

Alumni and Donor Giving (ADG): Systems Interfaces and Batch Jobs

December 2025

Internal Audit and Services

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Objective

The objective of this review is to determine that data integrity is maintained for key interfaces and batch jobs.

Scope

The scope included the following areas:

- Systems interfaces configuration.
- System interfaces monitoring.
- Systems interfaces access.
- Systems interfaces encryption.

Distribution and Audit Team

Prepared by Audit Team

Detailed Observations, Recommendations and Management Responses

#	Observation and Risk	Priority	Recommendation	Management Responses
1.	<p>Observation Summary: The Alumni and Donor Giving (ADG) system interface files are not consistently encrypted at rest and in transit.</p> <p>Detailed Observations: We noted the following:</p> <ul style="list-style-type: none"> The Batch Job files are obtained from unencrypted FTP files, which are then loaded into the internal database. Encryption has not been configured for file transfers and log files. Sensitive alumni and donor data is exposed during file transmission, and encryption controls over interface files after ingestion are not consistently enforced. <p>Risk Statement: Lack of encryption for file transfers and file integrations may result in sensitive donor and alumni information being breached.</p>	H	Implement proper encryption for all file transfers and storage. Use the SFTP protocol instead of regular FTP and apply encryption at rest within the internal database. Also, require teams to validate the encryption is active, tested and monitored, so sensitive data stays protected throughout the entire process.	<p>Agreed.</p> <p>Responsible Party: Virgilie Fannon, Senior Director of Interfaces and Integration</p>
2.	<p>Observation Summary: The Alumni and Donor Giving (ADG) system interfaces are not consistently configured to enforce appropriate control settings. In addition, access to system interfaces is not appropriately restricted, increasing the risk of unauthorized access or data modification.</p> <p>Detailed Observations: Specifically, we noted the following:</p> <ul style="list-style-type: none"> 7 out of the 25 interface and batch jobs were incomplete. 7 out of the 25 interface and batch jobs failed to go through. All 7 users reviewed were assigned "modify" access to system interface files; 2 of the 7 users did not require modify-level access, and access for those users was subsequently revised. <p>Risk Statement: Systems data may not be accurate, complete, and/or adequately authorized as they are entered, processed, summarized, and/or reported.</p>	H	Implement stronger access controls by applying role-based access so that only employees who need to modify interfaces or batch jobs can do so while others are provided with read-only access. Place automated checks to detect failed or incomplete jobs along with alerts so that issues are identified and fixed appropriately.	<p>Agreed.</p> <p>Responsible Party: Virgilie Fannon, Senior Director of Interfaces and Integration</p>

#	Observation and Risk	Priority	Recommendation	Management Responses
3	<p>Observation Summary:</p> <p><i>The Alumni and Donor Giving (ADG) system lacks effective monitoring controls, as alerts and notifications for failed or unsuccessful system interface transfers and batch jobs are disabled.</i></p> <p>Detailed Observations: Specifically, we noted the following:</p> <ul style="list-style-type: none"> • <i>All 25 of the selected interfaces and batch jobs showed their alerts are disabled.</i> <p>Risk Statement: <i>With alerts disabled and monitoring incomplete, failures in interfaces or batch jobs may go unnoticed, increasing the risk of data errors, processing delays, and operational disruptions.</i></p>	H	<p><i>Enable alerts for all interfaces and batch jobs and require regular monitoring to ensure failures are identified and addressed in real time. Document and review monitoring settings on a routine schedule so alerts cannot be disabled without approval.</i></p>	<p><i>Agreed</i></p> <p><i>Responsible Party: Virgilie Fannon, Senior Director of Interfaces and Integration</i></p>