

**EMERGENCY PREPAREDNESS  
HUMBOLDT STATE UNIVERSITY**

**Audit Report 09-47  
September 23, 2009**

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## **ABBREVIATIONS**

AFPD	Arcata Fire Protection District
CalEMA	California Emergency Management Agency
CSU	California State University
DHS	(Federal) Department of Homeland Security
DOE	Department of Education
EO	Executive Order
EOC	Emergency Operations Center
EP	Emergency Preparedness
FEMA	Federal Emergency Management Agency
ICS	Incident Command System
MOU	Memorandum of Understanding
NIMS	National Incident Management System
OES	(California) Office of Emergency Services
ORM	Office of Risk Management
SEMS	Standardized Emergency Management System

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## **EXECUTIVE SUMMARY**

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

We visited the Humboldt State University campus from May 18, 2009, through June 26, 2009, and audited the procedures in effect at that time.

Our study and evaluation revealed certain conditions that, in our opinion, could result in significant risk exposures if not corrected. Specifically, the campus did not maintain adequate internal control over the following areas: emergency operations center, mutual aid assistance, new hire emergency preparedness training, and specialized training. Three of the eight findings were repeats from the prior Disaster and Emergency Preparedness audit performed in 2006. These conditions, along with other weaknesses, are described in the executive summary and body of this report. In our opinion, except for the effect of the weaknesses described above, the operational and administrative controls of emergency preparedness in effect as of June 26, 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.

### **PROGRAM ADMINISTRATION [7]**

The emergency operations center (EOC) and its alternate location were inadequate. The EOC was not a dedicated or secure area and lacked physical capacity to fully support emergency operations for an extended period of time.

### **EMERGENCY MANAGEMENT PROGRAM [8]**

The campus roster of emergency resources did not include a plan for food and water in the event of an emergency nor did it include a date or other indication evidencing that it was updated at least annually. This is a repeat finding from the prior Disaster and Emergency Preparedness audit performed in 2006.

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

The emergency management team personnel roster provided to the California State University Office of Risk Management did not include designated backup personnel for two of the five emergency management team members listed. Mutual aid assistance from the Arcata Fire Protection District was not

adequately defined. Emergency preparedness overview training for new hires was inadequate. This is a repeat finding from the prior Disaster and Emergency Preparedness audit performed in 2006. Lastly, specialized training (SEMS, NIMS, and IC) and supporting documentation for building marshals/coordinators and EOC emergency team members needed improvement. This is a repeat finding from the prior Disaster and Emergency Preparedness audit performed in 2006.

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

The inclusion of special populations in evacuation exercises was not formally documented. Further, generators were not tested according to campus maintenance schedules, and policies and procedures regarding generator testing had not been developed.

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## INTRODUCTION

### **BACKGROUND**

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

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

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

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

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

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

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

SEMS is the system required by Government Code §8607(a) for managing response to multiagency and multijurisdictional emergencies in California. As a result of the 1991 East Bay Hills fire in Oakland, Senate Bill 1841 was passed and made effective January 1, 1993. The intent of this law is to improve the coordination of state and local emergency response in California, and it implemented SEMS. SEMS Regulations took effect in September 1994. SEMS consists of five organizational levels, which are activated as necessary: field response, local government, operational area, regional, and state. By standardizing key elements of the emergency management system, SEMS is intended to facilitate the flow of information within and between levels of the system and facilitate coordination among all responding agencies. SEMS incorporates the use of five essential Incident Command System (ICS) functions: command (management), operations, planning/intelligence, logistics, and finance/administration. As a result of OES and SEMS 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 Trustees 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 June 26, 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.

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# OBSERVATIONS, RECOMMENDATIONS, AND CAMPUS RESPONSES

## PROGRAM ADMINISTRATION

The emergency operations center (EOC) and its alternate location were inadequate.

We found that:

- ▶ The EOC was not a dedicated or secure area, as it was shared with other campus operations such as the university testing office for students. We also noted that a spare set of keys to the EOC was maintained in a locked box in the police department, making them accessible to persons other than the emergency coordinator.
- ▶ The EOC and its alternate location lacked the physical capacity to house EOC team members and/or store the necessary supplies and equipment to support emergency operations for an extended period of time.

