

# FY10 ITC Continuous Improvement Plan Self-Reporting Template

## Guidelines and Recommended Procedures for OECN Information Technology Centers (ITCs) (Based on Current Ohio Administrative Rules)

If the answer to any of the questions below is NO, a corrective action explanation is required. The template for this information is found on the last page of this document. Use as many additional pages as needed.

### 3301-3-03 Information Technology Center and User Entity Permit Eligibility and Application.

1. Does the Information Technology Center (ITC) have a schedule of services and proposed agreements for execution between the ITC and providing the services and its user entity permit holders? 3301-3-03(A)(2)

Answer: Yes

**Evidence:**

Copies of the schedule of services and proposed (or executed) services agreements between the ITC and each district it provides services for.

2. Does the ITC provide a minimum schedule of staffing, training, core services, resources and procedural operations as determined by the department and referenced as information technology center responsibilities in rule 3301-3-06 of the Administrative Code and performance requirements in rule 3301-3-07 of the Administrative Code? 3301-3-03(A)(4)

Answer: Yes

**Evidence:**

Copy of a staffing report that shows staffing assignments including cross-training duties; copies of service description offerings for core services; and a schedule of training offerings (including attendees) offered during the past 12 months.

### 3301-3-06 Responsibilities of an Information Technology Center and a User Entity

#### Information technology center (ITC):

3. Does the ITC promote a cooperative, integrated system of information technology for its user entities as well as among other information technology centers? 3301-3-06(A)(1)

Answer: Yes

**Evidence:**

Copies of communications and/or service offerings that promote integration of information technology for schools served by the ITC, and/or the sharing of services with or among other ITC's.

4. Does the ITC promote and administer the efficient and cost-effective implementation of information technology which supports the information technology strategies of the Department and all user entities? 3301-3-06(A)(2)

Answer: Yes

**Evidence:**

Copies of the budget and descriptions of services offerings provided by the ITC.

5. Does the ITC coordinate innovative uses of information technology that support the goals of the department, information technology center, and all user entities? 3301-3-06(A)(3)

Answer: Yes

**Evidence:**

Copies of the descriptions of services offerings provided by the ITC.

6. Does the ITC provide for electronic networking capabilities between and among user entities, the information technology center, and support connectivity to the department or its designee, and maintain a system of electronic contact information as specified by the Department? 3301-3-06(A)(4)

Answer: Yes

**Evidence:**

Copies of Ohio K-12 Network Building Connectivity Subsidy worksheets showing that each member entity of the ITC is participating in the Ohio K-12 Network, and logs showing that User Mail Profile (UMP) records are being regularly updated and transmitted to the SSDT for inclusion in the OECN CSO (White Pages).

7. Does the ITC make certain that all data acquired on behalf of user entities are held in trust for those entities? (Any transfer or release of any user entity's data shall require prior authorization from that specific entity.) 3301-3-06(A)(5)

Answer: Yes

**Evidence:**

Copies of governance documents, service agreements, or policies that illustrate that all data held by the ITC is held in trust and remains the property of the school district. Copies of individual and/or blanket authorizations to release data on behalf of each school district.

8. Does the ITC offer core services to all user entities with permits? 3301-3-06(A)(6)

Answer: Yes

Evidence:

Copies of the descriptions of services offered by the ITC to its user entities.

**User entity:**

9. Do the user entities utilize requested core services provided through the OEEN and its component information technology centers? 3301-3-06(B)(1)

Answer: Yes

Evidence:

Copies of the listing of core services utilized by each school district, and funded by ODE.

10. Do the user entities participate in the governance and financial support of the information technology center that serves the user entity and remain financially current? 3301-3-06(B)(2)

Answer: Yes

Evidence:

Copies of the minutes of the governing body(ies) of the ITC for the previous 12 months; a copy of the financial reports of the organization including budget and revenue projections; and an aged accounts receivable report for the ITC.

11. Do the user entities adhere to the governance documents of the information technology center? 3301-3-06(B)(3)

Answer: Yes

Evidence:

Copies of the minutes of the governing body (ies) of the ITC for the previous 12 months.

12. Do the user entities procure and utilize a data communications link to communicate electronically with department personnel via compatible equipment? 3301-3-06(B)(4)

Answer: Yes

Evidence:

Copies of Ohio K-12 Network Building Connectivity Subsidy worksheets showing that each member entity of the ITC is participating in the Ohio K-12 Network and remains eligible for Ohio K-12 Network subsidy.

