UCOP Management Response Plan

University of California Office of the President (UCOP)

September 2010

Office of Risk Services
Emergency Management

Record of Changes

Revision #	Issue Date	Summary of Revisions
Rev 0	3/5/10	Update to entire document
Rev 1	6/15/10	Rosters
Rev 2	8/15/10	Alignment with CCT

Comments and recommendations regarding the content of the plan are welcome and should be directed to Grace Crickette, Chief Risk Officer, at Grace.Crickette@ucop.edu, or at 510-987-9820.

Contents

<div style="border:1px solid blue; display:inline-block; padding:1em;">

1

</div>

Introduction

The purpose of this University of California Office of the President (UCOP) Management Response Plan is to document the UCOP's process for effectively identifying, responding to, and recovering from incidents or issues that may have the potential to become a crisis to the University System overall or to one of its constituent campuses, medical centers or laboratory.

The primary audience of this plan is the members of the UCOP management response teams who are expected to implement the plan should a situation arise that warrants its activation. This plan also provides important information on the overall preparedness and response framework for the UC system, including the Office of the President, each UC Campus, Medical Center and the Laboratory. This document can serve as a key source of information to describe the framework, expectations and process to a broader audience, in conjunction with other related policies, guidance documents and materials governing preparedness and response.

Terminology

A standard set of terminology is utilized throughout this Plan to describe the various physical response locations and facilities, and to ensure clarity and consistency. These terms include:

UC Location - the Campus, Medical Center or Laboratory where an event or incident is taking place. For the purpose of this plan, this term is being used. However during an actual response the actual name of the campus, medical center or laboratory location will be used.

Scene - the on-scene or field location of a physical event, where the incident response occurs. This could be in a building or facility. Not every event for which this plan will be deployed will be of a physical nature or have a scene.

EOC - the Emergency Operations Center (or Incident Command Center) where the emergency management team for that UC Location meets to coordinate its response, and to coordinate the incident-command based response aspects.

ERT or Emergency Management & Response Structure – the structure and teams that coordinate and manage the overall campus, medical center or laboratory response and those teams that are Incident-Command based to meet each UC Location's requirements.

Incident Command Post (ICP) - the Incident Command Post is the location at the scene of a physical event where the UC response is directed from and where the Incident Commander is typically located.

Preparedness Policy Statement

In keeping with all relevant UC preparedness and safety policies including the UC Presidential Policy on Management of Health, Safety and the Environment and the Safety, Security and Emergency Management Policies, UC understands its responsibility to respond to all incidents in a prompt and proactive way to minimize impacts on life and safety, as well as the impacts and consequences on the stability and reputation of University of California system. The UCOP will do so to ensure the protection of students, faculty, staff, visitors, the public, property, and the environment and prevent all workplace injuries and illnesses, environmental incidents, and property losses or damage.

Plan Scope

This Management Response Plan establishes an organizational response structure and protocol specifically for the UC Office of the President to follow in reaction to a major emergency, incident, significant issue or reputational risk or event that causes human impacts and significant potential consequences and/or disrupts normal operations of UCOP or one or more of its campuses, medical centers or laboratory. The Plan will be implemented for situations that cannot be handled effectively through UCOP's normal structure and processes, and will be coordinated with any affected UC Location's emergency management structure and process.

This Plan may be implemented in response to five major types of incidents that require UCOP management to provide incident support and/or perform a crisis management role:

<div style="border:1px solid black; padding:10px;">

Five Major Types of Incident

- **Incident at a single Campus, Medical Center or Laboratory**
  - UCOP response support, if required

- **Incident at a single Campus, Medical Center or Laboratory with broad and/or higher consequences to the UCOP System**
  - UCOP response support and crisis management

- **Incident with UC system wide impacts (e.g. pandemic)**
  - UCOP response support, crisis management and government coordination

- **Incident at the UCOP location**
  - UCOP emergency management and response
  - UCOP response support and/or crisis management

- **Non-physical incident, emerging issue or reputational risk**
  - UCOP crisis management

</div>

This Management Response Plan will be maintained and available on-line.

http://www.ucop.edu/riskmgt/emergprep/emgplan/welcome.html

The Plan does not provide specific procedures for responding to hazard-specific contingencies, but rather establishes an overall response structure, process, and concept of operations for UCOP to respond quickly, efficiently, and effectively to any extraordinary situation in order to meet the following prioritized objectives:

1. Assess and ensure proper management of major emergencies affecting the University System

2. Support continuity of University-wide governance and operations

3. Oversee recovery and restoration of UCOP and/or campus, medical center or laboratory operations

Procedures for emergency response to incidents occurring at campuses, medical centers and the laboratory are NOT directly within the scope of this Plan. Each UC Location (campus, medical center and laboratory) maintains its own emergency management and/or incident command-based plan to guide the response process for incidents with impacts within the single campus, medical center, or laboratory. However, this UCOP Plan has been designed to be executed in conjunction with any UC Location plans, providing incident support and crisis management when necessary.

For events that affect the UCOP location specifically, this plan is designed to coordinate directly with UCOP emergency management and/or incident command-based plans, as well as UCOP departmental business continuity plans. Life safety procedures and instructions for responding to emergency situations (such as fire, medical, bomb threat,

power failure, evacuation, post-earthquake procedures, etc.) at UCOP are contained in the building specific emergency plans and procedures, e.g. the *Franklin Building Emergency Handbook* or the *Kaiser Center Emergency Guide*. Additionally, operational continuity and other processes are also contained in separate documents, and this plan will work in coordination with those documents.

Other related plans and procedure documents related to every day safety and security can be found on the UCOP risk services website below and/or are listed below:

http://www.ucop.edu/riskmgt/welcome.html

As UC continues to develop its mission continuity plans and procedures, these plans will be linked to and aligned with the overall Management Response plan. Appendix G includes a list of existing response plans and where they can be located.

This Plan establishes the overall UC and UCOP management response structure in **Section 2, Overall Response Structure**, which describes a three-tiered organization composed of three distinct levels of teams. The notification process for the teams, the procedure for screening of incidents, and activation of the teams is set forth in **Section 3, Notification, Screening and Activation**. Once activated, the processes and manner in which the UCOP teams will operate is outlined in **Section 4, Concept of Operations**. The process for the development and maintenance of capabilities to carry out the Plan, including team member training and exercising, is established in **Section 5, Capability Maintenance**. Finally, a series of Appendices to the Plan (**Appendices A through F**) document those key information elements and tools necessary for quick execution of the Plan, including Checklists, Facilities and Technology Resources, Team Rosters, Working Tools, Emergency Messaging and Emergency Contact Information.

Risks and Vulnerabilities

The full range of risks and vulnerabilities that the UC system and specifically UCOP faces serves as the basis of this Plan. UC intends to respond to all incidents in a prompt and proactive way to minimize impacts on life and safety, mitigate damages and minimize the impacts and consequences on the University of California system.

UC defines a "Crisis" as any unexpected event or series of events that has the potential to, or does presently, significantly impact and/or harm to the University of California's students, faculty, staff, local community, operations, buildings, assets, finances, image, reputation, or the environment. The actual or potential crisis results from both the event itself and the impacts and consequences that result.

Three categories of incidents represent the risks and vulnerabilities that this plan is designed to address, although not all of the below will necessarily result in the activation of this plan but may involve other related response or continuity policies:

- *Emergencies* – Incidents that threaten human life, safety, health, property or the environment. Examples might include:

    - student or staff death (suicide or homicide) related to UC
    - student or staff violence
    - sexual assault
    - natural disasters

- *Business Interruptions* – Incidents that interrupt the process of education, research or other transactions essential to the UC mission. Examples might include:

    - critical utility outages
    - demonstrations or unlawful building occupations
    - IT system failures or disruptions
    - data breaches

- *Emerging Issues* – Situations of growing controversy or negative climate that threaten the reputation, organizational, legal, or financial stability of UC. Examples might include:
    - theft of proprietary intellectual capital
    - academic cheating
    - funding and financial stewardship issues
    - research tampering

Detailed criteria for situations that require the notification of UCOP for potential implementation of this Plan appear in *Section 3: Notification, Screening, and Activation*.

2

Overall Response Structure

The UCOP overall response structure is based on an organizational model that integrates the major functions of response from the UCOP strategic role (Management Response), UCOP tactical support role (Response Support), to the UC Location emergency response and on-scene operations (Emergency Management):
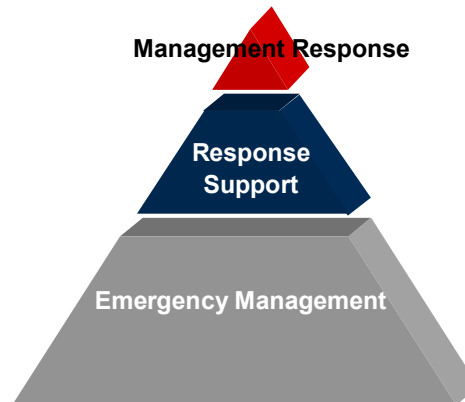
Utilizing the above model, the UCOP management response structure is a three-tiered organization composed of three levels of teams:

- UCOP Management Response Team (MRT)
- UCOP Response Support Team (RST)
- UC Location Emergency Management & Response Teams (ERT) (which includes local incident-command based plans)

The UCOP management response teams, and their relation to the other UC response teams, are presented below:

The activation of UC response teams, including the UCOP teams, will take place according to the escalating size, human impacts, or severity of the incident. Most local incidents can be handled at the emergency management level by campus, medical center, or laboratory teams.

However, some incidents will also require resources and support from UCOP (UCOP Response Support Team). Still other incidents or emerging issues that threaten UC as a whole (e.g. pandemic), or place at risk UC's reputation and/or stability, may require UCOP management response for high level management, strategic policy and financial decisions, crisis communications, humanitarian assistance or other crisis management functions (UCOP Management Response Team). Additionally, the UCOP Crisis Communications Team (CCT) may be required in support of overall management response or separately when an issue requires sustained and coordinated communications activities either in support of a UC location or UCOP.

Finally, UCOP departments maintain and deploy their own operational continuity plans, when appropriate.

UCOP Management Response Team

The Management Response Team is the executive level oversight and strategic decision-making body for UCOP during a potential or actual crisis situation. The MRT is responsible for addressing issues and impacts on the UC System, as well as protecting the overall reputation and stability of the University.

