



Auditing for a Better Oregon

October 18, 2001

Mike Greenfield, Director
Department of Administrative Services
155 Cottage Street NE
Salem, Oregon 97301

Dear Mr. Greenfield:

During our review of the Department of Administrative Services Data Center General Controls Review (Report No. 2001-50) and the Oregon Department of Transportation Data Center General Controls Review (Report No. 2001-51), we noted conditions that warrant the attention of your department. These conditions and our recommended actions are described below.

Information Resources Management Council

It is ordered in Executive Order No. EO 99-05 that all state agencies adopt the Enterprise Information Technology Strategy as prepared by the Information Resources Management Council. One of the key initiatives of that plan was to develop and implement the operational alignment of the Department of Administrative Services and the Oregon Department of Transportation data centers.

Although the EO calls for the operational alignment of the data centers, neither DAS nor ODOT has a written agreement or understanding of what the operational alignment entails, and neither has a fully developed plan. To date, the two data centers operate under the same roof and utilize some of the same peripherals. Otherwise, each data center is operating under separate environments including physical and logical security, disaster recovery and contingency planning, operations and production control.

We recommend that the Information Resources Management Council fully describe what operational alignment entails, and develop and implement the plans necessary to complete the alignment as directed in EO 99-05.

Facilities Division

Appropriate physical security and access control measures should be established to ensure that access is restricted to appropriate individuals. Although DAS policy 125-6-210 states the Facilities Division controls access to and in the buildings owned or managed, and a division administrator or manager may authorize keys or keycards to any or all areas

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owned or serviced as necessary for any employee's work, this practice has weakened security within the DAS and ODOT data centers.

Of the keycards issued to DAS Facilities employees that allow access into the ODOT and DAS data centers, 83 percent were not used during our period of review. Some of those individuals having keycard access to the data centers do not have an apparent need for such access, including DAS Facilities office employees, employees responsible for purchasing and keycards, and the landscape supervisor. Thus, we conclude that access has been awarded that is not needed. In addition, DAS Facilities has established access to the data centers for other agency employees such as the Oregon State Police, Office of Emergency Management, Law Enforcement Data System, and the Capitol Mall Patrol Office without either data center management's knowledge.

We have recommended to the DAS and ODOT data center management to develop and implement policy and procedures to review and approve all access requests regardless of their origination. We also recommended that they revoke access for those individuals who currently have access for which they did not authorize.

We recommend that the Facilities Division management:

- Determine which of its employees need routine access to the data centers and submit requests to the respective data center management.
- Only establish keycard access to the DAS and ODOT data centers upon formal approval by the respective data center management.

OREGON AUDITS DIVISION

Nancy L. Young, CPA, CISA
Audit Administrator

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