



# AUDIT SUMMARY

## Eastern Connecticut State University State Data Center General Controls

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As of October 2023

### BACKGROUND



Eastern Connecticut State University (ECSU) in Willimantic is one of the four higher education institutions that collectively make up the Connecticut State University Colleges and Universities System. The Board of Regents for Higher Education, which serves as the administrative office for CSCU, oversees the university.

The information technology (IT) group at Eastern Connecticut State University supports and oversees all of the technological needs of the university. This includes networking and communication, computers and labs, and the school's data center. The IT group also administers user accounts and related needs for connecting to the Banner information system. Overall, this group represents a critical aspect of the university's ongoing operations.

### ABOUT THE AUDIT

We have audited certain operations of Eastern Connecticut State University in fulfillment of our duties under Section 2-90 of the Connecticut General Statutes. The scope of our audit included, but was not necessarily limited to, university data center general controls as of October 2023. The objectives of our audit were to evaluate the:

1. University's internal controls over significant information technology resources;
2. University's compliance with policies and procedures internal to the university 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](#)

**5** Total Findings

Our audit identified internal control deficiencies; instances of noncompliance with laws, regulations, or policies; and a need for improvement in practices and procedures that warrant management's attention.

## NOTEWORTHY FINDINGS



### Findings

During a walkthrough of the facility, we noted that the university did not secure a sensitive information technology (IT) area.

The university could not provide complete incident response documentation for its or its third-party service provider's activities.

The university's data center access procedures do not include an appropriate approval process for granting access to sensitive IT areas.

The university was unable to provide documentation that it trained its IT employees on contingency planning.

The university could not provide appropriate IT equipment maintenance logs upon our request. In addition, the university did not keep current fire suppression system maintenance logs.



### Recommendations

Eastern Connecticut State University (ECSU) should ensure established controls over IT physical security are operating as intended and are not circumvented without compensating controls in place (Recommendation 2).

ECSU should ensure it has complete incident response documentation (Recommendation 1).

ECSU should update its procedures to ensure that access to sensitive IT areas is restricted to those who require access to perform their job duties and regular access reviews (Recommendation 3).

ECSU should ensure appropriate personnel are trained on all aspects of contingency and disaster recovery. The university should ensure that training materials are readily available to authorized personnel in the event of a contingency plan activation (Recommendation 4).

ECSU should strengthen internal controls by logging and reviewing its IT maintenance activities (Recommendation 5).