

EMERGENCY PREPAREDNESS

SYSTEMWIDE

Audit Report 09-43

May 27, 2010

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ABBREVIATIONS

CaEMA	California Emergency Management Agency
CSU	California State University
DHS	Federal Department of Homeland Security
DRC	Disability Resource Center
EH&S	Environmental Health and Safety
EO	Executive Order
EOC	Emergency Operations Center
EMP	Emergency Management Plan
EP	Emergency Preparedness
FDM	Facilities, Development, and Management
FEMA	Federal Emergency Management Agency
FMS	Facilities Management and Services
HEOA	Higher Education Opportunity Act
HR	Human Resources
ICS	Incident Command System
NIMS	National Incident Management System
OES	California Office of Emergency Services
ORM	California State University Office of Risk Management
PS	Public Safety
SEMS	Standardized Emergency Management System
UPD	University Police Department

EXECUTIVE SUMMARY

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

We visited ten campuses from March 2, 2009, through October 1, 2009, and audited the procedures in effect at that time. Campus-specific findings and recommendations have been discussed and reported individually.

Our study and evaluation revealed certain conditions that, in our opinion, could result in significant risk exposures if not corrected. Specifically, adequate internal controls were not in place in key emergency preparedness areas at the campus level. Certain of these areas such as the maintenance of campus emergency management plans and rosters, and the provision of adequate emergency preparedness training for new hires and emergency team members, were also repeat findings from the 2003 Disaster and Contingency audit, the 2006 Disaster and Emergency Preparedness audit, and the 2009 Police Services audit. We also noted that systemwide policies in this area needed improvement to ensure clear guidance for, and definition of, internal or external changes, and programmatic responsibilities at the Office of the Chancellor.

In our opinion, except for the effect of the weaknesses described above, the operational and administrative controls for emergency preparedness in effect as of October 1, 2009, taken as a whole, were sufficient to meet the objectives stated below.

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

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

SYSTEMWIDE POLICIES AND PROCEDURES [7]

Systemwide policies for emergency preparedness (EP) did not clearly reflect EP responsibilities at the Office of the Chancellor, nor were they updated to include policy requirements for recent regulatory changes or critical activities.

EMERGENCY MANAGEMENT PROGRAM [9]

Five of the ten campuses visited required improved oversight of campus emergency management plans. For one campus, this is a repeat finding from the Disaster and Contingency Planning audit performed in 2003. Furthermore, six of the ten campuses visited lacked updated and complete campus rosters of

emergency resources. For two of the campuses this is a repeat finding from the Disaster and Emergency Preparedness audits performed in 2003 and 2006. Lastly, administration of emergency personnel rosters needed improvement at six of the ten campuses visited.

COMMUNICATIONS AND TRAINING [11]

Administration of new hire emergency preparedness overview training needed improvement at all ten campuses visited. For two of the campuses this is a repeat finding from the Disaster and Emergency Preparedness audit performed in 2006. Furthermore, specialized training (SEMS, NIMS, and ICS) and supporting documentation for emergency team members needed improvement at five of ten campuses visited. For one campus, this is a repeat finding from the Disaster and Emergency Preparedness audit performed in 2006.

INTRODUCTION

BACKGROUND

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

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

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

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

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

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

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

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

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

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

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

PURPOSE

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

Within the audit objective, specific goals included determining whether:

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

SCOPE AND METHODOLOGY

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

Our study and evaluation were conducted in accordance with the *International Standards for the Professional Practice of Internal Auditing* issued by the Institute of Internal Auditors, and included the audit tests we considered necessary in determining that operational and administrative controls are in place and operative. This review emphasized, but was not limited to, compliance with state and federal laws, Board of Trustee policies, and Office of the Chancellor and campus policies, letters, and directives. The audit review focused on procedures in effect from January 1, 2007, through September 2, 2009. In instances wherein it was necessary to review annualized data, calendar years 2007 and 2008 were the periods reviewed.

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

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

During the course of the audit, we visited ten campuses: Chico, East Bay, Fullerton, Humboldt, California Maritime Academy, Pomona, San Francisco, San José, San Marcos, and Stanislaus. We interviewed campus personnel and audited procedures in effect at the time of audit.

