



# Automation Centre

I am from IT and I am here to Help:  
Louisiana Legislative Auditor Case Study



## LOUISIANA LEGISLATIVE AUDITOR





# Automation Centre

## About your Presenters

**Keith Duke: Louisiana Legislative Auditor**

**Steven Birchfield: Automation Centre**

- Keith Duke: 35 years of IT experience. Started his career with IBM, founded a consulting company, and is now an Architect Level resource at Louisiana Legislative Auditor.
- Steven Birchfield: Software Entrepreneur with 30 years of industry experience, who has founded several technology businesses. Provided software solutions for large organizations including Intel, IBM Research, DuPont, 3M, Philips.



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Where do you start in IT.. "I" is for Information



# How “I”nformation was processed at LLA

- **Islands of Non-Integrated Information**
- **Green screen AS400, limited integration capabilities**
- **Lots of MS Office Documents, File Shares**
- **No Consolidated Agency Contact Database or Distribution List**
- **Non-integrated Manual Audit Planning Process**
- **No Online Schedules and Prioritization**
- **Documents, Workpapers, and Templates Everywhere**
- **Discovery and Records Retention needs**
- **A lot of Manual and Decentralized Workflow**
- **Difficult to deploy upgrades of Access Time & Expense Reporting. They were Not Web Based and Not Integrated**
- **Can't get the information we want**



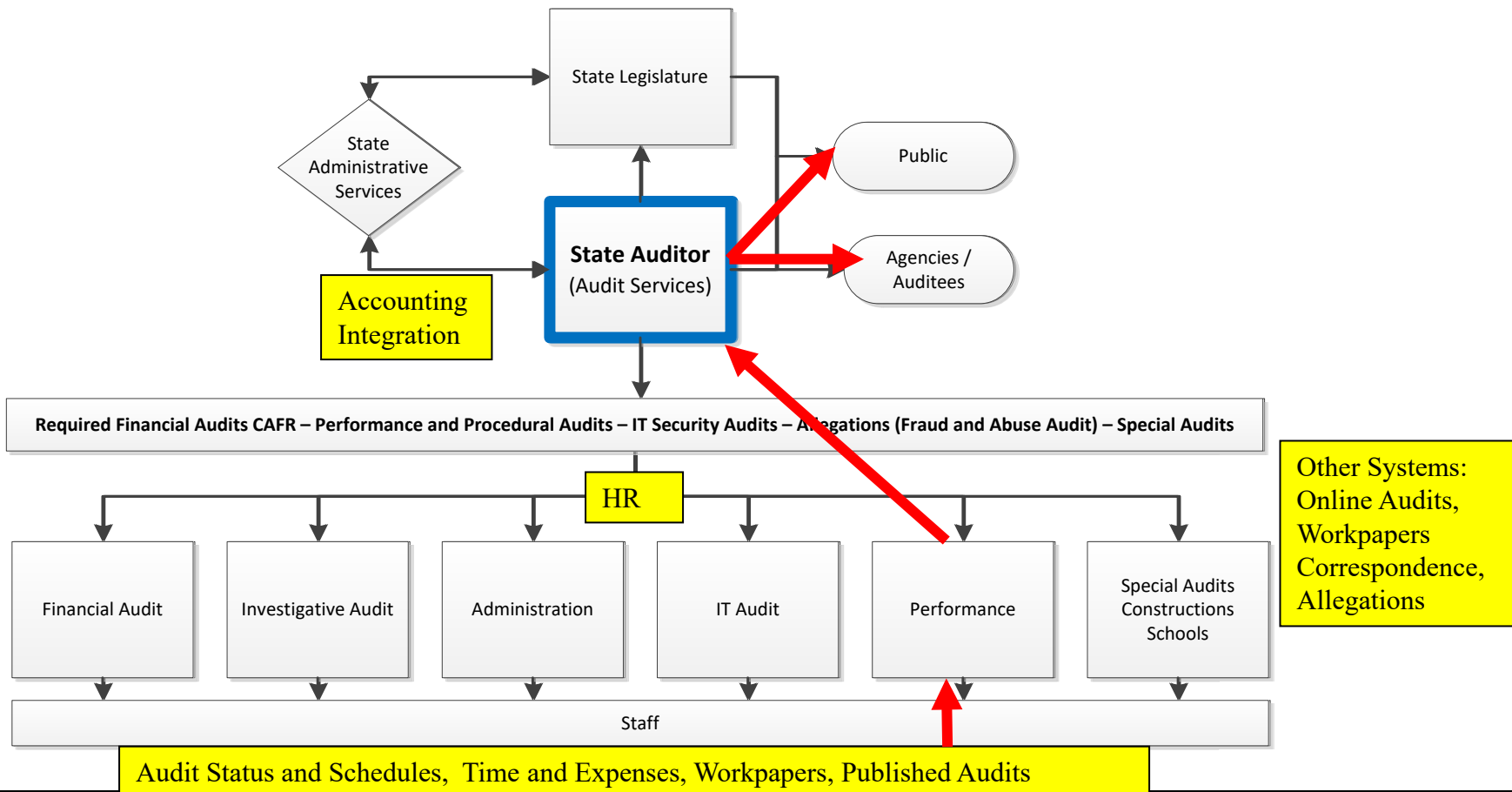


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## The Onion:



### State Audit Authority Relationships





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**Organize, Consolidate, Simplify and Streamline (13 steps into 5):**

