



Internal Audit Report
Overall Disaster
Preparedness:
Recommendations Follow-up
Survey Results

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Auditor's Opinion

November 30, 2018

Internal Audit completed a staff awareness survey as part of the Overall Disaster Preparedness: Recommendations Follow-up engagement. We conducted this engagement as part of our 2018 Annual Audit Plan.

The audit objective was to assess the adequacy of the response to the initial engagement's findings and recommendations in accordance with City Management directives, which included staff's awareness of their responsibilities. This included Internal Audit surveying City staff across all levels under the authority of the City Manager to gauge their level of awareness regarding their department's disaster planning preparedness.

It is our opinion, based upon the results of this survey, that there have been slight improvements in awareness and preparedness at the manager/director level; however, supervisors/staff continue to show a low level of awareness. Internal Audit believes that the lack of sufficiently documented plans from which to train staff is affecting the knowledge base. This report, along with the forthcoming report subtitled, *Plan Review*, provides detail on the City's overall preparation level. We will detail our issues and recommendations for this engagement in the *Plan Review* report.



Wayne C. Sommer
Internal Audit Manager

Audit Profile

Audit Team

Wayne Sommer – Manager

Sheree Van Buren – Lead

Background

In 2017, Internal Audit completed an assessment of the City's overall disaster preparedness including planning and execution capabilities, adequacy of facilities, technology, and communication planning, and staff's response awareness. We found significant deficiencies in all areas of planning and preparation. Increasing City staff awareness and preparedness levels was a significant finding and recommendation. City Management directed a rapid response to the engagement's findings and recommendations.

Scope

The scope period was from April 1, 2017 to March 30, 2018.

Noted: The initial engagement report was released on April 3, 2017.

Methodology

Internal Audit conducted the follow-up engagement to assess the response adequacy to the original recommendations. To accomplish this, we reissued the initial awareness survey to City staff and reviewed the updated continuity of operation plans (COOPs) for completion.

This report focuses on the results of the survey. Internal Audit will issue the status of the initial engagement recommendations and the results of Internal Audit's review of the documentation completeness of the COOPs under a separate report.

Polling City Staff

Internal Audit reissued the 2016 City staff survey to assess whether the level of awareness and preparedness had increased and to determine if departments/divisions are discussing disaster preparedness and continuing operations with their staff. Using a stratified statistical sample, Internal Audit published the survey to over 700 City staff at all levels and across all departments under the City Manager. Just as in the original survey, we focused on non-public safety staff. We excluded Aurora Police and Aurora Fire Rescue—first responders—to avoid skewing the results, with the assumption that first responders would know their required response to emergencies. Internal Audit (IA) received responses from 343 City staff at all levels and across all departments, sufficient to obtain a 95% confidence that if we surveyed and received responses from 100% of City staff, the results would be within $\pm 5\%$ of the sampled population results. Accordingly, we conclude that the presented data graphs are representative of the entire City non-public safety staff in departments under the City Manager.

Since the previous engagement, while the City focus since the previous engagement has been on updating and completing the COOP's, there has not been much work to inform and train staff on the plans and their respective responsibilities in within the plans as noted by the survey results.

