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DIANNE E. RAY, CPA

STATE AUDITOR

January 11, 2021

EVALUATION OF INFORMATION TECHNOLOGY SECURITY – STATUS REPORT

Members of the Legislative Audit Committee:

Attached is the status report from the Colorado Department of Transportation (Department) on the implementation of recommendations contained in the Office of the State Auditor's (OSA) *IT Performance Evaluation of Information Technology Security, at the Colorado Department of Transportation, Public Report.*

OSA REVIEW OF DOCUMENTATION

As part of the status report process, we requested and received supporting documentation for each recommendation that the Department reported in the original audit report as having been implemented or partially implemented, as of the end of August 2020. Specifically, we reviewed the following documentation and were able to substantiate, in December 2020, that the recommendation noted below was implemented as reported by the Department:

- Recommendation 1: Communications between the Department and the Governor's Office of Information Technology's Chief Information Officer, stating that OIT has meet with the Joint Technology Committee to request a change in legislation that will allow for the exemption of the Department's ITS branch, which could be introduced during the 2021 Legislative Session. The Department has partially implemented the part of the recommendation they agreed with, but will not implement any other parts of the recommendation, as they disagreed with those parts.

Based on our review, the supporting documentation substantiates the Department's reported implementation status.

September 10, 2020

Dianne E. Ray, CPA
State Auditor
Colorado Office of the State Auditor
1525 Sherman St., 7th Floor
Denver, CO 80203

Dear Auditor Ray:

In response to your request, we have prepared the attached status report on the implementation status of audit recommendations contained in the *Information Technology Security at the Colorado Department of Transportation* audit. The report provides a brief explanation of the actions taken by the Colorado Department of Transportation to implement each recommendation.

If you have any questions about this status report and the Colorado Department of Transportation efforts to implement the audit recommendations, please contact Bob Fifer at 303.512.5808 (o) or 303.929.4278 (c) or at bob.fifer@state.co.us

Sincerely,

Shoshana M. Lew
Executive Director

EVALUATION RECOMMENDATION STATUS REPORT

EVALUATION NAME	Evaluation of Information Technology Security at the Colorado Department of Transportation – PUBLIC Report
EVALUATION NUMBER	1926P-IT
AGENCY	Colorado Department of Transportation
DATE OF STATUS REPORT	12/18/2020

SECTION I: SUMMARY

REC. NUMBER	AGENCY'S RESPONSE	ORIGINAL IMPLEMENTATION DATE	CURRENT IMPLEMENTATION STATUS (AS OF AUGUST 31, 2020)	CURRENT IMPLEMENTATION DATE (AS OF AUGUST 31, 2020)
1	Partially Agree	May 2020	Partially Implemented	05/31/2021

SECTION II: NARRATIVE DETAIL

RECOMMENDATION 1

The Colorado Department of Transportation should evaluate the non-consolidation of the Intelligent Transportation System (ITS) branch and work with OIT to consolidate the ITS branch operations under OIT or develop an alternative to bring the ITS branch into statutory compliance. If CDOT works with OIT to consolidate the ITS branch, CDOT should work with OIT to develop a plan for the migration of all IT property and IT employees within the ITS branch to OIT. This plan should address the security, architectural, and personnel needs of ITS necessary to maintain mission-critical operations.

CURRENT IMPLEMENTATION STATUS	Partially Implemented	CURRENT IMPLEMENTATION DATE	5/31/2021

AGENCY UPDATE

OIT and CDOT have agreed to bring the ITS branch into statutory compliance. As of 8/21/2020, CDOT and OIT signed an "Agreement to Exempt CDOT-ITS from OIT Consolidation". Additional information regarding exemption for CDOT & ITS is being worked with the Governor's Office for the 2021 Legislative Session, in which the Executive Director of OIT will support legislation to exempt ITS.