

What's up with the Auditors?

OFFICE OF AUDIT, RISK, AND COMPLIANCE

DCSS – Spring 2021

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OARC Overview

MISSION: to enhance and protect organizational value by providing risk-based and objective assurance, advice, and insight.

We accomplish this through:

- **Audits:** Independent, objective assurance and advisory activities
- **Risk Management:** Oversight of the Enterprise Risk Management (ERM) program
- **Compliance:** Oversight of the Institutional Compliance Program (ICP)

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Audit Types



The annual audit plan is published on the **OARC** website after approval by the Board of Visitors.

www.oarc.vt.edu

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IT Audit Topics

Oracle Databases	IT Security Incident Response
Banner Applications	Log Management
Network (RLAN, Routers, Firewalls)	Privacy
Linux Servers	PCI Compliance
Windows Servers	Disaster Recovery
External Interfaces	General Controls (passwords, provisioning)

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Questions to Ponder

- How does your unit show compliance with the University's policies and standards?
- When was the last time you read/reviewed these governing documents?
- How have you reviewed your endpoints/servers and assessed their risk?

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Minimum Security Standards

Patching	Disposal
Encryption	Credential and Access Control
Malware Protection	Configuration Management
Backup	Data Security Controls
Inventory	Logging
Firewall	

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The Low Hanging Fruit

1. Compare fixed asset inventory to BigFix. (Inventory; Config Mgmt.)
2. Review BigFix report showing current OS version. (Patching)
3. Review and remove inactive accounts. (Credentials)
4. Surplus old computers. (Equip. Disposal)
5. Make sure antivirus is install and updated. (Malware Protection)

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It is about RISK.

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Recent Cases

- A Ph.D. student employee has admin access to their machine.
- Student employee is working remotely and installs Chrome remote desktop browser extension.
- Student deactivates the auto-sleep/time lock functions so computer is 'always active' in her office.
- Unknown person finds computer, uses it for "inappropriate viewing".
- Student employee remotes in to their desktop as their device is being used inappropriately.

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Recent Cases

- Employee shares their screen during a work event using Zoom. Individual notices a questionable file name and reports it.
- Review of device notes the machine is used predominately for gaming/personal use.
- Employee states 'it was going to surplus anyway'.
- No inappropriate files were found.

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Policy 1040

Reporting Fraud

Upon the discovery of circumstances suggesting a fraudulent transaction or irregularity has occurred, university employees have an **obligation** to report the incident and should immediately notify one of the following:

OARC:

Email – oarc@vt.edu

Walk-In – North End Center, Suite 3200

Telephone – 540-231-5883

Hokie Hotline – an anonymous hotline – hokiehotline.vt.edu

VT Police Department

Office of the State Inspector General's State Fraud, Waste and Abuse Hotline

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Contact Me!

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