UCOP Management Response Plan

University of California Office of the President (UCOP)

October 2015

Office of Risk Services
Emergency Management

Copy # (revised)

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
Rev 3	10/12	Update, Team, Campus response
Rev 4	10/19/15	Update alternate MRT location; Update RST details; Update URLs; Update name of Chief Risk Officer

Comments and recommendations regarding the content of the plan are welcome and should be directed to Cheryl Lloyd, Chief Risk Officer, at Cheryl.Lloyd@ucop.edu, or at 510- 987-9289.

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Introduction

The purpose of this University of California Office of the President (UCOP) Management Response Plan is to document UCOP's process for effectively identifying, responding to, and recovering from incidents or issues that may have the potential to become a crisis for UCOP itself or to the University System overall. This plan aligns with and supports the Campus Management Response Plans and existing Emergency Response processes in place at UC's campuses, medical centers or laboratories.

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 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. This Management Response Plan will be maintained and available on-line at http://www.ucop.edu/risk-services/crisis-management/ucop-management-response-plan.html

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. 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 UCOP to follow in response to a major emergency, incident, significant issue or reputational risk or event that has significant potential consequences and/or disrupts normal operations of UCOP or one or more of its campuses, medical centers or laboratories. The Plan will be coordinated with any affected UC Location's emergency management structure and process.

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

Four Major Types of Incident

- **Incident at a UCOP location**
- **Incident at a single Campus, Medical Center or Laboratory with broad and/or higher consequences to the UCOP System**
- **Incident with UC system-wide impacts (e.g. pandemic)**
- **Non-physical incident, emerging issue or reputational risk with potential broad UC impacts and consequences**

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 response to incidents occurring at campuses, medical centers and laboratories are NOT within the scope of this Plan. However, this UCOP Plan has been designed to be executed in conjunction with any UC Location plan, providing incident support and crisis management when necessary.

Each UC Location (campus, medical center and laboratory) maintains its own emergency management and/or incident command-based plan to guide the emergency response

process for incidents at that location. Additionally, each UC campus maintains a Campus Management Response Plan which details the role and responsibilities of senior administrators either acting in the role of the Executive Policy Group when supporting emergency response or when responding to non-physical, reputational threats which do not require emergency response.

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.

Risks and Vulnerabilities

This plan defines a consistent management process to respond to a full range of risks. 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 the University of California's students, faculty, staff, local community, operations, buildings, assets, finances, image, reputation, or the environment.

Examples of events which have the potential to become a crisis and may require activation of this plan include:
:

- *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
    - chemical / environmental spill / hazard
    - natural disasters, e.g. earthquake, wildfires, flood etc.

- *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:
    - funding and financial stewardship issues
    - social issues
    - leadership / management issues
    - theft of proprietary intellectual capital, academic cheating, research tampering

Plan Contents

This Plan establishes the overall UC and UCOP management response structure in **Section 2, Response Structure**. **Section 3, The Management Response Team** details the roles and responsibilities of the MRT, and **Section 4, The Response Support Team** details the roles and responsibilities of the RST. The notification process for the teams, the procedure for screening of incidents, and activation of the teams is set forth in **Section 5, Notification, Screening and Activation**. Once activated, the processes and manner in which the UCOP teams will operate is outlined in **Section 6, 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 7, Capability Maintenance**. Finally, a series of Appendices to the Plan (**Appendices A through G**) 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.

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.

UCOP's Crisis Communication Plan and Emergency Response Plan are maintained separately. Other 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/risk-services

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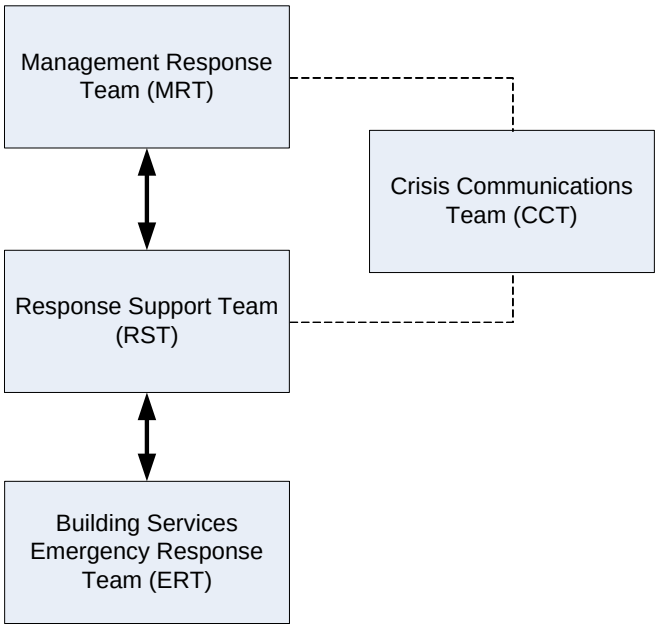
UCOP Response Structure

The UCOP 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), and Emergency Management.

