

**DISASTER AND EMERGENCY PREPAREDNESS**

**HUMBOLDT STATE UNIVERSITY**

**Audit Report 06-41**

**January 8, 2007**

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## **ABBREVIATIONS**

CSU	California State University
DEP	Disaster and Emergency Preparedness
DRII	Disaster Recovery Institute International
EO	Executive Order
EOC	Emergency Operations Center(s)
GC	Government Code
OES	(California) Office of Emergency Services
SEMS	Standardized Emergency Management System
SWEPT	Systemwide Emergency Preparedness Taskforce

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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 2005, the Board of Trustees, at its January 2006 meeting, directed that *Disaster and Emergency Preparedness* be reviewed. Similar audits of Disaster and Contingency Planning were conducted in 2003.

We visited the Humboldt State University campus from September 11, 2006, through October 13, 2006, and audited the procedures in effect at that time.

In our opinion, internal administrative and operational controls governing disaster and emergency preparedness were, for the most part, effective. However, the emergency management plan availability and distribution, the campus roster of emergency resources, documentation to support overview and specialized training, campus evacuation drills, and business continuity plan testing needed improvement.

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.

### **EMERGENCY MANAGEMENT PLAN [7]**

Review, updating, and distribution of the campus emergency management plan required improvement. The online version of the emergency management plan was not up-to-date, the hard copy version of the campuswide emergency plan lacked an official review date, and campus emergency team members interviewed did not maintain a hard copy of the plan in more than one location. The emergency plan did not include coverage for 6 of 13 satellite or off-site facilities, nor were those facilities governed by separate plans. Furthermore, the campus roster of emergency resources was not updated and complete. The campus list of emergency resources did not include communication devices and food necessary in the event of an emergency. Lastly, the listing did not address the locations of supplies and equipment in an officially dated roster of resources.

### **COMMUNICATIONS AND TRAINING [10]**

Documentation to support overview emergency management plan training for new hires needed improvement. The campus was unable to provide documentation to support emergency management plan overview training for new hires, including type of training, dates of training, names of individuals trained, and evidence of a course syllabus or an agenda showing topics covered in the training. Additionally, specialized training and related documentation for disaster and emergency preparedness needed strengthening. The campus was unable to provide adequate documentation to support emergency management plan specialized training for building marshals/coordinators. Emergency team members were not sufficiently trained in the alternate emergency operations center (EOC), and some of the emergency team members did not recognize the existence and/or location of an official alternate EOC.

## **TESTING AND DRILLS [12]**

The campus evacuation exercise log did not support the evacuation of areas other than the residence halls (i.e., laboratory areas, all classroom areas, the library, etc.). Additionally, the campus had developed a financial services plan; however, the plan had not been formally tested.

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## INTRODUCTION

### **BACKGROUND**

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 system program.

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 (GC) §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.

Executive Order 921, *California State University Emergency Management Program*, dated November 21, 2004, requires maintenance of an emergency management system on each campus that will be activated when a hazardous condition or natural disaster reaches or has the potential for reaching proportions beyond the capacity of routine operations. The campus shall write each emergency plan in accordance with and as described in SEMS regulations developed by the California Office of Emergency Services (OES). Additionally, the campuses shall support the Systemwide Emergency Preparedness Taskforce (SWEPT) assigned oversight responsibility for CSU systemwide emergency management. SWEPT is a multi-discipline committee charged with improving communication between police chiefs, emergency coordinators, risk managers, and environmental health and occupational safety directors. It proposes and establishes mechanisms/systems for coordinating a response to emergencies; and studies and proposes solutions to systemwide issues such as emergency communications, mutual assistance protocols, and training. Further, business continuity planning is an integral part of a comprehensive emergency management model, and it is recommended that each campus form a Business Continuity Planning Committee.

After the initial emergency response, restoration of business (“business continuity”) is of paramount importance. Two sources of industry guidance on standards and terminology are *Glossary of Terms* from the Disaster Recovery Institute International (DRII), and *Business Continuity: Best Practices* as defined by the Business Continuity Institute. The DRII *Glossary of Terms* describes business continuity as “the ability of an organization to ensure continuity of service and support for its customers and to maintain its viability before, after, and during an event.” In *Best Practices*, a disaster recovery plan is defined as “a plan to resume a specific essential operation, function, or process of an enterprise.”

