Cabinet and Governor Appointed Agencies' Performance Audit Action Item(s) & Status

Data Backup and Disaster Recovery 2020

(See also cabinet agency response for full context to Washington State Auditor's Office (SAO) report, September 2020)

Four state agencies were included for this performance audit. Information also was provided by Washington Technology Solutions (WaTech).

SAO Recommendations (Rec) to the four audited agencies:

1. Agencies perform and use IT risk assessments and business impact analyses to identify gaps in current backup and disaster recovery practices and procedures, recovery time objectives, and recovery priorities.
2. Executive management consider the results of these analyses and work closely with IT staff to ensure adequate resources are allocated to design and implement comprehensive backup and disaster recovery practices and procedures.
3. Agencies further align backup and disaster recovery practices and procedures with state requirements and leading practices.

SAO Recommendations (Rec) to the Office of the Chief Information Officer

4. Update the IT Disaster Recovery and Business Resumption Guidelines and make them readily available to state agencies via the ocio.wa.gov website.
5. Offer agencies tools and templates for backup strategies and disaster recovery planning, such as IT Risk Assessments and Business Impact Analyses.

The table below shows the current status of action items the agency initiated to address issues identified in the performance audit report. Please see the *cabinet agency response* for additional context and any additional steps already taken.

For an explanation of the columns below, see the legend.

Issue/ Rec	Status	Action Steps	Lead Agency	Due Date	Current Resources?	Budget Impact?	Legislation Required?	Notes
Rec. 1-3	Complete	Audited agencies will establish a cadence for reviewing state requirements and leading practices and improving alignment where feasible.	1-4	12/20	Yes	No	No	
Rec. 1-3	In progress	Agencies will coordinate and gather business unit and technical interdependencies to conduct a business impact analyses through the Interagency Continuity of Operations Planning (iCOOP) Committee, beginning March 1, 2021. We estimate this process to take up to a year.	1	~~3/22~~ 12/23	Yes	No	No	

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Rec. 1-3	Complete	Agencies will coordinate and gather business unit and technical interdependencies to conduct a business impact analyses through the Interagency Continuity of Operations Planning (iCOOP) Committee, beginning March 1, 2021. We estimate this process to take up to a year.	2	3/22	Yes	No	No	
Rec. 1-3	In progress	Agencies will coordinate and gather business unit and technical interdependencies to conduct a business impact analyses through the Interagency Continuity of Operations Planning (iCOOP) Committee, beginning March 1, 2021. We estimate this process to take up to a year.	3	~~3/22~~ 12/23	Yes	No	No	August 2021: Initial meeting occurred May 2021 with iCOOP, main resource working on this was also primary on pandemic response so initial work was delayed; coordination with iCOOP for development of a comprehensive state BIA tool will be coordinated by OCIO and MIL and WaTech will be using their own currently identified template
Rec. 1-3	In progress	Agencies will coordinate and gather business unit and technical interdependencies to conduct a business impact analyses through the Interagency Continuity of Operations Planning (iCOOP) Committee, beginning March 1, 2021. We estimate this process to take up to a year.	4	~~3/22~~ ~~12/22~~ 12/23	Yes	No	No	**July 2023**: The WaTech BIA tool has been developed and process for populating BIA data has been implemented through the engagement of Service and Business owners. Completion of the BIA tool and the collection of internal data collection was achieved June 30th. Updates through the iCOOP Leadership team will provided in late 2023. **September 2022:** WaTech has developed a BIA template for our use as the enterprise tool has not been finalized. This template was tested

Last updated: September 2023

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								with service managers to ensure ease of use. The template will be updated from this experience and training will be given to all service managers by the end of October and service managers will complete for all service areas by the end of December 2022. This template will be presented to iCOOP as a possible enterprise solution.
Rec. 1-3	In progress	Audited agencies will conduct an IT risk assessment and business impact analyses.	1	3/22 12/23	No	Yes	No	
Rec. 1-3	Complete	Audited agencies will conduct an IT risk assessment and business impact analyses.	2	3/22	No	Yes	No	
Rec. 1-3	In progress	Audited agencies will conduct an IT risk assessment and business impact analyses.	3	3/23 8/23	No	Yes	No	**July 2023:** Agency has contracted with vendor and final report is expected 8/23; contract for backup analysis is in process. **August 2022:** Agency is working on a contract with a third-party vendor to assist with this work. Estimated completion date 3/23.
Rec. 1-3	In progress	Audited agencies will conduct an IT risk assessment and business impact analyses.	4	1/23 5/25	No	Yes	No	**July 2023**: The WaTech Business Impact Analysis was completed on 7/17/23. In order perform a fully informed risk assessment it is best to do so following the initial review, update, and exercise of Disaster Recovery Plans. This information will inform the comprehensive assessment performed as part of the IT Risk Assessment projected to complete by 5/1/2025.

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								September 2022: see above. After completion of the BIA the agency (risk manager and Office of Cybersecurity) will be able to assess our risk and provide results to management by January 31, 2023.
Rec. 1-3	In progress	Audited agencies' executive management (after completion and analysis of the IT Risk Assessment) will consider the results, risks, and resources assigned toward design, implementation and improvement of comprehensive backup routines.	1	~~10/22~~ 12/23	TBD	TBD	No	
Rec. 1-3	Complete	Audited agencies' executive management (after completion and analysis of the IT Risk Assessment) will consider the results, risks, and resources assigned toward design, implementation and improvement of comprehensive backup routines.	2	10/22	TBD	TBD	No	
Rec. 1-3	In progress	Audited agencies' executive management (after completion and analysis of the IT Risk Assessment) will consider the results, risks, and resources assigned toward design, implementation and improvement of comprehensive backup routines.	3	~~9/23~~ 6/25	No	Yes	No	**July 2023:** Agency has contracted with vendor and final report is expected 8/23; contract for backup analysis is in process. Agency is requesting decision package in 9/23 for funding is assumed to be needed to complete this process. Estimated completion date for implementation 6/25. **August 2022:** Agency is working on a contract with a third-party vendor to assist with this work. Agency requested decision package in 9/23 for funding is assumed to be needed to complete this process.