OBSERVATIONS, RECOMMENDATIONS, AND MANAGEMENT RESPONSES

SYSTEMWIDE POLICIES AND PROCEDURES

Systemwide policies for emergency preparedness (EP) did not clearly reflect EP responsibilities at the Office of the Chancellor, nor were they updated to include policy requirements for recent regulatory changes or critical activities.

We noted that although the Office of Risk Management (ORM) had systemwide authority for EP, Executive Order (EO) 1013, *California State University Emergency Management Program*, did not clearly define ORM's EP programmatic responsibilities. Such responsibilities should include adequate resolution of prior EP issues noted in internal audit reports or external agency reports; monitoring the viability and up-keep of campus controls in significant EP areas such as the development and maintenance of campus emergency plans and the provision of staff EP training; and reporting on systemwide compliance to chancellor's office management.

We also noted that the systemwide policy did not include policy requirements for:

- ▶ Recent changes to campus emergency notifications as required by Public Law 110-315, *Higher Education Opportunity Act (HEOA)*, dated August 14, 2008. Other requirements of the new law included, but were not limited to, testing campus emergency response and evacuation procedures and disseminating the results of such tests to the campus community.
- ▶ The inclusion of special populations in evacuation exercises or drills. Most of the campuses reviewed had sufficiently addressed this area, although three of the ten campuses tested needed improvement in this area.
- ▶ Development of emergency plans for satellite campuses if they are not included in the primary campus emergency plan.
- ▶ Periodic review and update of the systemwide policy to ensure that it reflects internal program changes such as the elimination of the Systemwide Emergency Preparedness Taskforce.

Government Codes §13402 and §13403 state 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. Further, administrative controls are the methods through which reasonable assurance can be given that measures adopted by state agency heads to safeguard assets and promote operational efficiency are being followed.

The U.S. Department of Education *Action Guide for Emergency Management at Institutions of Higher Education*, dated January 2009, states that emergency management plans must be based on a comprehensive design, while also providing for staff, students, faculty, and visitors with special needs. Every aspect of an emergency plan also should incorporate provisions for vulnerable populations, who can have a wide range of needs, including language barriers, disabilities, or other special conditions. Thus, any procedures, products, and protocols created to prevent, prepare,

respond, and recover from an emergency must accommodate people with various levels of cognitive ability, knowledge, physical capabilities, and life experience.

EO 1013 states that each campus is delegated the responsibility for the implementation and maintenance of an emergency management program on campus and for developing a campus plan. On an annual basis, or more frequently as needed, the plan should be reviewed, updated, and distributed to the emergency management team members and others as identified by the campus.

Systemwide management stated that they had not set specific requirements or standards for updating systemwide policies for emergency preparedness because the ORM staff was addressing the need for ongoing updates.

Failure to revise and update EP policies and procedures increases the risk of misunderstandings related to the performance of duties and functions, inconsistencies in complying with state and federal requirements, inconsistent treatment and handling of issues, and possible litigation.

Recommendation 1

We recommend that the chancellor's office:

- a. Review and update existing EP systemwide policies to include, but not be limited to, a clear indication of EP programmatic responsibilities at the Office of the Chancellor.
- b. Develop and implement systemwide policies or guidelines describing the expectations for implementation of HEOA requirements, the inclusion of special populations in evacuation exercises, and coverage of satellite campuses either in the campus-wide main emergency plan or in site-specific satellite campus emergency plans.
- c. Establish a specific means for future review and maintenance of systemwide EP policies to ensure that they are updated and communicated at appropriate intervals.

Management Response

We concur. EO 1013 will be reviewed and updated to include a clear indication of EP programmatic responsibilities at the Office of the Chancellor. Though elements of HEOA requirements are included in EO 1013, there will be specific reference to campuses' requirement to adhere to all applicable HEOA requirements. The requirement for the review, updating (as applicable) of EP policies at a minimum of every year with documentation of completion, will be included. This will be completed by December 2010. Currently, systemwide Risk Management is having all 23 campuses EP's reviewed and evaluated. A recommended EP template will be provided to each campus at the conclusion of this project. This will be completed by December 2010.

