

REPORT HIGHLIGHTS



BACKUP AND RECOVERY
PERFORMANCE AUDIT, OCTOBER 2014

GOVERNOR'S OFFICE OF INFORMATION TECHNOLOGY

CONCERN

The Governor's Office of Information Technology needs to improve governance over system backup and recovery processes within the Executive Branch.

KEY FACTS AND FINDINGS

- The Governor's Office of Technology (OIT) is responsible for oversight and governance of backup and recovery processes for seventeen Executive Branch agencies.
- The Colorado Information Security Policies (P-CISPs) were established in 2006, prior to consolidation of IT services under OIT in 2008, and were subsequently updated in 2011 by OIT. OIT is currently revising the P-CISPs and plans to publish and communicate the policies once they have been updated and approved.
- We found inconsistency between management's expectations of backup and recovery requirements identified in the Colorado Information Security Policies (P-CISPs) and OIT personnel's understanding of the policies.
- OIT and agency personnel were not aware of backup and recovery policy requirements, including various roles and responsibilities over backup and recovery processes.
- Five of five systems tested had control failures across multiple backup and recovery controls. Two of five systems tested had failures in every control category.
- System restoration and recovery testing is not consistently performed per policy requirements.
- Physical and logical access controls to facilities, systems, and data are not being performed consistently according to OIT policy requirements.
- Agency Cyber Security Plans and agency Disaster Recovery Plans have not been updated and approved by OIT since 2012.
- An Enterprise Cyber Security Plan (ECSP) was introduced through a rule change [C.C.R. 8 1501-5] in December 2013 and will replace the Agency Cyber Security Plans as of July 15, 2014. However, as of early October 2014, the ECSP has not been formally submitted to the CIO for approval.

BACKGROUND

Governor's Office of
Information Technology:

- Was established in 2008.
- Centralized the management of Executive Branch information technology resources, including IT staff.
- Is responsible for documenting policies, procedures, and guidelines for IT services.
- Provides IT services, including backup and recovery, for systems across Executive Branch agencies.
- Oversees the backup and recovery processes for approximately 149 applications or systems classified to be essential or critical.

OUR RECOMMENDATIONS

The Governor's Office of Information Technology should:

- Review, update, and communicate system backup and recovery policies and establish a mechanism to hold IT staff accountable for implementing the policies.
 - Document and implement backup and recovery roles and responsibilities per requirements.
 - Work with agencies to develop system backup and recovery procedures that meet agency needs.
 - Categorize data on systems and apply encryption policy requirements when applicable.
- OIT agreed and partially agreed with all of the recommendations.