

<b>Agency Name</b>	Department of Safety
<b>Audit Name</b>	Division of Homeland Security and Emergency Management
<b>Audit Period</b>	August 2016
<b>Status Report Date</b>	July 17, 2019

Summary of Audit Observations/Findings					
Number	Observation Title	Status [place X in status column]			
		Unresolved	Partially Resolved	Substantially Resolved	Fully Resolved
1	Develop A Continuity Of Government Plan			X	
2	Improve After-Action Report Policies And Practices				X
3	Improve Training Program				X
4	Test Alternate Facility				X
5	Adopt Rules For Incident Command System		X		
6	Ensure Compliance With Information And Analysis Center Statute				X
7	Adopt Rules For Nuclear Plant Assessment Fee				X
8	Improve Nuclear Planning And Response Fund Reporting				X

**Observation 1: Develop A Continuity Of Government Plan**

Summary of Finding: **HSEM did not have a Continuity of Government plan. HSEM should keep working with top governmental officials within the Governor's office, Legislature, Judicial Branch, and State agencies to ensure continuation of State leadership and services in the event of a disaster.**

Current Status: Substantially Resolved

HSEM was unable to secure federal funding to hire a contractor to assist in developing a State COG therefore, HSEM staff have continued to work with Department's leadership to develop their Continuity of Operations Plans (COOP) which feed into the development of a State Continuity of Government Plan. We have developed a draft of the State Continuity of Government Plan and are in the process of reviewing it with State leadership. We continue to meet with state agencies to provide technical assistance in the development of their COOPs to be able to fully build out the COG.

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**Observation 2: Improve After-Action Report Policies And Practices**

Summary of Finding: **HSEM inconsistently utilized and implemented AARs to improve its emergency management program. HSEM should comply with policy and generate an AAR after each exercise.**

Current Status: Fully Resolved

HSEM hired a part-time position to focus solely on completing after action reports following each exercise.

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**Observation 3: Improve Training Program**

Summary of Finding: **HSEM should develop an Emergency Management Accreditation Process compliant training program.**

Current Status: Fully Resolved

HSEM has developed an Emergency Management Accreditation Process compliant Multi-Year Training and Exercise Plan (MYTEP) that is updated annually with input from state, local and private sector stakeholders through the use of an online survey to identify the needs of our stakeholders that will fill gaps with targeted training and exercises.

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**Observation 4: Test Alternate Facility**

Summary of Finding: **HSEM management should fully test its primary alternate facility to ensure it can successfully function at that location.**

Current Status: Fully Resolved

HSEM has conducted two (2) successful functional exercises of the primary alternate facility at the NH National Guard Headquarters in Concord and identified gaps and have subsequently filled those gaps to ensure that we are fully functional when/if we need to utilize that location.

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**Observation 5: Adopt Rules For Incident Command System**

Summary of Finding: **DOS management should comply with State law and adopt administrative rules for a statewide ICS to be used in responding to any natural or man-made cause that requires emergency management by multiple agencies or departments.**

Current Status: Partially Resolved

The NH Department of Safety's Division of Fire Safety is in the process of developing statewide ICS rules.

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**Observation 6: Ensure Compliance With Information And Analysis Center Statute**

Summary of Finding: **Certain policies and procedures of the DOS's Information and Analysis Center (IAC), co-directed by the Divisions of State Police and Homeland Security and Emergency Management, did not fully comply with statutory requirements.**

Current Status: Fully Resolved

The use of random sampling has been incorporated into calendar year audits to ensure that the intelligence database contains accurate data that was accessed for legitimate reasons and formal policies and procedures have been developed to document authority to screen, reject for employment, transfer, or remove personnel with authorized access to the system.

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**Observation 7: Adopt Rules For Nuclear Plant Assessment Fee**

Summary of Finding: **No administrative rules existed governing the nuclear plant fee assessment process.**

Current Status: Fully Resolved

The Department of Safety began the process of rulemaking associated with the Nuclear Plant Assessment Fee. During that process, the Department reviewed the statute and existing procedures related to the assessment as well as feedback from those impacted and determined that administrative rules were not necessary for the accurate and timely execution of the assessment process.

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#### Observation 8: **Improve Nuclear Planning And Response Fund Reporting**

Summary of Finding: **Out of three statutory reporting requirements, the DOS partially completed two reports and did not produce a third report regarding the Nuclear Planning and Response Fund.**

Current Status: Fully Resolved

HSEM has worked with the Department's Business Office to ensure reports are filed in a timely manner with Seabrook Station to ensure compliance with the Statute.