



Employees' Retirement System Data Center Controls Audit

INTERNAL AUDIT
CITY OF MILWAUKEE
JANUARY 2021

AGENDA

- Scope & Audit Objectives
- Audit Procedures
- Audit Conclusions
- Next Steps



AUDIT SCOPE AND OBJECTIVES

SCOPE

The scope of the audit included the Employees' Retirement System (ERS) data center's physical security, environmental, and backup control activities at 789 North Water Street.



OBJECTIVES

Assess whether the data center physical and IT environmental controls are compliant with department policy, best practice criteria, and standards outlined by the Information Systems Auditing and Control Association (ISACA), Federal Information System Controls Audit Manual (FISCAM), and the National Institute of Standards and Technology (NIST); and,

Assess whether the data center controls over data backup, offsite storage, and system restoration procedures are performed in accordance with department policy, best practice criteria, and standards outlined by ISACA, FISCAM, and NIST.

AUDIT PROCEDURES



Audit activities consisted of:

- Process walkthroughs
- Observations
- Review of policies and procedures
- Testing of controls

AUDIT CONCLUSIONS

The audit concluded that **controls over the data center are adequately designed and operating effectively** with two identified opportunities for improvement.

Opportunity for Improvement 1: A fire extinguisher in the data center has not been serviced since 2019.

Risk: A working fire extinguisher could be used in lieu of the automated suppression system deploying, which would prevent a potentially costly recharge. Additionally, the fire extinguisher would provide a backup option in the event of an automated suppression system failure.

Recommendation: Ensure fire extinguishers are serviced on a regular basis.

Opportunity for Improvement 2: Cardboard boxes were in the data center.

Risk: Cardboard boxes can become a fire hazard or create dust that can get into electronic equipment.

Recommendation: Cardboard boxes should be moved out of data center.

Next Steps

Post Reporting Follow-up

Phase 1



Report has been issued and presented to the F&P Committee

Phase 2



Auditee will execute action plans

Phase 3

Internal Audit will report remediation status to the F&P committee annually until fully executed



THANK YOU

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COMPTROLLER**