In addition to making immediate crisis policy decisions governing response across the entire UC System where necessary, the MRT provides strategic direction based on forecasts of the potential mid- and long-term consequences of the situation. The MRT makes proactive policy and strategic decisions to mitigate expected impacts. As always, the President will ensure the Board of Regents is properly apprised and consulted, as appropriate.

While the President does not have a formal role on the MRT, it is anticipated that, depending on the issue or event, the President will participate in MRT meetings. The MRT must be able to function effectively without the President being available however. The MRT Team Leader will routinely interface with the President throughout the management of the event to keep the President advised through internal reports and briefings, as well as seek guidance from the President and President's Cabinet.

At the time the team is convened to respond to an incident the MRT Leader will select a Team Coordinator from a trained pool of individuals for the position as appropriate for the specific incident. The Coordinator is expected to facilitate and coordinate the operational efforts of the MRT and will be selected from the following positions depending on the incident:

▪ VP, Human Resources
▪ Associate Vice President, Policy & Analysis and Interim Chief of Staff

The MRT composition is depicted below, and allows for critical functions and perspectives to be included in the management process. Each position has primary and alternates assigned, and not all personnel will necessarily be required for an event. Each of the representatives identified, or their alternates, will be initially called upon should this team

be called together, however over time some individuals may no longer be required to remain involved. The MRT Leader will make the final decision on ongoing participation.

Individuals serving as members of the Management Response Team, including back-up members, appear on the **MRT Roster in Appendix C**. The team's operations and process are further detailed in Chapter 4, **Concept of Operations.**

Team Leader:
Executive VP –
Business Operations

Team Coordinator:
Selected from
pool by leader

Provost and Executive Vice President-Academic Affairs (back-up team leader)

Senior Vice President - External Relations & VP for Agriculture & Natural Resources (back-up team leader)

Vice President, Human Resources (team coordinator)

Associate Vice President – Policy & Analysis and Interim Chief of Staff (team coordinator)

Chief Investment Officer & Vice President for Investments

Vice President, Budget & Capital Resources

Associate Vice President – Information Resources & Communications and CIO

Executive Vice President- Chief Financial Officer

Executive Vice President- University Affairs

Senior Vice President - Chief Compliance and Audit Officer

Senior Vice President- Health Sciences & Services

Vice President and General Counsel for Legal Affairs

Secretary & Chief of Staff to the Regents

AVP, Strategic Communications

The team Leader and Coordinator positions are described in more detail in a later section of this plan. For incidents that require special expertise, the MRT Team Leader may also bring one or more additional "Ad Hoc" members onto the MRT for that particular incident.

UCOP Response Support Team

The Response Support Team is the UCOP team responsible for ensuring that University campuses, medical centers, and laboratories have the best available support and resources necessary to effectively manage the impacts of any significant incident and those that have the potential to become a crisis, as well as incidents affecting multiple UC Locations. The RST will follow a defined internal process that guides the teams operations including the provision or coordination of logistics. As part of this process, the RST will assist in the coordination of needed resources by reaching across the UC System, where possible, and externally to bring resources to bear.

The RST will assist with all system wide UC responses when multiple campuses, medical centers and/or the laboratory are responding to a common crisis or emergency situation. The RST will be capable of operating on a 24/7 basis during Team activation, if necessary.

Upon activation, the RST provides support as needed and can help identify tactical response resources with the affected UC Location. The RST is available to respond to each UC Location's requests for support and resources, but also serves as an intermediary between the UC Location Emergency Management Team(s) and the MRT, when activated. The RST Leader, Coordinator and/or individual members of the RST will coordinate directly, as necessary and appropriate, with the UC Location emergency management leader(s) and representatives to coordinate response actions. The RST will remain in regular contact with the UC Location affected throughout the response effort.

The RST will serve as a central clearinghouse for all the available information pertaining to the current state of response efforts being conducted across the UC System. The RST will collect, verify and disseminate incident information with input from the affected UC Location(s).

At the time the team is convened to respond to an incident the RST Leader will select a Team Coordinator from a trained pool of individuals for the position as appropriate for the specific incident. The Coordinator is expected to facilitate and coordinate the operational efforts of the RST and will be selected from the following positions depending on the incident:

- VP, Budget & Capital Resources
- Associate VP, Business Strategies
- Director, Human Resources
- Emergency Management Coordinator, Risk Services

The primary RST composition is depicted below, and allows for critical functions and perspectives to be included in the response support, collaboration and coordination process. As noted above, each position has primary and alternates assigned, and not all personnel will necessarily be required for an event. Each of the representatives identified, or their alternates, will be initially called upon should this team be called together, however over time some individuals may no longer be required to remain involved. The RST Leader will make the final decision on ongoing participation.
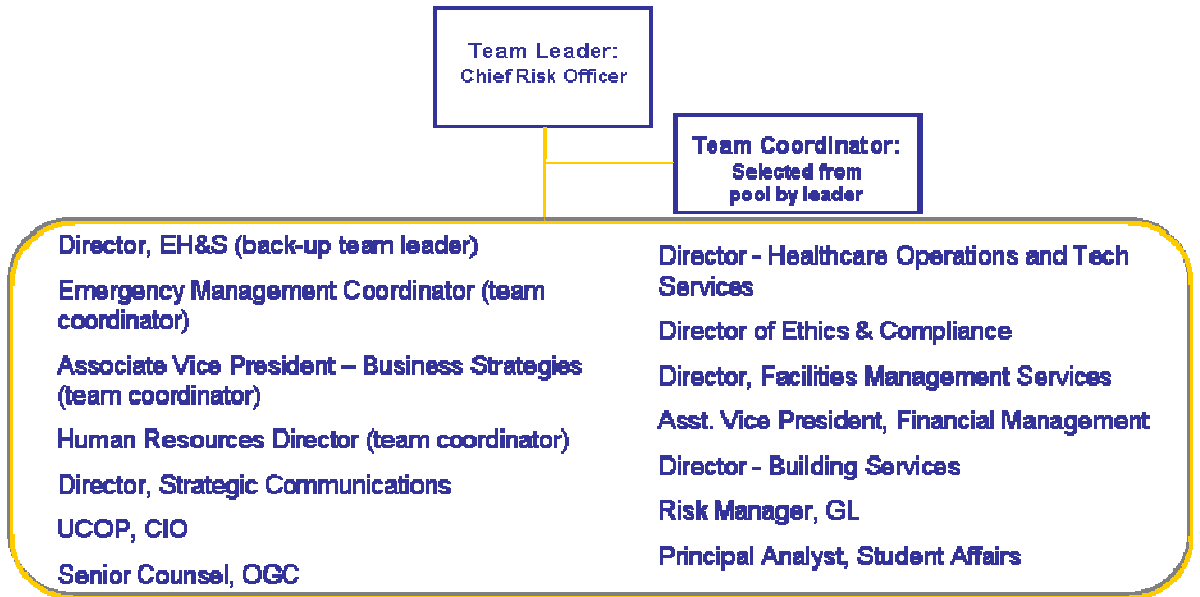
The team Leader and Coordinator positions are described in more detail in a later section of this plan. For incidents that require special expertise, the RST Team Leader may also bring one or more additional "Ad Hoc" members onto the RST for that particular incident. Each position on the RST will have at least two trained individuals to fill that position at all times: a primary member and at least one alternate member.

Individuals serving as members of the Response Support Team, including back-up members, appear on the **RST Roster in Appendix C**. The team's operations and process are further detailed in Chapter 4, **Concept of Operations.**

UC Emergency Management & Response Structure

The emergency management and response structure of the University consists of UC Location emergency management and on-scene incident command response teams. These Emergency Management and response teams and process are defined in each UC Location's Emergency Management Plan (also called Emergency Operations Plan in some locations). Each UC Location also has a designated Emergency Manager to coordinate the plan, process and integration with the UCOP process overall, and during response situations will assign a designated liaison to serve in this important role.

The UC Location Emergency Management and Response Structure includes two key positions.

- ♦ **EOC Director**
- ♦ **Incident Commander**

Typical EMT, Incident Response and Incident Command Team members include:
    EMT/Building Response Teams:
- Campus, Medical Center or Laboratory Chancellors, Senior Management/Staff
- Property/Building Managers
- Security Staff
- Building Engineers
- Floor Wardens
- Department Representatives
- UCOP Staff

Incident Command-based Teams:
- Incident Commander (requires specific IC training for certification)
- Operations Section
- Logistics Section
- Finance Section
- Planning Section
- Communications Officer

UCOP Crisis Communications Team

UCOP is committed to providing accurate, consistent and helpful information in a timely and open manner to its stakeholders. Effective communications can protect or enhance the reputation of the UC system and strengthen the standing of the institution and its ability to fulfill its mission. While each UC location has its own unique identity and communications processes and priorities, at a time of crisis, consistency in external communication across the UC system is vital. Communications is critical to ensure that UCOP's position or action is clear and understood, the rationale for policy or decisions is transparent and fair, and that stakeholders both internal and external understand and if possible support UCOP's priorities and decisions.

The UCOP Crisis Communications team (CCT) is designed to operate in support of the overall UCOP Management Response Plan as well as operate independently on communications and reputational issues. The CCT may be required to work on UCOP-specific communications issues or those at a UC location which requires broader, system-wide support and information sharing.

Team members include those responsible for:
- Internal Communications
- Executive Communications
- Media Relations
- Government Relations
- Student, Parent and Alumni relations

UC Location "Emergency Management Teams"

At each UC Location, the Emergency management structure provides direct response and management for all incidents at the campus, medical center, or laboratory.

Each Emergency Management Team operates from an Emergency Operations Center (EOC) facility to support the incident command team and on-scene incident response, facilitating the provision of resources, and overall oversight of and coordination with the on-scene response. The Incident Command team and IC are responsible for making key response decisions related to protecting life, and in coordination with the building-level or campus wide response teams ensuring proper protective actions such as evacuation or shelter-in-place of occupants.

On-Scene Incident Response Teams

Typically, each UC Location maintains one or more Incident Command-based Incident Response Teams to serve as first responders to incidents and provide direction and control at the scene, including Incident Command. The Teams are led by an Incident Commander and responsibilities include the direction of on scene/field-level response actions.

UCOP-specific Emergency Management & Response Teams

UCOP is responsible for the emergency management and response aspects at its own UC Location and specifically for incidents that occur at or within UCOP buildings. UCOP maintains a set of building incident response plans, continuity and data/IT disaster recovery procedures, and each UCOP building maintains a Building Incident Response Team (formerly known as a UCOP Field Response Team) to carry out building-level response actions.

