

**DISASTER AND EMERGENCY PREPAREDNESS**

**CALIFORNIA STATE UNIVERSITY,  
CHANNEL ISLANDS**

**Audit Report 06-44  
January 4, 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
IT	Information Technology
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 California State University, Channel Islands campus from October 2, 2006, through November 3, 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 campus roster of emergency resources, emergency plan availability and distribution, alternate emergency assignments, mutual aid and assistance agreement preparation, overview and specialized emergency training, and information technology (IT) 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 [6]**

The campus roster of emergency resources was incomplete, inappropriate, and outdated. It did not include food and water, it included gardening equipment and daily building maintenance equipment, and various subparts of the roster lacked the date of last review and update. In addition, the availability and distribution of the emergency plan needed improvement. The campus web version of the plan was neither readily available nor easily accessible. Emergency plans and procedures were posted on several web pages that were not cross-linked, and none of the web pages was accessible from a single web page link location. Additionally, the emergency plan had not been distributed to the emergency team in multiple formats, such as on CD or other media.

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

Alternate emergency response assignments were not designated for all key positions. The emergency management roster did not show alternates for the campus president and other responsible positions. In addition, the campus mutual aid and assistance agreement with the Ventura County Sheriff's Department was incomplete and outdated because it focused mainly on campus safety issues rather than disaster and emergency incident assistance. Furthermore, documentation to support overview emergency management plan training for new hires and specialized training for building marshals and emergency team members was incomplete. Lastly, provisions had not been made for the emergency training and assignment of student health center staff.

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

The IT business continuity disaster recovery plan had neither been tested nor recently reviewed.

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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**

#### **CAMPUS ROSTER OF EMERGENCY RESOURCES**

The campus roster of emergency resources was incomplete, inappropriate, and outdated.

Our review of the campus roster of emergency resources disclosed that:

- ▶ The roster did not include food and water.
- ▶ The roster included gardening equipment and daily building maintenance equipment rather than being limited to only emergency resources.
- ▶ Various subparts of the roster lacked the date of last review and update.

Executive Order (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 these at least annually. The “updated as of date” should appear on each roster.

The director of public safety stated that the campus roster of emergency resources was not current due to a misunderstanding of the requirements for developing and updating the roster.

Failure to maintain an adequate and updated campus roster of emergency resources increases the risk that delays in locating critical resources could occur during an emergency.

#### **Recommendation 1**

We recommend that the campus update its roster of emergency resources to include food and water, eliminate non-emergency resources, and ensure that all subparts of the roster are updated at least annually, including a notation of the “updated as of date.”

#### **Campus Response**

We agree. We will update our emergency resources roster no later than March 1, 2007.

## **EMERGENCY PLAN AVAILABILITY AND DISTRIBUTION**

Availability and distribution of the emergency plan needed improvement.

Our review of emergency plan communications showed that:

- ▶ The emergency plan version on the campus website was neither readily available nor easily accessible. For example, we found that the emergency plans and procedures were posted on several web pages that were not cross-linked, and none of the web pages was accessible from a single web page link location.
- ▶ Some of the emergency team members interviewed did not have the emergency plan in multiple formats. Typically, they had hard copies of the plan, but they did not always have complete data file formats distributed to them on CD or other media.

EO 921, *California State University Emergency Management Program*, dated November 12, 2004, states that 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 director of public safety stated that the emergency plan was not more readily available and accessible because the campus had not fully considered plan availability and accessibility, the use of multiple formats, or the means by which it could be clearly posted on the campus website.

Failure to ensure that the emergency plan is readily available and distributed to emergency team members in a variety of formats limits the campus' ability to effectively respond to emergencies.

### **Recommendation 2**

We recommend that the campus:

- a. Review its website presentation of the campus emergency plan and take action to improve availability and accessibility.
- b. Develop and maintain an alternate version of its emergency plan for distribution to all emergency team members.

### **Campus Response**

- a. We agree. A committee, chaired by the executive director of communications and marketing, is already at work developing a strategy to clear this finding. We will be in compliance with this standard no later than May 1, 2007.
- b. We agree. We have completed work on an alternate version of the campus emergency plan. The public safety department distributed a CD containing all portions of the plan to all emergency team members.

## **COMMUNICATIONS AND TRAINING**

### **EMERGENCY ASSIGNMENTS**

Alternate emergency response assignments were not designated for all key positions.