The U.S. Department of Education *Action Guide for Emergency Management at Institutions of Higher Education*, dated January 2009, states that the EOC serves as a centralized management center for emergency operations. The EOC should be located in an area of the facility not likely to be involved in an incident. An alternate EOC should be designated in the event that the primary location is not usable. Ideally, the EOC is a dedicated area equipped with communications equipment, reference materials, activity logs, and all the tools necessary to respond quickly and appropriately to an emergency.

The chief of police stated that in order to accommodate visitor welcoming and student enrollment activities, the EOC was relocated to a much smaller facility that was not adequate.

Failure to maintain a functional, secure, and dedicated EOC increases the risk of inadequate response to emergencies.

### **Recommendation 1**

We recommend that the campus ensure that the EOC and its alternate location are secure and adequate to fully support emergency operations for an extended period of time.

### **Campus Response**

We concur. The campus will evaluate the EOC and its alternate location to ensure the location is secure and adequate to fully support emergency operations for an extended period of time.

Expected Completion Date: December 31, 2009

## **EMERGENCY MANAGEMENT PROGRAM**

The campus roster of emergency resources did not include a plan for food and water in the event of an emergency nor did it include a date or other indication evidencing that it was updated at least annually. This is a repeat finding from the prior Disaster and Emergency Preparedness audit performed in 2006.

Executive Order (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.

The chief of police stated that the campus had adopted a decentralized method of maintaining rosters, memorandums of understanding (MOU’s), contracts, and resource inventories.

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

### **Recommendation 2**

We recommend that the campus update its roster of emergency resources at least annually and include a plan for food and water in the event of an emergency.

### **Campus Response**

We concur. The campus will continue to update the roster of emergency resources at least annually and will modify the roster to include the notation “updated as of date.” Additionally, the campus will modify the roster to include provisions for food and water.

Expected Completion Date: December 31, 2009

## **COMMUNICATIONS AND TRAINING**

### **EMERGENCY PERSONNEL ROSTER**

The emergency management team personnel roster provided to the California State University (CSU) Office of Risk Management (ORM) did not include designated backup personnel for two of the five emergency management team members listed.

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

The chief of police stated that it was his understanding that the current roster met the requirements as detailed in EO 1013.

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 3**

We recommend that the campus provide the ORM with a complete and current roster of emergency management team personnel.

### **Campus Response**

We concur. The campus will provide the CSU ORM a complete and current roster of emergency management team personnel as required by EO 1013.

Expected Completion Date: December 31, 2009

## **MUTUAL AID ASSISTANCE**

Mutual aid assistance from the Arcata Fire Protection District (AFPD) was not adequately defined.

The U.S. Department of Education *Action Guide for Emergency Management at Institutions of Higher Education*, dated January 2009, states that emergency preparedness activities may include collaborating with community partners to establish mutual aid agreements that will establish formal interdisciplinary, intergovernmental, and interagency relationships among all the community partners and campus departments. Educational institutions should develop mutual aid agreements and pre-negotiate services for goods and services in the event of an emergency. Additionally, the Action Guide states that Components of the all-hazards plan should include a summary of available resources not available on campus, which may necessitate developing mutual aid agreements, MOUs, or pre-emergency contracts for equipment, materials, or services.

The chief of police stated that because the AFPD had not made a formal request for university resources beyond the parcel tax currently paid, expanded mutual aid services had not been defined.

The absence of a written agreement with the AFPD defining mutual aid assistance could result in misunderstandings about responsibilities, expectations, and services to be provided, as well as inadequate emergency response.

#### **Recommendation 4**

We recommend that the campus perform a risk assessment to adequately define and document resource requirements from the AFPD for emergency services.

#### **Campus Response**

We partially concur. The campus will perform a risk-based assessment of emergency preparedness activities that may include collaboration with community partners. Based on results of the evaluation, the campus will develop mutual aid agreements and pre-negotiate services for goods and services in the event of an emergency as deemed necessary.

