



The Executive Summary should be interpreted within the context of the complete engagement report.

February 2019

## BACKGROUND

In 2017, Internal Audit (IA) completed an assessment of the City's overall disaster preparedness including planning and execution capabilities, adequacy of facilities, technology, and communication planning, and staff's response awareness. While there are many facets to disaster preparedness, the engagement focused on the collaborative efforts between City departments and the Office of Emergency Management (OEM) to prepare City staff to continue operations during an emergency event. IA concluded that the plans were outdated, some even 10 or more years old. We also found that many staff were unaware of their plan or not properly prepared to respond accordingly. We developed recommendations that the departments update their existing plans and work with OEM and Information Technology (IT) to ensure they adequately documented their plan annexes (sections), and that the plans were feasible. City Management directed a rapid response to the engagement's findings and recommendations.

## OVERALL DISASTER PREPAREDNESS FOLLOW-UP

### SCOPE

Our audit work covered the period of April 1, 2017 – March 30, 2018.  
*\*Noted: The initial engagement report was released on April 3, 2017.\**

### OBJECTIVE

Assess the adequacy of the response to the initial engagement's findings and recommendations in accordance with City Management directives, which included assessing staff's awareness of their responsibilities and reviewing the departments' continuing operations plans.

### OBJECTIVE CONCLUSIONS

- Internal Audit noted slight improvements in awareness and preparedness at the manager/director level; however, supervisors/staff continue to show a low level of awareness. The lack of sufficiently documented plans from which to train staff is affecting the knowledge base.
- The implementation of the recommendations from the initial engagement is not yet satisfied. Most importantly, City departments have not yet satisfied the recommendation of complete, written continuing operations plans.



The Executive Summary should be interpreted within the context of the complete engagement report.

## KEY RECOMMENDATIONS AND RESPONSE

We developed the following recommendations based upon findings identified during this follow-up engagement. According to City Ordinance, OEM is the coordinating agency for all disaster planning and acts as the instrument through which the City Manager exercises authority and discharges disaster planning responsibilities. Disaster and emergency planning are a collaborative effort. As such, in the complete engagement report, Internal Audit noted the department, OEM, and City Management responsibilities accordingly.

### Recommendations for OEM, Departments, and City Management

- Plans
  - Establish minimum and critical criteria for all plans to ensure quality, completeness, and adequacy. Select a template for all departments to use.
  - Include detailed response guidance, regardless of the template.
  - Facilitate a yearly collaborative planning effort among Department Directors and COOP owners.
  
- Training
  - Ensure each EOC participant (primary and assigned backups) meets the minimum EOC participant criteria
  - Work to comply with the City Council Resolution No. R2004-80, which includes NIMS training for those involved in COOP activities
  - Work with the Human Resources learning and development team to implement web-based training for the City government participants and staff at all levels

### Management's Response

- City Manager, James Twombly, and OEM Manager, Matt Chapman agree with the Internal Audit recommendations and will work with the Departments on implementation.
  
- City Manager, James Twombly, and OEM Manager, Matt Chapman agree with the Internal Audit recommendations and will work with the Departments on implementation.

View complete audit reports: COOP Review [Link](#) ; Survey Results [Link](#)