

# It's a disaster! Audits and emergency management



OREGON **AUDIT** SUMMIT  
COMING TOGETHER

Concurrent Session #5

# AGENDA

The system

Audit impacts

Moving the needle

Getting started – a resource

# **THE SYSTEM**

State agency and local government roles and responsibilities in Oregon's emergency management system

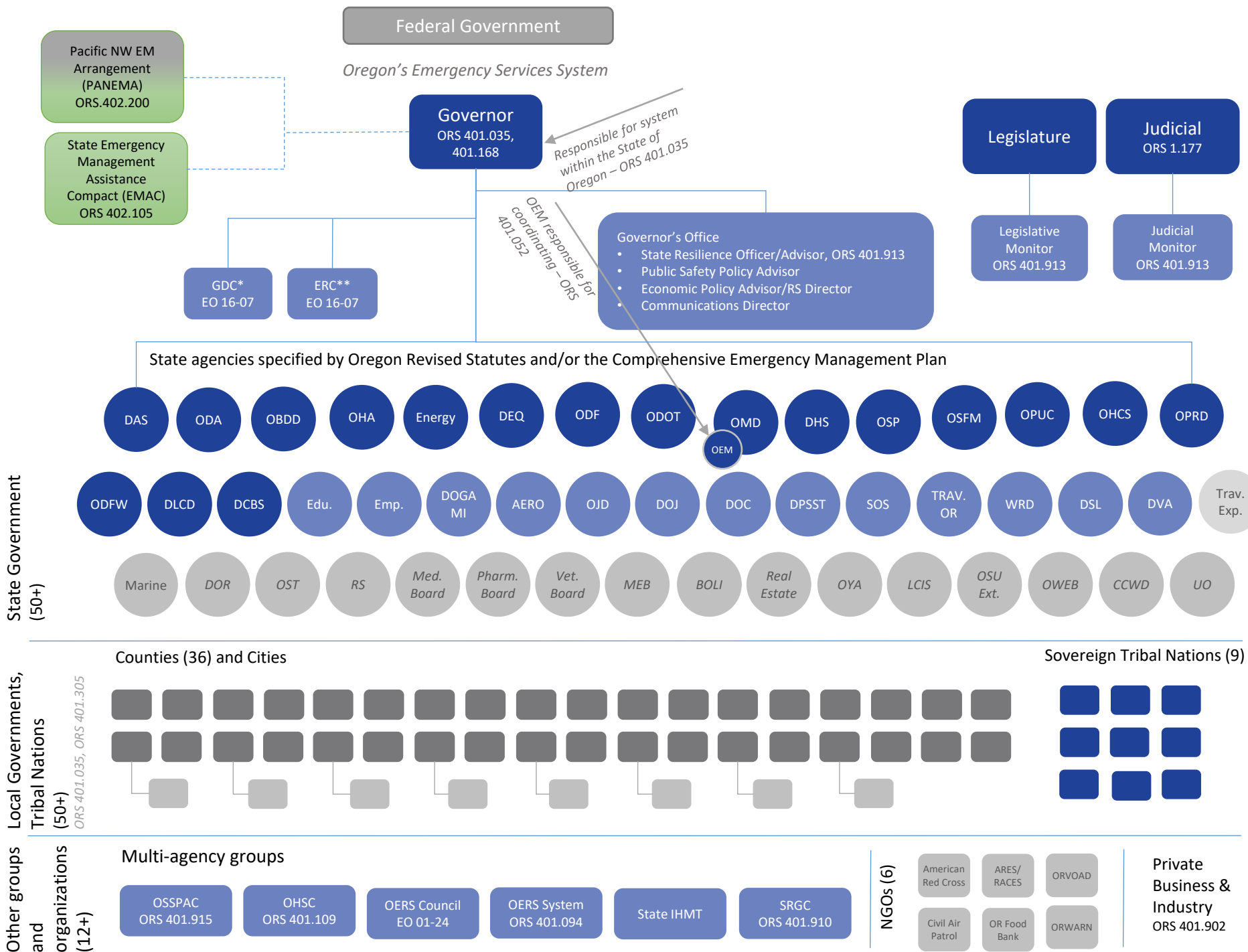


**Which entities in this room have R&Rs in the system?**









Oregon emergency services system = all organizations involved in the coordinated delivery of emergency services

# **AUDIT IMACTS**

Leveraging audits for organizational change



## Office of Emergency Management: Rebuilding the Organization to Strengthen Oregon's Emergency Management

Oregon's Office of Emergency Management (OEM) is responsible for coordinating and facilitating emergency planning, preparedness, response and recovery activities with state and local emergency service agencies and nonprofit organizations. OEM activities include maintaining a single point for coordinating a statewide emergency response, preparedness planning, administering grant funding to local governments, and administering the 9-1-1 program.