Our review of campus documentation showed that it had not designated alternate assignments for all key emergency positions. The emergency management roster sent to the chancellor's office in December 2005 did not show alternates for the campus president, the emergency executive, the emergency operations center (EOC) director, the emergency coordinator, or the public information officer. Additionally, we found that the campus emergency management roster dated September 21, 2006, did not designate alternates for other responsible positions within the individual emergency operations section assignments, such as two positions on the emergency policy group and an alternate for the policy group liaison.

EO 921, *California State University Emergency Management Program*, dated November 12, 2004, states that on an annual basis, by December 1st, campuses should provide the Office of Risk Management and the systemwide Office of Human Resources at the chancellor's office with a roster of personnel as well as their designated backup staff essential to the operation of the emergency management plan.

Standardized Emergency Management System (SEMS) Guidelines, *Part 3 (action planning)* states that action planning identifies objectives, priorities, and assignments related to emergency response or recovery actions, and plans which document the priorities, objectives, tasks, and personnel assignments associated with meeting the objectives.

The director of public safety stated that the campus had not designated all alternate emergency response assignments because of the campus' small staff size, and a limited number of people who would be appropriate to assign to the alternate emergency role.

Failure to identify alternate emergency assignments in an emergency organization increases the risk that emergency response time could be delayed.

### **Recommendation 3**

We recommend that the campus update the emergency management roster to ensure consistency with its emergency policy group listing and identify alternate (backup) emergency assignments for all key response positions.

#### **Campus Response**

We agree. We will update our emergency management roster as required no later than March 1, 2007.

### **MUTUAL AID AND ASSISTANCE AGREEMENT**

The campus mutual aid and assistance agreement with the Ventura County Sheriff's Department was incomplete and outdated.

Our review of the campus written agreement with the Ventura County Sheriff's Department showed that it was dated December 3, 1999, and had neither been reviewed nor updated. Additionally, the agreement focused on campus safety issues and was silent on issues dealing with disaster and emergency incident assistance.

EO 921, *California State University Emergency Management Program*, dated November 12, 2004, states, in part, that the campus shall conduct periodic testing of simulated emergency incidents and emergency communications including the periodic testing of mutual aid and assistance agreements.

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 public safety stated that the campus had not recently reviewed and updated its mutual aid and assistance agreement with the Ventura County Sheriff's Department due to oversight.

Outdated mutual aid and assistance agreements increase the risk that the anticipated mutual aid response would not be adequate to meet campus needs.

### **Recommendation 4**

We recommend that the campus review and update its mutual aid and assistance agreement with the Ventura County Sheriff's Department to include assistance in disaster and emergency situations.

#### **Campus Response**

We agree. We will update our mutual aid and assistance agreement as required no later than May 1, 2007.

## **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 campus in three 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 public safety stated that the campus was diligent with regard to providing overview training, but had overlooked the need to maintain records of all individuals who were trained and ensure that all new hires were trained.

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

### **Recommendation 5**

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

### **Campus Response**

We agree. Human resources has included emergency management plan training for all new hires on its new employee orientation agenda. Human resources maintains the attendance and completion data in its office. The campus will conduct an annual audit to ensure that all new hires have received the required training, and that documentation is maintained on file.

## **SPECIALIZED EMERGENCY TRAINING**

Provisions had not been made for the emergency training and assignment of student health center staff, and documentation to support specialized training for building marshals and emergency team members was incomplete.

Our review of specialized emergency training for student health center staff, building marshals, and emergency team members showed that:

- ▶ The campus student health center was staffed through a contractual agreement with the Ventura County Health Care Agency. However, the agreement did not include a provision for the training and assignment of the student health center staff in disasters that may require emergency medical services.
- ▶ The campus was unable to provide documentation to support specialized training for all building marshals and emergency team members reviewed. Our review of training for 49 individuals who acted as building marshals and emergency team members showed that evidence of specialized building marshal and emergency training could not be provided in 10 and 13 instances, respectively.

EO 943, *Policy on University Health Services*, dated April 28, 2005, states that the president of designee shall be responsible for ensuring that campus emergency plans include a provision for the training and assignment of the student health center staff in disasters that may require emergency medical services.

EO 921, *California State University Emergency Management Program*, dated November 12, 2004, states that the campus community is to provide 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.