13. Do the user entities provide required data to the appropriate information technology center in an electronic format as defined by the department? (Large district user entities may, at the discretion of the department, report required data directly to the department.) 3301-3-06(B)(5)

Answer: Yes

**Evidence:**

Listing of member entities showing that none are delinquent in any aspect of state reporting that passes through the ITC.

14. Do the user entities build the capacity of its staff through professional development that allows the user entity to meet specific obligations to the information technology center as per the contractual agreement between the information technology center and the user entity? 3301-3-06(B)(6)

Answer: Yes

**Evidence:**

Copies of the service agreements between the ITC and its user entities, and listings of the professional development offerings of the ITC held in the past 12 months, including the names and district affiliations of each attendee.

### **3301-3-07 Performance Requirements**

#### **Governance-agreement/constitution**

15. Does the agreement include provisions for a governing assembly, a board of directors, and executive committee, or a combination of these entities? 3301-3-07(A)(2)

Answer: Yes

**Evidence:**

An answer of YES requires that at least ONE of the following conditions exists:

Each district's representative has a vote -

(a) On the consortium's governing assembly

Or

(b) On the consortium's governing board/board of directors/executive board

Or

(c) In electing the members of the consortium's governing board/board of directors/executive board.

16. Does the agreement include provisions for a systematic approach to encourage participation that is representative of all end users and governance that is representative of all user entities? 3301-3-07(A)(3)

Answer: Yes

**Evidence:**

Document content which provides for user representation. Examples include user groups, advisory committees, ad hoc committees, and/or the participation of end users on the governing bodies of the consortium.

17. Does the agreement define the responsibilities of each component of the organizational structure? 3301-3-07(A)(4)

Answer: Yes

Evidence:

Document content that defines the responsibilities/duties of the following:

- (a) Governing Assembly
- (b) Board of Directors/Governing Board/Executive Board
- (c) Operating Committee
- (d) Fiscal Agent

18. Does the ITC governing authority rest with the board of directors or the governing assembly rather than the fiscal agent? 3301-3-07(A)(5)

Answer: Yes

Evidence:

- (a) An answer of YES requires that the "powers and duties" of the governing assembly and/or the board of directors/governing board, as listed in the governance document, reflect -APPROVAL- authority for establishing budgets, fees, hiring/firing employees, etc. instead of simply functioning as -RECOMMENDATION- groups with final decisions/actions relegated to the fiscal agent.
- (b) Responses from staff and user interviews/surveys.
- (c) Review of minutes from official meetings of governing groups.

19. Does the agreement set forth the process of change and define how organizational changes are to occur, such as, amending the agreement, changing the fiscal agent, adding and withdrawing membership, and changing officers? 3301-3-07(A)(6)

Answer: Yes

Evidence:

Document content which describes procedures for the following organizational changes:

- (a) Amending the agreement (governance document).
- (b) Adding or withdrawing district membership.
- (c) Changing officers (of governing groups).
- (d) Changing the fiscal agent.

20. Does the ITC's governance document contain language that holds harmless the fiscal agent for any liabilities, obligations, claims, damages, penalties, causes of action, costs or expenses relating to the operation and activities of the consortium? (Amounts to be paid in the settlement of any such claims or damages, including attorneys' fees and costs and expenses, shall be apportioned among all consortium member districts to the extent permitted by law.) 3301-3-07(A)(7)

Answer: Yes

Evidence:

Appropriate language contained in:

- (a) The current governance document
- Or
- (b) A separate contract/agreement between the consortium and the fiscal agent district.

21. Are all governance policies and procedures, as well as daily site operations, in accordance with the ITC's current by-laws, agreement(s), or both? 3301-3-07(A)(8)

Answer: Yes

Evidence:

- (a) Review of existing consortium policies/procedures.
- (b) Responses from staff and user interviews/surveys.
- (c) Review of minutes from official meetings of governing groups.

*All ITCs must maintain fully executed contractual agreements with their user entities.*

22. Does the contractual agreement between the information technology center and its user entities specify at a minimum the quality implementation standards, as defined by the department, for all core services, as well as any additional fees to supplement state subsidy for the core services? 3301-3-07(A)(9)

Answer: Yes

Evidence:

Copies of service agreements between the ITC and user entities that illustrate that the above service level agreement (SLA) information has been included in the agreements.

