

Minnesota State Colleges and Universities - Office of Internal Auditing
Fiscal Year 2008 Audit Planning - IT Audit Risk Assessment

Summary of Auditable Units

COBIT Responsibility Domain	COBIT IT Process	Category	Auditable Unit	Description	Managed By
Plan and Organize	PO1 - Define a strategic Plan	Administration	IT Strategic Plan	Board Policy: 5.13 Information Technology Administration - Part 2 Responsibilities: The chancellor shall develop an information technology strategic plan for approval by the Board of Trustees and prescribe data, applications, security, and technology standards in order to ensure the effectiveness, efficiency, timeliness, and accuracy of information gathered, stored and utilized by the system office, colleges, and universities. The chancellor shall review college and university information technology plans. Note: Board Policy refers to a September 1999 IT Strategic Plan.	ITS
Plan and Organize	PO2 - Define the Information Architecture	Administration	Data Ownership and Classification	Security committee is trying to get a group together to draft a system procedure on this.	?
Plan and Organize	PO2 - Define the Information Architecture	Production - Database	Oracle Data Warehouse	Administrative Support - consolidates campus specific ISRS data in denormalized format in Oracle database for use in standard reports and ad hoc queries.	ITS
Plan and Organize	PO2 - Define the Information Architecture		ISRS Data Dictionary		ITS
Plan and Organize	PO3 - Determine Technological Direction	Emerging Technologies	Second Life		C/U
Plan and Organize	PO3 - Determine Technological Direction	Emerging Technologies	Voice over IP		C/U
Plan and Organize	PO5 - Manage the IT Investment	Administration	IT Budget	Cost Accounting, Project costs, maintenance costs, overall IT spending in MnSCU	ITS
Plan and Organize	PO7 - Manage IT Human Resources	Administration	Human Resource - Hiring Practices	Permanent staff vs. consultants, classifying positions, number of failed searches.	ITS and HR
Plan and Organize	PO7 - Manage IT Human Resources	Administration	Human Resources - Performance Evaluations and Professional Development		ITS
Plan and Organize	PO7 - Manage IT Human Resources	Administration	Human Resource - Business Continuity	Some key employees are eligible for retirement, employee cross-training	ITS
Plan and Organize	PO8 - Manage Quality	Administration	System Development Methodology		ITS
Plan and Organize	PO8 - Manage Quality	Administration	Local Application Development Environment (LADE)	Process that can be utilized by C/U if they want to load data back into ISRS.	ITS and C/U
Plan and Organize	PO9 - Assess and manage IT Risk	Security	Risk Assessment	No overall risk assessment conducted within IT. C/U pilots being conducted in Spring 2007 at Inver Hills, Pine Technical and MSU, Mankato.	ITS
Plan and Organize	PO10 - Manage Projects	Administration	Project Management	Primarily rely on consultants during FY07 - plan to hire full-time staff in FY08.	ITS
Acquire and Implement	A11 - Identify Automated Solutions	Administration	Software Acquisition Standards		ITS
Acquire and Implement	A12 - Acquire and Maintain Application Software	Current Projects	E-Transcript		Academic Affairs
Acquire and Implement	A12 - Acquire and Maintain Application Software	Current Projects	Facilities Project Management		ITS
Acquire and Implement	A12 - Acquire and Maintain Application Software	Current Projects	ISRS - Budget Module		ITS
Acquire and Implement	A12 - Acquire and Maintain Application Software	Current Projects	APPS Database		Academic Affairs

