

CoreTech, Inc. Internal Audit Assurance Program

Data Backup and Restore Procedure

Objectives	
Control Objective(s):	<ul style="list-style-type: none"> IT Personnel perform daily backups on CTI data. After backups are completed, IT personnel review backup status to confirm successful completion. Restores from backup media will work when required.
Assurance Objective(s):	<ul style="list-style-type: none"> Verify CTI's compliance with existing data backup and restoration procedures. Ensure data backups are performed per an established schedule Verify that backups are tested on a regular basis as defined by standard operating procedures Verify that problems (issues) are addressed in a timely manner avoiding any impact on production
Scope	<p>The review will focus on the regular execution of backup and restore procedures during the period of July 1, 2014 through September 30, 2014 (third quarter, 2014). This includes the review of established procedures and relevant documentation.</p> <p>Review of backup media storage and overall management are not within the scope of this review.</p>

Pre-audit Planning:	
Technical Skills(s):	N/A
Resource(s):	<ul style="list-style-type: none"> SAP System Administrator IT Operations Manager
Documentation:	<ul style="list-style-type: none"> Current version of backup and restore procedures Backup and restore log(s) for the period in review Job descriptions – SAP System Administrator, IT Operations Manager
Location(s):	Philadelphia Data Center

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Procedure:		Index/Reference	Annotations/Comments	
Opening Meeting:	a. Review and agree on objectives and scope			
	b. Discuss resource requirements			
	c. Discuss timeline			
	d. Request	• Current version of backup and restore procedure(s)		
		• Backup and restore log for the third quarter of 2014		
	• Current job descriptions			
	• Personnel qualifications			
Review Business Process	a. Review SOPs	• Roles and responsibilities are clearly defined		
		• Backup and restore tests are required by an established schedule		
		• Backup logs are kept current		
		• Backup activities are reviewed in a timely basis by supervisor		
	b. Review job descriptions	• Job descriptions are kept current		
		• Skills match employee qualifications		
	c. Request walkthrough	• SAP System Administrator		

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Procedure:			Index/Reference	Annotations/Comments
		<ul style="list-style-type: none"> IT Operations Manager 		

Testing			Index/Reference	Annotations/Comments
Sampling	<ul style="list-style-type: none"> Control Frequency: <ol style="list-style-type: none"> Daily (Backups), Quarterly (Restoration Tests) Sample Size: 25 		N/A	N/A
	Review backup and restore log	<ul style="list-style-type: none"> Backup and restore activities recorded in the log reflect the schedule in the procedure 		
		<ul style="list-style-type: none"> All log entries have been verified by the appropriate supervisor 		
		<ul style="list-style-type: none"> Restore tests have been performed per schedule 		
		<ul style="list-style-type: none"> Backup and restoration test incidents have been clearly documented including steps taken to resolve the issue. 		

Communications:	<ul style="list-style-type: none"> Preliminary Findings – Report during engagement and Concluding Meeting Final Report and Recommendations – No later than 2 weeks after Concluding Meeting
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