

Assurance Report

2216 Business Continuity and Disaster Recovery Process Review

August 15, 2022

Cindy Rougeou, LASERS Executive Director
The LASERS Audit Committee

EXECUTIVE SUMMARY

Audit Services observed the Disaster Recovery Team complete disaster recovery tests on April 29, 2022 and May 24, 2022. The systems included in this test were successfully restored and validated within eight hours. LASERS tested SOLARIS, OPTIMUS, JD Edwards, and Network Fileshares. Staff completed tests of pension payroll, internal payroll, and transferring and confirming the pre-note file to JP Morgan Chase was delivered successfully to ensure that LASERS minimal operations can be completed during a disaster event.

In addition to the disaster recovery testing exercise, Audit Services reviewed the LASERS Business Continuity Plan to confirm that LASERS is adequately prepared for an unplanned event that would disrupt business operations.

BACKGROUND

This was a planned engagement on the fiscal year end (FYE) 2022 Audit Plan. The fieldwork for this engagement was completed on August 8, 2022.

Business continuity is an organization's ability to ensure operations are not severely impacted by a disaster or unplanned incident. Disaster Recovery (DR) is an area of business continuity that aims to protect an organization from the effects of significant negative events. DR allows an organization to maintain or quickly resume mission-critical functions following a disaster. A disaster is defined by LASERS as "an occurrence causing destruction and distress to the geographical area, physical building, or technological capabilities of LASERS." LASERS must be prepared to respond in a coordinated, effective, and efficient manner to all emergencies and disasters to which it may be subjected. It is with this purpose that LASERS has developed a

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Cindy Rougeou, *Executive Director*

Business Continuity Plan (BCP) to support the preparation and management of a disaster or pandemic. The BCP manual includes information concerning the preparation for an event, management of the event, and response to the event.

The BCP manual represents a compilation of information from all divisions within LASERS and information provided by outside sources. It must be maintained by all divisions on a regular basis with planned testing of the plan occurring multiple times per year. The Business Continuity Team will provide oversight for the plan and leadership to ensure that the maintenance is completed. Each division maintains a “division specific” Business Continuity Plan containing complete contact information, including emergency contacts, for division members as well as specific procedures and duties to be carried out before, during, and after a disaster. Division Directors are responsible for maintaining these procedures on their division’s network drive.

Quarterly, IT along with periodic operational staff involvement use documented procedures to test the DR process and functionality of the production systems in the off-site environment at iLand. LASERS staff members perform the disaster recovery test via an encrypted virtual private network (VPN) connection. After the environment is deemed available, members of the LASERS IT Disaster Recovery Team and operational staff members complete various tests of key systems, such as SOLARIS, Optimus, JD Edwards, and Network FileShares.

SCOPE, OBJECTIVES, AND METHODOLOGY

The scope of this engagement was to review LASERS Business Continuity Plan, focusing on the:

- Business continuity and disaster recovery planning (i.e., building management, communication, staffing and training, and division specific continuity).
- Recovery process from disaster declaration to system restoration for SOLARIS, Optimus, JD Edwards, and Network FileShares. (Note: Backup solutions were not included in this engagement.)
- Ability for business users to access and utilize the restored systems.

The primary objective of this engagement was to evaluate the adequacy of LASERS Business Continuity Plan and disaster recovery related processes.

Procedures used to complete this engagement included:

- Review LASERS Business Continuity Plan and division specific continuity plans.
- Review LASERS testing plan and procedures for disaster recovery testing.
- Observe IT and operational staff complete a disaster recovery testing exercise.
- Conducting other inquiries considered necessary to achieve engagement objectives.

This engagement was conducted in accordance with the Institute of Internal Auditors' International Standards for the Professional Practice of Internal Auditing and the policies and procedures of the Audit Services Division.

FOLLOW-UP

No follow-up is necessary.



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Auditor



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