EMERGENCY MANAGEMENT PROGRAM

CAMPUS EMERGENCY MANAGEMENT PLANS

Campus emergency management plans (EMP) needed improved oversight at five of the ten campuses visited.

We found that:

- ▶ The EMP contained inaccurate information at one campus visited and had not been reviewed or updated on an annual basis at four of the campuses visited. For one campus, this is a repeat finding from the prior Disaster and Contingency Planning audit performed in 2003.
- ▶ The EMP did not include coverage of a satellite campus, nor was there a separate written plan for it, at one of the campuses visited.

EO 1013, *California State University Emergency Management Program*, dated August 7, 2007, requires that each campus develop a campus emergency plan. On an annual basis or more frequently as needed, the plan should be reviewed, updated, and distributed to the emergency management team members and others as identified by the campus.

Campus management cited various reasons for not reviewing and updating the EMP, including personnel resource constraints, overlooking performance of the mandatory review, and their assertion that the EMP had been informally reviewed, but not formally approved and documented.

Failure to maintain an updated EMP increases the risk that emergency responders will not be fully aware of important revisions to the plan, consequently increasing the risk of inadequate response to emergencies.

Recommendation 2

We recommend that the chancellor's office remind the campuses of the need to maintain current emergency plans for both main and satellite campuses.

Management Response

We concur. A memorandum has been completed and distributed to the campuses reminding them of the need to maintain current emergency plans for both main and satellite campuses.

ROSTER OF EMERGENCY RESOURCES

The campus roster of emergency resources was not complete and/or updated on an annual basis at six of the ten campuses visited. For two of the campuses, this is a repeat finding from the prior Disaster and Emergency Preparedness audits performed in 2003 and 2006.

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

Campus management cited various reasons rosters of emergency resources were not complete or updated annually, including clerical oversight, personnel resource constraints, inadequate recordkeeping for roster items, incomplete documentation showing when the roster was reviewed and updated, and the belief that existing campus resource documentation was at least partially adequate.

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 chancellor’s office remind the campuses of the need to update their rosters of resources and include all items detailed in EO 1013.

Management Response

We concur. A memorandum has been completed and distributed to the campuses reminding them of the need to update their rosters of resources to include all items detailed in EO 1013 and any subsequent EO.

EMERGENCY PERSONNEL ROSTERS

Administration of emergency personnel rosters needed improvement at six of the ten campuses visited.

We found that:

- ▶ The emergency management team personnel roster provided to the California State University ORM did not include designated backup personnel in the event key emergency team members are not available at four of the campuses visited.
- ▶ An updated roster of essential emergency management team personnel was not submitted timely to the ORM at two of the campuses visited.

EO 1013, *California State University Emergency Management Plan*, dated August 7, 2007, states that once a year, by December 1, or more frequently as needed, the campus must provide the systemwide ORM at the chancellor's office a roster of emergency management team personnel as well as their designated backup essential to the operation of the campus emergency management program such as: the president, the emergency executive, the emergency operations center (EOC) director, the emergency manager/emergency coordinator, and the public information officer. The roster shall include name and office and emergency telephone numbers, including satellite phone numbers. These lists will be kept confidential and used only in emergencies.

Campus management cited various reasons for emergency personnel rosters not being timely or complete, including clerical oversight, personnel resource constraints, delays in evaluating the appropriate personnel to be listed on the roster, failure to assign responsibility for roster updates, and the belief that existing roster information was at least partially adequate.

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

Recommendation 4

We recommend that the chancellor's office remind the campuses of the need to provide the ORM with a complete and current roster of emergency management team personnel.

Management Response

We concur. A memorandum has been completed and distributed to the campuses reminding them of the need to provide ORM with a complete and current roster of emergency management team personnel.

COMMUNICATIONS AND TRAINING

NEW HIRE EMERGENCY PREPAREDNESS TRAINING

Administration of new hire EP overview training needed improvement at all ten campuses visited.

We found that:

- ▶ EP overview training for new hires was not always completed at eight of the campuses visited. For two of the campuses, this is a repeat finding from the prior Disaster and Emergency Preparedness audit performed in 2006.
- ▶ A formal EP overview training program had not been developed and implemented for newly hired faculty and staff at two of the campuses visited.