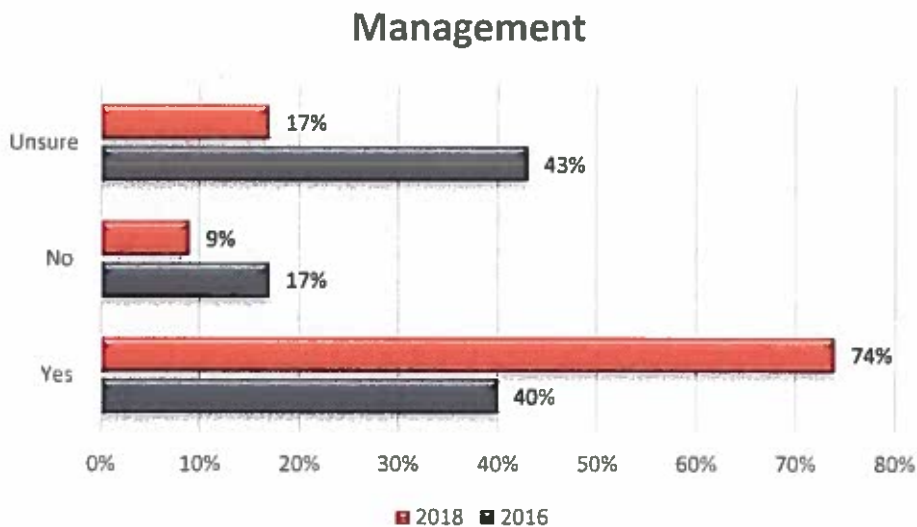
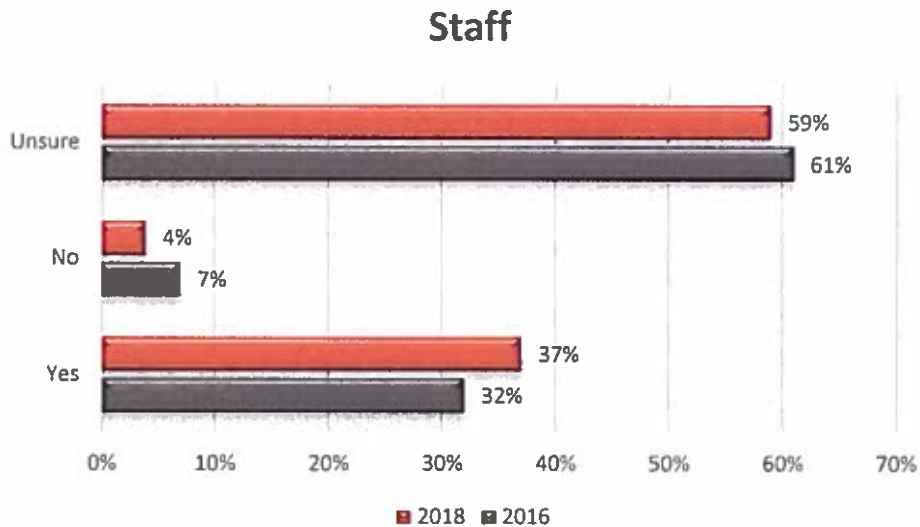
We compared and highlighted the 2016 and 2018 results and accompanying graphs below¹.

¹ Under the 'Staff' heading, we surveyed Supervisors and Staff. Under the 'Management' heading, we surveyed Managers and Directors.

Business Continuity

Business continuity is defined as the capability of the organization to continue the delivery of products or services at acceptable predefined levels following a disruptive incident.² The City of Aurora COOPs document the departments and divisions business continuity activities.

Does your department/division have a continuity of operations plan?

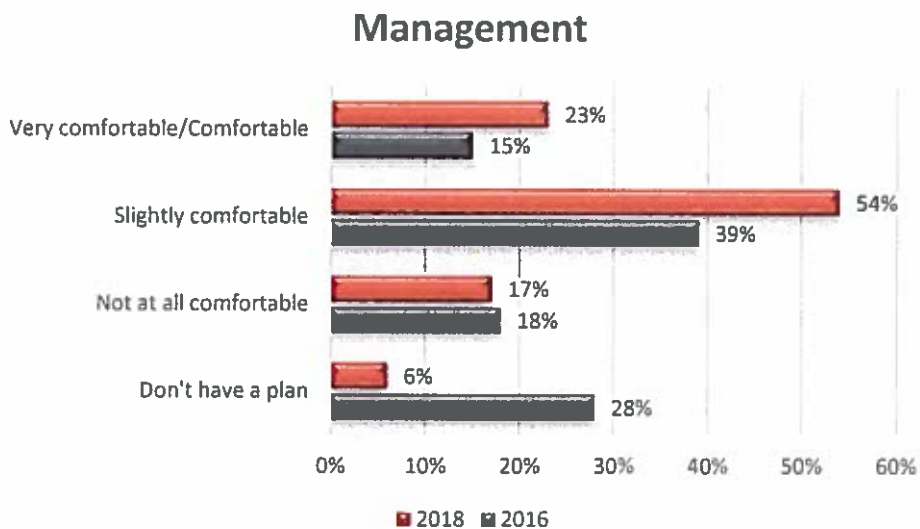
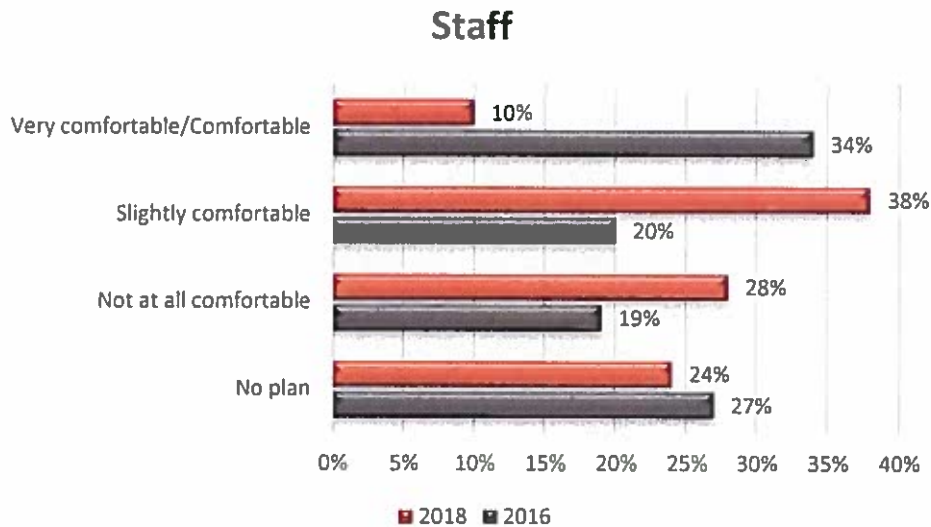