The UCOP management response structure is composed of the following teams

- UCOP Management Response Team (MRT)
- UCOP Response Support Team (RST)
- UCOP Crisis Communications Team (CCT)
- UCOP Building Services Emergency Response Team (ERT)

The activation of UCOP teams, will take place according to the escalating size, human impacts, or severity of the incident.



UCOP Management Response Team

The UCOP Management Response Team is the executive level oversight and strategic decision-making body for UC during a potential or actual crisis situation. The MRT is responsible managing issues and impacts on the entire UC System and for protecting its overall reputation and stability. It is also responsible for overall management and response to UCOP-focused issues or events. This Management Response plan (MRP) details the roles and responsibilities of the MRT (in section 3).

UCOP Response Support Team

The Response Support Team is the team responsible for supporting MRT operations and implementing decisions made by the MRT. The RST will assist with all system wide UC responses when multiple campuses, medical centers and/or laboratories are responding to a common crisis or emergency situation.

The RST is also responsible for ensuring that any individual affected University campus, medical center, and laboratory has the best available support and resources necessary to effectively manage the impacts of any significant incident. 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 roles and responsibilities of the RST are detailed in section 4 of the MRP.

UCOP Building Services Emergency Response Team

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. UCOP's Emergency Management plans are maintained separately.

UCOP Crisis Communications Team

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. UCOP's Crisis Communications Plan is maintained separately.

Campus / Location Response Structure

The emergency management and response structure at each UC Location includes emergency management, on-scene incident command and for the 10 UC campuses, a Campus Management Response Team, or sometimes referred to as the Campus Executive Policy Group. These 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. Coordination and communications between UCOP's Emergency Response Coordinator and each location's Emergency Response Manager are already established.

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(s) serves as first responders to incidents and provides 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, including 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.

At each UC location, there is also an executive level oversight and strategic decision-making body during a potential or actual crisis situation. At the 10 campus locations, this is referred to as either the Campus Executive Policy Group or the Campus Management Response Team. It provides strategic direction and guidance to campus ERTs and performs the role of the Executive Policy Group when the IC team is activated. It makes proactive policy and strategic decisions to mitigate expected impacts, and is responsible for ensuring that UCOP MRT and critical stakeholders are properly apprised and consulted, as appropriate.

UC locations Emergency Management plans, including Campus Management Response Plans are maintained separately.

