Michigan

Office of the Auditor General

REPORT SUMMARY

Performance Audit

Network Application Server Controls

Department of Information Technology

Report Number:
084-0555-05

Released:
October 2006

The Department of Information Technology (DIT) is responsible for achieving a unified and more cost-effective approach for managing information technology. The State has approximately 600 network application servers that are primarily configured, managed, and secured by DIT's Technical Services Division with the assistance of DIT's Office of Enterprise Security. Management and security controls over network application servers directly affect the confidentiality, integrity, and availability of data on the State's information network.

Audit Objective:
To assess the effectiveness of DIT's efforts to ensure that network application servers have been properly configured in accordance with standards and best practices.

Audit Conclusion:
DIT's efforts to ensure that network application servers have been properly configured in accordance with standards and best practices were not effective.

Material Conditions:
DIT did not control or provide oversight of all the State's network application server resources as required by Executive Order No. 2001-3. As a result, DIT cannot ensure that those network application servers administered outside of the Technical Services Division are configured, managed, and secured based on DIT's policies, standards, procedures, or industry best practices. (Finding 1)

DIT and its customer agencies had not established a complete list of network application servers that were critical to State operations. As a result, DIT and its customer agencies cannot focus their limited information technology resources on securing the State's most critical information systems. (Finding 2)

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Audit Objective:
To assess the effectiveness of DIT's policies and procedures to ensure the security of network application servers.

Audit Conclusion:
DIT's policies and procedures to ensure the security of network application servers were not effective.

Material Condition:
DIT did not establish, implement, update, communicate, and train staff in comprehensive technical policies, standards, and procedures that complement the State's technology architecture plan to create an enterprise-wide system and comply with Control Objectives for Information and Related Technology (COBIT) standards. As a result, DIT cannot ensure that it was practicing

due diligence in its management and security of the State's network application servers. (Finding 3)

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Audit Objective:
To assess the effectiveness of DIT's management plans to support the system administration function.

Audit Conclusion:
DIT's management plans to support the system administration function were not effective.

Material Condition:
DIT had not defined its future operating environment or developed an implementation plan to achieve it. Without a defined future operating environment and implementation plan, DIT cannot ensure that its current initiatives address the challenges of establishing an effective and efficient system administration function to support the State's network application servers. (Finding 4)

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Agency Response:
Our audit report contains 4 findings and 4 corresponding recommendations. DIT's preliminary response indicates that it agrees with all of the recommendations and will comply with them.

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A copy of the full report can be obtained by calling 517.334.8050 or by visiting our Web site at: http://audgen.michigan.gov

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