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.

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 public safety stated that the campus was unaware of the requirement to provide emergency training and assignment of the student health center staff since the campus health center was outsourced to an independent medical group. He further stated that the campus was diligent with regard to providing specialized training for building marshals and emergency team members, but had overlooked the need to maintain records for all individuals trained.

Failure to provide for the emergency training and assignment of the student health center staff and to maintain documentation of specialized training for emergency team members and building marshals increases the likelihood that emergency response would be inadequate.

### **Recommendation 6**

We recommend that the campus:

- a. Amend the agreement with the Ventura Health Care Agency to include a provision for the training and assignment of the student health center staff in disasters that may require emergency medical services.
- b. Ensure that documentation to support specialized training for building marshals and emergency team members is maintained on file.

### **Campus Response**

- a. We agree. We will amend the agreement with the Ventura Health Care Agency no later than May 1, 2007.
- b. We agree. Human resources and public safety both maintain files supporting specialized training for building marshals and emergency team members. The campus will conduct an annual audit to ensure that all documentation supporting such training is maintained on file.

## **TESTING AND DRILLS**

The information technology (IT) business continuity disaster recovery plan had neither been tested nor recently reviewed.

Our review disclosed that the campus IT business continuity disaster recovery plan had not been tested nor was there evidence that the plan had been reviewed within the last 12 months.

California State University, Channel Islands, *Business Continuity Disaster Recovery Planning*, dated February 2005, states that it is the intent of IT to conduct biannual drills with campus police to add unexpected elements to the decision-making process. After the drill, the test results will be documented.

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 director of public safety stated that the campus IT disaster recovery business continuity plan had not been tested because campuswide business continuity plans were currently being developed.

Inadequate testing and review of 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 IT business continuity disaster recovery plan activities, including a review and documentation of test results and lessons learned.

**Campus Response**

We agree. We will develop, exercise, and test an IT business continuity recovery plan no later than May 1, 2007.

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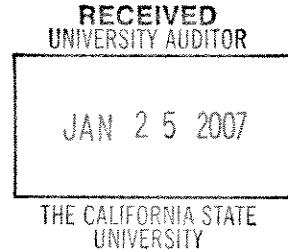
## **APPENDIX A: PERSONNEL CONTACTED**

<u>Name</u>	<u>Title</u>
Richard R. Rush	President
Colleen Bennett	Manager, Human Resources
Dave Chakraborty	Director, Facilities and Planning
Trae Cotton	Interim Dean of Student Life, Student Affairs
Joanne Coville	Vice President, Finance and Administration
Jeff Cowgill	Police Lieutenant, Public Safety
Emily Deakin	Manager, General Accounting
Caroline Doll	Director of Special Projects, Finance and Administration
Tracey Dunn	Administrative Support Coordinator, Public Safety
Christine Girardot	Technology Coordinator, Human Resources
Leah Kirklin	Manager, Procurement and Support Services
Bill Kupfer	Director, Environmental Health and Safety
John Reid	Director, Public Safety
Rhonda Tyacke	Executive Assistant, Finance and Administration
Deborah Wylie	Associate Vice President, Operations, Planning and Construction



Division of Finance and Administration

January 25, 2007



Mr. Larry Mandel  
University Auditor  
401 Golden Shore, 4<sup>th</sup> Floor  
Long Beach, CA 90802-4200

Dear Larry:

On behalf of President Rush, I am submitting the campus response to the recommendations of Audit Report 06-44, Disaster and Emergency Preparedness at California State University Channel Islands. This response has also been forwarded via email to [adouglas@calstate.edu](mailto:adouglas@calstate.edu).

Please contact me for additional information and follow up.

Very truly yours,

A handwritten signature in cursive script, appearing to read 'Joanne'.

Joanne Coville  
Vice President for Finance  
and Administration

JC/rt  
Enclosure

cc: President Richard Rush  
John M. Reid, Director of Public Safety  
Emily Deakin, Manager, General Accounting

## DISASTER AND EMERGENCY PREPAREDNESS

### CALIFORNIA STATE UNIVERSITY, CHANNEL ISLANDS

Audit Report 06-44  
January 4, 2007

## EMERGENCY MANAGEMENT PLAN

### CAMPUS ROSTER OF EMERGENCY RESOURCES

#### Recommendation 1

We recommend that the campus update its roster of emergency resources to include food and water, eliminate non-emergency resources, and ensure that all subparts of the roster are updated at least annually, including a notation of the “updated as of date.”