Business continuity is frequently considered a broader term than emergency preparedness. The goal of emergency preparedness is to address the immediate impacts of the disaster and to respond as needed to bring the emergency to closure. Business continuity is a continuing cycle of preparation that includes the broader perspectives of disaster, response, recovery, mitigation, risk reduction, prevention, and preparedness, as depicted below:



Disaster recovery/emergency preparedness plans are required of state agencies by GC §8607(a), which states:

The OES, in coordination with all interested state agencies with designated response roles in the state emergency plan and interested local emergency management agencies shall jointly establish by regulation a SEMS for use by all emergency response agencies.

SEMS is the system required by GC §8607(a) for managing response to multi-agency and multi-jurisdiction 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 functions: command (management), operations, planning/intelligence, logistics, and finance/administration. All CSU campuses are required to formally adopt and implement SEMS.

## **PURPOSE**

Our overall audit objective was to ascertain the effectiveness of existing policies and procedures related to the administration of *Disaster and Emergency Preparedness* (DEP) 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 overall audit objective, specific goals included determining whether:

- ▶ Administration of DEP incorporates a defined mission, stated goals and objectives, and clear lines of organizational authority and responsibility; and is adequately funded.
- ▶ Plans and procedures address general and campus specific incidents; include recordkeeping systems for effective planning, administration, and reporting; maximize DEP resources; and are adequately communicated to emergency management personnel.
- ▶ An emergency operations center (EOC) provisioned with sufficient equipment, supplies, and other critical resources exists; and a roster of resources for materials and services that may be needed in an emergency situation is maintained.
- ▶ The emergency management plan is compliant with SEMS, including the use of the modular incident command system organization methodology and incident action plans; inclusive of an effective building marshal program for evacuation; and reviewed/updated at a minimum every year.
- ▶ The emergency management plan has been adequately communicated to the campus community, a roster of emergency management personnel is annually communicated to the chancellor's office, and support is provided to the SWEPT.
- ▶ Emergency management activities are effectively coordinated with appropriate city, county, operational area, state, federal, and private agencies; and include adequate mutual aid and assistance agreements.
- ▶ Specialized and/or general training has been provided to the emergency management team, building marshals, and all employees.

- ▶ Emergency plan testing, drills, and/or evacuations are adequately planned, conducted, and documented; and include periodic testing of mutual aid and assistance agreements.
- ▶ Generators, communications devices, and other equipment and supplies are functional, tested currently, and the related responsibility is appropriately assigned.
- ▶ The campus has a business continuity plan and if that plan is tested.

## **SCOPE AND METHODOLOGY**

The proposed scope of the audit, as presented in Attachment B, Audit Item 2 of the January 31 through February 1, 2006, meeting of the Committee on Audit, stated that DEP includes review of compliance with 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 testing, and relationships with state and federal emergency management agencies. DEP includes program and facility readiness and resource planning for actions related to natural and man-made disasters and the recovery therefrom.

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 Trustees policies, and Office of the Chancellor and campus policies, letters, and directives. The audit review focused on procedures in effect from January 2005 through March 2006. In instances wherein it was necessary to review annualized data, fiscal year 2005/06 was the primary period 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 and business continuity plans.
- ▶ 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 and mutual aid and assistance agreements.
- ▶ Funding and budgetary controls for emergency management activities.
- ▶ Communication of the emergency management plan.
- ▶ Training for emergency management activities.
- ▶ Evacuation drills and emergency management and business continuity plan testing.

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

### **EMERGENCY MANAGEMENT PLAN**

#### **EMERGENCY PLAN UPDATES AND DISTRIBUTION**

Review, updating, and distribution of the campus emergency management plan required improvement.