#### **Local fiscal operations requirements**

*The ITC shall evidence the appropriate appointment and utilization of a fiscal agent.*

*The fiscal agent treasurer is responsible for all financial transactions associated with the information technology center. Any information technology center organized in accordance with Chapter 167 of the Revised Code may employ its own treasurer to assume all financial responsibilities.*

23. Are all financial transactions and accounting procedures associated with ITC operations performed in compliance with requirements of the Revised Code and the auditor of state? 3301-3-07(B)(1)(a)(i)

Answer: Yes

Evidence:

Review of audit report from latest applicable financial audit.

24. Are the financial accounting records of the ITC activities separately maintained and capable of being audited? 3301-3-07(B)(1)(a)(ii)

Answer: Yes

Evidence:

Review of audit report from latest applicable financial audit.  
Review of the latest EMIS financial submission of the ITC to ODE, showing that it complies with ODE rules for segregation of funding by special cost center (SCC) and specific QC185 (EMIS) reporting codes.

25. Are procedures for receipting, expending, and accounting for funds defined and followed? 3301-3-07(B)(1)(a)(iv)

Answer: Yes

**Evidence:**

Review of audit report from latest applicable financial audit.

26. Do the appropriate governing bodies of the ITC approve all fee assessments, contracts, employee compensation and benefits, as well as initial and modified appropriations, as evidenced by official meeting minutes? 3301-3-07(B)(1)(b)

Answer: Yes

**Evidence:**

Review of minutes from official meetings of governing groups for the past 12 months.

*The board of directors or the governing assembly shall be provided access to the following:*

27. Does the ITC maintain detailed fiscal reports for each regular board of directors or governing assembly meeting? 3301-3-07(B)(1)(c)(i)

Answer: Yes

**Evidence:**

- (a) Review of agendas/handouts from previous meetings.
- (b) Responses from staff and user interviews/surveys.
- (c) Review of minutes from official meetings of governing groups.

28. If requested, could the ITC provide other reports upon request? 3301-3-07(B)(1)(c)(ii)

Answer: Yes

**Evidence:**

Copies of newsletters and other communications to user entities that convey the financial condition of the ITC.

**Financial condition**

29. Amortization periods for the retirement of indebtedness shall not exceed the recommended schedules for depreciation as established by the Internal Revenue Service. Is the ITC in compliance? 3301-3-07(B)(2)(a)

Answer: Yes

**Evidence:**

Copies of the amortization schedules for any ITC debt(s) incurred within the past 10 years.

30. Does the ITC maintain a minimum cash balance equivalent to the higher of the following: An average of thirty days' expenditures for the previous twelve-month period or anticipated expenditures for the next sixty days? 3301-3-07(B)(2)(b)

Answer: Yes

**Evidence:**

Cash balance entries from the latest annual financial detail report filed with ODE via EMIS (June) reporting cycle.

## Operating requirements

31. Does the ITC hold a valid permit and maintain compliance with the criteria established for that permit as identified in paragraph (A) of rule 3301-3-03 of the Administrative Code? 3301-3-07(C)(1)(a)

Answer: Yes

**Evidence:**

Copy of the permit as issued by ODE, and certification by the ITC administrator and Governing Board Chairperson that the ITC continues to meet the above requirements.

32. Is the ITC in compliance with section 3301.075 of the Revised Code and with the OECN line item appropriation language contained in the most recent budget enacted by the Ohio general assembly? 3301-3-07(C)(1)(b)

Answer: Yes

**Evidence:**

Copies of Ohio K-12 Network Building Connectivity Subsidy worksheets showing that each member entity of the ITC is participating in the Ohio K-12 Network and remains eligible for Ohio K-12 Network subsidy.

33. Could the ITC as organized in accordance with either Chapter 167 or section 3313.92 of the Revised Code provide a current copy of its organizational agreements(s) if requested by the department and/or the public? 3301-3-07(C)(1)(c)

Answer: Yes

**Evidence:**

A copy of the organizational document(s) of the ITC is supplied to ODE and/or the public upon request.

*Core services as defined in rule 3301-3-01 of the Administrative Code shall be implemented as follows:*

34. Are the core services delivered based upon the quality implementation standards communicated by the department? 3301-3-07(C)(2)(a)

Answer: Yes

**Evidence:**

Copies of the service agreements between the ITC and user entities that specify the service level agreement (SLA) qualifiers as communicated by ODE as the minimum standards of service to be provided by the ITC.

Review by ITC management of CA-USD Helpdesk metrics to insure that support is being performed by the ITC at the minimum levels specified by ODE.

35. Does all software and hardware, used by ITCs, enable efficient and effective end-user access to the core services? 3301-3-07(C)(2)(b)

Answer: Yes

**Evidence:**

Anecdotal information from users relative to the ease and efficiency of the services provided by the ITC, including information from user satisfaction surveys released by the ITC, or generated through the CA-USD Helpdesk process.

