the County has the ability to shift among three different vendors and four different contracts to obtain critical IT professional services. Should any vendor default on any agreement or cease to exist, the County, through the appropriate procurement and contracting processes, will be able to continue to support all critical IT operations.

The memorandum (Appendix E), written by the Interim IT Director, Shin Kim, was sent to the Board of Commissioners (BOC) through the Office of the County Manager to describe the potential risk of failing to renew all of the County's contracts for IT professional services simultaneously. That action is what constitutes the enormous risk, not the dependence on any contractor. The finding of excessive dependency on a contracted vendor (Consilium Consulting) is a complete misrepresentation of the facts, as stated in the memorandum regarding risks to County operations in the event all of DoIT's professional services contracts being held beyond the point where annual contract renewals can be approved.

The County is now at a heightened degree of risk, due to the fact that renewal of all of DoIT's professional services contracts, along with other major procurements, have been denied. Despite every best effort to ensure the County was protected by a "safety net" of contracts, no one anticipated a scenario in which all of the professional services contracts might be cancelled or allowed to expire, simultaneously.

As for the recommendation that DoIT immediately take action to ensure that all network and data systems are controlled by County staff, there is no need for additional action, as these systems have always been under the control of permanent County DoIT staff. Additionally, safeguards are already in place, in the event a vendor is replaced or denied access to County systems.

FINDING 11 – Violation of the 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.

DoIT Response

While DoIT cannot control all vendor actions, DoIT agrees to take steps to ensure contractors and sub-contractors are aware of County's rules and policies.

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.

DoIT Response

It must be noted that the County's DR/BC methodology has been changed dramatically since 2013 with adaptation of new technology. The County has phased away from the conventional DR/BC method that is based on single physical server platform with manual restoring action plans. Currently, the County has advanced virtualized server platforms with high-availability and instant operational recovery for any type of disaster or outage. This new methodology also provides continuous availability and continuous data protection solutions. In other words, when a system goes down, it will be automatically detected by monitoring tool and the system will come up instantly from different location within a matter of minutes.

DoIT agrees with the recommendation of the Office of Internal Audit to implement an updated Disaster Recovery Plan (DRP) and associated testing activities. In fact, the existing DoIT DRP published in 2009 and fully operational Disaster Recovery and Business Continuity (DR/BC) infrastructure that was implemented over the last two years is the foundation for this work. Therefore, consistent with audit's recommendation, this work was well underway in DoIT.

The existing DRP as known as "Continuity of Operations Plan (COOP)" document is in place until the current DR/BC project is complete in 2015. The "Disaster Recovery Plan", as envisioned by the Office of Internal Audit, does not include the minimal downtime and simultaneous dual data center environment

operated currently by the County. The deliverable to which they refer, which will be in the form of an updated Continuity of Operations Plan (COOP) for DoIT, was not due until 2015.

Fulton County, like most large organizations today, no longer subscribes to the outdated concept of processing priorities for DR/BC. As a result, updating of the 2009 DRP and the comprehensive COOP is comprised of two major components:

- Procurement, design, implementation and configuration of new DR/BC IT infrastructure
- Updating documentation to reflect the operation of the new DR/BC IT infrastructure

Under this operating model, there is no need to prioritize processing jobs, as all information systems are designed to remain “up” at all times, even in the event of a catastrophic event within or affecting the primary data center.

While the current DR/BC system is ideal for maintaining constant uptime for all Fulton County Information Systems in the event of a disaster, the same automated technology and functionality that would maintain system uptime in such an event is running every day, around the clock, where systems are operating from both data centers. On a typical day, systems automatically move between data centers in order to access additional computing resources using the exact same functionality used to respond to a disaster event such as the loss of a major component of the IT infrastructure or even an entire data center. This every day functionality represents a continual, real-time test of how well the system would respond in a disaster event.

Updating of the DR/BC technology documentation in the published DoIT COOP, including testing criteria and schedules, was a deliverable of the DR/BC Program due in 2015. Since contract/program initiation in 2013, contractors and County staff have focused efforts on development, implementation and configuration of the DR/BC technology. The decision to establish DR/BC system functionality was and remains the first and foremost priority. The major milestones related to standing up the DR/BC system are shown in Appendix F.

These milestones were achieved utilizing the resources on the DR/BC contract. The existence of a DRP that is questioned by Office of Internal Audit exists in the technology upgrades and system implementations listed and described in Appendix F. The design and implementation of the technology is the most significant part of any modern DR/BC plan. Appendix G illustrates the current state of the County's DR/BC infrastructure. Before the written portion of the plan can be completed, the ability to create technical Business Continuity had to be accomplished. The final components of IT infrastructure and the updating of the County's COOP plan to incorporate the new technology was to be addressed in 2015.

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.

DoIT Response

DoIT agrees with the recommendation of the Office of Internal Audit to perform routine DR/BC tests that was previously cited by the Office of Internal Audit and addressed by DoIT in Finding 12. However, DoIT reiterates the below points as it relates to the current DR/BC system:

- Loss of key resources related to the termination of IT contracts will make full DR/BC testing challenging and longer in duration than originally intended.
- The fully operational DR/BC IT system that was implemented over the last two years is the foundation for this work.
- The same automated technology and functionality that would maintain system uptime in such a test is already running every day, around the clock, where systems are operating from both data centers. On a typical day, systems automatically move between data centers in order to access additional computing resources using the exact same functionality used to respond to a disaster event such as the loss of a major component of the IT infrastructure or even an entire data center. This every day functionality represents a continual, real-time test of how well the system would respond in a disaster event.

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.

DoIT Response

DoIT respectfully disagrees with this finding. This finding states that “informal relationships exist between IT management and contracted vendors” and specifically cites an example where a contract employee is a former business partner with an IT Assistant Director and is currently supervised by the same IT Assistant Director. The finding of a Conflict of Interest in this situation is based on “there was no disclosure regarding the business relationship between the Assistant Director and the contract employee”.

Contrary to the information presented in Finding 14, the business relationship between the IT Assistant Director and the contract employee was fully disclosed to both senior IT management and the contract vendor for whom the contract employee was formerly employed. Specifically, the following actions were taken with regard to disclosure:

- On November 18th, 2010, the current IT Assistant Director, who then held the lower position of IT GIS Manager, disclosed in a formal letter (Appendix H) his involvement in the formation of a side business dealing with GIS Technology Services. This letter was provided to a previous IT Director and a previous IT Deputy Director.
- In late 2013, when a Database Administrator position became vacant due to the resignation of a contract employee, the vendor verbally asked IT senior managers if they knew of any qualified individuals who might be candidates to fill the vacancy. The IT GIS Manager provided the name of his business partner to the vendor, while fully disclosing their previous business

relationship. The vendor then conducted an independent interview/hiring process, eventually deciding to hire the IT GIS Manager's associate to fill the vacancy.

- Subsequently, the IT GIS Manager was promoted to the position of IT Assistant Director in mid-2014. At the time the contract Database Administrator was hired, the IT GIS Manager/IT Assistant Director was not responsible for supervision of the team to which the contract employee was assigned. However, a subsequent change of duties occurred in June 2014, at which time the IT Assistant Director in question was assigned to supervise the Database and LINUX Administration team that included the contract staffer with whom he had a previous business relationship. This reassignment was made with the full knowledge and understanding of the previous business relationship between the IT Assistant Director and the contract staff.

It was determined by the former IT Deputy Director, Jay Terrell that the following facts prevailed in determining if there was a conflict of interest:

- The business relationship between the IT Assistant Director and the contract employee was fully disclosed by both parties prior to the hiring of the contract employee.
- Both the IT Assistant Director and the contract employee confirmed that their company had never conducted any business with Fulton County.
- The type of work performed by this company did not, in any way, have anything to do with any of areas of responsibility of either the IT Assistant Director or the contract employee, or his employer.

Given that full disclosure of their past relationship was made, by both parties, in advance of decisions related to hiring and managerial assignments, DoIT maintains that there is neither a conflict of interest nor the appearance of a conflict of interest. However, to address this finding, effective December 18, 2014, Interim Director of DoIT, Shin Kim, has assigned the Database team to different division. Additionally, DoIT accepts the recommendation of the Office of Internal Audit to have all DoIT staff receive refresher ethics training. DoIT has scheduled the following mandatory essential training classes for all supervisors in the department:

- January 21, 2015 - Emerging Leader Training
- February 5, 2015 - Coaching and Motivating Leader Training
- February 19, 2015 - Discipline with Dignity Training
- March 5, 2015 - Managing within the Law Training

FINIDNG 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.

DoIT Response

DoIT has received consistent budget cuts over the past decade while still being requested to meet ever increasing demands for new and improved technologies. DoIT has lost \$2,549,771 in operating budget since 2008. These budget cuts have resulted in less staff resources, and a minimum of dollars available to provide needed training for staff. As a result, like many other organizations both public and private, DoIT utilized outsourcing solutions to provide flexible avenue to get the technical resources needed.

With limited budget dollars, DoIT has utilized online training vehicles for staff who wished to update, improve, or modernize their skill sets. Many staff members have taken advantage and have received training such as Microsoft, CISCO, and Project Management. However, the online training vehicles do not come close to providing the technical training necessary. Moreover, reduction in number of positions over past 6 years forced internal staff to be fully utilized on daily support, on-going projects and tasks which made training more challenging.

In the 2015 budget process, DoIT requested for \$70,000 in the training portion of the budget, and once again, the request for additional training funding was denied. DoIT is willing to provide technical training for staff if budget dollars are provided. While DoIT agrees that training for internal staff is important and necessary, the department never intended to perform knowledge transfer to existing full-time staff to match the specialized skill sets provided by permanently outsourced services.

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.

DoIT Response

DoIT respectfully disagrees with this finding as it relates to expenses in the non-agency funding object codes.

DoIT does agree a formal change in nomenclature should be made to the non-agency telephone utility object codes nomenclature to avoid confusion. In today's environment the merging of telecom and data networks is commonplace, and all expenses taken from the non-agency telecom/network object codes were appropriate.

As recently as eight years ago, Fulton County received nearly all of its voice and data network services via an omnibus Telecommunications Master Services Agreement (MSA). Due to the wide range of telecommunications products and services included within the MSA, and with the gradual merging of voice and data technology over the past fifteen years, there was always a lot more included in the Telephone-Utility budget than just "telephone service". This agreement had, for many years, included products and services such as voice/data circuits, long distance service, voicemail, network equipment (switches, routers, PBXs, etc.), web hosting, network security systems, language translation, videoconferencing, event management (BOC meetings), telecommunications (voice and data) equipment maintenance, and various professional services related to support of the County's voice/data network. These professional services included onsite telephony technicians, network architects, and IT project and program managers assigned to support network infrastructure and security projects.

DoIT "broke up" many of the services contained within the Telecommunications MSA into smaller, individual competitive procurement actions, in an attempt to leverage competition and improve the pricing being offered to the County for these services. Although no longer included in what is still referred to as the County's "phone bill", all of these services are still directly related to telecommunications products and services.

Our efforts to "unbundle" telecommunications services have resulted in individual agreements with multiple vendors for services previously provided by AT&T/BellSouth and paid for via the Telephone-Utility account. Examples of the vendors now providing telecommunication products and services are:

- AT&T - Voice/Data Circuits, Long Distance, etc.
- Sprint - Mobile Internet Communications (Smartphones, etc.)
- Prosys Information Systems - Network Equipment (Switches, routers, telephones, Cisco equipment maintenance, Network Security (Iron Port), etc.)
- Niksun - Network Security (Data)
- Randstad - Onsite Telephony Technician (Telephone, data network, etc.); Network Architect; Network Infrastructure Program Manager, etc.

This list is not intended to be comprehensive, but should provide a view of the diverse range of vendors now providing telecommunications/networks products and services via this classification. And, conversely, it also provides insight into the diverse range of products and services that are classified, for budgeting purposes, as part of the County's telephone-utility expenditures.

While there have been on and off discussions with the Finance Department over the past several years regarding the outdated name of the Telephone-Utility account, there has been a consensus that the expenditures related to these varied products and services are being charged to the correct account.

The Finance Department is in the process of modifying the object codes in the non-agency account so they now reflect countywide telecom, data, and network expenses (100-999-S666-1493).

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.

DoIT Response

DoIT agrees that there is no common repository for the supporting documentation related to a specific Vendor Performance Report. Additionally, previous DoIT management staff did acknowledge that our existing monitoring tools were designed to report outages, but did little or nothing to document the absence of an outage. While DoIT acknowledged the need to add additional reporting capabilities to our existing monitoring systems, as well as a need to better compile data on vendor deliverables, DoIT disagrees that there was no data upon which to base a vendor performance rating.

The respective managers over each function provided feedback on contractor performance. Although regular updates and briefings were provided throughout the year regarding contractor performance, the

former Deputy Director of IT, Jay Terrell, met with senior managers, along with their respective section managers, to compile an overall annual rating in each of the categories required for the Contractor Performance Report. The former Deputy Director of IT was also involved if a performance issue persisted to the point of requiring an escalation with the responsible vendor. Any such instance would have an impact on the score assigned to that vendor on the Vendor Performance Report.

DoIT will carefully review the Fulton County Purchasing Code and follow contract administration requirements to properly monitor vendor performance in the future.

Internal Audit Conclusions

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.

DoIT Audit Response Conclusions

DoIT agrees that being short staffed, and repeated budget cuts, and staff reductions, and business acumen led to the utilization of several Professional Services contracts to fill gaping holes in our skill sets. This strategy allowed DoIT to provide the modern and complex technology stack we wished to employ in order to provide high level services to citizens and staff.

DoIT agrees more documentation and a formal reporting process should be implemented for future outsourced contracts.

DoIT agrees that the contracted resources should utilize a timekeeping system if the contract calls for them to be onsite daily as regular staff and has implemented a process for contract moved the resources to utilize the County Kronos timekeeping system.

DoIT does not agree with the finding of excessive dependency on any contracted vendor. The existence of multiple vendors on the On Demand Professional Services contract was created to minimize the dependency on one vendor.

DoIT disagrees with the finding of a lack of evidence of a Disaster Recovery Plan. This document describes the enormous technological steps taken to move forward with DR/BC, and where the County stands with respect to DR/BC at this time. Full documentation and updating of the COOP plan was never intended to be written until the full implementation of the technology stack was complete.

DoIT agrees that it did pay Professional Services vendors before all the services were rendered. License and support payments which industry-wide are pre-paid similar to insurance payments with Professional Services contracts to arrive at the dollar figure posted in the findings.

DoIT disagrees with the finding of the conflict of interest. The business relationship in question was; (1) fully disclosed, and (2) assessed and found to not raise a conflict of interest.

DoIT agrees that any vendor that is already providing services to the County may have an advantage on future solicitations since it knows the landscape and the technological needs and goals of the County, but DoIT is not aware of any procurement policies that prevent an incumbent vendor from bidding on future business.

Office of Internal Audit has based the findings and conclusions on dated technology business models and did not give proper consideration to strategic planning decisions such as the decision to outsource back in 2002. The ability of the Department and the County to continue operating remains at risk due to the simultaneous non-renewal of all of these contracts and the loss of seventeen highly skilled technical resources. An independent evaluation of the Department should provide the best possible direction in the future and the Department will immediately focus on contract administration and management.

Appendix A - DoIT Awards

2003 Innovative Government Solutions Award

Southeastern Regional Government Technology Conference Advisory Board

- Data Storage Management (Storage Area Network)

2004 Top Ten Digital Counties (500,000+ Population)

Center for Digital Government/National Association of Counties

- IT Outsourcing Program
- Business Continuity Program (Original)
- Institutional Network (I-NET)
- Network Security Project (Firewalls, anti-virus, e-mail filtering, internet filtering, etc.)

2005 Top Ten Digital Counties (500,000+ Population)

Center for Digital Government/National Association of Counties

- Data storage systems matching performance, price, features, etc. to each application
- Network Modernization (Phase II)
- Converged Network (Data and Voice)
- First entity to successfully deploy Microsoft Vista and Network Access Protection (NAP)

2005 Best Practices in Enterprise Management

Computer World/Enterprise Management World

- Distributed Systems & Infrastructure Implementation
 - Migration of major applications from Mainframe to distributed systems

2006 Top Ten Digital Counties (500,000+ Population)

Center for Digital Government/National Association of Counties

- Implementation of multi-tiered storage environment (NAS, CAS, etc.)
- E-Mail Archiving Project
- Video Arraignment
- Migration from costly proprietary Operating Systems to Open Source platforms (AIX to LINUX)

2006 Best of the Web Award

Center for Digital Government

- Improvements to FC website
- Online Election Results in real time

2007 Top Ten Digital Counties (500,000+ Population)

Center for Digital Government/National Association of Counties

- Voice over Internet Protocol (VoIP) implementation
- Data Center Upgrade (Power, cooling, network, etc.)
- Digital data backup system utilizing “virtual tape”
- Public Wi-Fi in all AFPL branches

2011 Top Ten Digital Counties (500,000+ Population)

Center for Digital Government/National Association of Counties

- Major upgrade to the County’s Enterprise Resource Planning (ERP) System
- GIS Analysis of 2010 Census Data

- Increased ability to accept online payments
- Improvements to E911 Master Street Address Guide
- Data backup and recovery upgrade

2012 Top Ten Digital Counties (500,000+ Population)

Center for Digital Government/National Association of Counties

- IT Strategic Plan
- IT Infrastructure Modernization Program (Phase I)
 - Server Standardization, consolidation, and virtualization
- GIS Modernization
 - Server, storage, and network upgrades
 - GIS Consolidation Project
- “Private Cloud” Network Project

2012 Georgia Digital Government Summit Special Innovation

Govtech.com and Government Technology Magazine/Center for Digital Government/eRepublic

- Use of advanced Server Virtualization to deploy a Hybrid Cloud network.

2012 Special Achievement in GIS (SAG) Award

ESRI

- State and Local Government Geographic Information Systems

2012 Sunny Award

Sunshine Review

- Government transparency through citizen access to data via Fulton County’s website.

2013 Top Ten Digital Counties (500,000+ Population)

Center for Digital Government/National Association of Counties

- Implementation of Unified Justice Case Management System (UJCMS)
- Disaster Recovery/Business Continuity Program
- IT Outsourcing Program
- Data Network Upgrade (MetroE Project)
- IT Infrastructure Modernization Program (Phase II)
 - Storage Virtualization
 - Database Virtualization
 - Network Virtualization

2013 Sunny Award

Sunshine Review

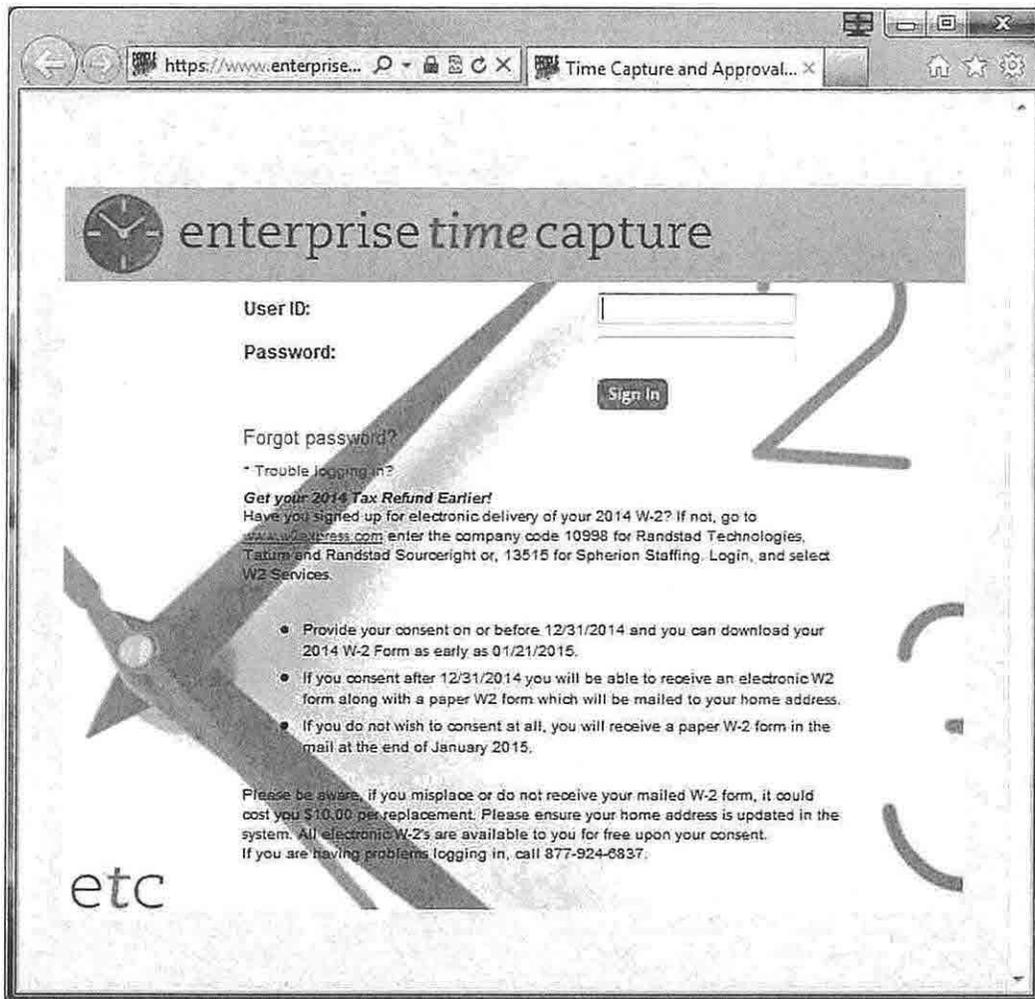
- Government transparency through citizen access to data via Fulton County’s website.