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Acquire and Implement	AI2 - Acquire and Maintain Application Software	Current Projects	Assessment Software	College Board will host but interfaces to ISRS.	ITS - implementation and support
Acquire and Implement	AI2 - Acquire and Maintain Application Software	Current Projects	ISRS - Tuition Waiver	As part of SCUPPS conversion and new module is being created tracking employee tuition waivers.	ITS
Acquire and Implement	AI2 - Acquire and Maintain Application Software	Current Projects	Seamless		ITS
Acquire and Implement	AI2 - Acquire and Maintain Application Software	Current Projects	Foundation Software	Decision hasn't been made as to whether ITS with host or vendor. System will store credit card numbers.	?
Acquire and Implement	AI2 - Acquire and Maintain Application Software	Current Projects	Budget Module		Metro Alliance
Acquire and Implement	AI2 - Acquire and Maintain Application Software	Emerging Technologies	Emergency Notification Systems	Systems that notify staff and students via e-mail, website messages and text messages to cell phones... Note that a pilot project is underway with Connect Ed that is being managed by ITS division. An issue occurred on April 18, 2007 at Central Lakes where a message went out in error.	ITS for pilot
Acquire and Implement	AI2 - Acquire and Maintain Application Software	Security	ISRS Application Security	Appropriate user access, need to know and segregation of duties	C/U
Acquire and Implement	AI3 - Acquire and maintain technology Infrastructure	Current Projects	RDB to Oracle conversion for ISRS	Proof of concept is to convert SCUPPS. Project is in progress and going well.	ITS
Acquire and Implement	AI3 - Acquire and maintain technology Infrastructure	Current Projects	Uniface to J2EE migration	Proof of concept is to convert SCUPPS. Project is in progress and going well.	ITS
Acquire and Implement	AI3 - Acquire and maintain technology Infrastructure	Infrastructure	Wide Area Network		ITS
Acquire and Implement	AI3 - Acquire and maintain technology Infrastructure	Infrastructure	Local Area Networks		C/U
Acquire and Implement	AI4 - Enable Operations and Use	Administration	ISRS Documentation		ITS
Acquire and Implement	AI4 - Enable Operations and Use	Administration	List serv		ITS
Acquire and Implement	AI5 - Procure IT Resources	Administration	Purchasing Practices	Software and Hardware purchasing	C/U
Acquire and Implement	AI6 - Manage Change	Infrastructure	Change Management	Testing	ITS
Acquire and Implement	AI7 - Install and Accredited solutions and changes	Administration	System Testing and Implementation Procedure		ITS
Deliver and Support	DS1 - Define and Manage Service Levels	Current Projects	Customer Service	Three projects including: Develop, ratify SLAs, Develop Master Project list and establish PMO and Refine, Ratify Governance.	ITS
Deliver and Support	DS2 - Manage Third-Party Services	Production Application	SEMA4	Financial System	State of MN
Deliver and Support	DS2 - Manage Third-Party Services	Production Application	Right Now	Administrative System - customer relationship management software. Currently hosted by the vendor. \$2 million contract	PALS - Academic Affairs
Deliver and Support	DS2 - Manage Third-Party Services	Production Application	MAPS	Financial System	State of MN
Deliver and Support	DS2 - Manage Third-Party Services	Service Provider	US Bank - credit card payments		Finance Division?

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Deliver and Support	DS2 - Manage Third-Party Services	Service Provider	FACTS	Payment plans for students - interfaces with ISRS?	Finance Division?
Deliver and Support	DS2 - Manage Third-Party Services	Service Provider	Educational Computer Systems Incorporated (ECSI)		Finance Division?
Deliver and Support	DS3 - Manage Performance and Capacity	Current Projects	High Performance Network	Four projects including: WAN Router Upgrade, Enterprise Performance Monitoring Tools, Bandwidth Increase and Redundant Network Paths	ITS
Deliver and Support	DS3 - Manage Performance and Capacity	Infrastructure	Bandwidth Capacity		ITS
Deliver and Support	DS3 - Manage Performance and Capacity	Infrastructure	Desire 2 Learn (D2L) - Capacity Planning		ITS
Deliver and Support	DS3 - Manage Performance and Capacity	Infrastructure	ISRS Capacity Planning and Stress Testing		ITS
Deliver and Support	DS4 - Ensure Continuous Service	Current Projects	D2L Failover		ITS
Deliver and Support	DS4 - Ensure Continuous Service	Current Projects	ISRS Failover	Contract is in place with Office of Enterprise Technology (OET) for use of Centennial Office Building to house failover site, equipment has been purchased, installation in progress.	ITS
Deliver and Support	DS4 - Ensure Continuous Service	Infrastructure	Backup and Recovery - Core	Testing	ITS
Deliver and Support	DS4 - Ensure Continuous Service	Infrastructure	Backup and Recovery	Testing	C/U
Deliver and Support	DS4 - Ensure Continuous Service	Security	Disaster Recovery - Desire 2 Learn		ITS
Deliver and Support	DS4 - Ensure Continuous Service	Security	Disaster Recovery - ISRS	A project is currently underway to establish failover site which will serve as the disaster recovery site.	ITS
Deliver and Support	DS5 - Ensure System Security	Current Projects	Consolidated Access Point (CAP) Servers	Two phases to project: Phase 1 - getting servers installed at institutions. Phase 2 - converting queries over (Gerry R. - responsible)	ITS
Deliver and Support	DS5 - Ensure System Security	Current Projects	Information Security Awareness Program	Required on-line training for all faculty and staff was deployed in April 2007.	ITS and C/U HR units
Deliver and Support	DS5 - Ensure System Security	Current Projects	Security Assessment Instruments	Pilots being conducted in Spring 2007 at Inver Hills, Pine Technical and MSU, Mankato.	ITS
Deliver and Support	DS5 - Ensure System Security	Current Projects	Security Event Monitoring		ITS and C/U
Deliver and Support	DS5 - Ensure System Security	Emerging Technologies	Identity Management	Ken Braumbaugh leading effort with ITS division	ITS
Deliver and Support	DS5 - Ensure System Security	Infrastructure	Firewalls	All C/U have firewalls some are managed locally at the WAN connection?	ITS and C/U
Deliver and Support	DS5 - Ensure System Security	Security	Security Management Program/Plan		ITS
Deliver and Support	DS5 - Ensure System Security	Security	Vulnerability and Patch Management	OET entered in contract for all state agencies, including MnSCU in April 2007.	ITS and C/U
Deliver and Support	DS5 - Ensure System Security	Security	High Privileged User Security Access	On other ITS hosted applications	ITS
Deliver and Support	DS5 - Ensure System Security	Security	ISRS - High Privileged User Security	Open VMS and RDB	ITS

