



Michigan
Office of the Auditor General
REPORT SUMMARY

Performance Audit

Report Number:
084-0550-09

Unisys Mainframe General Controls

Michigan Department of Information Technology

Released:
January 2010

Unisys mainframe computers store and process critical State systems and data to support important government services, including licensing drivers and motor vehicles, processing income and business tax collections and returns, and maintaining prisoner records. The Michigan Department of Information Technology (MDIT) is responsible for the operation, security, and technical support of the mainframes. Protecting the integrity and confidentiality of data stored on the mainframes is accomplished through the implementation of information technology general controls.

Audit Objective:

To assess the effectiveness of MDIT's access controls over the State's mainframe information systems.

Audit Conclusion:

MDIT's access controls over the State's mainframe information systems were moderately effective. We noted three reportable conditions (Findings 1 through 3).

Reportable Conditions:

MDIT had not established sufficient access controls over the Unisys mainframe computers (Finding 1).

MDIT had not established effective security controls over critical Unisys mainframe computer files (Finding 2).

MDIT did not effectively manage and monitor the use of BL/Source and BL/Sched software products (Finding 3).

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Audit Objective:

To assess the effectiveness of MDIT's efforts in establishing physical and environmental controls over the State's mainframe information systems.

Audit Conclusion:

MDIT's efforts in establishing physical and environmental controls over the State's mainframe information systems were moderately effective. We noted one reportable condition (Finding 4).

Reportable Condition:

MDIT had not established effective access controls to the computer facilities that house the Unisys mainframe computers (Finding 4).

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Audit Objective:

To assess the effectiveness of MDIT's efforts in establishing appropriate backup and disaster recovery controls over the State's mainframe information systems.

Audit Conclusion:

MDIT's efforts in establishing appropriate backup and disaster recovery controls over the State's mainframe information systems were moderately effective. We noted one reportable condition (Finding 5).

Reportable Condition:

MDIT had not established sufficient backup and disaster recovery processes (Finding 5).

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Agency Response:

Our audit report contains 5 findings and 5 corresponding recommendations. MDIT's preliminary response indicates that it agrees with all of the recommendations and will comply with them.

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A copy of the full report can be obtained by calling 517.334.8050 or by visiting our Web site at: <http://audgen.michigan.gov>



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