EO 1013, *California State University Emergency Management Program*, dated August 7, 2007, states that campuses should train the campus community on the SEMS, NIMS, and ICS compliant campus

plan to include, at a minimum, overview training of every employee within one year of employment. The EO further states that training records for all campus training shall be kept for a minimum of seven years.

Campus management cited various reasons for inadequate new hire EP overview training, including clerical oversight, personnel resource constraints, scheduling difficulties, inadequate attendance requirements, failure to establish an EP overview training program and/or written training procedures, and failure to be aware of and track new hire EP overview training.

Failure to develop an EP overview training program and to provide training for new hires increases the risk that emergency response would be inadequate due to incomplete training and preparation.

Recommendation 5

We recommend that the chancellor's office remind the campuses of the need to:

- a. Provide new hire EP overview training within one year of employment.
- b. Develop new hire training programs and monitoring systems to address EP overview training, including attendance and tracking requirements and the retention of training documentation.

Management Response

We concur. A memorandum has been completed and distributed to the campuses reminding them of the need to provide new hires with an EP overview within the first year of employment and to develop (if one does not already exist) new hire training programs and monitoring systems (Learning Management System) to address EP overview training, including attendance and tracking requirements including the retention of training documentation.

SPECIALIZED TRAINING

Specialized training (SEMS, NIMS, and ICS) and supporting documentation for emergency team members needed improvement at five of ten campuses visited. For one campus, this is a repeat finding from the prior Disaster and Emergency Preparedness audit performed in 2006.

EO 1013, *California State University Emergency Management Program*, dated August 7, 2007, instructs campuses to provide annual specialized training to the campus community on the SEMS, NIMS, and ICS-compliant campus plan to include, at a minimum, specialized training annually for employees designated either as building coordinator or building floor marshal, EOC team member, or member of the campus emergency management team.

Campus management cited various reasons for inadequate specialized training and documentation, including personnel resource constraints, poor recordkeeping and tracking of training, failure to make attendance mandatory, and lack of policies and procedures governing specialized training.

Failure to provide and document specialized training to emergency team members regarding disaster and emergency preparedness increases the risk that training for some individuals will be overlooked and emergency team response would be inadequate.

Recommendation 6

We recommend that the chancellor's office remind the campuses of the need to:

- a. Provide emergency preparedness specialized training to emergency team members.
- b. Develop specialized training programs and monitoring systems to address specialized training for emergency team members, including attendance and tracking requirements and the retention of training documentation.

Management Response

We concur. A memorandum has been completed and distributed to the campuses reminding them of the need to provide emergency preparedness specialized training to emergency team members and to develop (if they do not currently provide) monitoring systems (Learning Management System) to address attendance and tracking requirements including the retention of training documentation.

APPENDIX A: PERSONNEL CONTACTED

<u>Name</u>	<u>Title</u>
<u>Office of the Chancellor</u>	
Benjamin F. Quillian	Executive Vice Chancellor, and Chief Financial Officer
George V. Ashkar	Assistant Vice Chancellor/Controller, Financial Services
Lori Erdman	Chief of Staff, Business and Finance
Zachary Gifford	Associate Director, Risk Management and Public Safety
Gerard Greenidge	Web Services Manager
Nate Johnson	Systemwide Police Coordinator
Claudia Keith	Assistant Vice Chancellor, Public Affairs
Charlene Minnick	Chief Risk Officer, Office of Risk Management
Colleen Nickles	Assistant Vice Chancellor, Financial Services (At time of review)
Steven Orr	Web Technology Analyst, Web Services
Clara Potes-Fellow	Media Relations Manager, Public Affairs
Teresa Ruiz	Communications Specialist, Public Affairs
<u>California State University, Chico</u>	
Paul J. Zingg	President
Teresa Arnold	Executive Assistant, Business and Finance
Corinne Beck	Detective, University Police Department (UPD)
Gregory Black	Community Service Officer, UPD
Sandy Parsons-Ellis	Director, Disability Support Services
Deborah Furgason	Administrative Support Coordinator, UPD
Robyn Hearne	Lieutenant, UPD
Lorraine Hoffman	Vice President, Business and Finance
Christine Holt	Nursing Coordinator, Student Health Services
Hemlata Jhaveri	Associate Director, University Housing and Food Service
Brian Mohs	Safety Coordinator, Environmental Health and Safety (EH&S)
Warren Moser	Lead Automotive Mechanic, Facilities Management and Services (FMS)
James Nelson	Information Technology Consultant, Business Information Systems
Neil Nunn	Associate Director, FMS
Marvin Pratt	Assistant Director, EH&S
Kathleen Purvis	Library Student Personnel and Building Manager, Information Resources
Kenneth Stator	Director, EH&S
Eric Reichel	Chief of Police, UPD
Matthew Thomas	Associate Professor, Political Science Department
Michael Thorpe	Risk Manager, Business and Finance
Joe Willis	Director, Public Affairs and Publications
<u>California State University, East Bay</u>	
Mohammad Qayoumi	President
Shawn Bibb	Vice President, Administration and Finance/Chief Financial Officer
Cathleen Coulman	Executive Director, Student Health Services
Astrid Davis	Executive Assistant to the Vice President, Administration and Finance/ Chief Financial Officer
Jan Giovannini-Hill	Work Study Coordinator, Enrollment Development and Management