Appendix B - Randstad's Timekeeping System

Application Name: Enterprise Time Capture

URL: <https://www.enterprisetimecapture.com>

Screenshot:



Appendix C - Recommendation of Award - RFP No. 03RRFP0009B, Information Technology Professional Services



ENTER-OFFICE MEMORANDUM County Manager Action Form

TO: Thomas C. Andrews, County Manager 
FROM: Robert Taylor, CIO/Director, Information Technology
DATE: July 23, 2003
SUBJECT: Recommendation of Award - RFP No. 03RRFP0009B, Information
Technology Professional Services

REQUESTED ACTION: Place the Request for Approval of the recommended vendors under the Request for Proposals (RFP) for Information Technology Professional Services (03RRFP0009B) on the agenda for the August 2003 recess meeting.

CRITICAL DATE FOR ACTION: August 20, 2003

PURPOSE: The purpose of this RFP is to acquire outsourced specialized technical services which are not available as in-house resources and are necessary to support mission critical Information Technology applications. The solicitation covers six (6) individual technical areas: Oracle Data Base Administration, UNIX Administration, E-Mail Administration, Telecommunications Project Management, Information Technology Project Management, and Mainframe System Administration. Each of these areas supports a variety of services critical to the continuity of a number of extremely important County projects. The period to be covered by this solicitation is sixty (60) months, to include an initial twelve month award and four (4) renewals based on funds availability and Board of Commissioners' (BOC) approval. The period of coverage is required to ensure stability in a number of activities including support of the business continuity project, justice system application conversion, financial system conversion, tax system conversion, and ongoing support of these applications. The period of coverage coincides with these projects and dictates the need for continuity to ensure their success.

DISCUSSION:

The RFP was sent to one-hundred thirty four (134) organizations, of which sixteen (16) were MBE/FBE firms. Twenty-four (24) vendors responded to the solicitation, of which sixteen (16) were MBE/FBE firms. A review committee comprised of Information Technology and Purchasing Departments' staff, along with staff from the Office of Contract Compliance, reviewed the responses employing rating criteria identified in the RFP. Based on a review of the responses using the criteria as defined in the RFP, the committee recommended three (3) vendors to perform the technical services described in the RFP:

1. Spherion Technology Services: Senior Program Management for Telecommunications.
2. Consilium Consulting Services: Oracle Database Administration, UNIX Administration, IT Project Management, and E-Mail Administration.
3. Open Systems: Mainframe System Administration.

The recommended vendors are presented as the highest rated responsible respondents to this solicitation in addressing the minimum business requirements of the County for a number of critical Information Technology applications.

The recommended vendors and cost of services identified in the RFP are as follows:

- **Spherion Technology Services: Senior Program Management for Telecommunications.**
First year, from date of award: \$197,600.
Total for sixty month period of award: \$1,049,085.
- **Consilium Consulting Services: Oracle Database Administration, UNIX Administration, IT Project Management, and E-Mail Administration.**
First year, from date of award: \$1,069,120.
Total for sixty month period of award: \$5,790,697.
- **Open Systems: Mainframe System Administration.**
First year, from date of award: \$122,720.
Total for sixty month period of award: \$651,537.

Total award to all vendors recommended in this solicitation to support these services is as follows:
First year, from date of award: \$1,389,440.
For the period from date of award through December 31, 2003: \$513,024.00.

Remainder of amount for first year of award subject to available funds in 2004 budget.

Total for sixty month period of award: \$7,491,319.

FUNDING: Funding for this award is 100-220-2210-1160.

CONTACT PERSON: Robert Taylor, CIO, Director, Information Technology.
404-730-7200

RECOMMENDATION: Information Technology recommends awarding the Professional Services Contracts to the following vendors for the functions described. They were the highest rated responsible respondents to the solicitation:

1. **Spherion Technology Services: Senior Program Management for Telecommunications.**
2. **Consilium Consulting Services: Oracle Database Administration, UNIX Administration, IT Project Management, and E-Mail Administration.**
3. **Open Systems: Mainframe System Administration.**

ATTACHMENTS: All required documents and exhibits, to include Uniform Contracts Sign-off Sheet.

Appendix D - Approval of Disaster Recovery (Business Restart Solutions) at September 18, 2002 BOC Meeting

REQUESTED ACTION OF THE BOC: The approval of a contract with the Fulton County Conflict Defender Office in the amount of \$451,358, from date of award through December 31, 2002.
EFFECT OF BOC'S ACTION: An award of a contract to Fulton County Conflict Defender Office, not to exceed a total amount of \$451,358.

M L/K to approve: 7-0-0; Y: B,D,E,F,L,W,K

02-1058 Request approval of recommended proposal.

1. DEPARTMENT: Finance
SERVICE/COMMODITY: Fulton County's Cost Allocation
RFP #: 02RFP001C
TOTAL AMOUNT OF PURCHASE: \$40,250
PRIME CONTRACTOR: Association of County Commissioners of GA (Atlanta, GA)
REQUESTED ACTION OF THE BOC: Approve award of a contract to ACCG to prepare Fulton County's Cost Allocation Plans for remainder of 2002.
EFFECT OF BOC'S ACTION: Will allow contractor to prepare Fulton County's Cost Allocation Plans for remainder of 2002 in an amount of \$40,250. This contract has options for annual renewals subject to contractor performance, funding availability and BOC approval through December 31, 2005.

2. DEPARTMENT: Information Technology
SERVICE/COMMODITY: Business Restart Solutions
RFP #: 02RFP0003B
TOTAL AMOUNT OF PURCHASE: \$180,482.09
PRIME CONTRACTOR: Dobbs, Ram & Company (Atlanta, GA)
REQUESTED ACTION OF THE BOC: Approval of contract to Dobbs, Ram & Company to implement a business restart solution in the amount of \$180,482.09 from date of award through December 31, 2002.
EFFECT OF BOC'S ACTION: Approval of a contract from date of award through December 31, 2002, in the amount of 180,482.09 with option to renew for five (5) one year periods subject to the availability of funds and BOC approval. The estimated cost over the life of the contract is \$10,826,925.40.

3. DEPARTMENT: Public Works
SERVICE/COMMODITY: Program and Construction Management Services for the Transportation Division
RFP #: 02RRFP003K

POST AGENDA MINUTES - RECESS MEETING
SEPTEMBER 18, 2002

Appendix E – Memorandum of Information Technology Renewal Contracts and Risk Factors

INTEROFFICE MEMORANDUM



TO: Fulton County Board of Commissioners
THROUGH: Patrick O'Connor, Interim County Manager
FROM: Shin Kim, Interim CIO/Director *[Signature]*
Department of Information Technology
DATE: November 14, 2014
SUBJECT: Information Technology Renewal Contracts and Risk Factors

This memorandum is to provide additional information and risk factors on three professional service contracts by the Department of Information Technology (IT) that have been held for approval. Three professional service contracts are Disaster Recovery and Business Continuity Program, On Demand Technical Professional Services, and Oracle Licensing and Database Services Program in supporting critical Fulton County operations.

The County operates a highly complex integrated infrastructure needing specialized technical administration. Above three programs of services are required to ensure high availability of the County's entire application systems and data. Moreover, all data and records are securely backed-up to ensure compliance and minimize downtime associated with any system disruption.

As technology changes rapidly and the complexity of the County's information systems increases, IT faces an ongoing need to expand and improve the range of skill sets among its staff. In many instances, the best option to support these services has been through an outsourced solution. For more than a decade, IT has sought opportunities to use outsourced providers to obtain a wide range of technology services to implement and maintain critical systems for which it does not already have qualified in-house staff. Also, contracts for these programs and services provide the ability to quickly obtain resources with highly technical skill sets. By adopting this approach, it has given IT the flexibility to implement new and varied technology systems without having to create additional permanent staff.

Due to the high level of technical services that we receive through above programs, the County will be impacted as listed below starting January 1, 2015 in the event of non-renewal:

- Significant system downtime on mission-critical applications due to various major system outage. Applications include but not limited to Odyssey Unified Court Management System, Jail Management System, Tax Management System, Financial & Purchasing Management System, HR & Payroll Management System, and Integrated Library Management System.
- Significant network downtime on systems and employee workstations due to an 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.
- Oracle and SQL databases for major applications will remain unmanaged and unpatched.

As it has been a regular practice, IT will continue evaluating the contractual content, new requirements, new technology needs, and deliverables constantly to ensure the County receives the best technical services throughout the contractual term. In addition, IT will continue knowledge transfer on management of new technologies to in-house staff. Below provides additional information for each program:

Disaster Recovery & Business Continuity Contract Renewal (Agenda Item 14-0921)

- 3rd iteration of Disaster Recovery and Business Continuity program.
- 2nd renewal of 4 renewal options.
- This program was obtained through the competitive procurement process (RFP).
- The County has outsourced this type of service for more than 10 years.
- The County is legally mandated to retain records pursuant to Fulton County Code and in compliance with the Georgia Records Act.
- This contract provides a program of services to ensure County data and systems are highly available and all data/records are securely backed-up to ensure compliance and minimize downtime associated with any system disruption.
- The County manages many mission-critical systems operating 24/7/365. Downtime caused by disruptions to these systems must be minimized to protect public safety (e.g. Jail).
- This is not a typical "staff augmentation" contract simply acquiring individual staff. This is an outsourced program to manage all services related to Disaster Recovery and Business Continuity.

ON-Demand Professional Services (Agenda Item 14-0923)

- 3rd iteration of the program.
- 1st renewal of 4 renewal options.
- This service was obtained through the competitive procurement process (RFP).
- The County has used this type of staff augmentation contract for more than 10 years.
- Program that covers on-going support of several mission-critical, high tech functional areas. Also, it provides on-demand, highly specialized technical resources, as needed.
- Mission-critical resources include Exchange Architect, Network Architect, Telephony Technician, Project Management (for Odyssey Court Case Management System) and Program Management.
- The County operates a highly complex IT environment needing specialized technical administration.
- This contract provides individual specialized staff as opposed to managing a program of services. This allows the County to quickly change staff needs based on changes in technology and operational requirements.
- Allows flexibility to add and delete required resources without creating permanent positions with associated on-going liabilities such as benefits and retirement contributions.

Oracle Licenses, Oracle & SQL DBA, and UNIX Administrative Support

- 2nd renewal of 4 renewal options.

- This service was obtained through the competitive procurement process (RFP# 12RFP84143YB-TR).
- The County has used this type of staff augmentation contract for more than 10 years.
- Program provides and supports Oracle licenses at discounted price, database server administration, Oracle and SQL database administration for mission-critical applications, and UNIX/LINUX server administration.
- Ensures full back-up of the County's data for major applications.
- Provides 24/7/365 support to minimize downtime to protect public safety (e.g. Jail).
- Administrates highly complex UNIX servers and maintenance including specialized virtualization.

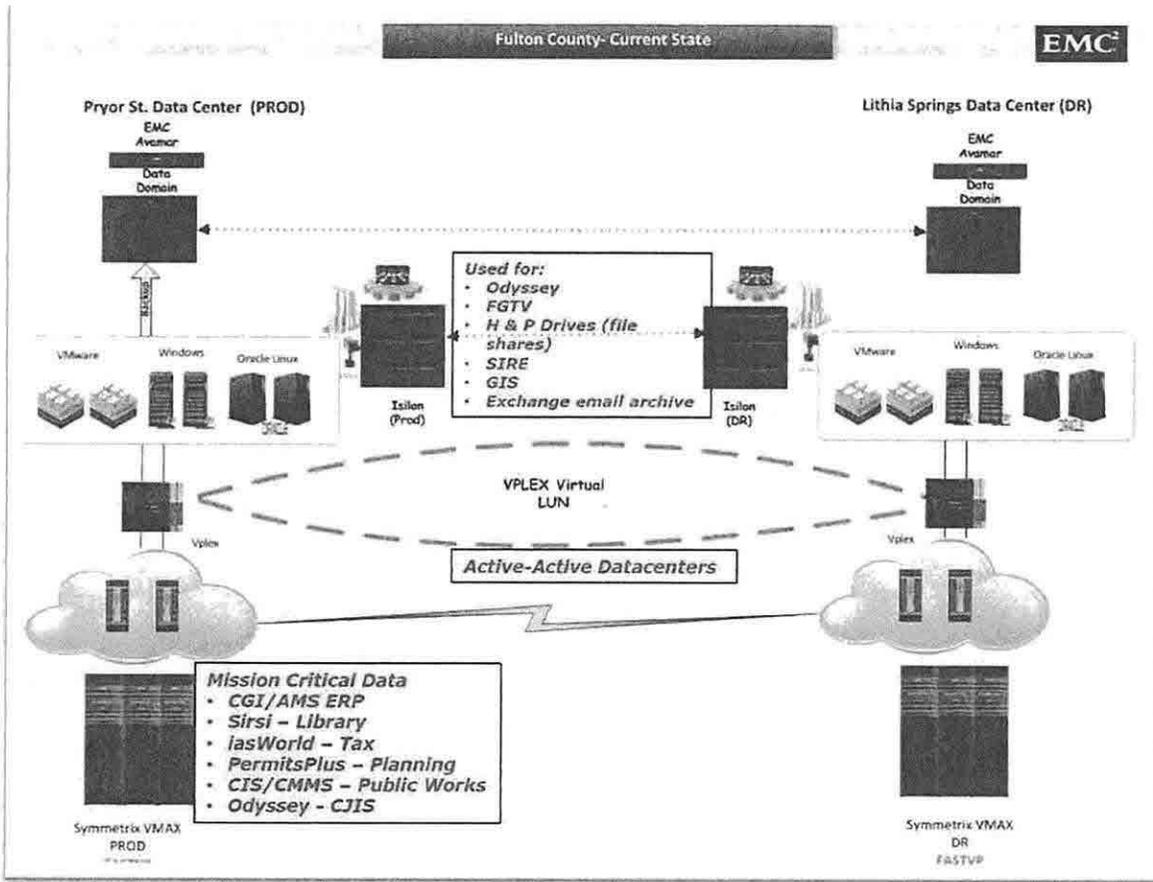
If you have any questions or need additional information, please contact me at extension x22539.

Appendix F – DR/BC Project Milestones

2012	
Terminate contract for SunGard Managed Services in Smyrna (mirrored site only - replicated data)	COMPLETE
Relocate and configure all secondary data center hardware at primary data center on the 9 th floor of the Government Center in Downtown	COMPLETE
June 2013	
Complete contract with AT&T Managed Services in Lithia Springs	COMPLETE
Begin build out of site and WAN circuits	COMPLETE
November 2013	
Complete AT&T build-out of secondary data center	COMPLETE
Move EMC VMAX/VPLEX storage replication targets to secondary data center	COMPLETE
Begin initial testing of WAN with replication of data from primary data center	COMPLETE
January 2014	
Move Fusitsu blade server chassis 5 to secondary data center	COMPLETE
Split Microsoft Exchange servers between both sites to implement first Business Continuity test	COMPLETE
March 2014	
Move EMC Isilon storage replication target to secondary data center, thus completing replicated storage at secondary data center.	COMPLETE
April 2014	
Move public web hardware to secondary data center	COMPLETE
Configure Fujitsu blade servers, Fujitsu UDS (Universal Distributed Storage), and replication target of data to primary data center	COMPLETE
July 2014 - August 2014	
Project was ordered to cease and desist by previous CIO, Maurice Ficklin	
August - December 2014	
Upgrade EMC storage, software and capacity at both data centers	COMPLETE
Upgrade SAN (Storage Area Network) at primary data center, requiring 1st planned site outage. Microsoft Exchange to operate in business continuity configuration during outage.	COMPLETE
Upgrade and begin testing OVM (Oracle Virtual Machine) 3.2.8 NON-PROD with new environment using Fujitsu blades at both the primary and secondary data centers	COMPLETE
Move OVM 2.2.2 NON-PROD to new OVM 3.2.8 environment	COMPLETE
Implement additional Fujitsu blades for VMware and OVM environments	COMPLETE
Test and migrate of OVM PROD to OVM 3.2.8	COMPLETE
Achieve business continuity for VMware environment, balancing Fujitsu blades across both data centers	COMPLETE
Upgrade VMware Vcenter and ESXi environment to version 5.5	COMPLETE
2015 Forward	

Perform DR/BC testing by application and environments	TBD
Documentation writing and updating of DRP and DoIT COOP	TBD
Test DR/BC using the documented procedures	TBD
Periodic testing of application/environments on the secondary data center. On-going schedule of DR/BC testing	TBD
Business Continuity implementation to include off site operations testing centers to be used in case of a total primary data center loss, user testing, and application testing	TBD

Appendix G - Diagram of Current DR/BC State



Appendix H - Disclosure Letter

Issac Standard
4693 Gauntt Rd.
Oxford, GA 30054
November 18, 2010

Ryan Fernandes
CIO
Fulton County Department of Information Technology

Ryan:

In order to provide Fulton County complete transparency in my off the clock activities, I want you to be aware that I have incorporated a new company called eGIS Associates, Inc.

eGIS Associates, Inc. will offer services to clients in the following areas:

- GIS Implementation
- GIS Database Design
- Field Data Collection to Office Automation
- GIS and Business Systems Integration
- Web Application Development and Hosting
- GIS Training and Support

Sincerely,



Issac Standard

INTEROFFICE MEMORANDUM



TO: Anthony Nicks, County Auditor
Office of the County Auditor

FROM: Shin Kim, Interim CIO/Director
Department of Information Technology

DATE: January 30, 2015

SUBJECT: Amended Audit Response and Remediation Plan

I would like to extend my appreciation for the opportunity to meet with you and your team to review and discuss the Department of Information Technology's (DoIT) Responses to the Audit Department's Findings. As a result of that meeting, DoIT received valuable feedback on: the need to provide more specific information on a remediation plan; clarification from Audit on what was intended on two Findings that were misinterpreted; and guidance on the tone and responsiveness of DoIT's Responses to two other Findings.

This memorandum was prepared in an attempt improve DoIT's Response based on the feedback we received at our roundtable. It includes amended responses for the clarified Findings and those suggested to be unresponsive. Also, the memorandum includes a chart which more clearly sets forth our remediation plan in the form of long and short term action items with a time frame for implementation. The most critical component of DoIT's remediation plan includes an independent evaluation of the Department, the objective of which will be to (1) assess the current operational model, and (2) provide recommendations for the most effective and efficient strategic direction in the future.

Once again, thank you for allowing DoIT to meet with you and your team to discuss the Findings and Responses in order to collaborate on the best path forward.

Cc: Patrick O'Connor, Interim County Manager

Amended DoIT Findings Responses

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.

Amended DoIT Response

DoIT agrees that any contractor or employee who has access to County systems and data should be required to have a background checks. Further, DoIT agrees that although background checks were done by the vendors, DoIT did not request they be forwarded for review and approval. Lastly, DoIT agrees to document and codify the process that details how employees/contractors/service representatives get access to County systems and data.

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	71,590.00			
Employee 12	Network Specialist	62,373.00			
Employee 13	Network Specialist	58,050.00			
Total		\$ 1,115,237.00	Total		\$ 2,238,249.60

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.

Amended DoIT Response

DoIT agrees to include a knowledge transfer component when contractors are utilized to reduce the reliance on outside vendors wherever practical. DoIT is currently working with the Personnel Department in an attempt to create additional permanent positions within the IT Department to reduce the reliance on outsourced skill sets. The establishment of those positions is subject both to Personnel Board and Board of Commissioners approval.

Furthermore, the County Manager has authorized an RFP to obtain a reputable and independent organization to perform a comprehensive IT assessment. The RFP will include recommendation on how to address outsourcing and knowledge transfer in a manner that is efficient and cost effective.

Finally, although there are instances where knowledge transfer has been successful with the Professional Services contracts that were in place, DoIT has found that, historically, when full-time employees gain specialized skill sets from contractors, they quickly find more lucrative positions elsewhere. Moreover, in some instances, the certifications and specialized skill sets required did not lend themselves for transfer of knowledge to staff. Additionally, the continued reduction in full-time staff resources made it impossible for full knowledge transfer to occur. DoIT has seen a constant reduction in staff from 137 positions in 2008 to 121 positions in 2014, which forced full-time staff to be fully utilized on daily support, on-going projects and tasks. Note the above reductions are even more drastic when you consider DoIT merged 18 staff members from the Department of Environmental & Community Development when GIS was merged into DoIT in 2010.

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.

Amended DoIT Response

DoIT agrees that while outsourcing can effectively bring about efficiencies, it does inherently carry with it the threat of dependency any contractor performance for the delivery of service. This fact makes it imperative that a back-up plan be put in place to ensure that, in the event that the vendor becomes unavailable or unable to perform the work, the County can remain operational.

DoIT's past contingency plan for vendor dependency was to utilize a multi-vendor award for On Demand IT Professional Services. Should any one vendor default on any agreement or cease to exist, the County, through the appropriate procurement and contracting processes, would have been able to continue to support all critical IT operations by utilizing the other vendor to acquire resources as needed. However, as evidenced by present circumstances where the Board in its discretion elected not to renew those contracts, it is clear that the "back-up" or alternate plan must incorporate "in-house" resources.

Toward that end, DoIT is working with the County Manager and Department of Personnel to acquire additional permanent positions to reduce reliance on outsourced resources. In addition, this specific matter will be a key component of the comprehensive IT assessment - how to utilize outsourcing where required, but also how to do so in a manner to insure internal control and the inclusion of a contingency plan.

DoIT fully intends to follow the recommendation of Internal Audit and utilize the independent assessment to provide guidance on how to effectively use outsourced vendors where needed, while maintaining control and safety of critical County systems and information.

