

**DISASTER AND EMERGENCY PREPAREDNESS**

**CALIFORNIA STATE UNIVERSITY  
OFFICE OF THE CHANCELLOR**

**Audit Report 06-42  
January 30, 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
ORM	Office of Risk Management
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 California State University Office of the Chancellor from September 18, 2006, through October 20, 2006, and audited the procedures in effect at that time.

In our opinion, internal administrative and operational controls governing disaster and emergency preparedness were generally effective. However, stocking emergency food supplies, conducting threat assessments, preparing an avian flu pandemic plan, incorporating emergency communications strategy and plans, documentation of overview and specialized training activities, testing of simulated incidents and after action reports for evacuations, and aid and assistance procedures 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.

### **GENERAL ENVIRONMENT [6]**

Emergency food supplies at both the primary and alternate emergency operations centers (EOC) contained no expiration date. Additionally, the chancellor's office EOC team had not convened, threat assessments had not been conducted, and a written avian flu pandemic plan had not been prepared.

### **COMMUNICATIONS AND TRAINING [8]**

The chancellor's office was unable to provide evidence of a written strategy to coordinate the release of emergency public information with the State Office of Emergency Services. Documentation to support overview emergency management plan training for certain new hires was incomplete because supporting training logs could not be provided in nine of ten instances reviewed. Furthermore, the chancellor's office was unable to provide evidence of specialized emergency training for the emergency management team, the EOC team, or for building marshals in the areas of Incident Command System and crisis response, or in Standardized Emergency Management System guidelines and certification.

### **TESTING AND DRILLS [11]**

Evidence of testing of simulated emergency incidents such as earthquakes and hazardous material situations, documentation of test results and lessons learned from evacuations, coordination of the chancellor's office comprehensive emergency management activities with outside agencies, and testing of aid and assistance agreements needed improvement.

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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 MANAGEMENT RESPONSES

## GENERAL ENVIRONMENT

### EMERGENCY FOOD SUPPLIES

Emergency food supplies at both the primary and alternate emergency operations centers (EOC) contained no expiration date.

Executive Order (EO) 921, *California State University Emergency Management Program*, dated November 12, 2004, states that the campus should establish and equip a functional campus EOC consistent with Standardized Emergency Management System (SEMS) guidelines. Attachment A provides minimum equipment and supplies guidelines, which include food and water (minimum three-day supply for each member of the EOC team).

The director of administration stated that the manufacturer indicated that the contents had a shelf life of approximately five years and they recommended that the product not be used after 2005.

Failure to properly stock an EOC with usable food and water increases the risk that the chancellor's office would be unable to support emergency operations for an extended period of time.

#### **Recommendation 1**

We recommend that the chancellor's office ensure that the EOC is stocked with emergency food supplies that are within the manufacturer's recommended shelf life guidelines.

#### **Management Response**

As of February 9, 2007, emergency food supply that existed in the EOC was disposed of and replaced with a new supply that has a shelf life (nutritional value guaranteed) of up to six years from time of purchase. The Food and Drug Administration has not established a shelf life for bottled water. In the United States, bottled water's shelf life is date stamped as two years. This acts as a Stock Keeping Unit number and is mainly for stock rotation purposes. It does not imply that the product is compromised after that date.

### EMERGENCY THREAT ASSESSMENTS

The chancellor's office EOC team had not convened, and threat assessments had not been conducted.

Chancellor's Memorandum, *University Safety and Security/Emergency Operations Plans*, dated March 21, 2003, states, in part, that to be fully prepared with emergency operations and communications plans, management should convene the EOC team and conduct threat assessments to ensure that well-rehearsed and clearly understood emergency operations plans are in place.

The director of administration stated that, except for the emergency preparedness plans, he was unable to locate any documentation regarding prior year's EOC team meetings or threat assessment activities.

Failure to convene the EOC team and conduct threat assessments increases the risk that the EOC team would be unprepared to properly respond to emergencies.

### **Recommendation 2**

We recommend that the chancellor's office convene the EOC team periodically and conduct threat assessments to identify threats specific to the chancellor's office.

### **Management Response**

Threat assessments are being drafted for the following disasters, floods, earthquakes, fires, civil disorder, hazardous material, utility failure, terrorism, and aircraft incident, that might affect the Office of the Chancellor. These assessments will be distributed to the EOC policy team for their review and concurrence by the end of February 2007. Once the policy team has reviewed and approved the threat assessments, they will be incorporated into the chancellor's office emergency operations plan.