Coordination and Alignment with Campus / UC Location Response

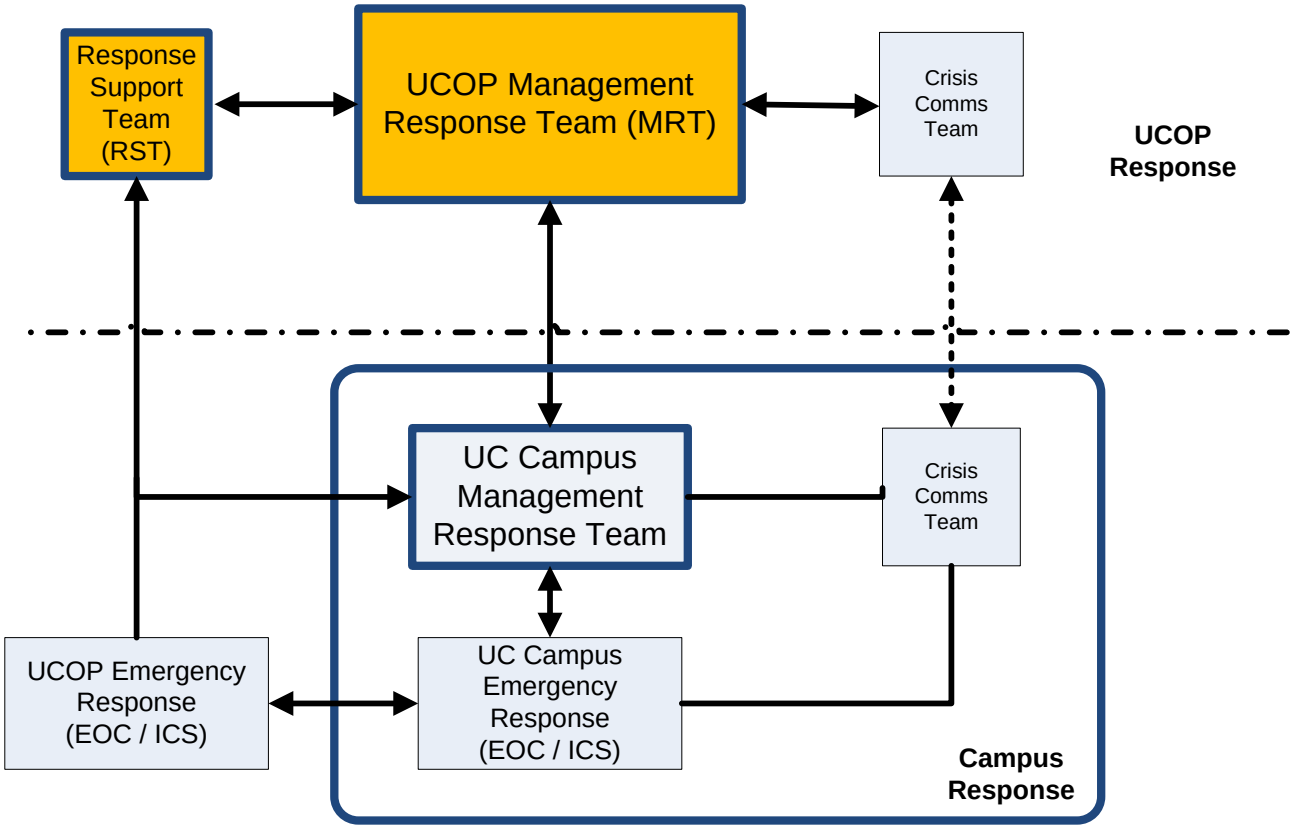
It is anticipated that the majority of issues and events originating at a UC Location will be managed by that location. However, some incidents will also require resources and support from UCOP. Still other incidents or emerging issues that threaten UC as a whole (e.g. pandemic), or place at risk UC's reputation and/or stability, may require activation of the MRT for high level management, strategic policy and financial decisions, crisis communications, humanitarian assistance or other crisis management functions.

Coordination and communication between UCOP and UC Locations at the time of an event is critical. During events when multiple UC locations are involved in response, the RST is the information clearinghouse for UC as a whole and will be coordinating with impacted UC locations. At times when just one UC location is involved, either the RST or the MRT will be coordinating with the UC location, depending on the nature of the event.

Additionally, when an issue requires sustained and coordinated communications activities across UC, the UCOP Crisis Communications Team (CCT) will be coordinating and sharing

strategy and messaging with the communications staff, or team if one is in place, at UC locations.

The following depicts how the UC Location response process is aligned with and supported by the UCOP response structure.



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The UCOP Management Response Team (MRT)

The UCOP Management Response Team is the executive level oversight and strategic decision-making body for UC 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. It is also responsible for overall management and response to UCOP-focused issues or events.

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:

- 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 or to the Campus Management Response Team(s) in their response efforts;
- Obtaining regular briefings on the incident and response activities;
- Informing, periodically briefing, and making recommendations to the University President on the overall response strategy and key issues;
- Making policy decisions during extraordinary events, such as a decision to close or suspend academic activities across multiple UC Locations and/or buildings; and
- Making decisions to close UCOP locations to protect the life / safety of UCOP employees