For both Management and Staff, the number of *Unsure* respondents regarding the existence of a plan dropped 26 points and 2 points, respectively. Awareness of their plan's existence improved 34 points for Management and 5 points for staff. As we see in the next question's results, that awareness has not translated into an increase in Staff's comfort level regarding what they should do during an activation.

² International Organization for Standardization 22301:2012 – Business Continuity Management

It appears more Staff knows about the plan, but few know what is in the plan or its expectations of them.

How comfortable are you with what you should do during the activation of your department/division's continuity of operations plan?



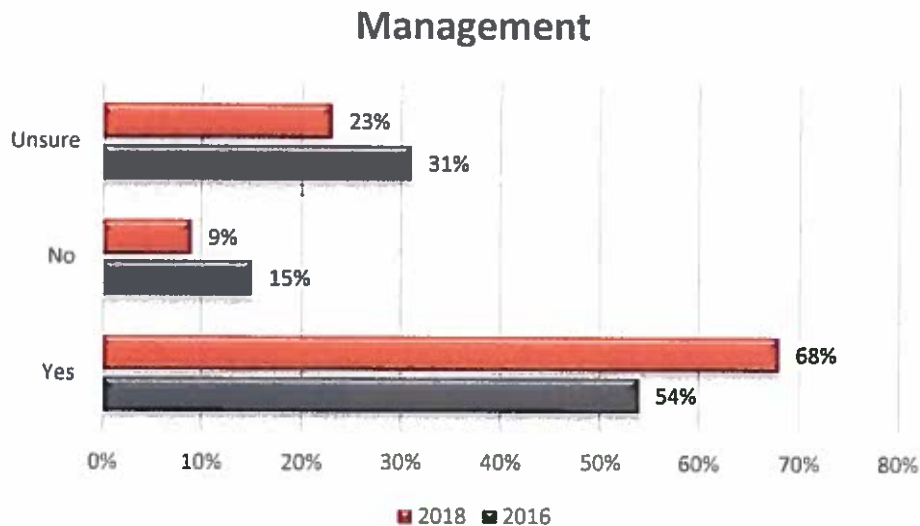
The percentage of Management respondents acknowledging that they *do not have a plan* declined by 22 points. Correspondingly, those in Management who previously were *not at all comfortable* declined by 1 point and those registering some degree of comfort increased (*slightly comfortable* by 15 points and *very comfortable/comfortable* by 8 points.) While Management's comfort level has

improved, Staff's has declined. Those staff previously reported as *very comfortable/comfortable* declined by 24 points. Simultaneously, those *slightly comfortable* increased by 18 points and those *not comfortable at all* increased by 9 points. The information that has contributed to Management's improved comfort level has not made its way down to the Staff levels. This supports the need for COOP training and simulation exercises at the Staff levels.

Disaster Preparedness

Disaster preparedness is "a continuous cycle of planning, organizing, training, equipping, exercising, evaluating, and taking corrective action in an effort to ensure effective coordination during incident response."³

Does your department/division have a disaster preparedness plan?

