

ODP # 0-1245

15 September 1980

MEMORANDUM FOR: Director of Data Processing

VIA: Inspector General *RB*

FROM: [Redacted] Chief, Audit Staff

STATINTL

SUBJECT: Audit of Office of Data Processing

1. The Audit Staff has scheduled an audit of the Office of Data Processing for the period 1 July 1978 to 30 September 1980. The audit will cover compliance of activity with applicable laws, policies and regulations; effectiveness and efficiency of operations; and financial and logistical records and procedures.

\* 2. The audit is scheduled to begin approximately 6 October 1980. The target date for completion is early December 1980. The audit team will consist of five or six members of the Information Systems Audit Division. Michael McGraw will be the supervising auditor. We will request a meeting with you prior to the start of the audit.

3. Please indicate your concurrence by signing and returning the original of this memorandum.

STATINTL

[Redacted Signature]

STATINTL

CONCUR: \*

[Redacted Signature]

Director of Data Processing

9/17/80  
Date

Distribution:

- Orig. - Signature & Return
- 1 - Addressee
- 1 - O/Compt/BMG

\* Kick-off session scheduled for 2:00 on 16 October 1980. *RB* (0-20-03)

Report of Audit of Office of Data Processing  
as of 30 June 1978

RESPONSIBLE  
OFFICER

AUDIT STAFF  
RECOMMENDATION

ODP  
RESPONSE

C/MS

#1: Present ODP's minicomputer support plan to the EAG for its consideration within the framework of the annual review as directed in the DDCI memorandum cited above.

The ODP plan was a new initiative to procure four minicomputers in FY-80 and obtain five FY-80 personnel slots for minicomputer support. The plan was rejected by senior Agency management during the FY-80 budget review process. Three of the five staff personnel were to provide Agency-wide technical support of design, acquisition and maintenance of ADP minicomputers. The other two staff personnel were to provide systems programming support to the four minicomputers and were to undertake planning and design work for distributed computing. The present ODP plan is to include minicomputers in the ODP budget in support of user requirements whenever the requirements have been identified prior to the formulation of a FY Program or budget. Requirements identified after Program and Budget formulation will have to be funded from the user's budget or processed as an unfunded requirement.

The known minicomputer plans requiring ODP support that will be presented to the EAG for review, as directed in the DDCI memorandum cited in para. 12 of the Audit Report, are an ODP minicomputer application and possibly the GIMINI project--the latter was described in para. 10 of the Report.

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RESPONSIBLE  
OFFICER

AUDIT STAFF  
RECOMMENDATION

ODP  
RESPONSE

C/MS #1: Continued

ODP senior management will convene in the near future to review the ODP minicomputer policy and make revisions to the policy where deemed necessary.

DD/P #2: Review and prioritize the Agency's emergency ADP requirements and develop a written disaster recovery plan that adequately provides support in the event of a disaster. Also provide for a current maintenance and periodic testing of the plan after development.

During FY-79 we will develop a methodology for determining the Agency's emergency ADP requirements supported by ODP. Next, we will prepare and cost out a disaster recovery plan for higher management's consideration. With approval of the plan and the allocation of necessary resources for the execution of the plan, we will undertake the necessary preparation to execute the plan and then commence periodic testing of the plan.

25X1A

DD/P #3: Store system software backup tapes and copies of critical data bases in the [REDACTED] Archives and/or exchange copies between the two computer centers. The stored backup records and programs should also be currently maintained and periodically tested to determine their operational readiness.

Copies of critical production data sets, GIMS data bases (including GIMS procedures, dictionaries and software) and all computer programs in the ODP Centralized Library System are stored in the [REDACTED] 25X1A Archives with the exception of CAMS information--the storage of CAMS data and software at [REDACTED] will commence by 31 December 1978. The offsite storage of critical data and programs has been a long standing requirement of the Production Division. In January 1978, storage procedures were published in the ODP User's Guide in a section entitled, "Magnetic Tape Offsite Storage Procedures." The procedures apply to all users of the computer centers and also contain the criteria for refreshing material stored on magnetic tape. 25X1A

RESPONSIBLE  
OFFICER

AUDIT STAFF  
RECOMMENDATION

ODP  
RESPONSE

DD/P #3: Continued

Exchange copies of selected system software have been stored in the two computer centers and to a certain extent stored in the WTC Archives. A procedure to store and refresh system software will be finalized during FY-79 and then all system software will be stored at [REDACTED]

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C/MS #4: Determine methods for better controls in the areas mentioned. Coordinate this study with the Office of Security.

All the areas identified and requiring action have been reviewed by the ODP/OS Joint Working Group. The recently completed risk analysis study also identified these areas and gave recommendations for solving the problems.

Three critical areas, the GC-03 point, the GC-47 point, and file labeling, are presently being studied with a goal of solving these problems in FY-79. It is anticipated that the other problems identified will be solved or approaches recommended in FY-79.