Expected Completion Date: December 31, 2009

#### **NEW HIRE EMERGENCY PREPAREDNESS TRAINING**

Emergency preparedness overview training for new hires was inadequate. This is a repeat finding from the prior Disaster and Emergency Preparedness audit performed in 2006.

We found that:

- ▶ Training records from January 2007 through May 2008 revealed that seven of ten staff new hires tested did not receive emergency preparedness overview training during orientation or within the first year of employment.
- ▶ Newly hired faculty did not receive emergency preparedness overview training during orientation or within the first year of employment.
- ▶ There were no written procedures to address emergency preparedness overview training for all newly hired staff and faculty, including the completion and retention of required training documentation.

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

The chief of police stated that the campus has recently incorporated emergency training for new hires into new staff orientation. He further stated that new hire orientation and recordkeeping had previously occurred at the campus but had been discontinued due to staffing changes and shortages.

Failure to provide emergency preparedness overview 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 campus:

- a. Provide emergency preparedness overview training to all staff and faculty during orientation or within the first year of employment.
- b. Develop written procedures to address emergency preparedness overview training for all newly hired staff and faculty, including the completion and retention of required training documentation.

### **Campus Response**

We concur. The campus will provide emergency preparedness training to the campus community within one year of hire as required by EO 1013; additionally, the campus will develop written procedures to address emergency preparedness overview training as recommended.

Expected Completion Date: December 31, 2009

### **SPECIALIZED TRAINING**

Specialized training (SEMS, NIMS, and ICS) and supporting documentation for building marshals/coordinators and EOC emergency team members needed improvement. This is a repeat finding from the prior Disaster and Emergency Preparedness audit performed in 2006.

We found that:

- ▶ The campus did not always provide specialized training to building marshals/coordinators. We reviewed training records for 10 of 73 building marshals and noted that none of those sampled had received specialized training.
- ▶ Specialized training was not provided to all EOC emergency team members. We reviewed training records for 11 of 75 EOC emergency team members and noted that two team members had not received specialized training, and there was no documented evidence that team members had been trained on the ICS compliant campus emergency plan.
- ▶ There were no written procedures to address emergency preparedness specialized training for building marshals/coordinators and the EOC emergency team members.

EO 1013, *California State University Emergency Management Program*, dated August 7, 2007, instructs campuses to provide annual specialized training of 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.

The chief of police stated that the campus is in the process of changing from an outdated S.A.F.E. (survival actions for emergencies) Plan to a new building evacuation plan; therefore, resource

limitations and staff turnover in building coordinators has made completing the transition and training difficult. He added that with regard to the EOC team training, the campus simply had not kept up with the specialized training requirements.

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 campus:

- a. Provide emergency preparedness specialized training to building marshals/coordinators and EOC emergency team members.
- b. Develop written procedures to address emergency preparedness specialized training for building marshals/coordinators and the EOC emergency team members, including the retention of training documentation.

### **Campus Response**

We concur. The campus will provide specialized training to building marshals/coordinators and EOC team members as required in EO 1013; additionally, the campus will develop written procedures to address emergency preparedness specialized training as recommended.

Expected Completion Date: December 31, 2009

## **TESTING AND DRILLS**

### **EVACUATION DRILLS FOR SPECIAL POPULATIONS**

The inclusion of special populations in evacuation exercises was not formally documented.

EO 1013, *California State University Emergency Management Program*, dated August 7, 2007, states that campuses should conduct testing of simulated emergency incidents, including the periodic testing of campus building evacuation drills, and they should be conducted at least annually or more frequently as needed.

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, those of which 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.

The chief of police stated that resource limitations have impacted the number, type, and complexity of evacuation drills on campus, as well as the ability to fully document the inclusion of special populations in drills and evacuations.

Failure to document special populations in evacuation exercises increases the risk of litigation and the risk that both emergency responders and special populations would not be sufficiently trained to respond to drills and emergencies.

### **Recommendation 7**

We recommend that the campus document the inclusion of special populations in evacuation exercises.

### **Campus Response**

We concur. The campus will include special populations in evacuation exercises; additionally, the campus will document the inclusion of special populations in evacuation exercises as recommended.

