



Hamilton/Clermont Cooperative Association (HCCA)

Continuous Improvement Plan FY17 Narrative Summary

1) What is the status and progress of your continuous improvement plan for this past year:

At the start of FY 16, we stated that, given the rapidly evolving landscape of ITC in Ohio, we anticipated ongoing planning, with significant customer and governance member input, throughout FY16 with specific focus on the following:

- Deepening our understanding of the current and, importantly, emerging needs of our current members and customers to ensure we are providing them the services they need/want at prices they can afford and are willing to pay.

STATUS: Ongoing. HCC actively engaged our Members and other clients through regular reporting and input gathering through large-group and individual meetings with Superintendents, Treasurers, Tech Directors, EMIS coordinators, and others. HCC regularly conducts client satisfaction surveys. HCC initiated several regular and periodic “news” publications. These efforts promote dialogue with our clients and, through that dialogue, HCC is able to better ascertain their needs and interests.

- Review, and amend as necessary, our pricing structure for services to ensure members and customers are getting the most value from the dollars they spend with us.

STATUS: Completed and will be re-visited. HCC developed, and our Membership approved, a FY17 price structure that reduced prices and increased choice through bundled or ala carte choices. The effect is that nearly every Member saved money and/or will be receiving more services for the approximately the same money they spent in FY16.

- Review, and seek approval to amend as necessary, our governance documents to ensure we have the appropriate mix of required legal and fiscal oversight combined with the flexibility required to be responsive to member and customer need and interest.

STATUS: Completed. HCC developed, and our Membership approved, modifications to our governance structure that provides more decision-making authority to the HCC Executive Committee to ensure that HCC has the flexibility required to be responsive to member and customer need and interest while protecting the ownership of HCC by its Members. The revised document accompanies the CIP.

- Develop alternative sources for cost reduction and revenue enhancement through shared services, grants, partnerships, with a specific focus on fellow ITC, area ESC, and local governmental units.

STATUS: Ongoing. HCC continues to grow revenue as a provider of services to fellow ITC, with several active discussions in process that will yield additional services and revenue in FY17. We have strengthened our ties to our area ESC, both structurally, through an increased ESC

presence on our Executive Committee, and collaboratively through regular conversation and idea-sharing. We have developed important partnerships with Learn 21, Neverware, and others that will provide needed services to our clients and generate additional revenue for the organization. We have broadened our managed service offerings on the IT side and are generating new revenues as a result of it. HCC is actively creating relationships in the governmental and non-profit areas. These have not yet yielded contracts or revenue, but we believe there is great promise here and will focus on realizing that promise in FY17.

- To help ensure we make progress toward meeting these improvement areas, our staff will be involved in a number of professional development activities, individually and as groups. Key topics include, customer service, customer problem identified and resolution, pricing models, shared services, grants acquisition, and others.

STATUS: Ongoing. Customer service has been a constant focus during FY16. HCC staff participated in a 'branding' process early in FY16 that explored key areas of strength, including customer service, customer problem identification and resolution and more. We codified 'worry-free' as a philosophical and operational approach we want to take with our clients. The Executive Director and several staff members participated in the Ritz-Carlton training sponsored by the Management Council and in the development of staff training resources and materials that will be used in early FY17, continuing our practice that portions of several all-staff meetings have an explicit focus on customer service. Our staff is very aware of our interest in and progress toward shared services.

2) What are the key areas of improvement you plan to address this coming year?

In response to the needs and interests of our Members and other clients, and to the ongoing evolution of the statewide context for ITC, and to our best assessment of the optimal path forward for HCC, the following key areas of improvement have been established for FY17:

- **Strengthen critical infrastructure cybersecurity for our Members, clients, and HCC** by aligning HCC processes and procedures to the National Institute of Standards and Technology (NIST) Framework for Improving Critical Infrastructure Cybersecurity.
- **Simplify technology-related decision-making for our Members, clients, and prospective clients** by expanding the 'continuum of technology-related services' available through HCC and our partner organizations.
- Continue to develop **mutually-beneficial relationships, partnerships, and opportunities** with area educational service centers, area educational organizations, fellow ITC, vendors, and others to leverage resources, reduce expenses, generate revenue, and provide/strengthen service to current and prospective clients.
- **Ensure continuity of HCC service** to our Members and other clients by strengthening cross-training and succession planning.
- **Ensure that HCC processes are client-friendly, effective, and efficient** using Lean tools and techniques endorsed by LeanOhio.

