

Information Technology General Controls: Audit Program Guide – ADG System

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Control Activity		Control Test Plan	Results of Testing
1.	Interfaces and Batch Jobs		
	<u>Control Objective:</u> Data integrity and security are maintained for key interfaces and batch jobs.		
	<u>Risk:</u> Systems data may not be accurate, complete, and/or adequately authorized as they are entered, processed, summarized and/or reported.		
	<u>Control Activity:</u> The system relies on daily batch files from Merkle and Ruffalo Cody, which the Oracle Batch Job Scheduler obtains from an unencrypted FTP and loads into the internal database. While the technical team maintains and monitors all Oracle-schedule jobs and configurations by receiving automated alerts when failures occur, the stakeholders' team is the only team with access to modify the interface files. Operational access works accurately for routine data flow such as donation and phone marathon files. However, the entire process only reviews and monitors failed job tickets, and no encryption is applied once the file reaches the internal system. As a result, the data is left vulnerable both at rest and in transit, exposing sensitive data and failing to maintain basic security. The lack of an encryption method is a significant security concern, as data is exposed, and there are no safeguards in place to protect it.	<u>Test Plan:</u> A) Obtain an understanding of the system interfaces and batch jobs process. B) Verify that system interfaces are properly configured. C) Validate that system interfaces are being monitored. D) Confirm that system interface access is appropriate. E) Verify that system interfaces encryption is being performed.	<u>Test Results:</u> A) We obtained an understanding of the System Interfaces and Batch Jobs process through walkthrough discussions with Virgilie Fannon, Senior Director of Interfaces and Integration. B) We verified that system interfaces are not properly configured. Exception Noted C) We validated that system interfaces are not being monitored. Exception Noted D) We confirmed that system interface access is inappropriate. Exception Noted E) We verified that system interfaces encryption is not being performed. Exception Noted Refer to Interfaces Batch Jobs.xls document for test details