APPENDIX A: PERSONNEL CONTACTED

California State University, East Bay (cont.)

Janeith Glenn-Davis	Chief of Police, University Police Department
James Hodges	Lieutenant, University Police Department
Kim Huggett	Director, Office of Government and Community Relations, University Advancement
Nyassa Love	Associate Vice President of Business and Financial Services
Lyann Luu	Environmental Health and Safety Officer, Environmental Health and Safety
Regina Metoyer	Director, Housing and Residential Life
Rita Peth	Director, Procurement and Support Services
Donna Placzek	Director, Environmental Health and Safety
Michael Tadevich	Assistant Director, Facilities Management Trades/Engineering Manager
Stephen Yip	Instructional Technical Services Coordinator, College Technology Services
Jim Zavagno	Director, Planning Design and Construction/University Planner, Facilities Management and Planning

California State University, Fullerton

Milton A. Gordon	President
Bill Barrett	Associate Vice President for Administration and Finance
Richard Boucher	Chief Staff Physician, Student Health and Counseling Center
Debbie Ellis	Administrative Services Supervisor, UPD
William Hagan	Vice President of Administration
Bahram Hatefi	Director of Internal Audit
Justin Hendee	Emergency Management Coordinator
Judi King	Chief of Police, UPD
Don Landers	Operations Lieutenant, UPD
Ut Le	Lead Automobile and Equipment Mechanic, Facilities Management
Pam McLaren	Internal Communication Director
Victor Rojas, Jr.	Project Manager, Special Projects
Willem Van der Pol	Director, Physical Plant
Coleen Wilkins	Environmental Health and Safety Officer
May Wong	Director, Accounts Payable

Humboldt State University

Rollin C. Richmond	President
David Bugbee	Director, Contracts and Procurement
Deborah Bushnell	Administrative Assistant to the Vice President of Business Services
Steven Butler	Vice President of Student Affairs
Josh Callahan	Director, Central Information Technology
John Capaccio	Director, Housing and Dining Services
Brooke Crowder-Fiore	Assistant to the Chief of Police
Tammy Curtis	Associate Director, Human Resources
Lori Dengler	Professor, Department of Geology
Thomas Dewey	Chief of Police, University Police
Benjamin Hylton	Accounting Manager
Gary Krietsch	Director, Facilities Planning
Paul Mann	Senior Communication Officer, Public Affairs
Tom Manoli	Environmental Health & Safety
Jan Marnell	Emergency Management Administrative Coordinator

APPENDIX A: PERSONNEL CONTACTED

Humboldt State University (cont.)