3) How do you obtain input from customers, governing board, and staff in identifying the key areas identified in question #2?

HCC generates input data from various sources including surveys at the conclusion of training sessions and annual surveys sent out by each of our core service areas identifying changing customer needs.

Ongoing input from HCC staff is also noted and used as an essential element to identify changing customer needs and development of future goals. Weekly department meetings and regular full general staff meetings aid in keeping staff focused on current goals as well as the development of ideas for new goals.

The seven member Executive Committee, which is responsible for overseeing the day-to-day operations at HCC, also plays a role in setting goals through their on-going communications with the Executive Director.

The Executive Director is a regular participant and 'agenda item' for disseminating and gathering information at county Superintendent, Treasurer, and Tech Director Meetings and other leadership meetings in our service area (BASA, HSTW, etc.)

HCC convenes meetings around 'problems to be solved' (i.e. data integration) as well as training and help sessions.

These multiple approaches help ensure that HCC is hearing from the full spectrum of personnel in our districts and elsewhere: Superintendents, Treasurers, EMIS Coordinators, Tech Directors, Payroll Clerks, and many others.

4) How does collaboration with other entities contribute to your ITC's continuous improvement?

HCC is building on its long and strong history of collaborating with other entities (fellow ITC, area ESC, area Cooperative Purchasing, MCOECN, local educational organizations, districts, vendors, and others to help ensure that we continue to see and understand the larger context within which we operate and in which our members and customers exist. In addition, our collaboration with other entities help improve effectiveness, efficiency, and drives costs down for our members and customers. As examples:

- HCC partnered with area educational organization Learn 21 to develop and distribute data integration functionality between Schoology and DASL.
- HCC manages our Document Management Solution (OnBase) for several other ITC's, around the state, giving them the opportunity to offer the product/service to their member districts and

clients.

- HCC hosts servers and application for a non-profit educational group called Learn21.
- HCC has created, and is contracting with clients to provide, several 'managed services including server hosting, and others.
- Exchange email for Hamilton County Government Communications Center
- We have initiated conversation with a local municipal government regarding possible shared IT services. We anticipate more of those conversations throughout the year.
- The HCC Executive Director is very active among his fellow ITC Directors, the MCOECN, and other in promoting the practical, financial, and political benefits of operating as a statewide delivery system. To give credence to those admonitions, HCC attempts to lead by example, to model good behavior, by actually doing the types of things we are recommending to others. This has led, for example, to our adoption of ITIL Standards and Lean processes as described elsewhere in this document. HCC will continue to do so.

ATTACHMENT A

FY17 ITC Continuous Improvement Plan Compliance Statements

Guidelines and Recommended Procedures for OECN Information Technology Centers (ITCs) (Based on Current Ohio Administrative Rules)

If the answer to any of the statements below is false, a Correction Plan (Attachment C) is required for EACH statement that is false.

3301-3-03 Information Technology Center and User Entity Permit Eligibility and Application.

1. The Information Technology Center (ITC) has a schedule of services and proposed agreements for execution between the ITC providing the services and its participating user entities 3301-3-03(A).

Evidence:

Copies of the schedule of services and proposed (or executed) services agreements between the ITC and each district it provides services for.

True.

2. The ITC provides a minimum schedule of staffing, training, core services, resources and procedural operations as determined by the department and referenced as information technology center responsibilities in rule 3301-3-06 of the Administrative Code and performance requirements in rule 3301-3-07 of the Administrative Code. 3301-3-03(D)

Evidence:

Copy of a staffing report that shows staffing assignments including cross-training duties; copies of service description offerings for core services; and a schedule of training offerings (including attendees) offered during the past 12 months.