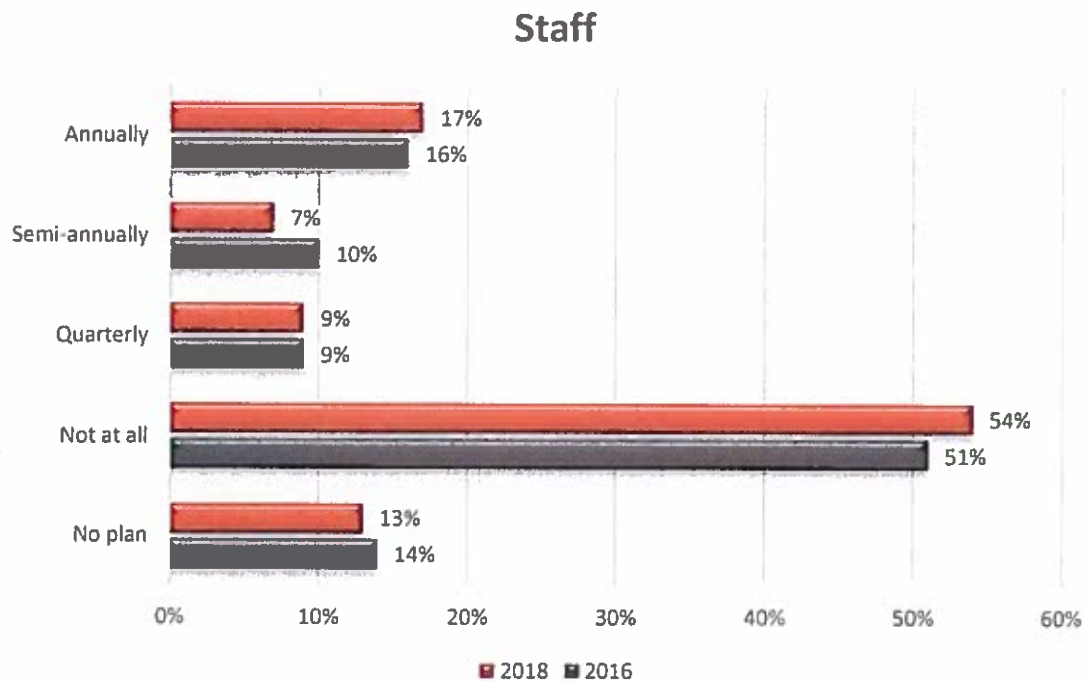


While plan awareness increased at the Management level, plan specific training and exercises have not increased. Executing a plan as part of a disaster drill is critical to effective plan discharge in an actual emergency.

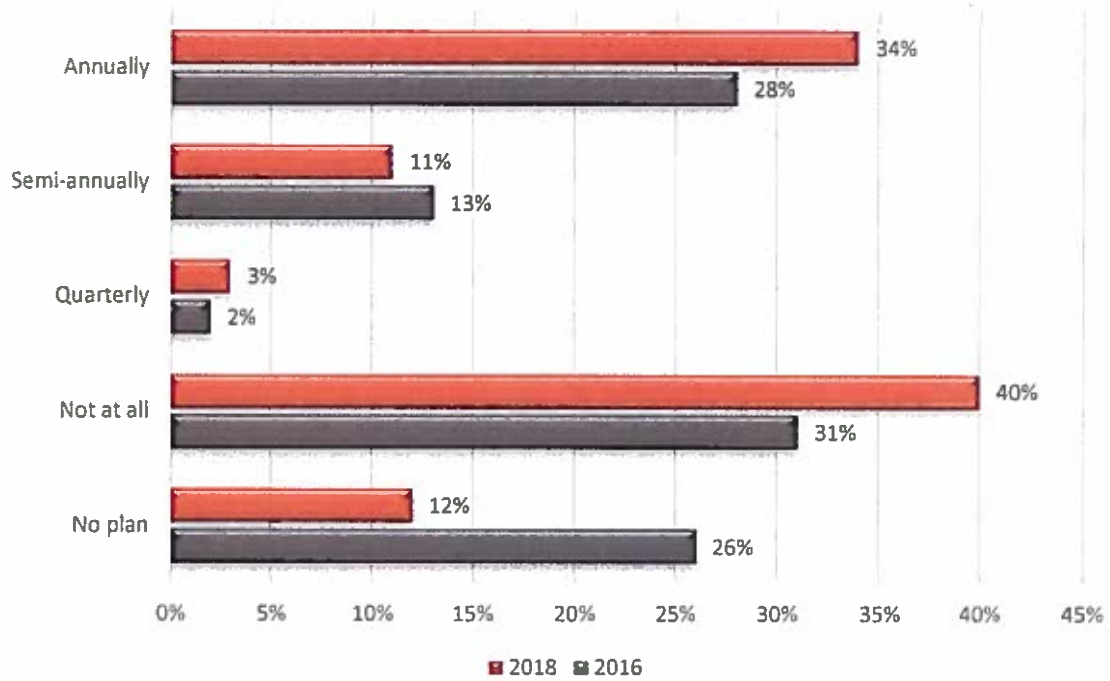
³ Department of Homeland Security/Federal Emergency Management Agency.