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Deliver and Support	DS5 - Ensure System Security	Security	Intrusion Detection		C/U
Deliver and Support	DS5 - Ensure System Security	Security	Network Segmentation		ITS
Deliver and Support	DS5 - Ensure System Security	Security	Mobile Device Security	New standard finalized in April 2007 requires non-public data to be encrypted on mobile devices. Implementation date of standard?	C/U
Deliver and Support	DS5 - Ensure System Security	Security	Remote Access		C/U
Deliver and Support	DS5 - Ensure System Security	Security	Wireless Security		C/U
Deliver and Support	DS7 - Educate and Train Users	Administration	ISRS Training		ITS
Deliver and Support	DS7 - Educate and Train Users	Administration	Desire 2 Learning Training		ITS
Deliver and Support	DS8 - Manage Service Desk and incidents	Administration	D2L Helpdesk	ITS division contracts with MSU, Mankato for helpdesk support for D2L.	MSU, Mankato
Deliver and Support	DS8 - Manage Service Desk and incidents	Administration	ISRS Helpdesk	Helpdesk currently uses the Right Now tool for ticketing helpdesk questions.	ITS
Deliver and Support	DS8 - Manage Service Desk and incidents	Administration	Workstation Helpdesk		C/U
Deliver and Support	DS8 - Manage Service Desk and incidents	Current Projects	ISRS Helpdesk	Three projects including: Helpdesk Assessment, ISRS Helpdesk Stabilization and Service Center	ITS
Deliver and Support	DS9 - Manage the Configuration	Administration	Software Licensing - ITS Division		ITS
Deliver and Support	DS9 - Manage the Configuration	Administration	Software Licensing		C/U
Deliver and Support	DS10 - Manage Problems	Security	Incident Handling		ITS
Deliver and Support	DS11 - Manage Data	Production - Database	Oracle Repl	Will eventually replace MnSCU Replicated Data	ITS
Deliver and Support	DS11 - Manage Data	Production - Database	MnSCU Replicated Data	Administrative Support - exact copy of production Oracle RDB databases. Colleges and universities access data using ODBC for adhoc reporting and other needs.	ITS
Deliver and Support	DS11 - Manage Data	Production - Database	OTC - Research unit data storage		OTC
Deliver and Support	DS12 - Manage the Physical Environment	Infrastructure	West Bank Office Building (WBOB) Data Center	ISRS Data Center	ITS
Deliver and Support	DS13 - Manage Operations	Infrastructure	Job Scheduling		ITS
Deliver and Support	Application	Infrastructure	Internet/Intranet	e.g. www.mnscu.edu vs. www.its.mnscu.edu	C/U
Deliver and Support	Application	Production Application	Employee Training	System for tracking employee training activity	MSU, Mankato
Deliver and Support	Application	Production Application	ISRS - Communication		ITE

