



**Winston-Salem State University | University of North Carolina School of the Arts
Office of Internal Audit & Institutional Compliance**

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TO: Deb Cheesebro, Chief of Police & Senior Director of Public Safety & Emergency Management
Lisa Smith, Chief Information Officer

FROM: Shannon Henry, Chief Audit Officer and Executive Director of Institutional Compliance

DATE: February 4, 2014

SUBJECT: **Examination of the Business Continuity and Disaster Recovery Plans**

Internal Audit is conducting an audit of the Disaster Recovery and Business Continuity Plans. Selection of this audit is based upon a comprehensive plan to assess the internal control environment across all divisions of the University of North Carolina School of the Arts. The objectives of the audit are as follows:

- **Ensure that authorized and documented business continuity, disaster recovery, and pandemic plans are created and maintained up-to-date;**
- **Ensure that adequate and effective contingency plans have been established to support the prompt recovery of crucial enterprise functions and Information Technology (IT) facilities in the event of major failure or disaster;**
- **Ensure that all mandated business continuity, disaster recovery and security requirements have adequate compliance policies and procedures in place;**
- **Ensure that all potential risks to the enterprise, faculty, staff, students, and its IT facilities are identified and assessed in preparation of the contingency plans;**
- **Ensure the optimum contingency arrangements are selected and cost effectively provided;**
- **Ensure that the recovery plan is periodically tested for its relevance and effectiveness;**
- **Ensure that all internal and external parties to the recovery process are fully aware of their responsibilities and commitments;**
- **Ensure that both the damaged and recovery sites are secure and that systems are securely operated in support of the enterprise;**
- **Ensure that systems and procedures are adequately and accurately documented to aid in the recovery process;**
- **Ensure that public and media relations would be effectively addressed during an emergency in order to minimize adverse publicity and business implications;**
- **Ensure that procedures are in compliance with statutory requirements and University policies and procedures;**
- **Ensure that the University's assets are properly safeguarded; and**
- **Ensure that resources are used efficiently and effectively.**

We expect the fieldwork to begin on March 3, 2014. It is our aim to issue a draft report within one month of the conclusion of audit fieldwork. The purpose of the draft report is to obtain your agreement with the findings and recommendations. Once we are in agreement, we will issue a final copy of the report.

We will require assistance directly from you and your staff during the course of our work, including providing the necessary information to complete our procedures as well as answering relevant questions or

providing explanations to issues encountered during our testing. We appreciate your commitment to providing the necessary information.

We will be contacting you shortly to schedule a meeting to discuss our objectives and begin coordinating the advance preparation and audit sampling activities. In advance of this meeting, we would appreciate obtaining the following items, in electronic format if possible, by February 21, 2014:

- Business Continuity, Disaster Recovery, Pandemic Plan Policies and Procedures
- List of Regulations Governing Business Continuity and Disaster Recovery
- System Documentation (detailed narratives and/or flowcharts)
- Lists of Major Processes/Activities
- Internal Control Documentation (recent surveys or questionnaires)
- Current Organizational Chart
- Current Business Continuity, Disaster Recovery and Pandemic Plan(s)
- Results of Last Tests of the Business Continuity, Disaster Recovery and Pandemic Plan(s)

The following individuals will be involved in this audit:

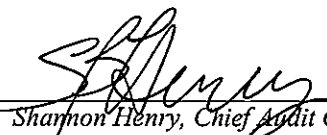
- Stacy Sneed, Audit Manager
- Javon Lee, Internal Auditor

We will distribute the copies of our final report to James Moeser, Interim Chancellor; George Burnette, Chief Operating Officer; and the Audit Committee of the UNCSA Board of Trustees.

Please indicate your agreement with the terms set forth by signing as indicated below. If you have any particular areas of concern that you would like us to consider we will be happy to meet and discuss. Please direct all inquiries to Shannon Henry at extension 2020.

*Deb Cheesebro, Chief of Police & Senior Director
of Public Safety & Emergency Management*

Lisa Smith, Chief Information Officer



*Shannon Henry, Chief Audit Officer and Executive
Director of Institutional Compliance*

Cc: James Moeser, Interim Chancellor
George Burnette, Chief Operating Officer