



STATE OF NORTH CAROLINA

INFORMATION SECURITY VULNERABILITY ASSESSMENT

NORTH CAROLINA GENERAL ASSEMBLY

RALEIGH, NORTH CAROLINA

NOVEMBER 2006

OFFICE OF THE STATE AUDITOR

LESLIE W. MERRITT, JR., CPA, CFP

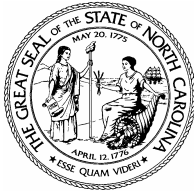
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AUDITOR'S TRANSMITTAL

The Honorable Michael F. Easley, Governor
Members of the North Carolina General Assembly
Mr. Dennis McCarty, Director, Information Systems Division

Ladies and Gentlemen:

At the request of the North Carolina General Assembly, the Office of the State Auditor undertook a project to evaluate the network and computer security in place over computer operations at the North Carolina General Assembly.

In April 2006 the Office of the State Auditor used a private contractor to perform a comprehensive vulnerability assessment of the network and computer security at the North Carolina General Assembly. This assessment was conducted under the authority granted by North Carolina G.S. 147-64.6(c)(18).

This report represents the general results of our assessment. A detailed report containing the conditions found and recommended corrective action was provided to the North Carolina General Assembly at the conclusion of our fieldwork.

The primary objective of these assessments was to evaluate the security controls over the information network at the Agency. The scope of our assessment included security policies, network architecture, network vulnerability, host vulnerability, wireless site assessment, and a war dialing assessment.

We wish to express our sincere appreciation to the staff of the North Carolina General Assembly for the exceptional courtesy, cooperation, and assistance provided to us during this audit.

North Carolina General Statutes require the State Auditor to make audit reports available to the public. Copies of audit reports issued by the Office of the State Auditor may be obtained through one of the options listed in the back of this report.

Respectfully submitted,

A handwritten signature in cursive script that reads "Leslie W. Merritt, Jr.".

Leslie W. Merritt, Jr., CPA, CFP
State Auditor

OBJECTIVES AND SCOPE

At the request of the North Carolina General Assembly, the Office of the State Auditor undertook a project to evaluate the network and computer security in place over computer operations within the North Carolina General Assembly.

In April and May 2006, the Office of the State Auditor used a private contractor to perform a comprehensive information security assessment of the North Carolina General Assembly. The goal of the security assessment was to assist the North Carolina General Assembly with achieving and maintaining a “best practices” level of information security in order to protect agency internal systems, data, and assets.

The comprehensive information security assessment focused on six key areas:

- **Security Policy Review.** The Security Policy Review evaluates the existing and proposed security policies and procedures and provides guidelines for future development.
- **Network Architecture Assessment.** The Network Architecture Assessment is a detailed review of a network design from an information security perspective.
- **Network Vulnerability Assessment.** The Network Vulnerability Assessment provides a thorough understanding of security-related weaknesses and exposures in networks.
- **Host Vulnerability Assessment.** A Host Vulnerability Assessment reviews the current security configuration of deployed hosts.
- **War Dialing Assessment.** A War Dialing Assessment reviews the current security configuration of computer modems.
- **Wireless Site Assessment.** A Wireless Site Assessment reviews the current security configuration of deployed wireless infrastructure.

Our assessment identified security controls within each area above that were well defined and effective as well as controls that posed security risks and exposed the agency to possible internal or external attack. Control weaknesses were classified in relation to the level of risk as High, Medium, or Low. Our assessment identified eleven high level weaknesses, six medium level weaknesses, and eighteen low level weaknesses.

Due to the sensitive nature of the conditions found in these weaknesses, we have conveyed these findings to management in a separate report pursuant to the provision of the North Carolina General Statute 147-64.6(c)(18).

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