



LCPA Audit Recommendations Status Report As of March 31, 2020

Inspector General Department



Tim Parks, Chief Internal Audit Officer/Inspector General



LCPA Audit Recommendations Status Report As of March 31, 2020



To: The Honorable Linda Doggett, Lee County Clerk of the Circuit Court & Comptroller
From: Tim Parks, Chief Internal Audit Officer/Inspector General
Date: March 31, 2020
Re: Lee County Port Authority (LCPA)
Audit Recommendations Status Report as of 03/31/2020

Dear Ms. Doggett,

The Inspector General Department has completed its *LCPA Audit Recommendations Status Report as of March 31, 2020*, which reflects the implementation status of outstanding audit report recommendations for the Lee County Port Authority. The report fulfills the IG Department's accountability for reporting on issues through their resolution.

This audit activity conforms to the Institute of Internal Auditor's (IIA) *International Standards for the Professional Practice of Internal Auditing (Red Book)* and the Association of Inspectors General (AIG) *Principles and Standards for Offices of Inspector General*.

The follow-up on recommendation status was conducted during the first quarter of 2020. We reviewed the status of the audit recommendations with the department personnel responsible for implementing the audit recommendations.

The follow-up report contains information regarding each outstanding recommendation, including recommendation status, management action taken, and Internal Audit follow up notes.

Should you have any questions, please do not hesitate to contact me.

Sincerely,

A handwritten signature in blue ink that reads "Tim Parks".

Tim Parks, Chief Internal Audit Officer/Inspector General
Inspector General Department
TJP/GK



Lee County Port Authority Audit Recommendation Status Report As of March 31, 2020



LCPA Information Technology- Service Recovery (Project 2019.12, Issued July 2010)		
Disaster Recovery Policy		
Observation	Recommendation	Management Response
<p>Disaster Recovery Plan (DRP) defines a disaster as an interruption or partial destruction of the computer, communication, and network environment within the primary data center that will trigger the use of the secondary data center. Common risk factors leading to a disaster in a data center are hardware failure or fatigue, equipment damage by fire, flooding or mishandling, power brownouts or spikes, etc.</p> <p>Based on the review:</p> <ul style="list-style-type: none"> • The DRP did not contain a policy denoting who in the LCPA had overall responsibility for the DRP. There was no chain of command stating who makes Disaster Recover (DR) decisions and coordinates in a disaster or emergency. • There was no documentation of the steps for coordination, development, and maintenance of the DRP. • There was no formal DRP committee or senior management approval for the DR status. • There was not a documented process to evaluate whether new hardware or software should be included or removed from the DRP. <p>As a best practice:</p> <ul style="list-style-type: none"> • The DRP is created to provide governance of the DRP and testing procedures. 	<p>We recommend that management create written DRP Policy and Procedures that outlines the DRP's governance, management, coordination, development, and maintenance. We recommend that the DRP be approved by senior management.</p>	<p>Port Authority staff will develop a DRP Policy document that clearly outlines policy and procedure to govern and maintain the Disaster Recovery Plan as suggested.</p>



Lee County Port Authority Audit Recommendation Status Report As of March 31, 2020



<ul style="list-style-type: none"> • The DRP states who is responsible for coordination, development, education, and maintenance. • A DRP committee/board (Finance, Administration, Risk Management, etc.) is assembled for successful development and execution of the DRP. • Policy steps require annual verification of the hardware and software requirements to be included or removed from the DRP. • The policy details how the Department will manage and control any newly identified assets, risks in the DRP. <p>Without a fully developed DRP, the risk increases that management will be unable to provide a systematic approach for safeguarding the vital LCPA technology and data. The DRP provides a framework for the management, development, implementation, and maintenance of the LCPA assets. With a complete DRP, senior management can best ensure that sufficient financial, personnel and other resources will be available for the DRP.</p>		
Estimated Implementation Date	Revised Implementation Date	Status
4/30/2020		Implemented and closed
Last Status Update	Current Recommendation Action	IA Follow-up Notes
3/2/2020	The recommendation has been implemented by the LCPA management.	
DRP Lifecycle		
Observation	Recommendation	Management Response



Lee County Port Authority Audit Recommendation Status Report As of March 31, 2020



<p>There were no documentation details about the DRP’s “focal point” with responsibility for overseeing DR activities in an event of an emergency.</p> <p>The DRP did not identify at what point one DR phase of the DR incident would stop and when the next phase of the DR should start. Generally the DR emergency management has continuous lifecycle. As a best practice, the DRP identifies who is responsible (focal point) to identify the transition between the DR phases of the DRP lifecycle.</p>	<p>We recommend that the DRP focal point be identified as responsible for declaring that normal operations may resume after an emergency. We recommend that the DRP be updated to identify the transitions between DR stages.</p>	<p>DR team leader is identified. Port Authority will add language requiring DR team leader to inform leadership and customers that normal business may proceed.</p>
Estimated Implementation Date	Revised Implementation Date	Status
4/30/2020		Implemented and closed
Last Status Update	Current Recommendation Action	IA Follow-up Notes
9/23/2019	N/A	Recommendation is being worked on by LCPA management and will be actioned by April 2020.
3/2/2020		The recommendation has been implemented.
DRP Maintenance		
Observation	Recommendation	Management Response
<p>The DRP did not address a DRP Maintenance Strategy. We noted:</p> <p>There was no section to address the process to add or delete new applications or IT solutions in the DRP; and how to address the testing for those needs. There were no details in the plan on how often the DR procedures need to be reviewed or tested.</p>	<p>We recommend that:</p> <p>The updates address if all the critical applications or IT solutions were included and tested in the DRP.</p> <p>The newly revised DRP plans are distributed or made available to all critical and authorized employees.</p>	<p>Port Authority will include these recommendations in the DRP Policy guide.</p>



Lee County Port Authority Audit Recommendation Status Report As of March 31, 2020



<p>The DRP steps and updates were not communicated to LCPA authorized staff. There was no documented evidence that the DRP were distributed to LCPA critical employees. The latest revisions in the DRP Plan that were updated in April 2019 were not distributed.</p> <p>There was no evidence of retention management. There were no instructions on how to discard old DRP plans upon creation of the new plans.</p> <p>Management did track the changes to the DRP plan but did not formally present and get them approved by the senior LCPA management team.</p> <p>There was no evidence that the employees were trained and made aware of their roles in the DRP. Additionally, there were no details in the plan on how often the DRP testing needs to occur.</p> <p>There was no evidence that the DRP plans or updates were communicated to LCPA employees.</p>	<p>Record management steps are referenced in the DRP, and only the current version of the DRP is retained.</p>	
Estimated Implementation Date	Revised Implementation Date	Status
4/30/2020		Implemented and closed
Last Status Update	Current Recommendation Action	IA Follow-up Notes
9/23/2019	N/A	Recommendation is being worked on by LCPA management and will be actioned by April 2020.
3/2/2020	N/A	The recommendation has been implemented.