By the end of February 2007, the EOC director will establish a schedule for EOC policy team meetings and meetings with the chiefs of each of the EOC teams (planning and intelligence, operations, logistics, and fiscal/administration).

### **WRITTEN AVIAN FLU PANDEMIC PLAN**

The chancellor's office had not prepared a written avian flu pandemic plan.

Systemwide Office of Risk Management (ORM) Guideline, *Avian Pandemic Influenza Business Continuity Planning Guide*, dated November 19, 2005, along with subsequent guidance from the ORM, indicate that all California State University (CSU) offices, campuses, and facilities are to develop a written site specific avian flu pandemic plan and forward a copy of the plan to the ORM by May 31, 2006.

Government Code (GC) §13402 states, in part, that state agency heads are responsible for the establishment and maintenance of a system or systems of internal administrative control within their agencies. This responsibility includes documenting the system, communicating system requirements to employees, and assuring that the system is functioning as prescribed.

The director of administration stated that the previous director did not develop a plan in time to meet the ORM's May 31, 2006, deadline. He further stated that the current task group had suffered delays in convening.

Failure to prepare a written avian flu pandemic plan increases the risk that the EOC teams would be unprepared to properly respond to an avian flu pandemic.

**Recommendation 3**

We recommend that the chancellor's office prepare a written avian flu pandemic plan and forward it to the systemwide ORM.

**Management Response**

The director of the EOC will coordinate the drafting of a written avian flu pandemic plan to be completed by the end of May 2007 and reviewed by the steering committee for developing an avian flu pandemic plan. After the steering committee has reviewed and approved the plan, it will be submitted to the systemwide ORM.

**COMMUNICATIONS AND TRAINING**

**EMERGENCY COMMUNICATIONS**

Emergency communications strategy and plans needed to be improved.

The chancellor's office was unable to provide evidence to the auditor of a written strategy to coordinate the release of emergency public information with the State Office of Emergency Services (OES). Additionally, the chancellor's office could not provide evidence of a written emergency communications coordination protocol or plan.

State of California Emergency Plan, Part I, Section N, states that state agencies shall coordinate the release of emergency public information with the OES public information office.

The director of administration stated that the public information officer clearly had protocols and templates in place for communicating information of specific incidents. However, he stated he was unable to find any documentation or protocol for initiating communications with the State OES.

Failure to prepare a written communications protocol and plan increases the risk that the EOC team would be unable to coordinate communications effectively with emergency agencies.

**Recommendation 4**

We recommend that the chancellor's office incorporate written protocols and plans within the emergency operations plan to coordinate the release of emergency public information with the State OES.

### **Management Response**

The director of emergency operation and the public information officer will produce a set of written protocols for the release of emergency public information with the State OES. This document will be completed by the end of February 2007 and incorporated into the chancellor's office emergency operation plan.

### **OVERVIEW TRAINING**

Documentation to support overview emergency management plan training for certain new hires was incomplete.

Our review of overview training for ten new hires disclosed that supporting training logs could not be provided by the chancellor's office in nine instances.

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 director of administration stated that training is provided during new employee orientation, but signed acknowledgements by employees at completion of the training had not been collected on a regular basis.

Failure to ensure overview training for new hires increases the likelihood that emergency response would be inadequate.

### **Recommendation 5**

We recommend that the chancellor's office ensure that documentation to support overview emergency management plan training for all new hires is maintained on file.

### **Management Response**

The director of emergency operation will be working with the human resource organization to develop a policy and procedure for ensuring the training of new employees in the area of safety and emergency preparedness is documented and recorded in their employee file as well as centralized within the office of the facility safety coordinator. This activity will be completed by the end of March 2007.

## **SPECIALIZED EMERGENCY TRAINING**

Specialized emergency training for disaster and emergency needed improvement.

The chancellor's office was unable to provide evidence of specialized emergency training for the emergency management team, the EOC team, or for building marshals in the areas of Incident Command System and crisis response, or in SEMS guidelines and certification.

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 are 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.

The director of administration stated that emergency response teams were being reevaluated to ensure that the right individuals were on the right teams. He further stated that team chiefs had been asked to identify required skills.

Absence of specialized emergency training in critical emergency management skills increases the likelihood that an emergency response would be inadequate.

### **Recommendation 6**

We recommend that the chancellor's office ensure that specialized emergency training be provided to the emergency management team, the EOC team, and to building marshals, and that documentation to support the specialized emergency training be on file for a minimum of seven years.

