

# **Audit**

# **Follow-Up**

**As of June 30, 2017**



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City Auditor

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

**(Report #1515, Issued September 1, 2015)**

**Report #1719**

**September 15, 2017**

### **Preamble**

*We have elected to issue a public report presenting at a summary level the results of our second 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 second 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 March 31, 2017, 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 #1719**

This is our second 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, as of June 30, 2017, of efforts by T&I to complete action plan steps due for completion as of as of March 31, 2017. To determine the status of these action plan steps, we interviewed applicable staff and obtained and reviewed relevant documents.

### **Summary**

*Twenty-five 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 March 31, 2017. As of June 30, 2017, 19 of those 25 steps have been completed or otherwise resolved, and the other six steps are in progress. We will follow up on efforts to complete the six action plan steps in progress, as well as the remaining three action plan steps due for completion after March 31, 2017, in a subsequent follow-up engagement.*

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, 25 steps were due for completion as of March 31, 2017. The following provides, in summary and by objective, the status of those 25 steps as of June 30, 2017.

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

**Objective 2: (Two steps) Follow best practices as to backing up IT systems and data.** Both action plan steps were completed.

**Objective 3: (Three steps) Improve the data backup process used by T&I.** All three action plan steps were completed.

**Objective 4 (Eight steps) Improve Technology and Innovation's (T&I) disaster recovery plan.** Five steps have been completed and one step was partially completed, with responsibility for ensuring appropriate actions to complete that step turned over to management. Actions are underway to complete the other two steps. However, those actions have not been

completed. Accordingly, those two steps are considered in progress. We will address management's efforts to complete those two steps in a subsequent follow-up engagement.

**Objective 5: (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 6: (Two steps) Improve disaster recovery planning for public safety IT systems located at TPD.** Both action plan steps were completed.

**Objective 7: (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 8: (One step) Improve disaster recovery planning for IT systems managed by the Electric Utility (Electric).** The action plan step was completed.

### *Appointed Official's Response*

#### **City Manager:**

I am pleased to see the Back-up and Recovery Audit continuing to progress in a way that makes our data as resilient as reasonably possible. City Staff have made strides in implementing the action plan addressed in the audit and are moving forward with additional plans to improve the availability of our data systems. I would like to thank the staff members from the Technology and Innovation, Electric Utilities, Underground Utilities and Public Infrastructure as well as the Auditors Office for their continued dedication to providing the best possible service to the City of Tallahassee.

Copies of this Follow-Up Audit Report #1719, (Public Report) the first Follow-up Audit Report #1622 (Public Report), 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](mailto:auditors@talgov.com)).

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