Expected Completion Date: December 31, 2009

## **RECORDKEEPING FOR EMERGENCY BACKUP GENERATORS**

Generators were not tested according to campus maintenance schedules, and policies and procedures regarding generator testing had not been developed.

Work orders and the campus generator listing indicated that generator testing would occur monthly and annually, but we found that actual tests were performed on an annual basis only. Further, there was no policy guiding the frequency of generator testing.

EO 1013, *California State University Emergency Management Program*, dated August 7, 2007, states that campuses should develop a roster of campus resources and contracts for materials and services that may be needed in an emergency situation including equipment and emergency power.

National Fire Protection Agency Standard 110 §8.4.2, *Standard for Emergency Power Supply Systems*, 2002 edition, recommends that emergency power supply systems be exercised at least monthly.

The senior director of facilities management stated that the campus opted to attempt a more aggressive monthly maintenance schedule but was unable to do so with the current level of staffing.

Failure to test generators in accordance with campus schedules increases the risk that emergency preparedness and the expectations for emergency power response would not be optimal.



**Recommendation 8**

We recommend that the campus:

- a. Perform a formal risk-based self-assessment to determine testing requirements and frequency for campus generators.
- b. Consult with campus Environmental Health and Safety and local environmental regulators to determine any requirements or recommended practices for generator testing frequency.
- c. Develop policies and procedures to address the frequency of generator testing.

**Campus Response**

We concur. The campus will develop appropriate policies and procedures to address the frequency of generator testing; additionally, the campus will utilize self-assessment and consultation with appropriate authoritative sources in developing the policies and procedures as recommended.

Expected Completion Date: December 31, 2009

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## APPENDIX A: PERSONNEL CONTACTED

<u>Name</u>	<u>Title</u>
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
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



**HUMBOLDT STATE UNIVERSITY**

**Vice President for Administrative Affairs**

RECEIVED  
UNIVERSITY AUDITOR

OCT 22 2009

THE CALIFORNIA STATE  
UNIVERSITY

October 21, 2009

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

Re: Emergency Preparedness Audit Report 09-47, September 23, 2009

Dear Mr. Mandel,

This is to acknowledge receipt of the Emergency Preparedness Audit Report 09-47, dated September 23, 2009, and the findings contained within.

We appreciate the effort you and your staff have made to indicate areas where our procedures can be strengthened. The campus is committed to addressing and resolving the issues noted in the audit report.

Please direct questions concerning the responses to Carol Terry, Associate Vice President of Business Services at (707) 826-5728 or [carol.terry@humboldt.edu](mailto:carol.terry@humboldt.edu).

Sincerely,

Burt Nordstrom, Vice President for Administrative Affairs

cc: Rollin C. Richmond, President, w/o enclosures

**EMERGENCY PREPAREDNESS  
HUMBOLDT STATE UNIVERSITY**

**Audit Report 09-47**

**PROGRAM ADMINISTRATION**

**Recommendation 1**

We recommend that the campus ensure that the EOC and its alternate location are secure and adequate to fully support emergency operations for an extended period of time.

**Campus Response**

We concur. The campus will evaluate the EOC and its alternate location to ensure the location is secure and adequate to fully support emergency operations for an extended period of time.

Expected Completion Date: December 31, 2009

**EMERGENCY MANAGEMENT PROGRAM**

**Recommendation 2**

We recommend that the campus update its roster of emergency resources at least annually and include a plan for food and water in the event of an emergency.

**Campus Response**

We concur. The campus will continue to update the roster or emergency resources at least annually and will modify the roster to include the notation "updated as of date". Additionally, the campus will modify the roster to include provisions for food and water.

Expected Completion Date: December 31, 2009

**COMMUNICATIONS AND TRAINING**

**EMERGENCY PERSONNEL ROSTER**

**Recommendation 3**

We recommend that the campus provide the ORM with a complete and current roster of emergency management team personnel.

**Campus Response**

We concur. The campus will provide the California State University Office of Risk Management a complete and current roster of emergency management team personnel as required by EO 1013.