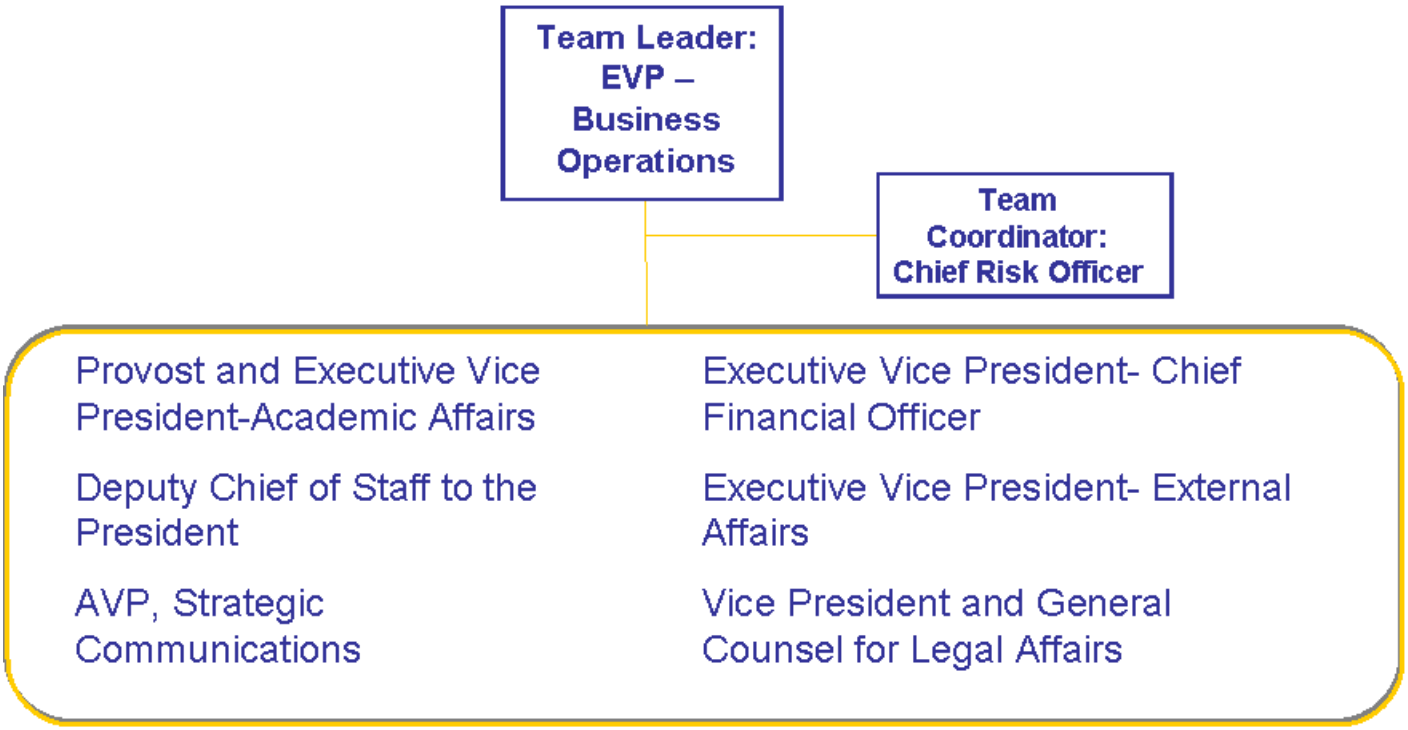
Recovery:

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

Team Membership

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 and ad hoc members, appear on the **MRT Roster in Appendix C**. The team's operations and process are further detailed in Chapter 6, **Concept of Operations.**



Role of the MRT Leader

The MRT Leader provides overall direction and coordination of MRT activities. The MRT Leader is responsible for:

- Assessing initial reports of a crisis in consultation with the screening group and / or Campus Management Response Team Leader.
- Making the decision to activate the MRT
- Conducting MRT meetings and activities, identifying strategic issues for decision-making and tasking specific MRT members to develop recommendations as appropriate
- Briefing the President and President's Cabinet as required
- Coordinating with the Response Support Team, if required, and head of any activated Campus Management Response Team as required

Role of the MRT Coordinator

The MRT Coordinator will help facilitate the MRT process in support of the MRT Leader. The primary duties of the MRT Coordinator, with the assistance of support staff are:

- Notifying and convening the team with the support of MRT support staff, including facilitating virtual operations
- Working with the MRT Leader on scheduling meetings and developing meeting agendas
- Identifying any ad hoc MRT members which may be required
- Coordinating with any activated teams so that the MRT receives regular status updates, decisions are escalated appropriately and the meeting schedule meets executive needs
- Working with MRT members to ensure that non-crisis related tasks are delegated and / or rescheduled as required.

The Coordinator is a defined position on the team with a primary and alternate like other positions.

Role of the President

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.

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The Response Support Team (RST)

The Response Support Team is the team responsible for supporting MRT operations and implementing decisions made by the MRT. The RST will assist with all system-wide UC responses when multiple campuses, medical centers and/or laboratories 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.

The RST is also responsible for ensuring that any affected University campus, medical center, and laboratory has the best available support and resources necessary to effectively manage the impacts of any significant incident. 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.

Due to UCOP's dual roles, some RST members are dedicated to internal UCOP Operations whereas others are dedicated to system-wide campus support.