True.

3301-3-06 Responsibilities of an Information Technology Center and a User Entity

Information Technology Center (ITC):

3. The ITC promotes a cooperative and integrated system of information technology for its user entities as well as among other information technology centers. 3301-3-06(A)(1)

Evidence:

Copies of communications and/or service offerings that promote integration of information technology for schools served by the ITC, and/or the sharing of services with or among other ITCs.

True.

4. The ITC promotes and administers efficient and cost-effective implementation of information technology that supports information technology strategies of the Department and all user entities.

3301-3-06(A)(2)

Evidence:

Copies of the budget and descriptions of services offerings provided by the ITC.

True.

5. The ITC coordinates innovative uses of information technology that support the goals of the department, information technology center, and all user entities. 3301-3-06(A)(3)

Evidence:

Copies of the descriptions of services offerings provided by the ITC.

True.

6. The ITC provides for electronic networking capabilities between and among user entities and the information technology center, support connectivity to the department or its designee, and maintain a system of electronic contact information as specified by the Department. 3301-3-06(A)(4)

Evidence:

Copies of Ohio K-12 Network Building Connectivity Subsidy worksheets showing that each member entity of the ITC is participating in the Ohio K-12 Network, and logs showing that User Mail Profile (UMP) records are being regularly updated and transmitted to the SSDT for inclusion in the OECN CSO (White Pages).

True.

7. The ITC ensures that all data acquired on behalf of user entities are held in trust for those entities. The ITC requires prior authorization from that specific entity prior to transfer or release of the user entity's data. Upon receipt of district authorization, the ITC transfers or returns district data without delay or impediment. 3301-3-06(A)(5)

Evidence:

Copies of governance documents, service agreements, or policies that illustrate that all data held by the ITC is held in trust and remains the property of the school district. Copies of individual and/or blanket authorizations to release data on behalf of each school district. Copies of policies that illustrate the ITCs intent to release data in a timely manner.

True.

8. The ITC offers core services to all user entities and provides districts with the opportunity to obtain services on an individual-service basis. The ITC does not inhibit districts from obtaining services from one or more ITCs of their choosing. 3301-3-06(A)(6).

Evidence:

Copies of the descriptions of services offered by the ITC to its user entities. Copies of policies and fee schedules that illustrate how services may be purchased from the ITC.

True.

9. The ITC posts a list of services and corresponding costs on the ITC's website. 3301-3-06(A)(7).

Evidence:

The URL pointing to the page or content area containing this information.

True.

User Entity:

10. The user entities utilize requested core services provided through the OECN and its component information technology centers. 3301-3-06(B)(1)

Evidence:

Copies of the listing of core services utilized by each school district, and funded by ODE.

True.

11. The user entities participate in the governance and financial support of the information technology center that serves the user entity and remain financially current. 3301-3-06(B)(2)

Evidence:

Copies of the minutes of the governing body(ies) of the ITC for the previous 12 months; a copy of the financial reports of the organization including budget and revenue projections; and an aged accounts receivable report for the ITC.

True.

12. The user entities adhere to the governance documents of the information technology center. 3301-3-06(B)(3)

Evidence:

Copies of the minutes of the governing body (ies) of the ITC for the previous 12 months.

True.

13. The user entities procure and utilize a data communications link to communicate electronically with department personnel via compatible equipment. 3301-3-06(B)(4)

Evidence:

Copies of Ohio K-12 Network Building Connectivity Subsidy worksheets showing that each member entity of the ITC is participating in the Ohio K-12 Network and remains eligible for Ohio K-12 Network subsidy.

True.

14. The user entities provide required data to the appropriate information technology center in an electronic format as defined by the department. (Large district user entities may, at the discretion of the department, report required data directly to the department.) 3301-3-06(B)(5)

Evidence:

Listing of member entities showing that none are delinquent in any aspect of state reporting that passes through the ITC.

True.