The objective of our audit was to determine what improvements OEM can make to its management practices to better help the state prepare for, respond to and recover from disaster. Our audit focused on OEM's internal management practices. As such, we did not review program-specific activities in areas such as emergency preparedness and response, disaster recovery, hazard mitigation or the state's 9-1-1 program.

Our initial audit work indicated internal challenges within the division. OEM has had significant management turnover and position vacancies in recent years, with all new management hired between May and October 2013. Additionally, during our audit, OEM had legal issues arise (including unfair labor practices complaints and related tort claims).

Late September 2013, we administered a work environment survey to staff in order to gauge OEM's strengths and identify specific areas for improvement. While a high level of agreement is expected for most of the survey questions, scores were generally low in most categories. For over half of the questions, less than 45% of staff agreed. The survey identified specific shortcomings and areas for improvement related to strategic direction, teamwork, employee development, communication, and staffing and workload management. Additionally, we found the division did not have a strategic plan, performance measures were limited in relevancy, policies and procedures were not current or complete, employee evaluations were not regularly conducted, and there was no training plan for employee professional development.

State of Oregon

## The State Must Do More to Prepare Oregon for a Catastrophic Disaster

January 2018

Secretary of State  
Dennis Richardson

Audits Division, Director  
Kip Memmott





# **MOVING THE NEEDLE**

Coming together to move the state forward



2018 – the  
state is not  
prepared

Goal –  
mature,  
prepared,  
resilient





# Coronavirus COVID-19 Global

Total Confirmed

**128.343**

Confirmed Cases by Country/Region/Sovereignty

- 80.932** China
- 12.462** Italy
- 10.075** Iran
- 7.869** Korea, South



**ONE DISASTER,  
TWO DISASTERS,  
THREE DISASTERS,  
FOUR**







**Where do we focus  
our limited audit  
resources?**

# Preparedness



repeat  $\infty$

evaluate

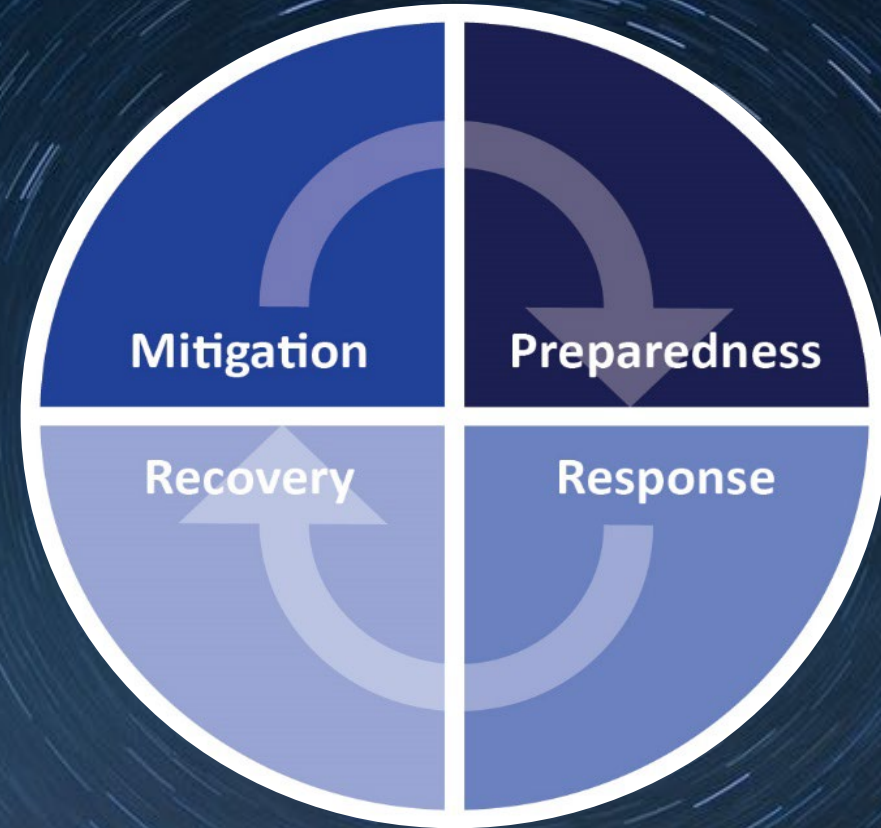
exercising

training

planning



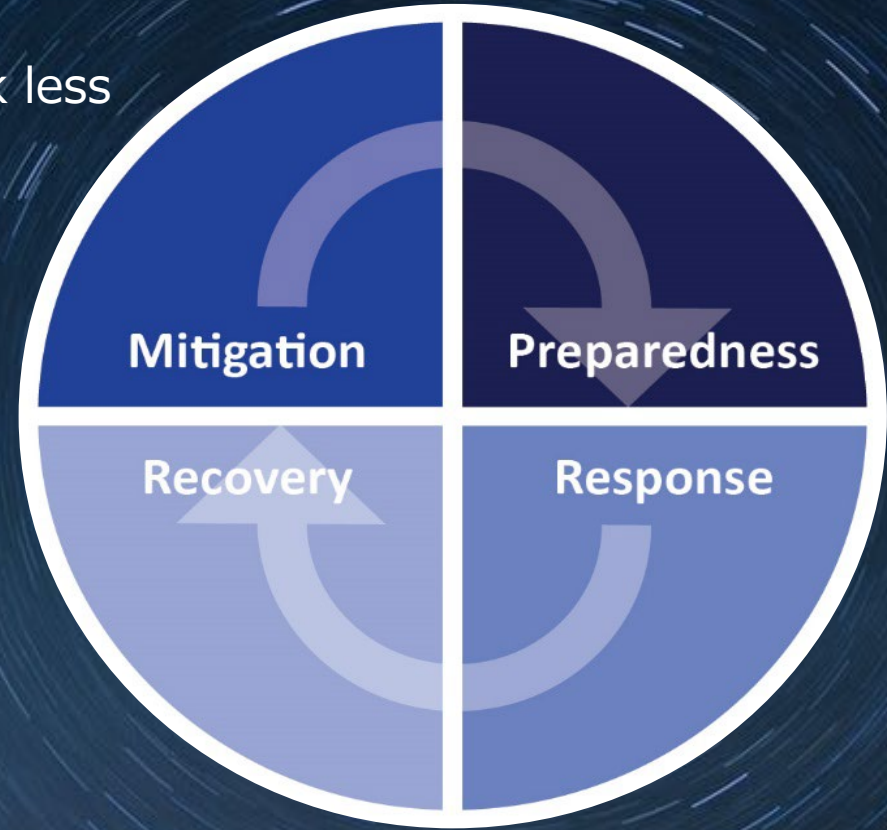
# Emergency management is an ongoing cycle





