

THOMAS P. DiNAPOLI
STATE COMPTROLLER



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ALBANY, NEW YORK 12236

STATE OF NEW YORK
OFFICE OF THE STATE COMPTROLLER

May 4, 2007

Dr. Joseph R. Busch
District Superintendent
Broome-Tioga BOCES
South Central Regional Information Center
100 Marshall Drive
Endicott, NY 13760

Report Number: 2006M-158

Dear District Superintendent Busch:

The State Comptroller is statutorily required to audit all school districts, BOCES and charter schools in the State by March 31, 2010. The school district audits, done in conformance with generally accepted government auditing standards, often require us to contact a BOCES Regional Information Center to gather information about a school district's financial management system and information technology infrastructure. Since it would be burdensome for you to have multiple audit teams visit the Broome-Tioga BOCES South Central Regional Information Center (RIC) to gather the same or similar information, we assigned one group of examiners to gather the needed information for the audits.

This examination was conducted pursuant to the State Comptroller's authority as set forth in Article V, Section 1 of the State Constitution and Article 3 of the General Municipal Law. Based upon inquiries made during this examination of the financial software packages and technology infrastructure services provided to component (or cross-contracting) school districts by the RIC, we noted the following condition that we would like to bring to your attention:

- RIC officials have not developed a written disaster recovery plan. A Disaster Recovery Plan (DRP) - sometimes referred to as a Business Continuity Plan (BCP) or Business Process Contingency Plan (BPCP) - describes how an organization is to deal with potential disasters. A plan consists of the precautions taken so that the effects of a disaster will be minimized, and the organization will be able to either maintain or quickly resume mission-critical functions. Typically, disaster recovery planning involves an analysis of business processes and continuity needs; it may also include a significant focus on disaster prevention.

We hope that this information will help you identify areas where you can improve your operations. In order to keep our database of information current, we will be contacting

appropriate RIC officials within 90 days to update our information. Furthermore, we will likely continue to contact RIC officials annually to keep our information current.

To clarify, our inquiries on the financial management and infrastructure services that you provide to component (or cross-contracting) school districts is not part of the statutorily required audit of each BOCES. We will contact you again when we plan to start an audit of the BOCES.

The results of our examination were discussed with RIC and BOCES officials and their comments, which appear in Appendix A, have been considered in preparing this report. Officials generally agreed with the condition cited in our report and indicated they planned to initiate corrective action.

The Broome-Tioga BOCES Board has the responsibility to initiate corrective action. Pursuant to Section 35 of the General Municipal Law, Section 2116-a (3)(c) of the Education Law and Section 170.12 of the Regulations of the Commissioner of Education, the Board should prepare a plan of action that addresses the recommendations in this report letter and forward the plan to our office within 90 days. For guidance in preparing the plan of action, the Board may refer to applicable sections in the publication issued by the Office of the State Comptroller entitled *Local Government Management Guide*. We encourage the Board to make this plan available for public review in the Clerk of the Board's office.

If you have any questions, please contact our Binghamton regional office at (607) 721-8306.

Sincerely,

Steven J. Hancox
Assistant Comptroller
Division of Local Government
Services and Economic Development

APPENDIX A

RESPONSE FROM BOCES OFFICIALS

The response from BOCES and RIC officials can be found on the following pages.

April 20, 2007

Steven J. Hancox
Assistant Comptroller of Local Government Services
and Economic Development
Office of the State Comptroller
110 State Street
Albany, NY 12236

Dear Mr. Hancox:

The South Central Regional Information Center and the Broome-Tioga BOCES is in receipt of Report Number: 2006M-158. This is the review completed by your office regarding the audit of the financial management systems and information technology infrastructure of this Regional Information Center. This review noted that the "RIC officials have not developed a written disaster recovery plan".

On April 3, 2007, we met with [REDACTED] to discuss the review. At that time, we shared with [REDACTED] that we had made disaster recovery a priority initiative for the RIC. This priority was adopted as part of the strategic plan for the Broome-Tioga BOCES. Additionally, the priority was included in the required 793 plan for the Regional Information Center.

The RIC staff has already implemented significant components of the plan. We have:

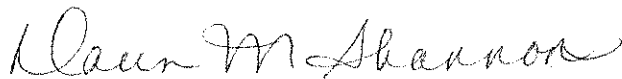
- Completed a risk assessment, with input from regional tech leaders and staff.
- Initiated a risk mitigation plan.
- Implemented a [REDACTED] plan for business continuity in the event of a disaster (July 2006). This plan includes:
 - Description of general steps in a recovery process
 - Identification of critical users and processes, including names, phone numbers, cell phones, passwords
 - Disaster Scenarios
 - Hardware specifications
 - Software Specifications
 - Backup CDs
 - Critical documentation
- Implemented a new system for data back ups (Fall 2006).
- Initiated a plan for a "cold site" at a BOCES facility that is [REDACTED] away from the current network operations center. The site will be operational by September, 2007

Critical next steps include:

- Completing data collection of critical information (critical contacts, passwords, tape rotations, vendors, inventory, etc.)
- Initiating a plan for data back up and recovery support with other Regional Information Centers.
- Collaborating with districts in the completion of their plans.
- Finalize written documentation of this business continuity plan.

Attached is the Chapter 793 Plan 2007-2012. Please advise of other documentation that you may require.


Sincerely,



Dawn M. Shannon

Attachments: Chapter 793 Plan 2007-2012

c:


Dr. Joseph R. Busch
Dan Myers