#### Campus Response

We agree, and will update our emergency resources roster no later than 03/01/2007.

### EMERGENCY PLAN AVAILABILITY AND DISTRIBUTION

#### Recommendation 2

We recommend that the campus:

- a. Review its website presentation of the campus emergency plan and take action to improve availability and accessibility.
- b. Develop and maintain an alternate version of its emergency plan for distribution to all emergency team members.

#### Campus Response

We agree with recommendation 2a. A committee, chaired by the Executive Director of Communications and Marketing, is already at work developing a strategy to clear this finding. We will come into compliance with this standard no later than 05/01/2007.

In response to recommendation 2b we have completed work on an alternate version of the campus emergency plan. The Public Safety Department distributed a CD containing all portions of the plan to all emergency team members.

## COMMUNICATIONS AND TRAINING

### EMERGENCY ASSIGNMENTS

#### Recommendation 3

We recommend that the campus update the emergency management roster to ensure consistency with its emergency policy group listing and identify alternate (backup) emergency assignments for all key response positions.

#### Campus Response

We agree, and will update our emergency management roster as required no later than 03/01/2007.

### MUTUAL AID AND ASSISTANCE AGREEMENT

#### Recommendation 4

We recommend that the campus review and update its mutual aid and assistance agreement with the Ventura County Sheriff's Department to include assistance in disaster and emergency situations.

#### Campus Response

We agree, and will update our mutual aid and assistance agreements as required no later than 05/01/2007.

### OVERVIEW TRAINING

#### Recommendation 5

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

#### Campus Response

We agree. Human Resources has included emergency management plan training for all new hires on its new employee orientation agenda. HR maintains the attendance and completion data in its office. The campus will conduct an annual audit to ensure that all new hires have received the required training, and that documentation is maintained on file.

### SPECIALIZED EMERGENCY TRAINING

#### Recommendation 6

We recommend that the campus:

- a. Amend the agreement with the Ventura Health Care Agency to include a provision for the training and assignment of the student health center staff in disasters that may require emergency medical services.

- b. Ensure that documentation to support specialized training for building marshals and emergency team members is maintained on file.

**Campus Response**

We agree with recommendation 6a, and will amend the agreement with the Ventura Health Care Agency, no later than 05/01/2007.

We agree with recommendation 6b. Human Resources and Public Safety both maintain files supporting specialized training for building marshals and emergency team members. The campus will conduct an annual audit to ensure that all documentation supporting such training is maintained on file.

**TESTING AND DRILLS**

**Recommendation 7**

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

**Campus Response**

We agree, and will develop and exercise test an IT business continuity recovery plan no later than 05/01/2007.

THE CALIFORNIA STATE UNIVERSITY  
OFFICE OF THE CHANCELLOR



BAKERSFIELD

February 15, 2007

CHANNEL ISLANDS

CHICO

**MEMORANDUM**

DOMINGUEZ HILLS

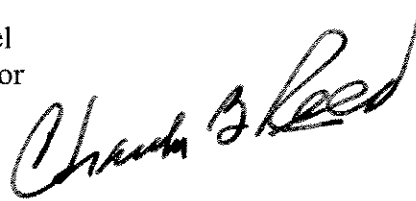
EAST BAY

FRESNO

TO: Mr. Larry Mandel  
University Auditor

FULLERTON

FROM: Charles B. Reed  
Chancellor



HUMBOLDT

LONG BEACH

SUBJECT: Draft Final Audit Report 06-44 on *Disaster and Emergency Preparedness*, California State University, Channel Islands

LOS ANGELES

MARITIME ACADEMY

In response to your memorandum of February 15, 2007, I accept the response as submitted with the draft final report on *Disaster and Emergency Preparedness*, California State University, Channel Islands.

MONTEREY BAY

NORTHRIDGE

POMONA

CBR/jt

SACRAMENTO

Enclosure

SAN BERNARDINO

cc: Ms. Joanne Coville, Vice President, Finance and Administration  
Dr. Richard R. Rush, President

SAN DIEGO

SAN FRANCISCO

SAN JOSÉ

SAN LUIS OBISPO

SAN MARCOS

SONOMA

STANISLAUS