Our review of the campus emergency plan disclosed that:

- ▶ The online web-based version of the emergency management plan and guidelines was not up-to-date. The online version of the plan that was communicated to the campus community was dated March 2005. The hard copy version of the emergency plan that was evaluated during our review was dated August 2006. During the audit, both versions were reviewed and updated as of October 2006.
- ▶ The hard copy version of the campuswide emergency management plan lacked an official review date.
- ▶ Campus emergency team members interviewed did not maintain a hard copy of the emergency plan in more than one location (i.e., car, home, office), which would be invaluable in the event that their primary copy was not accessible.

Executive Order (EO) 921, *California State University Emergency Management Program*, dated November 12, 2004, states, in part, that each campus president is delegated the responsibility for the implementation and maintenance of an emergency management system on the campus. The campus should develop an emergency management plan and review/update it at a minimum of every year. Further, the campus should communicate the emergency plan to the campus community in a variety of methods and on a continuous basis through public education such as web posting of the plan or through other mechanisms for regular dissemination of hazard planning.

Government Code (GC) §13402 states that management is responsible for establishing and maintaining a system of internal administrative controls, which includes documenting the system, communicating system requirements to employees, and assuring that the system is functioning as prescribed and is modified, as appropriate, for changes in conditions.

The chief of police stated that the department had recent staffing difficulties due to retirements and turnover of key personnel, which made the timely implementation and maintenance of a new and practical emergency management plan difficult. He further stated that recent efforts to use the existing emergency management plan binder in a practical manner during drills had revealed the need for a more condensed, user-friendly set of guidelines and checklists that could be easily updated and maintained in multiple locations.

Failure to timely review and update the campus emergency plan, communicate it to the campus community, and ensure its broad availability to emergency team members increase the risk that the campus will be unable to effectively respond to emergencies.

### **Recommendation 1**

We recommend that the campus:

- a. Simultaneously update and disseminate both paper and data file versions of the emergency management plan.
- b. Annotate the review date on the hard copy version of the emergency management plan.
- c. Ensure that emergency team members maintain a hard copy of the emergency management plan in more than one location (i.e., car, home, office).

### **Campus Response**

We concur. The campus emergency operation plan and guidelines were updated October 2006 and are available online. Hard copies will be distributed to all cognizant persons by May 1, 2007. The plan will be updated again on August 1, 2007, and disseminated similarly.

All significant emergency response personnel section/building coordinators and above will have multiple copies ensuring access at work and home. This will be enacted by May 1, 2007.

## **SATELLITE OR OFF-SITE FACILITIES**

Six of the 13 satellite or off-site locations were neither included in the campuswide emergency management plan nor governed by a separate plan for emergency management.

EO 921, *California State University Emergency Management Program*, dated November 12, 2004, states that each campus president is delegated the responsibility for the implementation and maintenance of an emergency management system program on campus. Further, the campus shall write each emergency plan in accordance with and as described in Standardized Emergency Management System (SEMS), as developed by the state Office of Emergency Services.

The chief of police stated that the department had recent staffing difficulties due to retirements and turnover of key personnel, but that recruiting efforts were currently underway for vacant positions. He added that this left the police department with a shortage of experienced staff to fulfill emergency preparedness tasks in addition to their daily tasks; these difficulties prevented the police department from assigning a liaison, plan development facilitator, trainer, and plan tester to connect with satellite facility leaders.

The absence of an emergency plan for all campus satellite locations increases the risk that the campus will be unable to effectively respond to emergencies and imposes an undue risk of loss and/or injury to the campus community.

**Recommendation 2**

We recommend that the campus include all satellite or off-site locations in the campuswide emergency management plan or create a specific plan for the locations that are not included.

**Campus Response**

We concur. The director of each satellite location will develop, incorporate, and distribute an emergency plan by August 1, 2007.

**CAMPUS ROSTER OF EMERGENCY RESOURCES**

The campus roster of emergency resources was not updated and complete.

We found that the campus list of emergency resources did not include communication devices and food necessary in the event of an emergency. Additionally, the listing did not address the locations of supplies and equipment in an officially dated roster of resources.

EO 921, *California State University Emergency Management Program*, dated November 12, 2004, states that the campus should develop a roster of campus resources and memoranda of understanding for materials and services that may be needed in an emergency situation, including equipment, emergency power, communications, food and water, and update at least annually. The “updated as of date” should appear on each roster.