# Emergency management is an ongoing cycle

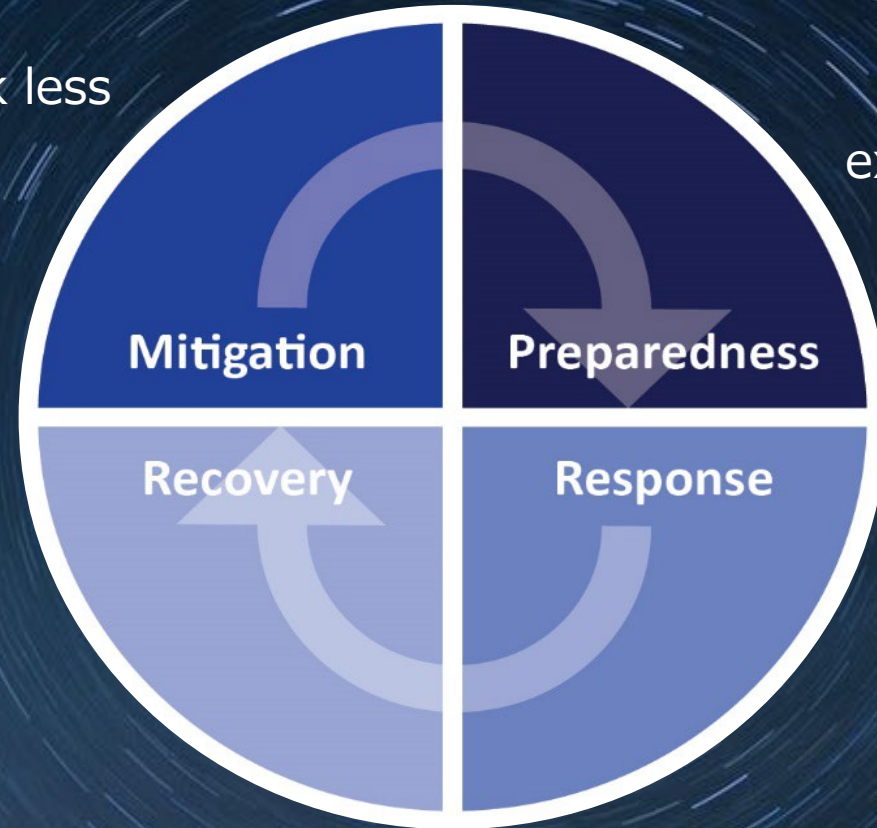
Break less  
stuff





# Emergency management is an ongoing cycle

Break less  
stuff



Planning,  
training,  
exercising,  
evaluate,  
repeat



# Emergency management is an ongoing cycle

Break less  
stuff



Planning,  
training,  
exercising,  
evaluate,  
repeat





# Emergency management is an ongoing cycle

Break less  
stuff

Mitigation

Planning,  
training,  
exercising,  
evaluate,  
repeat

Preparedness

Recovery

Response

Return  
to normal



# **GETTING STARTED**

A resource to get you going

# A TOOL TO GET STARTED

## CONSIDERATIONS FOR EMERGENCY PREPAREDNESS AUDITS AUDIT DESIGN MATRIX

**Audience:** This tool is intended for state and local government auditors who have little prior experience auditing emergency management programs. The tool focuses on the basic elements of preparedness – planning, training, exercising, and evaluation. These elements function on a continuous cycle of improvement. The idea is to provide auditors with guidance on what to look for when conducting a basic audit of an agency’s preparedness to respond to incidents.

**Issue statement:**

- Why does this matter? Communities expect government to be prepared and ready to engage before, during, and after incidents. They expect agencies to keep communities safe and prevent loss of life property, and economic value. The aftermath of the 2023 Maui wildfire exemplifies what goes wrong when agencies aren’t prepared. People lose trust in government, and the reputations of government agencies suffer.
- Our 2018 audit found that the state needed to strengthen its emergency management system. Recent events, such as the 2020 wildfires and the COVID-19 pandemic, showed that Oregon agencies were not prepared to respond to emergencies.
- Preparedness should be woven throughout an agency’s enterprise because it will touch all programs. That responsibility has not been recognized across the state enterprise. Preparedness has been siloed into a few agencies it goes deep and wide and must be built into agencies’ everyday functions, mission, vision, and values. An analogy is how agencies are now incorporating equity into all functions.
- Agencies must know how to work with their federal, state, and local partners, including community groups and run incidents efficiently and effectively.
- Disasters disproportionately affect the most vulnerable. Agencies must conduct community hazards and risk analyses to identify who is most at risk. They must try to mitigate those risks before an emergency occurs: prepared to assist vulnerable groups during and after emergencies.

**Overall potential objective:**

- To what extent has (the entity) demonstrated its readiness to respond to incidents?

**About this document:**

- A design matrix is an audit planning tool, which provides a snapshot of the audit. It is intended to be and revised as the audit progresses.
- The focus is on risks related to planning, training, exercising, and evaluation. This is a starting point because many programs may be low on the maturity curve. However, for those that further along, audit at a deeper level by evaluating the quality, robustness, and comprehensiveness of preparedness. The materials we’ve referenced provide additional guidance if you’d like to delve deeper.
- The various criteria listed have endnotes with full titles and links. Endnotes are placed on the first criteria.
- We use “agency” as a generic term. For the most part, it can refer to local government or state agency.

