

**UNIVERSITY OF CALIFORNIA, SAN FRANCISCO  
AUDIT AND ADVISORY SERVICES**

**Campus  
Emergency Management  
Project #15-023**

**March 2015**

University of California  
San Francisco



**Audit and Advisory Services**

March 19, 2015

**Pamela Roskowski**  
Chief of Police  
Police Department

**SUBJECT: Emergency Management**

As a planned internal audit for Fiscal Year 2015, Audit and Advisory Services (“AAS”) conducted a review of Emergency Management for campus. Our services were performed in accordance with the applicable International Standards for the Professional Practice of Internal Auditing as prescribed by the Institute of Internal Auditors (the “IIA Standards”).

Our preliminary draft report was provided to management of Homeland Security & Emergency Management within Police Department and Management provided us with their final comments and responses to our observations in March 2015. The observations and corrective actions have been discussed and agreed upon with department management and it is management’s responsibility to implement the corrective actions stated in the report. In accordance with the University of California audit policy, AAS will periodically follow up to confirm that the agreed upon management corrective actions are completed within the dates specified in the final report.

This report is intended solely for the information and internal use of UCSF management and the Ethics, Compliance and Audit Board, and is not intended to be and should not be used by any other person or entity.

Sincerely,

A handwritten signature in black ink, appearing to read 'Irene McGlynn', with a horizontal line extending to the right.

Irene McGlynn  
Director  
UCSF Audit and Advisory Service

## EXECUTIVE SUMMARY

### I. BACKGROUND

As a planned audit for fiscal year 2015, Audit and Advisory Services (AAS) conducted a review of the Campus Emergency Response Management Plan (ERMP). The ERMP provides guidelines for the management of the immediate actions and operations required to respond to emergencies and disasters. The priorities of UCSF during a disaster are the protection of lives and care of the injured, patients, animals, critical research, the environment, and property.<sup>1</sup> The California Emergency Management Agency (Cal EMA) and San Francisco Department of Emergency Management (SFDEM) classify UCSF as a special jurisdiction, whereby UCSF is responsible for managing and coordinating the overall enterprise emergency responses and recovery activities from disasters. UCSF is one of the largest employers in the city and its population is over 37,000 including 18,000 employees, contractors, students, volunteers and other affiliates. UCSF Policy 550-23 Emergency Management defines roles and responsibilities for the Police Department, Office of Environmental Health & Safety, Medical Center Emergency Preparedness Manager, Control Points, Student, Faculty and Staff, and enforces the State law requiring completion of the State Oath of Allegiance by UC employees as disaster service workers.

Homeland Security & Emergency Management (HSEM) is a division of the UCSF Police Department responsible for the development and ongoing maintenance of the campus EMRP and emergency management activities, including trainings and exercises provided for the Incident Management Team (IMT), whose members are responsible for carrying out critical functions during emergencies.<sup>2</sup> ERMP was defined using standard elements of incident management and response required by the state Standardized Emergency Management System (SEMS) in 1995 and the federal National Incident Managements Systems (NIMS) in 2004 in order to be eligible to receive state and federal financial assistance.

HSEM has made numerous improvements over the years and details can be viewed in the UC System-wide annual emergency preparedness reports from 2008 – 2014. For example, HSEM has assembled emergency supplies and obtained emergency supply storage units at 15 locations across multiple campus locations in anticipation that local, state and federal disaster response resources may not be able to meet all Bay Area disaster care and shelter needs for five or more days after a major disaster..

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<sup>1</sup> University of California San Francisco, Emergency Response Management Plan, Introduction, pg. 1-1

<sup>2</sup> IMT are made up of the Command Staff (Liaisons, Public Info Media, Safety Officer & Emergency Officer) and General Staff (Operations, Resources & Logistics Staff, Planning, Admin& Finance) whereas Emergency Operations Center (EOC) includes IMT, Chancellor, Campus Counsel, Campus Mgmt. Response Team, Policy Group, & Advisors and Campus Points of Coordination.

## II. AUDIT PURPOSE AND SCOPE

The objectives of the review were to:

- Determine if EMRP has established appropriate policies, procedures and an organizational structure to respond to emergencies that is tested regularly for on-going maintenance and preparedness;
- Determine if required trainings are completed by members of the Incident Management Team (IMT) to strengthen preparedness posture; and
- Assess if emergency supplies are reviewed and replenished to ensure availability during disasters.

The scope of the review covered the Campus ERMP and Emergency Operations Center (EOC) activities. The review did not include departmental emergency action plans or the MC Emergency Preparedness Plan, which was reviewed as part of the Joint Commission annual self-assessment.

Procedures performed as part of the review included interviews with HSEM personnel; review of the relevant federal and state mandates; assessment of ERMP; review of the WarnMe system and notifications and review of the Great Shakeout exercises for 2012 and 2014. For more detailed steps, please refer to Appendix A.

