



SALT LAKE COUNTY AUDITOR'S OFFICE

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Public Report on the Information Technology Audit of **The Salt Lake County Sanitation Division**

Release date: June 11, 2008

Purpose:

To provide public information regarding the recent Information Technology Audit of the Salt Lake County Sanitation Division. A more detailed report was issued to management in the County Information Services Division (County IS), the Public Works Department and the Sanitation Division. The management report contains sensitive, security-related information that if generally available could compromise the security of systems and data. Management reports are confidential and have a protected status under provisions of the Government Records Management Act (GRAMA).

Background:

The Salt Lake County Auditor's Office recently completed an Information Technology (IT) Audit of the Sanitation Division. Sanitation provides refuse and recycling collection services for the unincorporated county and the cities of Herriman, Holladay, Cottonwood Heights, Taylorsville and part of Murray. The Division consists of 65 full time and 25 temporary employees and has a 2008 budget of \$13.3 million.

Findings were generally related to gaps between business and IT objectives, or undefined roles and responsibilities for certain IT related tasks. Several areas of strength were also recognized.

Audit Scope:

The scope of the audit included evaluating operations and systems security, including:

- Sanitation's core applications and databases
- Network components and infrastructure
- PCs, servers and other IT-related equipment

Audit Program:

The audit was carried out in two phases: 1) **Risk Assessment**, and 2) **Audit Tests**.

Risk Assessment: During the risk assessment, auditors worked with Sanitation and County Information Services (County IS) to determine mission-critical applications and systems, and to identify security and operational controls used within those areas. Some examples of operational and security controls examined include:

- Virus protection and patch management
- Backups of applications and data
- Physical and logical access management
- IT-related short term and long term planning

Areas of potential risk for the Sanitation Division, along with the likelihood of their occurrence and potential impact were identified and documented. The results of the risk assessment were presented to Sanitation management and a representative from County IS on March 26, 2008.

Audit Tests: During the test phase, auditors further evaluated the risk assessment results through a series of tests and made additional recommendations for improvement. Test criteria included Salt Lake County policy and standards. In the absence of policy or standards, industry best practices and standards were used.

Findings and recommendations were presented to Sanitation Management on May 28, to the Director of Public Works on June 6, and to Management of County IS on June 9, 2008. Sanitation and County IS are working together to resolve the issues identified in the risk assessment and in the final report. IT Audit staff will continue to provide information and assistance where appropriate.