

# Risk Assessment of The Office of Shared Accountability at SCSD

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# Agenda

- Syracuse City School District and Office of Shared Accountability
- Organizational Structure
- Current Risk Management (Old Paradigm)
- Risk Infrastructure
- Risk Identification Methods
- Measurement of OSA Risks
- Risk Management, Contingency Plan, Disaster Recovery for top 5 Risks
- Enterprise Risk Management (New Paradigm)



# About OSA and SCSD

## **Syracuse City School District**

- 5 high schools , 8 middle schools, 14 elementary schools, 6 K-8 schools, 3 alternative schools and 3 other campuses
- Great Schools ranks it number 3 out of 10
- Say Yes to Education Program

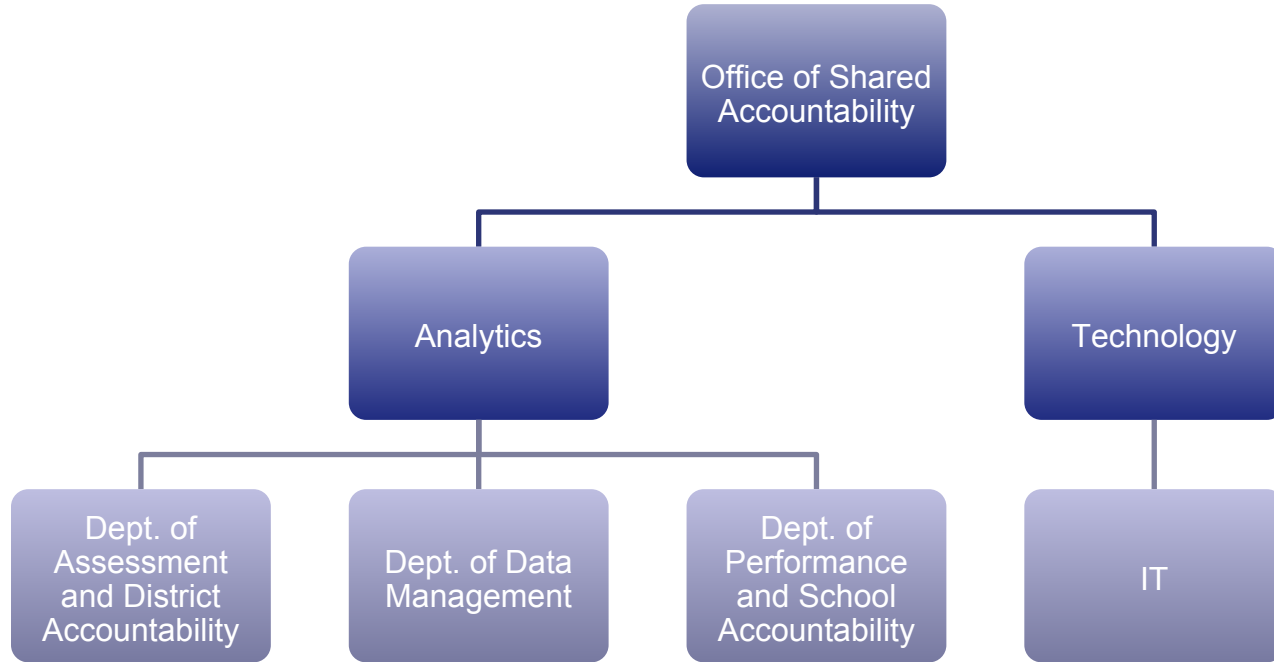
## **Office of Shared Accountability**

The office is responsible for:

- Collecting state, district, and school level data
- Organizing, maintain, and control the data
- Generating state and district reports
- Maintaining state testing guidelines
- Testing audits
- Program evaluation



# Organizational Structure



# OSA Risk Culture (Old Paradigm)

- Fragmented – Managing risks in a disparate and compartmentalized form
- Ad Hoc – Managing risks only when risk event take place and not considering wider application
- Narrowly Focused – Managing risks only specific risks and not managing risks associated with entire office



# OSA Risk Infrastructure

SCSD

- The district are responsible for developing and implementing risk management
- The district has developed risk management policies that OSA need to know and follow

OSA

- The Director and management manage risk when an event takes place
- There are some policies in place, but OSA manages risk as needed



# ERM Process: Risk Identification

- Interview (Staff members roles where Senior Data Analyst, Data Analyst, Research Tech 2, and Assistant Director)
- SWOT Analysis
- Brainstorming
- Industry Analysis
- Delphi Technique



# Risks Identified using Interview

- Sending confidential information through emails
- Not having a backup if testing scanners go out of order
- No natural disaster plan drills except for fire
- High level employees with passwords written within site of unauthorized users
- Neighborhoods are not safe (shootings and thief)
- Mismatch in data and reporting between OSA and third parties
- No work from home when the office is not reachable
- Illness within the office with multiple absence
- Exam Proctors not trained properly for Regents
- Regulation impact on APPR teacher evaluations
- No standardized training when a new employee starts