Team Roles and Responsibilities

As noted above, the UC management response structure includes a three-tiered organization composed of three levels of teams that apply to the entire UC system. The Team(s) at each level have distinct roles and responsibilities, which are described further below.

UC Location Emergency Management & On-Scene Incident Response Team(s)

Each UC Location maintains an emergency management capability, including the designation of an Emergency Manager to coordinate the program and response teams when activated, to maintain a UC Location Emergency Management Plan and to designate and maintain an EMT and incident command-based Incident Response Team(s), including Building Incident Response Teams (formerly known as Field Response Team). The UCOP will support these teams in their response to incidents at a UC location as needed and as requested.

Response Support Team

The role of the Response Support Team (RST) is to support University campuses, medical centers, and the laboratory and, when requested, provide the best available support and resources necessary to assist the UC Location in managing the impacts of a significant incident and those that have the potential to become a crisis. When an incident affects multiple UC Locations, the RST will assist in the coordination of needed support and resources by reaching across the UC System where possible, and externally to accomplish this.   The RST operational process is designed to capture and manage information and coordinate support during situations that affect more that one UC Location simultaneously or are system-wide in their impacts and consequences.

Responsibilities Include:

Preparedness:
- Ensuring the on-going review and maintenance of this Plan;
- Evaluating and validating this Plan through periodic tabletop exercises, functional and full-scale exercises;
- Identifying planned or anticipated major events that have a higher than normal potential for incidents; convening at least 2 weeks before planned events to coordinate any special incident support plans necessary for effective response; and
- Ensuring the RST Coordinator is fully aware of availability of all members to activate, including during vacations and other periods) of the year when personnel may not be available.

Response:
- Monitoring and assessing conditions, augmenting UC Location Emergency Management Team efforts as needed and as requested;
- Coordinating support, resources and equipment for UC Location Emergency Management Team(s), as required and/or requested;
- Providing support to the UCOP Incident Response Team(s) in responding to incidents significantly and specifically affecting UCOP buildings;
- Serving as a clearinghouse of information, especially for incidents with UC systemwide impacts, by collecting, assembling and disseminating general information concerning the incident to students, faculty and staff, as well as the public, via print and electronic modes;
- Notifying, advising and periodically briefing the MRT on the incident;
- Advising the MRT of the status of the incident and the progress of the response to the incident, that may or may not require the activation of the MRT (may include status updates, briefings or written communications);
- Coordinating with governmental agencies and external community groups for those incidents impacting the University as a whole; and
- Securing advice from experts both within and outside the University community.

Recovery:
- When requested by a UC Location, assist in damage assessment processes for the repair and/or rebuilding of University facilities and infrastructure; and
- Conducting and/or coordinating with affected locations a post-incident review process following real events to identify opportunities for process improvement.

Management Response Team

The role of the Management Response Team (MRT) is to provide executive level oversight and strategic decision-making for UCOP during a crisis. The MRT is responsible for addressing issues and impacts on the UC System, as well as protecting the overall reputation and stability of the University.

Responsibilities Include:

Preparedness:
- Ensuring that this UCOP Management Response Plan is periodically reviewed and updated; and
- Participating in periodic tabletop exercises, functional and full-scale exercises.

Response:
- Obtaining regular briefings from the RST Leader and/or Team Briefings on the incident and response activities;
- Defining policy and a coordinated strategy for overall management of the University consequences of the incident or crisis;
- Approving the communications strategy and key messages to internal and external stakeholders developed by the Crisis Communications team;
- Providing counsel and guidance to the RST in supporting the UC Location Emergency Management Team(s) in their response efforts;
- Informing, periodically briefing, and making recommendations to the University President on the overall response strategy and key issues; and
- Making policy decisions during extraordinary events, such as a decision to close or suspend academic activities across multiple UC Locations and/or buildings.

Recovery:
- Developing strategic system wide and UCOP recovery priorities; and
- Participating in post-incident reviews to identify lessons learned and opportunities for process improvement.

<div style="border:2px solid #00008B; width:200px; height:250px;">

3

</div>
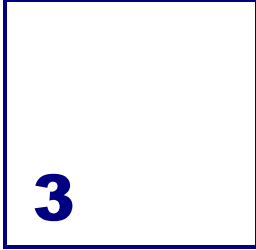
Notification, Screening and Activation

The process and procedures for initial reporting and notification of incidents, the screening of incidents, and the activation of UCOP Teams are as follows:

Reporting/Notification

Certain incidents and situations, depending on their size, nature, human impacts, or severity, require immediate University notification, focused involvement, action, and resources. Criteria for incidents or situations that require the immediate notification of UCOP are listed below:

Notification Criteria: Situations to be Reported
- Acts of domestic or foreign terrorism   - Acts of kidnap, extortion, or legal detention (domestic or foreign)   - Acts of infant or child abduction   - Catastrophic physical damage to University of California property   - Unusual acts that endanger or threaten any student, professor, medical patient, doctor, nurse, or any university employee, whether on or off campus, domestic or foreign   - Any widespread outbreak of disease or illness   - Any situation where death, dismemberment, or severe bodily injury occurs   - Any structure collapse, fire, explosion, or dangerous and unusual above-or below ground pollution or contamination

At UCOP locations, instructions for responding to emergency situations (such as fire, medical, bomb threat, power failure, evacuation, post-earthquake procedures, etc.) are to call for local first response assistance (e.g. police, fire) – and then notify to Franklin Security at 7-9790 (or Kaiser Security at 272-0909). Each UC location should maintain its own list of specific numbers to reach first responders, however it is best to use 911 from a hard line phone. NOTE: The typical 911 number can only be reach when using a

cell phone in certain areas. Otherwise, calls being made by cell phone will need to use direct numbers to reach first responders in certain locations. Details of the UCOP specific emergency response procedures are contained separately in the *Franklin Building Emergency Handbook* (or the *Kaiser Center Emergency Guide*).

Emergency Notification Procedures

In the event of a major or significant incident or emergency situation, UCOP Risk Services and the UC Location's Emergency Manager should be notified immediately.

The UC Location Emergency Manager will confer with other management within the UC Location immediately to determine the need for implementing the UC Locations Emergency Management Plan and the UC Location EOC. Additionally, the Chief Risk Officer will coordinate with the UCOP Management Response Team Chairs to assess the need for the UCOP Plan and teams to be notified and/or activated. In the event of a catastrophic disaster, immediate implementation will be assumed.

UCOP Emergency Management Personnel Notification:

- *Response Support Team:* UCOP Emergency Manager will notify the Response Support Team to report if necessary. In the event of a major emergency, members of the Response Support Team should call **866-272-9009** for recorded instructions. For further instruction please see Appendix F.

- *Management Response Team:* Executive Vice President – Business Operations (SVP staff) will notify the President and members of the Management Response Team of the situation and when to convene; in the event of a major emergency, members of the Management Response Team should call **866-272-9009** for recorded instructions. For further instruction please see Appendix F.

Notification Protocol:

During normal business hours, personnel may simply be notified by telephone, by email or directly in person, or by email. During after hours (nights/weekends/holidays), personnel will be notified by telephone at home or by cellular phone. If no direct contact is made, messages will be left on both home and office phones. Emergency information will be posted on the message line **(866-272-9009)** and disseminated via both e-mail and voicemail as soon as possible. The UCOP webpage will serve as an alternate means of communications. If a situation occurs during business hours and communications are disrupted, members of the RST (and MST) should automatically respond to the Franklin Building to convene in person.

During non-business hours and/or if a catastrophic disaster occurs, members of the RST (and MST) should automatically assume the team is being activated in lieu of being notified. Members should NOT respond directly to the Franklin Building, as it may be impacted, inaccessible or dangerous to attempt. Members should use a pre-established dial-in number. Additionally, In the event of a catastrophic disaster, check the recorded

message line, email and voicemail, and the UCOP website for emergency information. Virtual operations may be necessary where the team(s) are required to operate remotely by conference call and internet. Instructions for the mode of operation will be part of the notification message provided. ReadyTalk and other available systems, such as Virtual EOC, may also be used.

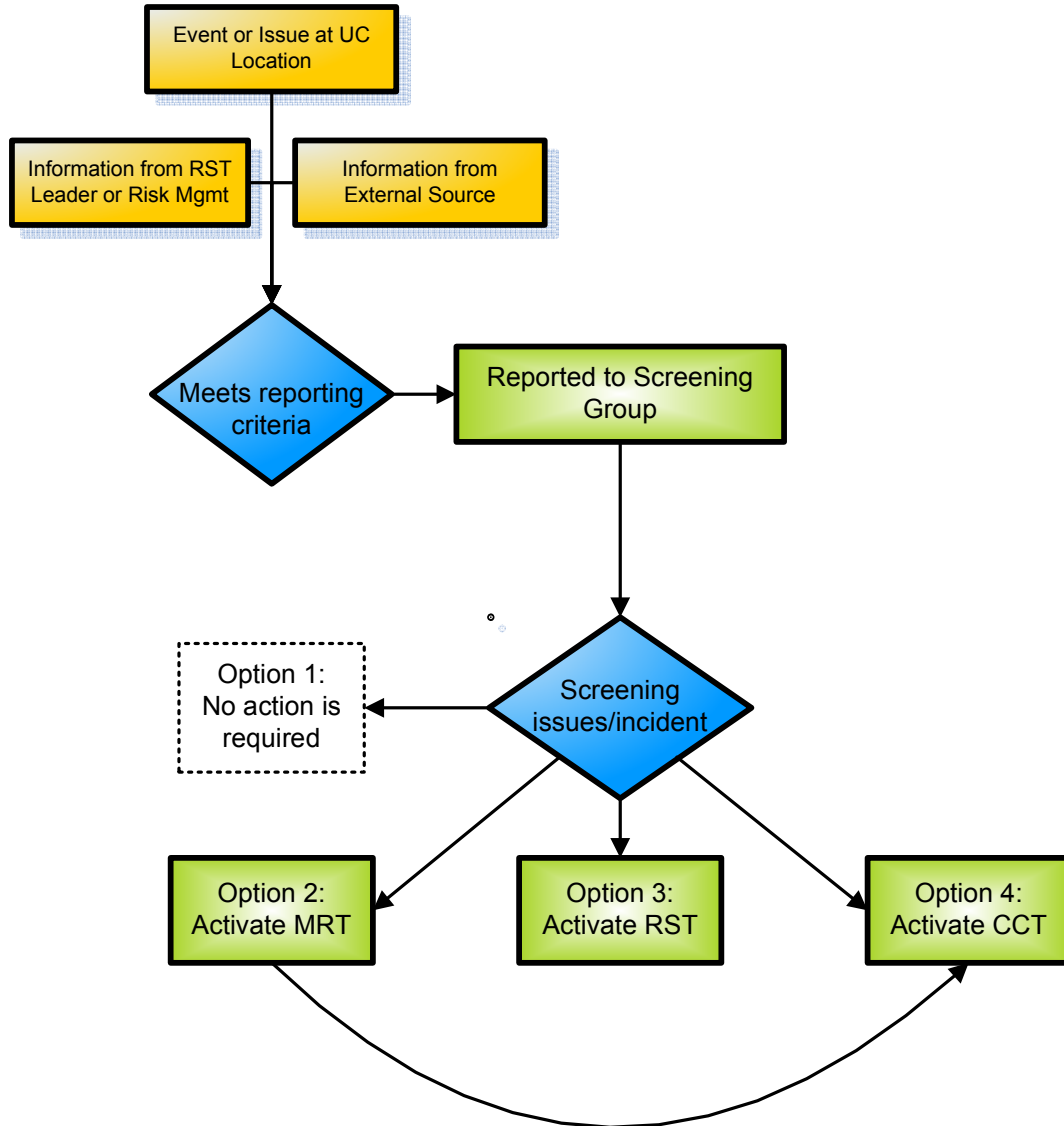*Emergency Broadcast Messages to UCOP Staff:*