How many times does your department/division participate in a disaster drill?

Staff participation in some frequency of disaster drills declined by 2 points while Management's participation has increased by 5 points. It is good to see an increase in disaster drill participation at the Management level; however, it is imperative that increases also take place at the Staff level.

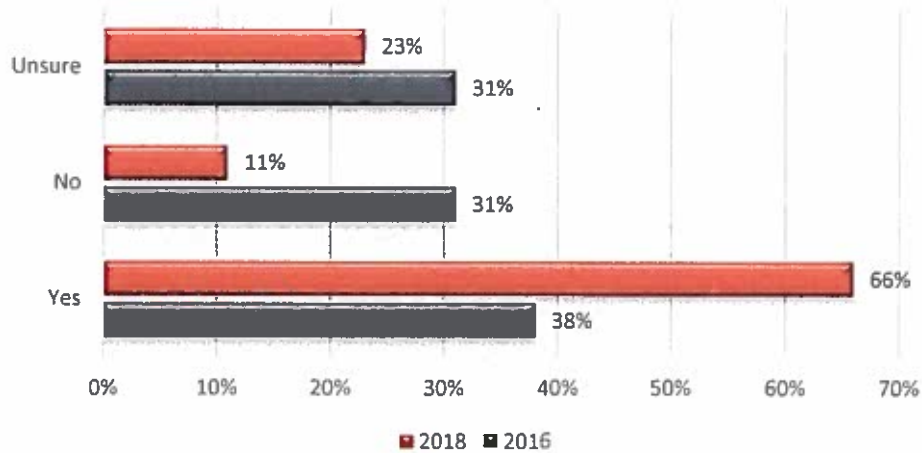


Management



Have you established an alternate location where employees can resume operations during a disaster event?

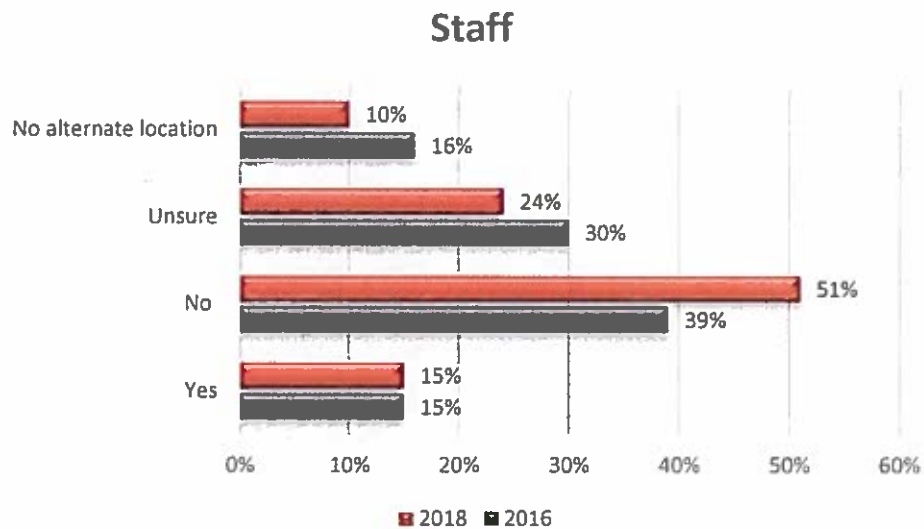
Management



Internal Audit noted a marked improvement in the identification of alternate work locations. Management de-conflicted Tallyn's Reach as a secondary location. During

the initial engagement, there were five departments that identified Tallyn’s Reach as a primary alternate facility; now, there are only two (OEM and Communications). Many of the larger departments have identified alternate facilities within their work group, e.g. Fleet’s alternate locations include the North and South Satellites. We also learned that departments, like Finance, have the ability to continue critical operations remotely using laptops, cellular devices, and landlines. In addition, as a best practice, many departments listed second and third alternate working locations in case the disaster and/or emergency affected their primary alternate location.

