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March 6, 2009

Charles S. Dedrick  
District Superintendent  
Capital Region BOCES  
1031 Watervliet-Shaker Road  
Albany, NY 12205

Report 2009M-36

Dear Mr. Dedrick:

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 (RIC) to gather information about a school district's information technology systems that are provided or serviced by the RIC. Since it would be burdensome for you to have multiple audit teams visit the Capital Region BOCES 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 Article V, Section 1 of the State Constitution and the State Comptroller's authority as set forth in Article 3 of the General Municipal Law.

Based on inquires we made of the RIC management and our review of policies and procedures during our examination of technology services the RIC provided to component (or cross-contracting) school districts, we noted the following condition as of December 18, 2008, and want to bring it to your attention.

Our previous examination report of the RIC, which was dated January 26, 2007, indicated that BOCES officials had not developed a written Disaster Recovery Plan (Plan). A Plan – sometimes referred to as a Business Continuity Plan or Business Process Contingency Plan – 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. Since our last report, RIC officials have developed department-level disaster recovery plans, hired a Disaster Recovery Coordinator responsible for evaluating the department-level plans, and begun the process of hiring an outside vendor to further assist with disaster

recovery planning. We encourage RIC officials to continue the progress they have made toward developing a comprehensive, entity-wide Plan.

To clarify, our inquiries on the technology and infrastructure services that you provide to component (or cross-contracting) school districts are not part of the statutorily required audit of each BOCES.

If you have any questions, please contact our Albany Regional Office at (518) 438-0093.

### **Recommendation**

1. Continue progress toward developing a comprehensive, entity-wide Plan for the Capital Region BOCES RIC.

### **Comments of District Officials and Corrective Action**

The results of our audit and recommendations have been discussed with District officials and their comments have been considered in preparing this report.

The 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, a written corrective action plan (CAP) that addresses the findings and recommendations in this report must be prepared and forwarded to our office within 90 days. To the extent practicable, implementation of the CAP must begin by the end of the next fiscal year. For more information on preparing and filing your CAP, please refer to our brochure, *Responding to an OSC Audit Report*, which you received with the draft audit report. The Board should make the CAP available for public review in the Clerk's office.

Sincerely,



Steven J. Hancox  
Deputy Comptroller  
Office of the State Comptroller  
Division of Local Government and  
School Accountability