

Arkansas State University
Information & Technology Services
Procedures for Data Dissemination for Audit Purposes

I. Purpose

The Arkansas State University Board of Trustees, by Resolution 11-33 dated September 9, 2011, revised the charter of the Internal Audit function granting additional responsibilities and purview. The following defines the procedure by which data is released and/or provided by IT for purposes of the Internal Audit division of the Arkansas State University System.

II. Definitions

- a. **Internal Audit:** Internal Audit is a continuous independent appraisal and management control activity established to review, examine and evaluate accounting, financial and other operations. To this end, internal auditing furnishes analyses, appraisals, recommendations, counsel, and information concerning the activities reviewed.
- b. **Confidentiality and Privacy:** Confidentiality consists of how personally identifiable information collected by ASU-J is protected and when consent by the individual is required. Privacy is the right of individuals to have the information about themselves adequately protected to avoid the potential for substantial harm, embarrassment, inconvenience, or unfairness. To protect confidentiality and privacy of individual records, the Policy on Information Technology Management, Security and Privacy provides guidance on data security and access issues.

III. Data Sources

Data requests by Internal Audit will be addressed by the appropriate units within IT based on the source of requested data. Generally the data can be classified in one of the following three categories:

- a. **Enterprise data:** that data relating to educational or business records residing in the Banner database or within the Blackboard LMS database
- b. **Telecommunications data:** that data consisting of telephone logs or records related to the University telephony system or University sponsored cellular service.
- c. **Electronic messaging data:** that data resulting from electronic communications via University sponsored email systems or University sponsored cellular data services
- d. **Data resident on University equipment:** Data that is stored or is retrievable from any University provided hardware

IV. Data Request Form

The attached Data Request Form provides guidance and consistency for initiating a data request. The form should be completed and forwarded to the CIO for distribution to the appropriate unit within IT.

DATA REQUEST – INTERNAL AUDIT USE ONLY

Data Type:

___ Enterprise Data – Financial, HR, Payroll, Student Records (Banner Data)

___ Telecommunications Data – Phone records, cellular records, etc.

___ Electronic Messaging Data – Email records, electronic messages, etc.

___ Resident Data – retrievable data on University owned equipment

Please describe the nature of the review and data parameters:

("reviewing anomalies in payments to vendor X from May thru Aug, 2011," "reconciling travel expenditures," etc.)

Requested completion date: ___/___/_____

Contact for additional information: _____

Date: ___/___/_____ **Signature** _____

Completion Date: _____ Completed by: _____