Melanie Miller	Administrative Analyst, Administrative Affairs
Tim Moxon	Senior Director, Facilities Management
Burt Nordstrom	Vice President, Administrative Affairs
Patty O'Rourke-Andrews	Associate Director, Housing and Dining Services
Lynne Sandstrom	Director, Financial Services
Rosemary Smith	Administrative Analyst, Facilities Management
Lynn Soderberg	Lieutenant, University Police Department
Rebecca Stauffer	Director, Student Health and Counseling
Carol Terry	Associate Vice President for Business Services
Mary VanCott	Associate Director, Student Health

California Maritime Academy

William B. Eisenhardt	President
Lee Bowen	Electrician, Facilities Management
Charles Constantine	Public Safety Officer, Public Safety (PS)
Vineeta Dhillon	Director, Procurement and Risk Management
Suzanne Dolan	Director, Student Health Services
Fran Gutierrez	Receptionist, Administration
Laura Layton	Executive Assistant, Academic Affairs
Steve Mastro	Budget Officer, Budget Office
Kay Miller	Director, Human Resources
Mark Nickerson	Vice President, Administration and Finance
Carlos Portillo	Director of Facilities Operations, Facilities Management
Roseann Richard	Chief of Police, PS
Doug Webster	Director of Public Relations, Advancement

California State Polytechnic University, Pomona

J. Michael Ortiz	President
Edwin Barnes	Vice President/Chief Financial Officer, Administrative Affairs
Eric Bellman	Manager, System Administration, Facilities Planning and Management
Curtis Clark	Director, Instructional and Information Technology, Web Development
Lisa Dye	Business Continuity Coordinator, Risk Management
Valerie Eberle	Manager, Benefits, Workers' Compensation, and Risk Programs, Risk Management
Carolyn Forrester	Instructional Support Technician, Chemistry Department
Douglas Freer	Vice President, Student Affairs
Matthew French	Supervising Electrician, Facilities Management
Michael Guerin	Chief of Police and Director of Public Safety, University Police
Robert Hansen	Manager, Facilities Planning
Kathy Harper	Secretary, Finance and Administrative Services
Fred Henderson	Services Division Manager, University Police
Donald Johnson	Manager Mechanical Services, Facilities Management
Darwin Labordo	Associate Vice President/Associate Chief Financial Officer, Finance and Administrative Services
Jerry Lerma	Web Graphic Designer, Instructional and Information Technology, Web Development
Uyen Mai	Senior Media Communications Coordinator, Public Affairs

APPENDIX A: PERSONNEL CONTACTED

California State Polytechnic University, Pomona (cont.)

Mary Martinez	Payroll Manager and Leave Coordinator, Human Resources
Debbi McFall	Emergency Services Coordinator, University Police
Ray Morrison	Director, Facilities Planning
Paul Nath	Facilities Worker, Facilities Management
David Patterson	Director, Environmental Health and Safety
Peggy Perry	Director, Faculty Center for Professional Development, Faculty Affairs
Kathleen Prunty	Director, Procurement and Support Services
Lorraine Rodriguez	Buyer, Procurement and Support Services
Catherine Schmitt Whitaker	Director, Disability Resource Center
George Tejadilla	Director of Academic Personnel, Faculty Affairs
Therese Turner	Lead Employment Coordinator, Human Resources
Mark Ulrich	Director, Student Health Services
Tambra Williams	Executive Assistant, Public Affairs
George Wright	Associate Director of Facilities, University Housing Services
Joice Xiong	Director of Internal Audit

San Francisco State University

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

San José State University

Jon Whitmore	President (At time of review)
Marianne Alvarez	Lieutenant, Administrative Services, University Police Department (UPD)
Shannon Amidon	Executive Assistant to the Dean, College of Business
Andre Barnes	Chief of Police, UPD
Adam Bayer	Director, Energy & Utilities, Facilities, Development, and Operations
Frank Belcastro	Special Operations Lieutenant, UPD
Rick Casillo	Associate Director, Employee Support Services, Human Resources (HR)

APPENDIX A: PERSONNEL CONTACTED

San José State University (cont.)

