

Baruch College

Information Technology General Controls: Audit Program Guide – ADG System

November 2022

5	Data Backup and IT DRP		
	<p><u>Control Objective:</u></p> <p>Data backup processes and DRP are in place, backups are encrypted and DRP tests are regularly performed.</p>		
	<p><u>Risk:</u></p> <p>Lack of data backup processes and IT DRP may result in inefficient recovery of critical system data in the event of a disaster.</p>		
	<p><u>Control Activity:</u></p> <p>Data Backup Configuration The client performs data backup on multiple servers on different schedules (weekly or monthly basis) using the Oracle Data Integrator.</p> <p>Data Backup Monitoring Tivoli, an IBM tool, is used to back up data. Warning messages are alerted via email. If a failure happens, an automated email is used to resource accounts.</p> <p>Data Backup Encryption Data backups are not encrypted on premises; encryptions are done on the AWS cloud, but not in a readable format. TLS is used.</p> <p>IT Disaster Recovery Plan The client confirms there is no IT Disaster Recovery Plan in place. Thus, leading to the failure of identifying systems that need to be recovered due to a lack of staff training.</p>	<p><u>Test Plan:</u></p> <p>A) Obtain an understanding of the data backup and IT DRP</p> <p>B) Verify Data backup is configured</p> <p>C) Verify that data backup is being monitored</p> <p>D)</p> <p>E) Verify that Data backup has encryption</p> <p>F) Verify that IT Disaster Recovery Plan is in place</p> <p>G) Verify that IT DRP testing is enabled</p> <p>H) Verify that there is training personnel</p>	<p><u>Test Results:</u></p> <p>A) We obtained an understanding of Data Backup and IT DRP through walkthrough discussions with Murat Pierre, Director, System Backup and Recovery.</p> <p>B) We verified that most data backup was configured</p> <p>C) We verified that most backups were being monitored</p> <p><u>Exception Noted:</u></p> <p>D) We verified that most backups across all servers were not encrypted</p> <p>E) We verified that there was no IT Disaster Recovery Plan in place as most data was located in a third party cloud service.</p> <p>F) We verified that no IT DRP testing was enabled</p> <p>G) We verified that the client fails to have proper training in place.</p> <p>No Exception Noted or Exception Noted</p> <p>Refer to Workpaper <i>Access Management document</i> for test details</p>