City of Albuquerque
Office of Internal Audit

THIRD FOLLOW-UP
DISASTER RECOVERY PLAN
DEPARTMENT OF FINANCE AND ADMINSTRATIVE
SERVICES AND
DEPARMENT OF TECHNOLOGY INNOVATION
REPORT NO. 20-13-101F
February 27, 2020

INTRODUCTION

The Office of Internal Audit (OIA) is performing a third follow-up of Performance Audit Report No. 13-101, Disaster Recovery Plan – Department of Finance and Administrative Services (DFAS) and Department of Technology Innovation (DTI). The purpose of our third follow-up is to report the status of the audit recommendations that were noted as "In Process" or "Not Implemented" by your department during the original follow-up #14-13-101F issued on April 22, 2014 and the second follow-up #16-199F issued on December 9, 2015. Audit recommendations that have been resolved or fully implemented are not included. The original and follow-up audit reports are included as attachments.

The following is a request for new information and documentation, regarding the actions, which have been taken by your department, since December 9, 2015, to accomplish the unresolved recommendations made in the original audit report. We are asking your department to provide us with the following information in the *Action Taken Since Second Follow-Up* row of the table(s) attached to this memorandum:

- Any changes since the response date for the second follow-up;
- Data or documentation that demonstrates implementation; and
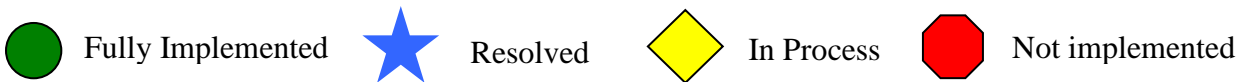- Reasons for recommendations that have not been implemented.

Background

Having a current and reliable Disaster Recovery (DR) Plan is a necessity for all municipal governments. A well- designed DR Plan is a tool for ensuring that required technology is available on an ongoing basis. Although a plan cannot anticipate all potential threats, DR planning provides a framework for managing the disruption through damage assessment and activation of recovery processes when the unexpected occurs.

DTI/ITSD's current DR Plan was updated January 18, 2017. This version was based on City-wide critical IT needs. For critical systems, the first line of defense is redundancy. Redundant systems located at hot sites provide failover capability. Secondary protection is provided through daily performance of backups to external media.

Third Follow-up
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Department of Finance and Administrative Services and
Department of Technology Innovation
February 27, 2020   20-13-101F

SUMMARY

Of the two recommendations remaining in the second follow-up, all have been fully implemented.

The status of each recommendation is identified by the symbols in the following legend:

● Fully Implemented   ★ Resolved   ◆ In Process   ⬟ Not implemented

Recommendation	1
Original Report Recommendation	DFAS, ITSD should: • Update the DR Plan documentation to include recovery instructions for all Tier 1 applications. • Work with other City departments to obtain recovery steps for applications that failover to the main datacenter. • Ensure that plan documentation contains current hardware requirements, physical locations of the underlying systems, and contact information for system administrators.
Status as of First Follow-Up	◆ In Process DFAS stated that: • ITSD has updated the DR Plan for all but one of the Tier I applications. The excepted application is scheduled for an upgrade in August 2014, and a DR test is pending this update. • ITSD is working on a consolidation project with outlying datacenters as the first step for other departments to achieve failover capabilities. • ITSD now updates the physical locations monthly, publishes them internally, and displays them in ITSD's datacenter. •
Status as of Second Follow-up	◆ In Process DTI has completed and recently updated the Disaster Recovery Plan documentation for all Tier-I applications. However, documentation of DTI's role in the instructions for recovery of one application is not yet completed.

Current Status	🟢 Fully Implemented
	DTI updated the Disaster Recovery Plan documentation for all Tier-I applications January 1, 2017. DTI's role in the instructions for recovery has not been completed.

Recommendation	7
Original Report Recommendation	DFAS, ITSD should: • Review and update DR plan documentation on an annual basis. • Updates should incorporate changes in underlying systems and recovery procedures. • Include a reassessment of the critical applications list and recovery sequence in the annual review. • State the maintenance interval standards in future versions of the DR Plan.
Status as of First Follow-Up	🔶 In Process ITSD has scheduled the fourth quarter (April through June) of each fiscal year for the review and update of all DR documentation. The new revision was in process, pending documentation for one Tier 1 application (noted in response to Recommendation #1, above).
Status as of Second Follow-up	🔶 In Process DTI updated the Disaster Recovery Plan during the fourth quarter of FYl5; however, the last update was more than two years prior to that. Changes made to the Business Continuity Plan inputs are rolled forward, but not consistently updated.
Current Status	🟢 Fully Implemented Revision 7.9 of Tiburon LawRecords Disaster Recovery Run Book last updated August 2019. Disaster Recovery Plan Tier 1 updated January 18, 2017 revision 4.

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Office of Internal Audit

REVIEWED/APPROVED: APPROVED FOR PUBLICATION:

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