

11-C-1793

A COMMUNICATION BY CITY AUDITOR
LESLIE WARD:

SUBMITTING AN AUDIT REPORT ON
INFORMATION TECHNOLOGY CONTROLS
IN THE DEPARTMENT OF AVIATION.

FILED
By Council
MAR 05 2012

- CONSENT REFER
 - REGULAR REPORT REFER
 - ADVERTISE & REFER
 - 1ST ADOPT 2ND READ & REFER
 - PERSONAL PAPER REFER
- Date Referred: 12/5/11
- Referred To: *Fonseca*
- Date Referred:
- Referred To:
- Date Referred:
- Referred To:

Committee _____

Date _____

Chair _____

Referred To _____

First Reading

Committee
TRANSPORTATION

Date
12-14-11

Chair
[Signature]

Action
Fav, Adv, Hold (see rev. side)
Other

Members

Refer To

Committee
Transportation

Date
2-29-12

Chair
padavan

Action
Fav, Adv, Hold (see rev. side)
Other

Members
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Members
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Members
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Refer To
coc

Committee
coc

Date
3/5/12

Chair
padavan

Action
Fav, Adv, Hold (see rev. side)
Other

Members
[Signature]

Refer To

Committee

Date

Chair

Action
Fav, Adv, Hold (see rev. side)
Other

Members

Members

Refer To

FINAL COUNCIL ACTION

2nd 1st & 2nd 3rd

Readings

Consent V Vote RC Vote

CERTIFIED

MAR 05 2012

COUNCIL PRESIDENT PROTEM

[Signature]

CERTIFIED

MAR 05 2012

Rachel Dunbar Johnson
MUNICIPAL CLERK

MAYOR'S ACTION

RCS# 1796
3/05/12
4:46 PM

Atlanta City Council

11-C-1793

AUDIT REPORT ON INFORMATION TECHNOLOGY
CONTROLS ON THE DEPARTMENT OF AVIATION
FILE

YEAS: 11
NAYS: 0
ABSTENTIONS: 0
NOT VOTING: 0
EXCUSED: 0
ABSENT 5

Y Smith	Y Archibong	Y Moore	Y Bond
Y Hall	Y Wan	Y Martin	B Watson
Y Young	B Shook	B Bottoms	Y Willis
Y Winslow	Y Adrean	B Sheperd	B Mitchell



11-^c-1793

CITY OF ATLANTA

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AUDIT COMMITTEE
Fred Williams, CPA, Chair
Donald T. Penovi, CPA, Vice Chair
Marion Cameron, CPA
C.O. Hollis, Jr., CPA, CIA
Ex-Officio: Mayor Kasim Reed

TO: Honorable Mayor, City Council President, and members of the City Council

FROM: Leslie Ward, City Auditor 

DATE: November 30, 2011

SUBJECT: Audit Report on Information Technology Controls at the Department of Aviation

The purpose of this memo is to communicate the results our assessment of information technology controls in the Department of Aviation. Our audit objectives were to answer the following questions:

- Are controls in place to maintain data security for critical aviation systems?
- Is the Information Services Division following the ITIL (Information Technology Infrastructure Library) framework?

We conducted the audit in accordance with generally accepted government auditing standards. We evaluated:

- logical access controls specific to 11 of 33 applications that the Department of Aviation identified as critical to its operations
- network infrastructure configuration and security settings
- disaster recovery preparedness
- selected entity level controls, including service level agreements and conformance with aspects of ITIL (Information Technology Infrastructure Library)
- progress addressing security weaknesses consultants identified in June 2010

We provided an interim report to the city's interim chief information officer detailing specific security and/or control weaknesses, with recommendations for corrective action. The interim chief agreed with all of our recommendations. This report omits details that could compromise system security. Vulnerability assessments for technology infrastructure are not subject to disclosure under the Georgia Open Records Act.¹

¹ O.C.G.A. § 50-18-72(15)(A)(i).

The Department of Aviation made some changes to strengthen logical access controls consistent with recommendations from our 2009 performance audit, *Airport Terminal Leases*. However, we found instances where the new procedures were not followed and continued risk from former employees and contractors retaining access to critical systems after they no longer worked for the department. As the city consolidates its information technology operations, we recommend the interim chief information officer develop procedures to document users' authorization to access applications, periodically monitor user access to ensure continued appropriateness, and promptly remove access from employees and contractors when they terminate employment.

Aviation has implemented a number of controls to help secure its network, including enforcing password parameters, configuring local area networks, and setting network access rules to ensure computers meet the minimum requirements for accessing aviation's network. We recommend some changes to network configuration settings to better secure critical resources. We also recommend the interim chief information officer resolve the remaining seven of 23 security issues that we followed up from June 2010 consultant reports. These pertain primarily to obsolete software and hardware and one vendor-supported system.

The department continues to be vulnerable to prolonged service interruptions because its hot site is not yet operational and procedures to store backup tapes offsite were not consistently followed. The department could also face challenges complying with PCI (payment card industry) standards and in meeting service level agreements. Aviation Information Services Division managers' assessment of technology management indicates that most practices are sound, but identified a few areas, particularly within security and configuration management, where practices could be strengthened.

We were unable to assess whether the department followed its procedures for establishing new user accounts in the Parking Revenue Control System. Neither the Department of Aviation nor its vendor, ACS Transport Systems, provided complete data including dates the user accounts were established. The department's inability to obtain data and the vendor's lack of responsiveness indicate a potentially significant control weakness. Our audit schedule for 2012-13 includes a performance audit of aviation parking fees.

Generally accepted government auditing standards require that we plan and perform the audit to obtain sufficient, appropriate evidence to provide a reasonable basis for our findings and conclusions based on our audit objectives. We believe that the evidence obtained provides a reasonable basis for our findings and conclusions based on our audit objectives.

If you have questions you may call Damien Berahzer at 404/330-6806, or you may reach me at 404/330-6804. We appreciate staff's courtesy and cooperation throughout the audit. The team for this project was Eric Palmer, Lesia Johnson, and Katrina Clowers.



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Ex-Officio: Mayor Kasim Reed

TO: Honorable Mayor Reed, Council President Mitchell, and Members of the City Council

FROM: Donald T. Penovi 
Vice Chair, Audit Committee

DATE: November 30, 2011

SUBJECT: Audit Report on Information Technology Controls at the Department of Aviation

The audit report listed above is attached for your review. The Audit Committee has reviewed this report and is releasing it in accordance with Article 2, Chapter 6 of the City Charter. The committee's chairperson did not review the report because of a conflict of interest regarding the airport. Feel free to contact City Auditor Leslie Ward if you have questions or want to discuss the report.

Cc (electronic): Michael Dogan, Chief Information Officer
Dennis Rose, Deputy Chief Information Officer
Louis Miller, Aviation General Manager
Daver Malik, Interim Director of Aviation Information Systems
Peter Aman, Chief Operating Officer
Duriya Farooqui, Deputy Chief Operating Officer
Candace Byrd, Chief of Staff
Katrina Taylor, Deputy Chief of Staff
Sonji J. Dade, Director of Communications
David Bennett, Senior Policy Advisor
Cathy Hampton, City Attorney
J. Anthony "Jim" Beard, CTP, Chief Financial Officer
Stefan Jaskulak, Deputy Chief Financial Officer
Jabu Sengova, Interim Ethics Officer
Rhonda Dauphin Johnson, Municipal Clerk
Dexter Chambers, Director, City Council Officer of Communications

Audit Report on Information Technology Controls at the Department of Aviation

November 30, 2011

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Audit Committee Members:

Fred Williams, Chair
Donald T. Penovi, Vice Chair
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