### **Management Response**

Training programs will be identified and a training schedule for the emergency management team, the EOC team, and building marshals will be developed and put in place by the end of March 2007. Documentation will be centralized within the office of the director of emergency planning (director of administration and operations) for all programs and retained for seven years.

## TESTING AND DRILLS

### INCIDENT TESTING AND AFTER ACTION REPORTS FOR DRILLS

Testing of simulated incidents and after action reports for evacuation drills needed improvement.

The chancellor's office could not provide evidence that it conducted periodic testing of simulated emergency incidents such as earthquakes and hazardous material situations. Although evacuations were practiced, test results and lessons learned from such evacuations were not documented.

EO 921, *California State University Emergency Management Program*, dated November 12, 2004, states, in part, that the CSU facility shall conduct periodic testing of simulated emergency incidents and a program of evacuation drills should be conducted on a regular basis. At the completion of each exercise or simulated emergency incident, full documentation of test results and lessons learned shall be reviewed with the facility's emergency planning team and maintained by the emergency planner for a period of not less than five years.

The director of administration stated that incident testing and after action reports had not been completed because other priorities such as revitalizing the existing emergency preparedness operations and teams needed to be completed first. Additionally, he stated that fire drills had been conducted, however post drill evaluations had not been adequately documented.

Failure to conduct periodic testing of simulated emergency incidents, and fully document and evaluate test results and lessons learned increases the likelihood that emergency response would be inadequate.

#### **Recommendation 7**

We recommend that the chancellor's office conduct periodic testing of simulated emergency incidents and provide after action reports.

#### **Management Response**

The facility's safety coordinator will ensure there are at least two fire drills conducted each year and that the post drill analysis will be formally documented and the documentation retained for seven years. The director of emergency preparedness will work with campus emergency preparedness directors to identify and conduct simulated emergency incidents for the chancellor's office EOC team and the emergency management teams (operations, logistics, fiscal and administration, and planning and intelligence). Once appropriate testing activities have been identified, a schedule for conducting the simulations will be established. Results of simulated testing will be analyzed by the teams and documented. The process of identifying the simulated tests and establishing a schedule for conducting the programs will be completed by the end of March 2007.

## **AID AND ASSISTANCE ACTIVITIES AND AGREEMENTS**

Chancellor's office aid and assistance procedures needed improvement.

We found that the chancellor's office:

- ▶ Had not coordinated its comprehensive emergency management activities on a regular basis with city, county, local, state, federal, and private agencies in order to increase its readiness.
- ▶ Was unable to provide evidence that it had tested aid and assistance agreements.

EO 921, *California State University Emergency Management Program*, dated November 12, 2004, states, in part, that the campus shall interact and coordinate comprehensive emergency management activities, on a regular basis, with appropriate city, county, operations area, state, federal government, and private agencies to increase the readiness of the university. The campus shall conduct periodic testing of simulated emergency incidents, and emergency communications including the periodic testing of mutual aid and assistance agreements.

The director of administration stated that emergency management coordination and aid and assistance activities were not yet accomplished because other priorities such as revitalizing the existing emergency preparedness operations and teams needed to be completed first.

Inadequate coordination of emergency management activities and testing of aid and assistance agreements increases the risk that the anticipated response would not be adequate to meet chancellor's office needs.

### **Recommendation 8**

We recommend that the chancellor's office:

- a. Coordinate its emergency management activities with appropriate public and private agencies.
- b. Develop and exercise test plans sufficient to ensure the effectiveness of aid and assistance agreements, including a review and documentation of test results and lessons learned.

### **Management Response**

Upon further review of EO 921, the California State guidelines for a Standardized Emergency Management System, The California Disaster and Civil Defense Master Mutual Aid Agreement, and discussions with EOC managers participating in mutual aid agreements, we have determined that the audit finding and recommendation does not apply to the Office of the Chancellor. Mutual aid agreements are entered into on a voluntary basis between local (city), countywide, regional, statewide, and interstate agencies that have the resources and facilities to support each other when one party's resources are exhausted. Discipline specific mutual aid systems have been developed for fire and rescue, law, medical, and public works. Our CSU campuses that have police forces are

participants in law enforcement mutual aid agreements. The chancellor's office is not a large enough entity to maintain its own police force, fire department, or medical facility and therefore has no mechanism for providing mutual aid.

