

Audit: ADG ITGC Audit - Interface and Batch Job
Date: 1/25/2025

By: Audit Team

Procedures:

- 1 Verify that batch jobs/interfaces are scheduled on periodic basis.
- 2 Verify that system interfaces are properly configured.
- 3 Verify that system interfaces are monitored.
- 4 Verify that system interfaces encryption is being performed.
- 5 Verify that system interface access is appropriate.

Sample #	Sample Date	Batch Job/Interface Name	Purpose	Frequency	Source	Destination	Alerts/Notifications	Encryption	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	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	ADG File Server	Deactivated	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	Daily	Incoming FTP RC	ADG File Server	Not configured	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
1	ADG File Server Access	Leighton Barker	Senior Systems Analyst	MODIFY	ANALYST	✓
2	ADG File Server Access	Val Russell	Administrative Assistant/Secretary	MODIFY	ANALYST	E4
3	ADG File Server Access	Wilbur J. Willoughby	Programmer Analyst	MODIFY	ANALYST	✓
4	ADG File Server Access	John G. Gandy	IT System Admin/DBA	MODIFY	ADMIN	✓
5	ADG File Server Access	Virgile Fannon	Associate Director IT	MODIFY	ADMIN	✓
6	ADG File Server Access	Joseph Rebecca	Donor/Alumni Analyst	MODIFY	BUSINESS	✓
7	ADG File Server Access	Magdalena 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