The chief of police stated that the department had recent staffing difficulties due to retirements and turnover of key personnel, but that recruiting efforts were currently underway for vacant positions. He added that this left the police department with a shortage of experienced staff to fulfill emergency preparedness tasks in addition to their daily duties; these difficulties prevented the police department from assigning staff to maintain the campus roster of emergency resources.

Failure to update and complete the campus roster of emergency resources annually increases the risk that delays in locating critical resources could occur during an emergency.

**Recommendation 3**

We recommend that the campus update its roster of resources to include all items detailed in EO 921, including the location of the items.

### **Campus Response**

We concur. The campus will update its roster of emergency resources to include all items detailed in EO 921, including location; further, the campus will review the roster annually. The roster will be updated by August 1, 2007.

## **COMMUNICATIONS AND TRAINING**

### **OVERVIEW TRAINING**

Documentation to support overview emergency management plan training for new hires needed improvement.

The campus was unable to provide documentation to support emergency management plan overview training for new hires, including type of training, dates of training, names of individuals trained, and evidence of a course syllabus or an agenda showing topics covered in the training.

EO 921, *California State University Emergency Management Program*, dated November 12, 2004, states that the campus community is to be trained on the SEMS compliant plan to include, at a minimum, overview training of every employee within one year of employment. Training attendance records shall be kept for a minimum of seven years.

GC §13401 states that each state agency must maintain effective systems of administrative control as an integral part of its management practices.

The chief of police stated that the department had recent staffing difficulties due to retirements and turnover of key personnel, but that recruiting efforts were currently underway for vacant positions. He added that this left the department with a shortage of experienced staff to fulfill emergency preparedness tasks in addition to their daily duties; these difficulties prevented the police department from assigning staff to plan, implement, and oversee training of new university employees.

Failure to document overview training for new hires increases the risk that training for some individuals will be overlooked and that emergency response could be inadequate.

### **Recommendation 4**

We recommend that the campus ensure that documentation to support overview emergency management plan training for new hires is developed and maintained on file.

### **Campus Response**

We concur. The human resources department will develop and maintain documentation to support overview emergency management plan training for new hires, which will be incorporated into the new employee orientation program. These changes were initiated on February 1, 2007.

## **SPECIALIZED EMERGENCY TRAINING**

Specialized training and related documentation for disaster and emergency preparedness needed strengthening.

We found that:

- ▶ The campus was unable to provide adequate documentation to support emergency management plan specialized training for building marshals/coordinators, including type of training, dates of training, names of individuals trained, and evidence of a course syllabus or an agenda showing topics covered in the training.
- ▶ Emergency team members were not sufficiently trained in the alternate emergency operations center (EOC). Interviews conducted with five members of emergency management team revealed that they had not been trained in the EOC. Additionally, three of the interviewees did not recognize the existence and/or location of an official alternate EOC.

SEMS Guidelines, *Planning and Developing SEMS, Operational Area*, dated December 23, 1994, advises that all personnel who will be staffing positions in the operational area EOC must maintain minimum training competencies pursuant to the approved course of instruction. The training should be provided to primary and alternate EOC staff. Training should be initiated as soon as feasible after EOC staff is designated. Provisions should be made for an ongoing training program to accommodate personnel changes.

EO 921, *California State University Emergency Management Program*, dated November 12, 2004, states that the campus community is to be trained on the SEMS compliant plan to include, at a minimum, specialized training for employees who will operate as building marshals and for those designated as members of the campus emergency management team. Training attendance records shall be kept for a minimum of seven years.

GC §13401 states that each state agency must maintain effective systems of administrative control as an integral part of its management practices.

The chief of police stated that the department had recent staffing difficulties due to retirements and turnover of key personnel, but that recruiting efforts were currently underway for vacant positions. He further stated that this left the police department with a shortage of experienced staff to fulfill emergency preparedness tasks in addition to their daily duties; these circumstances made it difficult to provide consistent and effective implementation of the campus' Safe Actions for Emergencies Program. He added that efforts were focused on development of new primary EOC procedures due to the relocation of the EOC rather than alternate EOC training.

