



20 E Main St Suite 820
PO Box 1466
Mesa, Arizona 85211-1466

Date: December 10, 2014

To: Audit, Finance and Enterprise Committee

From: Jennifer Ruttman, City Auditor

Subject: Audit of Mesa Public Library Technology Controls

cc: Mayor and Council
Alex Deshuk, Manager of Technology & Innovation
Heather Wolf, Library Director

Pursuant to the Council-approved Audit Plan, the City Auditor's office has completed an audit of the Mesa Public Library Technology Controls. The audit report is attached and will be presented at the next scheduled meeting of the Audit, Finance & Enterprise Committee. We wish to extend our appreciation to the Library staff for their professionalism and cooperation throughout the audit process.

Please feel free to contact me with any questions or concerns.

AUDIT REPORT

CITY AUDITOR

Report Date:	December 10, 2014
Department:	Library Services
Subject:	Library Technology Controls
Lead Auditor:	Bill D'Elia

OBJECTIVE

This audit was conducted to determine whether internal controls related to the use of technology are in place and operating effectively to minimize the associated risks.

SCOPE & METHODOLOGY

To accomplish our objectives, we:

- Interviewed Library and Information Technology Department staff members.
- Reviewed and tested policies, procedures and/or other controls related to the following:
 - Automated materials check-in and check-out procedures
 - Contracts/functionality related to e-books, other digital media and mobile applications
 - E-Readers and tablets available for patron checkout
 - Computers and printers available onsite for patron use
 - Internet accessibility
 - Equipment dedicated to the THINKspot at Red Mountain Library
- Performed other tests and procedures as necessary to meet the audit objectives.

BACKGROUND

The Mesa Public Library operates a Main Library in downtown Mesa plus three branch libraries—Red Mountain, Dobson Ranch and the Mesa Express Library. In recent years, the Library has expanded its services to provide patrons with a variety of technological tools and resources, including but not limited to:

- An automated materials check-in and check-out system.
- A comprehensive website that includes the ability to checkout various electronic books, videos and other materials from selected vendors.
- Applications for mobile devices that allow users to use Library services from their smart phones and tablets.
- The THINKspot at Red Mountain, a collaborative workspace equipped with a 3-D printer, smart boards and other high-tech devices intended to foster innovation and creativity.
- The Hotspot digital help desk.
- Electronic readers, tablets, and laptop computers.
- Computers with Internet access available at all branches.

CONCLUSION

In our opinion, internal controls related to the use of technology are in place and have generally been effective in minimizing the associated risks. We found that automated check-in and check-out processes have been functioning as intended and on-site equipment has been effectively safeguarded. Controls over Internet access have been carefully designed to comply with Arizona statutes; and filtering software is used only to the extent necessary to protect patrons from illegal content, while preserving the constitutional rights of individual patrons. Due to the complex nature of this balance, we have suggested that the Internet Use Policy be periodically reviewed by the City Attorney's office.

While controls over on-site electronic devices are adequate, controls over devices that have been made available for checkout have historically been less effective. Portable electronic devices and similar items are prone to theft, easily converted to cash, and difficult to effectively protect from loss. We acknowledge that all libraries experience unreturned items as an inherent cost of doing business, with the underlying philosophy that the benefits to the public outweigh the costs. However, the likelihood and impact of losses associated with portable electronic devices differs from the loss profile associated with more traditional library materials. Therefore, in the future, if the Mesa Public Library were to contemplate making portable electronic devices available for off-site public use, we would recommend that City management consider the increased risks when evaluating the cost/benefit to taxpayers.