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## **APPENDIX A: PERSONNEL CONTACTED**

### **Name**

### **Title**

Richard P. West	Executive Vice Chancellor and Chief Financial Officer
Sue Bell-Ramirez	Assistant Director, Administration
Robert Boyhan	Director, Administration
Christine Destefano	Web Manager, Communications Department
Dennis Hordyk	Assistant Vice Chancellor, Financial Services
Clara Potes-Fellow	Media Relations Manager, Public Affairs
Tom Roberts	Director, Contract Services and Procurement
Michelle Schlack	Associate Director, Risk Management
Jerry Wilde	Facilities Manager, Building Services



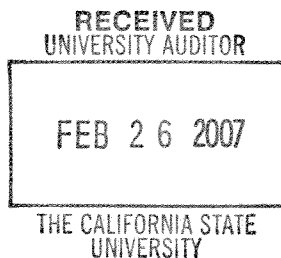
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Executive Vice Chancellor/CFO

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**Date:** February 22, 2007

**TO:** Larry Mandel  
University Auditor



**From:** Richard West  
Executive Vice Chancellor & CFO

**Subject:** Disaster and Emergency Preparedness – Audit 06-42 Response

Attached is the Chancellor’s Office response to the Chancellor’s Office Disaster and Emergency Preparedness audit recommendations. Our response is based on a review of the documentation and procedural recommendation identified by your staff as needing improvement. We believe our corrective actions will be sufficient to establish the documentation policies and operating procedures, and comply with the recommendations.

We would like to thank your staff for the professionalism displayed during the course of the audit.

RW:kg

Attachment

**CSU Campuses**  
Bakersfield  
Channel Islands  
Chico  
Dominguez Hills  
East Bay

Fresno  
Fullerton  
Humboldt  
Long Beach  
Los Angeles  
Maritime Academy

Monterey Bay  
Northridge  
Pomona  
Sacramento  
San Bernardino  
San Diego

San Francisco  
San José  
San Luis Obispo  
San Marcos  
Sonoma  
Stanislaus

**DISASTER AND EMERGENCY PREPAREDNESS****CALIFORNIA STATE UNIVERSITY  
OFFICE OF THE CHANCELLOR****Audit Report 06-42  
January 30, 2007****GENERAL ENVIRONMENT****EMERGENCY FOOD SUPPLIES****Recommendation 1**

We recommend that the chancellor's office ensure that the EOC is stocked with emergency food supplies that are within the manufacturer's recommended shelf life guidelines.

**Management Response**

As of February 9, 2007, emergency food supply that existed in the EOC was disposed of and replaced with a new supply that has a shelf life (nutritional value guaranteed) of up to six years from time of purchase. The FDA has not established a shelf life for bottled water. In the United States bottled water's shelf life is date stamped as two years. This acts as a SKU number and is mainly for stock rotation purposes. It does not imply that the product is compromised after that date.

**EMERGENCY THREAT ASSESSMENTS****Recommendation 2**

We recommend that the chancellor's office convene the EOC team periodically and conduct threat assessments to identify threats specific to the chancellor's office.

**Management Response**

Threat assessments are being drafted for the following disasters, Floods, Earthquakes, Fires, Civil Disorder, Hazardous Material, Utility Failure, Terrorism and Aircraft Incident that might affect the Office of the Chancellor. These assessments will be distributed to the EOC Policy Team for their review and concurrence by the end of February 2007. Once the policy team has reviewed and approved the threat assessments they will be incorporated into the Chancellor's Office Emergency Operations Plan.

By the end of February 2007 the EOC Director will establish a schedule for EOC Policy Team meetings and meetings with the chiefs of each of the EOC teams (Planning and Intelligence, Operations, Logistics and Fiscal/Administration).

## WRITTEN AVIAN FLU PANDEMIC PLAN

### Recommendation 3

We recommend that the chancellor's office prepare a written avian flu pandemic plan and forward it to the systemwide ORM.

### Management Response

The Director of the EOC will coordinate the drafting of a written avian flu pandemic plan to be completed by the end of May 2007 and reviewed by the steering committee for developing an avian flu pandemic plan (Jackie McClain, Charlene, Minnick, Marks Crase, Beverly Thornton and Bob Boyhan). After the steering committee has reviewed and approved the plan it will be submitted to the system wide ORM.

## COMMUNICATIONS AND TRAINING

### EMERGENCY COMMUNICATIONS

#### Recommendation 4

We recommend that the chancellor's office incorporate written protocols and plans within the emergency operations plan to coordinate the release of emergency public information with the State OES.

#### Management Response

The Director of Emergency Operation and the Public Information Officer will produce a set of written protocols for the release of emergency public information with the State Office of Emergency Services. This document will be completed by the end of February 2007 and incorporated into the Chancellor's Office emergency operation plan.

