**Audit Controls Policy**

Policy #: 4000-004

Version #: 2.0

Approved By: Jillian Balow, Superintendent, State of Wyoming Department of Education

Effective Date: January 5, 2015

**Purpose:**
The purpose of this policy is to implement hardware, software, and/or procedural mechanisms that record and examine activity in information systems that contain or use student, teacher, and Personally Identifiable Information (PII) data. The WDE will identify critical systems that require event auditing capabilities.

Audits may be conducted to:

- Ensure confidentiality, integrity, and availability of student, teacher, and PII data
- Investigate possible security incidents and ensure conformance to State of Wyoming, Department of Education (WDE) security policies
- Monitor user or system activity where appropriate

**Scope:**
This policy applies to all WDE workforce members including, but not limited to full-time employees, part-time employees, trainees, volunteers, contractors, temporary workers, and anyone else granted access to student data and sensitive information by WDE. All workforce members are responsible for the security of protected information.

**Policy:**
The WDE will define the events to be audited on all related systems. At a minimum, event auditing capabilities will be enabled on all systems that process, transmit, and/or store student data and sensitive information. Events to be audited may include, and are not limited to, logins, logouts, file accesses, deletions and modifications.
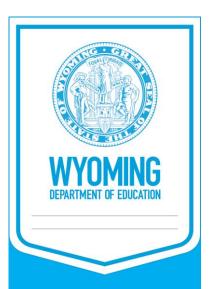
The WDE will ensure the protection of all audit reports and log files.

The WDE will review the usage of software and application tools to review audit files.

When requested, and for the purpose of performing an audit, any access needed will be provided to authorized members of.

This access may include:

- User level and/or system level access to any computing or communications device
- Access to information (electronic, hardcopy, etc.) that may be produced, transmitted, or stored on WDE equipment or premises

- Access to work areas (labs, offices, cubicles, storage areas, etc.)
- Access to interactively monitor and log traffic on WDE Virtual Local Area Networks (VLANs)

**Responsibilities:**
The WDE Information Security Officer (ISO) will be responsible for ensuring the implementation of the Audit Controls policy.

**Compliance:**
Failure to comply with this or any other security policy will result in disciplinary actions as per HR Policy. Legal actions also may be taken for violations of applicable regulations and standards such as state and federal rules to include the Family Educational Rights and Privacy Act (FERPA).

**Procedure(s):** None

**Form(s):** None

**References:**
- The Family Educational Rights and Privacy Act (FERPA) (20 U.S.C. § 1232g; 34 CFR Part 99); http://www.ed.gov/policy/gen/guid/fpco/ferpa/index.html

- State of Wyoming, Department of Enterprise Technology Services, 7100-P211 – Policy and Technical Compliance http://ets.wyo.gov/resources/policies-and-standards

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