# SWOT Analysis

## STRENGTHS

- High quality staff
- Good Leadership Skills
- Financial strength & stability

## OPPORTUNITIES

- Going digital
- Improve schools & students performance

## WEAKNESSES

- Data unification
- Coordination between departments
- Manual processes
- Lack of verification process
- Lack of training
- Lack of cross training
- APPR teacher Evaluations

## THREATS

- Data breach
- Funding
- Competition with Big 5 districts
- FERPA compliance



# Risks Identified using SWOT Analysis

- Verification or Review process of the data
- Cross training
- Data breach
- Misreporting or having inaccurate data
- Operating budget
- Staff efficiency
- Leadership
- Student Performance
- Integrating test into Digital environment
- APPR teacher evaluation
- FERPA Compliance



# Risks Identified using Brainstorming

- People following or tailgating into the office
- No alternative work site if office is not operational
- Lack of training on data tools for end users



# Risks Identified using Industry Analysis

- FERPA non-compliance when reporting or in data handling
- Change in political party and political beliefs towards education
- Competition within Big 5 Districts



# Risks Identified using Delphi Technique

- Information security practices not standardized within the department
- Superintendent can make any request urgent that disrupts operation flow
- Mismanaging a lot of Paper based test
- Not good at customer service
- No communication of district strategy from school board to all departments



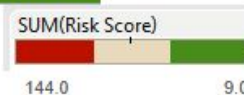
# List of Risks

- Sending confidential information through emails
- Information security practices not standardized within the department
- Not having a backup if testing scanners go out of order
- Lack of verification or Review process of the data
- No cross training (Man down then there is a gap)
- Superintendent can make any request urgent that disrupts operation flow
- Data breach
- No natural disaster plan drills except for fire
- FERPA non-compliance when reporting or in data handling
- High level employees with passwords written within site of unauthorized users
- Mismanaging a lot of Paper based test
- Neighborhoods are not safe (shootings and thief)
- No data standardization or unification within the database when analyzing for reporting
- People following or tailgating into the office
- No alternative work site if office is not operational
- Misreporting or having inaccurate data
- Mismatch in data and reporting between OSA and third parties
- No work from home when the office is not reachable
- Not good at customer service
- Reduced operating budget
- Illness within the office with multiple absence
- Exam Proctors not trained properly for Regents
- Non communication of district strategy from school board to all departments
- Regulation impact on APPR teacher evaluations
- No standardized training when a new employee starts
- Lack of training on data tools for end users
- Change in political party and political beliefs towards education
- Competition within Big 5 Districts
- Unqualified staff and low performance from staff
- Lack of leadership or clear direction from management
- Integrating the test into a digital environment
- Improper program evaluation of district performance



# Risk Measurement - Heat Map

Information security practices not standardized within the department	Integrating the test into a digital environment	Data breach	FERPA non-compliance when reporting or in data handling	No natural disaster plan drills except for fire	High level employees with passwords written within site of unauthorized users	
	A member from the team unable to perform task or duties due to external factors (Hospital, Accident, etc.)	Mismanaging a lot of Paper based test	Misreporting or having inaccurate data	No contingency plan if office is not operational	Improper program	
Not having a backup if testing scanners go out of order	Sending confidential information through emails	Neighborhoods Safety		Mismatch in data and reporting between OSA and third parties	No work from home when the office is not reachable	Not good at customer service
		No data standardization or unification		Reduced operating budget	Exam Proctors not trained properly for Regents	Illness within the office with multiple absence
Lack of verification or Review process of the data when in a tight deadline	Superintendent can make any request urgent that disrupts operation flow	People following or tailgating into the office		Communication of district strategy from school board		



# Risk Measurement - Quantitative - Probability and Impact

Risks	Probability	Impact	PI <sup>2</sup>
Information security practices not standardized within the department	4	6	144
Not having a backup if testing scanners go out of order	4	5	100
Lack of verification or Review process of the data	5	4	80
Integrating the test into a digital environment	3	5	75
A member from the team unable to perform task or duties due to external factors (Hospital, Accident, etc.)	2	6	72

## For Probability

Score	Significance
1	Very Low
2	Low
3	Medium
4	High
5	Very High

## For Impact

Score	Significance
1	Very Low
2	Low
3	Medium
4	Medium High
5	High
6	Very High





# Top 5 Risks

- 1.Information security practices not standardized within the department
- 2.Not having a backup if testing scanners go out of order
- 3.Verification or Review process of the data
- 4.Integrating test in the digital environment
5. A member from the team unable to perform task or duties due to external factors (Hospital, Accident, etc.)



