Memo

October 26, 2012

TO: Andy Leaphart, Director of Support Services

COPY TO: Doug Harper, Chief Information Officer

THRU: Paul B. Townes, CPA, Interim Chief Internal Auditor

FROM: K. Charvae Martin, MBA, MA in ITM

SUBJECT: Agency Applications' User Access Control Review Follow-Up

The Office of the Chief Internal Auditor (OCIA) performed a follow-up of the South Carolina Department of Transportation (SDCOT) Agency Applications' User Access Control Review dated April 6, 2011. In the review, we recommended the following:

- Development of a monthly report identifying separated and terminated employees and forward to all application owners
- Development of a process for monthly review by application owners of logical access controls with confirmation to IT Services
- Annual review of access controls to determine that all users still require access

The department responded on May 26, 2011 that the following action would occur:

- Produce report listing the terminated employees and applications he/she has access
- Distribute report to responsible managers of the application
- Require report be returned to IT Services

We reviewed the agency's current process and determined that the application owners were notified on June 28, 2011 of new procedure to ensure that the administrators review the current user access list on a monthly basis. This new process became effective July 1, 2011. IT Services e-mails the *Terminated Employees Report* to the application owners (via a listserv called D8TermList) each pay period (1st and 16th of the month). Each administrator is responsible for sending an e-mail to the "SCDOT HelpDesk" with the employee name, employee number, and application title for each terminated employee that was removed from their respective system. If none, the administrators are responsible for forwarding a response of "No terminated employees were users of XXXXX system."

We received an excel file containing HelpDesk ticket data from IT Services for 32 pay periods with the following information: HelpDesk ID, Created Date, Customer Name, Short Description (pay period dates), Details (employee info and application title), Task Status, Date Modified Date. We reviewed the HelpDesk tickets for "Terminated Employees Report" from System Administrators during the period of July 1, 2011 through October 16, 2012 (see Figure 1 below).

	Total Responses	Percentage of 32 Potential Responses
Application		
Building Maintenance System (BMS)	0	0%
Communicating All Promises (CAPS)	19	59%
Emergency Operations Readiness System (EORS)	24	75%
Highway Maintenance Management System (HMMS)	2	6%
IT Equipment Budget System (ITEBS)	20	63%
Preconstruction Project Management System (PPMS)	0	0%
Primavera Construction Database	0	0%
Primavera Web Access – PreConstruction	21	66%
Risk Management Information System (RMIS)	10	31%
Satisfaction Survey (RAWCS)	0	0%
Site Manager	13	41%
Vehicle Reservation System	20	63%

Figure 1

The review included twelve applications. Four (33%) administrators did not respond to the Termination Report e-mailed each pay period. Seven (58%) administrators submitted responses for less than 50% of the dates during the 15-month review period. One (1%) administrator submitted responses for 75% or more of the dates during the 15-month review period. No administrator submitted responses for 100% of the dates. Although the agency has participation, the process is not enforced.