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CORRESPONDENCE MEMORANDUM

DATE: February 9, 2010
TO: Audit Committee Members
FROM: John Vincent, Director
Office of Internal Audit
SUBJECT: Summary of Pandemic Plan Audit Report

This report is for Audit Committee review and discussion. No action is required.

Background

The Office of Internal Audit (OIA) completed a review of the effectiveness of the Department of Employee Trust Funds (ETF) Pandemic Plan and ability to initiate, continue and recover business operations. The importance of the audit was heightened due to the H1N1 flu epidemic.

The audit was requested by the Division of Management Services and the Office of Policy, Privacy & Compliance, and is included in the 2009-2011 Internal Audit Plan. The audit objectives and scope were discussed and reviewed with ETF's continuity manager and incident commander designated by the Pandemic Plan (Plan).

Summary of Audit Findings and Conclusions

During this audit it was determined that considerable planning efforts and numerous valuable measures had been completed by ETF in an effort to be prepared in the event of a pandemic. These efforts have been made within staff and budget resource constraints. Staff assigned to pandemic planning has done so while carrying out their primary responsibilities and duties. It is the opinion of OIA that to strengthen ETF's preparedness, the Plan should be enhanced with greater detail, and tests of the Plan should be conducted under different conditions and circumstances in order to identify where ETF is most vulnerable for maintaining business operations, should a pandemic occur.

Attachment A presents the specific observations and plans of action.

Reviewed and approved by Rhonda Dunn, Executive Assistant, Office of the Secretary.

Signature

Date

| Board | Mtg Date | Item # |
|-------|----------|--------|
| AUD | 3.18.10 | 5A |

Secretary Office's Comments

We are pleased with the results of this audit. The findings confirm the extensive planning effort and steps that have been taken to prepare the Department and staff in the event of a pandemic situation. The Department will continue to monitor discussions at the state and local level and explore process improvements and changes to the Plan so that the Department is prepared for a range of situations and is able to sustain its core business activities for several weeks with reduced staff.

I will be at the Committee meeting to discuss the reports and answer any questions.

Attachment: Summary of Observations and Plans of Action

**Pandemic Plan Audit
Summary of Observations and Plans of Action
February 9, 2010**

Observation 1:

| Observation Summary | Plans of Action | Completion Date |
|---|---|----------------------|
| <ul style="list-style-type: none"> • Collaborate with employees in identifying sources of psychosocial support during a pandemic, including contracted services (such as a pandemic Employee Assistance Plan, community, and faith-based resources). • Consider employees with special needs (such as those particularly vulnerable to complications from influenza illness) and customize any special needs in Employee Trust Funds (ETF) preparedness planning. • Disseminate information to employees about pandemic-specific elements of ETF's business continuity plan and special pandemic human resource policies, with special attention to provisions for working from home. • Determine the technical information resources (hardware and software) needed for essential activities that would be conducted from home and develop a proposal for its procurement and implementation. • Develop a plan to ensure that building maintenance and cleaning services incorporate recommended infection control procedures. • In all sites of operation, evaluate employee access to and the availability of health-care services in the face of a surge in demand during a pandemic. | <ul style="list-style-type: none"> • Over all, we agree with the observations. Accessibility and availability of health services are basic pieces of the state and county health services' pandemic plans. Each county health officer has jurisdiction. Discussions are taking place at the state and local levels of government, with appropriate parties. We will continue to monitor the results of those discussions. • Relative to work-at-home, several of these components are in place with our Citrix licenses already. We also have estimated in our plan that about the majority of our staff could work from home with the right tools. Human Resources, Division of Management Services (DMS) and Office of Policy, Privacy & Compliance (OPPC) will develop a work at home policy and further refine the components and costs necessary to work at home. • Regarding the addition of greater detail to the Plan, this will require meetings with the Secretary's Office and Leadership Team on current plan documents and reassessing resources to further plans with more detail. DMS and OPPC will first discuss this with the Secretary's Office. | <p>December 2010</p> |

**Pandemic Plan Audit
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Observation 2:

| Observation Summary | Plans of Action | Completion Date |
|--|---|--|
| <p>Develop “what if” scenarios and conduct practice drills to test the Plan in order to identify where operational breakdowns likely would occur, and to revise the Plan based on lessons learned. Participate in drills conducted by local, state, or national governments to test linkages between the ETF and relevant authorities.</p> | <p>We appreciate the value of “what if” scenarios and have participated successfully in all drills mandated for agencies by the Department of Administration. In August 2009, ETF independently developed and implemented an additional drill (the “Morning Report” drill) to test the agency’s ability to promptly compile and report staffing levels during a pandemic. This drill will become an annual requirement for ETF’s pandemic response program. We will continue to develop other scenarios as necessary, discuss the “lessons learned” with work units, and collect feedback from staff for improvement of the plan.</p> | <ul style="list-style-type: none"> • Morning Report Drill (August 2010) • Annual Pandemic Exercise (December 2010) |