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Deliver and Support	Application	Production Application	ISRS - Prospect	Student System	ITS
Deliver and Support	Application	Production Application	Aleph	Administrative System - Automated Library System	PALS - Academic Affairs
Deliver and Support	Application	Production Application	Course Applicability System (CAS)	Student System - a statewide, web-based, student-driven system that allows users to record previous coursework in a portfolio, send this record to another institution and get back an online transfer evaluation and program planning guide.	ITS
Deliver and Support	Application	Production Application	Degree Audit Reporting System (DARS)	Student System - Automated process for tracking a student's progress toward completing an academic program (degree, diploma or certificate). DARS includes a degree audit system and an automated transfer evaluation system that produces screen, print, and web degree audits and transfer evaluation reports.	ITS
Deliver and Support	Application	Production Application	Desire 2 Learn (D2L)	Student System - for creating and delivering online courses	ITS
Deliver and Support	Application	Production Application	FRRM	Facilities system - official repository for building history information	Facilities
Deliver and Support	Application	Production Application	Fundware	Financial System - software used to produce GAAP based financial statements.	ITS
Deliver and Support	Application	Production Application	I-Seek	Student System - Career development and job seeking system. ITS division hosts servers and software.	Academic Affairs
Deliver and Support	Application	Production Application	ISRS - Accounting General Ledger	Financial System - Accounting Reports	ITS
Deliver and Support	Application	Production Application	ISRS - Accounts Payable	Financial System - Check Writer, Direct Deposit, Automatic Bank Reconciliation and Tax Unit	ITS
Deliver and Support	Application	Production Application	ISRS - Accounts Receivable	Financial System - Third Party Billing Process, Collections, Online Payment, Ar Processing Guides, Payment Plan Provider Interface, Registration Cancellation or Non Payment and Prepayments.	ITS
Deliver and Support	Application	Production Application	ISRS - Applicant/ Admissions	Student System - universal application on the web, automated admission, assessment and test scores	ITS
Deliver and Support	Application	Production Application	ISRS - Duplicate Resolution Process	Mostly manual process after queries are completed to identify potential duplicate students within ISRS.	ITS
Deliver and Support	Application	Production Application	ISRS - Equipment/ Fixed Assets	Financial System -	ITS
Deliver and Support	Application	Production Application	ISRS - Financial Aid	Financial System	ITS
Deliver and Support	Application	Production Application	ISRS - Purchasing	Financial System -	ITS
Deliver and Support	Application	Production Application	ISRS - Registration	Student System - Course setup, curriculum, term course, registration, grade loading, satisfactory academic progress	ITS
Deliver and Support	Application	Production Application	ISRS - Satisfactory Academic Progress (CT1020CB)	Automated process for placing academic and financial aid holds based on a student academic progress.	ITS
Deliver and Support	Application	Production Application	ISRS - SCUPPS	Financial System - HR system used to record faculty and staff assignments and salary.	ITS

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Deliver and Support	Application	Production Application	ISRS - Student Housing	Administrative System -	ITS
Deliver and Support	Application	Production Application	ISRS - Student Payroll	Financial System	ITS
Deliver and Support	Application	Production Application	Customized Training System	? - not sure if still in production	North Hennepin
Deliver and Support	Application	Production Application	Elumen	Mastery of Learning Objectives	ITS hosts
Deliver and Support	Application	Production Application	Document Management System	Document imaging and retrieval.	MSU, Mankato
Deliver and Support	Application	Production Application	e-Folio	Student System - used to create personal electronic portfolios. ITS hosts, academic affairs would like integration with ISRS.	Academic Affairs
Deliver and Support	Application	Production Application	Hyperion	Administrative System - tool used by colleges and universities to query Oracle data warehouse. In addition, data management reports are posted on public website using Hyperion. Research unit has published dashboards for campus use with this tool.	ITS
Deliver and Support	Application	Production Application	ISRS - Facilities	Financial System -	ITS
Deliver and Support	Application	Production Application	Resource 25 (R25) and Schedule 25	Administration System - campus-wide class and event scheduling software within a single database. Automates and optimizes classroom scheduling.	ITS
Deliver and Support	Application	Production Application	ISRS - Consumable Inventory	Financial System -	ITS
Deliver and Support	Application	Production Application	ISRS - Cost Allocation	Financial System -	ITS
Deliver and Support	Application	Production Application	Course Equivalency Builder (CEB)	Microsoft Access based system. Course A = B and B = C then A = C.	PALS - Academic Affairs
Deliver and Support	Application	Production Application	Prinsys	Tracks approved academic programs at all MnSCU campuses.	Academic Affairs
Monitor and Evaluate	ME1 - Monitor and Evaluate IT Performance	Accountability	System Availability Target	In September 2006, the BOT approved a system target "Measure increased availability and reliability of the IT infrastructure and maintain at 99.9%	ITS
Monitor and Evaluate	ME3 - Ensure Compliance with External Requirements	Security	Privacy Compliance	MGDPA, FERPA, PCI, IRS...	C/U
Monitor and Evaluate	ME4 - Provide IT Governance	Administration	IT Governance		ITS