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Larry Mandel
Vice Chancellor and
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Dear Dr. Morishita:

Subject: Audit Report

We have completed the audit. The report is attached for your review. Internal Auditors' In-

I have reviewed the recommendations. The report has been posted to the website. Implementation of recommendations is required.

Any observations noted during the conference and meeting.

I wish to express my appreciation for the course of this review.

Sincerely,

Larry Mandel
Vice Chancellor and

c: Timothy P. White

Audit Report 16-47
February 14, 2017

- c. On February 27, 2017, the director of procurement and the director of EHS provided a listing of emergency contracts and vendors to be used for emergency purchases. This listing will be added to the binders in the primary and secondary EOCs by March 20, 2017, and will be provided to OAAS by March 31, 2017.

6. EMERGENCY OPERATIONS PLAN

OBSERVATION

The campus EOP needed to be updated.

We found that:

- x The plan did not address the needs of campus international students or individuals with limited English proficiency.
- x The plan did not include checklists for specific functions (branches/unit roles) within each section of the EOC to define emergency assignments, roles, and responsibilities.
- x The plan did not contain an annex addressing campus closure or other courses of action to secure campus buildings, facilities, and grounds when necessary.
- x EOC team members did not have access to the EOP functional annexes, which included specific information and checklists used for emergency response.
- x The plan was not always updated annually. We found that although the current EOP was updated in 2016, the previous version was updated in 2013.

A current and comprehensive EOP provides assurance that the campus can effectively respond to emergencies and decreases the risk of loss and injury to the campus community.

RECOMMENDATION

We recommend that the campus review the current EOP, update it to address the areas discussed above, and distribute the updated version, including the functional annexes, to the EOC team.

MANAGEMENT RESPONSE

We concur. The campus is in the process of updating the EOP for 2017 to address the areas noted in the audit. The EOP and all functional annexes will be distributed to the EOC team by August 1, 2017, and the EOP will be added to the campus website. The OAAS will receive a copy of the EOP and functional annexes by August 4, 2017.

7. STUDENT HOUSING

OBSERVATION

The student housing emergency procedures and evacuation drills needed improvement.

We found that several sections of the student housing emergency procedures manual were incomplete or needed to be updated. Additionally, the manual included a student housing EOC and EOC team that was not referenced in the campus EOP, and it was unclear how the student housing EOC would coordinate with the campus EOC during an emergency, as roles and responsibilities were not defined.

- during an emergency. This may involve revisions to the March 2017 student housing emergency procedures.
- c. The campus emergency coordinator conducted a student housing fire drill on February 22, 2017, for the Tamalpais, Shasta, and Diablo residence halls. The after-action report will be provided to the OAAS by March 31, 2017. Student housing evacuation drills will be performed twice a year, and we will maintain documentation of these drills.
 - d. The EOP revision will reflect that student housing evacuation drills are performed twice a year. The EOP will be provided to the OAAS by August 4, 2017.

8. NEW-HIRE TRAINING

OBSERVATION

New employees at the campus and Associated Students, Inc. (ASI) did not always complete emergency preparedness training, as required by campus and systemwide policy.

We reviewed training records for 20 faculty and staff new hires and found that:

- x In five instances, there was insufficient documentation to show that new staff atte3. .3(a)d.3(a)ed.3(2)JJET10

MANAGEMENT RESPONSE

We concur.

- a. The AVP of human resources and the a

GENERAL INFORMATION

BACKGROUND

The CSU consists of 23 campuses, with approximately 474,600 students and more than 49,000 faculty and staff. Each campus is responsible for the safety and general welfare of all members of the campus community. Because emergencies and disasters can occur with little to no warning and encompass a wide range of events, including earthquakes, fires, active-shooter situations, pandemics, protests or riots, and other natural and manmade disasters, it is critical that campuses plan ahead so that when emergencies happen, an appropriate response can be coordinated. The president of each CSU campus has been delegated responsibility for the implementation and maintenance of the campus emergency management program.

FEMA is the federal agency that leads the country in preparing for, preventing, responding to, and recovering from disasters. FEMA emphasizes the use of hazard mitigation planning to reduce the loss of life and property due to natural and other hazard risks and publishes a number of emergency planning guides, including **Building a Disaster Resistant University** and the **Guide for Developing High Quality Emergency Operations Plans for Institutions of Higher Education**. The Department of Education (DOE) and the National Fire Protection Association (NFPA) also publish guidance on emergency planning for higher education. The Department of Education (DOE) and the National Fire Protection Association (NFPA) also publish guidance on emergency planning for higher education.

reasonable assurance that essential elements of the campus emergency management program were in place and did not examine all aspects of the program.

CRITERIA

Our audit was based upon standards as set forth in federal and state regulations and guidance; CSU Board of Trustee policies; Office of the Chancellor policies, letters, and directives; campus procedures; and other sound administrative practices. This audit was conducted in conformance with the Institute of Internal Auditors' **International Standards for the Professional Practice of Internal Auditing**.

This review emphasized, but was not limited to, compliance with:

- x EO 943, **University Health Services**
- x EO 1056, **California State University Emergency Management Program**
- x Coded memorandum Human Resources 2004-10, **Mutual Aid**
- x 20 United States Code §1092(f), **Higher Education Opportunity Act**
- x Code of Federal Regulations Title 28, Part 36, **American Disabilities Act**
- x Code of Federal Regulations Title 29, Part 1910, **Occupational Safety and Health Standards**
- x DOE, **Action Guide for Emergency Management at Institutions of Higher Education**
- x FEMA, **Guide for Developing High Quality Emergency Operations Plans for Institutions of Higher Education**
- x NFPA 1600, **Standard on Disaster/Emergency Management and Business Continuity/Continuity of Operations Programs**
- x Government Code §8607
- x Government Code §13402 and §13403
- x CSUEB **Multi-hazard Emergency Operations Plan**
- x CSUEB Student 3 1 T[Tf 11.01.6(M)AC.9(9(g)d Rude)-5.5(e)-35(us)-5.3(i)-29(ude)-3.c3(de)-3.2()10L