

NORTHWOOD SHARED RESOURCE CENTER
DATA CENTER OPERATIONS
INFORMATION TECHNOLOGY OPERATIONAL AUDIT

SIX-MONTH STATUS REPORT (8.3.2011)

Report No. 2011-082

<u>Finding No(s).</u>	<u>Program/Area</u>	<u>Recommendation</u>	<u>Status</u>	<u>Comments</u>
No. 1		To demonstrate compliance with State law and Federal guidelines and the appropriateness and equitability of NSRC billings, NSRC should maintain supporting documentation for the establishment of billing rates, including documentation as to how the estimated utilization of NSRC services was determined.	Completed	<p>The NSRC credited customer agencies in the May 2011 Bill resolving the overbilling finding.</p> <p>The rates for FY 2010-11 were based on actual units consumed and actual labor hours expended for FY 2009-10. The costs associated with each service were based on the FY 2010-11 Spending Plans.</p> <p>The NSRC is currently in the process of hiring a cost allocation analyst. The duties of this position will be in part to document and develop cost allocation procedures for the NSRC. This position will also work with the other PDCs on standardization and service consistency (including rate development and units of measure) reflecting such in the billing methodology. Interviews for the position are slated to take place during the month of August 2011.</p> <p>The NSRC is currently working on a cooperative effort with AEIT and the other PDCs to standardize on billing methodologies (including units of measure and rate development) and services. AEIT will be forthcoming with an estimate of the work effort involved and target dates for completion.</p>
No. 2		NSRC should provide the Board of Trustees with the documentation and calculations to establish Board representation based on documented customer entity usage rates in a manner consistent with State law.	Completed	<p>The calculations to establish board membership for FY 2011-12 followed the requirements established in Section 6 (2) (a) 2, Laws of Florida. The "most recent estimate of customer entity usage rates for the prior year and a projection of usage rates for the first 9 months of the next fiscal year" were used for this calculation. This report was provided to and approved by the Board at the annual meeting on June 28, 2011.</p>
No. 3		NSRC should ensure that all future Service Catalogs are approved by the Board of Trustees as required by State law.	Ongoing	<p>The NSRC has included the presentation of its Service Catalog (portfolio of services offered to NSRC Customers) in its annual rate approval process with the Board. The 2012 rates and associated service catalog will be presented to the Board for review and approval in the August 2011 Meeting.</p>

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No. 4		NSRC should establish written policies and procedures to document management and Board expectations for the performance of its important data center functions.	Ongoing	<p><u>Bullet 1:</u> Phase I of a periodic access review process was initiated in February 2010 and implemented October, 2010. The next review is due February 15, 2011. In October, 2010, phase II was added which includes an administrative review of all access privileges and administrator rights. Managers will assure appropriate access or rights to systems or hardware under their control. NSRC SOP S-1 has been updated to include this in policy and procedure statements. The SOP was approved by the board of trustees and implemented in January 2011.</p> <p><u>Bullet 2:</u> The NSRC is currently developing policies and procedures consistent with state rules and regulation to guide internal processes. These policies and procedures will be vetted to our administration committee and approved by the Executive Director and/or Board where appropriate. We anticipate that policies addressing, receivables, expenditures, budgeting and accounting will be completed by December 30, 2011. Please review finding #1 for an update on billing and cost allocation methodologies.</p> <p><u>Bullet 3:</u> The NSRC has drafted written policies and procedures that addressed monitoring system hardware performance and capacity planning. NSRC SOP MF-2 is due to be presented to the NSRC Technical Committee for initial review at the September 1, 2011 Technical Committee meeting.</p> <p><u>Bullet 4:</u> The NSRC has drafted a written policy/procedure for transferring State agency resources and equipment to the NSRC. Review of this policy/procedure (SOP 80-2) is expected to be completed and approved by September 30, 2011.</p> <p>The 2011 Disaster Recovery Hot Site Test was successfully completed June 25, 2011. Disaster recovery tests will be performed annually in the May-June timeframes.</p>
No. 5		NSRC should completely test the effectiveness of its Disaster Recovery Plan on an annual basis.	Completed	

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No. 6		NSRC should assign unique personal identifiers to each employee who is authorized to perform server administration functions as required by its Operating Procedure.	Ongoing	<p>The NSRC has been transitioning administrative rights for agency server(s) to the NSRC under Data Center Consolidation. NSRC policies and procedures have been updated to address these conditions. NSRC will direct each agency to create unique user-ids for each NSRC staff person that needs access to the individual agencies systems or administrator accounts. The NSRC will advise new agencies of our Password and Account Control policies applicable to such users and systems during the transition planning process. The NSRC has corrected all existing systems of current customers that have shared accounts as of March 31, 2011.</p> <p>The NSRC will develop migration plans working with future customers during the transition planning process to bring transitioning agencies into compliance. These plans will also highlight any risks and detail mitigation strategies until the transition is complete.</p>
No.7		NSRC should implement the appropriate password and logon controls to ensure the continued confidentiality, integrity, and availability of customer entity data and IT resources.	Ongoing	<p>Security: 50-2 was approved by the Board on January 4, 2011. The NSRC has revised NSRC OP 50-2 to include a policy that required login controls and complex passwords whenever possible and tighter fully documented operational controls when options are limited. Both controls are reviewed in our Annual Access Control Internal Audit. The corresponding procedures outline compliance methodologies and alternatives when appropriate.</p> <p>The NSRC OP 50-2 has been updated to include this in policy and procedure statements. The SOP was approved by the board of trustees and implemented in January 2011.</p> <p>New agencies will be assessed during the transition planning periods and adjusted to comply with NSRC SOP 50-2. The NSRC will develop migration plans working with future customers during the transition planning process to bring transitioning agencies into compliance. These plans will also highlight any risks and detail mitigation strategies until the transition is complete.</p>

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