36. Is equipment for computer systems or support services shared among and between multiple ITCs in order to increase operational efficiencies, lower operating costs, and/or to improve service reliability? 3301-3-07(C)(2)(c)

Answer: Yes

Evidence:

Copies of agreements providing for shared and/or reciprocal services among and between ITC's; and information showing participation in cooperative purchasing ventures with other ITC's.

37. Are contractual agreements executed with user entities across all core service areas specifying the areas of service (e.g. software management, data management, training, problem resolution, documentation, communication and quality of service), responsibilities of the information technology center and the user entity for each area of service, and quality implementation standards for each area of service? 3301-3-07(C)(2)(d)

Answer: Yes

Evidence:

Copies of the service agreements between the ITC and user entities that specify the service level agreement (SLA) qualifiers as communicated by ODE as the minimum standards of service to be provided by the ITC.

Review by ITC management of CA-USD Helpdesk metrics to insure that support is being performed by the ITC at the minimum levels specified by ODE.

*Specific guidelines applying to internet access and networking services are as follows*

38. Is the speed and reliability of the network commensurate with department standards and provide for optimal performance to end users? 3301-3-07(C)(2)(e)(i)

Answer: Yes

Evidence:

(a) Current interpretation is a network consisting of a minimum of a T1 (1.554Mb/s) of bandwidth per building (or grouping of up to four buildings)

(b) Review of actual capabilities re: the data comm network diagram.

(c) Existence of a network topology map which would not only define speeds, but also the number of devices supported across any given link.

39. Are standards established by the state for connectivity maintained by the ITCs? 3301-3-07(C)(2)(e)(ii)

Answer: Yes

Evidence:

Current interpretation is that the ITC must be running TCP/IP (v4) via an interconnect to the Ohio K-12 Network via the OSCnet.

40. Is the ITC responsible for any repairs or maintenance to the network and equipment for accessing the internet? 3301-3-07(C)(2)(e)(iii)

Answer: Yes

Evidence:

(a) Copies of appropriate equipment maintenance contract(s).

(b) Responses from staff and user interviews/surveys.

(c) Copies of other pertinent documentation.

41. Does the ITC coordinate and manage an integrated services network, which may include but not be limited to voice, video and data services? (Every educational entity desiring to be connected should have the option of access. The primary internet service provider(s) shall involve the network and provider(s) selected by the department.) 3301-3-07(C)(2)(e)(iv)

Answer: Yes

**Evidence:**

Copies of the listing of services offered by the ITC for networking to user entities; usage records of Internet access for the ITC's primary ISP as well as any secondary providers that the ITC may utilize.

**Reports**

42. Has the ITC filed a continuous improvement plan with the department, as defined by department guidelines and timeframes? (The report shall include the ITC's planned versus actual delivery of core services based upon quality implementation standards. The report shall inform the department-managed accountability system for the OECN. The ITC shall respond in writing to the department and/or make operational adjustments as directed by the department if deficiencies are noted in the department's review of the continuous improvement plan.) 3301-3-07(C)(3)(a)

Answer: Yes

**Evidence:**

Copies of the most recent CIP filed with ODE by the ITC; and records from ODE showing that the CIP was filed in a timely manner and that any adjustments requested by ODE were implemented.

43. Does the ITC implement an automated system with quality implementation standards defined by the department in partnership with the OECN? (The system shall, at a minimum, facilitate communication and problem resolution among user entities and escalation to appropriate information technology center staff across the OECN, as well as with the department. The system shall enable the reporting of quality implementation metrics for the core services to the department and provide data for the department-managed accountability system for the OECN.) 3301-3-07(C)(3)(b)

Answer: Yes

**Evidence:**

Records of utilization reports from the CA-USD Helpdesk system showing active utilization of the system by ITC personnel, and an analysis (included in the ITC's CIP), of the information that the ITC is gaining and utilizing from this system to track and improve services to its user entities.

44. Could detailed financial records of the ITC for the current and previous fiscal year transactions made available, if requested by the department? 3301-3-07(C)(3)(c)

Answer: Yes

**Evidence:**

Submission of detailed financial reports upon request by ODE.

45. Are financial records made available to the department within sixty days of the end of the fiscal year, in an electronic format as specified by the department? 3301-3-07(C)(3)(c)

Answer: Yes

Evidence:

Copies of the filing dates (confirmed by ODE personnel), that the ITC has filed its financial records with ODE via the EMIS (June) reporting cycle in the format requested.