Maria De Guevara	Associate Vice President, HR
Roger Elrod	Director, Student Health Center
John Empey	Instructional Support Technician, College of Social Sciences
Chandra Gowda	Hazardous Materials Specialist, Facilities Development and Operations
Gloria Gutierrez	Manager of Employee Support Services, HR
Patricia Harris	Director of Media Relations, Public Affairs
Stephanie Hubbard	Associate Director, Residence Life, Housing Coordination
Patricia Julien	Budget and Finance Coordinator, UPD
Claire Kotowski	Executive Assistant to the Chief of Police, UPD
Josee Larochelle	Director, Budget Management, University Budget Office
Rose Lee	Vice President for Administration and Finance
Mark Loftus	Associate Director of University Risk and Compliance
Ninh Pham-Hi	Director of Internal Control
Yvette Phillips	Emergency Coordinator, UPD
David Ramirez	Equipment Mechanic, Auto Shop and Transportation
Frances Roth	Director, Associated Students Child Development Center
Amy Ruiz	Training Specialist, Human Resources
Martin Schulter	Director, Disability Resource Center (DRC)
Lucille M. Surdi	ADA Compliance Specialist, DRC

California State University, San Marcos

Karen S. Haynes	President
Susan Brown	Assistant to the Chief of Police, UPD
Ronald Hackenberg	Chief of Police, UPD
Linda Hawk	Vice President, Finance and Administrative Services
Edward Johnson	Director, Facility Services
Dean Manship	Emergency Manager, UPD
Bella Newberg	Director, Procurement and Support Services
Karen Nicholson	Medical Director, Student Health Services Center
Katy Rees	Director, Strategic Planning and Administrative Services
Dave Rodriguez	Building Service Engineer, Facilities Development and Management (FDM)
Thomas Weir	Lead Auto and Equipment Mechanic, FDM
Daniel Zorn	Director, Accounting and Technology Services

California State University, Stanislaus

Hamid Shirvani	President
Cliff Bailey	Director of Facilities Support Services
Jean Grech Conde	Director of Student Housing
Russell Giambelluca	Vice President, Business and Finance
Suzanne Green	Interim Vice President, Business and Finance
Elizabeth Hodge	Dispatcher, UPD
Steven Jaureguy	Chief of Police, UPD
Mary Kobayashi-Lee	Director, Human Resources
Kellie Marshall	Health and Safety Specialist
Amy Metcalf	Communications Center Supervisor, UPD
Kristin Olsen	Assistant Vice President, Communications and Public Affairs

California State University, Stanislaus (cont.)

Amy Thomas	Assistant Director, Environmental Health and Occupational Safety
Reggie Thompson	Operations Lieutenant, UPD
Ted Wendt	Associate Vice President, Faculty Affairs
Bruce Wilbur, MD	Medical Chief of Staff, Student Health Center

Business and Finance
401 Golden Shore, 5th Floor
Long Beach, CA 90802-4210

www.calstate.edu

Benjamin F. Quillian
Executive Vice Chancellor and
Chief Financial Officer

562-951-4600
Fax 562-951-4971
bquillian@calstate.edu

MEMORANDUM

DATE: July 19, 2010

TO: Larry Mandel
University Auditor

FROM: Benjamin F. Quillian 
Executive Vice Chancellor and
Chief Financial Officer

SUBJECT: **Response to Audit Report Number 09-43, Emergency Preparedness,
Systemwide**

RECEIVED
UNIVERSITY AUDITOR

JUN 30 2010

THE CALIFORNIA STATE
UNIVERSITY

Enclosed is a copy of the response to the recommendations made pursuant to Audit Report Number 09-43, *Emergency Preparedness, Systemwide*.

Should you have any questions, please feel free to contact Charlene Minnick, or me.

BFQ:zg

Attachments

c: Charlene Minnick, Assistant Vice Chancellor, Risk Management & Public Safety
Nate Johnson, Chief Law Enforcement Officer

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

**Management Response to:
EMERGENCY PREPAREDNESS SYSTEMWIDE
Audit Report 09-43**

SYSTEMWIDE POLICIES AND PROCEDURES

Recommendation 1

We recommend that the chancellor's office:

- a. Review and update existing EP systemwide policies to include, but not be limited to, a clear indication of EP programmatic responsibilities at the Office of the Chancellor.
- b. Develop and implement systemwide policies or guidelines describing the expectations for implementation of HEOA requirements, the inclusion of special populations in evacuation exercises, and coverage of satellite campuses either in the campus-wide main emergency plan or in site-specific satellite campus emergency plans.
- c. Establish a specific means for future review and maintenance of systemwide EP policies to ensure that they are updated and communicated at appropriate intervals.

Management Response

We concur.

