

**EMERGENCY PREPAREDNESS**  
**SAN FRANCISCO STATE UNIVERSITY**

**Audit Report 09-45**  
**September 3, 2009**

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## **ABBREVIATIONS**

CalEMA	California Emergency Management Agency
CSU	California State University
DHS	(Federal) Department of Homeland Security
EO	Executive Order
EOC	Emergency Operations Center(s)
EP	Emergency Preparedness
FEMA	Federal Emergency Management Agency
ICS	Incident Command System
NIMS	National Incident Management System
OES	(California) Office of Emergency Services
ORM	Office of Risk Management
SEMS	Standardized Emergency Management System
UPD	University Police Department

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## **EXECUTIVE SUMMARY**

As a result of a systemwide risk assessment conducted by the Office of the University Auditor during the last quarter of 2008, the Board of Trustees, at its January 2009 meeting, directed that *Emergency Preparedness* be reviewed. Similar audits of Disaster and Emergency Preparedness were conducted in 2006.

We visited the San Francisco State University campus from April 13, 2009, through May 15, 2009, and audited the procedures in effect at that time.

Our study and evaluation did not reveal any significant internal control problems or weaknesses that would be considered pervasive in their effects on emergency preparedness controls. However, we did identify other reportable weaknesses that are described in the executive summary and body of this report. In our opinion, the operational and administrative controls of emergency preparedness in effect as of May 15, 2009, taken as a whole, were sufficient to meet the objectives stated below.

As a result of changing conditions and the degree of compliance with procedures, the effectiveness of controls changes over time. Specific limitations that may hinder the effectiveness of an otherwise adequate system of controls include, but are not limited to, resource constraints, faulty judgments, unintentional errors, circumvention by collusion, and management overrides. Establishing controls that would prevent all these limitations would not be cost-effective; moreover, an audit may not always detect these limitations.

The following summary provides management with an overview of conditions requiring attention. Areas of review not mentioned in this section were found to be satisfactory. Numbers in brackets [ ] refer to page numbers in the report.

### **COMMUNICATIONS AND TRAINING [6]**

The emergency management team roster provided to the California State University Office of Risk Management did not include designated backup personnel in the event key emergency team members are not available. Further, emergency preparedness overview training for new hires was not completed.

### **TESTING AND DRILLS [8]**

The university police department could not demonstrate that their portable generators were tested on a regular basis.

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## INTRODUCTION

### **BACKGROUND**

Emergency preparedness is the multihazard approach to preparing for emergencies and disasters of a wide variety. The National Safety Council ([www.nsc.org](http://www.nsc.org)) has provided guidance showing that disasters and emergencies are inevitable. These events include personal injuries, fires, explosions, chemical spills, toxic gas releases, natural disasters such as earthquakes, tornadoes, floods, and epidemics, and man-made disasters such as terrorist activities and riots. Anticipating emergencies and planning for an appropriate response can greatly lessen the extent of injuries and health concerns. Emergency preparedness can also limit damage to property, equipment, and materials. Experience tells us that when disasters and emergencies occur, the emergency response based on emergency-preparedness and crisis-training programs, will significantly affect the extent of damages and injuries sustained. The president of each of the 23 California State University (CSU) campuses has been delegated the responsibility for the implementation and maintenance of an emergency management program.

In many instances, emergency preparedness is the foresight to plan for disasters such as earthquakes, floods, fires, and man-made disasters (the most common emergency situations in California). There is no single definition of what constitutes a disaster. A disaster can develop quickly, hitting full-force, with little or no warning. Other times, a disaster can loom on the horizon for weeks until it becomes large enough to be a threat. Government Code §8680.3 defines disaster to mean:

A fire, flood, storm, tidal wave, earthquake, terrorism, epidemic, or other similar public calamity that the governor determines presents a threat to public safety.

In California Code of Regulations, Title 19, §2402, *Standardized Emergency Management System* (SEMS) Regulations, emergency is defined to mean:

A condition of disaster or of extreme peril to the safety of persons and property caused by such conditions as air pollution, fire, flood, hazardous material incident, storm, epidemic, riot, drought, sudden and severe energy shortage, plant or animal infestations or disease, the governor's warning of an earthquake or volcanic prediction, or an earthquake or other conditions, other than conditions resulting from a labor controversy.

