

Department of Education**Office of Inspector General – Internal Audit****18-Month Status Report for Educator Certification****Report # A-1314-015 Issued: March 30, 2015****Status as of September 30, 2016**

Finding	Recommendation(s)	Previous Management Response	Management Response as of September 30, 2016	Anticipated Completion Date & Contact
Unauthorized personnel had access to the Bureau of Educator Certification Partnership Access & Services System (BEC-PASS).	We recommend the department remove access to the system for those department and district users who no longer require the use of BEC-PASS. 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>Response as of March 30, 2015</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. 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.</p> <p>Though 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 column of this response.</p>	The BEC strengthened security measures in response to the IG audit into its policies and procedures so that efforts to keep unauthorized users from accessing BEC resources are fully integrated into job expectations and routine operations. The BEC ensures that only current, active, authorized users have access privileges through added controls including required authorization forms for user access to BEC resources and routine review of user access activity. Routine operations include annual User Account reviews that require district confirmation of active users and deactivation of defunct accounts; quarterly Network Account Reviews coordinated through FDOE OTIS Access Management; regular review and revision of Procedures for	Completion with COTS solution implementation in August 2017 Contact: David LaJeunesse

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		<p><i>Anticipated Completion:</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>Response as of September 30, 2015</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 initiated in February 2015 was completed in early March. With responses received from all, external partner organizations properly notified BEC staff</p>	<p>External Users documentation, authorization forms, and the bureau's User Management Manual; and verification of each user authorization request submission. During its 2016 user review, only 45 of 522 accounts were identified for deactivation.</p> <p>In August 2017, the BEC will migrate to a new COTS solution to modernize its core technology systems that support business operations, and the BEC's improved measures to prevent unauthorized users from accessing BEC resources have been captured in requirements for this new system. The COTS system will allow the BEC to incorporate key dates into a Roles-Based User Management system and include configured reports for tracking lifecycle dates including last activity, termination, etc.</p>	

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		<p>promptly terminated access for 110 of 588 user accounts. 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 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> <p><i>Anticipated Completion:</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 Certification System [TBD]• Implement tool for User Management by external partner administrators in new, integrated Educator Certification System [TBD]	<p>A decision has not been reached whether or not to integrate this new solution for user access through DOE Single Sign-On.</p> <p>In the new system, monitoring of user access will be expanded to permit external partner administrators the ability to readily identify authorized accounts within their district and to easily request access termination, as necessary.</p>	

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		<p>Response as of March 30, 2016</p> <p>The BEC continues efforts to keep unauthorized users from accessing the BEC-PASS through its control procedures governing authorization of user access to BEC resources. BEC certification partners continue to comply with established expectations, timely submitting forms to modify/terminate user access.</p> <p>In accordance with October 2015 plans, BEC conducted reviews in collaboration with OTIS Access Management to revise procedures for access to BEC system resources. Now, each user is explicitly assigned specific FDOE network access coordinated with separate rights for the BEC Imaging System.</p> <p>In March 2016, the BEC initiated its annual review of User and DOE Network Accounts, as per its newly adopted procedures. Through this task, responsible BEC Technical Help personnel generate records of currently active BEC-PASS accounts for validation by all primary certification partner contacts to authorize access continuation or termination for each active user.</p> <p>In November 2015, executive leadership made the decision to move forward with a COTS solution to modernize the core technology systems that support the business operations for the BEC. Based on its decision, the FDOE submitted an LBR for extension of the project timeline for one (1) additional year into fiscal year 2016-17. The 2016 Legislature recently authorized, and the Governor approved, budget appropriations that include funding for the COTS project implementation plan.</p>		

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		<p><i>Anticipated Completion Date:</i> <i>The remaining activities for User Management are pending COTS project implementation.</i></p> <p><i>Pending COTS Project Implementation:</i></p> <ul style="list-style-type: none">• <i>Incorporate Key Dates into new Roles-Based User Management [6/2017]</i>• <i>Evaluate integration with DOE Single Sign-On for new, integrated Educator Certification System [6/2017]</i>• <i>Implement tool for User Management by external partner administrators in new, integrated Educator Certification System [6/2017]</i>		
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>Response as of March 30, 2015</p> <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 to modernize agency communication technology systems to include full integration with the BEC Contact Center system. Pending LBR approval, implementation of the new integrated BEC Contact Center technology system will include capture and routine reporting of system metrics identified to monitor</p>	Activities to integrate the BEC Contact Center into the new agency communication technology system were completed by the end of May 2016. This change incorporates a host of additional system metrics for monitoring and reporting performance of the BEC Contact Center.	Completed August 2016 Contact: Mandy Mims

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		<p>performance. 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:</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 2015]• Incorporate additional system metrics into new BEC Contact Center technology system [TBD] <p>Response as of September 30, 2015</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 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</p>	<p>reporting capabilities through the end of August 2016.</p> <p>As a result of review and training, the BEC adjusted its data collection to routinely capture and monitor several additional system metrics including: average wait time, average talk time, busy rate and abandoned rate.</p> <p>After sufficient analysis, the BEC will adopt appropriate targets to evaluate performance relative to each of these new metrics.</p>	

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		<p>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><i>Anticipated Completion:</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 into new BEC Contact Center technology system [Spring 2016] <p>Response as of March 30, 2016</p> <p>Late in Fall 2015, BEC staff reviewed the information collected from other state agencies for ideas to consider for the upgraded BEC Contact Center system.</p> <p>In January 2016, department Telecommunications staff modernized the agency communication technology systems, but plans to fully integrate these updates with the BEC Contact Center system encountered technical delays. Focus on documenting technical requirements coupled with limited knowledge of data capabilities has suspended the review of metrics available until closer to upgrade to the new system.</p> <p>As recommended, available metrics will be routinely gathered and analyzed to evaluate performance based on applicability for the BEC Contact Center environment.</p>		

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		<p><i>Anticipated Completion Date:</i> <i>The current target for system implementation is by May 2016.</i></p> <p><i>Anticipated Completion:</i></p> <ul style="list-style-type: none">• <i>Review available system metrics and evaluate for tracking BEC Contact Center performance [Spring 2016]</i>• <i>Incorporate additional system metrics into new BEC Contact Center technology system [Spring 2016]</i>		