- An out-of-area recorded emergency message line (866-272-9009) has been established to provide instructions and emergency information for UCOP; the UCOP Communications Officer (*NOTE: designated Communications representative, and/or communications representative on the Building EOP)* is responsible for posting emergency messages;

- Broadcast e-mail and voicemail messages are a fast and efficient method for notifying and providing emergency information to all UCOP staff or to specific EOC personnel or groups; the UCOP Communications Officer is responsible for broadcasting emergency e-mail or phone messages to all UCOP staff (see 'Communications Officer' section of this plan for messaging instructions);

- The UCOP internet webpage will serve as an alternative means for both notifications and posting emergency announcements to all UCOP staff and the general public;

- During office hours, the Franklin Building or Kaiser Center public address (P.A.) systems may be used during an emergency to provide instructions to UCOP staff;

- In the event of a catastrophic disaster or major emergency, tune into KCBS (740 AM), KGO (810 AM), or KNBR (680 AM) for updated Bay Area emergency information.

Incident Screening

Once the initial report of an incident meeting the Notification Criteria has been received, the Leader of the Response Support Team (RST), the Leader of the Management Response Team (MRT) and the Leader of the Crisis Communications Team (CCT) will confer on the information known about the incident and determine whether to:

- Notify members of the RST and/or MRT;
- Activate the UCOP Management Response Plan;
- Activate the Crisis Communications Team
- Continue to monitor as no response is currently required by UCOP

The following flow-chart shows the various stages from notification through incident screening to team activation.

```
           ┌──────────────────┐
           │ Event or Issue at UC │
           │     Location      │
           └──────────────────┘
                    │
┌──────────────────┐ ┌──────────────────┐
│ Information from RST │ │ Information from  │
│ Leader or Risk Mgmt │ │ External Source   │
└──────────────────┘ └──────────────────┘
                    │
              ◆ Meets reporting ────→ ┌──────────────────┐
                criteria              │ Reported to Screening │
                                      │      Group        │
                                      └──────────────────┘
                                                │
  ┌ ─ ─ ─ ─ ─ ─ ┐                               ◆ Screening
    Option 1:      ←──────────────────────────── issues/incident
  │ No action is  │
    required
  └ ─ ─ ─ ─ ─ ─ ┘
  ┌──────────────┐   ┌──────────────┐   ┌──────────────┐
  │  Option 2:   │   │  Option 3:   │   │  Option 4:   │
  │ Activate MRT │   │ Activate RST │   │ Activate CCT │
  └──────────────┘   └──────────────┘   └──────────────┘
```

Activation Triggers/Options

The activation of the UCOP Management Response Plan may be triggered under one of two options:

- *Partial Activation* = Activation of the Response Support Team (RST)

- *Full Activation* = Activation of the Response Support Team (RST) and the Management Response Team (MRT)

Activation Guidelines

Guidelines for whether to implement a *Partial Activation* or *Full Activation* are as follows:

- Upon the activation of a UC Location (campus, medical center or laboratory) Emergency Management Team (EOC), incident command-based Incident Response Team, UCOP will implement *Partial Activation* (UCOP Response Support Team).

- Upon the activation of a UC Location (campus, medical center or laboratory) Emergency Management Team (EOC), incident command-based Incident Response Team, accompanied by UC System-level consequences, UCOP will implement *Full Activation* (UCOP Response Support Team and UCOP Management Response Team).

- If the incident or situation is independent of a UC Location (campus, medical center or laboratory, UCOP will implement *Partial Activation* (UCOP Response Support Team) or *Full Activation* (UCOP Response Support Team and UCOP Management Response Team), at its discretion.

If *Partial Activation* is implemented, the Response Support Team (RST) will convene in the Franklin Building Emergency Operations Center (EOC).　If *Full Activation* is implemented, the Management Response Team (MRT) will convene in the 12th Floor Boardroom in the Franklin Building.　If Full Activation, the Crisis Communications Team (CCT) will also be activated.

<div style="border:1px solid navy; display:inline-block; padding:2em;">

4

</div>

Concept of Operations

The Concept of Operations defines the process and procedures that UCOP teams – the MRT and RST – will follow when activated to respond to a significant incident, crisis or emerging issue. In following these established processes and supporting tools, UCOP will be positioned to effectively develop its response strategy, leverage the strengths of both the MRT and RST, and provide the support and needed resources to the University and its facilities.

If **Partial Activation** is implemented, the Response Support Team (RST) will convene in the Franklin Building Emergency Operations Center (EOC) or virtually (via ReadyTalk or other available technology and resources). If **Full Activation** is implemented, the Management Response Team (MRT) will convene in the 12th Floor Boardroom in the Franklin Building, or virtually.
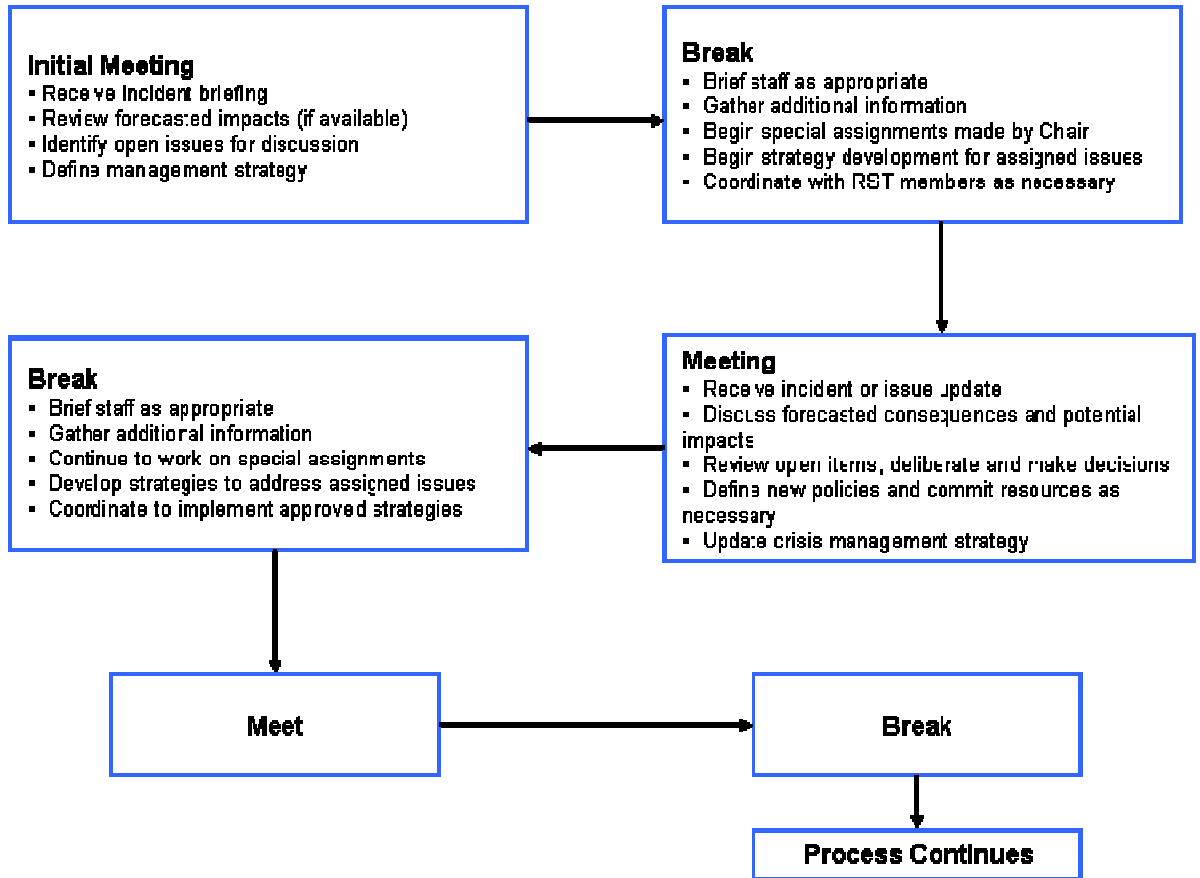
Meeting Process

If the UCOP RST and/or MRT activates, formal meetings are scheduled by each team's Coordinator and conducted following a structured format to maximize the efficiency and effectiveness of the response effort. If both the MRT and RST are activated, the teams will meet separately, alternating their meeting times so that the RST Leader will be available to brief the MRT at the beginning of each MRT meeting.

It is important that all team members, either the primary or alternate, are present for formal meetings. The absence of just one team member can produce information gaps, as well as undermine the decision-making capability of the team. To ensure full participation, yet allow breaks in the team process for members to assign or carry out individual actions, a "meet-break/ meet-break" process will be utilized during team activation.

In the "meet" stage, the team members are briefed, discuss the incident, review issues, make decisions, make assignments for action and establish priorities. The team will then generally "break," allowing members to meet with their functional departments or

sub- groups to implement action items, coordinate response activities and to gather additional information that may be critical to the incident management process.

