



IT Backup & Recovery Process



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IT Backup & Recovery Process Audit

Executive Summary

Objective

This audit was conducted to assess controls related to IT backup and recovery processes.

Background

Focal Point Data Risk, LLC ("Focal Point") was engaged by the City to assess certain Information Technology processes and controls related to the backup and recovery of production systems, databases, and business critical data for the period January 1, 2020 through August 28, 2020.

They focused on the following areas:

- Backup and recovery procedures,
- Access controls,
- Daily backups,
- Backup restoration testing,
- Offsite backup storage, and
- Encryption controls.

Conclusion

The City's IT backup and recovery processes have been effective.

Highlights

The City of Charlotte has implemented processes and controls that incorporate industry best practices relevant to the backup and recovery processes including limiting access to modify the backup job scheduler, performing daily backups of production systems, monitoring backup jobs to completion, and encryption of backup data.

Focal Point's Recommendations

Detailed findings, recommendations, and management responses are addressed in Focal Point's report. This report has been distributed to management. I&T has taken or planned actions to address the recommendations.

Detailed results of this audit are confidential, in accordance with state statutes (G.S. §§ 132-6.1 and 132-1.7).

Actions Planned

Internal Audit will follow-up the Focal Point recommendations and management responses to determine that planned actions are completed timely.