The Federal Emergency Management Agency (FEMA) describes emergency preparedness as multi-hazard mitigation planning, and states that mitigation plans form the foundation for a community's long-term strategy to reduce disaster losses and break the cycle of disaster damage, reconstruction, and repeated damage. The planning process is as important as the plan itself. It creates a framework for risk-based decision making to reduce damages to lives, property, and the economy from future disasters. Hazard mitigation is sustained action taken to reduce or eliminate long-term risk to people and their property from hazards. State, Indian Tribal, and local governments are required to develop a hazard mitigation plan as a condition for receiving certain types of non-emergency disaster assistance and FEMA funds available for mitigation plan development and mitigation projects.

The California State Office of Emergency Services (OES), in coordination with all interested state agencies with designated response roles in the state emergency plan and interested local emergency management agencies, established by regulation a SEMS for use by all emergency response agencies.

SEMS is the system required by Government Code §8607(a) for managing response to multiagency and multijurisdictional emergencies in California. As a result of the 1991 East Bay Hills fire in Oakland, Senate Bill 1841 was passed and made effective January 1, 1993. The intent of this law is to improve the coordination of state and local emergency response in California, and it implemented SEMS. SEMS Regulations took effect in September 1994. SEMS consists of five organizational levels, which are activated as necessary: field response, local government, operational area, regional, and state. By standardizing key elements of the emergency management system, SEMS is intended to facilitate the flow of information within and between levels of the system and facilitate coordination among all responding agencies. SEMS incorporates the use of five essential Incident Command System (ICS) functions: command (management), operations, planning/intelligence, logistics, and finance/administration. As a result of OES and SEMS Regulation, all CSU campuses are required to formally adopt and implement SEMS.

In 2004, the federal Department of Homeland Security (DHS) developed the National Incident Management System (NIMS) under Presidential Directive HSPD-5, *Management of Domestic Incidents*. NIMS was designed to improve the national readiness to respond to not only terrorist events but all types of disasters. NIMS is similar to California's SEMS. This similarity is most evident in the NIMS version of the ICS and adoption of the concept of mutual aid. The final version of NIMS was released on March 1, 2004. To fully implement NIMS, DHS created NIMS integration procedures and decided to phase in NIMS over time. As a result of these efforts, all federal departments and agencies, as well as state, local, and tribal governments, are required to be fully compliant with NIMS in order to apply for federal emergency preparedness assistance.

In late 2008, the California Emergency Management Agency (CalEMA) was formed to combine both OES and the California Department of Homeland Security. The goal of the CalEMA is to identify methods and guidance to assist all levels of emergency management in California to meet the requirements of NIMS while maintaining compliance with SEMS.

Executive Order 1013, *California State University Emergency Management Program*, dated August 7, 2007, requires the implementation and maintenance of an emergency management system on each campus that will be activated when an event has the potential for reaching proportions beyond the capacity of routine operations. Each campus plan must be compliant with SEMS, NIMS, and the SEMS/NIMS ICS. In 2006, to be flexible in responding to health-related emergencies, the CSU implemented pandemic influenza preparedness and response plans across all campuses, and those plans were reviewed in the 2006 Disaster and Emergency Preparedness audits. In 2008, as a response to nationwide concerns for campus security, the CSU implemented active shooter drills and training systemwide, and those activities continue throughout the year as detailed procedures and standards evolve.

## **PURPOSE**

Our overall audit objective was to ascertain the effectiveness of existing policies and procedures related to the administration of *Emergency Preparedness* (EP) activity and to determine the adequacy of controls that ensure compliance with relevant governmental regulations, Trustee policy, Office of the Chancellor directives, and campus procedures.

Within the audit objective, specific goals included determining whether:

- ▶ Administration of EP incorporates a defined mission, stated goals and objectives, clear lines of organizational authority and responsibility, and is adequately funded.
- ▶ Initiatives and investments are underway to improve EP and to maximize EP resources; risks specific to the campus have been identified; and policies and procedures are current, comprehensive, and sufficient to support campus EP.
- ▶ An adequate emergency operations center (EOC) exists; sufficient equipment, supplies, and other critical resources are properly provisioned; and the campus is fully prepared for emergencies.
- ▶ The emergency plan is compliant with SEMS and NIMS and clearly identifies who has authority and responsibility for emergencies and incidents; the emergency organization is sufficient to ensure that campus command/incident command techniques provide command and control when emergency incidents occur; and effective building marshal and volunteer programs have been established.
- ▶ Emergency resources are available; emergency plans have been updated appropriately; and any related/subordinate plans are integrated with the campus emergency plan.
- ▶ Incidents are mitigated timely; lessons learned are evaluated; appropriate after-action reports are prepared; and the campus has sufficient plans for mitigation of any facilities deficiencies.
- ▶ The emergency plan has been adequately communicated to the campus community; the campus is compliant with required communications with the chancellor's office and with emergency management agencies; and grants for emergency communications and operations are adequately managed and tracked.
- ▶ Sufficient training has been provided to new employees, emergency management staff, and building marshals; the finance function has been integrated into the emergency response activities; and specialized training has been provided in the areas of SEMS, NIMS, incident command systems for the student health center, building marshals, and for disaster service worker program volunteers.
- ▶ The campus has plans for, and adequately administers, testing and drills for emergency incidents, emergency communications, evacuations, active shooter situations, and mutual aid; and written incident action plans follow SEMS/NIMS guidelines.
- ▶ Generators, communications devices, and other equipment and supplies are functional and tested frequently; and the related responsibility is appropriately assigned.

## **SCOPE AND METHODOLOGY**

The proposed scope of the audit as presented in Attachment B, Audit Agenda Item 2 of the January 27 and 28, 2009, meeting of the Committee on Audit stated that emergency preparedness includes review of compliance with the National Incident Management System, Trustee policy, and systemwide directives; contingency and disaster recovery planning; backup communications; building safety and emergency egress including provisions for individuals with disabilities; the extent of plan training and testing; and relationships with state and federal emergency management agencies.

Our study and evaluation were conducted in accordance with the *International Standards for the Professional Practice of Internal Auditing* issued by the Institute of Internal Auditors, and included the audit tests we considered necessary in determining that operational and administrative controls are in place and operative. This review emphasized, but was not limited to, compliance with state and federal laws, Board of Trustee policies, and Office of the Chancellor and campus policies, letters, and directives. The audit review focused on procedures in effect from January 1, 2007, through May 15, 2009. In instances wherein it was necessary to review annualized data, calendar years 2007 and 2008 were the periods reviewed.

We focused primarily upon the internal administrative, compliance, and operational controls over the campuswide emergency operations plan and related management activities. Specifically, we reviewed and tested:

- ▶ The emergency management organization.
- ▶ Emergency management plan and event-specific annexes.
- ▶ Emergency management plan guidelines, policies, procedures, and recordkeeping.
- ▶ The building marshal program, emergency action plans, and the campus emergency hotline.
- ▶ The EOC, emergency equipment, and related emergency supplies.
- ▶ Coordination with other agencies, including mutual aid and assistance.
- ▶ Funding and budgetary controls for emergency management activities.
- ▶ Communication of the emergency management plan.
- ▶ Training for emergency management activities.
- ▶ Evacuation drills and emergency plan testing.

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## **OBSERVATIONS, RECOMMENDATIONS, AND CAMPUS RESPONSES**

### **COMMUNICATIONS AND TRAINING**

#### **EMERGENCY PERSONNEL ROSTER**

The emergency management team personnel roster provided to the California State University (CSU) Office of Risk Management (ORM) did not include designated backup personnel in the event key emergency team members are not available.

The campus updated the roster for all but one of the key backup personnel during audit fieldwork; however, the information had not yet been forwarded to the ORM.

Executive Order (EO) 1013, *California State University Emergency Management Plan*, dated August 7, 2007, states that once a year by December 1 or more frequently as needed, the campus will provide the systemwide ORM at the chancellor's office a roster of emergency management team personnel as well as their designated backup essential to the operation of the campus emergency management program.

The emergency preparedness coordinator stated that she was in the process of determining the appropriate personnel to serve as backup.

Failure to provide contact information for the designated backup of key emergency team members increases the risk of communications delays during a significant emergency incident.

#### **Recommendation 1**

We recommend that the campus review and update the emergency management team personnel roster to include all backup personnel, and forward the updated roster to the ORM.

#### **Campus Response**

We concur. The campus will review and update the emergency management team personnel roster to include all backup personnel and forward the updated roster to the CSU ORM.