The RST or MRT will then reconvene ("meet") for briefing and reports on assigned action items and identification of additional action items, as well as and on-going decision-making. This "meet-break/meet-break" process continues until the teams are deactivated.

While the general meeting process of the RST and MRT may follow this same "meet-break/ meet-break" model, the content, topics and outcomes of the RST or MRT meetings are in fact quite different. As described in the previous chapters, each team has a different set of roles and responsibilities that will ultimately define what is discussed and how meetings are conducted.

RST Operations

Once the decision is made to activate the RST, the Team will remain activated as long as the incident/crisis requires, and can operate on a 24/7 basis if required. Depending on the duration of the incident, this may require two or more shifts of RST members, utilizing alternate members to provide continuity over extended operations.

The RST will operate from the UCOP Emergency Operations Center (EOC). The UCOP Emergency Operations Center (EOC) will function to:

- Facilitate the operations of UCOP RST members and provide communications for coordination with the UC Location EOC, the UCOP Building Emergency Response Team and/or the MRT;
- Assemble and assess all relevant information related to the emergency through plans, procedures, maps, as well as real-time TV broadcast and video monitoring;
- Organize and present critical information in a format useful to the internal operations of the RST as well as for briefing of the MRT in support of strategic policy decision-making.

Alternate EOC sites will be used if the Franklin Building is not functional or accessible. If the primary EOC location is not functional or accessible, either an alternate EOC location will be utilized or the team will function virtually until such time as a UC Location can be established. Details of the EOC Locations are contained in Appendix B.

Operations Requirements for Team Members:

Upon Activation of the RST, individual Team members will carry out the following:

1. Re-assign normal daily work duties to another staff person to allow full participation as an RST Team member.
2. Coordinate availability for activation with the alternate(s) for their position to ensure full participation in their position for the duration of event/team activation.

RST Meetings:

RST meetings will be chaired by the RST Leader. The scheduling and coordination of RST meetings with MRT meetings will be carried out by the Team Coordinator. Opening, activating, and equipping the EOC with the tools to conduct their operations will be carried out by EOC support personnel.

The initial RST meeting establishes any unique responsibilities of the RST for that particular incident, and captures the initial facts on the incident via a briefing from the UC Location EOC or the Incident Commander. Before concluding the meeting, the RST Leader will set the time of the next RST Meeting. A sample agenda to be utilized to guide the initial RST Meeting is included in Appendix D of this Plan.

Subsequent meetings of the RST will begin with a review and update on the facts of the incident and status of response progress and activities. It will include an update briefing from the UC Location Emergency Management Team or the Incident Commander. RST members will then report on the status of the issues and/or actions that they were assigned at the previous meeting. A sample agenda to be utilized to guide the on-going RST Meetings is included in Appendix D of this Plan.

RESPONSE SUPPORT TEAM INITIAL MEETING AGENDA	RESPONSE SUPPORT TEAM ONGOING MEETING AGENDA
□ Establish expected duration of meeting	□ Establish expected duration of meeting
□ Confirm record keeping strategy for incident	□ Review incident status
□ Review incident status	– Receive update briefing on incident
– Receive briefing on incident	– Evaluate needs/request for assistance
– Evaluate immediate assistance needs/requests	□ Review status of action items and progress (use Action Items Status Form*)
□ Define RST role	– Update on key actions
– Define requirements for response	– Identify new action items and make assignments
– Evaluate and act on immediate assistance needs/requests	– Set deadlines
– Identify need for ad hoc RST members	□ Review/update Impact and Consequence Forecast Form** and assess/update impacts and consequences and define options
□ Define Impact and Consequence Forecast Form*	– Discuss worst probable case forecasts
– Forecast incident impacts	– Pre-plan / stage any additional resources
– Assess consequences	□ Administrative
□ Identify action items (use Action Items Status Form**) and assignments	– Determine any additional response requirements
□ Administrative	– Review staff support and resource needs
– Determine any extended response operations requirements (off hours)	– Set next two meetings/review schedule (24-48 hours) in coordination with other response teams or meeting requirements
– Review adequacy of staff support, resources	
– Set next two meeting times, outline schedule (24-48 hours) in coordination with other response teams or meeting requirements	

* Impact and Consequence Forecast Form: Developed by the RST Chief of Staff based on input from Team Members.
**Action Items Status Form: The purpose is to capture any specific action items assigned during the meeting. Status and/or resolution should be scheduled for future meetings.

*Action Items Status Form: Review only those action items that were scheduled to be complete or where critical updates are available.
** Impact and Consequence Forecast Form: Developed by the RST Chief of Staff based on input from Team Members.

RST Deactivation:

The RST's deactivation will generally be based on the following conditions:

- There is no longer the need for substantial UC System-level management focus on the incident.
- There is no longer a value-added benefit to the UC Location (campus, medical center, or laboratory) by continuing the RST effort.
- Determination has been made that the affected UC Location can follow through with management of the consequences from this point without RST support.
- A Post-Incident Review meeting is confirmed and scheduled.
- A schedule has been established for periodic updates (biweekly, monthly and quarterly) on the status of continued resolution of the incident's University impacts (if required).

Franklin Building Evacuation:

If the Franklin Building is evacuated for any reason, MRT and RST members will meet in front of 1111 Broadway (APL Building) to confer with the Emergency Manager and determine an appropriate course of action. The Treasurer's Office (APL Building 14th floor) will serve as an interim EOC if necessary.

MRT Operations

The MRT will not operate on a 24/7 basis. The Team will convene according to the "meet-break/ meet-break" model. Meetings will be held at an interval and schedule determined by the Team Leader and coordinated by the Team Coordinator, in conjunction with the Leader and Coordinator of the RST.

At the beginning of each MRT meeting, the RST Leader and/or the MRT Coordinator will brief the MRT on the incident as well as the progress and status of the response activities.

Administrative support and coordination for the Management Response Team will be provided by staff from the offices of the Senior Vice President – External Relations (or President's Executive Office) and/or the Chief Risk Officer, as required.

Primary Management Response Team Meeting Location:

President's Conference Room (Franklin Building 12th Floor)

Alternate MRT meeting sites will be used if the Franklin Building is not functional or accessible, or the team will meet virtually. Details of the EOC Locations are contained in Appendix B.

Upon Activation of the MRT, individual Team members shall re-assign their normal daily work duties to another staff person to allow full participation as an MRT Team member.

MRT Meetings:

MRT meetings will be chaired by the MRT Leader. The scheduling and coordination of MRT meetings with RST meetings will be carried out by the Team Coordinator.

The initial MRT meeting establishes any unique responsibilities of the MRT for that particular incident, and receives the initial facts on the incident via a briefing from the RST Leader. The RST Leader also identifies those critical strategic issues that the MRT may want to reserve for their decisions. Before concluding the meeting, the MRT Leader will set the time of the next MRT Meeting. A sample agenda to be utilized to guide the initial MRT Meeting is shown below and included in Appendix D of this Plan.

MANAGEMENT RESPONSE TEAM INITIAL MEETING AGENDA

- Establish Expected Duration of Meeting
- Confirm record keeping strategy for incident
- Receive Incident Update Briefing
  - Receive Briefing on incident
  - Evaluate Immediate Assistance Needs/Request
- Define MRT Management Requirements
  - Define Role
  - Identify Need for Ad Hoc MRT Members
- Confirm, Prioritize, Assign, and Schedule Issue Decisions/Deliberations (Use Strategic Issues Tracking Form*)
- Confirm Action Items (Use Action Items Status Form**) and Assignments
- Define/confirm strategy for communication to response organizations
- Administrative
  - Determine Any Extended Response Operations Requirements (off hours)
  - Review Adequacy of MRT Staff Support, Resources
  - Set Next Meeting Time, Outline Schedule (24-48 hours)
- Identify Issues Scheduled for Next Meeting

*Strategic Issues Tracking: The purpose of this is to identify as many issues as possible that may need to be addressed as the situation evolves.

**Action Items Status: The purpose is to capture any specific action items assigned during the meeting. Status and/or resolution should be scheduled for future meetings.

Each subsequent meetings of the MRT will begin with a review and update on the facts of the incident and status of response progress and activities. It will include an update briefing from the RST Leader and/or the MRT Coordinator. MRT members will then report on the status of any issues and/or actions that they were assigned at the previous meeting. Focusing on potential mid- and long-range consequences of the incident, the MRT will prioritize those strategic issues and assign appropriate issues and/or actions to the RST to carry out. A sample agenda to be utilized to guide the on-going MRT Meetings is included in Appendix D of this Plan.

MANAGEMENT RESPONSE TEAM ONGOING MEETING AGENDA

- Establish Expected Duration of Meeting
- Receive Incident Update Briefing
  - Receive Briefing on Incident
  - Evaluate Site Needs/Requests
- Review Impact and Consequence Forecast Form* & Overall Response Structure
- Assess/Update Impacts and Consequences & Define Options
- Review Strategic Issues Tracking (Use Strategic Issues Tracking Form**) & overall crisis management and response strategy
  - Identify and prioritize new critical issues
- Identify and Schedule Required MRT Actions/Decisions
- Deliberate and Decide – MRT Action Items (Use Action Items Form***)
  - Make Assignments
  - Set Deadlines
- Administrative
  - Determine Any Additional Response Requirements
  - Review Staff Support and Resource Needs
  - Set Next Two Meetings/Review Schedule (24-48 hours)

*Impact and Consequence Forecast Form: Developed by a support team, this form is used to define the "worse probable case" scenario of the incident. When evaluating the Impact Consequence Forecast Form the MRT should consider the potential for the incident to escalate beyond its current conditions; and the probable duration of the incident in terms of emergency response and recovery.
**Strategic Issues Tracking: Intent is to identify one, two or three specific issues for deliberation by the MRT. As strategies are developed to address issues and/or specific actions are identified to address the issue it should be removed from the Strategic Issues Tracking Form. At that point it is tracked through the Action Items Status Form.
*** Action Items Status: Review only those action items that were scheduled to be complete or where critical updates are available.

MRT Deactivation:

After the MRT has worked to resolve most if not all UC System-level issues, and once the coordinated, intensely focused effort of the MRT members is no longer required, the MRT may decide to deactivate.

The MRT will generally deactivate only after the Team has completed the following series of milestones:

- Guidance and decisions have been addressed for all identified UC System-level issues.
- The long-term consequences of the incident have been assessed and a plan for mitigating the impacts of those consequences has been developed.
- A final briefing has been given and Team members concur on the decision to deactivate.