15. The user entities build the capacity of its staff through professional development that allows the user entity to meet specific obligations to the information technology center pursuant to the contractual agreement between the information technology center and the user entity.
3301-3-06(B)(6)

Evidence:

Copies of the service agreements between the ITC and its user entities, and listings of the professional development offerings of the ITC held in the past 12 months, including the names and district affiliations of each attendee.

True.

3301-3-07 Performance Requirements

Governance-Agreement/Constitution

16. The agreement includes provisions for a governing assembly such as a board of directors or an executive committee. 3301-3-07(A)(2)

Evidence:

An answer of YES requires that at least ONE of the following conditions exists:

Each district's representative has a vote -

- (a) On the consortium's governing assembly, or
- (b) On the consortium's governing board/board of directors/executive board, or
- (c) In electing the members of the consortium's governing board/board of directors/executive board.

True.

17. The agreement includes provisions for a systematic approach to encourage participation that is representative of all end users and governance that is representative of all user entities. 3301-3-07(A)(3)

Evidence:

Document content which provides for user representation. Examples include user groups, advisory committees, ad hoc committees, and/or the participation of end users on the governing bodies of the consortium.

True.

18. The agreement defines the responsibilities of each component of the organizational structure. 3301-3-07(A)(4)

Evidence:

Document content that defines the responsibilities/duties of the following:

- (a) Governing Assembly
- (b) Board of Directors/Governing Board/Executive Board
- (c) Operating Committee
- (d) Fiscal Agent

True.

19. The ITC governing authority rest with the board of directors or the governing assembly rather than the fiscal agent. 3301-3-07(A)(5)

Evidence:

- (a) An answer of YES requires that the "powers and duties" of the governing assembly and/or the board of directors/governing board, as listed in the governance document, reflect -APPROVAL- authority for establishing budgets, fees, hiring/firing employees, etc. instead of simply functioning as -RECOMMENDATION- groups with final decisions/actions relegated to the fiscal agent.
- (b) Responses from staff and user interviews/surveys.
- (c) Review of minutes from official meetings of governing groups.

True.

20. The agreement set forth the process of change and defines how organizational changes are to occur, including amending the agreement, changing the fiscal agent, adding and withdrawing membership, and changing officers. 3301-3-07(A)(6)

Evidence:

Document content which describes procedures for the following organizational changes:

- (a) Amending the agreement (governance document).
- (b) Adding or withdrawing district membership.
- (c) Changing officers (of governing groups).
- (d) Changing the fiscal agent.

True.

21. The ITC's governance document contains language that holds harmless the fiscal agent for any liabilities, obligations, claims, damages, penalties, causes of action, costs or expenses relating to the operation and activities of the consortium. (Amounts to be paid in the settlement of any such claims or damages, including attorneys' fees and costs and expenses, shall be apportioned among all entities participating in the Information Technology Center to the extent permitted by law.) 3301-3-07(A)(7)

Evidence:

Appropriate language contained in:

- (a) The current governance document

Or

- (b) A separate contract/agreement between the consortium and the fiscal agent district.

True.

22. All governance policies and procedures, as well as daily site operations, in accordance with the ITC's current by-laws, agreement(s), or both. 3301-3-07(A)(8)

Evidence:

- (a) Review of existing consortium policies/procedures.
- (b) Responses from staff and user interviews/surveys.
- (c) Review of minutes from official meetings of governing groups.

True.

All ITCs shall maintain fully executed contractual agreements with their user entities.

23. The contractual agreement between the information technology center and its user entities specifies, at a minimum, the quality implementation standards, as defined by the department, for all core services, as well as any additional fees to supplement state subsidy for the core services. 3301-3-07(A)(9)

Evidence:

Copies of service agreements between the ITC and user entities that illustrate that the above service level agreement (SLA) information has been included in the agreements.

True.

Local Fiscal Operations Requirements

The ITC shall evidence the appropriate appointment and utilization of a fiscal agent.

An information technology centers organized under Chapter 3313.92 of the Revised Code shall designate one user entity participating in the consortium agreement to act as fiscal agent.