REMEDIATION PLAN

Fulton County Government Department of Information Technology Audit Issued December 12, 2014

SHORT TERM REMEDIATION ACTION		LONG TERM REMEDIATION ACTION	
Action(s)	Period	Action(s)	Period
Finding 1 – Lack of contract oversight			
DoIT will formally document contract monitoring and administration procedures consistent with the Purchasing Code.	30 days	DoIT will participate annually in Contract Administration training or as required by the Department of Purchasing.	Ongoing
DoIT will schedule and document regular technical meetings for contract resources to: set goals and priorities, review accomplished objectives, and set plans for technical achievements.	30 days	DoIT will continue to schedule and document regular technical meetings for contract resources to: set goals and priorities, review accomplished objectives, and set plans for technical achievements.	Ongoing
Finding 2 – Lack of payroll records for contract employees			
DoIT will enhance the documentation process to better capture work of programs of services contractors who are not required to “clock in”.	30 days	DoIT will develop and maintain quarterly reports of contractor hours and deliver for Contract Administrator and County Manager review.	Ongoing
DoIT will incorporate contractors who are required to “clock in” to the County’s Kronos time keeping system.	Completed	DoIT will continue to incorporate contractors who are required to “clock in” to the County’s Kronos time keeping system.	Ongoing
Finding 3 – Advanced payment of invoices			
DoIT will work with the Department of Purchasing to review existing contracts to determine where a payment variation is necessary and amend accordingly.	60 days	DoIT will continue to work with the Department of Purchasing to ensure payment variations are in place where necessary or to draft contracts to appropriately reflect the payment schedule for services rendered.	Ongoing
Finding 4 – Cost of salaries exceed that of comparable counties			
DoIT will issue request for assessment proposal (RFP).	120 days for RFP to be crafted and submitted to Purchasing	DoIT will present vendor award to the BOC for approval and follow recommendations of assessment for new solicitations.	6-9 months
Finding 5 - Failure to obtain background checks			
DoIT will ensure a background check is performed on any employee or contractor who has access to County data or systems.	Completed	DoIT will schedule and document annual background check on contractors who have access to County data or systems.	Ongoing

DoIT will create a written procedure to monitor and control access to County systems and data.	30 days	DoIT will follow the written procedure to monitor and control access to County systems and data.	Ongoing
Finding 6 – Lack of Knowledge Transfer Plan			
DoIT will include knowledge transfer plan as part of the assessment plan.	120 days	DoIT will incorporate knowledge transfer into any new solicitation for contracted services where it is practical.	Ongoing
Finding 7 – Violation of Procurement Policy			
DoIT will review and follow all contract provisions.	Completed	DoIT will follow and monitor all contract provisions in future contracts.	Ongoing
Finding 8 – Bid Process Lacks Adequate Controls			
DoIT will validate all solicitation responses and scores with the Purchasing Department for future solicitations.	Completed	DoIT will continue to validate all solicitation responses and scores with the Purchasing Department for future solicitations.	Ongoing
Finding 9 – Vendor Advantage Resulting From Longevity			
DoIT will seek to utilize reputable and independent organization to perform a comprehensive IT assessment that will include guidance on how to improve its business practices and oversight/management of contracts.	120 days for RFP to be crafted and submitted to Purchasing	DoIT will present vendor award to the BOC for approval and follow recommendations of the assessment for future solicitations.	6-9 months
DoIT will inform the County Manager and Director of Purchasing and Contract Compliance of the existence or appearance of the existence of informal relationships.	Completed	DoIT will work with the Purchasing Department to conduct a review of each instance when the same IT contractor receives an award for the same contract greater than 3 times in a row.	Ongoing
Finding 10 – Excessive Dependency on Contracted Vendor for the Operation of IT Systems			
DoIT will immediately take action to ensure all county network and data systems are controlled by Fulton County and not a contracted vendor by: <ul style="list-style-type: none"> Documenting the methods of administrative access to network and data systems. Documenting the user names and passwords for network and data systems. 	Completed	Documenting the methods of access along with user names and passwords only partially addresses the issue of contractor dependency as the skillsets needed to fully administer the systems by FTE staff must also be developed and retained with competitive compensation. DoIT is working with the Department of Personnel to create and fill new positions.	9-12 months
Finding 11 – Violation of the County Code of Ethics			

DoIT will ensure all contractors and sub-contractors are aware of County rules and policies by: <ul style="list-style-type: none"> • Providing the relevant documents to vendors and obtaining written acknowledgement of receipt. • Immediately inform the County Manager and Director of Purchasing and Contract Compliance if any information is obtained suggesting a violation of County rules and policies. 	30 days	DoIT will ensure all contractors and sub-contractors are aware of County rules and policies by: <ul style="list-style-type: none"> • Providing the relevant documents to vendors and obtaining written acknowledgement of receipt. • Immediately inform the County Manager and Director of Purchasing and Contract Compliance if any information is obtained suggesting a violation of County rules and policies. 	Ongoing
Finding 12 – Lack of Evidence of a Disaster Recovery Plan			
DoIT will assess the current state of the DR/BC project and implement interim procedures and processes.	60 days	DoIT will complete the DR/BC project including the update of the DRP and regular scheduled tests.	9-12 months
Finding 13 – Lack of a Full-Recovery Testing			
DoIT will assess the current state of the DR/BC project and implement interim procedures and processes and a schedules to test.	60 days	DoIT will complete the DR/BC project including a routine schedule of full testing of the recovery of IT systems.	9-12 months
Finding 14 – Conflict of Interest			
DoIT will restructure to remove the employee in question from the supervision of the contractor with previous business relationship.	Completed	DoIT will continue to provide mandatory essential training classes for all supervisors in the department.	Ongoing
Finding 15 – Lack of Training			
DoIT will develop a knowledge transfer plan and conduct training sessions by utilizing temporary contractors.	60 days	DoIT will work with the Department of Finance to identify ongoing training needs and secure funding.	Ongoing
Finding 16 – Misclassification of Expenditures in the Asset Management System			
Implement a control procedure using our Finance Budget Analyst to ensure costs and expenses are accurately recorded and correctly expended.	30 days	Work with the Department of Finance to modify the object codes in non-agency to ensure accurate reflection of telecom and network expenses.	Ongoing
Finding 17 – Contractor Performance Evaluations lack Evidence of Ratings			
DoIT will develop formal measurement tools to track and monitor vendor performance.	30 days	DoIT will follow the Fulton County Purchasing Code and ensure that contract administration requirements are met to properly monitor vendor performance.	Ongoing



**FULTON COUNTY, GEORGIA
OFFICE OF INTERNAL AUDIT**

**Department of Information Technology Audit Report
Phase II**

March 27, 2015

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Executive Summary

The Office of Internal Audit conducted an audit of the Department of Information Technology (DoIT) in two phases. This audit report is conclusive of our findings for Phase II. Phase II of the audit included an examination of vendor payments, software licensing, management of the Intellectual Property list, asset management, costs for wiring and storage services, overall project management, oversight and client communication. The scope for Phase II of the audit covered January 1, 2011 through December 31, 2014. The audit was conducted in accordance with the Generally Accepted Government Auditing Standards. We believe that the evidence obtained provides a reasonable basis for our findings and conclusions based on our audit objectives.

Based on the results of our audit procedures, we noted the following findings and areas of concerns:

- Lack of communication between DoIT and user departments
Two instances were noted in our audit where a lack of communication led to significant delays in the implementation of systems required for service to citizens and internal clients.
- Overbilling for professional services
Due to improper contract management, Fulton County was overbilled for professional services.
- Failure to comply with the Enterprise Agreement
The DoIT failed to perform an annual “true up” to Microsoft, which led to insufficient payments for licenses and non-compliance with the Enterprise Agreement.
- Deficient management of the County’s technical assets
The County lacks an adequate technical asset management system that effectively tracks and centrally manages the County’s technical assets.
- Payments for support of expired licensing
The DoIT paid for professional support of expired software and licenses and payments continued subsequent to the servers being decommissioned.
- Possible circumvention of the procurement process
It appears the DoIT did not procure goods and services for maintenance and support of the Securefusion software package using the most effective procurement process to optimize vendor responses. This appears to be an attempt to circumvent a formal solicitation.
- Potential vendor steering/cost savings management
The DoIT required a direct service provider to utilize an intermediary vendor at an increased cost to Fulton County without receiving additional benefits. This action does not constitute good business practices and can lead to the perception of vendor steering and result in Fulton County paying a higher rate for services.

Our audit also noted one audit concern pertaining to alleged claims of retaliation, which we recommended for further investigation by the appropriate agency.

It is important to note that a significant amount of the findings and audit concerns outlined in both Phase I and Phase II were systemic problems that occurred under previous administrations. Current management is in the process of making attempts to rectify challenges that have led to insufficient processes and practices, ineffective operations and cost prohibitive procurements.

The report details our findings and recommendations that intend to improve internal controls, compliance and accountability.

Introduction

The Office of Internal Audit was asked by Commissioner Joan Garner to conduct a comprehensive audit of the Department of Information Technology (DoIT). Due to its magnitude, the audit had to be divided into two phases. The initial phase of the audit, which contained several findings, was completed on December 12, 2014 and was presented to the Board of Commissioners, the Interim County Manager and the Interim Director of DoIT. The primary focus of the audit consisted of a review of professional service contracts and was conducted to address concerns regarding the infrastructure, administration, invoice payments, deliverables and overall Information Technology (IT) operations.

Phase II of the audit contains other areas of operation that were reviewed, which included an examination of vendor payments, software licensing, management of the Intellectual Property list, asset management, costs for wiring and storage services, overall project management, oversight and client communication.

Background

The internal and external environments of Fulton County are subject to consistent change 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.

The DoIT provides a wide range of technology services and resources targeted to ensure Fulton County employees are supplied with the necessary tools that enable them to deliver quality services to their constituents. Services include technical support for IT infrastructure as well as applications and administrative support. The department provides the County Manager and all elected and constitutional officials advisement and direction on technology. The DoIT is the County's resource for establishing technology best practices, standardization and guidance. The DoIT services more than 45 county departments totaling over 6,000 users in over 200 locations county-wide.

Objective

The objectives of the audit were to review and assess the following items:

- Software licensing issues;
- Communication concerns between user departments and the DoIT;
- Management of the Intellectual Property Listing;
- Concerns regarding possible retaliation;
- Contractual agreements with Microsoft, Vixio Technology, and Consilium; and
- Inventory management processes of the DoIT.

Scope

The audit period for this review is January 1, 2011 through December 31, 2014.

Methodology

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

- Reviewed the DoIT internal 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 and vendors as needed;
- Identified and reviewed the DoIT written policies and procedures, applicable laws, codes, plans and regulations;
- Reviewed the DoIT's files, records and data;
- Reviewed associated files, records and data from the Finance, Personnel and Purchasing Departments;
- Conducted interviews with management and staff from the Finance, Personnel and Purchasing Departments; 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 Communication between DoIT and User Departments

The mission of the DoIT is to deliver secure, innovative, reliable technology services and solutions, and to provide guidance and oversight that lead to sound decisions for Fulton County Government. During our review, we noted poor communication by the DoIT while working with other County departments. Lack of proper program management appears to have led to poor communication between the DoIT and user departments. This failure to communicate resulted in the following:

- In May, 2011, the Clerk of Superior Court sought to procure digital scanning of real estate, civil, criminal and financial records that the Clerk's Office is required to microfilm and maintain for permanent retention per State law. The DoIT management proposed that the Clerk's Office purchase additional memory prior to submission for consideration for approval by the Board of Commissioners. However, other members of DoIT management indicated the additional memory was not necessary. Due to lack of communication between the DoIT management, conflicts regarding the necessity of the memory, and the need to keep records independent per state law requirements, the Clerk's Office appealed to the County Manager's Office to procure the services without the additional memory.

- In May, 2013, the Office of Planning and Community Development sought to implement Cityworks, a program that manages infrastructure capital assets, for its permit and work order project. The DoIT was assigned to oversee the implementation of this project. Due to inadequate project management, the Planning and Community Services Department has waited for more than two years for the implementation of this software designed to provide basic processing of Fulton County construction permits and inspections. The extensive delay in implementation of this software has hindered the efficiency and effectiveness of services being rendered to County constituents.

By not properly communicating, proper guidance and oversight was not afforded to the departments as expected based on their mission.

Recommendation

The DoIT should ensure they are meeting expectations and providing technology services that are consistent with the department’s mission. The DoIT management should stress the importance of communication within the DoIT as well as with other County departments. This will ensure that departments maintain fluid and efficient technology services.

Finding 2 – Overbilling for Professional Services

The County contracted with Consilium and Randstad to provide the following:

- Oracle licensing server and database administrative services;
- Support for the Disaster Recovery and Operational Continuity Plan; and
- On Demand services.

According to the terms of the Scope of Work in the Oracle Licensing and Database Support Service and the Disaster Recovery contracts, the County anticipates a minimum of five (5) full-time position equivalents (FTE) to address the requirements in the contract. We reviewed the payroll records provided by the vendors, Randstad and Consilium, for the period January 1, 2013 through October 31, 2014. In three (3) Consilium contracts, we noted positions that were required to be filled per contractual terms that were not filled for a designated period of time. After reviewing the rates noted in the contract, we were able to determine the amount paid to Consilium for those positions for which services were not provided. The details of the positions are indicated below:

YEAR	CONTRACTS	POSITION	VACANT HOURS	AMOUNT
2013	Disaster Recovery	Candidate 1	640	\$ 92,160.00
2013	Oracle/Database	Database Manager	80	\$ 12,938.40
2014	Oracle/Database	Database Manager	80	\$ 12,938.40
2014	Oracle/Database	MS SQL Database Administrator	80	\$ 7,392.80
Total			880	\$ 125,429.60

The DoIT management failed to ensure the appropriate number of professionals were available to provide the necessary services. In addition, the DoIT approved semi-annual invoices for payment to Consilium in advance of the services being rendered.

Recommendation

The DoIT should ensure compliance with the terms of the contract as it relates to staffing requirements for the professional services. The DoIT should ensure accurate tracking of attendance and services provided by all consultants in an effort to provide a means of attendance reconciliation and avoid potential overbilling errors.

Finding 3 – Failure to Comply with Enterprise Agreement

Pursuant to the Enterprise Agreement between the DoIT and Microsoft, the DoIT is to provide the total number of desktops and servers to Microsoft in order to pay the amount due to cover the number of licenses being used by Fulton County for Microsoft products. The DoIT violated the Enterprise Agreement by not providing the accurate number of desktops and SQL servers on an annual basis. Fulton County was under agreement to pay for 3,500 Microsoft licenses for desktops. During our review we noted there were a total 5,959 desktops and 1,077 public facing units that required licensing. Our review also revealed that the correct number of Structured Query Language (SQL) servers may not have been declared and an accounting was needed to determine an accurate number to be in compliance with the terms and payment of products per the Enterprise Agreement. Lack of proper oversight and management caused a breakdown in supplying the accurate number of desktops and servers to Microsoft necessary to cover the correct number of licenses and payments due for Microsoft product licensing. As a result, the County is out of compliance with the Enterprise Agreement and Microsoft has not been paid the full amount due for the actual number of licenses for their products that are used on County desktops and servers.

In addition to the desktops and public facing computers, the DoIT declared twelve (12) SQL Standard Server licenses and ten (10) SQL Enterprise Server licenses; however, there is still question as to whether the number of SQL servers is accurate. Microsoft agreed to hire a third party partner to assist the DoIT in running the MAPS tool, which would help to finalize the count on the number of SQL servers. At the time of this report, this agreement was still under review by the County Attorney's Office. Once the assessment of the SQL Database Server licenses is complete the additional amount that needs to be paid to cover the remaining servers should be determined by the DoIT.

Recommendation

As a result of our audit, the DoIT declared the correct number of desktops and public facing computers. However, the DoIT should continue to work with Microsoft to provide an accurate "true-up" of numbers and submit a request to the Board of Commissioners for adequate payment to cover all licenses that have not been paid. In the future, to ensure proper payment for licensing, the DoIT should implement procedures that annually "true-up" the number of desktops and servers per the terms of the Enterprise Agreement.

Finding 4 – Deficient Management of the County’s Technical Assets

According to best practices, system administrators should provide asset management for all technical assets in an organization including hardware and software. The goals of hardware asset management are to account for all hardware assets on the IT infrastructure in order to provide a comprehensive inventory visibility while software asset management focuses on software assets including licenses, versions and installed endpoints. During our review, we noted the following deficiencies with the management of the County’s technical assets:

- Inability to centralize data due to the use of multiple information systems that are not integrated or provide real time data;
- Failure to adequately capture the County’s technical assets lifecycle from acquisition through disposal;
- Failure to properly track assets and relying on County departments to report changes in the assets status and/or location;
- Failure to provide real time data due to a manual process of data capture and asset discovery;
- Failure to verify the physical County assets due to the lack of periodic reviews;
- Inability to properly account for all technical assets on the IT infrastructure that may have been procured through other agencies or non-County funds; and
- Failure to properly manage software assets.

The County does not have adequate processes that effectively and centrally manage the County’s technical assets. Without an adequate centralized asset management system, the County could be at risk to the loss of technical assets, use of non-compliant software and a vulnerable IT infrastructure.

Recommendation

We encourage the County to procure, if necessary, and implement a centralized IT asset management system, which would help to improve the management of all technical assets utilizing the County’s IT infrastructure. The benefits of procuring an adequate asset management system include: achieving IT operating efficiency, financial accountability of assets purchased, and long-term asset manageability and maintenance. Additionally, the DoIT should ensure the system is capable of asset discovery, data capture, asset tracking, asset lifecycle management and asset reporting.

Finding 5 – Payments for Support of Expired Licensing

Fulton County’s Code of Ordinances sections 102-386, Renewal of annual licensing, maintenance and support agreements for intellectual property, states:

(1) It is the policy of Fulton County Government to respect all copyrights, patents, trademarks, and trade secrets and to adhere to the terms and conditions of any license to which Fulton County is a party. Moreover, it is the policy of the county government to ensure that all resources are managed in a transparent and cost-effective manner and in accordance with applicable laws.

During the audit, we revealed the DoIT may have made improper payments to Vixio Technology totaling \$147,950 for the support and maintenance of Securefusion Software after the licenses expired on November 16, 2012. Additionally, the servers maintaining the software were decommissioned in November 2013. We noted after the software expired, one additional full payment was made to Vixio Technology; however, this payment should have been prorated. Furthermore, there were two additional full payments that should not have been made. Details of the payments are below:

PAYMENT DATE	DESCRIPTION	AMOUNT	AGREEMENT PERIOD
06/07/2013	Securefusion Asset Discovery Portal	\$49,950.00	06/01/2012 – 05/31/2013*
02/28/2014	Securefusion Configuration Module	\$49,950.00	02/01/2013 – 01/31/2014
03/05/2014	Securefusion Suite Software Licenses, Maintenance and Support	\$48,050.00	06/01/2013 – 05/31/2014
Total		\$147,950.00	
* license expired on November 16, 2012			

It appears the DoIT internal controls over software and maintenance agreements are inadequate and are not being properly reviewed. As a result, Vixio Technology may have been improperly paid a total of \$147,950.00 for support and maintenance services. There also appears to be a lack of communication in the DoIT related to determining if support services were actually provided by Vixio Technology.

Recommendation

The County should manage all resources in a cost-effective manner. Fulton County should not pay for the support of expired software and licensing. If an agreement period for a particular service extends beyond the time a server license is decommissioned, the amount to be paid should be prorated. The DoIT needs to implement processes that include a regular review of all IT software that is being supported to ensure its use and necessity.

Finding 6 – Possible Circumvention of the Procurement Process

According to Fulton County’s General Bid Information, procurement for goods and services valued over \$50,000 should be procured through a Request for Proposal (RFP). The DoIT submitted two (2) Requests for Quotes (RFQs) for similar services related to the Securefusion Software that were both awarded Vixio Technology. A review of the Vixio Technology invoice payments for 2011, 2012, and 2014 revealed the amounts paid for each service were just under the \$50,000.00 threshold for RFQs. However, the total amount paid to Vixio Technology each year for the combined services exceeded \$50,000.00 as reflected in the chart below:

PAYMENTS TO VIXIO TECHNOLOGY FOR SECUREFUSION SOFTWARE SUPPORT		
Invoice Date	Description	Amount Paid
01/15/2011	Configuration Model Support	\$ 49,500
05/07/2011	Maintenance & Support	\$ 41,500
Total Payments in 2011		\$ 91,000
02/02/2012	Configuration Model Support	\$ 49,500
04/13/2012	Maintenance & Support	\$ 49,950
Total Payments in 2012		\$ 99,450
01/31/2014	Configuration Model Support	\$ 49,950
02/10/2014	Maintenance & Support	\$ 48,050
Total Payments in 2014		\$ 98,000

It appears the services were split in an effort to circumvent the procurement process that may have required an RFP solicitation. Failure to comply with Purchasing regulations resulted in the County paying for services that may not have been at a favorable cost.

Recommendation

The Department should comply with all Purchasing regulations and ensure payments for goods and services are within the Purchasing limits. The DoIT should not divide related services that can be combined in an effort of what appears to be an attempt to by-pass the threshold limits of an RFP solicitation. This will provide assurance that a fair bidding process is available for all qualified vendors.

Finding 7 – Potential Vendor Steering/Cost Savings Management

Fulton County Government should seek to procure required goods and services at the most economical price. During our audit, we noted a Request for Quote (RFQ) was issued in an effort to solicit support and license services for Asentinel’s Managed Telecom Hosted Service, which is a telecom auditing product that was purchased by the County in 2003. According to a representative of Asentinel, their company was directed to respond to the solicitation through Vixio Technology, who was a Fulton County registered vendor. As a result, Asentinel never responded directly to the RFQ but rather partnered with Vixio Technology to respond and services were ultimately awarded to Vixio Technology, a Minority/Female Business Entrepreneur company (MFBE) and a Valued Added Reseller (VAR). Subsequent solicitations have been awarded to Vixio Technology for Asentinel’s services and in each instance Vixio Technology was the only responder. This action gives the appearance of vendor steering.