Deactivation should take place only when all MRT members agree on the following items:

- There is no longer the need for substantial UC System-level management focus.
- There is no longer a value-added benefit to continuing the MRT effort.
- The MRT has developed a general plan of action that will enable any remaining issues to be effectively managed.
- Determination has been made that the affected UC Location and RST can follow through with management of the consequences from this point without MRT support.
- That a strategy and plan for evaluation of negative developments and possible re-activation of all or part of the MRT has been established.
- A Post-Incident Review meeting is confirmed and scheduled.
- A schedule has been established for periodic updates (biweekly, monthly, and quarterly) on the status of continued resolution of the incident's University impacts (if required).

Working Tools and Forms

In support of the MRT and RST in managing crisis-related issues, assigning actions, assessing future consequences, and on-going decision-making, there are three key information management forms designed to assist the teams in managing, guiding and tracking their efforts.   Each form is described in further detail below, and they are contained in full version in the Appendix D of this Plan.

Action Items Status Form

The Action Items Status form is designed to capture specific actions that are identified during MRT and RST meetings for assignment. The Action Items Status form will be updated to capture status and completion of the actions, as the designated MRT or RST representative reports it to the team:

ACTION ITEMS STATUS FORM					
Work Group	Priority	Contact	Description	Status	Scheduled for Team Brief/Deadline

PROPRIETARY AND CONFIDENTIAL

Assign action items to one of four priorities:
A = Today
B = Within the next 72 hours
C = Within the week
X = Closed

Strategic Issues Tracking Form

The Strategic Issues Tracking form will be used by the MRT to identify, prioritize and assign strategic issues to specific MRT members. Members are expected to develop strategies and action plans to address assigned issues, and will be expected to report back to the team on status. Once issues on this form have been discussed and explored by the MRT, they should be translated into executable action items that will then be tracked on the Action Items Status Form:

Issue #	Priority for Deliberation/ Schedule	Assigned To	Issue Description	Status (being addressed, on hold, scheduled for deliberation)
1.				
2.				
3.				
4.				
5.				
6.				
7.				
8.				
9.				
10.				
11.				
12.				

PROPRIETARY AND CONFIDENTIAL

Priorities:
1----Deliberate/Schedule within 24 hours
2----Deliberate/Schedule within 1-4 days
3----Deliberate/Schedule within next 1 week

Impact and Consequence Forecast Form

The Impact and Consequence Forecast Form is designed to guide the RST in forecasting the probable and worst probable consequences of the incident to foster a proactive response and corresponding strategic decisions. Using the form, the first step will be to define the worst likely or worst probable characteristics of the incident. This is accomplished by taking what is known about the incident and assessing both how bad the physical nature of the incident could reasonably be expected to become and what factors could restrict or complicate response to the incident. Then, for each of the functional areas on the form, the RST will identify what consequences, repercussions or strategic issues could be expected to result from the worst probable case and its likely impacts. This form will then be shared with the MRT who will use it to guide the strategic response to the situation.

MANAGEMENT RESPONSE IMPACT AND CONSEQUENCE FORECAST FORM (Page 1 of 2)
Incident No. 1: _____
Location:_____
University of California Area Affected:_____
Date:_____ As of (time):_____
Entered by: _____
Estimated Duration: _____
Emergency Period_____
Recovery Period_____
Projected Cost: _____
Casualties:_____ Fatalities:_____ Injuries:_____
Missing:_____
Types of Injuries: _____
Description of Likely Physical Location Impacts:
Description of Likely Community/External Impacts:

MANAGEMENT RESPONSE IMPACT AND CONSEQUENCE FORECAST CHECKLIST (Page 2 of 2)
Description of Departmental Outcome (Assumptions to Include: Scale, Scope, Nature)
SAFETY AND ENVIRONMENT
SECURITY
CRISIS COMMUNICATIONS
OPERATIONS
FINANCIAL/FUNDING
LEGAL
GOVERNMENTAL/REGULATORY AFFAIRS

5

Capability Maintenance

To maintain and continuously improve its capability to respond in its management response and response support role, UCOP will carry out four essential activities:

- Plan Review and Update
- Team Member Training
- Exercising
- Post-Incident Reviews

Additionally, it is essential that personnel that support this Plan and the respective teams have the ability to contact one another. UCOP executives and managers are expected to maintain current emergency contact information for their respective Directors/Managers and other key operational staff. Emergency contact information will be updated and maintained as part of this UCOP Management Response Plan, and designated team members shall keep in their possession contact information for the other members of their respective teams. As part of the maintenance process, contact information for all UC systemwide emergency management personnel will be updated, maintained, and periodically distribute.

Plan Review and Update

This Management Response Plan will be maintained and systematically updated to clearly reflect the UCOP's existing capabilities, process, procedures, organization and protocols.

Changes in UCOP's crisis-related response activities, improvements in response concepts and technology, or government regulatory changes will be incorporated into this Plan to ensure that it remains a viable guide for management and response. In addition, lessons learned from exercises and actual incidents will be examined to assess the need for revisions to this Plan.

To ensure continuous maintenance, UCOP will conduct an annual formal review of this Plan and perform updates, as needed. In addition, the Plan will be reviewed as part of Post-Incident Reviews to ensure that lessons learned are incorporated into the Plan's policies and procedures. Finally, the Plan will be reviewed after crisis management exercises (e.g., tabletop, functional exercises and full-scale exercises) to incorporate enhancements to policies or procedures identified as a result of the exercise activity. Critical Plan changes identified as a result of incidents or exercises will be incorporated immediately into the Plan and not held until the next plan update cycle. Appendices to the Plan will be reviewed quarterly and updated to ensure complete accuracy of contact information and other procedural details.

Team Member Training

In order for this Plan to accurately document and effectively guide UCOP's response to a potential crisis, it must be accompanied by an on going program of training for MRT and RST members.

All team members will participate in an initial training session and an on-going annual refresher training session on the Plan and associated roles/ responsibilities. This training may be combined during team meetings or other related events. Training requirements are outlined below:

- Initial Training
  - Management Response Team: 2-4 hours
  - Response Support Team: 2-4 hours
  - Scheduled within 1-2 months of new Plan being published

- Ongoing Refresher Training
  - Annual Training for RST and MRT: 2 hours

Quarterly activities will be scheduled to maintain team member familiarity and promote team-building. The activity may take the form of a team meeting, the real activation of the team for an actual incident, or a training or exercise activity.

Exercising and Plan Validation

This Plan will be validated through an on going program of crisis management exercises. Crisis management exercises will be conducted with participation from a single response team (MRT or RST), more than one response team (MRT and RST), or all response teams (MRT, RST, and the UC Location Emergency Management & Response Team).

The crisis management exercises will build progressively in complexity and level of involvement over time. The basic types of exercise activities will include the following (in order of growing challenge and complexity):

Tabletop Exercises - Facilitated scenario-based discussions that allow participants to work through realistic crisis situations, define or validate crisis management policy, and validate the corporation's crisis management and response plans. The tabletop exercise

is facilitated, and includes structured facilitator questions designed to encourage interaction among team members. One extended scenario or a series of "snapshots" scenarios should be used, and the session is typically conducted over a three to four hour time period in a conference room setting.

Functional Exercises - Scenario-based exercise activities typically lasting about four to six hours where participants are afforded the opportunity to demonstrate individual and team crisis management capabilities by reacting and taking actions based on a simulated crisis. Rather than simply discussing what the Team would do under the scenario (as in a tabletop exercise), the Team actually carries out their decision-making, response actions and communications process in real-time in a fast-paced, pressured environment. Functional exercises are typically limited in their involvement of teams, and the breadth of response objectives to be demonstrated.

Full Scale Exercises - Scenario-based exercise that involves a participating team from all levels of the organization and provides for a comprehensive validation of the crisis management and response capabilities. Participants are afforded the opportunity to demonstrate individual, team, and organizational crisis management capabilities and to validate the linkages between the various response levels. Teams participate from their actual command or operations centers with full movement of resources over a six -hour or greater period. Full-scale exercises usually include field level response team participation and often also include local, state and/or Federal government response participants.

The RST and MRT will participate in a crisis management tabletop exercise at least annually. The RST and MRT will participate in a crisis management functional exercise or full-scale exercise at least annually.

Post-Incident Review

Upon deactivation of the RST and/or MRT, a Post Incident Review (PIR) will be conducted. A PIR team will be assembled by the MRT Coordinator or RST Chair to include selected members from each response team that was mobilized.

The PIR team will analyze the incident response to (1) identify lessons learned, (2) initiate corrective actions and, (3) improve future capabilities through needed Plan or procedural revisions.

Membership on the PIR team may include, but is not limited to:

- Operations
- Human Resources
- Communications
- EH&S
- IT
- Security
- Legal
- Finance

The procedure for the PIR will be as follows:

1. A designated member of the PIR team will be assigned the role of team leader. The team's first meeting will be scheduled within 30 days following deactivation.

2. Within 30 days of PIR mobilization, the team will complete their report and list of corrective actions and submit to the MRT and/or RST for approval.

3. MRT and/or RST approves report and list of corrective actions.

4. All approved corrective actions will be implemented as agreed. All exceptions must be approved by the MRT and/or RST.

5. The MRT Coordinator and PIR team leader will ensure follow-up actions are implemented.

Appendix A:

Response Structure Position Checklists

MRT LEADER

♦ Confer with RST Leader to determine need for and level of Activation

♦ Direct the notification of MRT members

♦ Convene and direct meetings of the MRT

♦ Obtain periodic briefings from the RST Leader

♦ Coordinate and collaborate with the President and the President's Cabinet

MRT COORDINATOR

♦ Upon Activation, ensure the notification of all MRT members

♦ Ensure accessibility and equipping of the MRT Meeting Room

♦ As directed by MRT Leader, schedule and coordinate MRT meetings

♦ Assist MRT Leader in setting agenda for each MRT meeting

♦ Coordinate with RST Coordinator to schedule MRT meetings to an alternate Meet/Break cycle with RST meetings

MRT MEMBERS

♦ Representing the needs and concerns of the University

♦ Providing subject matter expertise, advice and counsel related to the member's specific area of experience

♦ Assisting in the development of strategies and policies to address identified issues

♦ Flowing all information related to the crisis and related response issues to MRT Coordinator

♦ Deploying resources and individuals within their own departments to support the response effort

♦ Responding to assignments and requests from the Leader or Coordinator

♦ Giving priority to crisis assignments and designating a replacement to cover day-to-day functional or operational responsibilities

♦ Participating in the post-incident review process

♦ Becoming thoroughly familiar with roles and responsibilities and overall MRT procedures

♦ Participating in MRT training and exercises

♦ Inform Risk Management when unavailable for an extended period

RST LEADER

- Confer with MRT Leader to determine need for and level of Activation

- Direct the notification of RST members

- Convene and direct meetings of the RST

- Obtain periodic briefings from the UC Location Emergency Management Team or Incident Commander

- Coordinate with the UC Location Emergency Management Team Leader to provide needed resource support to the UC Location response effort

RST COORDINATOR

- Upon Activation, ensure the notification of all RST members

- Confer with the EOC support personnel to ensure accessibility and equipping of the Emergency Operations Center (EOC)

- As directed by RST Leader, schedule and coordinate RST meetings

- Assist RST Leader in setting agenda for each RST meeting

- Coordinate with MRT Coordinator to schedule RST meetings to an alternate Meet/Break cycle with MRT meetings

- Confer with the Emergency Operations Center(EOC) staff to ensure the facility is ready to open and activate, including operational communications and other systems

- Coordinate or ensure UCOP communications and coordination with local, state and/or Federal government agencies, where appropriate, and serve as liaison to State EMA (Emergency Management Agency) as needed.

