

Internal Control Questionnaire - Disaster Recovery

GENERAL

1. Do you have a documented disaster recovery plan?
2. Do any committees meet concerning disaster recovery plans? If so, when and how often?
3. Has senior management signed off on the plan?
4. Has the plan been communicated / distributed to all stakeholders?
5. What is the process for keeping the plan up to date?
6. Is an off-site data processing facility (HOT SITE) in contract for a disaster?
7. Is there a list of specific events noted within the plan that will activate the plan?
8. Does the plan comply with Federal and State laws?

POLICY

1. Does Information Services (IS) have written policies for disaster recovery?

PLANNING AND MAINTENANCE

1. Who is responsible for developing and maintaining the disaster recovery plan?
2. Is the disaster recovery plan reviewed regularly? By who?
3. Has IS conducted a risk assessment to measure the potential impact of various disasters? Are the results documented?

ANNUAL REVIEW

1. Has the plan been approved by management and reviewed annually?
2. Is the disaster recovery plan presented to the board of directors annually for their approval? When was it last presented?

DISASTER RECOVERY PLAN

1. How often is the disaster recovery manual updated? When was the disaster recovery manual last updated?
2. Are copies of the plan stored off-site? Where are they stored?
3. Is there a current inventory of items stored off-site?

CRITICAL FUNCTIONS AND RESOURCES

1. Is there an inventory of all critical equipment?

BACKUP

1. How often are backups performed? (daily, weekly and/or monthly and full or incremental)
2. Are any backup tapes stored on-site? Which ones? Are they appropriately stored and protected against destruction and unauthorized access?
3. What is the schedule for off-site storage pick-up?
4. Does IS have written agreements with vendors for replacement of all equipment?
5. Excluding data processing, are there provisions for use of backup equipment?

MEDIA INQUIRIES

1. Is there a formal policy regarding media inquiries?

TRAINING

1. Does the organization provide periodic emergency response training, including evacuation procedures, to all employees?
2. Does IS provide periodic training for the IS disaster preparedness plan?

TESTING

1. Does each location conduct periodic tests of disaster recovery plans, including emergency evacuation?
2. Who is responsible for the actual structuring of the tests?
3. Does a testing cycle exist to ensure that the plan is tested on a regular basis?
4. When was the plan last tested?
5. Has notification of personnel been tested?
6. Has the offsite facility been tested?

RESPONSE TO DISASTER

1. Does IS maintain a record to document its response to disasters or other emergencies?
2. Who maintains the record?