As a result of this direction, there was an increase in the cost for service in order to receive the Asentinel products and services through Vixio Technology. However, there appears to have been no material added value from Vixio Technology for the services they provided. Although there was \$194,815.00 in payments made to Vixio Technology for Asentinel Software Licenses from 2011 through 2014, the amounts billed to Vixio Technology by Asentinel Software Licenses totaled \$184,260.00 for the same time period. Based on figures provided by the Asentinel Chief

Financial Officer (CFO), Fulton County could have saved \$10,555.00 from 2011 through 2014 if Asentinel provided the services directly for the telecom management software package and support.

Recommendation

The DoIT should work to ensure the best possible cost is obtained when attempting to procure goods and services. Fulton County Department Directors should not mandate that suppliers utilize an intermediary vendor at an increased cost to Fulton County without receiving an additional benefit. The DoIT should encourage potential vendors to register with the County in an effort to increase vendor responses for required services. Every effort should be made to foster an environment open to competitive bidding by direct and indirect service providers to guarantee Fulton County is receiving the best possible price for required services.

Audit Concern(s)

Audit Concern 1 – Retaliation Complaints

During our audit investigation, complaints of alleged retaliation were referenced for acts of exposing potential breaches in security and/or activity that could place the county at risk. The complaints include allegations of removal, reduced and/or transfer of duties and transfer to other units within the DoIT. We interviewed the DoIT management regarding the allegations of retaliation and requested documentation to include their organizational chart and any documented plans for a re-organization. We also inquired about the performance of the employees whose job duties were altered. The DoIT management indicated changes were made due to necessities of talent in different areas and best fit, and were in accordance with the former Chief Information Officer's (CIO) plan for re-organization. However, the former CIO indicated that these movements/changes were not in alignment with his plans nor was sufficient written documentation provided to support the changes.

Recommendation

It is our opinion that these allegations warrant further investigation and should be reviewed by the appropriate entity within the county equipped to handle retaliation complaints. These departments include the County Attorney's Office, an arm of the Personnel Department and/or the Office of Equal Employment and Disability Affairs.

Conclusion

Our audit revealed the following findings for the DoIT:

- Lack of communication between DoIT and user departments;
- Overbilling for professional services;
- Failure to comply with the Enterprise Agreement;
- Deficient management of the County's technical assets;
- Payments for support of expired licensing;

- Possible circumvention of the procurement process; and
- Potential vendor steering/cost savings management

One concern was noted pertaining to alleged claims of retaliation, which we recommend further investigation be conducted by the appropriate agency.

It is our opinion that the DoIT is in need of a wide variety of improvements in their processes and internal controls. The process of change must be implemented in a well-planned, organized fashion. The County Manager's Office should utilize all resources at their disposal to design, implement and complete a high level assessment and reorganization of the DoIT. This reorganization should include:

- Implementation of effective policies and procedures for processing and monitoring contracts and invoice payments;
- Effective project management; and
- A process designed to regularly review the sufficiency of internal controls.

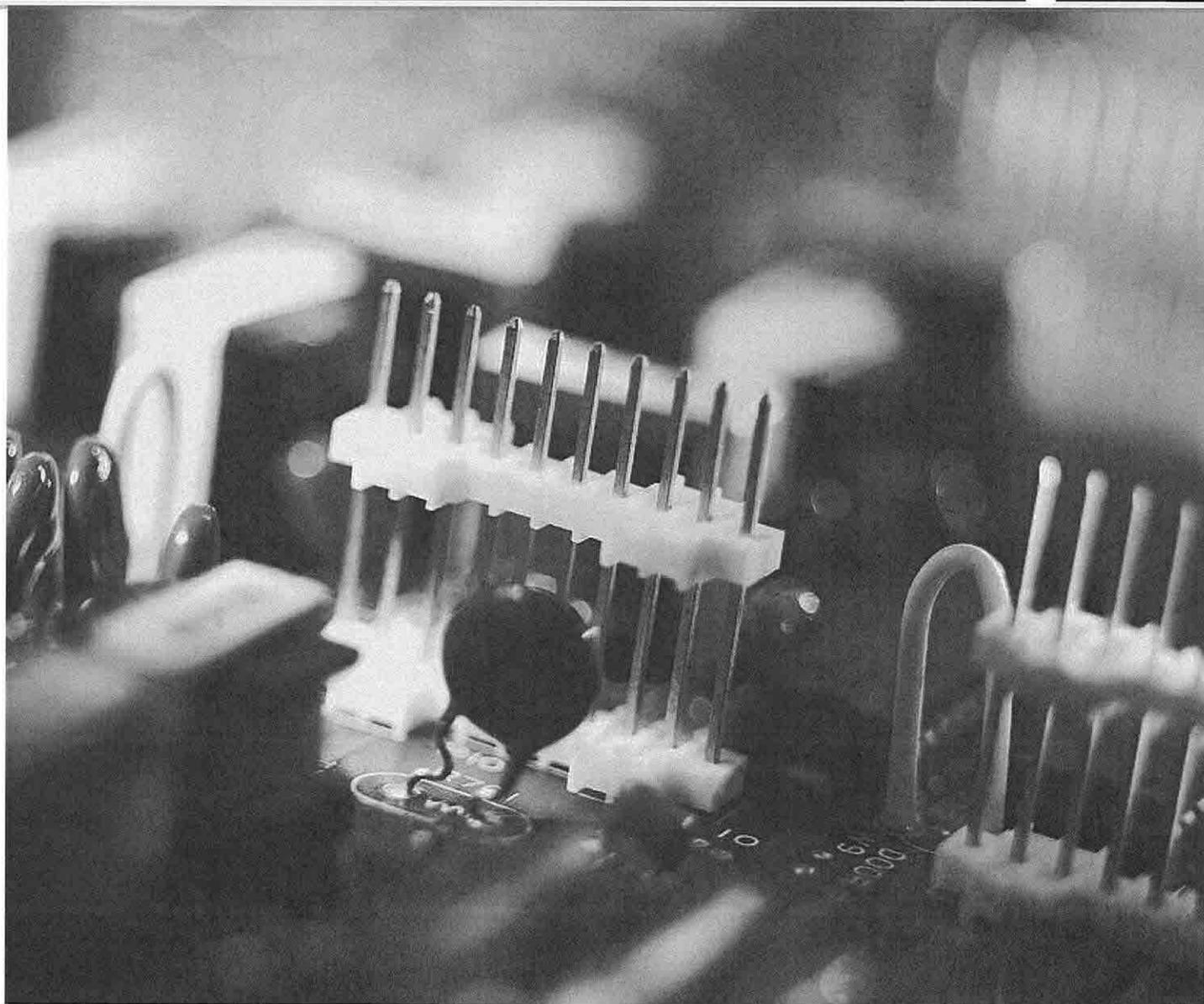
We would like to express our appreciation to the DoIT for their cooperation during this audit review.

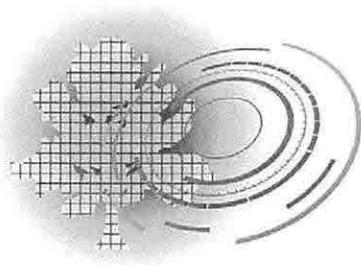
Please provide a written response to this audit within 30 days. You may email your written response to the County Manager and Brigitte Bailey, Administrative Coordinator III, in the Office of Internal Audit at Brigitte.Bailey@fultoncountyga.gov. We would like to thank management and staff for their timely 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.

Fulton County, Georgia

Technology Strategic Plan

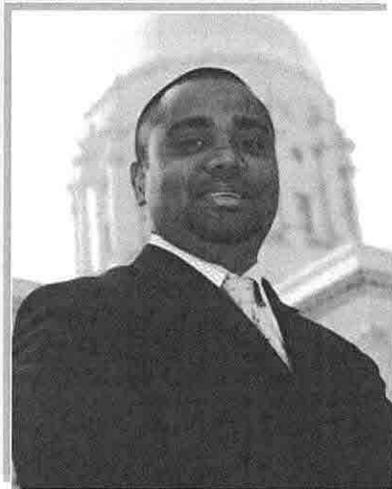
2012–2015





Preface

Any strategic plan for information technology (IT) must examine and define the role of information in government services. Fulton County's Technology Strategic Plan provides a framework for the effective management of information technology.



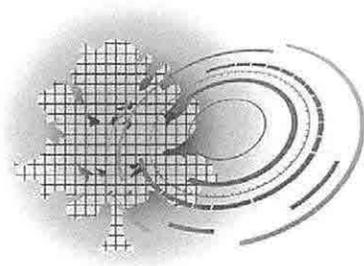
Ryan M. Fernandes, CIO

The primary goal of the Department of Information Technology (DoIT) is to support the business objectives of the county and to facilitate departmental efforts in order to provide efficient and effective services to citizens, businesses, and visitors. This plan supports that goal.

The plan also examines the need for an enterprise-wide approach to the management of IT. Through enabling legislation, executive support, and logically defined process and procedures, DoIT made a paradigm shift, from a supporting agency to an enabler of technology, transforming the way we do business.

Many future technology efforts will cross multiple departments/agencies with a single goal of providing seamless services. This environment requires technology to be used as the basis for communication, interoperability, data, and resource-sharing. Furthermore, technology is a vehicle through which cost reduction can occur by increasing efficiency and effectiveness of services through the use of an enterprise architecture and standards.

This plan is not intended to limit department autonomy but rather to provide a comprehensive roadmap focused on solving common problems and enabling collaboration.



Acknowledgements

Fulton County's Technology Strategic Plan represents a central component for managing and implementing core systems and technology infrastructure countywide. As such, it has bearing on all departments/agencies that rely on information systems in accomplishing their mission and day-to-day activities in an efficient and effective manner.

The plan is built on a model that uses the best features of both centralized and decentralized IT management, support, and decision making. The plan also requires the development of IT architecture, governance and standards that are critical for true economies of scale to be reached and for interoperability to occur.

The development of the strategic plan involved many steps, including reviews of studies and assessments of the technology department, reviews of other strategic plans, and reviews of current trends in local government and technology.

This plan was developed through a participatory committee process, allowing input from all areas of county government. We thank all who participated in developing this plan.



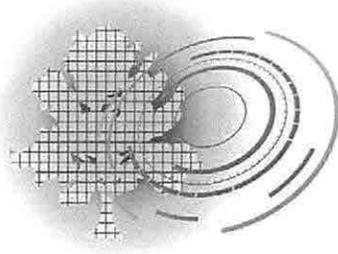
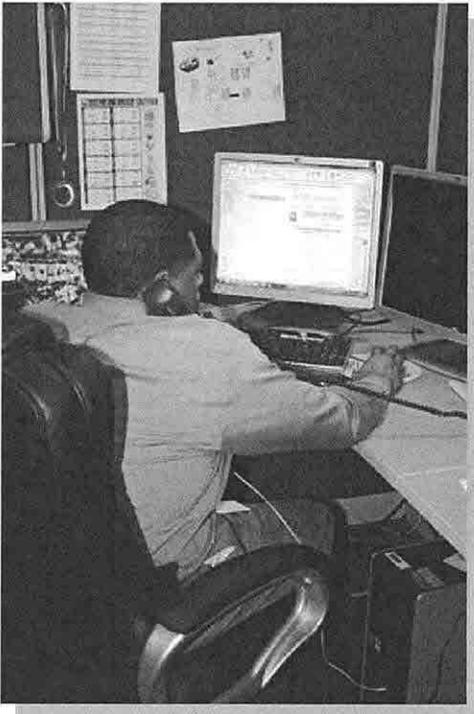


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Executive Summary

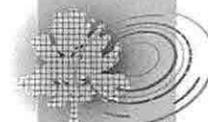
The internal and external environments of Fulton County are changing, and technology is a critical supporter of the development, implementation, and enhancement of services to the citizens, employees, businesses, and visitors of Fulton County. As the largest county in the State of Georgia, the Fulton County Department of Information Technology (DoIT) should therefore also lead in government technology transformation. With dynamic demands imposed on government leaders, 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.

Fulton County's *Technology Strategic Plan* provides the direction for Information Technology in the county, including the activities of the department, and addresses both short-term needs and long-term requirements for cost-effective, innovative, and practical technology solutions. It also provides an overview of the current status of information technology in the county and specifies DoIT goals and objectives.

The Technology Strategic Plan will be followed by a more detailed *Technology Business Plan* articulating specific strategies and actions necessary if the county's departments are to continue to meet their business objectives and provide needed services to citizens and the general community.

This plan is a "living document," which allows for changes over time and serves as a broad guideline for action. The nature of technological advances and changing county needs will mandate plan revisions. The plan is designed to align and link the county's business needs and goals with IT in order to improve this government's functions and enhance customer service and delivery.

It is proposed that decision-makers will use the Technology Strategic Plan in identifying, prioritizing, and selecting Information Technology applications that offer the greatest value to Fulton County's workforce and to the community. The plan also serves as a resource for county employees so they can understand how critical technologies impact their jobs and service delivery. It also allows the community to see how taxpayer dollars earmarked for IT are allocated.



Introduction

Background

While a business strategic plan provides a business vision and objectives for an enterprise, a technology strategic plan describes how the enterprise intends to leverage technology toward achieving the business vision and objectives.

Fulton County has recognized the need for better enterprise-wide technology plans and has begun the process toward that end. This living document represents that effort.

Fulton County's DoIT assessed its current business and technology environments and developed key goals for improving the management of technology.

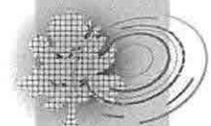
The resulting Technology Strategic Plan is an aggressive approach that focuses on *four core goals*:

1. Efficiency
2. Public Access and Customer Service
3. Transparency and Accountability
4. Risk Management

Following the *Technology Strategic Plan*, DoIT will institute a *Technology Business Plan* containing a tactical/short-term (annual) plan for the subsequent year's technology operations and projects. The Technology Business Plan will be coupled with a *Technology Annual Report* providing the status of technology projects at the end of the year. These plans will provide a basis for programming, prioritizing, and measuring the success of technology initiatives.

Fulton County Agencies served by DoIT:

Animal Services
 Arts Council
 Board of Equalization
 Broadcast & Cable
 Clerk to the Commission
 Cooperative Extension
 County Attorney
 County Manager
 Customer Service
 DFACS
 District Attorney
 Housing and Community Development
 Emergency Management
 Emergency Services 911
 Equal Employment Opportunity
 Facilities & Transportation
 Finance
 Fire
 Health & Wellness
 Housing Authority
 Human Services
 Information Technology
 Intergovernmental Affairs
 Juvenile Court
 Library
 Marshal
 Medical Examiner
 Mental Health
 Parks & Recreation
 Personnel
 Police
 Probate Court
 Public Defender
 Purchasing & Contract Compliance
 Registration & Elections
 Sheriff
 Solicitor General
 State Court
 Superior Court
 Superior Court Clerk
 Tax Assessor
 Tax Commissioner
 Water Resources



Document Organization

The Technology Strategic Plan begins by bringing forward DoIT's Mission, Goals, Guiding Principles, and Investment Strategy.

Funding Strategies and the role of the Project Review Board are discussed in this document. The Business Environment and how economic drivers impact the county are examined.

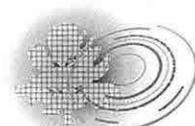
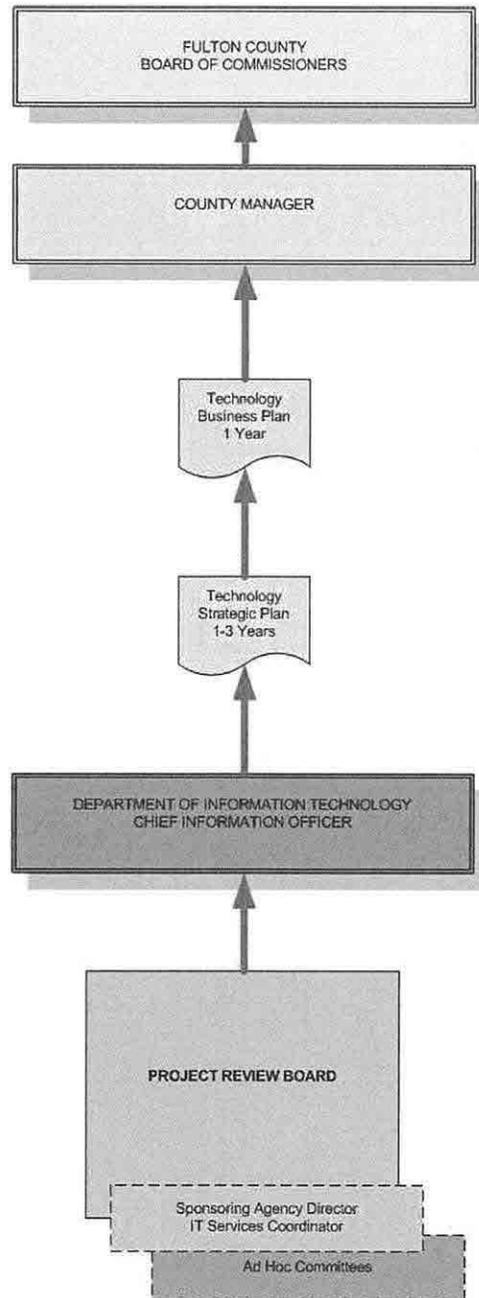
Finally, Strategic Objectives for 2012-2015, Performance Measurements, Highlights and Awards, and the mechanism for Going Forward are discussed.

Department Description

DoIT is comprised of approximately 140 employees. DoIT's headquarters is on the 9th floor of the Government Center Tower in downtown Atlanta.

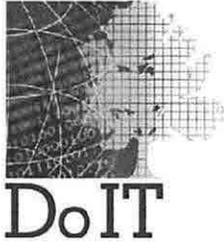
DoIT provides a range of support services to the county targeted to ensure employees are supplied with the necessary technology to enable them to deliver services to their constituents.

In an effort to support the county effectively, DoIT is organized into several divisions along service delivery lines. The department supports more than 6,000 users in 200-plus locations across the county.



Department Mission

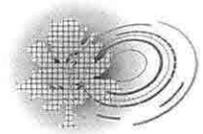
The mission of DoIT is to deliver secure, innovative, reliable technology services and solutions, and to provide guidance and oversight that lead to sound decisions for Fulton County Government, while continually seeking knowledge and improvement.

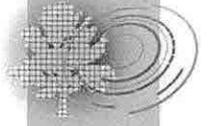


**Fulton County
Department of Information Technology (DoIT)**



Department of Information Technology			
Administration		Operations	
Finance	HR	Applications	Infrastructure
		GIS	CJIS
		Technical Support	PMO





Goals, Guiding Principles, and Investment Strategy

DoIT has developed this Technology Strategic Plan based on a shared vision for technology and a set of shared goals and guiding principles. An investment strategy is in development to fund the implementation of the plan.

Goals

The county has established **four key goals** that focus all future technology initiatives and the long-term values it has regarding the use of technology to serve the public:

1. Efficiency
2. Public Access and Customer Service
3. Transparency and Accountability
4. Risk Management

<p>GOAL 1: Efficiency</p> <ul style="list-style-type: none"> ✓ Offers a positive return on investment (ROI) ✓ Improves productivity and/or reduces future expenditures
<p>GOAL 2: Public Access and Customer Service</p> <ul style="list-style-type: none"> ✓ Improves accessibility of public records ✓ Improves accessibility to county services, resources, and/or officials ✓ Improves the quality and/or usability of internal and/or external county services
<p>GOAL 3: Transparency and Accountability</p> <ul style="list-style-type: none"> ✓ Makes decisions and decision-related materials more easily available ✓ Supports ability to track long-term outcomes ✓ Supports visibility into the decision process ✓ Supports input and feedback related to countywide decisions
<p>GOAL 4: Risk Management</p> <ul style="list-style-type: none"> ✓ Improves security and privacy ✓ Provides legally mandated services and basic operational support ✓ Proactively mitigates risk associated with software versioning and equipment useful lifecycles

To ensure that these goals are met

Fulton County DoIT will:

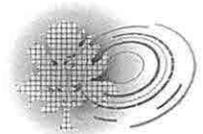
- Develop a technological foundation that will address infrastructure requirements to ensure success for identified county initiatives and provide all county employees access to technological tools
- Enhance and modernize core application systems through a focused and directed process
- Enhance the procurement processes to ensure Fulton County Government receives the maximum return on the investment of public funds while supporting established goals of the Board of Commissioners
- Provide access to government services for the citizens of Fulton County through the wise and justified use of technology

- Achieve value with economies of scale through centrally coordinated countywide solutions
- Develop partnering relationships among departments to improve employee efficiency and productivity through the use of innovative technical solutions
- Be “students” of the business – in order to provide appropriate technical solutions and support, DoIT staff must understand the business process

Fulton County agencies/

departments will:

- Be willing and committed to share information and standardize data to promote integration and interoperability
- Comply/adhere to IT policies, procedures, architecture, standards, and governance
- Empower staff through IT education/training and take ownership of business processes and data quality



Guiding Principles

In 2008, as part of the effort to develop the first Technology Strategic Plan, Fulton County's DoIT established several *Guiding Principles*. The following principles act as a policy framework to promote a standard and cost-effective approach to delivering and operating information technology:

- Central Review and Coordination of IT
- IT Enables Effective and Efficient Service Delivery
- IT Standards
- Access to Information and Services
- Business Process Improvement
- Privacy and Security

Guiding Principles

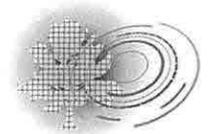
Central Review and Coordination of IT

- ✓ IT investments should be coordinated at a countywide level to leverage development efforts, reduce duplicative costs, and ensure compatibility of systems.
- ✓ IT initiatives should be coordinated transparently to keep the workforce and public informed, creating an environment of trust and improving customer service.



IT Enables Effective and Efficient Service Delivery

- ✓ Funding approvals through the technology governance structure should be based on a sound business case that documents measurable outcomes, including service delivery improvements.
- ✓ When assessing new software solutions, commercial off-the-shelf software packages that adequately meet the business requirements of the county are preferable to custom-developed applications. The county should determine requirements and analyze both operational and financial business cases when evaluating the alternatives of building or buying new software applications. DoIT will reuse before it buys and buy before it builds.
- ✓ IT investments should be effectively managed and tied directly to service performance results.
- ✓ Investments in legacy systems should be limited to mandated and essential changes that can demonstrate extending the useful life of the system.