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								Estimated completion date for implementation 6/25.
Rec. 1-3	In progress	Audited agencies' executive management (after completion and analysis of the IT Risk Assessment) will consider the results, risks, and resources assigned toward design, implementation and improvement of comprehensive backup routines.	4	~~3/23~~ 2/25	TBD	TBD	No	**July 2023**: The completion of the BIA took more coordination and collaboration with service owners than anticipated. Therefore, the discovery, review, update of DR Plans will not start until August 2023. The assessment of comprehensive backup routines should be assessed following the completion of each technological systems DR exercise. We are working with the Office of Cybersecurity who will have a complete picture of WaTech's backup posture by **9/29/23.** A gap analysis of that posture against DR exercise and planning practices will be completed by **2/1/25.** **September 2022:** Pending results of the IT Risk Assessment and BIA. A decision about mitigating the risks and allocating resources will be made by management in the first quarter of 2023. There may be a need for additional funding/resources in order to mitigate identified risks that could impact implementation.
Rec. 1-3	In progress	Audited agencies' executive management (after completion and analysis of the IT Risk Assessment) will consider the results, risks, and resources assigned toward design, implementation and improvement of comprehensive disaster recovery routines.	1	~~10/22~~ 12/23	TBD	TBD	No	

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Rec. 1-3	Complete	Audited agencies' executive management (after completion and analysis of the IT Risk Assessment) will consider the results, risks, and resources assigned toward design, implementation and improvement of comprehensive disaster recovery routines.	2	10/22	TBD	TBD	No	
Rec. 1-3	In progress	Audited agencies' executive management (after completion and analysis of the IT Risk Assessment) will consider the results, risks, and resources assigned toward design, implementation and improvement of comprehensive disaster recovery routines.	3	~~9/23~~ 6/25	No	Yes	No	**July 2023:** Agency has contracted with vendor and final report is expected 8/23; contract for backup analysis is in process. Agency is requesting decision package in 9/23 for funding is assumed to be needed to complete this process. Estimated completion date for implementation 6/25. **August 2022:** Agency is working on a contract with a third-party vendor to assist with this work. Agency requested decision package in 9/23 for funding is assumed to be needed to complete this process. Estimated completion date for implementation 6/25.
Rec. 1-3	In progress	Audited agencies' executive management (after completion and analysis of the IT Risk Assessment) will consider the results, risks, and resources assigned toward design, implementation and improvement of comprehensive disaster recovery routines.	4	~~3/23~~ 2/25	TBD	TBD	No	**July 2023**: Due to the delay in how long it took to complete the BIA; the discovery, review, update of DR Plans will not start until August 2023. The assessment of comprehensive disaster recovery routines should be assessed following the completion of each technological systems DR exercise, followed and identified corrective actions have been identified and completed by 2/1/25.

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								September 2022: Pending results of the IT Risk Assessment and BIA. A decision about mitigating the risks and allocating resources will be made by management in the first quarter of 2023. There may be a need for additional funding/resources in order to mitigate identified risks that could impact implementation.
Rec. 4-5	In Progress	OCIO will convene a workgroup with Military Department, Office of Cybersecurity (OCS), OCIO and agency Subject Matter Experts (SMEs) to evaluate updates to guidelines and identification of tools and templates.	OCIO	12/23	Yes	No	No	**July 2023**: iCOOP has been briefed on the WaTech BIA and are awaiting the completion of the IT DR Compliance project for further review of this tool and possible implementation. Additionally, The Advisory Workgroup was engaged regarding the update of IT Policy 151 'Disaster Recovery Planning'; this policy will be updated and approved for the state following review and approval by the Enterprise Security Governance (ESG)workgroup, Technology Mgmt Council (TMC), and the Technology Services Board (TSB) due by December 12, 2023 **August 2021:** Met with SMEs at MIL to identify key stakeholders and developed initial strategy for updating statewide DR guidance; next step is convening the workgroup in September

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								September 2022: The initial meeting of the Advisory workgroup (OCIO, Military, OCS and WaTech SME) was held on 9/28/21; Several BIA templates were shared with the Advisory workgroup to consider for statewide adoption. WaTech has also developed a survey to help with completion to collect the necessary information to complete WaTech's BIA which will be shared with the Advisory Workgroup for their feedback by December 2022. The Advisory Workgroup will also work to update the Statewide policy for IT DR (OCIO Policy 151) and associated standards to ultimately present to the TSB for approval. The workgroup will continue to evaluate additional tools and guidance to develop comprehensive data backup and DR strategies and practices and will share them with the community.
Rec. 4-5	In Progress	The OCIO with the assistance of the workgroup will publish guidelines, tools and templates.	OCIO	3/22	Yes	No	No	**July 2023**: this step is reliant on the activities and the findings above. **August 2021:** This step is reliant on the activities on the finding above **September 2022:** This step is reliant on the activities on the findings above.