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

Response:

- Coordinating support, resources and equipment for UC Location's response, as required and/or requested;
- Providing support to those teams responsible for UCOP emergency response and incident command activities specifically affecting UCOP buildings;
- Serving as a clearinghouse of information, especially for incidents when the MRT is activated and/or incidents with UC system-wide 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;

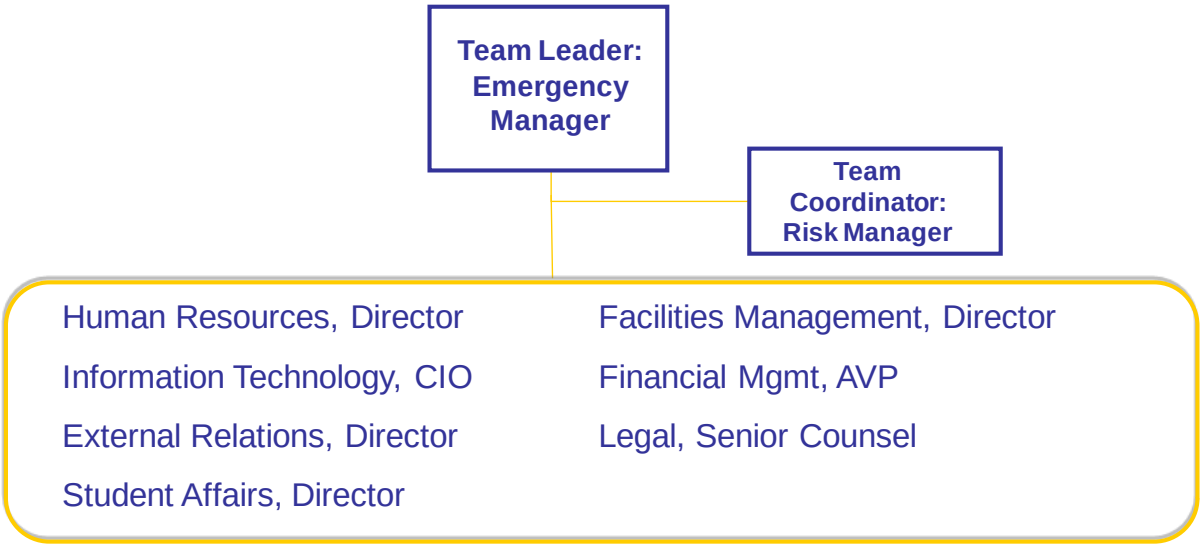
- Notifying, advising and periodically briefing the MRT on status of issues or events, when activated;
- Developing the Impact and Consequence Forecast to inform the MRT's decision-making, when activated
- Coordinating with governmental agencies and external community groups for those incidents impacting 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.

Team Membership

The RST composition is depicted below, and allows for critical functions and perspectives to be included in the response process.



Individuals serving as members of the Response Support Team, including back-up members, appear on the **RST Roster in Appendix C**. 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.

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.

Role of the RST Leader

The RST Leader provides overall direction and coordination of RST activities. The RST Leader is responsible for:

- Conferring with MRT Leader/Coordinator to determine need for and level of Activation
- Direct the notification of RST members (UCOP Operations Team and/or Campus Support Team)
- 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

If other response requirements demand, particularly for a UCOP-specific emergency, the RST back-up leader may be selected as RST leader for that specific incident.

Role of the RST Coordinator

The RST Coordinator will help facilitate the RST process in support of the RST Leader. The primary duties of the RST Coordinator, with the assistance of support staff are:

- Upon Activation, ensure the notification of all RST members
- 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 OES (Office of Emergency Services) as needed.

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Incident Reporting, 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:

Incident Reporting

Whether at UCOP itself or at a UC Location, certain incidents and situations require immediate notification for evaluation for potential activation of the MRP. 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

Incident Screening

UCOP recognizes that potential crises can be identified at various levels of the organization including within UCOP, at UC campuses, medical centers and laboratories, as well as from external sources. Reporting an event or issue to UCOP's Screening Group gives it visibility for broader evaluation and helps ensure involvement of the appropriate resources and team(s) when needed.