Guiding Principles, continued

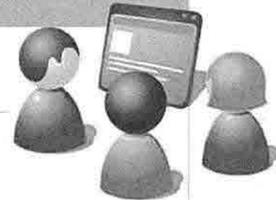
IT Standards

- ✓ Hardware, software, and methodologies for management and development should adhere to countywide standards adopted through the technology governance structure.
- ✓ Hardware and software should adhere to open (vendor autonomous) standards to promote flexibility, interoperability, cost effectiveness, and to mitigate the risk of dependence on individual vendors, where applicable. The county will proactively define and describe these standards in RFPs and other communications with vendors.
- ✓ Technology operations and project management should adhere to best practices to ensure consistency, achieve efficiencies, and maximize success.
- ✓ Technical staff should be provided with appropriate training to ensure effective management of IT resources.
- ✓ IT architecture and standards shall be governed at the enterprise level to ensure integrity, planned evolution, and periodic refresh in light of new technologies and business strategies.



Access to Information and Services

- ✓ Information and services should be provided using Web-based technology with standard navigation tools and interfaces where appropriate.
- ✓ A reliable and secure communication and computer infrastructure should be provided to ensure seamless self-service access to information and services.



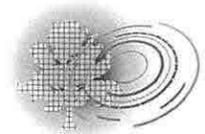
Business Process Improvement

- ✓ Industry best practices should be applied to optimize business processes.
- ✓ When implementing commercial off-the-shelf software packages, the county should adopt and implement industry best practices, redesigning business processes as required in order to improve operations, minimize customization, and speed the delivery of new business applications.
- ✓ Comprehensive business solutions should be developed across organizational boundaries to cover end-to-end business processes.
- ✓ Data should be captured once and shared to reduce cost, duplication of effort, and potential for error.



Privacy and Security

- ✓ The county should adopt and implement an effective privacy policy that articulates the manner in which it collects, uses, and protects data, and the choices offered to protect personal information within the constraints of public disclosure law.
- ✓ Reasonable, cost-effective measures should be implemented to protect data, hardware, and software from inappropriate or unauthorized use, alteration, loss, or destruction.
- ✓ Auditable security measures should be part of the initial architecture, and design as IT solutions are developed and implemented.



Investment Strategy

As the county increases its reliance on technology to support effective and efficient services/ programs, there is a related and growing challenge to find an appropriate balance of value and risk. The county has formulated an investment strategy that is intended to provide IT investments, which deliver value tied to key business objectives, while mitigating risk to ensure desired results are achieved.

The strategy is based on ***five imperatives***:

1. Make technology investments based on a compelling business case
2. Support the continued development and improvement of the county's Web presence with more "right source" technology,

integration, and data sharing that will reduce redundancy and lead to better decision-making

3. Implement enterprise-wide applications and promote data integration
4. Provide resources and funding to ensure compliance with IT standards, privacy and security regulations, and policies
5. Provide resources to support the development and use of technology performance measures

These imperatives are summarized below:

IT Investment Imperatives

Imperative #1

Make technology investments based on a compelling business case.

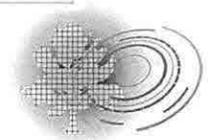
Technology investments will be prioritized for funding consideration based on a compelling business case that considers the total cost of ownership for alternative solutions including operations, upgrades, replacement, and disposal costs of equipment. The business case shall be aligned to the agency's priority services as detailed in the agency's business plans and/or operational master plans and as supported by the agency's technology plan and the county's technology strategic plan. Standardized management tools and practices, collaborative efforts to coordinate IT planning and/or service delivery, and other ways to provide more efficient and effective services, will be encouraged.



Imperative #2

Support the continued development and improvement of the county's Web presence with more "right source" technology, integration, and data sharing that will reduce redundancy and lead to better decision-making.

All county agencies support an expansion of the county's Web site to increase public access to information and services and promote equal opportunity and healthy communities with appropriate privacy and security controls in place and the ability for agencies to control their Web sites' content.



IT Investment Imperatives, continued

Imperative #3

Implement enterprise-wide applications and promote data integration.

Promote data integration to increase efficiencies and reduce redundancy while continuing to meet the county's business requirements. This will improve decision-making and service delivery.



Imperative #4

Provide resources and funding to ensure compliance with IT standards, privacy and security regulations, and policies.

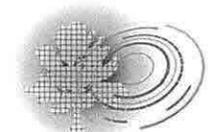
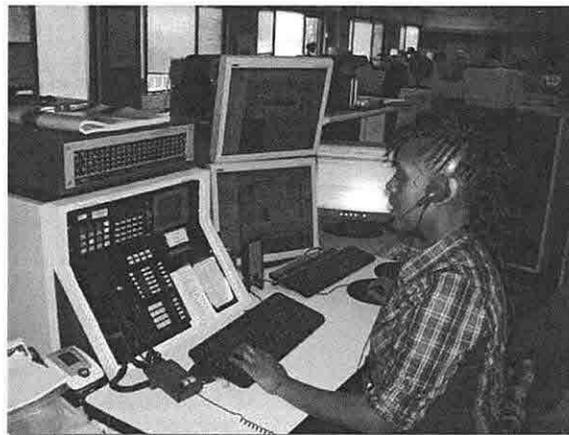
Provide an appropriate level of resources and funding to ensure compliance with IT standards, privacy and security regulations, county policies and to protect the county's information assets, including personal and sensitive information, from threats: internal and external, intentional and accidental.



Imperative #5

Provide resources to support the development and use of technology performance measures.

Provide an appropriate level of resources to conduct and support performance-measurement activities related to the technology that supports county services and initiatives. This will provide important information for the county's management and elected officials to improve decision-making regarding the use of technology to support delivery of services and ensure that departments stay focused on top priorities.



Funding Strategies

Funding strategies for IT investments:

- Utilize debt for large, long-life multi-year projects, allocating debt service to benefiting agencies
- Establish and maintain dedicated short-term reserves for funding significant, smaller-duration projects
- Allow agencies to use operating funds within the constraints of available resources for agency-specific projects

The analysis and evaluation of IT investment proposals is a joint responsibility shared by the county's CIO and the Finance Department. A concurrent process has been established that provides a technical viability assessment from the CIO and a financial viability and business value assessment from the Finance Department for each IT project proposal. Both reviews look for consistency with the county's Technology

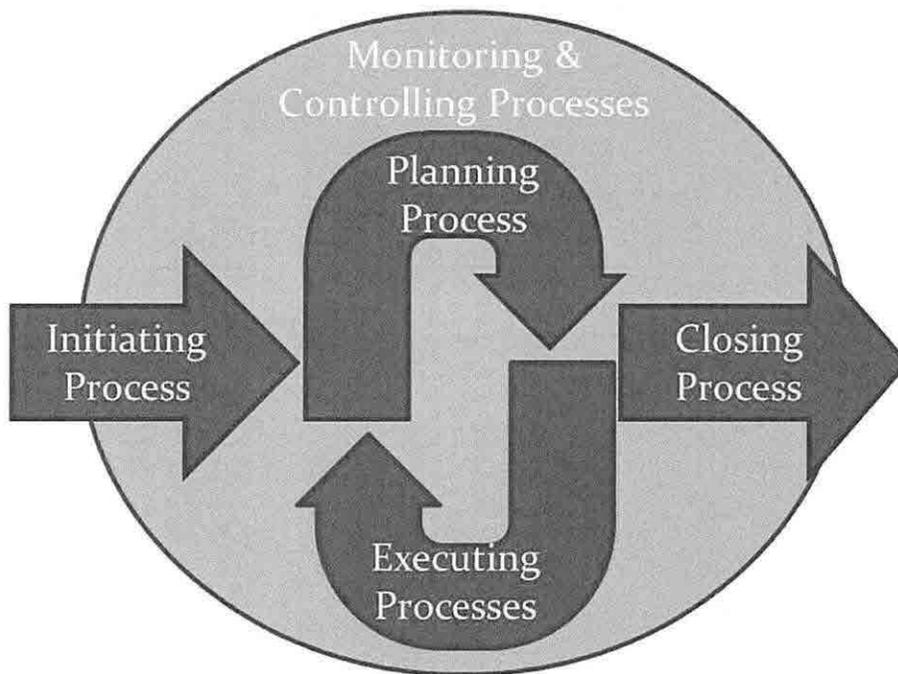
Strategic Plan as well as for alignment with agency business and technology plans. Direction from this process will be reported to IT governance members and recorded in the *proposed* Technology Business Plan that is provided to the Board of Commissioners along with the County Manager's proposed annual budget. Following the Board of Commissioners' adoption of the annual budget, a *final* Technology Business Plan will be published that updates the proposed version to include all Board of Commissioners' provisos and funding decisions. The Finance Department will provide an IT investment summary showing revenues, debt, and potential cost savings that are related to project costs.



Project Review Board

An important part of the IT governance process is the role of the *Technology Project Review Board (PRB)*. The PRB's responsibility is to approve funding releases based on each project's progress and readiness to continue work to successfully deliver the value promised in the project's justification documentation as reviewed in the budget process. Among many project deliverables reviewed as part of the PRB's process is a business case prior to committing

the county to a particular solution. While each project has unique aspects, there is an underlying common IT project life cycle that provides for several oversight "milestones" that can be used to call for corrective actions if needed before project funds are fully spent or committed. Quality assurance reviews are also requested by the PRB to provide another level of confidence that a project will successfully deliver value.



Business Environment

During the planning process, the planning committee reviewed major trends in local government. Most are geared toward providing cost-effective, quality services to the public. Fulton County has long been a leader in these areas, and examining the trends only helps enhance what is presently being done.

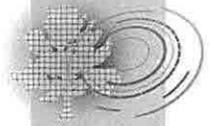
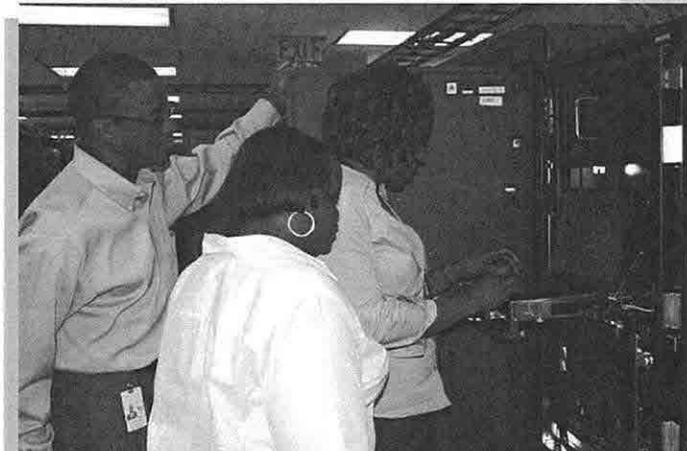
Public Sector Market Trends

Current trends in local government include:

- Benchmarking and performance measurement
- Customer service and providing a high-quality product for citizens, businesses, visitors, and employees
- Mobility including impacts of advances in broadband and cellular technology
- Right-sourcing and the ability to extend current staffing resources
- Responsive government based on new technologies and new ways of conducting business
- The use of technology by forward-thinking governments to continually enhance service delivery and foster a “work smarter, not harder” approach
- Sustainability – business practices that conserve energy, reduce waste, and shrink an organization’s carbon footprint

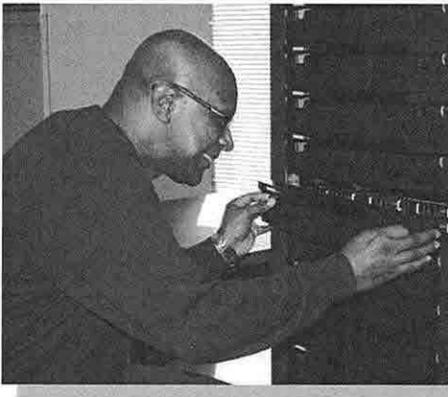
Public sector market trends include:

- A transition to a digitally converged world in which almost all aspects of telecommunication, television, video, audio, and other communication technologies are converging into a single digital platform
- An increasing need to support legacy systems while new systems are being implemented
- An increased importance on computer and telecommunications security
- Management and investment in IT to support business functions
- The constant growth and expansion of a mobile workforce
- Resource standardization, consolidation, virtualization and optimization
- Responsibility to the environment

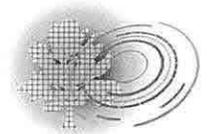


The following trends must also be considered by government agencies as they use technology:

- **More for Less-** Local governments have endured significant reductions in tax revenue in the past several years. As a result, budget reductions are forcing governments to do more with less. Technology is being leveraged to maximize efficiencies.
- **Succession Planning-** Governments need to respond to the aging workforce by finding and hiring replacement workers, along with establishing processes for maintaining the knowledge held by retiring workers and transferring it to the new staff through documentation, succession planning, and training.
- **E-Government-** Governments need to improve the technology used to provide the public with access to information and services, since the public expects to easily find the information and conduct much of the traditional government transactions through e-Government/ e-Commerce institutions.



- **Standardization, Consolidation, Virtualization-** Doing more for less is apparent in IT's continued efforts to standardize, consolidate and virtualize. Cloud computing, software as a service and thin client models will also be more of an option but concerns remain regarding data security.
- **Mobility-** Smart phones and tablet type devices have enhanced the abilities of the mobile workforce but have also increased security risks. Many local governments are increasing wireless communications networks to allow communications and data sharing between field personnel and central offices as well as providing wireless access to the public.
- **ECMS-** Governments are increasing their adoption and use of electronic content management systems (ECMS) and content management systems. ECMS will assist with records retention compliance, support sustainability efforts by reducing costs typically associated with paper-based environments and streamline business operations through the use of workflows.



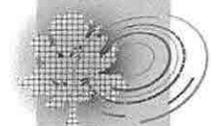
Strategic Objectives

DoIT has identified the following **Strategic Objectives** that support attaining the four (4) goals of Efficiency, Public Access and Customer Service, Transparency and Accountability and Risk Management.

Strategic Objectives will be followed by specific **Technology Initiatives** to be consolidated in the future Technology Business Plan.

GOAL 1: Efficiency

- Strategic Objective 1.1** Support integrated enterprise applications.
- Strategic Objective 1.2** Institutionalize IT project management by establishing comprehensive, standardized project management practices that improve the authorization, management, and performance measurement of technology initiatives.
- Strategic Objective 1.3** Institutionalize performance measurement for IT operations by establishing standards and procedures to consistently measure investment and performance across Fulton County.
- Strategic Objective 1.4** Institutionalize performance measurement for IT projects by establishing methods and practices to consistently measure investment and performance of projects across Fulton County.
- Strategic Objective 1.5** Implement a Unified Justice Case Management System to improve and enhance the integration of the comprehensive justice information systems.
- Strategic Objective 1.6** Standardize document management/retrieval and the retention of electronic public records in compliance with legal requirements.
- Strategic Objective 1.7** Standardize technology by managing IT using a portfolio approach.
- Strategic Objective 1.8** Standardize, consolidate and virtualization to reduce IT costs and improve disaster recovery.
- Strategic Objective 1.9** Implement technology solutions based on service oriented architecture (SOA), open standards, and thin client technologies to reduce IT costs and promote interoperability.
- Strategic Objective 1.10** Implement right-sourcing where appropriate and cost effective.
- Strategic Objective 1.11** Transition Fulton County to an integrated voice, data, and video IP network.



GOAL 2: Public Access and Customer Service

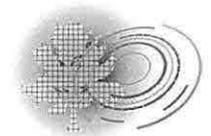
- Strategic Objective 2.1** Increase public service by providing online payment options to the public for county services.
- Strategic Objective 2.2** Increase public service by improving online access to county information and services.
- Strategic Objective 2.3** Increase public service by integrating geographic information systems (GIS) with county information and services.
- Strategic Objective 2.4** Increase public service by providing efficient, effective, and secure mobile workforce solutions.

GOAL 3: Transparency and Accountability for Decisions

- Strategic Objective 3.1** Reorganize technology functions.
- Strategic Objective 3.2** Develop agency technology plans.
- Strategic Objective 3.3** Enhance IT asset management policies, standards, and guidelines, and combine reporting on all county IT assets.

GOAL 4: Risk Management

- Strategic Objective 4.1** Strengthen IT information and technology infrastructure security.
- Strategic Objective 4.2** Strengthen IT information privacy practices.
- Strategic Objective 4.3** Strengthen IT business continuity and disaster recovery in Fulton County Government.
- Strategic Objective 4.4** Evaluate IT assets to develop a total cost of ownership and useful life.
- Strategic Objective 4.5** Standardize all applications and desktops to be compliant with current Windows OS, Server and Database versions.



Performance Measurements

Performance measurement is the structured and systematic assessment of an organization's progress in meeting its strategic plans. Leading-edge organizations, both public and private, use performance measurements to gain insight into, and make judgments about, the effectiveness and efficiency of their programs, processes, and people.

Best-in-Class Organizations:

- Identify indicators that will measure their progress in meeting their strategic agenda
- Gather and analyze performance data
- Use the data to drive improvements that translate strategy into action

Performance measurements for IT need to be tied to key business objectives and goals to ensure that investments achieve the desired results.

Fulton County has developed two strategic objectives related to performance measurement:

Sustain/Maintain

Strategic Objective 1.2

Institutionalize performance measurement for IT *operations* by establishing methods and practices to consistently measure investment and performance of IT operations across Fulton County.

New Projects

Strategic Objective 1.3

Institutionalize performance measurement for IT *projects* by establishing methods and practices to consistently measure investment and performance of IT projects across Fulton County.

The county's Information Technology Director will coordinate with the appropriate key stakeholders to identify IT measures that will be refined and aligned, but not limited, to measures being tracked and used by the Project Review Board, CIO, Finance Department, County Manager, and Board of Commissioners.

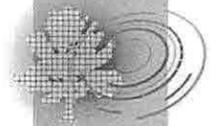




Highlights of Major Accomplishments and Awards

Fulton County has accomplished many projects and has made significant progress on many others since the publishing of our last Technology Strategic Plan. A few of the major accomplishments and awards over the last few years are highlighted below:

- Completed Enterprise Resource Planning (ERP) system implementation integrating Finance, Personnel and Purchasing Systems.
- Completed Integrated Tax System implementation streamlining the tax process from assessment to collections.
- Completed Customer Billing and Maintenance Management System implementation streamlining citizen request for service and work orders processing.
- Major improvements to the County's shared computing infrastructure through standardization, consolidation, virtualization and storage optimization.
- Major improvements to the County's web presence including an expansion of E-services, GIS tools, social media and mobile-enabled technology.
- Major improvements to the County's IT Security protocols and infrastructure including email encryption, end-point security and SSL VPN.
- Fulton County received a grade of A+ (2011, 2012) for government transparency by the Sunshine Review and was awarded a Sunny Award of Top Transparency website in 2012.
- Fulton County placed #9 in the nation as a 2011 Digital Counties Survey winner. This award recognizes counties who use best practices in information and communications technology.
- Ryan Fernandes, CIO at Fulton County Government, was selected as a finalist (2009 and 2011) for the Georgia CIO Leadership Association's (GCLA) *CIO of the Year Award*. Finalists represent the best technology leaders from leading companies in Georgia.



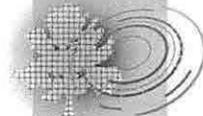
Going Forward

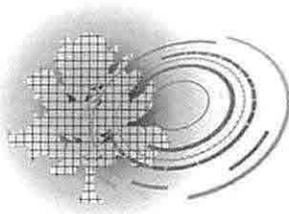
Fulton County's Technology Strategic Plan provides proactive direction for information technology, addressing both short-term needs and long-term requirements. The plan integrates with the county's business needs and goals in order to improve governmental functions and enhance customer service and delivery.

As described in the Executive Summary, this plan is a "living document," allowing for changes over time and serving as a broad guideline for action. The nature of technological advances and changing county needs will mandate plan revisions. The purpose of this plan is to be both flexible as well as forward-thinking. It is intended to be proactive as opposed to reactive.

The Technology Strategic Plan will be followed by a more detailed Technology Business Plan (coupled with a Technology Annual Report) articulating specific strategies and actions.

We look forward to further discussion, refinement, and implementation of the Technology Strategic Plan and the future development of the Technology Business Plan over the course of the next three years. Defining IT goals, objectives, strategies, tactics, and methods of implementation will ensure a progressive, well-designed future for Fulton County.





Fulton County Department of Information Technology (DoIT)

141 Pryor Street SW, Suite 9001

Atlanta, GA 30303

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POLICY AND PROCEDURE

SUBJECT: Copy Machine Administration

DATE: April 7, 2004

NUMBER: 600-2

Statement of Policy:

The Department of Information Technology is responsible for the administration of copiers for all Fulton County agencies.

Responsibilities:

The Department of Information Technology reviews and coordinates requests for copiers, installation, maintenance and support, billing, and overall administration of agreements associated with copier equipment. The only exception to this policy involves specialized high speed, high volume reprographics equipment, as used in quick copy operations in General Services' "Quick Copy" facility.

All departments will designate a staff person to act as liaison for the purpose of coordinating utilization of copiers.

All requests for new or replacement copiers must be submitted to the Director of the Department of Information Technology by the responsible Department Head, identifying available funding by the Finance Department and approval by the responsible Deputy County Manager or the County Manager as appropriate. No request for copier service will be approved without available funds.

Procedure:

A. Requests for Copiers: All requests for copiers will be submitted by the requesting department on appropriate forms provided by the Department of Information Technology. Requests must identify the type of service required (change or new), identify available funding and have the following signatures:

- Requesting Department Head
- Assigned Finance Department Budget Analyst
- Responsible Deputy County Manager or County Manager as appropriate.