RST COMMUNICATIONS MEMBER

- Develop the UCOP communications strategy for the incident to be approved by the MRT

- Ensure consistency of all external and internal crisis communications

- Ensure the selection and briefing of appropriate UCOP spokesperson(s)

♦ Develop press releases and schedule/coordinate press conferences

♦ Coordinate with UC Location PIOs to ensure a consistent UC message

♦ Monitor media (broadcast, print, internet) for information and accuracy

RST MEMBERS

♦ Providing subject matter expertise, advice and counsel related to the member's specific area of experience

♦ Assisting in the coordination and provision of response support and resources to address identified UC Location needs, including deploying resources and individuals within their own departments to support the response effort

♦ Flowing all information related to the crisis and related response issues to RST Coordinator

♦ Responding to assignments and requests from the Leader or Coordinator

♦ Giving priority to RST assignments and designating a replacement to cover day-to-day functional or operational responsibilities

♦ Participating in the post-incident review process

♦ Becoming thoroughly familiar with roles and responsibilities and overall RST procedures

♦ Participating in RST training and exercises

♦ Inform Risk Management when unavailable for an extended period

Appendix B:

Technology Resources

Team Operating Locations

A description of the EOC and MRT Meeting Room is maintained in this Appendix or may be maintained outside this Plan by the Chief Risk Officer, including the inventory of equipment and supplies for supporting the rooms and facilities, as well as floor plans of the facilities.

Primary MRT Meeting Location:

President's Conference Room (Franklin Building 12th Floor)
Alternate MRT Locations:
1. APL Building Conference Room #14023 (Treasurers Office [1111 Broadway] – 14th floor)
2. Kaiser Center Conference Room #1217 (UCOP offices – 12th floor)
3. UC Berkeley Campus (report to Sproul Hall basement – Police Dept.)
4. Lawrence Livermore Lab (report to West Gate badge office)
5. UC Davis Campus (for out-of-area extended [weeks/months] operations if needed)

Primary RST Meeting Location:

Franklin Building – 12th Floor Conference Room
Alternate EOC sites:
1. Kaiser Center (UCOP conference room #712 [7th floor])
2. UC Berkeley Campus (report to Sproul Hall basement – Police Dept.)
3. Lawrence Livermore Lab (report to West Gate badge office)

If only the Franklin Building is affected, the alternate Oakland sites are the APL Building and Kaiser Center, in that order. If all Oakland office locations are affected or inaccessible, the Berkeley campus will be utilized as an alternate EOC location. Alternatively, if both Berkeley and Oakland are impacted, the Lawrence Livermore National Lab (LLNL) can be used as an interim 'fail-safe' site. For extended interim operations (weeks-months), the Davis campus may be used while UCOP re-location is being determined. Decisions on the immediate use of an alternate location are made in consultation with the UCOP Building Services Director during the EOC activation process.

Primary UCOP facility front desk (emergency) numbers are:

Franklin Building: 987-9790 or 773-0608 (cell)   Kaiser Center: 272-0909
Franklin Building Emergency (Back-up) Power:

The Franklin Building is equipped with a diesel emergency generator that will power the entire 12th floor, ensuring continued executive policy and primary EOC operations. The 8th floor main telecommunications/server room and elevator car #1 are also supplied with backup power to support emergency operations. The generator has a total fuel storage capacity of 275 gallons that will provide approximately eighteen (18) hours of

backup power to the building. Arrangements will have to be made for daily diesel fuel deliveries in order to support extended emergency operations.

Website

Use of websites or other internet resources to support the implementation of the Plan should be described in this section.

Appendix C:

Response Structure Rosters

Rosters are maintained under a separate cover and are accessible at

http://www.ucop.edu/riskmgt/emergprep/opmgmtresp.html

Appendix D:

Working Tools

Impact and Consequence Forecast Form

Following is the Impact and Consequences Forecast form to be used by the RST to define and document the "worst probable" planning case. More information about this process can be found in Chapter 4: Concept of Operations.

IMPACT AND CONSEQUENCE FORECAST (Page 1 of 2)
Affected UC Location: **Issue / Event Description:**   **Date / Time (current as of):**   **Document Managed By (Name / Phone / Email):**
Estimated Duration of Situation:
Fatalities: **Injuries (number and types):**   **Missing/Known Status:**
Description of Likely UC Impacts:
Description of Likely Community/External Impacts:

Additional Impacts (Page 2 of 2)

Description of Departmental Outcome
(Assumptions to Include: Scale, Scope, Nature)

HUMAN IMPACT

SAFETY / ENVIRONMENT / SECURITY

CRISIS COMMUNICATIONS

CAMPUS OPERATIONS

FINANCIAL/FUNDING

LEGAL

GOVERNMENT/REGULATORY AFFAIRS

Strategic Issues Tracking Form

Following is a sample Strategic Issues Tracking form which is used to document and prioritize issues for future decision making. More information how to use this document can be found in Chapter 4: Concept of Operations.

		Strategic Issues Tracking	
Issue #	**Priority**	**Issue Description**	**Status (being addressed, on hold, scheduled for deliberation)**
1.			
2.			
3.			
4.			
5.			
6.			
7.			
8.			
9.			
10.			

Priorities:

A----Deliberate/Schedule within 24 hours

B----Deliberate/Schedule within 1-4 days

C----Deliberate/Schedule within next 1 week

Action Items Status Form

Following is a sample Action Items Status form. More information how to use this document can be found in Chapter 4: Concept of Operations.

			Action Item Status	
Item #	Due Date	Assigned to	Description	Status
1.				
2.				
3.				
4.				
5.				
6.				
7.				
8.				
9.				
10.				
11.				
12.				

Sample Meeting Agendas

The following sample agenda can be used for the initial MRT meeting.

MRT —INITIAL MEETING AGENDA

- Establish expected duration of meeting
  - Confirm record keeping process

- Conduct incident briefing
  - Include report of RST actions thus far

- Define the MRT role
  - Review crisis management requirements and needs
  - Identify needs for ad-hoc MRT members or additional resources

- Identify and deliberate on any strategic issues related to management of the crisis and its potential impact on the UC system
  - Document outstanding issues (use the **Strategic Issues Tracking** form *) that cannot be immediately resolved
  - Prioritize those items that require more timely resolution

- Define and confirm the communications strategy & approve initial public statement

- Document any identified action items (use the **Action Items Status** form **)

- Administrative
  - Determine any extended response requirements (off hours)
  - Review adequacy of MRT staff support, resources
  - Set next two meeting times and outline the schedule (24-48 hours)

***Strategic Issues Tracking**: The goal is to identify as many issues as possible that may need to be addressed for eventual deliberation by the MRT. Select issues should be scheduled for each / future MRT meeting.

****Action Items Status**: The purpose is to capture any specific action items assigned or identified during the meeting. Status and/or resolution should be reviewed in future meetings.

The following sample agenda can be used for the ongoing MRT meetings and may be customized and adjusted as necessary.

MRT—ONGOING MEETING AGENDA

- Establish expected duration of meeting

- Receive incident update briefing
    - Include report of RST actions thus far
    - Assess capabilities and effectiveness of overall response structure

- Review potential impact and consequences of the event or issue (use the ***Impact and Consequence Forecast*** form* provided by RST)
    - Discuss potential consequences of the incident or issue
    - Capture any comments and feedback for review with the RST

- Discuss status updates from MRT members
    - Review progress on actions or strategy development assignments

- Deliberate and made decisions on select strategic issues related to management of the crisis and its potential impact
    - Document decisions and appropriate next steps for communication to the RST

- Identify additional strategy issues
    - Document and prioritize those items that require more timely resolution (use the ***Strategic Issues Tracking*** form *)

- Define and confirm the communications strategy & approve public statement(s)

- Document any identified action items (use the ***Action Items Status*** form **)

- Administrative
    - Determine any extended response requirements (off hours)
    - Review adequacy of MRT staff support, resources
    - Set next two meeting times and outline the schedule (24-48 hours)

Impact and Consequence Forecast: Developed by the RST, the purpose of this document is to define and ensure a collective/common understanding the "worse probable case" scenario of the incident and its potential impacts. Feedback from the MRT on potential consequences should be provided to the RST.

Strategic Issues Tracking: The purpose is to identify as many issues as possible that may need to be addressed for eventual deliberation by the MRT. Select issues should be scheduled for each / future MRT meeting. .

Action Items Status: The goal is to capture any specific action items assigned during the meeting. Status and/or resolution should be reviewed in future meetings.

The following sample agenda can be used for the initial RST meeting.

RST— INITIAL MEETING AGENDA

- Establish expected duration of the meeting
    - Confirm record keeping process

- Receive initial briefing on incident
    - Include input from the local response team or incident commander
    - Define immediate response requirements

- Evaluate and act on immediate assistance needs/requests
    - Determine what additional support and resources are needed
    - Identify the best available options

- Define RST role
    - Review incident response and support requirements
    - Identify the need for ad hoc RST members

- Identify and deliberate on any issues related to UCOP's ability to respond to the incident or crisis
    - Document outstanding issues (use the *Strategic Issues Tracking* form *)
    - Prioritize those items that require more timely resolution
    - Identify issues which should be raised to the MRT for deliberation and decision

- Identify and assign specific action items to team members
    - Track all assignments, owners and recommended deadlines on the *Action Items Status* form **

- Administrative
    - Determine any extended response operations requirements (off hours)
    - Review adequacy of MRT staff support, resources
    - Set next two meeting times and outline the schedule (24-48 hours)

* Strategic Issues Tracking: The purpose is to identify as many issues as possible for eventual deliberation and decision by the RST or for MRT decisions. Select issues should be scheduled for each / future RST meeting.   Once an issue is resolved, it is moved to the Action Item Status form.

