

Department of Education
Office of Inspector General – Internal Audit
Six-Month Status Report on: Educator Certification
Report # A-1314-015 Issued: March 30, 2015
Status as of September 30, 2015

Finding	Recommendation(s)	Management Response as of March 30, 2015	Management Response as of September 30, 2015	Anticipated Completion Date & Contact
<p>Unauthorized personnel had access to the Bureau of Educator Certification Partnership Access & Services System (BEC-PASS).</p>	<p>We recommend the department remove access to the system for those department and district users who no longer require the use of BEC-PASS.</p> <p>We also recommend BEC strengthen its controls related to the removal of access privileges, including the enhancement of policies and procedures to govern the removal of access privileges.</p>	<p>Based on this audit finding and recommendations, bureau staff immediately terminated access by unauthorized personnel, then initiated review and revision of its policies and procedures governing authorized user access to BEC resources. Moreover, the BEC intends to adopt and routinely practice more exacting control procedures to ensure that access to BEC resources is restricted to authorized personnel only.</p> <p>Through the course of the audit, the analysis results identified several school district User ID accounts for which administrators failed to notify the BEC. Upon discovery, the auditor communicated suspect accounts to BEC staff who immediately verified the findings to determine each user’s need for continued access to BEC resources and promptly terminated access for those for whom it should no longer be authorized. Though</p>	<p>The BEC continues to employ its newly expanded control procedures governing authorization of user access to BEC resources. Procedures and associated policies are reviewed and revised based on lessons learned from each iterative cycle of the process.</p> <p>Updated versions of the Procedures for External Users, External User Agreement, and Signature Designee Authorization documents were completed in June 2015. The updated reference document and forms were disseminated to BEC-PASS partner users and posted for on-demand retrieval directly from the system.</p> <p>The initial round of User Account Review procedures</p>	<p><i>Anticipated Completion Dates:</i></p> <ul style="list-style-type: none"> • BEC User and FDOE Network Account Reviews with OTIS Access Management [10/2015] <p><i>Pending Final Project Direction:</i></p> <ul style="list-style-type: none"> • Incorporate Key Dates into new Roles-Based User Management [TBD] • Evaluate integration with DOE Single Sign-On for new, integrated Educator

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		<p>previously not a requirement, the BEC expanded its authorization procedures to require completion of a User Agreement form by employees within other DOE bureaus and offices who require access to BEC resources.</p> <p>As an example of new activities to strengthen its procedural controls, BEC staff recently compiled lists for each district of active user accounts and distributed the lists with instructions to review and respond confirming or rejecting the need for continued access to the BEC-PASS. Through this initial User Account Review process, BEC staff received responses from 97.5% of its partner districts resulting in termination of 103 out of 588 user accounts. This and other activities are detailed in the Anticipated Completion Dates.</p>	<p>initiated in February 2015 was completed in early March. With responses received from all, external partner organizations properly notified BEC staff who promptly terminated access for 110 of 588 user accounts.</p> <p>According to newly adopted procedures, the BEC plans to initiate its second round of User and DOE Network Account reviews in October 2015.</p> <p>Over the past few months, the BEC Conversion Projects team has re-evaluated the planned approach to accomplish its vision for the next-generation BEC technology system. During this time the team has continued its efforts to clearly define BEC business</p>	<p>Certification System [TBD]</p> <ul style="list-style-type: none"> Implement tool for User Management by external partner administrators in new, integrated Educator Certification System [TBD] <p>Contact: David LaJeunesse</p>

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		<p><i>Anticipated Completion Dates:</i></p> <ul style="list-style-type: none"> • Implement User Account Reviews [2/2015; at least semi-annually] • Update Procedures documentation and forms [4/2015] • Coordinate Network Account Reviews with OTIS Access Management [4/2015] • Define Key Dates for lifecycle User Management (e.g. last activity, termination, etc.) [6/2015] • Incorporate Key Dates into new Roles-Based User Management [TBD] • Evaluate integration with DOE Single Sign-On for new, integrated Educator Certification System [TBD] • Implement tool for User Management by external partner administrators in new, integrated Educator Certification System [TBD] 	<p>requirements, including the key dates for lifecycle User Management.</p> <p>Presently, project leadership is gathering information regarding a COTS product solution to evaluate its potential for adequately satisfying BEC business requirements. The BEC plans to present its final recommendation to the sponsor for adoption by executive leadership in Fall 2015.</p> <p>The remaining activities for User Management are dependent upon the decision regarding final project direction.</p>	

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Communication Section	We recommend BEC develop additional targets and goals and utilize the system to track the abandoned rate, busy rate, wait times, and other applicable measures.	<p>The BEC monitors its 85% callers assisted target as an overall performance measure for the Contact Center and captures additional evaluative metrics through routine reviews of individual agent services in response to customer inquiries. The auditors collected extensive information and resources throughout the audit process that the BEC plans to review in order to identify other technology system metrics as meaningful measures for tracking resources and activities to statistically improve Contact Center services to BEC customers.</p> <p>In collaboration with department IT leadership, the department initiated a Legislative Budget Request (LBR) to modernize the agency communication technology systems to include full integration with the BEC Contact Center system. Pending LBR approval, implementation of the new integrated</p>	<p>To improve the reliability, consistency and accuracy of email reporting by the Communications Unit, new standardized procedures have been adopted for to ensure accurate counting for task completion metrics (i.e. email, calls, faxes, etc.). The daily triage procedure eliminates counts of automated or other contact items not warranting direct response to a customer. Also, contact items received from all sources are more accurately represented using the revised daily triage procedures.</p> <p>The Department received approval for its Legislative Budget Request (LBR) to modernize the agency communication technology systems, including full</p>	<p><i>Anticipated Completion Dates:</i></p> <ul style="list-style-type: none"> • Review information collected from other state agencies to extract ideas for incorporation into the BEC Contact Center [Fall 2015] • Review available system metrics and evaluate for tracking BEC Contact Center performance [Fall 2015] • Incorporate additional system metrics

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		<p>BEC Contact Center technology system will include capture and routine reporting of system metrics identified to monitor performance.</p> <p>In addition, the BEC intends to fully integrate email and other communication methods into the new BEC Contact Center technology system for more reliable monitoring of all customer contacts to improve services and customer satisfaction.</p> <p><i>Anticipated Completion Dates:</i></p> <ul style="list-style-type: none"> • Review information collected from other state agencies to extract ideas for incorporation into the BEC Contact Center [April 2015] • Monitor FY15-16 Budget for LBR approval within DOE allocations [May 2015] • Review available system metrics and evaluate for tracking BEC Contact Center performance [Fall 	<p>integration with the BEC Contact Center system. Based on preliminary plans, the BEC expects to finalize requirements for its new system in Fall 2015, including appropriate system metrics. This process will include review of information collected from other sources to extract industry-standard metrics for inclusion in the new system implementation expected in early 2016. Once fully implemented, reporting will produce more reliable metrics to accurately evaluate system and work unit performance.</p>	<p>into new BEC Contact Center technology system [Spring 2016]</p> <p><i>Contact: Mandy Mims</i></p>

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		2015] <ul style="list-style-type: none"> • Incorporate additional system metrics into new BEC Contact Center technology system [TBD] 		