TECHNOLOGY AUDIT REPORT
FISCAL YEAR 2009

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Introduction

Per Iowa Code Section 8A.223[1] the Information Technology Enterprise of the Iowa Department of Administrative Services (DAS ITE) has completed a technology audit for Fiscal Year 2009 (July 1, 2008 – June 30, 2009).

8A.223 Audits required.

A technology audit of the electronic transmission system by which government records are transmitted electronically to the public shall be conducted not less than once annually for the purpose of determining that government records and other electronic data are not misappropriated or misused by the department or a contractor of the department.

In the above cite, the term "department" refers to the Iowa Department of Administrative Services, Information Technology Enterprise.

Methodology

Per legislative mandate, the Information Technology Enterprise conducted a technology audit of the electronic transmission system by which State of Iowa records are transferred to the public. Specifically, the audit is intended to determine if government records and electronic data were misappropriated or misused by the Department of Administrative Services Information Technology Enterprise or by contract personnel. As in past audits, the Information Technology Enterprise investigated the following <u>potential</u> areas of misuse and misappropriation:

- Inappropriate transmission of government records containing personal information about Iowa citizens.
- Inappropriate transmission of government records containing confidential government information.
- Inappropriate use of the State website for commercial advertising.

Research

Information Technology Enterprise personnel interviewed 17 State government employees at 12 separate State entities that were directly involved with electronic data transmission through the IowAccess network. The Information Technology Enterprise was able to conclude the following:

Observations and Recommendations

Directory and Document Review: Virus Scan

A virus detection scan was performed against the data the Audit Team was able to copy from the IowAccess website using the access credentials assigned to the Team. The scan product used was the ITE standard Sophos Anti-Virus software (workstation-based). A summary of the scan results follows:

- No items found containing a virus.
- No items placed in quarantine.

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[1] 8A.223 is the applicable code reference after the formation of the Iowa Department of Administrative Services. Code reference prior to July 1, 2003 was 14B.204

- No items requiring a 'fix'.
- Items containing "errors": 144.
    - Errors were of four types (assumed to be acceptable and requiring no further review):
        - "Format not supported".
        - " . . . SAV Interface error 0xa0040202: Scan failed."
        - "The file is encrypted".
        - "Sophos Anti-Virus could not proceed – the file was corrupted."

Directory and Document Review: Age and Size of Documents

In previous scans, the review process revealed directories and documents which appeared to be very old – and therefore perhaps outdated. Also discovered were files of significant size. The occurrence of these items appears to have decreased.

- Examples:
    - The server still contains numerous documents which are more than three years old. Many are much older than that by several years. These may be valid (see below).
    - The naming convention of some subdirectories implies the data they contain may be outdated – e. g. "Old_Website". These items have decreased.
    - Also decreased were the occurrences of documents of a significantly large size. However, there are a few with naming conventions (e. g. 'accesslog', '.gz' extension) which imply they may be backup files. One was greater than 1.2 GB in size.
        - Another significant characteristic of some of the larger files is the 'Last Modified Date' being more than three years ago.
- Additional Notes/Clarification:
    - These items are mentioned primarily as a potential housekeeping task. It is assumed the vast majority of items on the website are valid and current. The age or size of a document does not mean it is invalid or should not be in the customer's directory.
    - The existence of 'old' documents could be due to maintenance of a customer's data having been performed by several staff members over the course of time.
    - There may be statutes and departmental requirements dictating certain documents are to be retained and remain available to the public for certain periods of time. Agencies should adhere to any requirements for document retention and public access.

IowAccess Account Maintenance

The understanding of the Audit Project Team is: It is the responsibility of the customer agency to request an IowAccess account for a staff member in their agency; and also to request deactivation of that account.

It appears the requesting agencies do not do a thorough job of keeping their account information current with ITE. Therefore, much of that burden is placed on ITE to perform this housekeeping for its customers.

The Audit Project Team has offered to assist the ITE IowAccess staff with this process. Previously, the ITE IowAccess staff has suggested possible development of an automated routine which could review account use/nonuse on a periodic or on a request basis and report these findings. (Note: Activity or inactivity on an account may not necessarily be an indication of its validity.) Also discussed was the

possibility of sending emails to customer agencies inquiring about the status of their accounts and their accountholders. The Audit Project Team thinks these would be well-advised enhancements to the current account maintenance process.

Personal Information

- Iowa Interactive personnel were never given access to government records containing personal information about Iowa citizens beyond that required as part of their contract responsibilities and are subject to confidentiality provisions therein.
- DAS ITE personnel were never given access to government records containing personal information about Iowa citizens beyond that which was provided as a normal part of their job responsibilities.

Confidential Government Information

- Iowa Interactive personnel were never given access to government records containing confidential government information beyond that required as part of their contract responsibilities and are subject to confidentiality provisions therein.
- DAS ITE personnel were never given access to government records containing confidential government information beyond that which was needed as a normal part of job responsibilities.

Information Technology Enterprise personnel scanned the state's home page and reviewed links to other web pages. The following table shows by type the links that were reviewed.

Fiscal Year 2009 data.	
Link Type	**Number of Links**
ftp://	56
gopher://	12
http://	124,420
https://	1,496
mailto:	14,618
news:	6
telnet://	2
file://	4,684
Other (links to local pages)	228,643
Total Links	373,937

None of the links to non-State web sites provided unauthorized commercial advertising.

Conclusion

Based upon the data reviewed, the Information Technology Enterprise found no evidence of misuse or misappropriation of government records by either DAS ITE personnel or contract personnel.

Department of Administrative Services

Department of Administrative Services
Information Technology Enterprise

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