



HEART OF TEXAS WORKFORCE DEVELOPMENT BOARD, INC.

POLICY

ID NO.: HWD CS 018-23

DATE ISSUED: 6/1/2023

PROGRAM: Board Technology

KEYWORD: Audit & Accountability Policy

SUBJECT: Audit and Accountability Policy

PURPOSE: To provide staff with information and guidance on the Audit & Accountability expectations and oversight within the Heart of Texas Workforce Solutions environment.

REFERENCES: Security Control Standards Catalog Texas Department of Information Resources Version 2.0 Effective Date 1/20/22; TWC Information Security Manual v3.0

POLICY: AUDIT & ACCOUNTABILITY POLICY

GENERAL POLICY

Heart of Texas Workforce Solutions Development Board, Inc. (HOTWDB) Information Technology Security Steering Committee (ITSSC) has developed, documented and disseminated an audit and accountability policy and procedure that addresses purpose, scope, roles, responsibilities, management commitment, coordination among organizational entities, and compliance.

The Organization will review and update the current audit and accountability policy and procedures annually.

Audit Events

The Organization will determine the information systems that can audit the following events:

1. All accesses or attempts to access a firewall and/or server, including the identity of each user and device.
2. Logoff activities.
3. Activities that might modify, bypass, or negate IT security safeguards.
4. Password changes,
5. Creation or modification of groups.
6. Privileged user actions.
7. Access to the system.
8. Creating and deleting files.
9. Change of permissions or privileges.
10. Changes made to an application or database.
11. System and data interactions.
12. Opening and/or closing of files.
13. Program execution activities.

The HOTWDB Information Technology (IT) Department will coordinate the security audit function with other organizational entities/departments requiring audit-related information to guide and inform the selection criteria for events to be logged.

The HOTWDB IT Department will specify event types for logging within the system along with the frequency of logging for each identified type.

The HOTWDB IT Department will provide a rationale for why the event types selected for logging are deemed to be adequate to support after-the-fact investigations of incidents.

Content of Audit Records

The information systems will generate audit records containing information that establishes what type of event occurred, when the event occurred, where the event occurred, the source of the event, the outcome of the event, and the identity of any individuals associated with the event.

Audit Storage Capacity

The Heart of Texas Workforce Solutions' IT Department will allocate audit record storage capacity in accordance with defined audit record retention requirements.

Response to Audit Processing Failures

The information systems will alert personnel with a need to know in the event of an audit processing failure and take the following additional actions such as shutting down the information system, overwriting the oldest audit records or stopping the generation of audit records:

1. Monitor system operational status using operating system or system audit logs and verify functions and performance of the system, operating system, or system audit logs.
2. Verify functions and performance of the system.
3. Identify where system process failures have taken place and provide information relative to corrective actions taken by the system administrator.
4. If logs are not available, shut down the system.

Audit Review, Analysis and Reporting

The Heart of Texas Workforce Solutions' IT Department will review and analyze information system audit records monthly for indications of inappropriate or unusual activity and report findings to personnel with a need to know. The level of auditing may be adjusted within the system when there is a change in risk based on credible sources of information.

Audit Reduction and Report Generation

The information system provides an audit reduction and report generation capability that supports on-demand audit review, analysis, and reporting requirements and after-the-fact investigations of security incidents and does not alter the original content or time ordering of audit records.

Time Stamps

The information system uses internal system clocks to generate time stamps for audit records and records time stamps for audit records that can be mapped to Coordinated Universal Time (UTC) or Greenwich Mean Time (GMT).

Protection of the Audit Information

The information system protects audit information and audit tools from unauthorized access, modification, and deletion and alerts upon the detection of unauthorized access, modification, or deletion of audit information.

Audit Record Retention

Heart of Texas Workforce Solutions will retain audit records for 7 years to provide support for after-the-fact investigations of security incidents and to meet regulatory and organizational information retention requirements.

Audit Generation

The information system provides audit record generation capability for the defined auditable events with the required level of detail defined in the content of audit records.

The information system allows personnel with a need to know to select which auditable events are to be audited by specific components of the information system.

EXCEPTIONS

Any exceptions to this policy must be approved via the HOTWDB Security Exception guideline.

ENFORCEMENT

Violations of this policy or failure to implement provisions of this policy may result in disciplinary action up to and including termination, civil litigation, and/or criminal prosecution.

DOCUMENT CONTROL

Document Name	Audit and Accountability
Document Control Number	TCF #41
Document Identification	Version 1.0
Owner/Approver Identification	HOTWDB ITSSC
Author	Matilda Alonzo
Document Reviewer(s)	HOTWDB ITSSC
Review Plan	This document should be reviewed by all parties on a regular basis. Next review is: 6/1/2024
Distribution	The main version of this document is stored in S:\Policies\Cybersecurity PRINTED COPIES OF THIS DOCUMENT ARE FOR REFERENCE ONLY!

REVISION HISTORY		
Date	Revised By	Changes
6/1/2023	Matilda Alonzo	Initial Release