**Matrix column headings explained:**

- **Audit Questions:** This refers to what your team is trying to answer.
- **An informal commentary on why this matters:** This column provides, in plain language and why the audit question must be asked. This is not typically part of a design matrix. We added acquired audit experience.
- **Criteria, Information Required and Sources:** Listed here is the information your team will need to answer the audit question.
- **Scope and Methodology:** This information notes how your team will answer each question.
- **Limitations:** Presented here is information on what may affect your findings.
- **What the analysis will allow you to report:** This captures what the expected results of your audit will be.

Design Matrix – Emergency Preparedness Topics

	Audit questions (Objectives)	An informal commentary on why <u>this matters</u>	Criteria, information Required and Sources	Scope and methodology	Limitations	What this analysis will allow you to report
PLANNING	<p><i>Plan development:</i></p> <p>1. Does the agency have responsibilities in Oregon’s Emergency Management system? (Descriptive)</p>	<p>The short answer is yes, your agency has responsibilities. Every local government and <u>virtually</u> all state agencies have a role, BUT the agency might not have a clue what their responsibilities are.</p> <p>Unlike some government services that are siloed here or there, the emergency management system is like a net that touches virtually every entity.</p>	<p><b>Information required:</b> *State agency’s Emergency Support Function (ESF) and State Recovery Function (SRF) primary and supporting responsibilities and any roles in CEMP Volume I or II *Local government responsibilities</p> <p><b>Source:</b> <a href="#">State CEMP</a><sup>1</sup>, <a href="#">ORS 401.032(2)</a>, <a href="#">ORS 401.035</a>, <a href="#">ORS 401.054</a><sup>4</sup>, Section 151 to 152, Oregon Laws 2021, <a href="#">ORS 401.305</a></p>	<p><b>Scope:</b> Agency’s responsibilities</p> <p><b>Methodology:</b> Review state plans. Document responsibilities.</p>	<p>Plans may be out of date, not updated, incomplete, or not reflect an agency’s full responsibilities.</p>	<p>What the agency’s responsibilities are/aren’t in the state’s emergency management system.</p>
	<p>2. To what extent has the agency(s) developed a written plan(s) with policies and procedures for its ESF and SRF responsibilities? (Evaluative)</p> <p>(FYI - Multiple agencies may jointly share ESF and SRF responsibilities for some functions.)</p> <p><i>For local governments, this question can be refashioned to focus on the local government’s Emergency Operations Plan (EOP).</i></p>	<p>Agency personnel need to know what to do (their roles and responsibilities), have something to train to, and exercise against. They need to have a starting point for an incident. Developing a plan will help the agency identify and address capability gaps before an emergency occurs. A plan will help the agency prepare response objectives, manage resources, and set expectations for performance. Also, the people involved in evaluating risk and preparing plans should have general knowledge of emergency management principles and practices. If they don’t, that’s cause for concern.</p>	<p><b>Criteria:</b> <a href="#">FEMA CPG 101</a><sup>III</sup></p> <p><b>Information required:</b> ESF Operations Plan(s), SRF Annex(es), policies &amp; procedures on plan development and maintenance</p> <p><b>Source:</b> OEM CEMP webpage, OEM P&amp;P, agency internal P&amp;Ps</p>	<p><b>Scope:</b> Any ESF/SRF functions for which the agency holds a primary or supporting role in (Q1) and associated plans.</p> <p><b>Methodology:</b> Review existing plans, policies &amp; procedures</p>	<p>The ESF/SRF plans may be out of date, not updated, or incomplete. The agency’s plan may have been written by another entity for the purpose of fulfilling a requirement. In these cases, the plan may not accurately reflect the agency’s capabilities or operations. They may also be more like guidance (i.e., suggestions or recommendations) rather than actual plans that describe what needs to be done.</p>	<p>Whether the agency has/not begun to take ownership for their responsibilities.</p>