All technical security implementations are coordinated with ISSG/OS directly or through the ODP/OS Joint Working Group.

C/MS #5: Consider converting the current part time administrative assistant to a full time position. In addition, formally request technical security assistance from the Office of Security to assure proper attention to these technical security problems.

The conversion of the part time position to a full time position is inadequate to solve the problem. The present part time help is sufficient for the Security Officer to remain current on administrative tasks.

An additional position is needed to implement a computer security program as recommended by the ODP/OS Joint Working Group. Rather than change the administrative assistant position to full time, a full time junior security officer is needed.

RESPONSIBLE OFFICER

AUDIT STAFF RECOMMENDATION

ODP RESPONSE

C/MS

#5: Continued

The ODP plan to obtain one FY-80 personnel slot for a computer security officer was rejected by senior Agency management during the FY-80 budget review process. The security officer was to formulate and monitor ODP computer security policies and plans by analyzing current security practices, assessing vulnerabilities, and recommending the necessary corrective actions.

DD/P

#6: Use Data Erase to sanitize all magnetic tapes that are to be used as "scratch" tapes in the Special Center.

The Special Center will implement a plan on 1 December 1978 to use Data Erase to sanitize all magnetic "scratch" tapes.

C/MS

#7: Continue to review the need for "E" Ruffing Center access indicators for non-Center personnel and expand the usage of no escort badges for infrequent users.

Access to the Ruffing and Special Centers is reviewed each October and March. On each review cycle, a number of "E" indicators are retracted. Use of no escort badges has been expanded.

DD/P

#8: Install a remotely controlled access gate in the Ruffing Center 'point' area to limit unchallenged entry to the computer room.

An access/authorization system is presently under consideration that will control entry into the computer room. In the event the proposed system is tabled or delayed, then alternative solutions will be evaluated.

DD/P

#9: Establish more stringent controls over users receipt of data from the "point" in the Ruffing Center.

The access/authorization system mentioned in the above response is the most logical and effective solution to the stringent controls problem. However, until its implementation we will establish more stringent control over users receipt of data in the Ruffing Center.

RESPONSIBLE OFFICER

AUDIT STAFF RECOMMENDATION

ODP RESPONSE

DD/P #10: Provide terminal usage reports to appropriate ODP management personnel for monitoring efficiency and security of terminal usage.

The capability to gather data necessary to prepare such reports has only recently become available to us as the result of over a year of development work.

By the end of this calendar year, we will begin distributing a terminal utilization report to appropriate ODP management personnel and all Agency ADP Control Officers for monitoring efficiency and security of terminal usage.

DD/P #11: Complete development and implement procedures to control systems changes.

A system to control changes to the GIMS Production software was implemented on 31 July 1978.

C/MS #12: Continue efforts to update cost accounting procedures to accurately and completely identify the current cost of ADP computer systems software.

We are currently studying our pricing structure and intend to reflect new ADP cost accounting procedures in the changes that are made. Also, in an effort to furnish more accurate information to our users, in FY-79 we will separate the charges for ODP provided staff and contractor support. In addition, we are considering separating the charges for software development and production processing in our Project Activity Report.

C/AS #13: Continue the coordinated effort with the Office of Logistics to jointly solve ODP's property accounting problems. Insure that a complete physical inventory is conducted in accordance with [REDACTED]. Document any discrepancies revealed as a result of the inventory as prescribed by the regulations.

This is in response to recommendations 13 and 14. We have completed the following: An OL task force was formed in September 1978 and situated within ODP. An analysis of ODP's property accounting problems was initiated; documentary deficiencies were identified; existing property acquisition and disposal pro-

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<u>RESPONSIBLE OFFICER</u>	<u>AUDIT STAFF RECOMMENDATION</u>	<u>ODP RESPONSE</u>
C/AS	#14: Take actions required to assure recording of Type II Property transactions on a more timely basis.	cedures and the documents associated therewith were reviewed in detail; preliminary work on new property control procedures was considered, personnel impact of new procedures was assessed; a system of Agency stock numbers for ODP property to assist in its control has been started; and discrepancies in property documents are being corrected as found. A computerized system of property control used by Printing Services Division is being examined for adoption by ODP. The current estimate is that the task force will require another 180 days to complete its task, including a complete wall-to-wall inventory of ODP property and the establishment of an automated control system.
DD/P	#15: Determine the present capability of EMIS to serve as a central data base for all hardware transactions, both engineering and financial. Identify the information needs of various components and determine whether EMIS can be enhanced to the point where it satisfies the needs identified. If EMIS is enhanced research and verify to supporting documentation any missing data. Consider recording ODP's office equipment on the data base in addition to currently listed major hardware items.	Wherever possible, the scope of the Engineering Management Information System Manual (EMIS) will be expanded as resources are made available. The present system has been under development for several years. Once all of Engineering Division's needs are satisfied, we will examine its potential use as a data base for financial transactions.