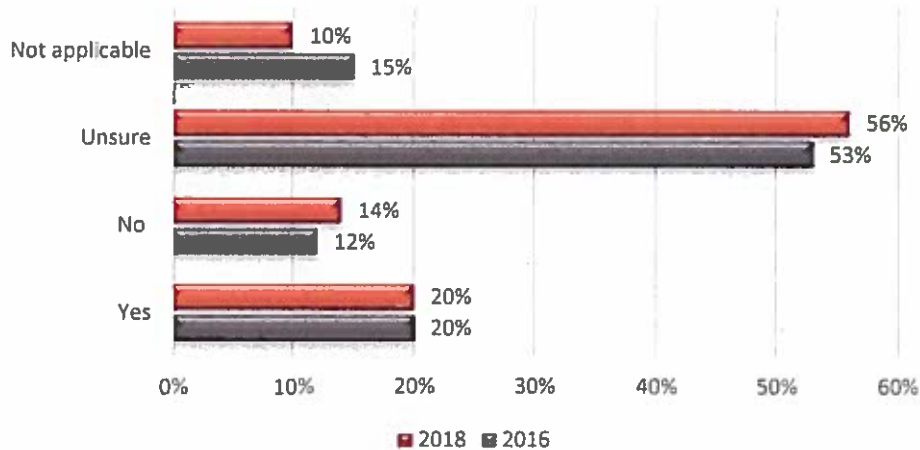
Do you know your department/division’s alternate work location?



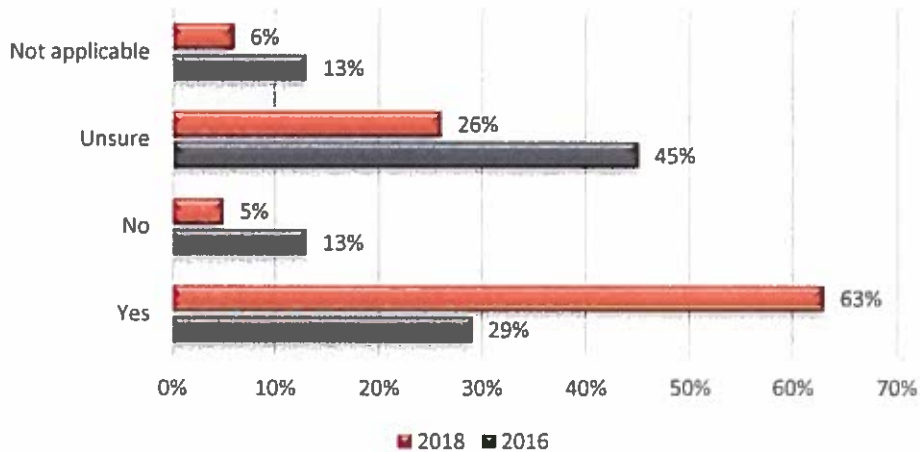
Although departments updated their alternate locations in the COOPs, they did not share this information with Staff. The percentage of Staff who is unaware or unsure of the alternate location for their department/division did not change.

If needed, do you have supplies to operate the business manually (forms, pens, materials, etc.) at the alternate location?

Staff



Management



Per discussion with the OEM Manager and the IT Public Safety Business Relationship Manager, it is becoming more important that City departments/divisions be prepared to continue operations manually. As noted in the *Plan Review* report, departments expect that they will have access to their IT applications. IT determined that these expectations are not executable within current IT resources. Departments will need to develop manual procedures to continue operations during a disruptive event.

Sixty-three percent of managers and directors responded that they have the supplies needed to operate manually, a 34-point increase from 2016. Staff is still generally unaware that supplies have been set aside to support manual operations.