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United States Government

## MEMORANDUM

DATE: March 10, 2015

TO: Christine Merdon, Chief Operating Officer

FROM: Kevin Mulshine, Inspector General

SUBJECT: Ford House Office Building Data Center Access (Report A-2015-03)

We performed a selective review of Architect of the Capitol (AOC) employee access to the Ford House Office Building Data Center. The scope of this review was limited to the Ford Data Center Access list provided by the U. S. House of Representatives Office of Inspector General (House OIG). Our objectives were to determine whether the list of 18 AOC employees or contractors, identified by House OIG as no longer authorized to access the Ford Data Center, is accurate and if so, ensure their removal from the access records.

**Background.** The House OIG performed an audit of the AOC's Information Technology Risk Management Framework, which included reviewing AOC Information Technology Division (ITD) employee access to the Ford Data Center. House Information Resources (HIR) operates and controls the Ford Data Center. HIR is an office within the Office of the House Chief Administrative Office (CAO) and is responsible for providing technology services, technical support, cyber security, and telecommunications for the House. The CAO in 2014 established the new position of Deputy Chief Information Officer (DCIO) to serve as the day-to-day chief operating officer of HIR. The AOC ITD is a co-occupant and maintains AOC IT equipment and data in the Ford Data Center. AOC ITD and HIR have a formal Memorandum of Understanding (MOU) on their operations within the space to include the personnel access process.

During the audit, the House OIG identified 18 AOC employees or contractors who still had access to the Ford Data Center even though they were no longer with the AOC. Further, these 18 employees or contractors were not AOC ITD personnel but were assigned to other AOC Jurisdictions. These 18 individuals were not covered by the ITD MOU; their access to the Ford Data Center was routed through the AOC House Office Building Jurisdiction and approved by HIR not AOC ITD. Based on these conditions, the House OIG determined that this issue was not part of their audit objectives and passed this information to our office for resolution.

### Criteria.

*Memorandum of Understanding: House Information Resources (HIR) Data Center Occupancy between AOC and HIR Facilities Management, Chief Administrative Officer, U.S. House of*

*Representatives, October 20, 2011.* This document describes HIR as the primary point of contact for the Ford Data Center to the United States Capitol Police (USCP) for access control. In addition, the MOUs function is to provide general guidance related to operation and security of the Ford Data Center.

*AOC Order 296-4 Identifying Separating Employees, Employees Off-boarding, April 19, 2012.* This AOC policy requires employees and contractors to return their authorized badge. The jurisdictions/offices are to recover identification badges from all departing employees and forward them to Human Capital Management Division/Employee Relations Branch. The Jurisdiction/Office Head is to ensure that the jurisdiction/office point of contact sends an email with name, jurisdiction/office and separation date of departing employee to clearance@aoc.gov to facilitate immediate notification to alert all offices for appropriate action regarding AOC employee departure.

**Results.** We confirmed that the 18 personnel identified by the House OIG were no longer AOC employees or contractors. Further, we found that the 18 personnel were primarily from the AOC Construction Division. According to AOC Construction Division officials, access to the Ford Data Center for these employees was obtained through the AOC House Office Buildings Superintendent's facility managers. They needed access due to construction efforts that occurred from 2005 to 2012.

We met with facility managers from the AOC House Office Building Superintendent's Office and the HIR to obtain an understanding of the access process to the 6<sup>th</sup> floor Ford Data Center. The AOC Facility Manager is responsible for coordinating the access to the Ford Data Center for all AOC staff other than ITD personnel. These access requests are routed to the AOC Facility Manager then forwarded to HIR for approval. HIR submits the access request list to the USCP - Physical Security Division to code and activate employee badges for the Ford Data Center. The facility managers stated that AOC Jurisdictions are responsible for determining whether employees no longer require access and, if so, must provide notification to the AOC Facility Manager to terminate access.

Our discussions with the AOC Facility Manager and HIR revealed that neither the employee access process nor a regular validating process had been formalized between HIR and the AOC House Office Building Jurisdiction. The facility managers agreed that a regular process of validating access was needed. They stated that a validation process would begin immediately for the 18 individuals identified and the access list would be checked quarterly in the future.

**Conclusions and Recommendations.** We made the following recommendations at the time of our review to the AOC Facility Manager and the House CAO:

- Removal of the 18 employees or contractors from the House CAO and USCP access list
  
- Regular review of AOC employee access records

The AOC Facility Manager immediately requested that the House CAO terminate access for the 18 individuals. During our work on this audit and before release of this report, the House CAO confirmed this request was completed. In addition, the AOC Facility Manager, in coordination with the House CAO, agreed to perform regular validations of the AOC employees or

contractors with access to the Ford Data Center (either quarterly or bi-annually) to ensure compliance with AOC Order 296-4.

We prepared this report for your information and therefore it does not require that you take any action. We appreciate the cooperation and assistance provided by the AOC Facility Manager and House CAO. If you have any questions regarding this report, please contact H. Vance Haney, at 202.579.1244 or vhaney@aoc.gov.

Copy to:

Stephen T. Ayers, Architect of the Capitol

William Weidemeyer, Superintendent, House Office Buildings

Shalley Kim, Executive Officer

John Kelly, Management Analyst