

Audit: ADG ITGC Audit - Interface and Batch Job  
Date: 11/25/2025

By: Audit Team

- Procedures:
- 1

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3

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5
- Verify that batch jobs/interfaces are scheduled on periodic basis.

Verify that system interfaces are properly configured.

Verify that system interfaces are monitored.

Verify that system interfaces encryption is being performed

Verify that system interface access is appropriate.

Sample #	Sample Date	Batch Job/Interface Name	Purpose	Frequency	Source	Destination	Alerts/Notifications	Encryption	Results	Procedures				
										1	2	3	4	
1	1/11/2024	Merkle_ADG_Interface	Income sFTP Merkle --> ADG File Server	Daily	Income sFTP Merkle	ADG File Server	Deactivated	Not configured	Incomplete	✓	E3	E2	E1	
2	1/25/24								Successful	✓	✓	E2	E1	
3	2/8/2024								Successful	✓	✓	E2	E1	
4	2/15/2024								Failed	✓	E3	E2	E1	
5	3/1/2024								Incomplete	✓	E3	E2	E1	
6	3/29/2024								Incomplete	✓	E3	E2	E1	
7	4/5/2024				Income FTP Merkle --> ADG File Server				Income FTP Merkle	Successful	✓	✓	E2	E1
8	4/12/2024									Successful	✓	✓	E2	E1
9	4/19/2024									Successful	✓	✓	E2	E1
10	10/3/2024									Failed	✓	E3	E2	E1
11	10/23/2024									Incomplete	✓	E3	E2	E1
12	11/11/2024									Incomplete	✓	E3	E2	E1
13	1/5/24	RC_ADG_Interface	Incoming FTP RC --> ADG File Server		Incoming FTP RC				Successful	✓	✓	E2	E1	
14	1/22/24								Failed	✓	E3	E2	E1	
15	2/3/24								Failed	✓	E3	E2	E1	
16	2/25/24								Successful	✓	✓	E2	E1	
17	3/12/24								Successful	✓	✓	E2	E1	
18	3/27/24								Failed	✓	E3	E2	E1	
19	3/29/24								Successful	✓	✓	E2	E1	
20	4/1/24								Successful	✓	✓	E2	E1	
21	4/9/24								Successful	✓	✓	E2	E1	
22	4/19/24								Incomplete	✓	E3	E2	E1	
23	10/10/24								Failed	✓	E3	E2	E1	
24	10/31/24								Incomplete	✓	E3	E2	E1	
25	11/14/24								Failed	✓	E3	E2	E1	

#	Job/Interface Name	Individuals	Title	Access Control	Access Level	Procedures
						5
1	ADG File Server Access	Leighton Barker	Senior Systems Analyst	MODIFY	ANALYST	✓
2	ADG File Server Access	Val Russell	Administrative Assistance/Secretary	MODIFY	ANALYST	E4
3	ADG File Server Access	Wilburn J. Willoughby	Programmer Analyst	MODIFY	ANALYST	✓
4	ADG File Server Access	John Torres	ITS System Admin/DBA	MODIFY	ADMIN	✓
5	ADG File Server Access	Vinylie Fannoni	Associate Director IT	MODIFY	ADMIN	✓
6	ADG File Server Access	Joseph Rebecca	Donor/Alumni Analyst	MODIFY	BUSINESS	✓
7	ADG File Server Access	Magdala Exume	Facilities Manager	MODIFY	BUSINESS	E4

Tickmark Legend		Report Reference
✓	No exceptions noted.	N/A
E1	System interface files and related log files are transferred using unencrypted FTP and are not consistently encrypted at rest or in transit, violating the encryption procedure. Exception noted.	1
E2	Batch job alerts are disabled, violating the monitoring procedure. Exception noted.	3
E3	Batch jobs are "failed" or "incomplete", violating the configuration procedure. Exception noted.	2
E4	Access Control needs to be modified for the Facilities Manager and the Administrative Assistance/Secretary. Exception noted.	2