

Audit

Follow-Up

As of August 31, 2016



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City Auditor

Audit of the City's Backup and Disaster Recovery Planning Processes

(Report #1515, Issued September 1, 2015)

Report #1622

September 19, 2016

Preamble

We have elected to issue a public report presenting at a summary level the results of our first audit follow-up on audit report #1515, Audit of the City's Backup and Disaster Recovery Planning Processes. Details of certain aspects and characteristics of the City's information technology (IT) systems, for which disclosure may be in violation of state statutes (based on interpretations of provisions of Chapter 281, Florida Statutes) and good business practices, have intentionally been excluded from this follow-up report. However, a separate confidential report containing details regarding the progress and status of management's efforts to complete action plan steps, developed to address issues and recommendations identified in the initial audit and due for completion as of August 31, 2016, has been prepared and issued to appropriate City officials, management, and staff.

Scope, Objectives, & Methodology

We conducted this audit follow-up in accordance with the International Standards for the Professional Practice of Internal Auditing and Generally Accepted Government Auditing Standards. Those standards require we plan and perform the audit follow-up to obtain sufficient, appropriate evidence to provide a reasonable basis for our findings and conclusions based on our audit objectives. We believe the evidence obtained provides a reasonable basis for our findings and conclusions based on our audit follow-up objectives.

Original Report #1515

The scope of the original audit (report #1515) included: (1) identifying and evaluating City policies and selected department procedures and processes relating to the backup of IT systems (to include a comparison to best

practices) and a review and analysis of the IT system backups, and (2) identifying and evaluating City policies and departmental procedures and processes relating to disaster recovery planning, as well as a comparison of implemented disaster recovery planning processes to best practices.

The objectives of the initial audit were to determine whether:

- City IT systems are backed up appropriately and in a manner consistent with best practices; and
- Plans and preparations for IT disaster recovery are reasonable, appropriate, and consistent with best practices.

Report #1622

This is our first follow-up on action plan steps identified in audit report #1515. The purpose of this audit follow-up is to report on the progress and status of efforts by T&I, Electric, and UUPI to complete action plan steps due for completion as of August 31, 2016. To determine the status of these action plan steps, we interviewed applicable staff, conducted site visits to visually inspect IT systems and equipment, and obtained and reviewed relevant documents.

Summary

Thirteen of the 28 action plan steps established to address issues identified in audit report #1515, Audit of the City's Backup and Disaster Recovery Planning Processes, were due for completion as of August 31, 2016. Of those 13 steps, five steps have been completed, six steps are in progress, and two steps have been resolved with no further action to be taken (i.e., management determined implementation was not practicable). We will follow up on efforts to complete the six action plan steps in progress, as well as the remaining 15 action plan steps due for completion after August 31, 2016, in our subsequent follow-up engagements.

In audit report #1515, issued September 1, 2015, we concluded that, overall, the City's data is being backed up appropriately and, for the most part, in accordance with best practices. Additionally, we concluded that, overall, there are plans and preparations for disaster recovery for most systems that are in accordance with best practices. However, areas were identified where enhancements and improvements were needed. For the appropriate departments, we made recommendations to further enhance and improve the City's IT backup and disaster recovery processes.

To address the identified issues and related audit recommendations, 28 action plan steps were developed by management. Those 28 steps were intended to accomplish seven objectives. Of the 28 steps, 13 steps were due for completion as of August 31, 2016. The following provides, in summary and by objective, the status of those 13 steps.

Objective 1: (Two steps) Improve the policies and procedures governing the backup and disaster recovery process. Actions have been initiated for the completion of both steps. However, those actions have not been completed. As such, those two steps are considered in progress. We will address management's efforts to complete those steps in a subsequent follow-up engagement.

Objective 2: (Three steps) Improve Technology and Innovation's (T&I) disaster recovery plan. One step has been completed. Actions are underway to complete the remaining two steps. Accordingly, those two steps are considered in progress. We will address management's efforts to complete those steps in a subsequent follow-up engagement.

Objective 3: (One step) Improve disaster recovery planning for public safety IT systems located at TPD. Actions have been taken to complete the step; however, those actions are not yet complete. The step is considered in progress. We will address management's efforts to complete that step in a subsequent follow-up engagement.

Objective 4: (Two steps) Provide for increased security of backed up data while in transport to an off-site storage location. Both action plan steps were completed.

Objective 5: (Three steps) Improve the physical security of the backup electric control center. One step was completed. The remaining two steps were otherwise resolved by management.

Objective 6: (One step) Improve disaster recovery planning for IT systems managed by the Electric Utility (Electric). The action plan step was completed.

Objective 7: (One step) Improve disaster recovery planning for IT systems managed by Underground Utilities and Public Infrastructure (UUPI). Actions have been taken to complete the step; however, those actions are not yet complete. The step is considered in progress. We will address management's efforts to complete that step in a subsequent follow-up engagement.

Appointed Official's Response

City Manager:

I am pleased to see that the Back-up and Recovery audit action plan is progressing as planned. As City Staff continues to implement the action plans described in the audit, the City will have a more resilient technology system in place. I would like to thank the professional dedication of the audit team in performing this analysis as well as the Electric Utility, Underground Utilities and Public Infrastructure, and Technology and Innovations staff members for the commitment to provide excellent service for the City of Tallahassee.

Copies of this Follow-Up Audit Report #1622 or the initial audit report #1515 (Public Report) may be obtained from the City Auditor's web site (<http://www.talgov.com/auditing/auditing-auditreports.aspx>), via request by telephone (850 / 891-8397), by FAX (850 / 891-0912), by mail or in person (City Auditor, 300 S. Adams Street, Mail Box A-22, Tallahassee, FL 32301-1731), or by e-mail (auditors@talgov.com).

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