An information technology center organized as a council of governments in accordance with Chapter 167 of the Revised Code may employ its own treasurer to assume all financial responsibilities or may elect to designate one user entity participating in the council to act as fiscal agent.

The fiscal agent treasurer or the treasurer employed by a council of governments is responsible for all financial transactions associated with the information technology center.

24. The fiscal agent treasurer or the treasurer employed by a council of governments licensed in accordance with section 3301.074 of the Revised Code. 3301-3-07(B)(1)(a)(iv)

Evidence:

A valid and current certificate of license.

True.

25. All financial transactions and accounting procedures associated with ITC operations performed in compliance with requirements of the Revised Code and the auditor of state. 3301-3-07(B)(1)(b)(i)

Evidence:

Review of audit report from latest applicable financial audit.

True.

26. The financial accounting records of the ITC activities are separately maintained and capable of being audited. 3301-3-07(B)(1)(b)

Evidence:

Review of audit report from latest applicable financial audit.

Review of the latest EMIS financial submission of the ITC to ODE, showing that it complies with ODE rules for segregation of funding by special cost center (SCC) and specific QC185 (EMIS) reporting codes.

True.

27. Procedures for receipting, expending, and accounting for funds and equipment acquisition, inventory, and disposition defined and followed. 3301-3-07(B)(1)(b)(ii)

Evidence:

Review of audit report from latest applicable financial audit.

True.

28. The appropriate governing bodies of the ITC approve all fee assessments, contracts, employee compensation and benefits, as well as initial and modified appropriations, as evidenced by official meeting minutes. 3301-3-07(B)(1)(c)

Evidence:

Review of minutes from official meetings of governing groups for the past 12 months.

True.

The board of directors or the governing assembly shall be provided access to the following:

29. The ITC maintains detailed fiscal reports for each regular board of directors or governing assembly meeting. 3301-3-07(B)(1)(d)(i)

Evidence:

(a) Review of agendas/handouts from previous meetings.

(b) Responses from staff and user interviews/surveys.

(c) Review of minutes from official meetings of governing groups.

True.

30. If requested, the ITC provides other reports upon request. 3301-3-07(B)(1)(d)(ii)

Evidence:

Copies of newsletters and other communications to user entities that convey the financial condition of the ITC.

True.

Financial Condition

31. Amortization periods for the retirement of indebtedness shall not exceed the recommended schedules for depreciation as established by the Internal Revenue Service. (The ITC in compliance) 3301-3-07(B)(2)(a)

Evidence:

Copies of the amortization schedules for any ITC debt(s) incurred within the past 10 years.

True.

32. The ITC established a schedule of fees for services that, in combination with state subsidy funding, cash reserves, and other sources of revenue, generates operating funds sufficient to meet anticipated expenditures. 3301-3-07(B)(2)(b)

Evidence:

A budget document approved by the governing body of the ITC that demonstrates sufficient receipts to match anticipated expenditures.

True.

Operating Requirements

33. The ITC holds a valid permit and maintains compliance with the criteria established for that permit as identified in paragraph (A) of rule 3301-3-03 of the Administrative Code. 3301-3-07(C)(1)(a)

Evidence:

Copy of the permit as issued by ODE, and certification by the ITC administrator and Governing Board Chairperson that the ITC continues to meet the above requirements.

True.

34. The ITC in compliance with section 3301.075 of the Revised Code and with the OECN line item appropriation language contained in House Bill 1 of the 128th General Assembly. 3301-3-07(C)(1)(b)

Evidence:

Copies of Ohio K-12 Network Building Connectivity Subsidy worksheets showing that each member entity of the ITC is participating in the Ohio K-12 Network and remains eligible for Ohio K-12 Network subsidy.

True.

35. The ITC as organized in accordance with either Chapter 167 or section 3313.92 of the Revised Code provides a current copy of its organizational agreements(s) if requested by the department and/or the public. 3301-3-07(C)(1)(c)

Evidence:

A copy of the organizational document(s) of the ITC is supplied to ODE and/or the public upon request.