Expected Completion Date: December 31, 2009

**MUTUAL AID ASSISTANCE**

**Recommendation 4**

We recommend that the campus establish a written mutual aid agreement with the AFPD, defining responsibilities, expectations, and services to be provided.

**Campus Response**

We partially concur. The campus will perform a risk-based assessment of emergency preparedness activities that may include collaboration with community partners. Based on results of the evaluation, the campus will develop mutual aid agreements and pre-negotiate services for goods and services in the event of an emergency as deemed necessary.

Expected Completion Date: December 31, 2009

**NEW HIRE EMERGENCY PREPAREDNESS TRAINING**

**Recommendation 5**

We recommend that the campus:

- a. Provide emergency preparedness overview training to all staff and faculty during orientation or within the first year of employment.
- b. Develop written procedures to address emergency preparedness overview training for all newly hired staff and faculty, including the completion and retention of required training documentation.

**Campus Response**

We concur. The campus will provide emergency preparedness training to the campus community within one year of hire as required by EO 1013; additionally, the campus will develop written procedures to address emergency preparedness overview training as recommended.

Expected Completion Date: December 31, 2009

## **SPECIALIZED TRAINING**

### **Recommendation 6**

We recommend that the campus:

- a. Provide emergency preparedness specialized training to building marshals/coordinators and EOC emergency team members.
- b. Develop written procedures to address emergency preparedness specialized training for building marshals/coordinators and the EOC emergency team members, including the retention of training documentation.

### **Campus Response**

We concur. The campus will provide specialized training to building marshals/coordinators and EOC team members as required in EO 1013; additionally, the campus will develop written procedures to address emergency preparedness specialized training as recommended.

Expected Completion Date: December 31, 2009

## **TESTING AND DRILLS**

### **EVACUATION DRILLS FOR SPECIAL POPULATIONS**

#### **Recommendation 7**

We recommend that the campus document the inclusion of special populations in evacuation exercises.

#### **Campus Response**

We concur. The campus will include special populations in evacuation exercises; additionally, the campus will document the inclusion of special populations in evacuation exercises as recommended.

Expected Completion Date: December 31, 2009

### **RECORDKEEPING FOR EMERGENCY BACKUP GENERATORS**

#### **Recommendation 8**

We recommend that the campus:

- a. Perform a formal risk-based self-assessment to determine testing requirements and frequency for campus generators.
- b. Consult with campus Environmental Health and Safety and local environmental regulators to determine any requirements or recommended practices for generator testing frequency.

- c. Develop policies and procedures to address the frequency of generator testing.

**Campus Response**

We concur. The campus will develop appropriate policies and procedures to address the frequency of generator testing; additionally, the campus will utilize self-assessment and consultation with appropriate authoritative sources in developing the policies and procedures as recommended.

Expected Completion Date: December 31, 2009



THE CALIFORNIA STATE UNIVERSITY  
OFFICE OF THE CHANCELLOR

BAKERSFIELD

November 9, 2009

CHANNEL ISLANDS

CHICO

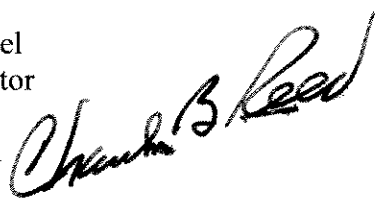
**MEMORANDUM**

DOMINGUEZ HILLS

EAST BAY

TO: Mr. Larry Mandel  
University Auditor

FRESNO

FROM: Charles B. Reed  
Chancellor 

FULLERTON

HUMBOLDT

SUBJECT: Draft Final Report 09-47 on *Emergency Preparedness*,  
Humboldt State University

LONG BEACH

LOS ANGELES

In response to your memorandum of November 9, 2009, I accept the response as submitted with the draft final report on *Emergency Preparedness*, Humboldt State University.

MARITIME ACADEMY

MONTEREY BAY

NORTHRIDGE

CBR/amd

POMONA

SACRAMENTO

SAN BERNARDINO

SAN DIEGO

SAN FRANCISCO

SAN JOSÉ

SAN LUIS OBISPO

SAN MARCOS

SONOMA

STANISLAUS