![Results Washington logo] Results Washington, Office of Governor Jay Inslee

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	Yes	No	No	

Issue/ Rec	Status	Action Steps	Lead Agency	Due Date	Current Resources?	Budget Impact?	Legislation Required?	Notes
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.	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	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	Yes	No	No	
Rec. 1-3	In progress	Audited agencies will conduct an IT risk assessment and business impact analyses.	1	3/22	No	Yes	No	
Rec. 1-3	In progress	Audited agencies will conduct an IT risk assessment and business impact analyses.	2	3/22	No	Yes	No	

Issue/ Rec	Status	Action Steps	Lead Agency	Due Date	Current Resources?	Budget Impact?	Legislation Required?	Notes
Rec. 1-3	In progress	Audited agencies will conduct an IT risk assessment and business impact analyses.	3	3/22	No	Yes	No	
Rec. 1-3	In progress	Audited agencies will conduct an IT risk assessment and business impact analyses.	4	3/22	No	Yes	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.	1	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.	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	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.	4	10/22	TBD	TBD	No	
Rec. 1-3	In progress	Audited agencies' executive management (after completion and	1	10/22	TBD	TBD	No	

Issue/ Rec	Status	Action Steps	Lead Agency	Due Date	Current Resources?	Budget Impact?	Legislation Required?	Notes
		analysis of the IT Risk Assessment) will consider the results, risks, and resources assigned toward design, implementation and improvement of comprehensive disaster recovery routines.						
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.	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	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.	4	10/22	TBD	TBD	No	
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	OCIO	9/21	Yes	No	No	August 2021: Met with SMEs at MIL to identify key stakeholders and developed initial strategy for updating statewide DR policy guidance; next step is convening the workgroup in September

Issue/ Rec	Status	Action Steps	Lead Agency	Due Date	Current Resources?	Budget Impact?	Legislation Required?	Notes
		guidelines and identification of tools and templates.						
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	August 2021: This step is reliant on the activities on the finding above