### **Business continuity, security, and other safeguards**

46. Does the ITC have a written business continuity plan that is formulated, reviewed at regular intervals by the governing body of the data acquisition site, and on file at the department? 3301-3-07(C)(4)(a)

Answer: Yes

Evidence:

Copy of written disaster recovery plan.

47. Does the ITC have a written security policy that is implemented which includes the following?

It specifies the methods for obtaining, processing, reporting, and storing data. 3301-3-07(C)(4)(b)(i)

It prohibits access to the computer systems and services by unauthorized personnel. 3301-3-07(C)(4)(b)(ii)

Answer: Yes

Evidence:

Copy of written security policy in effect at the ITC.

Evidence:

- (a) Copy of written security policy in effect at the ITC.
- (b) Responses from staff and user interviews/surveys.
- (c) On-site review of data center facilities.

48. Is the ITC staff bonded, at a level determined by the ITC's governing body, for the faithful performance of their duties? 3301-3-07(C)(4)(c)

Answer: Yes

Evidence:

Copy of appropriate insurance policy/policies.

49. Does the ITC have insurance coverage for all fixed assets? 3301-3-07(C)(4)(d)

Answer: Yes

Evidence:

Copy of appropriate insurance policy/policies.

50. Does the ITC have a data retention policy that is written, implemented and communicated to all user entities? (This policy shall specify how data are stored, how they can be restored and the method for disposal of these data.) 3301-3-07(C)(4)(e)

Answer: Yes

Evidence:

Copy of existing written policy re: data retention.

51. Is the computer system reviewed at regular intervals in order to ensure sufficient system performance and data security? 3301-3-07(C)(4)(f)

Answer: Yes

Evidence:

Copy of appropriate system policies and logs indicating that monitoring has occurred.

52. Does the ITC comply by not modifying in any respect software or associated data structures provided by the department without the prior written approval from the superintendent of public instruction, or his or her designee? 3301-3-07(C)(4)(g)

Answer: Yes

Evidence:

Review of ITC intervention files and/or audit logs for evidence of data manipulation outside of approved program files; and/or evidence from the SSDT indicating that such manipulation has occurred.

53. Is the environment for the computer systems in compliance with the manufacturer's standards for installation, power, and maintenance? 3301-3-07(C)(4)(h)

Answer: Yes

Evidence:

Copy of statement from manufacturer and/or maintenance provider and/or review of requirements documents from manufacturer.

54. Does the physical security of the ITC prevent unauthorized access to the computer systems? 3301-3-07(C)(4)(i)

Answer: Yes

Evidence:

Existence of physical locking mechanisms that default to being locked at all times.

#### **Information technology center personnel**

55. Are staffing levels sufficient to meet the service needs of the user as measured by end-user and staff satisfaction? 3301-3-07(C)(5)(a)

Answer: Yes

Evidence:

Responses from staff and user interviews/surveys.

56. Are personnel assignments made to ensure that user support needs are met and that all core services are successfully delivered? 3301-3-07(C)(5)(a)

Answer: Yes

Evidence:

Copy of job descriptions showing cross-training and secondary support assignments.  
Interviews with staff indicating that cross-training is being performed.

57. Do all staff members have training and/or experience necessary to perform the duties contained in their job descriptions? 3301-3-07(C)(5)(b)

Answer: Yes

Evidence:

Copy of resumes of staff members and professional development records for these individuals, and interviews with staff indicating that they are receiving the training requested.

58. Are all ITC staff given the appropriate training for the task assigned? 3301-3-07(C)(5)(c)

Answer: Yes

Evidence:

Copy of resumes of staff members and professional development records for these individuals, and interviews with staff indicating that they are receiving the training requested.

59. Are all ITC staff whose job assignments are related to the support of technology or technology services engaged in an ongoing program of in-service in the areas of assignment? (Each staff member shall earn a minimum of one and one-half CEU's per year, with a minimum of eight CEU's earned during any four-year period of employment. Other training in lieu of CEU's may be used if approved by the department or its designee. CEU requirements for part-time personnel shall be pro-rated.) 3301-3-07(C)(5)(d)

Answer: Yes

Evidence:

Copy of professional development records for all ITC staff members for the most recent four years.

Checklist # \_\_\_\_\_

Corrective Action Description \_\_\_\_\_

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Timeframe (specific dates) \_\_\_\_\_ / \_\_\_\_\_ / \_\_\_\_\_

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Estimated date of completion \_\_\_\_\_ / \_\_\_\_\_ / \_\_\_\_\_