

18-122 Emergency Preparedness Plans

We have completed our audit of the Emergency Preparedness Plans. This audit was performed at the request of the UTHealth Audit Committee and was conducted in accordance with the *International Standards for the Professional Practice of Internal Auditing*.

BACKGROUND

The State of Texas House Bill number 1831 (HB 1831) requires audits of emergency preparedness plans. HB 1831 states, in part, "Every institution shall conduct a safety and security audit of the institution's facilities at least once every three years". Among other requirements, the bill also states an institution shall adopt and implement a multi-hazard emergency operations plan for use at the institution. The plan must address mitigation, preparedness, response, and recovery. Healthcare facilities, such as the UT Harris County Psychiatric Center (HCPC), are also required to follow a more extensive set of requirements for emergency preparedness in order to be accredited by the Joint Commission on Accreditation of Healthcare Organizations (Joint Commission), the nation's predominant standards setting and accrediting body in healthcare.

OBJECTIVES

The objective of this audit was to assess the adequacy of processes and policies developed to respond to emergency events at UTHealth, UT Physician's (UTP) and HCPC.

SCOPE PERIOD

The scope period was fiscal years 2015, 2016 and 2017.

METHODOLOGY

The following procedures were performed:

- Obtained and reviewed the emergency management plans for UTHealth and UT Physicians.
- Compared the emergency management plans with the requirements of HB1831 to determine whether the plans contain the required components.
- Obtained evidence to support the required steps per HB1831 have been implemented including, but not limited to development and maintenance of an all-hazard emergency management plan; employee training and coordination with other services within the State.
- Obtained and reviewed the emergency operations plan for HCPC.
- Compared the emergency operations plan with the requirements of the Joint Commission Standards to determine whether the plan contains the required components.
- Obtained evidence to support the required steps per the Joint Commission Standards have been implemented including, but not limited to development and maintenance of emergency operations plan ; an incident command structure, consisting of response procedures, recovery strategies and activities, and processes for initiating and terminating response and recovery phases; preparation for managing staff, utilities, resources, and supplies during an emergency; identification of alternative care sites; a plan for communicating with employees'

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and patients’ families during the emergency; evidence of yearly evaluation of the emergency operation plan and, completion of a hazard vulnerability analysis or risk assessment;

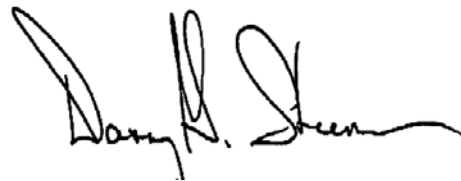
AUDIT RESULTS

Based on our review of UTHealth and UTP emergency management plans and HCPC emergency operations plan, procedures are adequate and contain the required elements of HB 1831 and the Joint Commission.

NUMBER OF PRIORITY & HIGH FINDINGS REPORTED TO UT SYSTEM

None

We would like to thank the staff and management within the Office of The Vice President, Safety, Health, Environment and Risk Management, UTP and HCPC who assisted us during our review.



Daniel G. Sherman, MBA, CPA, CIA
Assistant Vice President

MAPPING TO FY 2018 RISK ASSESSMENT

Risk (Rating)	Concern regarding emergency notification sent out to a wide area may not apply or be relevant to many individuals. (High)
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AUDITING & ADVISORY SERVICES ENGAGEMENT TEAM

Assistant Vice President	Daniel G. Sherman, MBA, CPA, CIA
Audit Manager	Nathaniel Gruesen, MBA, CIA, CFE, CISA, CCSA
Auditor Assigned	Diarra Boye, CIA, CFE
End of Fieldwork Date	5/17/2018
Issue Date	5/31/2018

Copies to:

- Audit Committee
- Robert Emery, PhD, Vice President Safety, Health, Environment and Risk Management UTHealth
- Andrew Casas, Chief Operating Officer, UTP
- Stephen Glazier, Chief Operating Officer, HCPC

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