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STATE OF NEW YORK  
OFFICE OF THE STATE COMPTROLLER

March 12, 2009

New York City Technology Steering Committee  
75 Park Place - 9th Floor  
New York, NY 10007

**Technology Steering Committee members:**

Robert C. Lieber  
Chairman  
Deputy Mayor for Economic Development

Ed Skylar  
Deputy Mayor for Administration

Mr. Paul J. Cosgrave  
City CIO and Commissioner

Jeffrey Kay  
Mayor's Office of Operations

Linda M. Gibbs  
Deputy Mayor for Health and Human Services

Dennis Walcott  
Deputy Mayor for Education and Community  
Development

Mark Page  
Director  
Office of Management and Budget

Re: Report 2008-F-14

Dear Members of the Technology Steering Committee:

According to the State Comptroller's authority as set forth in Article V, Section 1 of the State Constitution, and Article III, of the General Municipal Law, we followed up on the actions taken by the New York City Technology Steering Committee to implement the recommendations in our audit: *Selected New York City Agencies: Business Continuity Planning and Disaster Recovery (Report 2006-N-1.)*

**Background, Scope and Objectives**

Recent natural disasters and other emergencies have highlighted the importance of business continuity and disaster recovery planning. Business continuity planning helps ensure vital services and agency operations can continue in the event of an emergency.

According to New York City directives, Federal guidelines and generally accepted practices, business continuity plans should have certain elements in them. For example, there should be provisions for various recovery scenarios - from minor problems such as a temporary power failure to loss of total capability - and step-by-step responses for each. Plans should also contain a listing of highest to lowest priority applications, required recovery times and expected performance norms.

The goal of the Technology Steering Committee is to develop state-of-the-art integrated information technology systems throughout City government. Among its responsibilities are to establish guidelines governing agency internal control environments, including establishing a Business Continuity Sub-committee to report to the Committee on contingency planning and disaster recovery issues. On October 2, 2007, the Mayor issued Executive Order 107, requiring all city agencies to have a Continuity of Operations Plan (Plan) in place by the end of the calendar year 2009.

The Executive Order directed the Department of Information Technology and Telecommunications and the Office of Emergency Management to take a lead role in this process. It directed that the Commissioners of these two agencies form a team, consisting of staff from both agencies, to provide oversight and guidance to City agencies in developing plans. The Executive Order also provided that plans incorporate the lessons learned from an earlier pilot program at three agencies.

Our initial audit report was issued on August 13, 2007, and examined selected New York City Agencies Disaster Recovery Planning and Business Continuity practices. The objective of our follow-up was to assess as of February 12, 2009, whether our recommendations were put in place. Due to the sensitivity of the information and the potential risk associated with the release of such information, the details of the recommendations and their implementation status are not included in this report. However, we discussed the detailed results of our follow-up work with Technology Steering Committee officials during the fieldwork.

### **Summary Conclusions and Status of Audit Recommendations**

We found that the Technology Steering Committee has made significant progress toward implementing the recommendations directed to it in our confidential draft report, and continues to take steps towards implementing all recommendations.

Major contributors to this report were Abe Fish, Keith Dickter, and Michael D'Amico.

We thank members of the Technology Steering Committee and the management and staff of the Department of Information Technology and Telecommunications and the Office of Emergency Management for the courtesies and cooperation extended to our auditors during this review.

Yours truly,

Brian Reilly  
Audit Manager

cc: George Davis III, Mayor's Office of Operations