



NORTH DAKOTA OFFICE OF THE STATE AUDITOR

State Auditor Joshua C. Gallion

Performance Audit Follow-Up Continuity of Operations Planning at University of North Dakota

Report No. NP-023-19



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Introduction

▀ Continuity of Operations Planning at University of North Dakota

April 8, 2020

The Office of the State Auditor conducted a follow-up on the performance audit entitled Continuity of Operations Planning at University of North Dakota dated September 11, 2017. The objective of this follow-up was to determine the implementation status of the four recommendations presented in the performance audit report.

The University of North Dakota has fully implemented the four recommendations. Included in this report are our conclusions regarding the implementation status of the recommendations.

We want to extend our appreciation to the personnel of the University of North Dakota for their assistance and cooperation during the follow-up.

/S/

JOSHUA C. GALLION
NORTH DAKOTA STATE AUDITOR



Status of Prior Recommendations

RECOMMENDATION 1-1

Implemented

Recommendation: We recommend management develop and incorporate the element of Tests, Training and Exercises in both the institution-wide COOP as well as the departmental COOP template. We further recommend management add provisions for Reconstitution of Operations to the departmental COOP template.

Status: Implemented. The COOP annex of UND's emergency operations plan incorporated the element of Tests, Training and Exercises for the institution, as well as divisions and departments. Based on a review of the supporting documentation of the Test, Training and Exercises performed for a sample of the division/department COOPs, it appears the recommended testing elements of the COOP annex have been implemented. Based on testing a sample of COOPs, Reconstitution of Operations has been incorporated into the division/department COOPS.

RECOMMENDATION 1-2

Implemented

Recommendation: We recommend management clearly communicate UND's essential functions, as well as department/unit level roles, to those responsible for developing and implementing elements of UND's COOP.

To accomplish this, management should consider conducting a formal "business process analysis," which CGC 1 defines as a process to "identify and map the functional processes, workflows, activities, resources...and facilities inherent to the execution of each identified essential function." This analysis, if properly conducted as part of UND's continuity planning, could enable management at all levels to better understand UND's essential functions, as well as the roles UND's various departments and units play in carrying out those functions.

Status: Implemented. Based on reviewing business process analysis documentation and a sample of division/department COOPs, it appears UND management communicated UND's essential functions, as well as department/unit level roles, to those responsible for developing and implementing elements of UND's COOP.

RECOMMENDATION 1-3

Implemented

Recommendation: We recommend Emergency Management add fields to the template for completion date, reviewer name, and revision and approval dates.

Status: Implemented. Based on testing a sample of COOPs at UND, it appears the completion date, reviewer name, and revision and approval dates are tracked by the Quali Ready program.

RECOMMENDATION 2-1

Implemented

Recommendation: We recommend upper management communicate UND's need for appropriate department/unit level COOPs to those responsible for completing the COOPs.

To facilitate this process, management may consider conducting a formal "business process analysis," as defined by CGC 1. This analysis, if properly conducted as part of UND's continuity planning, could identify high-risk or high-priority departments/units which truly must have a COOP. It may also result in efficiencies as management identifies areas for which a higher-level COOP may suffice.

Status: Implemented. Based on reviewing communications of the need for completion of COOPs and the business process analysis documentation, it appears UND management communicated UND's need for appropriate department/unit level COOPs to those responsible for completing the COOPs.



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