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LACK OF POLICIES AND ACCOUNTABILITY MAKE STATE BACKUP AND RECOVERY SYSTEMS VULNERABLE

DENVER—The Colorado Office of the State Auditor (OSA), in an audit of the Governor’s Office of Information Technology (OIT), has found a lack of adequate policies in place to guide staff in managing and operating backup and recovery processes over essential and critical state systems. There are also no clear definitions of the roles and responsibilities of staff. As a result, each of the systems the OSA tested experienced control activity failures across multiple backup and recovery process areas. Without effective backup and recovery controls, the risk increases that critical systems and the information they store will be unavailable or unrecoverable in the event of a system outage or failure.

OIT was established in 2008 to centralize the management, resources, and services of Executive Branch information technology, overseeing the backup and recovery processes for approximately 149 applications or systems classified as either essential or critical, spread over 17 Executive Branch agencies.

The OSA found a disconnect between OIT management’s expectations and OIT operational personnel’s awareness and understanding of current policies, which were found to be outdated. The Colorado Information Security Policies have not been updated since 2011, and agency Cyber Security Plans and Disaster Recovery Plans have not been assessed or approved by OIT since 2012.

The OSA made 7 recommendations to improve the backup and recovery processes for IT systems managed by OIT for the Executive Branch. OIT agreed, or partially agreed with all of the OSA’s recommendations.

The Systems Backup and Recovery IT performance audit report is available electronically on the OSA’s website, <http://www.state.co.us/auditor>, via the link called “OSA Audit Reports.”

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