Failure to document specialized training for building marshals/coordinators and to provide alternate EOC training for emergency team members increases the risk that training for some individuals will be overlooked and that emergency response could be inadequate.

### **Recommendation 5**

We recommend that the campus ensure that documentation to support specialized training for building marshals/coordinators is maintained on file, and that alternate EOC training is provided for emergency team members.

### **Campus Response**

We concur. The campus will review its emergency preparedness training program to ensure that adequate specialized training is provided for building marshals/coordinators and that alternate EOC training is provided for emergency team members. Additionally, the campus will develop procedures to ensure that all training is documented and maintained on file. Monthly EOC meetings are currently held and discussions relating to alternate EOC locations are included. Effective January 15, 2007, all rooms/buildings have placards relating to evacuation procedures. Building marshals/coordinators took part in a campuswide emergency disaster drill on January 26, 2007.

## **TESTING AND DRILLS**

### **EVACUATION DRILLS**

The campus evacuation exercise log did not support the evacuation of areas other than the residence halls (i.e., laboratory areas, all classroom areas, the library, etc.).

EO 921, *California State University Emergency Management Program*, dated November 12, 2004, instructs the campus to conduct periodic testing of simulated emergency incidents, and emergency communications including the periodic testing of mutual aid and assistance agreements. Administrative review of the campus emergency plan shall be conducted annually by members of the emergency management organization. Testing shall be conducted utilizing one of the following formats and varying the type of event:

1. Orientation/Seminar – Informal, no simulation, discussion of roles and responsibilities, introduction of policies, procedures, plans, and responsibilities.
2. Tabletop – Informal discussion of simulated emergency, no time pressures, low stress, useful for evaluating plans and procedures and resolving questions of coordination and responsibility.
3. Drill – Single emergency response function, single agency involvement, often a field component.
4. Functional – Policy and coordination personnel practice emergency response, stressful, realist simulation, takes place in real time, emphasizes emergency functions, EOC is activated.

5. Full scale – Takes place in real time, employees treat real people and use emergency equipment, coordinates many agencies, tests several emergency functions, EOC is activated, produces high stress.

The chief of police stated that the department had recent staffing difficulties due to retirements and turnover of key personnel, but that recruiting efforts were currently underway for vacant positions. He further stated that this left the police department with a shortage of experienced staff, which made it difficult to implement frequent evacuation drills in academic and business buildings across the campus.

Failure to adequately rotate the buildings conducting evacuation drills increases the likelihood that one of the campus' significant areas would be inadequately prepared to respond during an emergency.

### **Recommendation 6**

We recommend that the campus develop procedures, which ensure that, over time, evacuation drills are conducted at all significant areas of the campus, such as the residence halls, laboratory areas, all classroom areas, the library, etc.

### **Campus Response**

We concur. The campus will practice/drill at various levels annually. As an example, the campus conducted a full-scale earthquake drill on January 26, 2007, which included the activation of alternate EOC locations and building evacuations. There are monthly EOC meetings, tabletop drills with campuswide participation, and limited evacuations – the evacuation locations alternate with each drill. In addition, specific areas such as residence halls have annual full-scale evacuation drills.

## **BUSINESS CONTINUITY PLAN TESTING**

The campus had developed a financial services plan; however, the plan had not been formally tested.

EO 921, *California State University Emergency Management Program*, dated November 12, 2004, states that each campus shall develop a business continuity plan. Further, almost all business continuity plans contain certain common elements including testing and auditing the plans to determine the effectiveness of the overall business continuity and incident recovery program. This includes a review and documentation of test results and lessons learned. The review should occur annually, with testing occurring every two years at a minimum.

The associate vice president of business services stated that the campus had established a central business continuity structure, but had not provided any specialized training in business continuity recovery; therefore, the campus had not formally tested the plan.

Inadequate testing of the business continuity plans increases the risk of ineffective preparedness and unavailability of essential services.