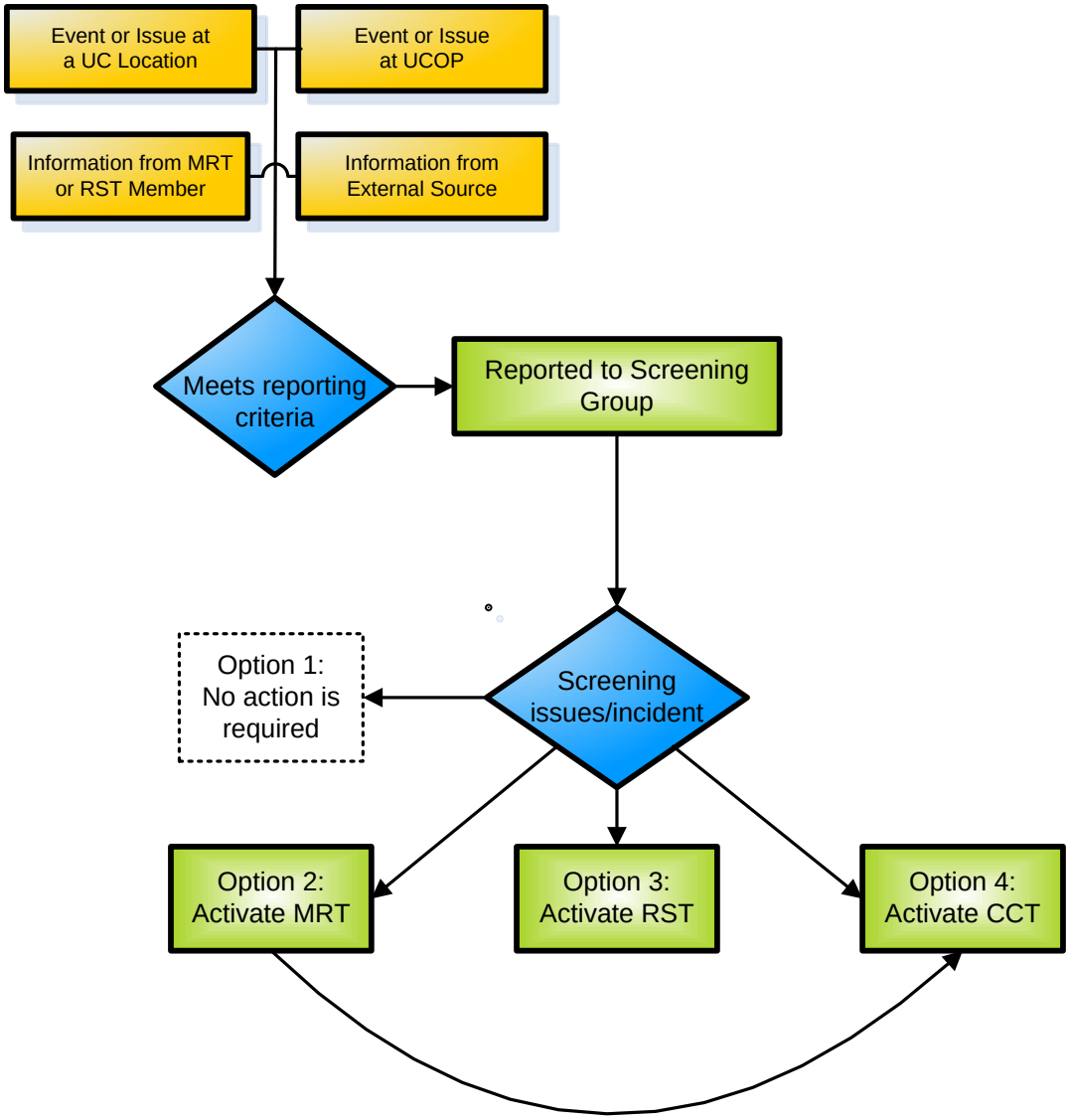
Once the initial report of an incident meeting the Notification Criteria has been received, the Leader of the Response Support Team (RST), the Leader of the Management Response Team (MRT) and the Leader of the Crisis Communications Team (CCT) will confer on the information known about the incident.

Screening Checklist
***Instruction**: The Screening Group will consider the following screening points during its evaluation to determine the appropriate response:* • What is the actual or potential size/scope, intensity, immediacy and duration of the incident? • What appear to be the immediate impacts to safety, service levels, property, environment, and legal or financial standing? • How many UC locations are or could potentially be impacted? • What other issues or events could combine with the incident to create system-wide impacts? • What ongoing or planned events may be impacted by or may impact this situation? • Are additional resources or technical assistance needed to respond to the situation? • How serious could the incident become? • What individuals or groups (internally/externally) are aware of the situation?

Based on its assessment of the situation, the screening group may determine to:

- Activate the MRT (full activation)
- Activate the RST (partial activation);
- Activate the CCT
- Activate a combination or all of the above
- Monitor only as no response is currently required by UCOP

After the initial evaluation and as events unfold or more information becomes known, UCOP may decide to either activate additional teams or deactivate teams as not being required. The following flow-chart shows the various stages from notification through incident screening to team activation.



Notification Protocol

Based on the decision of the screening group, team members will be notified when their teams is activated, including the time and place (if not a conference call) of the initial team meeting.

During normal business hours, team members may simply be notified by telephone, by email or directly in person, or by email. If a situation occurs during business hours and communications are disrupted, members of the RST (and MRT) should automatically respond to the Franklin Building to convene in person.

During non-business hours, team members 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.