### OVERVIEW TRAINING

#### Recommendation 5

We recommend that the chancellor's office ensure that documentation to support overview emergency management plan training for all new hires is maintained on file.

#### Management Response

The Director of Emergency Operation will be working with the Human Resource organization to develop a policy and procedure for ensuring the training of new employees in the area of safety and emergency preparedness is documented and recorded in their employee file as well as centralized within the office of the Facility Safety Coordinator. This activity will be completed by the end of March 2007.

## **SPECIALIZED EMERGENCY TRAINING**

### **Recommendation 6**

We recommend that the chancellor's office ensure that specialized emergency training be provided to the emergency management team, the EOC team, and to building marshals, and that documentation to support the specialized emergency training be on file for a minimum of seven years.

### **Management Response**

Training programs will be identified and a training schedule for the emergency management team, the EOC team, and building marshals will be developed and put in place by the end of March 2007. Documentation will be centralized within the office of the Director of Emergency Planning (Director of Administration and Operations) for all programs and retained for seven years.

## **TESTING AND DRILLS**

### **INCIDENT TESTING AND AFTER ACTION REPORTS FOR DRILLS**

#### **Recommendation 7**

We recommend that the chancellor's office conduct periodic testing of simulated emergency incidents and provide after action reports.

#### **Management Response**

The facility's Safety Coordinator will ensure there are at least two fire drills conducted each year and that the post drill analysis will be formally documented and the documentation retained for seven years. The Director of Emergency Preparedness will work with campus emergency preparedness directors to identify and conduct simulated emergency incidents for the Chancellor's Office EOC team, the emergency management teams (Operations, Logistics, Fiscal and Administration, and Planning and Intelligence). Once appropriate testing activities have been identified a schedule for conducting the simulations will be established. Results of simulated testing will be analyzed by the teams and documented. The process of identifying the simulated tests and establishing a schedule for conducting the programs will be completed by the end of March 2007.

## **AID AND ASSISTANCE ACTIVITIES AND AGREEMENTS**

### **Recommendation 8**

We recommend that the chancellor's office:

- a. Coordinate its emergency management activities with appropriate public and private agencies.
- b. Develop and exercise test plans sufficient to ensure the effectiveness of aid and assistance agreements, including a review and documentation of test results and lessons learned.

**Management Response**

Upon further review of Executive Order 921, the California State guidelines for a Standardized Emergency Management System, The California Disaster and Civil Defense Master Mutual Aid Agreement and discussions with EOC managers participating in mutual aid agreements, I have determined that the audit finding and recommendation does not apply to the Office of the Chancellor. Mutual aid agreements are entered into on a voluntary basis between local (city), countywide, regional, statewide and interstate agencies that have the resources and facilities to support each other when one party's resources are exhausted. Discipline specific mutual aid systems have been developed for fire and rescue, law, medical, and public works. Our CSU campuses that have police forces are participants in law enforcement mutual aid agreements. The Chancellor's Office is not a large enough entity to maintain its own police force, fire department or medical facility and therefore has no mechanism for providing mutual aid.



THE CALIFORNIA STATE UNIVERSITY  
OFFICE OF THE CHANCELLOR

BAKERSFIELD

March 26, 2007

CHANNEL ISLANDS

CHICO

**MEMORANDUM**

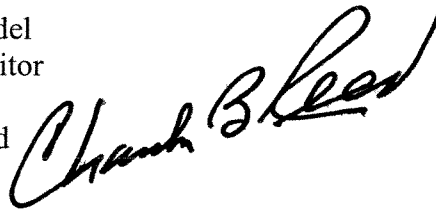
DOMINGUEZ HILLS

EAST BAY

FRESNO

TO: Mr. Larry Mandel  
University Auditor

FULLERTON

FROM: Charles B. Reed  
Chancellor


HUMBOLDT

LONG BEACH

SUBJECT: Draft Final Audit Report 06-42 on *Disaster and Emergency Preparedness*, California State University Office of the Chancellor

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*, California State University Office of the Chancellor.

MONTEREY BAY

NORTHRIDGE

CBR/jt

POMONA

Enclosure

SACRAMENTO

SAN BERNARDINO

cc: Mr. Dennis Hordyk, Assistant Vice Chancellor, Financial Services  
Mr. Richard P. West, Executive Vice Chancellor and Chief Financial Officer

SAN DIEGO

SAN FRANCISCO

SAN JOSÉ

SAN LUIS OBISPO

SAN MARCOS

SONOMA

STANISLAUS