1. The request must include justification for need and identify adequate funding to cover the use of the copier for twelve months, as verified by the Finance Department Budget Analyst's signature.
2. Department of Information Technology staff reviews request, verifies submitted information, verifies funding available in existing purchase order, makes recommendation, and presents to the Director of the Department of Information Technology.
3. The Director of the Department of Information Technology, or his designee assigned to administer the function, reviews the recommendation:
 - a) Returns to the requesting department, identifying the need for additional information, justification or funding, if necessary; or
 - b) Notifies user department of disposition of the request.
4. Information Technology staff processes the approved request and submits to copier vendor to coordinate delivery to requesting department location.
5. Following the successful installation of the copier, the requesting department liaison will confirm receipt by communicating (via e-mail) with Information Technology staff, indicating the date of installation.
6. No copiers will be approved outside the amount authorized by the Board of Commissioners.

B. Inventory Control, Maintenance, and Administration:

1. Information Technology is responsible for maintaining an up-to-date inventory of all copiers in County facilities governed by this Policy.
2. Information Technology will be responsible for periodic copy meter readings to verify usage and monitor billings.
3. Information Technology will process invoices for copiers, charging assigned department accounts within 30 days of receipt.
4. Information Technology will review copier equipment demand and coordinate redeployment determined necessary to address department requirements and budgetary constraints.
5. Information Technology will manage all agreements associated with copiers to address departmental requirements covered under this policy.

Departmental Sponsor: Information Technology

Policy Review Date: April 2006

References:
Minutes of the Board of Commissioners, March 21, 1973
Minutes of the Board of Commissioners, November 7, 1979
Minutes of the Board of Commissioners, January 19, 1994
Minutes of the Board of Commissioners, August 15, 2001
Minutes of the Board of Commissioners, April 7, 2004

Departments Affected: All Departments and Offices of Appointed or Elected Officials

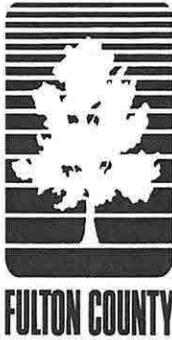
SPECIAL REQUEST #

(To be filled out by Information Technology)

COPIER REQUEST

Date of Request:		Requested Date of Completion:		
Department:		Phone#:		
Address:		Floor#:	Suite#:	
Contact: (Name)		Contact Phone#:		
Service Requested: (Identify number of units requested)				
Equipment Type Needed: (Individual prices for each service/feature can be obtained from Information Technology)				
Front & Back ___ Color ___ Collator ___ Multiple Trays ___ Convenience Stapler ___				
Explain in detail requirements and justification for request. Include in justification a list of existing copiers assigned to requesting department and reason for need for additional unit(s).				
Information Technology Review: (Review of justification)				
New Facility ___ Relocation ___ Change in Use ___ Add. Info Required ___				
APPROVALS: (Signatures and Funding Line information required prior to processing request)				
Department Head: (Signature)		Date:		
Budget Analyst: (Signature)		Date:		
Information Technology: (Signature)		Date:		
County Manager: (Signature)		Date:		
Funding line:	Fund:	Agy.:	Org.:	Obj.:
Any questions concerning completing this form, call Information Technology, at 404-730-7334. Completed forms may be FAXED to 404-730-7207				

Make additional copies of this form as necessary



POLICY AND PROCEDURE

SUBJECT: Telecommunications Service Administration

DATE: April 7, 2004

NUMBER: 600-13

Statement of Policy:

All telecommunications services (installation, moves, adds, changes, repairs, etc.) for County agencies and departments shall be initiated by the Department of Information Technology.

Responsibilities:

The Department of Information Technology is the responsible agency for the administration of all telecommunications services for County facilities. Information Technology staff coordinates the delivery of telephone services (design of new systems, moves of existing systems and service, changes in service, and repairs to existing service). All requests for changes to existing services must be approved by the Department Head or his/her designee to include identification of the necessary funds, as appropriate.

Procedures:

- A. Departments submit requests for service (moves, adds, changes) to the Information Technology Help Desk on the appropriate order form identifying the service (or equipment) desired.
- B. The Department of Information Technology staff reviews request, verifies submitted information, and if necessary, provides an estimate of the cost to fulfill the request.
- C. Information Technology staff will review the request with department for completion to include identification of funds.
 1. The requesting user department will be responsible for full funding of the request.
 2. This includes equipment, cabling, installation, as well as annual recurring expenses associated with equipment maintenance, circuit monitoring, or circuit provisioning.
- D. Requesting department will complete the forms identifying funds to cover the request:
 1. One-time equipment costs to cover equipment and installation fees.
 2. Recurring expenses associated with maintaining the service (network connection, support, maintenance, monitoring, etc.) to cover a twelve month period to be sounded from the departmental budget into the non-agency account.

3. Request must have the following signatures:
 - a. Requesting Department Head
 - b. Assigned Finance Department Budget Analyst

E. The requesting department will return completed forms to the Department of Information Technology for fulfilling the request for service.

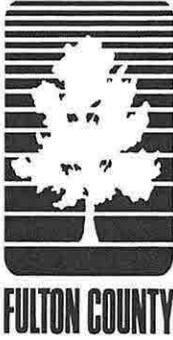
F. Information Technology coordinates all aspects of the project until completion and acceptance by requesting department.

Departmental Sponsor: Information Technology

Policy Review Date: April 2006

References: Minutes of the Board of Commissioners, May 15, 1987
Minutes of the Board of Commissioners, January 19, 1994
Minutes of the Board of Commissioners, April 7, 2004

Departments Affected: All Departments and Offices of Appointed or Elected Officials



POLICY AND PROCEDURE

SUBJECT: Personal Computers and Workstations

DATE: June 7, 1995

NUMBER: 600-29

Statement of Policy:

The Fulton County Data Processing Department is charged with the following responsibilities:

- A. Maintaining and publishing a master plan for the use of Personal Computers (PC's) and workstations within the county.
- B. Selecting, installing, maintaining and assuring proper operation of all PC's and workstations in use within the county.
- C. Working with other county departments to ensure:
 - 1. Compliance with the master plan.
 - 2. Effective departmental usage of PC's and workstations.
 - 3. Protection of county-related data.

Background:

During recent years, Fulton County's use of personal computers and workstations has grown almost exponentially. These machines have become a significant resource and capital outlay for the County. Fulton County personnel spend a significant amount of time using these machines. In addition, an increasing amount of critical county data is stored in PC's and workstations.

Since the County has a large investment in PC's, proper management of these resources is essential. In particular, the County must:

- A. Ensure that monies spent on PC's and workstations are spent efficiently.
- B. Ensure that installed systems remain compatible with one another, and that the county is able to cope in an orderly manner with the rapid technological advances in small computer systems.
- C. Ensure that users of PC's and workstations are properly trained so that they can use these powerful tools effectively.

- D. Ensure that, within departments, PC's and workstations are used both (1) in accordance with a consistent departmental and county wide plan, and (2) in compliance with county standards and practices.

This policy designates the *Data Processing Department* as the Fulton County Department charged with the responsibility of providing proper management of the PC and workstation resource.

Definitions:

A *personal computer* is defined as a single computer unit based on the Intel 80xx processor, the Motorola 68xx processor, or their successors. It normally runs MS/DOS or OS/2 as an operating system. In addition to its normal use, the term "Personal Computer" includes single-use embedded computer systems such as truck scales, information displays, gasoline pump regulation systems, and voting machines. The term does *not* apply to systems designed solely to regulate or monitor the flow of motor vehicle traffic.

A *workstation* is defined as a high-performance computer system, usually based on an RISC processor or other proprietary microprocessor, usually running the UNIX operating system and used primarily in graphic environments.

A. Applicability

This policy applies to all Fulton County Departments, and to all Personal Computers and workstations used, purchased, and/or installed by those departments.

B. Responsibilities:

The Data Processing Department is responsible for:

1. Preparing and maintaining the county wide master plan for PC's and Workstations.
2. Preparing and maintaining operational guidelines for the effective use of personal computers and workstations.
3. Auditing other departments to insure that PC's are used in accordance with operational guidelines.
4. Providing PC and workstation planning, acquisition, and maintenance service to all Fulton County Departments.
5. Providing personal computer training.
6. Maintaining an inventory of all PC's and workstations utilized by Fulton County.

The remaining Fulton County Departments are responsible for:

1. Preparing a departmental plan for personal computer and workstation usage, consistent with the county wide master plan.
2. Operating PC's and workstations within operational guidelines.
3. Preparing budget requests and justification for computer acquisitions for individual department use (With the assistance of the data Processing Department, if required.).

C. Procedures:

1. **Overview:** These procedures are in six sections. The sections are:

- a. Personal computer and workstation planning.
 - (1). County wide Plan
 - (2). Departmental Plans
- b. Personal computer and workstation acquisition.
- c. Personal computer and workstation inventory.
- d. Personal computer and workstation maintenance.
 - (1). Personal computer maintenance
 - (2) Workstation maintenance
- e. Personal computer and workstation training.
- f. Performance and inventory reviews.

2. **Personal Computer and Workstation Planning**

- a. **County wide Plan:** In August of each year, the Data Processing Department will promulgate a *County wide PC/Workstation Plan*. This plan will be distributed to all departments. The plan will outline the county's anticipated actions related to personal computers and workstations for the following five calendar years. At a minimum, the plan will address:
 - (1) PC and workstation operating systems issues.
 - (2) PC and workstation network operating systems issues.

- (3) PC and workstation application software, including a listing of current standard software, and a forecast of future standard application software.
- (4) PC and workstation hardware issues, including an analysis of industry trends and a forecast of anticipated county actions. The latter will include both acquisition policies related to new hardware, and retirement of obsolescent hardware.
- (5) PC and workstation interoperability issues. This section will address matters related to the county wide operation of PC's and workstations. For example, issues such as standard database formats and standard data element definitions would be addressed in this section.
- (6) PC and workstation usability issues. This section will analyze industry and County trends, and will forecast appropriate functional areas for the use of PC's and workstations. The world of information processing is in a continual state of flux. Applications that were routinely put on mainframes a few years ago are now being migrated to smaller systems and to networks. Networks themselves are changing, and as they do, the kinds of application they can support are changing. As applications are moved, employee training and reassignment become important issues. This section will address the county's focus and plans as they relate to migrating systems from one environment to another.

The plan will also address other issues related to personal computers and workstations deemed of county wide importance by the Data Processing Department. In general, the intent of the plan is to provide each county department with a clear understanding of both current county standards and future county trends.

The County wide PC/Workstation Plan will be used as the basis for similar plans developed by each department. In addition, the county wide PC/Workstation Plan will be used as a part of the budget review process, in order to insure that the budget requests from individual departments are consistent with the County's plan.

- b. **Departmental Plans:** Each department will submit a departmental PC/Workstation Plan as a part of its budget review process. This plan will discuss current departmental PC usage and planned usage in the next three years. As a minimum, the plan will include:

- (1) Current applications running on PC's and workstations, their frequency of use, and their relevance to departmental operations.
- (2) Planned applications for PC's and workstations, with estimates of number of persons using each application.

- (3) Planned PC and workstation purchases, both for the current budget year, and for the following two budget years, with justifications in terms of (a) the county's overall PC/Workstation plan and (b) the current and planned applications within the department.

The Data Processing Department will review all departmental plans for compliance with the County wide Plan. The Data Processing Department will notify both the Budget Division of the Finance Department, and the affected department, when departmental plans are determined to be inconsistent with the County wide Plan.

3. **Personal Computer and Workstation Acquisition**

All Personal Computers, workstations, and software purchased with County funds will be purchased in coordination with the Data Processing Department, and in accordance with the standards set out in the *County wide PC/Workstation Plan*. Except in instances when the Data Processing Department determines that it is in the best interest of the County to proceed in a different manner, the procedure will be as follows:

- a. At the beginning of each calendar year the Data Processing Department will requisition the Purchasing Department for one or more blanket purchase agreements that are consistent with applicable Purchasing Laws, for personal computer systems and software. These agreements will cover the most common equipment and software purchased by the county.
- b. Upon budget approval, each department will submit a written request for PC's and workstations. This request will be submitted to the Data Processing Department in the form of a memo. It will be consistent with the approved funding for the department, and will contain detailed account funding information. The memo should outline the department's needs as explicitly as possible.
- c. A member of the Data Processing Department's staff will then meet with department representatives to insure that there is a complete understanding of exactly what is required. This meeting is also meant to insure that any inadvertent errors in the request are corrected. This meeting is key to the acquisition process, since the Data Processing Department's experience is that initial departmental requests are frequently incomplete.
- d. Once the details of the request are finalized, the Data Processing Department will requisition the purchasing Department to issue purchase orders or use other mechanisms (such as its blanket purchase order) to acquire the PC's and workstations. The Data Processing Department will coordinate with the Finance Department to insure that costs are charged appropriately to the requesting department.

- e. The requested PC's and/or workstations will be delivered to the requesting department, set up, and tested as required. The Data Processing Department will be responsible for delivery, setup, and testing. The requesting department will be responsible for providing a secure environment for the equipment and providing an appropriate work area. The requesting department will insure that the work area has adequate desk space, ventilation, and electrical power for the operation of the equipment. The day-to-day operation and safety of individual PC's and workstations are the responsibility of the requesting department. The requesting department will assume all responsibility for the equipment once it is delivered (Except for inventory and maintenance, see below.).

All personal computers and workstations not acquired through the mechanism outlined in steps a-e above will be promptly reported to the Data Processing Department. The report will include (1) the number and types of PC's/workstations, (2) the source of the acquisition, (3) the need for the acquisition, and (4) the planned use of the systems. The Data Processing Department will forward a copy of the report to the county Manager, along with comments on the effects of the acquisition on the County wide PC's/workstation Plan.

4. **Personal Computer and Workstation Inventory**

All personal computers and workstations will be inventoried and placed on a database maintained by the Data Processing Department. The procedures are as follows:

- a. All PC's and workstations purchased by the County will be delivered to the individual customer (department) site and set up by contractors designated by the Data Processing Department (or by the Data Processing Department itself). Upon completion of setup and checkout, members of the Data Processing Department will affix county inventory stickers to each major piece of equipment. These pieces of equipment will include:
1. Central Processing Unit (CPU)
 2. Monitor
 3. Keyboard
 4. Printer
- b. At the time of setup, the Data Processing Department will record both the serial number and inventory sticker number of each piece of equipment delivered. This information will be entered in the Data Processing Department's inventory of PC and workstations, along with relevant departmental information such as customer name and physical location of the equipment. The Data Processing Department's inventory will be capable of reporting systems by serial number, location, department, inventory number, and point of contact's name. Data Processing will

furnish listings on all equipment to Supply, Maintenance, and Transportation for inventory.

- c. It is the responsibility of the requesting department to report changes in the status of equipment to the Data Processing Department. The Data Processing Department will update its database accordingly.
- d. From time to time, the Data Processing Department will conduct a physical inventory of the PC equipment (See "Performance and Inventory Reviews") below. The purpose of this inventory is to verify and update the information on the Data Processing Department's Database.

5. Personal Computer and Workstation Maintenance

- a. **Personal Computer Maintenance:** The Data Processing Department will be responsible for the physical maintenance of Personal Computers. To this end, the Data Processing Department will contract with one or more vendors to perform maintenance services. The contractor will be capable of performing maintenance on the full range of PC's and PC printers operated by the county, and he will be committed to the repair of such equipment within one working day of a trouble call.

The Data Processing Department will operate and publicize one or more "Help Desk" numbers where customers may receive assistance in operational problems with PC's. The Help Desk will also be the conduit for the call out of maintenance problems to the contractor.

The Data Processing Department will maintain appropriate logs and records necessary to monitor the contractor's performance in repairing personal computers.

- b. **Workstation Maintenance:** Workstation maintenance will be coordinated through individual departments. The Data Processing Department will issue one or more service contracts for workstation maintenance. These service contracts will specifically cover the workstations on the County's Inventory and will call for 24 hour turnarounds on repairs to workstations.

6. Personal Computer and Workstation Training

- a. **Personal Computer Training:** The Data Processing Department will maintain a training classroom for the purpose of offering PC training. This classroom will provide equipment similar to equipment used throughout the county. This equipment will be capable of running all standard county software. The Data Processing Department will oversee training classes on a regular basis on all standard software packages.

- b. **Workstation Training:** Workstation training will be the responsibility of the individual departments.

7. **Performance and Inventory Reviews**

On a regular basis, the Data Processing Department will perform *performance and inventory reviews* of individual departments. These may be accomplished either at the request of the department, the direction of the County Manager, or on a random basis. The purposes of a performance and inventory review are as follows:

- a. To determine the location and condition of the equipment assigned to the department.
- b. To review the department's PC/Workstation plan for consistency with the county wide plan, and for reasonableness in terms of the goals and objectives of the individual department.
- c. To review the actual performance of the department in terms of its PC/Workstation plan.

The Data Processing Department will provide a written report based on its performance and inventory review. The report will be forwarded to the individual department for comments and/or action. The report will also be forwarded to other authorities as appropriate and as directed. Discrepancies in inventory will be resolved and the Data Processing Department's inventory database will be updated accordingly.

Department Sponsor: Data Processing Department

Policy Review Date: December 1996

References: Minutes of the Board of Commissioners, June 5, 1985
Minutes of the Board of Commissioners, June 7, 1995

Departments Affected: All Departments and Elected Officials



FULTON COUNTY

POLICY AND PROCEDURE

SUBJECT: Approved Retention Guidelines Required For
County Records

DATE: May 17, 1995

NUMBER: 600-48

Statement of Policy:

It is the policy of Fulton County to ensure that its records are created and maintained in such a manner that meets the needs of Fulton County offices; improves services, security, utility, and functionality; and preserves those records of continuing research value. Disposition (transfer to offsite storage facility and/or destruction of any records created or collected by a County Department, Office, or Court in the course of carrying out the various services, functions, and mandates with which the Fulton County Government is charged, cannot be accomplished except under conditions set forth in an approved record retention guideline.

Background:

Under authority of Georgia Code, O.C.G.A. 50-18-99 and the Code of Laws of Fulton County, Sections 23-8-1 thru 23-8-7, Fulton County has established a records management plan. The Data Processing Department is responsible for the administration of the Fulton County Information and Records Management Program. The purpose of this program is to promote efficient use of records from creation, through active use, on to appropriate disposition.

Applicability:

Upon approval, this Policy and Procedure will apply to all Departments, Offices, and Courts of Fulton County.

Responsibilities:

Data Processing Department will:

- (1) Maintain a listing of approved records retention guidelines for all Fulton County Departments, Offices, and Courts.
- (2) Provide advice and assistance in developing or amending records retention guidelines.

All Departments, Offices, and Courts of Fulton County will:

- (1) Ensure that all records created or collected in the course of County business are covered by approved records retention guidelines.
- (2) Take action to ensure that disposition of all County Records is made within the requirements set forth in the applicable approved records retention guideline.

Procedures:

- (1) County Departments, Offices, and Courts can obtain approved records retention guidelines covering their respective records from the Data Processing Department, Information and Image Management Division.
- (2) Departments/Offices/Courts that create or collect records not covered by an existing records retention guideline must complete an **Application For A Records Retention Schedule**.
- (3) Changes that affect the disposition of records (e.g., amendment to State Code, operational requirements, audit procedures, etc.) may render an existing records retention guideline inadequate or inappropriate. This occurrence requires completion of an **Application For A Records Retention Schedule**.
- (4) Assistance and advice in developing or amending records retention guidelines is available through the Data Processing Department, Information and Image Management Division.

Departmental Sponsor: Data Processing Department

Policy Review Date: November 1996

References: Minutes of the Board of Commissioners, May 17, 1995

Departments Affected: All Departments and Offices of Appointed or Elected Officials



POLICY AND PROCEDURE

SUBJECT: Transfer of Records to the Fulton County Records Center

DATE: May 17, 1995

NUMBER: 600-49

Statement of Policy:

Records created or collected by Fulton County offices and courts will be transferred to the Fulton County Records Center only under authority of an approved records retention guideline.

Background:

Under Authority of Georgia Code, O.C.G.A. 50-18-99 and the Code of Laws of Fulton County, Sections 23-8-1 thru 23-8-7, Fulton County has established a records management plan. The Data Processing Department is responsible for the administration of the Fulton County Information and Records Management Program. The purpose of this program is to promote efficient use of records from creation, through active use, on to appropriate disposition.

Applicability:

Upon approval, this Policy and Procedure will apply to all Departments, Offices, and Courts of Fulton County.

Responsibilities:

Data Processing Department will:

- (1) Operate and maintain the Fulton County Records Center to provide safe and secure offsite storage of county records.
- (2) Review all records transfer inventory forms to ensure that records set for transfer to the Records Center are covered by the appropriate approved records retention guideline.
- (3) Maintain a listing of approved records retention guidelines for all Fulton County Departments, Offices, and Courts.

All Departments, Offices, and Courts of Fulton County will:

- (1) Ensure that all records set for transfer to the Records Center are identified on a prescribed records inventory form, to be provided by the Data Processing Department, Information and Image Management Division.
- (2) Identify on the prescribed records inventory form the approved records retention guideline covering those records to be transferred to the Records Center.

Procedures:

- (1) All records set for transfer to the Records Center will be identified on a prescribed records inventory form. All records set for transfer will be associated with an approved records retention guideline.
- (2) All records inventory forms will be reviewed by the Data Processing Department, Information and Image Management Division. This office will provide advice and assistance in identifying appropriate records retention guidelines for records set for transfer to the Records Center.
- (3) No records will be accepted for transfer to the Records center except under the authority of an approved records retention guideline.