If a catastrophic disaster occurs, members should automatically assume the team is being activated in lieu of being notified. Each team has a dedicated conference call number to facilitate virtual operations. Members should NOT respond directly to the Franklin Building, as it may be impacted, inaccessible or dangerous to attempt. Members should use the pre-established ReadyTalk dial-in number.

General emergency information will be disseminated via UCOP email and voicemail and may also be posted on the out-of-area recorded emergency message line **(866-272-9009)** if local communications are disrupted.

Team Activation

MRT Operations:

Virtual Operations

- ReadyTalk 866-740-1260
- **Access Code:** [redacted]

Meeting Locations

- President's Conference Room
- Alt 1: Franklin Lobby Conference Room
- Alt 2: 1111 Broadway, CIO's Conference Room (14th Floor, Room #14023)
- Alt 3: Kaiser Center, #1217
- Alt 4: UC Berkeley, Sproul Hall basement (police department)
- Alt 5: Lawrence Livermore National Security Office (2300 First St, Suite 204, Livermore, CA)

RST Operations:

Virtual Operations

- ReadyTalk 866-740-1260
- **Access Code:** [redacted]

Meeting Locations

- Franklin Lobby EOC
- Alt 1: Conference Room -- 12322
- Alt 2: Kaiser Center, #712
- Alt 3: UC Berkeley, Sproul Hall basement (police department)

Emergency Notification Procedures

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***).

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 local communications disruptions, 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 – Chief Operating Officer will notify the President and members of the Management Response Team of the situation and when to convene; in the event of local communications disruptions, members of the Management Response Team should call **866-272-9009** for recorded instructions. For further instruction please see Appendix F.

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 in the event of local communications disruptions; 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.

More specific information regarding how to use these emergency notification tools and processes can be found in Appendix E of this plan.

6

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.

Details of pre-defined virtual operations as well as primary and alternate meeting locations are contained in Appendix E of this plan.

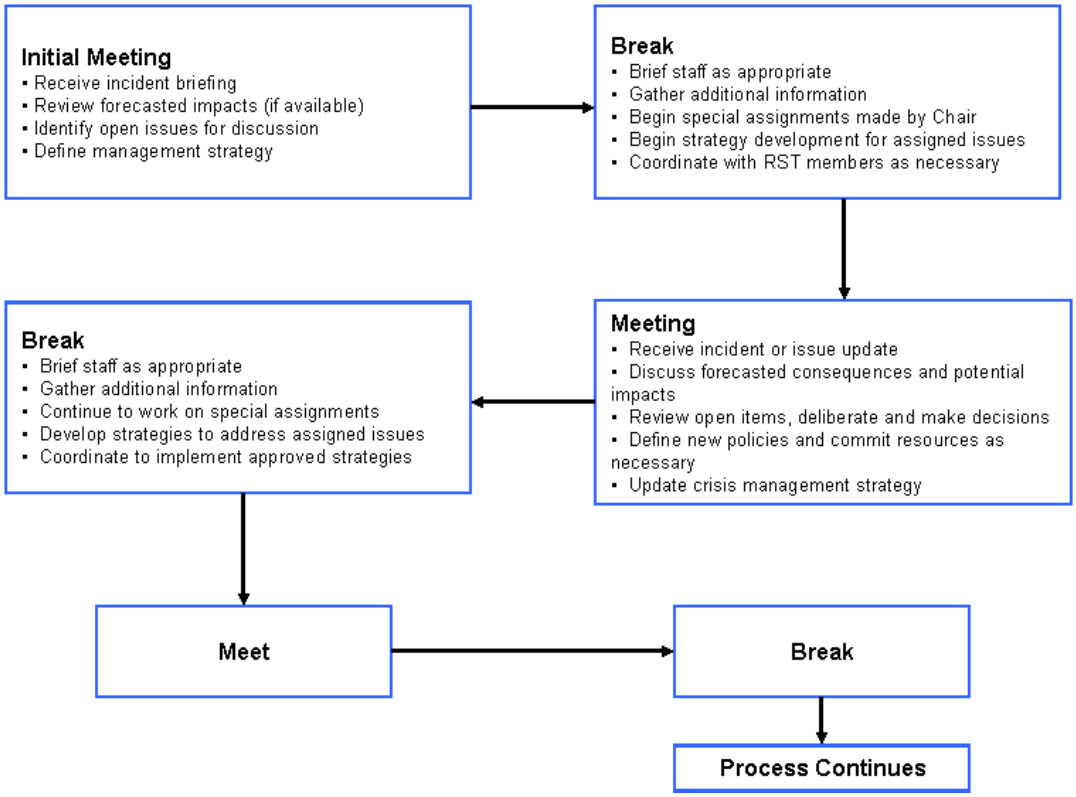
Meeting Process

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. Both the internal UCOP Operations Team and system-wide Campus Support Team may be activated. 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

