

Cancer Prevention and Research Institute of Texas

IA #2-2021 Report over Disaster Recovery and Business
Continuity Planning Advisory Audit Follow-Up
Procedures

Report Date: September 28, 2021

CONTENTS

Page

Internal Audit Report Transmittal Letter To The Oversight Committee.....	1
Background.....	2
Follow-Up Objective and Scope.....	2
Executive Summary	2
Conclusion.....	3
Detailed Follow-Up Results, Recommendations And Management Response	4



The Oversight Committee
Cancer Prevention and Research Institute of Texas
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This report presents the results of the internal audit follow-up procedures performed for the Cancer Prevention and Research Institute of Texas (CPRIT) during September 2021 relating to the recommendations for improvement from the Advisory Audit Report over Disaster Recovery and Business Continuity Planning (September 2020).

The objective of these follow-up procedures was to validate that corrective actions have been taken to remediate the recommendations identified in the 2020 Advisory Audit Report over Disaster Recovery and Business Continuity Planning (DR/BCP).

To accomplish this objective, we obtained updated disaster recovery and business continuity planning documentation from CPRIT personnel responsible for their maintenance. This documentation was reviewed to verify that the advisory audit improvement opportunities were addressed. Procedures were performed remotely and completed on September 30, 2020.

The following report summarizes the findings identified, risks to the organization, recommendations for improvement and management's responses.

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Austin, Texas
September 28, 2021

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Cancer Prevention and Research Institute of Texas

IA #2-2021 Report over Disaster Recovery and Business Continuity Planning Advisory Audit Follow-Up Procedures September 28, 2021

Background

In fiscal year 2020, Weaver performed advisory audit procedures over CPRIT's disaster recovery and business continuity planning (DR/BCP) processes. The advisory audit report identified one recommendation for improvement (including reviewing proposed revisions, modifying and finalizing DR/BCP documentation) to better align procedures with criteria required by the State Office of Risk Management (SORM).

Of the 121 required and best practice criteria elements to be included in the DR/BCP documents, 30 items were identified to improve and better align CPRIT's planned processes and procedures including:

- 24 to augment or revise information related to required criteria; and
- 6 to improve general clarity and better align the planning documents.

To address these instances, the 2020 advisory audit report proposed:

- 23 draft revisions to augment or update the existing documentation; and
- 7 recommendations for updates to technical information about IT platforms in the planning documentation.

The 2021 Internal Audit Plan included performing follow-up procedures to validate that CPRIT management has taken steps to address the advisory audit improvement opportunities.

Follow-Up Objective and Scope

The follow-up procedures focused on the remediation efforts taken by CPRIT management to address the recommendations included in the 2020 Disaster Recovery and Business Continuity Planning Advisory Audit Report and to validate that appropriate corrective action had been taken.

We evaluated the corrective action taken for the improvement opportunity identified in the 2020 Disaster Recovery and Business Continuity Planning Advisory Audit Report.

Executive Summary

Through our review of updated DR/BCP documentation, we determined that 25 of 30 recommendations were addressed and five of 30 to be underway. Thereby resulting in the overall recommendation as partially remediated.

Cancer Prevention and Research Institute of Texas

IA #2-2021 Report over Disaster Recovery and Business Continuity Planning Advisory Audit Follow-Up Procedures September 28, 2021

A summary of our results is provided in the table below. See the Appendix for an overview of the Assessment and Risk Ratings.

SCOPE AREA	RESULT
DR/BCP: Validate that adequate corrective action has been taken to address improvement opportunities identified in the 2020 Disaster Recovery and Business Continuity Planning Advisory Audit Report.	We determined that CPRIT has made progress in addressing the recommendations from the 2020 Advisory Audit Report over DR/BCP. However, CPRIT should continue its efforts to address the remaining open improvement opportunities relating to disaster recovery planning.

Conclusion

Based on our evaluation, CPRIT has made progress to remediate the recommendations from the 2020 Advisory Audit Report over DR/BCP. However, additional efforts should be made to address the remaining improvement opportunities. Specifically, CPRIT should ensure its Disaster Recovery plans and procedures are updated and consistent with SORM requirements.

Additionally, CPRIT should ensure regular maintenance and testing of Disaster Recovery and Business Continuity Planning and Procedures to better facilitate timely and appropriate responses in the event of a business disruption.

Follow-up procedures should be conducted in Fiscal Year 2022 to validate the implementation of the remaining remediation efforts taken to address the open items in the recommendations.

**Detailed Follow-Up Results, Findings,
Recommendations and Management
Response**

Cancer Prevention and Research Institute of Texas
 IA #2-2021 Report over Disaster Recovery and Business Continuity Planning
 Advisory Audit Follow-Up Procedures
 September 28, 2021

Detailed Follow-Up Results, Recommendations and Management Response

Our procedures included reviewing CPRIT's current disaster recovery and business continuity planning documentation to gain an understanding of the corrective actions taken in order to address improvement opportunities identified in the 2020 Disaster Recovery and Business Continuity Planning Advisory Audit Report.

FY 2020 Recommendation – Revisions to DR/BCP documentation: Management should review proposed revisions to the DR/BC planning documentation, modify as appropriate, and finalize the DR/BC plans. Upon finalization, CPRIT should test the plans and develop and implement a strategy to review and update the documentation periodically based on changes in CPRIT's IT infrastructure or operations as well as conduct periodic testing of the plans.

Our review identified that 25 of 30 revisions recommended were completed since the 2020 Disaster Recovery and Business Continuity Planning Advisory Audit Report was issued. The remaining five recommended revisions were determined to be in progress.

DR/BC Component	Total Criteria	Improvement Opportunity		Nature of Improvement Opportunity			Partially Remediated
		Count	Type	Content Addition	Content Revision	Reference Update	Content Addition
Incident Evaluation	31	8	R	5	2	1	2
		1	OA	1	-	-	-
Incident Management	30	10	R	3	4	3	-
		1	OA	1	-	-	1
Disaster Recovery	37	1	R	1	-	-	1
		-	OA	-	-	-	-
Business Resumption	23	5	R	4	-	1	1
		4	OA	2	2	-	-
Total	121	30		17	8	5	5

R – Required elements by SORM or DIR
 OA – Other authoritative guidance

Results: Recommendations are partially addressed

Management Response: CPRIT will continue to address the open advisory audit recommendations.

Responsible Party: Chief Operating Officer, Operations Manager, IT Manager

Implementation Date: March 15, 2022