True

Core services as defined in rule 3301-3-01 of the Administrative Code shall be implemented as follows:

36. The core services delivered are based upon the quality implementation standards communicated by the department. 3301-3-07(C)(2)(a)

Evidence:

Copies of the service agreements between the ITC and user entities that specify the service level agreement (SLA) qualifiers as communicated by ODE as the minimum standards of service to be provided by the ITC.

Review by ITC management of CA-USD Helpdesk metrics to insure that support is being performed by the ITC at the minimum levels specified by ODE.

True.

37. All software and hardware, used by ITCs, enables efficient and effective end-user access to the core services. 3301-3-07(C)(2)(b)

Evidence:

Anecdotal information from users relative to the ease and efficiency of the services provided by the ITC, including information from user satisfaction surveys released by the ITC, or generated through the CA-USD Helpdesk process.

True.

38. Equipment for computer systems or support services shared among and between multiple ITCs in order to increase operational efficiencies, lower operating costs, and/or to improve service reliability. 3301-3-07(C)(2)(c)

Evidence:

Copies of agreements providing for shared and/or reciprocal services among and between ITCs; and information showing participation in cooperative purchasing ventures with other ITCs.

True.

39. Contractual agreements are executed with user entities across all core service areas specifying the areas of service (e.g. software management, data management, training, problem resolution, documentation, communication and quality of service), responsibilities of the information technology center and the user entity for each area of service, and quality implementation standards for each area of service. 3301-3-07(C)(2)(d)

Evidence:

Copies of the service agreements between the ITC and user entities that specify the service level agreement (SLA) qualifiers as communicated by ODE as the minimum standards of service to be provided by the ITC.

Review by ITC management of CA-USD Helpdesk metrics to insure that support is being performed by the ITC at the minimum levels specified by ODE.

True.

Specific guidelines applying to internet access and networking services are as follows:

40. The speed and reliability of the network commensurate with department standards and provide for optimal performance to end users. 3301-3-07(C)(2)(e)(i)

Evidence:

(a) Current interpretation is a network consisting of a minimum of a T1 (1.554Mb/s) of bandwidth per building (or grouping of up to four buildings)

(b) Review of actual capabilities re: the data comm network diagram.

(c) Existence of a network topology map which would not only define speeds, but also the number of devices supported across any given link.

True.

41. Standards established by the department for connectivity maintained by the ITC. 3301-3-07(C)(2)(e)(ii)

Evidence:

Current interpretation is that the ITC must be running TCP/IP (v4) via an interconnect to the Ohio K-12 Network via the OSCnet.

True.

42. The ITC is responsible for any repairs or maintenance to the network and equipment for accessing the internet. 3301-3-07(C)(2)(e)(iii)

Evidence:

- (a) Copies of appropriate equipment maintenance contract(s).
- (b) Responses from staff and user interviews/surveys.
- (c) Copies of other pertinent documentation.

True,

43. The ITC coordinates and manages an integrated services network that may include but not be limited to voice, video and data services. (Any educational entity desiring to be connected should have the option of access and the primary internet service provider(s) shall involve the network and provider(s) selected by the department.) 3301-3-07(C)(2)(e)(iv)

Evidence:

Copies of the listing of services offered by the ITC for networking to user entities; usage records of Internet access for the ITC's primary ISP as well as any secondary providers that the ITC may utilize.

True.

Reports

44. The ITC filed with the department a continuous improvement plan that meets department guidelines and timeframes as set by the department. (The report shall include the ITC's planned versus actual delivery of core services based upon quality implementation standards. The report shall inform the department-managed accountability system for the OECN. The ITC shall respond in writing to the department and/or make operational adjustments as directed by the department if deficiencies are noted in the department's review of the continuous improvement plan.) 3301-3-07(C)(3)(a)

Evidence:

Copies of the most recent CIP filed with ODE by the ITC; and records from ODE showing that the CIP was filed in a timely manner and that any adjustments requested by ODE were implemented.

True.