**Recommendation 7**

We recommend that the campus develop and exercise test plans sufficient to ensure the effectiveness of campus business continuity activities, including a review and documentation of test results and lessons learned.

**Campus Response**

We concur. The campus will update its existing business continuity plan. In addition, the campus will exercise and document test results and lessons learned from the testing by May 1, 2007.

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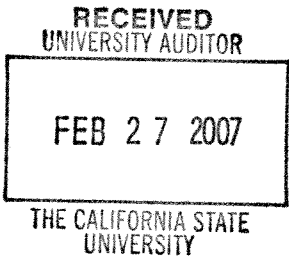
## **APPENDIX A: PERSONNEL CONTACTED**

<b><u>Name</u></b>	<b><u>Title</u></b>
Rollin C. Richmond	President
David Bugbee	Director, Contracts and Procurement
John Capaccio	Director, Housing and Dining Services
Carl Coffey	Vice President for Administrative Affairs
Tammy Curtis	Associate Director, Human Resources
Thomas Dewey	Chief of Police, University Police
Mary Ann Evans	Lead Buyer II, Contracts and Procurement
Anna Kircher	Chief Information Officer, Information Technology Services
Aleli Lawson	Assistant to the Chief, University Police
Colin Livasy	Facilities Worker, Plant Operations
Paul Mann	Senior Communication Officer, Public Affairs
Jan Marnell	Administrative Support, University Police
Lori Rudebock	Internal Auditor, Administrative Affairs
Robert Schulz	Associate Vice President, Facilities Management
Rebecca Stauffer	Director, Student Health and Counseling
Monika Stoeffl	Residential Life Coordinator, Housing and Dining Services
Carol Terry	Associate Vice President for Business Services



# HUMBOLDT STATE UNIVERSITY

Office of the President



February 28, 2007

Larry Mandel  
University Auditor  
The California State University  
401 Golden Shore  
Long Beach, CA 90802-4210

Re: Disaster and Emergency Preparedness Audit Report Number 06-41

Dear Mr. Mandel: *Larry*

Please find enclosed Humboldt State University's responses to Audit Report Number 06-41, Disaster and Emergency Preparedness, Humboldt State University. We appreciate the efforts that you and your staff have made to indicate areas where our procedures could be strengthened. The campus is committed to addressing and resolving the issues noted in the audit report.

Please direct questions concerning the responses to Carol Terry, Associate Vice President for Business Services at 707-826-5728.

Sincerely,

Rollin C. Richmond  
President  
RCR:pl

Enclosure

- cc: Carl Coffey, Vice President, Administrative Affairs
- Carol Terry, Associate Vice President for Business Services
- Steve Butler, Vice President, Student Affairs
- Tom Dewey, Chief, University Police

## DISASTER AND EMERGENCY PREPAREDNESS

### HUMBOLDT STATE UNIVERSITY

Audit Report 06-41

January 8, 2007

## EMERGENCY MANAGEMENT PLAN

### EMERGENCY PLAN UPDATES AND DISTRIBUTION

#### Recommendation 1

We recommend that the campus:

- a. Simultaneously update and disseminate both paper and data file versions of the emergency management plan.
- b. Annotate the review date on the hard copy version of the emergency management plan.
- c. Ensure that emergency team members maintain a hard copy of the emergency management plan in more than one location (i.e., car, home, office).

#### Campus Response

We concur. The campus emergency operation plan and guidelines were updated October 2006 and are available online at <http://studentaffairs.humboldt.edu/police/>. Hard copies will be distributed to all cognizant persons by May 1, 2007. The Plan will be updated again August 1, 2007 and disseminated similarly.

All significant emergency response personnel section/building coordinators and above will have multiple copies ensuring access at work and home. This will be enacted by May 1, 2007.

### SATELLITE OR OFF-SITE FACILITIES

#### Recommendation 2

We recommend that the campus include all satellite or off-site locations in the campuswide emergency management plan or create a specific plan for the locations that are not included.

#### Campus Response

We concur. The director of each satellite location will develop, incorporate and distribute an emergency plan by August 1, 2007.