Expected completion date: December 2009

## **NEW HIRE EMERGENCY PREPAREDNESS TRAINING**

Emergency preparedness overview training for new hires was not completed.

The campus did not have written procedures to address emergency preparedness overview training for all newly hired faculty and staff, and could not provide documentation evidencing that such training occurred.

EO 1013, *California State University Emergency Management Program*, dated August 7, 2007, states that campuses should train the campus community on the SEMS, NIMS, and ICS compliant campus plan to include, at a minimum, overview training of every employee within one year of employment. The EO further states that training records for all campus training shall be kept for a minimum of seven years.

The executive director of risk management stated that the lack of emergency preparedness overview training was due to oversight.

Failure to provide emergency management plan overview training for new hires increases the risk that emergency response would be inadequate due to incomplete training and preparation.

### **Recommendation 2**

We recommend that the campus:

- a. Develop written procedures to address emergency preparedness overview training for all faculty and staff, including the completion and retention of required training documentation.
- b. Provide emergency preparedness overview training to all newly hired faculty and staff.
- c. Provide emergency preparedness overview training to all existing faculty and staff as deemed appropriate.

### **Campus Response**

We concur.

- a. The campus has developed written procedures to address emergency preparedness overview training for all faculty and staff, including the completion and retention of required training documentation.
- b. The campus will provide emergency preparedness overview training to all newly hired faculty and staff beginning October 14, 2009. Expected completion date: December 2009
- c. The campus will provide emergency preparedness overview training to all existing faculty and staff as deemed appropriate. Expected completion date: November 2009

## **TESTING AND DRILLS**

The university police department (UPD) could not demonstrate that their portable generators were tested on a regular basis.

We reviewed 20 campus generators and noted that four UPD portable generators did not have “run logs” or any other type of documentation to demonstrate monthly testing. The remaining 16 generators were monitored by other departments, such as facilities and housing, and current maintenance records were provided.

EO 1013, *California State University Emergency Management Program*, dated August 7, 2007, states that campuses should develop a roster of campus resources and contracts for materials and services that may be needed in an emergency situation, including equipment, emergency power, communications, food and water, satellite and other mobile phone numbers, and update at least annually or as needed.

The emergency preparedness coordinator stated that although the portable generators were tested by employees in the UPD machine shop, a written log showing test dates and results was not maintained.

Failure to perform generator testing, and maintain generator test records, increases the risk that emergency preparedness and the expectations for emergency power response would not be optimal.

### **Recommendation 3**

We recommend that the UPD ensure that documentation is maintained to demonstrate that portable generators are tested on a regular basis.

### **Campus Response**

We concur. The UPD has instituted a regular schedule of testing and log procedures to ensure that portable generators are tested on a regular basis.

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## APPENDIX A: PERSONNEL CONTACTED

<u>Name</u>	<u>Title</u>
Robert A. Corrigan	President
Jan Andreasen	Executive Director, University Housing
Jamie Alvarado	Electrician, University Housing
Christopher Bomar	Assistant to the Vice President and Chief Financial Officer
Eugene Chelberg	Assistant Vice President of Student Affairs and Director, Disability Programs and Resource Center
Kirk Gaston	Chief of Police, University Police Department
Ellen Griffin	Director, University Communications
Simon Lam	Associate Vice President, Capital Planning, Design, and Construction
Joy Manaois	Fiscal Services Manager, University Police Department
Michael J. Martin	Executive Director, Risk Management
Leroy M. Morishita	Vice President and Chief Financial Officer, Administration and Finance
Charles Meyer	Associate Director, Facilities and Service Enterprises
Gayle Orr-Smith	Emergency Preparedness Coordinator
Mark Osborne	Interim Internal Auditor
Alastair Smith	Director, Student Health Services
Stephen Smith	Director, Procurement and Support Services
Andrew Stockton	Technology Officer, University Housing
Larry J. Ware	Associate Vice President for Fiscal Affairs
Patrick Wasley	Deputy Chief of Police, University Police Department
Andrew Yu	Chief of Operations, Environmental Health and Occupational Safety



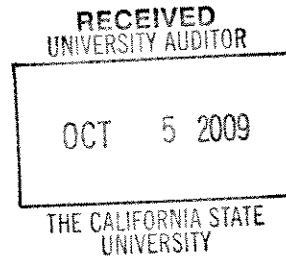
OFFICE OF THE PRESIDENT

1600 Holloway Avenue, Administration 562  
San Francisco, CA 94132

phone: 415/338-1381

fax: 415/338-6210

web: www.sfsu.edu



October 1, 2009

Mr. Larry Mandel  
University Auditor  
The California State University  
401 Golden Shore  
Long Beach, California 90802-4275

Dear Mr. Mandel:

We have reviewed the Office of the University Auditor Report #09-45 on Emergency Preparedness at San Francisco State University. Our responses to the recommendations are attached which will also be forwarded to your staff electronically. We are taking actions to implement the recommendations.