**Living Authoritative Directories:**

**The best information is created with Central Authoritative Living Directories (eliminate spreadsheets and data/information redundancy): One up to date version of the Truth**

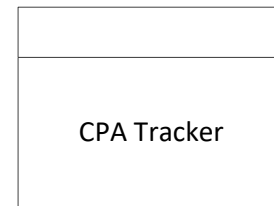
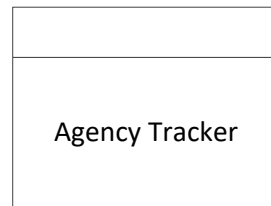
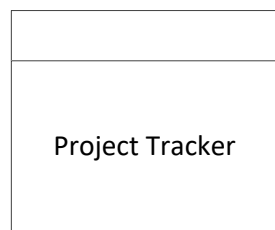
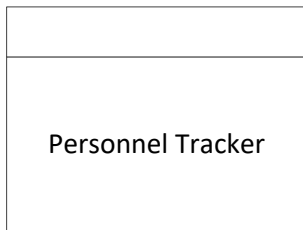
List of Employees, Emails, and Phone Numbers: Auditors, Administrators, Managers, Office Support Staff (Include Manager, Supervisor, Tenure)

List of Agencies and Audit Requirements (Categorize by State and Local Government)

List of CPA Resources

List of Historical and Current Audits

List of Financial Codes





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## Organization Background Louisiana Legislative Auditor



- Legislative Auditor is appointed by the legislature and our office reports directly to the legislature.
- Approximately 240 Employees
  - Audit Staff: 180
  - Local Government Services/Advisory Services Staff: 15
  - Administration: 21
  - Legal: 7
- Audit Sections: Financial, Performance, Investigative, Recovery and Advisory
- Internal accounting, human resources, information services, and legal departments





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## Application Architecture Progression Louisiana Legislative Auditor



- **Late 90's to early 2000's** – Green screen applications residing on IBM AS/400 for agency tracking. Custom Visual Basic application for time and expense. File system based workpaper storage.
- **Mid 2000's** – IBM/Lotus Notes based solution for agency, CPA and engagement tracking. Continued use of custom Visual Basic application for time and expense integrated via custom interface to IBM/Lotus Notes solution. IBM/Lotus Notes based workpaper management.
- **Late 2000's** – Moved to TeamMate for workpaper management and built custom interfaces to other systems.
- **2018** – Moved to web-based version of Tracker Suite for agency, CPA, and engagement tracking. Migrated time and expense tracking to Tracker Suite. Built web-services based interfaces between Tracker Suite and other internal systems (ERP, document management, allegation tracking, incoming correspondence and report publishing).
- **Late 2020, early 2021** – Moved workpaper management from TeamMate to Tracker Suite Workpapers.
- **Future Plans** – Build-out budgeting and resource allocation for audits in Tracker Suite Audit Tracker. Continue to streamline and simplify interfaces between systems to provide more points of integration. Implement Identity Provider (IdP) interface for all systems.





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## Guiding Principles Louisiana Legislative Auditor

- Web-based, where possible. Minimal client installs required
- Leverage web-service based interfaces between systems whenever possible
- Secured VPN access for all employees, all devices and all systems
- Simplify or remove custom code interfaces whenever possible
- One primary data source for each dataset (Single Source of Truth)
- Work towards a completely plug-and-play architecture where any one component or system can be easily removed and replaced as technology changes occur
- Continually evaluate cloud potential to reduce in-house hardware and software requirements.
- Effectively manage costs while providing a wide array of systems and services to the audit teams.



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## The “T” in IT is for Technology and proven Techniques



### Security: Keep it simple

- Borders (Use a central directory and secure the ports)
- Keep an Account Inventory with Change History
- Authentication mechanisms will change, make them plug and play (LDAP, Active Directory, SAML, OAUTH, Web 3.0)
- Link Security with Business Process (provisioning)

### Middleware: Use Protocols more than Tools

- POP/IMAP
- iCal
- Use Tag Language: HTML/XML/XBRL
- Manage the bad cast of special characters

### Integration: Create plug and play interfaces and move toward real time transactions and error handling.

- Make everything a URL: Have your URL talk to my URL <HTTPS://YourFunction>
- All new initiatives should produce and consume Web Services (used to integrate with Accounting Systems and other applications)
- ASMX method, SOAP, REST, Simple HTTP Get and Post (JSON and XML data exchange)



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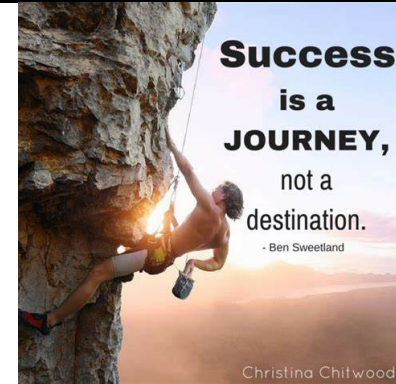
## Success is a Journey not a Destination: Some Tips for Surviving the Journey

### Flexibility:

- Use business process to enforce security
- Abstract interfaces from applications and move to real time transactions
- Make everything a URL
- Create a simple change process
- Be prepared for fast technology change. For example: authentication, Web 3.0, The Cloud

### Strength:

- Create ownership of the essential directories
- Protect your data with read security
- Leverage the Vendor, “the codebase” knows when it is customized
- Lifecycle information (makes backup and restore easy)
- Create a testing culture
- The truth is simple and the core of your business is simple (don't let the complicated crowd the truth)





## Questions?

