



**OFFICE OF
STATE AID ROAD CONSTRUCTION**

MISSISSIPPI DEPARTMENT OF TRANSPORTATION
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INFORMATION TECHNOLOGY AUDIT FINDINGS

Stacey E. Pickering, State Auditor
Office of the State Auditor
State of Mississippi
P.O. Box 956
Jackson, MS 39205-0956

September 12, 2014

Dear Mr. Pickering:

This letter is in response to OSA Information Systems Management Audit Report dated March 3, 2014 regarding the February 2014 IS audit of the Office of State Aid Road Construction. We respectfully submit our response and corrective action plan for the finding listed below.

AUDIT FINDINGS:

EDP Control Deficiencies

Significant Deficiencies

<u>Finding Number</u>	<u>Finding Recommendation</u>
1	OSARC Should Implement a Formal Information Security Plan

RESPONSE:

The Office of State Aid Road Construction does agree that an appropriate written IT security plan is needed.

CORRECTIVE ACTION PLAN:

- a.
 - 1. Collect resources and seek assistance.
 - 2. Create appropriate IT policies and procedures.
- b. Persons responsible for the corrective action plan:
 - 1. Carey Webb
 - 2. Dan Jordan
 - 3. Jim Maher
 - 4. Robert Jenkins
 - 5. Alan Sang
- c. Steps 1 and 2 will be begin after implementation of InspectTech Bridge Inspection program. (approximately 90 days). At that point we will prioritize these corrective action plans and implement as soon as possible.

<u>Finding Number</u>	<u>Finding Recommendation</u>
2	OSARC Should Comply with Guidelines for Offsite Tape Storage

RESPONSE:

The Office of State Aid Road Construction has undertaken several projects with the planned goal of accomplishing both off-site back-up and disaster recovery. The success of these projects has, to date, been limited.

The Office of State Aid Road Construction has relocated backup tapes offsite as previously recommended by the Auditor's office.

CORRECTIVE ACTION PLAN:

- a.
 - 1. We have already begun removing previous back-up tape sets from the office on the day they are removed from the tape library device.
 - 2. We are planning move our backup on-line when we complete the process of retiring our Novel data network.
- b. Persons responsible for the corrective action plan:
 - 1. Carey Webb
 - 2. Dan Jordan
 - 3. Jim Maher
 - 4. Robert Jenkins
 - 5. Alan Sang
- c. Step 1 has been accomplished. Steps 2 as explained above.

Control Deficiencies

<u>Finding Number</u>	<u>Finding Recommendation</u>
3	OSARC Should Implement a Formal Program of IT Governance

RESPONSE:

The Office of State Aid Road Construction understands the usefulness of formal organizational governance, the size and structure of State Aid and its IT section render many of the suggestions unobtainable.

The Office of State Aid Road Construction does agree that appropriate written policies and procedures for IT are needed.

CORRECTIVE ACTION PLAN:

- a.
 1. Collect resources and seek assistance.
 2. Create appropriate IT policies and procedures.
- b. Persons responsible for the corrective action plan:
 1. Carey Webb
 2. Dan Jordan
 3. Jim Maher
 4. Robert Jenkins
 5. Alan Sang
- c. Steps 1 and 2 will be begin after implementation of InspecTtech Bridge Inspection program. (approximately 90 days). At that point we will prioritize these corrective action plans and implement as soon as possible.

<u>Finding Number</u>	<u>Finding Recommendation</u>
4	OSARC Should Implement a Formal Change Management Process

RESPONSE:

The Office of State Aid Road Construction is a small agency with an IT staff of 3. We do not have now, nor will have in the foreseeable future, the resources to put into place a formal change management process. Code bases for the few non-commercial-off-the-shelf software programs utilized are tightly controlled and accessible only by the IT staff (who wrote the software); and in the case of the SBT Accounting package, an expert consultant. It should be further stated that the SBT accounting package will be rendered obsolete when MAGIC comes fully on-line.

While the Office of State Aid Road Construction agrees in principal with the Office of the State Auditor's finding that a formal change management process should be developed, the lack of resources will not allow for most of the recommendations to be implemented.

CORRECTIVE ACTION PLAN:

a.

1. We will write a procedure for documenting in-house software and changes.
2. A greater segregation of duties would require additional personnel, which the agency is not authorized, or the incorporation of outside third-parties which would introduce additional security issues.
3. We will look into policies and procedures that will allow for an efficient sign-off process.
4. See Finding #1 corrective action plan above which also addresses security issues.

b. Persons responsible for the corrective action plan:

1. Carey Webb
2. Dan Jordan
3. Jim Maher
4. Robert Jenkins
5. Alan Sang

c. Step 1 and 3 will be begin after implementation of InspectTech Bridge Inspection program. (approximately 90 days).). At that point we will prioritize these corrective action plans and implement as soon as possible.

Finding Number

5

Finding Recommendation

OSARC Should Adhere to Policy on Password Expiration

RESPONSE:

The Office of State Aid Road Construction will adhere to the ITS policy on password changes.

CORRECTIVE ACTION PLAN:

a.

1. We will comply with the 90-day pass expiration

b. Persons responsible for the corrective action plan:

1. Carey Webb
2. Dan Jordan
3. Jim Maher
4. Robert Jenkins
5. Alan Sang

c. A password length change was enforced on February 1, 2014. Step 1 will be initiated January 1, 2015.

Finding Number

6

Finding Recommendation

OSARC Should Establish a Formal Disaster Recovery Process

RESPONSE:

The Office of State Aid Road Construction has undertaken several projects with the planned goal of accomplishing both off-site back-up and disaster recovery. The success of these projects has, to date, been limited.

The Office of State Aid Road Construction concurs with the Office of the State Auditor's finding and recommendations regarding a comprehensive disaster recovery plan.

CORRECTIVE ACTION PLAN:

a.

1. We are planning move our backup on-line when we complete the process of retiring our Novel data network.
2. We will create a more comprehensive disaster recovery process after the on-line backup is established.

b. Persons responsible for the corrective action plan:

1. Carey Webb
2. Dan Jordan
3. Jim Maher
4. Robert Jenkins
5. Alan Sang

c. Step 1 and 2 will be begin after implementation of InspectTech Bridge Inspection program, (approximately 90 days). At that point we will prioritize these corrective action plans and implement as soon as possible.

Sincerely,



H. Carey Webb
State Aid Engineer