



## Office of Information Technology Services

**ANDREW M. CUOMO**  
Governor

The Honorable Andrew M. Cuomo  
Governor  
State of New York  
State Capitol  
Albany, New York 12224

The Honorable Kathleen C. Hochul  
Lieutenant Governor  
State of New York  
State Capitol  
Albany, New York 12224

The Honorable Thomas P. DiNapoli  
Comptroller  
State of New York  
110 State Street  
Albany, New York 12236

The Honorable John J. Flanagan  
Temporary President and Majority Leader  
New York State Senate  
State Capitol, Room 330  
Albany, New York 12247

The Honorable Jeffrey D. Klein  
Independent Democratic Conference Leader  
New York State Senate  
Legislative Office Building, Room 913  
Albany, New York 12247

The Honorable Andrea Stewart-Cousins  
Democratic Conference Leader  
New York State Senate  
Legislative Office Building, Room 907  
Albany, New York 12247

**MARGARET MILLER**  
Chief Information Officer

The Honorable Carl E. Heastie  
Speaker  
New York State Assembly  
Legislative Office Building, Room 932  
Albany, New York 12248

The Honorable Joseph D. Morelle  
Majority Leader  
New York State Assembly  
Legislative Office Building, Room 926  
Albany, New York 12248

The Honorable Brian M. Kolb  
Minority Leader  
New York State Assembly  
Legislative Office Building, Room 933  
Albany, New York 12248

The Honorable John A. DeFrancisco  
Chairman, Finance Committee  
New York State Senate  
State Capitol, Room 416  
Albany, New York 12247

The Honorable Liz Krueger  
Ranking Member, Finance Committee  
New York State Senate  
Legislative Office Building, Room 808,  
Albany, New York 12247

The Honorable Herman D. Farrell, Jr.  
Chairman, Ways and Means Committee  
New York State Assembly  
Legislative Office Building, Room 923  
Albany, New York 12248

The Honorable Robert C. Oaks  
Ranking Member, Ways and Means Committee  
New York State Assembly  
State Capitol, Room 444  
Albany, New York 12248

Dear Governor Cuomo, Lt. Governor Hochul, Comptroller DiNapoli, Leader Flanagan, Leader Klein, Leader Stewart-Cousins, Speaker Heastie, Leader Morelle, Leader Kolb, Senator DeFrancisco, Senator Krueger, Assemblyman Farrell and Assemblyman Oaks:

Enclosed is the ITS status report on the implementation of recommendations contained in the Office of the State Comptroller's audit report entitled: "Security and Effectiveness of the Department of Labor's Unemployment Insurance System – Report 2014-S-9." ITS's responses do not contain specific details of its security efforts in order to better protect the integrity of the State's critical infrastructure and data.

Sincerely,

A handwritten signature in black ink that reads "Theresa A. Papa". The signature is written in a cursive style with a horizontal line above the name.

Theresa Papa  
Director of Administration

Enclosure

OFFICE OF INFORMATION TECHNOLOGY SERVICES  
 Status of the Office of the State Comptroller's  
 Recommendations Contained in the Final Audit Report on  
 Security and Effectiveness of the Department of Labor's Unemployment Insurance System – Report 2014-S-9

Recommendation	Status
1. Complete the process of classifying the Unemployment Insurance data.	According to the Information Classification IT Standard, NYS-S14-002, information owners are responsible for classifying information and data. DOL is the owner of unemployment insurance data and is responsible for classifying it. Information Technology provides consultation to DOL Business Units about data classification and related issues.
2. Complete and sign the Service Level Agreement as soon as possible.	ITS continues to work with DOL towards documenting roles and responsibilities within each agency. That documentation is currently under review by DOL. As enterprise services, policies and processes are finalized, deployed, and adopted, these services, policies and processes will supersede legacy arrangements.
3. Develop and implement a succession plan, including Assembler and COBOL program languages training, to ensure continuity of DOL operations and service.	<p>ITS Business Solutions is actively recruiting staff to maintain and support DOL's UI legacy mainframe.</p> <p>Applications. On 12/12/2014, ITS transferred a COBOL resource from another unit to support UI legacy programs. On 2/12/2015, ITS hired a new mainframe developer to support UI legacy programs. ITS is also cross training existing staff in order to minimize the risk of being unable to support DOL's legacy applications as staff members currently maintaining those applications retire from state service.</p> <p>As ITS continues to develop and implement a succession plan in the ways described above, a true succession plan dealing with staff attrition from these legacy support units demands, at a minimum, mechanisms through which ITS can hire or otherwise obtain IT professionals who are skilled in these legacy programs. These mechanisms do not readily exist and severely impede a meaningful implementation of this recommendation. ITS cannot directly hire into its State workforce those people who are highly skilled in these legacy programs. Existing consultants can no longer converted to State workforce members. And the State does not have contracts through which these skills can be readily obtained. Without the mechanisms to readily hire or obtain these skill sets, a meaningful implementation of this recommendation will continue to be challenged. Additionally, true succession planning requires significant investments in, and commitment to, application modernization by and between the impacted business, technology and budget making entities.</p>
4. Ensure user accounts and access are reviewed for appropriateness on a regular basis.	ITS provides DOL Business Units with a report of users and their access annually. ITS implements changes to these accounts based only on the requests of the DOL Business Units.
5. Going forward, maintain a completion date of all patches/changes applied to Department software to ensure the integrity of the Unemployment Insurance data.	Tracking the date on which a change or patch was completed is a best practice because it ensures that the agency has documentation of its software maintenance efforts. Tracking the date on which software patches and changes were completed does not ensure the integrity of Unemployment Insurance data. TS Business Solutions staff have started including the completion date in all programming requests before they are closed.