Work performed was limited to the specific procedures identified above; as such, this report is not intended to, nor should can it be relied upon to provide an assessment of compliance beyond those areas specially reviewed. Fieldwork was completed in February 2015.

## III. SUMMARY

Based on the work performed, the EMRP is comprehensive and includes the necessary components for a successful emergency plan. The EMRP uses basic elements of emergency standards, including authorization to activate emergency, a scalable response structure using an Incident Command System (ICS), and definition of roles and response procedures for staff with emergency assignments. WarnMe system has been implemented at UCSF to alert the community of emergencies and is tested regularly with different types of alerts. Emergency exercises are held, including participation in the state-wide Shakeout in 2012 and 2014.

Opportunities for improvements exist in the areas of staffing for the EOC and training, compliance rates for IMT personnel.

The specific observations from this review are listed below.

- Some EOC functions as defined by ERMP do not have primary and/or alternate staff identified.
- Numerous IMT members have not completed the ICS training required by NIMS.

**IV. OBSERVATIONS AND MANAGEMENT CORRECTIVE ACTIONS (MCA)**

<b>No.</b>	<b>Observation</b>	<b>Risk/Effect</b>	<b>Recommendation</b>	<b>MCA</b>
1	<p><b><i>Certain EOC functions identified in the Master Contact List do not have primary and/or alternate staff identified.</i></b></p> <p>The EOC Master Contact List does not have emergency contact points identified for certain primary and alternate positions. These contact points are also used for organizing emergency exercises, training, and meetings. Per ERMP on EOC Critical Functions, “the Emergency response management requires the establishment of a strategic EOC staffed from various departments which represent critical functions of the University or have resources necessary to respond to emergencies. The purpose of the EOC is to assign employees with reasonable expertise and training to critical functions without loss of precious time.”</p> <p>During the course of the review, HSEM provided an updated EOC Master Contact List and revised organizational chart to clarify which functions are essential for the EOC. Due to the challenges of obtaining and retaining volunteers for the functions and the likelihood of most members not being available during a disaster event, HSEM relies heavily on the functional checklists which detail the roles, responsibilities, and procedures to respond to emergencies.</p>	<p>Vacancies for some EOC functions may reduce preparedness by limiting the availability of members for assignment to specific positions during an emergency.</p>	<p>HSEM should communicate with the relevant departments the need to encourage volunteers to staff the EOC during an emergency or disaster.</p> <p>Additionally, new escalation procedures should be developed to communicate with control points if positions remained unfilled.</p>	<p>By May 1, 2015, HSEM will communicate with the relevant departments to encourage volunteers to staff the EOC.</p> <p>If positions remain unfilled, HSEM will escalate to the Control Points by June 30, 2015, to encourage volunteers to staff the EOC.</p>
2	<p><b><i>Numerous IMT members have not completed the ICS training as required by NIMS.</i></b></p> <p>HSEM was successful in raising the training compliance rate from 20% in FY2007 to 76% in FY2013; however, due to IMT staff turnovers in FY2014 the training compliance rate has dropped to 56% as of 12/9/2014.</p>	<p>The Low completion rate of ICS training by IMT members may impact UCSF’s preparedness to manage emergencies as intended by the EMRP.</p>	<p>HSEM should formally define the NIMS compliance target percentage and devise a plan for achieving it or addressing when the target is not met, such as</p>	<p>By June 30, 2015, HSEM will formally define the NMS compliance target percentage and devise a plan for achieving it or addressing when</p>

	<p>Homeland Security requires that states and local jurisdictions adopt the NIMS guidelines. Per ERMP appendix on Training and Development, all IMT members should complete NIMS training courses: ICS 100, 200, 700 and 800. Completion rate by IMT members is reported annually to UCOP via the annual NFPA 1600 survey.</p>		<p>monitoring and communicating to control points.</p>	<p>the target is not met.</p>
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**APPENDIX A**

To conduct our review the following procedures were performed for the areas in scope:

- Reviewed FEMA and UCSF policies relating to emergency preparedness;
- Reviewed information from NIMS and SEMS to understand standard emergency response systems mandated by federal and state agencies respectively for allowing better coordination of information flow between state and local response agencies;
- Reviewed EMRP to understand elements of the emergency plan;
- Completed training on Incident Command System to understand emergency system;
- Interviewed key personnel from HSEM to gain an understanding of emergency preparedness activities;
- Reviewed WarnMe system for frequency and types of test alerts;
- Reviewed 2012 Shakeout After Action Report to determine if actions were properly addressed and completed;
- Attended 2014 Shakeout exercise to observe and understand EOC activities;
- Reviewed required training compliance report for IMT members; and
- Reviewed inventory processes and completed a walkthrough of a small inventory shelter unit to assess availability of emergency supplies.