Departmental Sponsor: Data Processing Department

Policy Review Date: November 1996

References: Minutes of the Board of Commissioners, May 17, 1995

Departments Affected: All Departments and Offices of Appointed or Elected Officials



POLICIES AND PROCEDURES

Title:	Mobile Communication Device Use Policy		
Policy Number:	600-52	Topical Area:	Administrative Services
Document Type:	Policy	Pages:	9
Revision Date:	April, 2009	Effective Date:	May 20, 2009
POC for Changes:	Department of Information Technology (DoIT)		
Synopsis:	Policy governing mobile communication devices including authorization, management and use.		

- I. **Purpose:** The purpose of this policy is to establish standards for the authorization, management and use of mobile communication devices (MCDs) and related wireless services that are County-owned to promote responsible use by authorized users.

- II. **Scope:** This policy shall apply to all Fulton County officials, employees, contracted and temporary employees, interns, and elected officials who are issued any type of Fulton County MCD to enhance their ability to conduct Fulton County business.

- III. **Statement of Policy:** Mobile communication devices are resources managed by the County's Department of Information Technology (DoIT). Mobile communication devices include, but are not limited to, cell phones, blackberries, broadband wireless cards and radios. All MCD's and corresponding mobile identification numbers/phone numbers are the property of Fulton County and are provided expressly for carrying out assigned official duties. All mobile devices are to be used for official County business.

- IV. **Eligibility:** Criteria for assignments are based on business need and depend on several factors such as percentage of time in the user is in the field, 24/7 assignments and/or duties associated with public safety. Employees approved by their respective department heads/appointed authorities and who meet the criteria may be eligible to receive a MCD. Department heads will submit individual requests for MCDs to the Department of Information Technology including justification based on business need and proof of sufficient funding.

- V. **Careful Use:** Fulton County provides MCDs to conduct official County-related business. Supervisors and/or department heads will grant use of these devices with regard to job function. Once access is provided, users are expected to use these devices in a responsible manner at all times. All usage should be able to withstand public scrutiny without repercussions to Fulton County Government. The responsibility of compliance to this policy lies exclusively with the individual employee. Supervisors and department heads will be required to conduct routine audits of utilization to ensure compliance with this policy. Willful neglect of equipment or failure to report equipment loss will subject the user to disciplinary action as specified by Personnel Regulation, 1800-11-C, "Intentional misuse of, or failure to carry out policies and procedures governing the official use of County-owned or leased equipment and/or systems." Replacement costs associated with neglect or abuse will be directed to the individual user for reimbursement.

VI. **Updates:** The DoIT, upon approval by the Board of Commissioners, will amend, revise, update or modify this policy as needed. This policy supersedes all prior versions of this policy pertaining to the same subject. Notice of modifications to this policy may be given by posting such changes to the County’s Employee Portal or via electronic mail.

VII. **Prohibited Activities:** Certain use or attempted usage of County provided equipment and services are strictly prohibited as prescribed in Article 11, Section C of the County’s Personnel Regulations Manual. The following are **prohibited uses and** shall apply to all County provided MCDs and services:

1. Using directory assistance services: 411, (area code)-555-1212, and other “charge” services: 511, 900 and 976 phone services.
2. Using the device for international (voice, data, or two-way) services. Exceptions may be considered based on business related needs but must be approved by the Director of DoIT and/or the County Manager. The requesting department must agree to pay all charges associated with activation of the international usage plan to include monthly services for the minimum months stipulated by the active contract to ensure that all calls are properly applied under the international usage plan.
3. Texting and downloading multimedia (i.e. ring tones, screen savers, inappropriate material etc.). Texting may be permitted on an individual basis based on business needs and subject to approval of DoIT. Charges associated with this type of activity may be directed to the individual user for reimbursement.
4. Texting while operating a vehicle or machinery is prohibited. Using an MCD while operating a mobile vehicle is strongly discouraged.
5. Conducting private or personal for-profit activities. This includes use for private purposes such as business transactions, private advertising of products or services and any activity meant to foster personal gain.
6. Conducting unauthorized business activities.
7. Conducting any illegal activities as defined by federal, state and/or local laws or regulations.
8. Creating, accessing or transmitting sexually explicit, obscene, or pornographic material as defined by Personal Regulations Article 3-C.
9. Creating, accessing or transmitting material that could be considered discriminatory, offensive, threatening, harassing, or intimidating.
10. Creating, accessing or transmitting photographs that are not related to Fulton County business.
11. Creating, accessing, or participation in online gambling.
12. Downloading any service, application, process, ring tones, software, screen savers or other non-standard technology.
13. Infringing on any copyright, trademark, patent or other intellectual property rights.

14. Performing any activity that could cause the loss, corruption of or prevention of rightful access to data or the degradation of system/network performance.
15. Conducting any activity or solicitation for political or religious causes.
16. Distributing unauthorized county data and information.
17. Attempting to subvert the security of any County resources.
18. Using another employee's access for any reason unless explicitly authorized.
19. Attempting to modify or remove computer equipment, software, or peripherals without proper authorization.
20. Transmitting libelous or defamatory statements or material.
21. Using Non-County authorized instant messaging.

VIII.

User Responsibilities: Responsibilities and associated actions apply to all users. Users must:

1. Review and sign a Mobile Communication Device Use Agreement and submit to management.
2. Control the use of their devices by insuring unauthorized persons are not allowed to access or use the MCD. Examples of unauthorized persons include consultants, vendors, visitors, friends, and family members. Use of passwords to lock device is recommended.
3. Maintain the assigned MCD in good condition. The employee is responsible for any damage caused to equipment through neglect or abuse. Any loss or theft of a MCD must be reported immediately to the appropriate supervisor, the department's Mobile Communication Device Coordinator (MCDC) and DoIT. Willful neglect of equipment or failure to report equipment loss will subject the employee to disciplinary action as specified by Personnel Regulation, 1800-11-C, "Intentional misuse of, or failure to carry out policies and procedures governing the official use of County-owned or leased equipment and/or systems." Replacement costs associated with neglect or abuse may be directed to the individual user for reimbursement.
4. Promptly return all MCD equipment, accessories, and related assets if the user of a MCD or service is terminated, retires, transfers, separates or leaves Fulton County for any reason.
5. Establish acceptable usage amounts with management. Department heads and supervisors will be required to conduct routine audits of utilization to ensure compliance with acceptable usage amounts and this policy.
6. Reimburse the County for any non-official calls and/or personal text messages that management deems above the prescribed acceptable amounts established with management or out side the scope of the employee duties. Any calls made for non-official purposes are the responsibility of the employee. Users may also be required to reimburse the County for any non-official calls or usage that exceed the plan minutes/units of usage, or exceeds management's agreed usage amount, and/or usage

resulting in additional/excess billing charges to the County. Personal calls are prohibited except in cases of emergency or other special circumstances.

7. Understand all communications using Fulton County provided devices are the property of Fulton County, are subject to monitoring and may be subject to disclosure under the Georgia Open Records Act. Fulton County reserves the right to monitor for unauthorized activities in any form.

IX. User Department Management Responsibilities:

1. Insure all employees under their supervision adhere to all user and management responsibilities.
2. Maintain copies of current Mobile Communications Device Usage Agreements for all applicable employees.
3. Establish the acceptable usage amount for each employee and monitor the usage monthly to insure compliance within agreed amounts.
4. Implement a methodology that includes a monitoring process to validate and control usage. Each department shall document their internal telecommunications monitoring process and keep the process in their department files for auditing purposes.
5. Control usage-sensitive mobile communication costs by:
 - A. Minimizing the number of MCDs allocated through proper validation and justification based on eligibility and business need.
 - B. Promoting the alternative use of fixed services (e.g. landlines, computers, etc.) rather than utilizing usage-sensitive services.
 - C. Monitoring monthly costs using statements, wireless management reports, invoices or other published methods to validate usage-sensitive charges and overall use.
 - D. Prohibiting personal or non-work-related "3rd Party Billed" calls or "collect calls"
6. Ensure that fixed services (e.g. landlines, computers, etc.) are utilized by employees rather than wireless devices that generate usage-sensitive charges when fixed services are readily available. Example: Using landline when available rather than using a mobile device.
7. Control the costs of wireless access by carefully managing the use of County devices for unauthorized purposes
8. Review the monthly bills for excessive and inappropriate use.

X. Department Head/Appointed Authority Responsibilities:

1. Each department head will develop and maintain an inventory of MCDs assigned within their respective department (spreadsheet). This inventory shall be submitted to DoIT annually (not later than August 1) to insure proper reconciliation with the master inventory. This list will also be distributed to the County Manager's Office,

Finance Department (Budget) and Emergency Services Departments. The contents of the spread sheet are defined in the “definitions” section of this policy (Appendix A).

2. Each Department Head shall appoint a person to serve as the department’s Mobile Communication Device Coordinator (MCDC). The MCDC will service as the liaison between the department and DoIT as it relates to MCDs.
3. Department Heads shall determine eligibility for MCD use by reviewing the job specifications, function, and communications requirements for each position.

XI. Mobile Communication Device Coordinator (MCDC) Responsibilities:

1. Will maintain an up-to-date inventory of all MCDs respective to their department, listing each individual device and the staff member assigned. The inventory must be kept current by the department. All reassignment of devices must be communicated to DoIT for contract administration purposes.
2. Will coordinate with DoIT to insure eligible employees receive authorized MCDs.
3. Will report immediately all lost or damaged MCDs to DoIT.
4. Will review monthly usage reports and provide recommendations on reassignment, termination or modified use of MCDs.

Each department/agency is responsible for the control and minimization of costs associated with MCD services.

XII. Department of Information Technology (DoIT) Responsibilities:

1. Acts as the County’s MCD resource manager.
2. Provides contract administration for all MCDs including procurement, billing, reporting, and vendor oversight.
3. Monitors funding levels and authorization amounts in conjunction with the Finance Department (Budget).
4. Manages the MCD contracts in conjunction with the Purchasing Department to ensure funding level authorizations specified on purchase orders are not exceeded.
5. Maintains an inventory of all MCDs based on contracts and department coordination.
6. Provides wireless management reports from service provider(s) to department heads to assist with usage monitoring.
7. Provides training for the appropriate and effective use of the MCD and services.
8. Provides first tier of technical support needed for equipment or service related issues.
9. Provides training for the appropriate and effective use of the MCD and services.

Owner's manuals, quick tips, and FAQs will be published on the County's Employee Portal. Technical issues or inquiries can be directed to DoIT via the IT Helpdesk.

XIII. Right to Monitor and Security:

County Right to Monitor Communications: Fulton County reserves the right to monitor and review all communications or other transmissions made to or from any County provided device without notice to employees.

Security: Security of sensitive information is paramount. It is suggested that sensitive communications be conducted through wireless technologies configured to the highest security level possible. Agencies are responsible for determining the level of security required to meet their business objectives and bear the risk associated with using settings other than the highest available. Agencies are strongly cautioned against using wireless communications to transmit or store sensitive information. Use of passwords to lock the device is strongly recommended.

XIV. Authorization & Acquisition Procedure

1. **Eligibility:** The use of wireless and mobile technology by government employees is provided as an effective communication tool to be more responsive to the constituency they serve. Department directors will review the job specifications, functions and communication requirements for each position to determine eligibility prior to the issuance of an MCD.
2. **Funding and Approval:** The following steps are required to procure authorized MCDs:
 - a. Ensure department has funding to make purchase. Funding for all MCDs, associated services, and accessories is the responsibility of the requesting department. Each department shall consider the costs of acquiring, replacing, upgrading and maintaining (monthly service costs) MCDs to determine the long-term fiscal impact.
 - b. Secure approval from the Finance Department's assigned budget analyst.
 - c. Submit a request to DoIT with department head and budget analyst approval. Request forms are located on the Employee Portal.
3. **Acquisition:** Upon receiving a completed request form that is approved by the department head, the budget analyst (Finance) and Director of DoIT, DoIT will:
 - a. Submit the request to MCD vendor
 - b. Issue a Mobile Communication Device Use Agreement to user
 - c. Inventory and deliver MCD to requesting department or user

XV. Use of Personal MCD: Privately owned MCDs may be utilized by staff under the following conditions:

1. Use is approved by the department director
2. The device conforms to the standards as established by DoIT
3. DoIT's service provider is already providing similar services to Fulton County
4. The employee signs an acknowledgement stating that he or she understands that all calls, emails and attachments being processed shall conform to established protocols and that all records are subject to the Georgia Open Records Act. Fulton County is not responsible for maintenance, billing, support, loss or damage of any personal MCD.
5. Fulton County will not reimburse employees for any charges incurred as a result of using a personal MCD in the performance of duties.

XVI. Text Messaging: All County issued MCDs shall not be equipped with text messaging features unless authorized by appropriate user departments and the DoIT.

Departmental Sponsor

Department of Information Technology (DoIT)

Policy Review Date:

April 2010

References

Minutes of the Board of Commissioners, January 17, 1996
Minutes of the Board of Commissioners, February 18, 2004
Minutes of the Board of Commissioners, May 20, 2009

Appendix A – Common Terms and Definitions

1. **Business Call/Use** - A call that fosters or supports the ongoing missions of the County.
2. **Coverage** - Coverage is the geographical area between a cellular tower and a cell phone user that allows the user make phone calls.
3. **Eligible Employee** - A Fulton County employee who has been assigned to an appropriate position designated by a department director requiring the use of a MCD in the performance of his/her County-related duties. An employee agreement form for each employee who uses a mobile communications device must be on file.
4. **Local Call** - A call for which there is no additional identified charge to the County. The call does not leave the local phone companies network.
5. **Long-Distance Call** - calls that have additional toll charges related to the distance and time duration of the call. Fulton County requires authorization codes for all long distance calls.
6. **Mobile Communication Devices (MCD)** - for purposes of this policy, includes devices that receive or send transmission for the purpose of providing business related, personal voice, data and/or text messaging communication services. Examples of such devices include, but are not limited to cellular or personal cell service phones, blackberries, wireless modems (air cards), personal digital assistants (PDAs), two-way radios (conventional and trunked-technologies) and pagers.
7. **Mobile Communications Device Coordinator (MCDC)** – an individual designated by a department director responsible for coordinating acquisition and management of MCDs respective to their department. MCDCs are required to keep an updated list of all MCDs assigned to their respective department.
8. **MCD Reporting Spread Sheet (Excel)** – MCD usage list shall contain the following field information:
 - Position Number
 - Job Title
 - DBM Level
 - Employee Name (Last, First, Middle)
 - MCD authorized (Radio, Cell phone, Blackberry, etc.)
9. **Non-official Call/Use** - any call not related to or pursuant to official county business.
10. **Official Business Needs** – the user or employee engages in work-related business, or travel that requires mobility and access in order to conduct County business.
11. **Personal Call/Use** – any calls not related to or pursuant to official county business.
12. **Push to Talk - (PTT)** or Press to Talk is a feature that allows cellular service to behave like two-way radios. The service allows one user to transmit while the other user is in receiver mode. The service is characterized by a button that transitions between transmit and reception modes. (e.g. Nextel)

- 13. Roaming** – The use of a different service provider’s network to process cellular calls or services.
- 14. Sensitive Information** - Personal, confidential, or protected information that is not meant for public view.
- 15. Usage-Sensitive Services** – where service charges are related to the amount of usage in terms of volume of calls (minutes used), amount of data transmitted (packets used), or number of occurrences (number of text messages transmitted).

Examples include wireless internet service, cellular airtime, text messaging, roaming charges and long distance calling, where such services are charged on a per megabyte (MB), per minute or per occurrence basis.

- 16. Users** - Any reference to “users” should be interpreted as individuals accessing and/or using County IT assets, including full or part-time employees, contractors, consultants, interns, volunteers, and any other authorized individuals attempting access or use of the County’s IT infrastructure



Mobile Communication Device Use Agreement

Employee Information:

Employee Name:		Department:	
Title:		Office #:	

Device Information:

Device Telephone #:		Model Name:	
Carrier:		Pin #:	
ESN DEC #:		ESN HEX #:	
IMEI#		SIM#	

Comments:

Usage and Restrictions

Fulton County provides wireless devices as business tools and personal use is explicitly prohibited except in cases of emergencies or other special circumstances. All usage is monitored and governed by Fulton County Policies and Procedures. Intentional misuse of the wireless device is subject to progressive disciplinary actions listed in **PR-1800-2 ART. 11. D.** Employees are required to reimburse the County for any usage deemed excessive as outlined in this policy. Payments must be made to the Fulton County Finance Department within thirty (30) days of notification. Proof of payments must be presented to the Department of Information Technology. Failure to provide proof of payment within the required time period will result in termination of service.

Acknowledgement of Receipt

By signing this receipt, the employee acknowledges the following:

- I have read and been provided with a copy of the Fulton County Mobile Communication Device and Use Policy, 600-52.
- I understand that this device is only authorized for official Fulton County business use.
- I agree to be accessible through this MCD to my management staff.
- I understand and agree to comply with this policy and all policies relating.

Signatures:

TITLE	SIGNATURE	DATE
EMPLOYEE		
REQUESTING DEPARTMENT MOBILE COMMUNICATION COORDINATOR		
DoIT WIRELESS COORDINATOR		



Mobile Communication Personal Device Acknowledgement

Employee Information:

Employee Name:		Department:	
Title:		Office #:	

Device Information:

Device Telephone #:		Model Name:	
Carrier:		Pin #:	
ESN DEC #:		ESN HEX #:	
IMEI#		SIM#	

Acknowledgment:

I have read, understand, and agree to comply with Fulton County Government's Mobile Communications Device Use Policy and Procedures. I understand that Fulton County is not responsible for any maintenance and/or costs associated with the use of my personal mobile communication device. I understand that all County communications via my personal mobile device are subject to Georgia Open Records and County policies and procedures.

User's Signature

Date



POLICY AND PROCEDURE

SUBJECT: **Information Technology-Acceptable Use Policy**

DATE: March 21, 2012

NUMBER: 600-60

STATEMENT OF POLICY

The purpose of this Information Technology (IT) Acceptable Use Policy is to summarize focus points of the County's IT security guidelines and confirm that authorized users are aware of these rules by their acknowledgment of this policy. Information Technology resources are provided to authorized "users" to conduct and facilitate official County business. It is the responsibility of each user to make certain that such resources are not misused. This policy summarizes user responsibilities and governs the acceptable use of IT infrastructure, services, and equipment. The Department of Information Technology (DoIT) must approve all IT related purchases including services and goods. All IT related equipment must conform to IT standards and protocols. DoIT will not support any equipment or services that do not comply with IT standards. All information created, transmitted, and stored on Fulton County IT resources are the sole property of Fulton County and is subject to monitoring, review, and seizure. All requests for public records are to be coordinated through the Fulton County Attorney's Office pursuant to County Policy 600-10 (Implementation of Georgia Open Records Act), before access is granted to the public.

The acceptance and use (i.e. authentication) of County provided system "logins" (username + password) is an acknowledgement of all IT policies. The failure to sign any form(s) required by Fulton County to access or utilize its IT system will not absolve or prevent you from being disciplined or being subject to civil or criminal prosecution from its misuse. The County may institute additional, supplemental or new policies subsequent to this agreement to better define specific categories relating to IT resources. Failure to comply with IT policies and procedures may subject a user to County and agency-specific disciplinary action. In addition, a violation of this policy may also be a violation of the law and could subject a user to an investigation and criminal or civil prosecution.

APPLICABILITY

This policy shall apply to all Fulton County users including: employees (permanent, temporary, contract), officers, elected officials, consultants, vendors, etc. For the purposes of all IT policies and procedures, the term "user" refers to anyone who is provided access to the County's IT resources such as infrastructure, services or equipment.

POLICY OVERVIEW

The following are key points regarding the use of IT resources and IT security:

- Information created or used in support of County business activities is the property of the County.

- Users have no privacy rights, except those that may be afforded by State of Georgia or federal laws, when using County resources and/or equipment.
- Assigned IT resources are meant to facilitate the efficient and effective performance of official duties. It is each user's responsibility to ensure that these resources are not misused and that they comply with all laws, County policies and procedures.
- All requests for IT service and equipment should be directed to the IT Service Desk using the following options:
 - Telephone- (404) 612-7334 (Use phone option for after-hours emergencies to engage the on-call staff)
 - Email- helpdesk@fultoncountyga.gov
 - Online- self-service requests can be made via the Employee Portal
- Users will accept financial responsibility for replacement or repair of IT assets in their possession as a result of neglect and/or misuse. Fulton County Personnel Regulations 1800-11-C and 1800-11-D, among others, govern the disciplinary actions associated with the misuse of County owned assets by employees.
- Many County facilities house sensitive or critical information systems. You are expected to comply with all physical access controls designed to restrict unauthorized access.
- It is the responsibility of each user to take appropriate precautions to prevent damage, loss, theft and unauthorized use of their County-issued equipment. Locking devices and strong passwords should always be used to minimize theft and unauthorized use.
- The use of the IT network and Internet is a privilege, not a right. If you violate any applicable policy, you may lose your access. The County may refuse to reinstate your access. The County may also take other disciplinary action.
- Users must return all issued IT assets to their supervisor or department head upon transfer, termination, retirement, or any form of separation from the County. Examples of IT assets include (but are not limited to) computers, laptops, printers, projectors, scanners, cameras, phones, radios, pagers, software or other applications, any data stored on any media including file servers, portable storage media, etc. Failure to return these assets will result in appropriate action being taken by the County.

USER RESPONSIBILITIES

User responsibilities fall under several categories. Each category and the key responsibilities associated with it are listed below:

USER IDs AND PASSWORDS

- You will be issued a network username/userID/logon unique to you. Only you may use your userID to access County resources (e.g. computer, telephone, software applications, etc.).
- You will be issued a default password at the same time as your userID. You will be immediately prompted to change your password the first time you login to the network/system.
- Users must use strong passwords (as defined herein) and will be required to change their passwords frequently for security purposes.
- Do not share your userID + password with anyone including coworkers and/or supervisors. Treat your password as sensitive and highly confidential information.
- Change your password immediately if you think someone else knows it (*CTRL+ALT+DEL, Change Password*). Report your suspicions to management and the Department of Information Technology (DoIT).
- If you lose or forget your password, *you* will need to request a password reset through DoIT. No one else can do it for you.
- All mobile devices, including smart phones, tablets, etc. must be configured with password protection that activates after two (2) minutes of idle time to minimize unauthorized use.
- Use the “logoff” or “lock” feature with password protection anytime you leave your workstation (especially remote sessions) to minimize unauthorized use.

