

# IT UPDATE



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BOT RMAC Committee Presentation  
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# BANNER DOCUMENT MANAGEMENT AUDIT

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## BACKGROUND AND SCOPE

- Banner Document Management (BDM) integrates Banner and a commercial document management system, ApplicationXtender
- ApplicationXtender can and is used separately from Banner and BDM
- All universities are required to follow the *Records Retention and Disposition Schedule* issued by the North Carolina Department of Natural and Cultural Resources
- Audit conducted by the Office of Internal Auditing
- Audit covered both BDM/ApplicationXtender use and adherence to the retention and disposition schedule
- Audit covers the period July 1, 2019, to February 29, 2020

## ISSUES

- The university has not adopted a uniform set of guidelines and best practices for safeguarding electronic records as required by the schedule
- ITS does not perform BDM user security access reviews on a regular schedule
  - > ITS completed a BDM access review in July 2021
- ITS did not provide a written Business Continuity Plan or Disaster Recovery Plan
  - > ITS Business Continuity and Disaster Recovery Plan approved in December 2020
- Departments do not maintain specific policies and procedures regarding the use of BDM. Each department has unique requirements.

## ISSUES (CONT.)

- Two of four departments did not verify that all required documents had been scanned and indexed. Some documents were not stored in BDM.
  - > Some departments experience a significant backlog, making the accuracy and timeliness of this process more important
- Three of four departments did not have a documented business continuity plan. One was in the process of updating its plan.

## **OUTSTANDING ACTION ITEMS**

- DLARC will draft a records retention policy (December 2021)
- ITS will draft standards for electronic records storage and scanning of paper documents (Spring 2022)
- DLARC and ITS will provide training on records retention requirements and electronic records storage and scanning (FY23)
- DLARC and ITS will assess the need for a compliance committee and a Records Manager (FY23)
- ITS will work with those units that use BDM to develop their associated business continuity and disaster recovery plans (Spring 2022)

# ENTERPRISE ENDPOINT MANAGEMENT

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## ISSUES

- Many campus endpoints run out of date Windows 7 or Windows 10
- Campus endpoints lack a secure baseline configuration
- Some endpoints are not members of Active Directory
- Some endpoints are not patched
  - > The university lacks a technical means of requiring updates
- Some endpoints lack up-to-date antivirus and antimalware
- Many campus endpoints lack a tag identifying them as NC A&T property
- ITS lacks data to determine the unit or individual to whom an endpoint is assigned



## **RISKS**

- These issues leave endpoints open to the following risks:
  - > Ransomware
  - > Virus and malware
  - > Intrusion and pivot to attack campus
  - > Intrusion and pivot to attack another site
  
- **Lack of comprehensive endpoint management is the greater single technology threat the university faces**

## STATUS

- Finalized scope and deliverables
- Team assembled
- Pilot beginning in ITS
  - > Will reach out to additional divisions during the project
- ITS intends to tag all endpoints

# PCI DATA SECURITY STANDARD REMEDIATION



## PCI DATA SECURITY STANDARD

- Governs technology controls around credit card processing
- Complete
  - Mandatory Training
- Underway
  - Process Assessment (late)
- Pending
  - P2PE Card Terminal Migration
  - Process Redesign (late)
  - Endpoint Segmentation
- November
  - Governance (late)
  - Telephone Infrastructure Changes
- December
  - Attestations of Compliance

# *Questions?*