## **CAMPUS ROSTER OF EMERGENCY RESOURCES**

### **Recommendation 3**

We recommend that the campus update its roster of resources to include all items detailed in EO 921, including the location of the items.

### **Campus Response**

We concur. The campus will update its roster of emergency resources to include all items detailed in EO 921, including location; further, the campus will review the roster annually. The roster will be updated by August 1, 2007.

## **COMMUNICATIONS AND TRAINING**

### **OVERVIEW TRAINING**

#### **Recommendation 4**

We recommend that the campus ensure that documentation to support overview emergency management plan training for new hires is developed and maintained on file.

#### **Campus Response**

We concur. The human resources department will develop and maintain documentation to support overview emergency management plan training for new hires which will be incorporated into the new employee orientation program. These changes were initiated February 1, 2007.

### **SPECIALIZED EMERGENCY TRAINING**

#### **Recommendation 5**

We recommend that the campus ensure that documentation to support specialized training for building marshals/coordinators is maintained on file, and that alternate EOC training is provided for emergency team members.

#### **Campus Response**

We concur. The campus will review its emergency preparedness training program to ensure that adequate specialized training is provided for building marshals/coordinators and that alternate EOC training is provided for emergency team members. Additionally, the campus will develop procedures to ensure that all training is documented and maintained on file. Monthly EOC meetings are currently held and discussions relating to alternate EOC locations included. Effective January 15, 2007, all rooms/buildings have placards relating to evacuations procedures. Building marshals/coordinators took part in a campus-wide emergency disaster drill January 26, 2007.

## TESTING AND DRILLS

### EVACUATION DRILLS

#### Recommendation 6

We recommend that the campus develop procedures, which ensure that, over time, evacuation drills are conducted at all significant areas of the campus, such as the residence halls, laboratory areas, all classroom areas, the library, etc.

#### Campus Response

We concur. The campus will practice/drill at various levels annually. As an example, the campus conducted a full-scale earthquake drill on January 26, 2007, which included the activation of alternate EOC locations and building evacuations. There are monthly EOC meetings, tabletop drills with campus-wide participation and limited evacuations the evacuation locations alternate with each drill. In addition, specific areas such as residence halls have annual full-scale evacuation drills.

### BUSINESS CONTINUITY PLAN TESTING

#### Recommendation 7

We recommend that the campus develop and exercise test plans sufficient to ensure the effectiveness of campus business continuity activities, including a review and documentation of test results and lessons learned.

#### Campus Response

We concur. The campus will update its existing business continuity plan. In addition, the campus will exercise and document test results and lessons learned from the testing by May 1, 2007.

  
**THE CALIFORNIA STATE UNIVERSITY**  
 OFFICE OF THE CHANCELLOR

BAKERSFIELD

March 26, 2007

CHANNEL ISLANDS

CHICO

**MEMORANDUM**

DOMINGUEZ HILLS

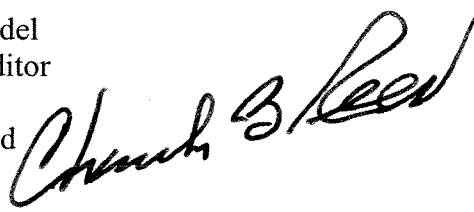
EAST BAY

TO: Mr. Larry Mandel  
University Auditor

FRESNO

FULLERTON

FROM: Charles B. Reed  
Chancellor



HUMBOLDT

LONG BEACH

SUBJECT: Draft Final Audit Report 06-41 on *Disaster and Emergency Preparedness*, Humboldt State University

LOS ANGELES

MARITIME ACADEMY

In response to your memorandum of March 26, 2007, I accept the response as submitted with the draft final report on *Disaster and Emergency Preparedness*, Humboldt State University.

MONTEREY BAY

NORTHRIDGE

CBR/jt

POMONA

Enclosure

SACRAMENTO

SAN BERNARDINO

cc: Mr. Carl Coffey, Vice President, Administrative Affairs  
Dr. Rollin C. Richmond, President

SAN DIEGO

SAN FRANCISCO

SAN JOSÉ

SAN LUIS OBISPO

SAN MARCOS

SONOMA

STANISLAUS