***Action Items Status*: The purpose is to capture any specific action items assigned during the meeting. Status reporting and/or resolution should be reviewed in future meetings.

The following agenda can be used for ongoing RST meetings and may be customized.

RST — ONGOING MEETING AGENDA

- Establish expected duration of the meeting

- Receive incident update briefing
    - Include specific impact from the local response team or incident commander
    - Review actions or decisions taken by the MRT (if the team is activated)

- Review the actions and next steps (use the *Action Items Status* form *)
    - Track progress / roadblocks on previously assigned action items, review progress toward established deadlines
    - Identify and assign any new action items

- Define ongoing response requirements
    - Review and discuss requests for additional support and resources – i.e., immediate needs
    - Identify best available options
    - Discuss potential long-term response needs
    - Define how the RST will meet those assistance needs/requests

- Review / update the *Impact and Consequences Forecast* form **
    - Discuss worst probable case forecasts
    - Assess potential impacts and consequences
    - Define if/how to pre-plan or stage additional resources

- Identify and deliberate on select 2-3 issues related to UCOP's ability to respond to the incident or crisis
    - Document any new issues (use the *Strategic Issues Tracking* form ***)
    - Prioritize those items that require more timely resolution
    - Identify issues which should be raised to the MRT for deliberation and decision

- Administrative
    - Determine any extended response operations requirements (off hours)
    - Review adequacy of MRT staff support, resources
    - Set next two meeting times and outline the schedule (24-48 hours)

*Action Items Status: The purpose is to capture any specific action items assigned during the meeting. Status reporting and/or resolution should be reviewed in future meetings.

** Impact and Consequence Forecast: This document is developed by the RST. The purpose is used to define and share a collective/common understanding of the "worse probable case" scenario for the incident and its potential impacts. Feedback from the MRT on potential consequences should be gathered.

*** *Strategic Issues Tracking***: The purpose is to identify as many issues as possible that will need to be addressed by the RST or raised to the MRT for a decision. Select issues should be scheduled for each / future RST meeting. Once an issue is resolved, it is moved to the Action Item Status form

Appendix E:

UCOP Broadcast Emergency Messaging

1. **To Send Broadcast *Voicemail* Message:**

2. **To Send Broadcast *E-mail* Message:**

3. **To Record Message on Emergency Information Line (866-272-9009):**

4. To Post Message on UCOP *Webpage*:

Alerting & Warning Messages

Warnings are effective only if they are timely, accurate, and result in appropriate action.

Effective warning messages should:

- Be brief (preferably less than one minute)
- Present discrete ideas in a 'bulleted' fashion
- Use non-technical language
- Use appropriate text/graphics geared for the UCOP community
- Provide official basis for the hazardous event message (Oakland Police report…)
- Provide most important information first, including any standardized headlines
- Describe the buildings/areas affected and time (if events are moving)
- Provide level of uncertainty (if applicable)
- Provide a brief *action-oriented* statement for appropriate UCOP response
- (accurate and specific instructions or directives)
- Describe where more detailed information can be found (UCOP webpage, etc.)

Appendix F:

Emergency Contact Information

State Emergency Management Agency (EMA) Warning Center

(916) 845-8911 *or* (916) 262-1621 *or* (800) 421-2921

Warning_Center/OES@oes.ca.gov

███████████████████████████████   ███████████████

Emergency Notification Instructions:

1. During normal business hours call the Risk Services Main Line: (510) 987-9832 OR UCOP Emergency Information Line (866) 272-9009
2. Franklin Building Work Management Center ('W.M.C.')
   Building Services W.M.C. (7th floor, Franklin Building)
   987-0600 (8 AM – 5 PM)
   (If unable to connect, try long distance access via 800-860-0635)
3. Franklin Building Security: 987-9790 or 773-0608 (cell) or 773-7550 (cell)
4. Alternate Contact 24/7:

Campus, Medical Center and Laboratory location Contact Information:

Contact	Email	Phone	Alternate Phone
Emergency Phone Numbers			
BERKELEY			
EOC Manager	eocmgr@berkeley.edu	(510) 643-0586	643-1130 (Alternate EOC)
Operations	eocops@berkeley.edu	(510) 643-1515	643-1196 (Alt. EOC)
Planning		(510) 643-0929	
Logistics		(510) 643-1513	643-1558 (Alt. EOC)
Finance		(510) 643-1556	
UCPD Dispatch		(510) 642-3333 (emergency) (510) 642-6760 (510) 642-6760	
LAWRENCE BERKELEY LAB			
EOC		(510) 486-6666 or 486-6667 (510) 486-7014 fax	
EOC Satellite Phone		(011) 872-3830-25847	
Satellite Phone (Emergency Mgr.)		(254) 387-0028	
LBNL Security		(510) 486-4050	
LAWRENCE LIVERMORE LAB			
EOC		(925) 423-8401 (925) 424-3904 fax	
EOC Satellite Phone		(254) 543-3292	
LLNL Fire Dispatch/Duty Officer		(925) 422-7595	
LLNL Security Dispatch		925) 422-7222 925) 423-6933 fax	
UCPD – LLNL Site Office		(925) 423-8967	
Radiological Emergency Assistance		(925) 422-8951 (24 hrs)	
DAVIS			
EOC	EOC@ucdavis.edu	(530) 754-5652 or 754-5653 (530)	

		752-3216 fax	
Satellite Phone (UCPD)		(011) 8816-414-03374	
UCPD Dispatch		(530) 752-1727 (530) 752-3216 fax	
DAVIS MEDICAL CENTER (Sacramento)			
EOC	EOC@ucdmc.ucdavis. edu	(916) 734-7385 (916) 734-4470 fax	
Chief Administrator on Duty		(916) 734-3667	
IRVINE			
EOC		(949) 824-3600 or 725-5050	
Satellite Phone		(011) 8816-414-96792	
UCPD Dispatch		(949) 824-5223 (949) 824-8567 fax	
IRVINE MEDICAL CENTER (Orange)			
EOC		(714) 456-6972 or 938-3771	
Chief Administrator on Call		(714) 456-7890	
LOS ANGELES			
EOC		(310) 825-9236	
EOC Director	EOC.Director@facnet.ucla.edu		
Operations Coordinator	EOC.Ops.Coord@facnet.ucla.edu		
Planning/Intel Coordinator	EOC.Plans.Coord@facnet.ucla.edu		
Logistics Coordinator	EOC.Log.Coord@facnet.ucla.edu		
Finance Coordinator	EOC.Fin.Coord@facnet.ucla.edu		
UCLA EM Twitter	http://twitter.com/UCLABruinAlert		
BruinAlert @ FaceBook	http://bit.ly/j3mWX		
Satellite Phone (UCPD)		(011) 8816-316-40548	
Satellite Phone (Emergency Mgr)		(011) 8816-316-40551	
UCPD Dispatch		(310) 825-1491 (310) 206-2058 fax	
LOS ANGELES MEDICAL CENTER			
EOC		(310) 267-1116	
Satellite Phone		(254) 381-9227	
Chief Administrator on Call		(310) 825-6301	

MERCED			
UCPD Dispatch		(209) 228-2677	
Satellite Phone		(011) 8816-414-03650	
RIVERSIDE			
EOC		(951) 827-7210	
Satellite Phone (UCPD)		(254) 460-8892	
UCPD Dispatch		(951) 827-5222 (951) 683-1639 fax	
SAN DIEGO			
EOC		(858) 534-3609 or 534-3053 or 625-0724 (858) 534-3514 fax	
Satellite Phone		(254) 460-8890	
UCPD Dispatch		(858) 534-4357 (858) 534-6192 fax	
SAN DIEGO MEDICAL CENTERS			
Hillcrest (UCSD MC) ICC	icommand@@ucsd.edu	(619) 543-7000	
Hillcrest Satellite Phone		(254) 460-8587	
Thornton Hospital (La Jolla) ICC		(858) 657-7422	
Thornton Satellite Phone	Thor-icommand@ad.ucsd.edu	(254) 460-8588	
Moores UCSD Cancer Ctr (La Jolla)	Moores-icommand@ad.ucsd.edu		
Chief Administrator on Call		(619) 543-6222	
SAN FRANCISCO			
Parnassus Campus EOC	EOC@police.ucsf.edu	(415) 753-4384 or 514-2380 (415) 753-4387 fax	
Satellite Phone (EOC)		(011) 8816-514-13383	
Laurel Heights EOC		(415) 753-4388 or 514-2391	
Medical Ctr. DCC		(415) 753-4563	
Chief Administrator on Call		(415) 476-2155 or 719-9097 (pager)	
Medical Center AOC		(415) 476-9000	
UCPD Dispatch		(415) 476-1414 (415) 476-8205 fax	

Satellite Phone (UCPD)		(011) 8816-414-04082	
SANTA BARBARA			
EOC		(805) 893-3901 (805) 893-8659 fax	
Satellite Phone		(011) 8816-414-96561	
UCPD Dispatch		(805) 893-3446 (805) 893-2823 fax	
SANTA CRUZ			
EOC	EOC@ucsc.edu	(831) 459-3473 (UCFD) (831) 459-7608 fax	
Satellite Phone		(011) 8816-414-96396	
UCPD Dispatch		(831) 459-2231 (831) 458-5021 fax	
LOS ALAMOS LAB (New Mexico)			
EOC (24 hrs)		(505) 667-6211	
Satellite Phone (EOC)		(011) 8816-314-60425	
UCOP			
EOC	EOC@ucop.edu		
24/7 Duty Pager (Emergency Mgr)		(510) 702-4057 or (916) 282-4057	
Satellite Phone		(011) 8816-414-96422	
Bob Charbonneau		office: (510) 987-9594 or 987-9532 (esl)	
[Systemwide Coordinator/EMA liaison]		home: (510) 644-3223 cellular: (510) 915-4538	

Appendix G

Supporting Mission Continuity and other plans and procedures follow.