# Risk 1: Information Security Practices not Standardized within Department

## Risk Management

- IT and Analytics Division manager should develop and implement standard Information Security policies
- All employees should be trained on security

## Contingency Plan

- Identify the cause of breach and stop any data leaving network
- Revoke access to all that are not needed for operations to continue

## Disaster Recovery

- Identify data that may have been exposed and report.
- Secure all networks and databases
- Provide training from lessons learned



# Risk 2: No Backup for Test Scoring Scanner

## Risk Management

- Maintain a rate that will not overheat the scanner and discontinue scanning for 5 mins every 45 minutes
- Maintain appropriate schedule of preventative maintenance

## Contingency Plan

- Begin manual scoring when the scanner is down
- Identify staff that can be called to assist in manual scoring when scanner is down

## Disaster Recovery

- Contact appropriate vendor or individuals for repair of machine to status prior to when the machine was not working
- If serious damage to machine, go through process to acquire new scanner for scoring



# Risk 3: Verification or Review Process of the Data

## Risk Management

- Implement a verification process, manual or automated to avoid misreporting of data
- Include data quality checks

## Contingency Plan

- Send an email to the respective school notifying the problem
- Bring the specific page down which has the issue and rest of the website

## Disaster Recovery

- Involve third party website vendor, Skedula data tools to make necessary changes
- Ensure all pages in website are accessible and error free



# Risk 4: Integrating Test into Digital Environment

## Risk Management

- Create a notification system when there is a possible server issue
- Invest on backup network servers and computers

## Contingency Plan

- Using backup servers when the primary servers are down or slow
- Shift students to a new computer

## Disaster Recovery

- Contracts for maintaining technical infrastructure which should recover primary server within a stipulated time



# Risk 5: A member from the team unable to perform task or duties due to external factors (Hospital, Accident, etc.)

## Risk Management

- Have critical health care service plans, support employees
- Implement Technology that enables employees work from home or during travel

## Contingency Plan

- Succession plans in place for critical management roles
- Execute job cross-training to fill staffing gaps
- Develop communication plans for new restructured teams to keep business running

## Disaster Recovery

- Hire new employees to fill the position
- Provide quick trainings to new employees to start their job



# ERM (New Paradigm)/Recommendations

- Integrated – Risk management that is coordinated within OSA and oversight from management and leadership
- Continuous – Risk management with a annual review of current and ongoing processes
- Broadly focused – Managing risks across the entire office with each division having clear communications



# Appendix

1	Name Of Risk	Risk Score	Identification	Probability	Impact	Prioritizing Reason
2	Information security practices not	144	Delphi	4 H	6 VH	
3	Not having a backup if testing scanners go out	100	Interview	4 H	5 H	
4	Verification or Review process of the data	80	Weakness - SWOT	5 VH	4 MH	
5	Integrating the test into a digital environment	75	Opportunity - SWOT	3 M	5 H	
6	task or duties due to external factors (Hospital,	72	Interview	2 L	6 VH	
7	Superintendent can make any request urgent	48	Delphi	3 M	4 MH	
8	data handling	36	Industry Analysis	1 VL	6 VH	high importance
9	Data breach	36	Threat - SWOT	1 VL	6 VH	to FERPA
10	No natural disaster plan drills except for fire	36	Interview	1 VL	6 VH	Low frequency of occurrence
11	Mismanaging a lot of Paper based test	32	Delphi	2 L	4 MH	reporting to the state
12	High level employees with passwords written	32	Interview	2 L	4 MH	unwanted access
13	thief)	32	Interview	2 L	4 MH	Very low frequency of occurrence
14	No data standardization or unification within	27	Weakness - SWOT	3 M	3 M	process
15	People following or tailgating into the office	27	Brainstorming	3 M	3 M	Low frequency of occurrence
16	Misreporting or having inaccurate data	25	Weakness - SWOT	1 VL	5 H	district financially
17	No alternative work site if office is not	25	Brainstorming	1 VL	5 H	Low frequency of occurrence
18	Mismatch in data and reporting between OSA	18	Interview	2 L	3 M	reporting to the state
19	No work from home when the office is not	18	Interview	2 L	3 M	Jeopardize reporting deadlines to state
20	Program evaluation of district performance	18	Weakness - SWOT	2 L	3 M	Non-compliance to FERPA, and can impact
21	Operating budget	18	Stength - SWOT	2 L	3 M	Low frequency of occurrence, once in a year
22	Not good at customer service	18	Delphi	2 L	3 M	Only challenges with internal reputation
23	Exam Proctors not trained properly for Regents	16	Interview	4 H	2 L	As testing is a regular process, can have
24	Non communication of district strategy from school board to all departments	16	Delphi	1 L	4 MH	Lack of communication between district leadership, schools
25	Illness within the office with multiple absence	16	Interview	1 VL	4 MH	Low frequency occurrence
26	Regulation impact on APPR teacher evaluations	9	Interview	1 VL	3 M	
27	No standardized training when a new employee	8	Interview	2 M	2 M	
28	Leadership	4	Strength - SWOT	1 VL	2 L	As leadership is not good, no performance
29	Staff Efficiency	4	Strength- SWOT	1 VL	2 L	
30	Lack of training on data tools for end users	2	Brainstorming	2 L	1 VL	As staff is highly involved in using these in
31	Change in political party and political beliefs	2	Industry Analysis	2 L	1 VL	
32	Competition within Big 5 Districts	1	Industry Analysis	1 VL	1 VL	





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