STATE OF CONNECTICUT
Auditors of Public Accounts

AUDIT SUMMARY
Connecticut State Colleges and Universities System Office
Banner Information System

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As of November 2023

BACKGROUND

CSCU

We conducted this audit to obtain an understanding of the Banner Information System and how it uses and protects the data it maintains. Our review was intended to: (1) identify the design and implementation of IT general controls, (2) assess and evaluate those controls and practices against industry standards and state policies and procedures, and (3) identify and communicate opportunities for improvement in the Banner Information System's IT control environment.

The Connecticut State Colleges and Universities System Office's Banner Information System represents a significant investment for the state and many of its institutions of higher learning. Designed by Ellucian, Banner is an enterprise higher education resource planning system. Banner collects, processes, and transacts the colleges' and universities' financial, human resource, and student record information.

The Connecticut State Colleges and Universities System Office provides oversight to the state's twelve community colleges, four state universities, and the online Charter Oak State College.

ABOUT THE AUDIT

We have audited certain operations of the Connecticut State Colleges and Universities System Office's Banner Information System in fulfillment of our duties under Section 2-90 of the Connecticut General Statutes. The scope of our audit included information technology general controls as of November 2023. The objectives of our audit were to evaluate the:

1. Office's internal controls over the Banner Information System;

2. Office's compliance with policies and procedures internal to the office or promulgated by other state agencies; and

3. Effectiveness and efficiency of certain management practices and operations.

We conducted this performance audit in accordance with generally accepted government auditing standards. Those standards require that we plan and perform the audit to obtain sufficient, appropriate evidence to provide a reasonable basis for our findings and conclusions based on our audit objectives. We believe that the evidence obtained provides a reasonable basis for our findings and conclusions based on our audit objectives.

Link to full report

1 Finding

Our audit identified one finding involving an internal control deficiency and an instance of noncompliance with policies or procedures.

NOTEWORTHY FINDING

Finding

1 The Connecticut State Colleges and Universities System Office did not update its policies in accordance with its information security policy. The policies we reviewed during the audit were at least two years out of date. Neither the office's information security policy nor its detailed procedures incorporated the NIST SP 800-53 revision 5 update.

Recommendation

The Connecticut State Colleges and Universities System Office should strengthen internal controls to ensure its information technology policies remain current.

Agency Response

"We agree with this finding. Policies play a critical role in shaping the security practices within CSCU, and we recognize the importance of keeping them current to address emerging technologies and regulatory changes. Changes in personnel and resource limitations have resulted in challenges to conducting a timelier review of our policies. The Information Security Program Office (ISPO) is currently reviewing some of the identified documents, with others planned for review early next year."