

This document is a draft Scope of Services for a future competitive contract Miami-Dade County anticipates entering into. Scope of Services is subject to change without notice.

This is not an advertisement.

Miami-Dade County, Florida

Project Title: AMS AUDIT SOFTWARE

SCOPE OF SERVICES

A. Introduction

Miami-Dade County Audit Management Services Department (AMS) requires a Cloud-based automated audit management software solution. The County currently utilizes AuditBoard which provides an integrated solution for documenting, sharing, and storing department audit workpapers in an electronic format from audit and planning to fieldwork execution and reporting. As a result, AMS can streamline audit efforts to improve efficiency and productivity. The solution shall enable AMS to significantly minimize various non-value-added and manually performed tasks involved with labeling and organizing extensive volumes of files and support documentation.

The system desired functionality includes:

- Centralize and streamline internal audit documentation, testing, follow-up, and reporting for the audit teams. Automate remediation workflows and action plans to enable increased efficiency. Facilitate the entire process, from consolidated evidence collection to reporting.
- Streamline audit planning, fieldwork, testing and reporting. Simplify risk assessment process and report on coverage across the County entities to develop an efficient audit plan.
- Integrate and elevate risk management programs. Link risks, control, and mitigate activities across departments.
- Streamline the audit, risk, and compliance programs. Facilitate collaboration between Accounting, Finance, and IT, with auditors.
- Real-time access to workpapers from any location including automatic synchronization and document version control.
- Greater collaboration by audit team members particularly during workpaper review and editing.
- Ease of communication and follow-up with stakeholders regarding documentation requests and audit issues.
- Tracking and monitoring of staff time on audit assignments.
- Ability to create management dashboards to manage audits, staffing, and other visualizations.

The software should integrate all required functions sought by the County and be supported by cloud access from any work location and computer.

B. Services to be Provided

General Requirements

- Cloud-based, fully integrated software package allowing real-time access and collaboration among multiple users in a shared environment
- Software accessible online, real-time with minimal downtime and low latency
- User-friendly and intuitive user interface
- Single-sign on (SSO) compatibility
- Integration with Microsoft Office and Adobe PDF
- No restrictions to the volume, size, or type of data file that can be stored in the application
- Vendor technical support available 24 hours/7 days per week
- Vendor provides instructor-led training available remotely/online for all Audit Staff prior to going live
- Customizable workflow-based processing to provide decision prompts, date reminders, and other automated triggering
- Includes customizable project management dashboards

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- Allow for project workpapers to be stored and accessed off-line (e.g., when working as sites without internet access), then uploaded and synchronized to the Cloud environment
- Appropriate controls to prevent overwriting work if changes are made concurrently by multiple users
- Data is not owned by vendor and can be retained if ties with vendor are terminated
- Ability to export all AMS data created within the software in an organized manner using one of the following file formats: XLS, CSV, PDF, txt.
- Allow end-user configuration of how data fields are displayed (e.g., add, remove, and rename fields, etc.)

Data Security and Infrastructure

- Vendor meets or exceeds industry security standards, including a clean quality certification (i.e., SOC2 Type II report)
- Software solution is cloud hosted and maintained through a leading third-party hosting specialist (e.g., AWS [Amazon Web Services] or Azure).
- Comprehensive disaster recovery plans to assure continuity of service and system access including regular data backups
- Scalable storage capacity to meet current and future needs
- Data adequately protected from unauthorized users
- Software functions in diverse technology environments, across multiple operating systems and on all major Web browsers
- Able to assign one of more users as Security Administrator
- Able to restrict users and user access levels (e.g., read-only vs edit)
- Vendor provides regular product upgrades/updates

Audit Planning

- Able to maintain a centralized audit universe with no restriction to the number of projects
- Perform risk assessments based on AMS designated audit risk criteria
- Contains a library of standard and user-defined audit workpaper templates
- Ability to track and report staff hours by project

Workpaper Functionality

- Provide an integrated structure for preparing, documenting, and organizing workpapers by audit project
- Allow customizable workpaper templates for ease of documenting standard AMS workpapers, including but not limited to planning documents, lead sheets, finding sheets, and audit reports.
- Workpapers can be assigned designated reference numbers and descriptions for ease of identification and organization
- Maintain a project template library for ease of building/creating new audits.
- Ability to clone audit programs with a single click
- Allow for upload and attachment of external documents in various file formats (e.g., Word, PDF, Excel, TXT, JPG, PNG, etc.)
- Can add hyperlinks to workpaper for quick access to other workpapers/documents stored within the audit project
- Allow for electronic sign-off by preparers and approvers
- Allow for electronic review notes/comments to be easily created within each workpaper.

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- Also, track/show who and when (date/time) review notes/comments were created, completed, and cleared by.
- Track document history showing workpaper edits/changes
- Provide visible indicators (e.g., icons) of workpaper status (i.e., in-progress, pending review, approved, etc.)
- Include customizable dashboards to allow Audit Staff to see their assigned projects and project status
- Allows issue management workflow to streamline remediation efforts with reviewers and issue owners
- Can initiate and track corrective actions in response to audit results

Reporting Capabilities

- Provide pre-configured audit report templates that can be easily customized to include Miami-Dade County logo and other required formatting
- Can easily import/integrate audit project findings into audit reports