HARDWARE AND SOFTWARE

- Never download or install any software to any County device without prior written approval from the Department of Information Technology (DoIT).
- Any costs/fees associated with unauthorized downloads or services will be the user’s responsibility (e.g. downloads from mobile “Apps.” markets/stores).
- Do not make any changes to system and/or software configuration files unless specifically authorized in writing by DoIT.
- Do not connect a laptop or any other mobile device to the County’s secure network until it has been approved by DoIT and scanned for viruses and malicious software.
- Follow the authentication procedures defined by DoIT whenever you login to the County’s network via a DoIT approved remote access protocol.
- Retain original software installed on your computer if it is provided to you. The software must be available when your system is serviced in case it needs to be reinstalled.

- Do not keep liquids or magnets on or near computers, as they can cause serious damage.
- Report all IT systems problems in detail on the appropriate form and/or when you contact the DoIT Help/Service Desk or discuss the problem with your agency's IT Coordinator.
- Report equipment damage and/or loss immediately to the DoIT Help/Service Desk and your department head.

EMAIL and TELEPHONE

- County email, telephone systems and networks are to be used for official County business.
- Email is provided to employees for the administrative needs of the County. Email correspondence to/from a County email account is considered public information and may be subject to release under the Georgia Open Records Act (OCGA 50-18-70 et seq.) or pursuant to subpoena. All requests for public records are coordinated through the Fulton County Attorney's Office pursuant to County Policy 600-10-Implementation of Georgia Open Records Act.
- Management can freely inspect or review email and data files including voicemail. Employees should have no expectation of privacy regarding their Internet usage, email or any other use of County computing or telephone device.
- Do not use a County email account or voicemail box assigned to another individual to send or receive messages unless you have been authorized in writing by your department head to act as that individual's delegate.
- Use of personal Internet-based (external) email systems from County networks is prohibited unless there is a compelling business reason for such use and prior written approval has been given by DoIT.
- Do not configure or use automated forwarding to send County email to Internet-based (external) email systems unless specifically authorized to do so, in writing, by DoIT.
- Send confidential information via email only with the written permission of your department head and only via an approved encryption method. Mark the email according to agency retention policies.
- Treat confidential or restricted files sent as attachments to email messages as *highly sensitive information*. This also applies to confidential or restricted information embedded within an email message as message text or a voicemail message.
- Do not delete any records (e.g. email, voicemails, etc.) if management has identified the subject matter as relevant to pending or anticipated litigation, personnel investigation, or other legal processes.
- Indiscriminate use of distribution lists. Before using a distribution list, determine whether or not it is appropriate for everyone on that list to receive the email.

- Broadcast e-mail messages are to be coordinated centrally by an approved member of the County's Office of Communications and using a DoIT approved ListServ. service and are not to be sent by individual users using County email.

INTERNET / INTRANET

- Internet/Intranet access is to be used primarily to conduct County business.
- You may access the Internet for limited personal use only during non-working time and in strict compliance with IT policy. If there is any doubt about whether an activity is inappropriate, consult with your department head, his/her designee or DoIT.
- Fulton County offers unsecure Public WiFi Internet access at a number of facilities for use by constituents who visit a County facility to conduct business. Use of Fulton County's unsecure Public WiFi Internet access by employees who have been provided access through the secured wired or wireless network is strictly prohibited, unless authorized in writing by DoIT.

INFORMATION SECURITY

- Treat hardcopy or electronic Personally Identifiable Information (PII) as confidential and take all precautions necessary to ensure that it is not compromised. Intentional or even accidental disclosure of PII or other security sensitive data to unauthorized users is a violation of policy.
- Official emails and Systems Alerts from Fulton County DoIT will always have the following:
 - DoIT Systems Alert Header
 - @fultoncountyga.gov address
 - Or come directly from the Chief Information Officer (CIO)
- Don't leave PII or sensitive information unattended or unsecured for any period of time.
- Be sure to follow your agency's policy for disposing of confidential/sensitive data. This may include the physical destruction of data through shredding or other methods.
- Confidential or sensitive data should never be stored locally (i.e. hard drive of any device) on any remote endpoint device without written approval from your department head and proper security/encryption applied. All sensitive data should be stored on the County's secure data network.
- Confidential or sensitive data should never be sent via email without the proper data encryption applied. If there is a business need to send sensitive data via email, the department head may request encryption services through DoIT for named users.
- Maintain your business data files on the County's secure data network or "shared" network drive (e.g. H:, P: drives) so that they can be backed-up according to DoIT's

regular back-up schedule. Data on local hard drives (e.g. C: drive, portable storage, etc.) are not backed-up by DoIT and may be lost in the event of a hardware failure.

- Storing confidential or sensitive data to “cloud” storage services (e.g. Google Cloud, iCloud, etc.) or any unauthorized data network is strictly prohibited.
- All users are responsible for ensuring proper retention of data/records in compliance with law and agency-specific records retention schedules. This includes all records created and stored using IT resources. Please consult your department head to ensure you understand your agency-specific records retention schedules. Data/records with no retention value and that do not contain sensitive information should be archived off the County’s secure shared data network.
- Remote access to the County’s secure network must be approved by your department head and DoIT. DoIT defines all remote access protocols and tools. Unauthorized remote access accounts (e.g. personal GoToMyPC, LogMeIn, etc.) are strictly prohibited and may lead to the revocation of IT access and disciplinary action.
- All individuals and machines, while using the County’s remote access technology, including County-owned and personal equipment, are a de facto extension of Fulton County’s secure network, and as such are subject to the County’s IT Acceptable Use Policy and IT security checks.
- All devices (e.g. computer, cell phone, tablet, etc.) connecting to the County’s network must be approved by DoIT and will be subject to IT security protocols. At minimum, all remote computers must maintain up-to-date operating systems with security patches and up-to-date anti-virus software; this includes all personally-owned devices. Antivirus software is available for authorized remote users.
- Never use a public PC (e.g. Internet Café, Kinkos, etc.) or any unsecure end-point device to remotely connect to the County’s secure network. Hackers will often install malicious software such as keystroke loggers to obtain confidential/sensitive information.
- Lost devices (which have been connected) must be reported to DoIT and may be subject to remote erasure/wipe to minimize unauthorized use and potential security breaches. Personal data may be lost.
- Users must use “https:” (i.e. hypertext transfer protocol secure) on any website where authentication (i.e. username + password) and/or security sensitive information is passed (e.g. payment transactions, etc.)
- IT security standards and protocols are designed to minimize the potential exposure to Fulton County from damages which may result from unauthorized use of the County’s resources. Damages include the loss of sensitive or confidential data, intellectual property, damage to public image, damage to critical County internal systems, etc.

- Information created, sent, stored or received via the email system, network, Internet, telephones (including voicemail), fax or the Intranet is the property of the County.
- Do not expect information you create and store on County systems, including email messages or electronic files, to be private. Encrypting or using other measures to protect or “lock” an email message or an electronic file does not mean that the data are private.
- The County reserves the right to, at any time and without notice, access, read and review, monitor, and copy all messages and files on its computer system as it deems necessary.
- The County may disclose text or images to law enforcement without your consent as necessary.

ADDITIONAL PROHIBITED ACTIVITIES

Unless you are specifically authorized by your department head and DoIT in writing, the following uses are also prohibited (Violators will be disciplined under appropriate Fulton County regulations or as provided by other applicable civil or criminal laws):

- Using, transmitting, or seeking inappropriate or offensive materials, including but not limited to vulgar, profane, obscene, abusive, harassing, belligerent, threatening, or defamatory (harming another's reputation by lies) language or materials.
- Accessing, attempting to access, or encouraging others to access inappropriate or offensive materials, including but not limited to vulgar, profane, obscene, abusive, harassing, belligerent, threatening, or defamatory language or materials.
- Revealing confidential/sensitive or PII without permission, such as another's home address, telephone number, credit card number, Social Security Number, medical records, etc.
- Making offensive or harassing statements and/or jokes which violate EEO policies concerning but not limited to language, race, color, religion, national origin, veteran status, ancestry, disability, age, sex, or sexual orientation.
- Sending or soliciting sexually oriented messages, images, video or sound files.
- Visiting sites featuring pornography, terrorism, espionage, theft, drugs or other subjects that violate or encourage violation of the law.
- Gambling or engaging in any other activity in violation of local, state, or federal law.
- Uses or activities that violate the law or County policy or encourage others to violate the law or County policy. These include:
 - Accessing, transmitting, or seeking confidential information about clients or coworkers without proper authorization.

- Intruding, or trying to intrude, into the folders, files, work, networks, or computers of others, or intercepting communications intended for others.
- Knowingly downloading or transmitting confidential information without proper authorization.
- Uses that cause harm to others or damage to their property. These include but are not limited to the following:
 - Downloading or transmitting copyrighted materials without the permission of the copyright owner (e.g. music, movies, files, etc.) Even if materials on the network or the Internet are not marked with the copyright symbol, ©, assume that they are protected under copyright law.
 - Using someone else's password to access the network or the Internet.
 - Impersonating another user or misleading message recipients into believing that someone other than the authenticated user is communicating a message.
 - Uploading a virus, other harmful component, or corrupted data or vandalizing any part of the network.
 - Creating, executing, forwarding, or introducing computer code designed to self-replicate, damage, or impede the performance of any computer's memory, storage, operating system, application software, or any other functionality.
 - Engaging in activities that jeopardize the security of the County network or other networks on the Internet.
- Conducting unauthorized business or commercial activities including, but not limited to:
 - Buying or selling anything over the Internet.
 - Soliciting or advertising the sale of any goods or services.
 - Unauthorized outside fund-raising activities, participation in any lobbying activity, or engaging in any prohibited partisan political activity.
 - Posting County, department and/or other public agency information without permission from you department head to external news agencies, service bureaus, social networking sites, message boards, blogs or other forums.
- Uses that waste resources, including, but not limited to:
 - Printing of personal files.
 - Sending chain letters for any reason.

Departmental Sponsor:

Department of Information Technology (DoIT)

Policy Review Date:

March 2013

References:

- Georgia Open Records Act, as amended, O.C.G.A. § 50-18-70 et seq. and Fulton County Code § 102-81
- Policies and Procedures 600-10- Implementation of the Georgia Open Records Act
- Fulton County Personnel Regulations 1800-11-C and 1800-11-D
- Policies and Procedures 600-61- IT Network Infrastructure Administration

Departments Affected:

All County Users

TERMS AND DEFINITIONS

Authentication	The process of verifying the identity of anyone who wants to use County information systems before granting them access. Also known as "login" (username + password).
Back-up	To copy files to a second storage medium (for example, a disk or tape) as a precaution in case the first storage medium fails.
Confidentiality / Non-Disclosure Agreement	An agreement that outlines sensitive materials or knowledge that two or more parties wish to share with one another. They agree not to share or discuss with outside parties the information covered by the agreement.
Configuration Files (System or Software)	Highly important files that control the operation of entire systems or software.
Copyrighted	The legal right granted to an author, composer, developer, playwright, publisher, or distributor to exclusive publication, production, sale, or distribution of a literary, musical, dramatic, or artistic work.
DoIT (Department of Information Technology)	Fulton County agency responsible for IT resources such as technology infrastructure/networks, applications/software and data systems.
Electronic Communication	Messages sent and received electronically through any electronic text or voice transfer/storage system. This includes e-mail, text messages, instant messages (IM), voicemail, etc.
Encryption	The translation of data into a secret code. Encryption is the most effective way to achieve data security. To read an encrypted file, you must have access to a secret key or password that enables you to " <i>decrypt</i> " it. Unencrypted data is called <i>plain text</i> ; encrypted data is referred to as <i>cipher text</i> .
Hacker	Person who accesses a computer system by circumventing its security system.
Information Security	Safeguarding an organization's data from unauthorized access or modification to ensure its availability, confidentiality, and integrity.
Information Technology (IT)	The broad subject concerned with all aspects of managing and processing information within an organization.
Keystroke Logger	Keystroke logging is the action of tracking (or logging) the keys struck on a keyboard, typically in a covert manner so that the person using the keyboard is unaware that their actions are being monitored.
Listserv.	Email service which allows large broadcast emails to be sent without compromising the County's internal email systems.

Local Security Administrator (LSA)	The person at each agency who is responsible for the operational maintenance of IT security resources within the agency.
Malicious Software	Malware, short for malicious software, is software (or script or code) designed to disrupt computer operation, gather sensitive information, or gain unauthorized access to computer systems.
Network	Two or more linked computer systems. There are many different types of computer networks.
Password	Sequence of characters (letters, numbers, symbols) used in combination with a User ID/username to access a computer system or network. Passwords are used to authenticate the user before s/he gains access to the system.
Personally Identifiable Information (PII)	Any piece of information that could be used to uniquely identify, contact, or locate a single person. Examples include: full name; national identification number; email address; IP address; driver's license number; and Social Security Number.
Portable Storage Device	Any device used to store data/information that can be carried from one place to another with relative ease.
Records Retention	Retention requirements is a term used to refer to the rules set by the State of Georgia regarding the length of time different types of public records must be stored before they can be discarded.
Remote Access	Accessing the County's secure IT network from a remote location outside of the County's corporate firewall (e.g. home, field, etc.). Remote access services are defined by DoIT (e.g. VPN, Remote Desktop Protocol, etc.)
Sensitive Information	Any information, the loss, misuse, or unauthorized access to or modification of which would adversely affect the interest or the conduct of programs, or the privacy to which individuals are entitled.
Strong Passwords	A password that is difficult to detect by both humans and computer programs, effectively protecting data from unauthorized access. A strong password consists of at least six characters (and the more characters, the stronger the password) that are a combination of letters, numbers and symbols (@, #, \$, %, etc.) if allowed.
User	Any individual who is provided access to the County's IT resources including employees and contractors.
UserID	Unique name given to a user for identification to a computer or telephone network, database, application, etc. Coupled with a password, it provides a minimal level of security.
Virus / Malicious Software	A software program that interferes with computer operation, damages or destroys electronic data, or spreads itself to other computers. Viruses and malicious software are often transmitted via email, documents

	attached to email, and the Internet.
WiFi	Any of several standards for short-range wireless data transmission.
Workforce Member	Any member of the County workforce, including employees, temporary help, contractors, vendors and volunteers.



ACKNOWLEDGEMENT

- If you disregard security policies, standards, or procedures, you are subject to County and agency-specific disciplinary action.
- A violation of this policy may also be a violation of the law and could subject you to investigation and criminal or civil prosecution.

By signing this document, I acknowledge that I have read, understand and will comply with the Fulton County Information Technology Acceptable Use Policy. In addition, the acceptance and use (authentication) of County provided system “logins” (username + password) is a further acknowledgement of all IT policies. I understand that there are additional and may be subsequent IT related policies that will be available for me to review.

USER INFORMATION

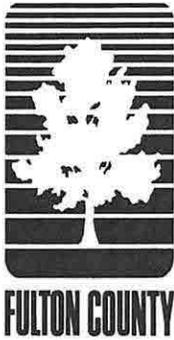
Last name	First name	Middle

DEPARTMENT OR COMPANY INFORMATION

Department or Company Name	Division

Date	User Signature
	X _____

Cc: Employee Personnel File
Contract File



POLICY AND PROCEDURE

SUBJECT: Information Technology Network Infrastructure Administration

DATE: April 7, 2004

NUMBER: 600-61

Statement of Policy: It shall be the policy of Fulton County to ensure that its information technology network infrastructure is established, maintained and administered in a manner that provides effective, efficient and secure access to information resources acquired and maintained via electronic means. The administration of the County's network infrastructure, to include Internet, intranet, e-mail, telecommunications and connectivity to all County computer systems, shall be governed by this policy.

Background: The Department of Information Technology is responsible for the administration of the County-wide information network infrastructure. This requirement is a result of the demand for ensuring the secure and uninterrupted operation of the County's varied communications networks. This includes telecommunications, Local Area Networks (LANs), Wide Area Network (WAN), e-mail, and other internal (County) and external (other governments, outside organizations, etc.) communications protocols between computer systems. The dispersal of computer systems and network resources, and exposure posed by modern communications systems, compounded by the rise and consequences of computer born viruses to County computer systems, contribute to the need for a centralized administration of the County's information network.

Definitions:

Backbone - the core network infrastructure (wiring, fiber optics, network switches and routers, etc.) that provides a high-speed connection between all of the various servers within the campus environment.

Cabling - wiring (generally copper or fiber optic) used to connect individual computer devices to the LAN or Backbone.

Domain - a group of computers and devices on a network that are administered as a unit with common rules and procedures. Within the Internet, domains are defined by the IP address. All devices sharing a common part of the IP address are said to be in the same domain.

File Server - one or more personal computers (PCs) or specialized computers that contain files and share them with all other authorized network users. The activity is controlled by software known as the Network Operating System (NOS). Depending upon the features of the file server software, a network user may share files and data from one or more dedicated servers.

Internet Protocol (IP) - an addressing convention mechanism that enables equipment located on multiple networks to communicate with each other. IP performs something like the Internet's postal addressing system.

Local Area Network (LAN) - a data communications network spanning a limited geographical area, often a few thousand feet within one building. It connects PCs, other forms of computers and specialty networking devices.

Mainframe - a large computer with packaged software and peripherals (printers, disk drives, tape systems, etc.).

Network Administrator - an agent or organization responsible for the development, management, operation, and supervision of a computer network. This includes equipment, cabling, data circuits, and addressing conventions.

Network Administration - activities and/or actions performed in managing a computer network. These activities and/or actions enable a Network Administrator to coordinate information and resources effectively and expeditiously. This includes the design, monitoring, and supervision of the communications infrastructure.

Network Management - a set of activities designed to keep the network running optimally. These activities fall into five categories: 1) configuration management; 2) fault location and repair management; 3) security management; 4) performance management; and 5) accounting management.

Router - a network device that determines where and how a unit of data should be forwarded toward its destination within a Local Area Network (LAN) or a wide Area Network (WAN).

SPAM – an e-mail (electronic message) in which: (1) the recipient's personal identity and context are irrelevant because the message is equally applicable to many other potential recipients; and (2) the recipient has not verifiably granted deliberate, explicit, and still-revocable permission for it to be sent; and (3) the transmission and reception of the message appears to the recipient to give a disproportionate benefit to the sender.

Switch - a network device that selects a path for sending a unit of data to its next destination.

Wide Area Network (WAN) - a data communications network that covers a wide geographical area. A WAN may include a variety of transmission technologies such as private lines, T1 circuits, packet switching networks, satellite hops, microwave links, dial up phone lines and the equipment to use them.

Applicability: This Policy and Procedure applies to all Fulton County Departments and Offices of Appointed and Elected Officials.

Responsibilities: The CIO/Director of the Department of Information Technology has been given the responsibility by the Board of Commissioners (BOC) and the County Manager to establish standards relating to information technology administration and staffing and the acquisition of information technology systems, equipment and services for all Fulton County agencies. The Department of Information Technology is the responsible Network Administrator.

This includes managing all Network physical connections between offices, agencies, computer systems and facilities.

A. Responsibilities of the Department of Information Technology include:

1. Adding users and servers to the network.
2. Providing for network/internet access and security (anti-virus, anti-SPAM, etc.).
3. Addressing conventions of computers and other devices attached to the network.
4. Managing the installation, maintenance, monitoring, and administration of switches and routers.
5. Ensuring the delivery of secured structured cabling for all facilities.
6. Defining IP addressing to include addressing scheme development and administration.
7. Providing backbone access to include fiber installation and support.
8. Providing for moves, adds, and changes to network assets (PCs, printers, etc.) as it relates to connectivity.
9. Providing back-ups for systems common to County agencies (excludes items/applications/systems unique to a unit, office, agency, etc.).
10. Providing Dynamic Host Configuration Protocol (DHCP) administration to manage addressing of devices connected to the network.
11. Providing Remote Site Connectivity or WAN to devices, which enables facilities located outside of the Government Center to connect to the County's network(s). This includes cabling, routers, switches, and circuits.
12. Developing and upgrading hardware standards (PCs, laptops, and servers).
13. Developing and upgrading desktop software standards (operating system, office application software and database).
14. Providing for support, maintenance, and repair of hardware and standard software.
15. Ensuring compliance with all software copyright licensing laws, rules, and regulations on all County equipment and systems.

B. Responsibilities IT-related technical staff in other departments include:

1. Administration of unique (department specific) applications
 - a. not located within IT
 - b. exclusive, not under IT direction or administration.
2. Maintenance/administration of hardware unique to individual departmental environment.
3. Administration of back-ups of all unique computer applications and data
 - a. not located within IT
 - b. exclusive, not under IT direction or administration.
4. Support of basic connectivity (PC to wall connection).
5. Provision of routine trouble shooting (first line help desk calls, verification of problems and coordination of service delivery).

Procedure:

- A. All acquisitions and implementations (systems, equipment and services) require review and signed recommendation for approval by the Director prior to procurement, regardless of funding source (County funds, State funds, grants or other forms of funding).
- B. Any decision by the CIO/Director regarding a request for the acquisition and/or implementation of such systems, equipment or services by a Department Head or Elected or Appointed Official, may be appealed to the County Manager for final disposition.
- C. Nothing in this policy shall be construed or interpreted to affect the duties and responsibilities of the County Manager or Purchasing Agent as such duties and responsibilities may be established by law.

Departmental Sponsor: Information Technology

Policy Review Date: April 2006

References: Minutes of the Board of Commissioners, December 19, 2001
Minutes of the Board of Commissioners, April 7, 2004

Departments Affected: All Departments and Offices of Appointed or Elected Officials.