- Establish expected duration of meeting
- Confirm record keeping strategy for incident
- Review incident status
  - Receive briefing on incident
  - Evaluate immediate assistance needs/requests
- Define RST role
  - Define requirements for response
  - Evaluate and act on immediate assistance needs/requests
  - Identify need for ad hoc RST members
- Define Impact and Consequence Forecast Form*
  - Forecast incident impacts
  - Assess consequences
- Identify action items (use Action Items Status Form**) and assignments
- Administrative
  - Determine any extended response operations requirements (off hours)
  - 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.

RESPONSE SUPPORT TEAM ONGOING MEETING AGENDA

- Establish expected duration of meeting
- Review incident status
  - Receive update briefing on incident
  - Evaluate needs/request for assistance
- Review status of action items and progress (use Action Items Status Form*)
  - Update on key actions
  - Identify new action items and make assignments
  - Set deadlines
- Review/update Impact and Consequence Forecast Form** and assess/update impacts and consequences and define options
  - Discuss worst probable case forecasts
  - Pre-plan / stage any additional resources
- Administrative
  - Determine any additional response requirements
  - Review staff support and resource needs
  - Set next two meetings/review schedule (24-48 hours) in coordination with other response teams or meeting requirements

***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 (Broadway Building) to confer with the Emergency Manager and determine an appropriate course of action. The Chief Investment Officer's conference room (Broadway Building 14th floor, Room #14023) 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

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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:

STRATEGIC ISSUES TRACKING 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.				

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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:

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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

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7

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 system-wide 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 (UCOP Operations Team and/or System-wide Campus Support Team)
- 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. Broadway Building, CIO's Conference Room (14th floor, Room #14023)
2. Kaiser Center Conference Room #1217 (UCOP offices – 12th floor)
3. UC Berkeley Campus (report to Sproul Hall basement – Police Dept.)
4. Lawrence Livermore National Security Office (2300 First St, Suite 204, Livermore, CA)
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 National Security Office (2300 First St, Suite 204, Livermore, CA)

If only the Franklin Building is affected, the alternate Oakland sites are the Broadway 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 Security Office 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/risk-services/crisis-management/ucop-management-response-plan.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:

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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

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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.			

PROPRIETARY AND CONFIDENTIAL

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.				

PROPRIETARY AND CONFIDENTIAL

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:

Dial **9-987-0100** (or 987-0100 from outside line)
Press # then enter **99998**
Enter password: [redacted]
Press **9** for system manager access from main menu
Press **1** for system broadcast message

Press **1** to review current broadcast message
Press **2** to *record new broadcast message* (overrides previous broadcast message)
Press **3** to erase broadcast message

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

Send your email message to: **emergency@ucop.edu**
Include a 'subject line' note and mark the email 'high importance' (**!**)
Click on the "**Approve**" link in the follow-up confirmation email message (note this confirmation message will be sent to *all* authorized senders, so anyone can approve it).

If you do *NOT* receive the follow-up confirmation email message:
Log on to the UCOP LISTSERV webpage: **http://listserv.ucop.edu**
Log on using your UCOP *email address* and voice mailbox access *password*.
Click on "**List Moderation**" (upper left corner of webpage).
Check the "**All Moderators**" box.
Click "**Refresh**" (lower right side of webpage).
Check the box next to the message you want to send.
Select "**Approve**" from the 'Action' drop-down menu (lower right side of webpage).
Click on the "**Submit**" button (below the drop-down menu).

Your email message will now be distributed to all UCOP email addresses.
Click "**Log Out**" (upper right corner of webpage).

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

Dial voicemail access number: **(916) 497-1179**
Press ***** immediately to interrupt greeting message
Enter password: [redacted]
Follow voice prompts for 'changing personal greeting'
Press **4** to record 'new greeting' (your message) then # when finished
(Maximum message length is about three minutes)

4. To Post Message on UCOP *Webpage*:

Log on to UCOP emergency alert message webpage: **http://www.ucop.edu/em/**
Enter username: [redacted] and password: [redacted]
Enter text in webpage message box
Click "**Save this Text**"- then "**Preview Alert**"- then "**Post to Sites**"

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 'bulletined' 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

RIMS System Access: *user*: [redacted] *pw*: [redacted]

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	Emergency Phone Numbers Phone	Alternate Phone
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 – Terminology

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.