Executive Order 1013 will be reviewed and updated to include a clear indication of Emergency Planning programmatic responsibilities at the Office of the Chancellor. Though elements of HEOA requirements are included in EO 1013, there will be specific reference to campuses' requirement to adhere to all applicable HEOA requirements. The requirement for the review, updating (as applicable) of EP policies at a minimum of every year with documentation of completion will be included. This will be completed by December 2010.

Currently systemwide Risk Management is having all 23 campuses EP's reviewed and evaluated. A recommended EP template will be provided to each campus at the conclusion of this project. This will be completed by December 2010.

EMERGENCY MANAGEMENT PLAN

CAMPUS EMERGENCY MANAGEMENT PLANS

Recommendation 2

We recommend that the chancellor's office remind the campuses of the need to maintain current emergency plans for both main and satellite campuses.

Management Response

We concur.

A memorandum has been completed and distributed to the campuses reminding them of the need to maintain current emergency plans for both main and satellite campuses.

ROSTER OF EMERGENCY RESOURCES

Recommendation 3

We recommend that the chancellor's office remind the campuses of the need to update their rosters of resources and include all items detailed in EO 1013.

Management Response

We concur.

A memorandum has been completed and distributed to the campuses reminding them of the need to update their rosters of resources to include all items detailed in EO 1013 and any subsequent EO.

EMERGENCY PERSONNEL ROSTERS

Recommendation 4

We recommend that the chancellor's office remind the campuses of the need to provide the ORM with a complete and current roster of emergency management team personnel.

Management Response

We concur.

A memorandum has been completed and distributed to the campuses reminding them of the need to provide ORM with a complete and current roster of emergency management team personnel.

COMMUNICATIONS AND TRAINING

NEW HIRE EMERGENCY PREPAREDNESS TRAINING

Recommendation 5

We recommend that the chancellor's office remind the campuses of the need to:

- a. Provide new hire EP overview training within one year of employment.
- b. Develop new hire training programs and monitoring systems to address EP overview training, including attendance and tracking requirements and the retention of training documentation.

Management Response

We concur.

A memorandum has been completed and distributed to the campuses reminding them of the need to provide new hires with an EP overview within the first year of employment and to develop (if one does not already exist) new hire training programs and monitoring systems (Learning Management System) to address EP overview training, including attendance and tracking requirements including the retention of training documentation.

SPECIALIZED TRAINING

Recommendation 6

We recommend that the chancellor's office remind the campuses of the need to:

- a. Provide emergency preparedness specialized training to emergency team members.
- b. Develop specialized training programs and monitoring systems to address specialized training for emergency team members, including attendance and tracking requirements and the retention of training documentation.

Management Response

We concur.

A memorandum has been completed and distributed to the campuses reminding them of the need to provide emergency preparedness specialized training to emergency team members and to develop (if they do not currently provide) monitoring systems (Learning Management System) to address attendance and tracking requirements including the retention of training documentation.

THE CALIFORNIA STATE UNIVERSITY
OFFICE OF THE CHANCELLOR

BAKERSFIELD

CHANNEL ISLANDS

August 12, 2010

CHICO

MEMORANDUM

DOMINGUEZ HILLS

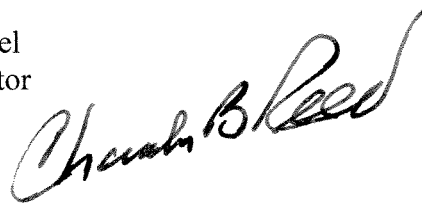
EAST BAY

TO: Mr. Larry Mandel
University Auditor

FRESNO

FULLERTON

FROM: Charles B. Reed
Chancellor



HUMBOLDT

SUBJECT: Draft Final Report 09-43 on *Emergency Preparedness*,
Systemwide

LONG BEACH

LOS ANGELES

In response to your memorandum of August 12, 2010, I accept the response as submitted with the draft final report on *Emergency Preparedness*, Systemwide.

MARITIME ACADEMY

MONTEREY BAY

CBR/amd

NORTHRIDGE

POMONA

SACRAMENTO

SAN BERNARDINO

SAN DIEGO

SAN FRANCISCO

SAN JOSÉ

SAN LUIS OBISPO

SAN MARCOS

SONOMA

STANISLAUS