Documentation demonstrating implementation of recommendations already completed will be forwarded to you separately. Questions regarding the responses may be directed to Leroy M. Morishita, Executive Vice President and CFO for Administration & Finance at 415/338-2521 or Mark Osborne, Interim Internal Auditor at 415/338-7183.

Sincerely,

A handwritten signature in black ink, appearing to read "Robert A. Corrigan".

Robert A. Corrigan  
President

MO/id  
Attachments

cc: Leroy M. Morishita, Executive Vice President & CFO, Administration & Finance  
J.E. Penny Saffold, Vice President/Dean of Students, Student Affairs  
Kirk Gaston, Chief of Police, University Police Department  
Patrick Wasley, Deputy Chief of Police, University Police Department  
Lori Gentles, Associate Vice President, Human Resources, Safety & Risk Management  
Gayle Orr-Smith, Emergency Preparedness Coordinator, University Police Department  
Michael Martin, Executive Director, HRSRM  
Mark Osborne, Interim Internal Auditor

**EMERGENCY PREPAREDNESS  
SAN FRANCISCO STATE UNIVERSITY**

**Audit Report 09-45**

**COMMUNICATIONS AND TRAINING**

**EMERGENCY PERSONNEL ROSTER**

**Recommendation 1**

We recommend that the campus review and update the emergency management team personnel roster to include all backup personnel, and forward the updated roster to the ORM.

**Campus Response**

We concur. The campus will review and update the emergency management team personnel roster to include all backup personnel and forward the updated roster to the CSU Office of Risk Management. Expected completion date: December 2009.

**NEW HIRE EMERGENCY PREPAREDNESS TRAINING**

**Recommendation 2**

We recommend that the campus:

- a. Develop written procedures to address emergency preparedness overview training for all faculty and staff, including the completion and retention of required training documentation.
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**Campus Response**

- a. We concur. The campus has developed written procedures to address emergency preparedness overview training for all faculty and staff, including the completion and retention of required training documentation.
- b. We concur. The campus will provide emergency preparedness overview training to all newly hired faculty and staff beginning October 14, 2009. Expected completion date: December 2009.
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## TESTING AND DRILLS

### **Recommendation 3**

We recommend that the UPD ensure that documentation is maintained to demonstrate that portable generators are tested on a regular basis.

### **Campus Response**

We concur. The University Police Department has instituted a regular schedule of testing and log procedures to ensure that portable generators are tested on a regular basis.



THE CALIFORNIA STATE UNIVERSITY  
OFFICE OF THE CHANCELLOR

BAKERSFIELD

October 20, 2009

CHANNEL ISLANDS

CHICO

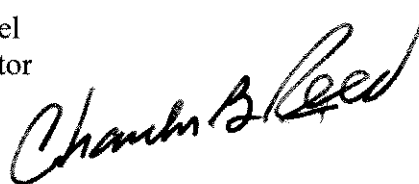
**MEMORANDUM**

DOMINGUEZ HILLS

EAST BAY

TO: Mr. Larry Mandel  
University Auditor

FRESNO

FROM: Charles B. Reed  
Chancellor


FULLERTON

SUBJECT: Draft Final Report 09-45 on *Emergency Preparedness*,  
San Francisco State University

HUMBOLDT

LONG BEACH

LOS ANGELES

In response to your memorandum of October 20, 2009, I accept the response as submitted with the draft final report on *Emergency Preparedness*, San Francisco State University.

MARITIME ACADEMY

MONTEREY BAY

NORTHRIDGE

CBR/amd

POMONA

SACRAMENTO

SAN BERNARDINO

SAN DIEGO

SAN FRANCISCO

SAN JOSÉ

SAN LUIS OBISPO

SAN MARCOS

SONOMA

STANISLAUS