# PLANNING





# TRAINING







## EXERCISING



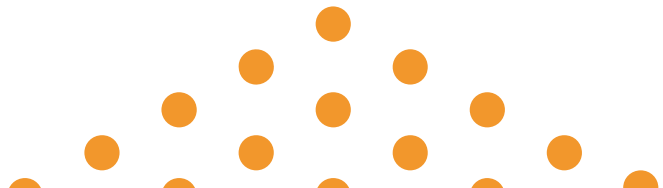
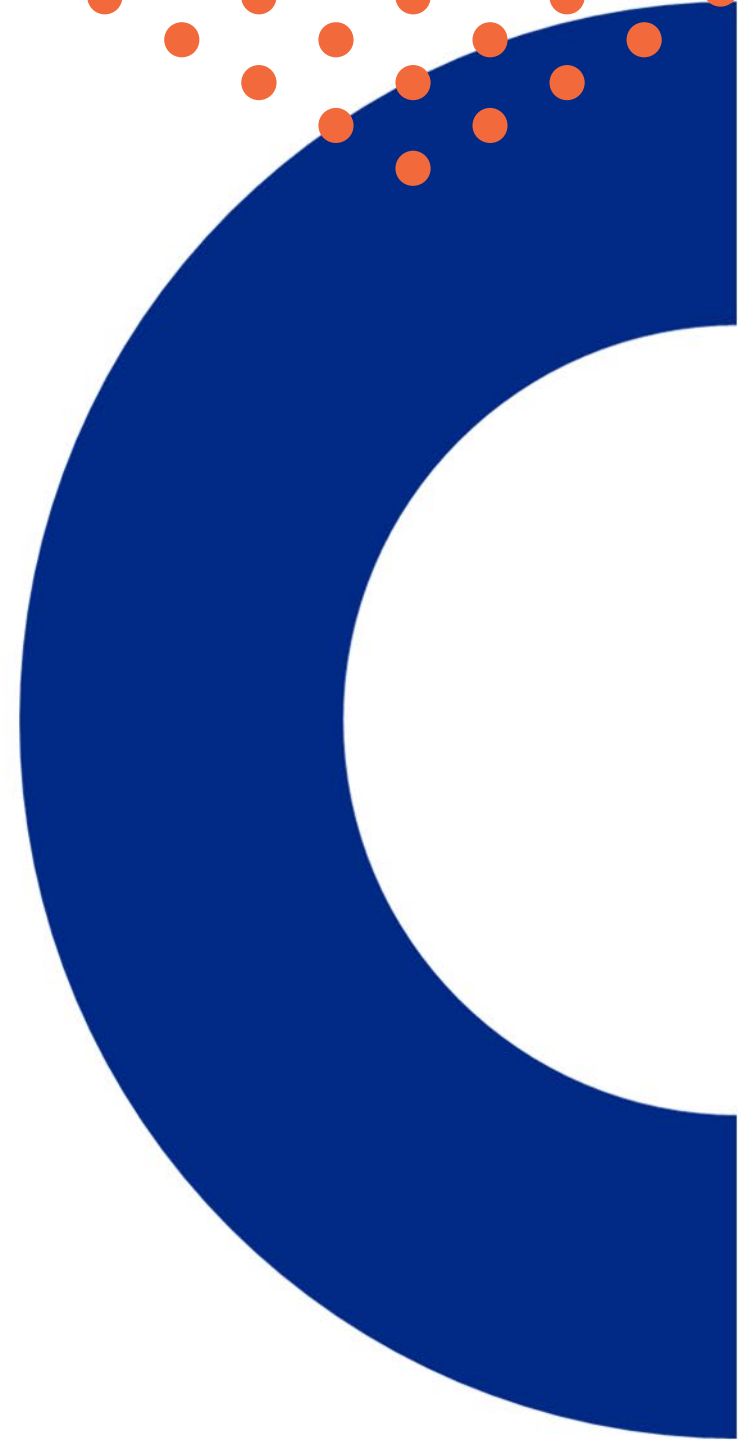


# EVALUATION

A hand is shown holding a pen over a blue sticky note on a wall. The wall is covered with many other sticky notes in various colors (yellow, pink, blue, green). The text 'Continuous improvement' is overlaid on a large orange circle with a white arrow pointing clockwise.

Continuous  
improvement

**QUESTIONS?**





**ANDREW PHELPS,** Chief Operating Officer  
AC Disaster Consulting  
[aphelps@acdisaster.com](mailto:aphelps@acdisaster.com)

**AMELIA EVELAND,** Lead Auditor  
Audits Division, Oregon Secretary of State  
[amelia.h.eveland@sos.oregon.gov](mailto:amelia.h.eveland@sos.oregon.gov)