



STATE OF NEW YORK
OFFICE OF THE STATE COMPTROLLER

January 19, 2021

Mr. Don Jeffries
Chairman
Rochester-Genesee Regional Transportation Authority
1372 East Main Street
Rochester, NY 14609

Re: Compliance With Requirements to
Maintain Systems at Vendor-
Supported Levels
Report 2020-F-30

Dear Chairman Jeffries:

Pursuant to the State Comptroller's authority as set forth in Article X, Section 5 of the State Constitution and Section 2803 of the Public Authorities Law, we have followed up on the actions taken by officials of the Rochester-Genesee Regional Transportation Authority to implement the recommendations contained in our audit report, *Compliance With Requirements to Maintain Systems at Vendor-Supported Levels* (Report [2019-S-6](#)) issued July 29, 2019.

Background, Scope, and Objective

The Rochester-Genesee Regional Transportation Authority (RGRTA) is a regional transportation authority established by New York State to provide safe, reliable, and convenient public transportation to customers in eight counties (Monroe, Genesee, Livingston, Ontario, Orleans, Seneca, Wayne, and Wyoming). RGRTA has more than 900 employees, including an information technology (IT) department that operates out of its main office. RGRTA owns IT resources, including approximately 525 desktops/workstations and 164 servers that support 57 databases used to help carry out its mission.

As a public benefit corporation, RGRTA must adhere to the New York State Information Technology Security Policy (Policy) established by the New York State Office of Information Technology Services. The Policy defines the minimum information security requirements that all State entities (including all public benefit corporations) must follow to secure and protect the confidentiality, integrity, and availability of information. This includes requirements for ensuring systems are up to date and maintained at vendor-supported levels (i.e., systems continue to be updated and patched by the system's vendor).

Our initial report, covering the period January 1, 2019 through April 3, 2019, examined whether RGRTA was complying with requirements to maintain its systems at vendor-supported levels. We evaluated selected systems and determined that, generally, RGRTA maintained its systems at vendor-supported levels. However, we did identify unsupported systems used by RGRTA on 14 devices. We also found that RGRTA officials had not developed policies and procedures to ensure that its systems were regularly reviewed and kept up to date. Generally,

RGRTA officials agreed with our recommendations and indicated they would take actions to implement them.

The objective of our follow-up was to assess the extent of implementation, as of October 29, 2020, of the two recommendations included in our initial audit report.

Summary Conclusions and Status of Audit Recommendations

RGRTA officials have made significant progress in addressing the problems we identified in the initial audit. Both recommendations have been implemented.

Follow-Up Observations

Recommendation 1

Take steps to ensure that systems are maintained at vendor-supported levels, including:

- *Developing policies and procedures related to software updates and vulnerability analysis.*
- *Monitoring vendors to ensure they are keeping the systems they are responsible for up to date.*

Status – Implemented

Agency Action – RGRTA officials are close to completing a System Support Policy to help maintain system support and software updates. Officials expect this System Support Policy to be completed in February 2021. RGRTA has also purchased and will continue to purchase extended support from vendors to maintain compliance as systems are replaced or retired. Additionally, RGRTA has added language to new IT contracts as they are executed that requires vendors to remain compliant with system support policies.

Recommendation 2

Implement the remaining recommendation detailed in the preliminary report.

Status – Implemented

Agency Action – During our initial audit, we issued a preliminary report detailing the status of the unsupported systems and other controls in place. RGRTA officials have taken steps to address the recommendations detailed in the preliminary report.

Major contributors to this report were Jessica Kirk, Christopher Bott, Melissa Davie, Molly Kramm, and Brendan Reilly.

We thank the management and staff of the Rochester-Genesee Regional Transportation Authority for the courtesies and cooperation extended to our auditors during this review.

Very truly yours,

Cynthia Herubin, CIA, CGAP
Audit Manager

cc: Scott Adair, Chief Financial Officer
Rich Kosmerl, Audit Committee Chair