
Executive Summary

A data center is a facility used for housing and protecting computers and communications equipment that stores and processes the data necessary to support business operations. The Department of Administration (DofA) maintains a central data center as a service to state agencies. Information resources residing within the data center are critical servers, systems, and data including the Statewide Accounting, Budgeting and Human Resources System, the Department of Revenue's IRIS system, and Department of Public Health and Human Services systems. DofA approximates the total value of equipment in the data center at \$14 million.

The audit included determining whether DofA has identified logical, physical and environmental threats to the data center, assessed the risk or impact presented by the threats, determined the feasibility of implementing controls to address the risks, implemented appropriate controls, and re-assess risks periodically. Audit work included interviews with DofA personnel, walkthroughs and inspections of the facilities, observations, and review of documentation and equipment configurations. We reviewed safeguards used to prevent unauthorized access to server operating systems and reviewed procedures to update and patch server operating systems. We reviewed physical controls, doorways, card key locks and access systems, monitoring functions, and the physical layout of the data center. Audit work included reviewing controls over environmental threats such as moisture and flooding, fire and heat, earthquakes, power surges and outages, and man-made threats such as food, beverages, physical contact or disruption.

Overall, there is not a process in place to ensure the continuity of data center operations or for management to make an informed decision about the appropriateness, cost effectiveness, and necessity of implementing data center controls. DofA has taken a minimal approach to securing the existing data center, preferring to focus efforts and resources on obtaining a new facility they represent will solve the major problems. DofA performs damage control and remediation as problems arise, but does not eliminate or reduce all known threats proactively. This report contains recommendations

Legislative Audit Division

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addressing: implementing an overall process to ensure threats to the data center are addressed; implementing safeguards over physical security to deter unauthorized access; strengthening safeguards to mitigate water and earthquake-related threats; coordinating disaster recovery efforts; and defining responsibilities for data center security and coordination.