45. The ITC implemented an automated help desk system with quality implementation standards defined by the department in partnership with the OECN. (The system shall, at a minimum, facilitate communication and problem resolution among user entities and escalation to appropriate information technology center staff across the OECN, as well as with the department. The system shall enable the reporting of quality implementation metrics for the core services to the department and provide data for the department-managed accountability system for the OECN.) 3301-3-07(C)(3)(b)

Evidence:

Records of utilization reports from the help desk system showing active utilization of the system by ITC personnel, and an analysis (included in the ITC's CIP), of the information that the ITC is gaining and utilizing from this system to track and improve services to its user entities.

True.

46. Detailed financial records of the ITC for the current and previous fiscal year transactions can be made available, if requested by the department 3301-3-07(C)(3)(c)

Evidence:

Submission of detailed financial reports upon request by ODE.

True.

47. Financial records can be made available to the department within sixty days of the end of the fiscal year, in an electronic format as specified by the department. 3301-3-07(C)(3)(c)

Evidence:

Copies of the filing dates (confirmed by ODE personnel), that the ITC has filed its financial records with ODE via the EMIS (June) reporting cycle in the format requested.

True.

Business Continuity, Security, and Other Safeguards

48. The ITC has a written business continuity plan that is formulated, reviewed at regular intervals by the governing body of the data acquisition site, and on file at the department. 3301-3-07(C)(4)(a)

Evidence:

Copy of written disaster recovery plan.

True.

49. The ITC has a written security policy that is implemented which includes the following:

- It specifies the methods for obtaining, processing, reporting, and storing data. 3301-3-07(C)(4)(b)(i)
- It prohibits access to the computer systems and services by unauthorized personnel. 3301-3-07(C)(4)(b)(ii)

Evidence:

Copy of written security policy in effect at the ITC.

Evidence:

- (a) Copy of written security policy in effect at the ITC.
- (b) Responses from staff and user interviews/surveys.
- (c) On-site review of data center facilities.

True.

50. The ITC staff are bonded, at a level determined by the ITC's governing body, for the faithful performance of their duties. 3301-3-07(C)(4)(c)

Evidence:

Copy of appropriate insurance policy/policies.

True.

51. The ITC has insurance coverage for all fixed assets. 3301-3-07(C)(4)(d)

Evidence:

Copy of appropriate insurance policy/policies.

True.

52. The ITC has a data retention policy that is written, implemented and communicated to all user entities and specifies how data are stored, how they can be restored and the method for disposal of these data. 3301-3-07(C)(4)(e)

Evidence:

Copy of existing written policy re: data retention.

True.

53. The computer system is reviewed at regular intervals in order to ensure sufficient system performance and data security. 3301-3-07(C)(4)(f)

Evidence:

Copy of appropriate system policies and logs indicating that monitoring has occurred.

True.

54. The ITC complies by not modifying in any respect software or associated data structures provided by the department without the prior written approval from the superintendent of public instruction, or his or her designee. 3301-3-07(C)(4)(g)

Evidence:

Review of ITC intervention files and/or audit logs for evidence of data manipulation outside of approved program files; and/or evidence from the SSDT indicating that such manipulation has occurred.

True.

55. The environment for the computer systems is compliance with the manufacturer's standards for installation, power, and maintenance. 3301-3-07(C)(4)(h)

Evidence:

Copy of statement from manufacturer and/or maintenance provider and/or review of requirement documents from manufacturer.

True.

56. The physical security of the ITC prevents unauthorized access to the computer systems. 3301-3-07(C)(4)(i)

Evidence:

Existence of physical locking mechanisms that default to being locked at all times.

True.

57. The ITC has a data release policy that is written, implemented and communicated to all user entities and specifies the process for requesting a release, return, or transfer of data. The policy specifies the release of data shall occur no later than 10 business days upon receipt of the entity's request unless otherwise agreed upon by the district and the ITC.

Evidence:

Copy of existing policy regarding release of data.

Partially true. HCC follows the Ohio legislative requirement to release district data in a timely manner. However, that language has not yet been added to the HCC Records Policy. The HCC Data Release Policy is being added as a section of the HCC Records Policy. This policy is under revision and will be taken to the October 13, 2016, HCC Executive Committee for review and approval.

Information Technology Center Personnel

58. The staffing levels sufficient to meet the service needs of the user as measured by end-user and staff satisfaction. 3301-3-07(C)(5)(a)

Evidence:

Responses from staff and user interviews/surveys.

True.

59. Personnel assignments made to ensure that user support needs are met and that all core services are successfully delivered. 3301-3-07(C)(5)(a)

Evidence:

Copy of job descriptions showing cross-training and secondary support assignments.
Interviews with staff indicating that cross-training is being performed.

True.

60. All staff has training and/or experience necessary to perform the duties contained in their job descriptions. 3301-3-07(C)(5)(b)

Evidence:

Copy of resumes of staff members and professional development records for these individuals, and interviews with staff indicating that they are receiving the training requested.

True.

61. All ITC staff are given the appropriate training for the task assigned. 3301-3-07(C)(5)(c)

Evidence:

Copy of resumes of staff members and professional development records for these individuals, and interviews with staff indicating that they are receiving the training requested.

True.

62. All ITC staff whose job assignments are related to the support of technology or technology services engaged in an ongoing program of in-service relative to their area of assignment. Such training is aligned with the continuous improvement plan of the ITC and reflects policies and guidelines established by the local professional development committee. 3301-3-07(C)(5)(d)

Evidence:

Copies of professional development records for ITC staff members, copy of ITC continuous improvement plan referencing goals for staff professional development.

True.

63. All ITC staff who hold educator licenses or certificates issued by the Ohio Department of education and who are utilizing the LPDC process in order to renew and maintain department licensure completing at least two CEUs per year and following the license renewal and professional development requirements and timelines established in rule 3301-24-08 of the Administrative Code. 3301-3-07(C)(5)(e)

Evidence:

Copy of professional development records for licensed or certificated ITC staff members.

True.

ATTACHMENT B
SIGNATURE PAGE

ITC Name: HCC - HAMILTON CLERMONT COOPERATIVE

ITC Director: THOMAS F. COLHANE

All compliance statements on "Attachment A" are "true" for the above listed ITC:

☐ True ☐ False - If "false" is selected please list below the statements that are false and complete an "Attachment C" form for each statement that is "false".

57 _____

The signatures below attest that the FY 17 CIP for the ITC listed above has been reviewed and is accurate, to the best of our knowledge. This also attests that the FY 17 CIP has been made available to the administrative personnel of all member school districts of our ITC. This attestation covers the FY 17 CIP Compliance Statements (Attachment A) and CIP Narrative. The scanned signature page document must be sent to:

Ed Weisenbach, ed.weisenbach@education.ohio.gov

Melissa Kucher

ITC Governing Board Chair

9-12-16

Date

[Signature]

ITC Fiscal Officer

9/12/16

Date

[Signature]

ITC Director

9/12/16

Date

ATTACHMENT C

FY17 ITC NON-COMPLIANCE CORRECTION PLAN

ITC Name: **HCC – Hamilton Clermont Cooperative**

ITC Director: Thomas Collins

This Correction Plan for deficiencies cited herein must be acknowledged and submitted in writing to the Ohio Department of Education (ODE) on or before Friday, September 16, 2016. The response/timeline section below is as proposed by your organization using the FY 17 CIP Compliance Statements (**Attachment A**) and accepted by the ODE through the OECN ITC Oversight Committee. The acknowledged plan and evidence required must be sent to:

Ed Weisenbach, ed.weisenbach@education.ohio.gov

Compliance Statement (**Attachment A**) # 57 Data Release Policy

HCC follows the Ohio legislative requirement to release district data in a timely manner. However, that language has not yet been added to the HCC Records Policy.

Corrective Action Description: HCC Data Release Policy is being added as a section of the HCC Records Policy. This policy is under revision and will be taken to the October 13, 2016, HCC Executive Committee for review and approval.

Timeframe (specific dates)	_____ / _____ / _____
	_____ / _____ / _____
Estimated date of completion	<u>10</u> / <u>13</u> / <u>2016</u>