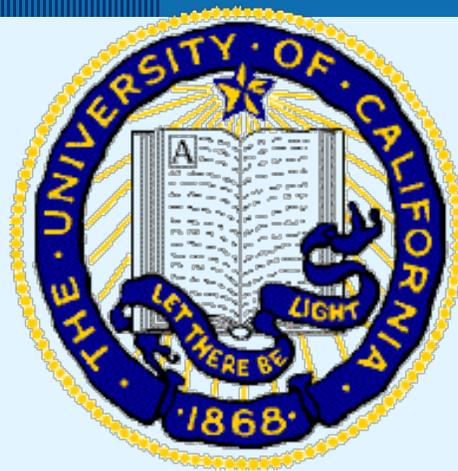


July 28, 2010

# **UCOP Crisis Communications Plan**

University of California Office of the President (UCOP)



## Record of Changes

Revision #	Issue Date	Summary of Revisions

Comments and recommendations regarding the content of the plan are welcome and should be directed to Lynn Tierney, AVP, Strategic Communications at [Lynn.Tierney@ucop.edu](mailto:Lynn.Tierney@ucop.edu), or at 510-987-9288.

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## **Introduction**

The purpose of this University of California Office of the President (UCOP) Crisis Plan is to document UCOP's process for effectively providing crisis communications support at the time of a crisis or potential crisis, for both physical events and issues or events which have the potential to cause reputational damage to UCOP and the UC system. How UC communicates to its stakeholders is critical for the reputation of the institution – particularly during a crisis, a period of increased external scrutiny.

The primary audience of this plan is the members of the UCOP Crisis Communications teams who are expected to implement the plan should a situation arise that warrants its activation.

## **Policy Statement**

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.

## **Plan Scope**

The Crisis Communications plan establishes the process to manage consistent and effective communications across all of UC stakeholders, including:

- Employees – union and non-union, faculty and staff
- Current and prospective students

- Governmental and regulatory bodies at the local, state and national level
- Media – traditional print & broadcast as well as social media and other on-line
- Alumni
- Parents
- Board of Regents

The scope of this plan is necessarily broad because of the range of issues or events which could trigger its activation, because of the diverse nature of UC's stakeholders, and because of the various roles the UCOP Crisis Communications team fulfills in support of the Management Response Plan (MRP), including:

- Support to the UCOP Management Response Team (MRT), when activated;
- Support to the UCOP Response Support Team (RST), when necessary;
- Support and coordination with communications teams across multiple locations on primarily reputational issues when neither MRT or RST is activated

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 processes.

## Terminology

A standard set of terminology is utilized throughout this Plan, and related plans to ensure clarity and consistency. These terms include:

**The Management Response Plan ( MRP )** -- 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 Management Response Team ( MRT )** -- 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.

**The Response Support Team** -- 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.

**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.

**Crisis** -- 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. The actual or potential crisis results from both the event itself and the impacts and consequences that result.

## Risks and Vulnerabilities

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:

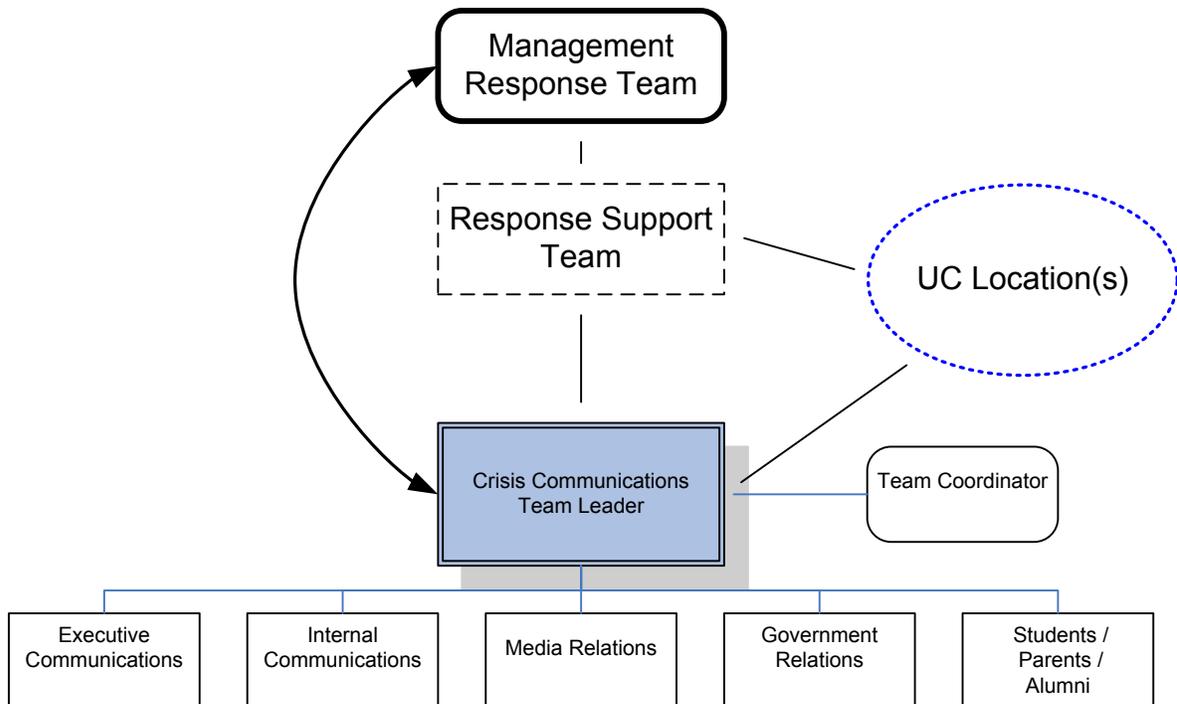
- *Emergencies* – Incidents that threaten human life, safety, health, property or the environment. Examples might include:
  - student or staff death (suicide or homicide) related to UC
  - student or staff violence
  - natural disasters
  - terrorism
  
- *Business Interruptions* – Incidents that interrupt 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 / Reputational Issues* – Situations of growing controversy or negative climate that threaten the reputation, organizational, legal, or financial stability of UC. Examples might include:
  - perception of ill-placed priorities or stewardship of public resources
  - social issues such as religious conflict, racial issues etc.
  - 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**.



## Organizational Structure

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.



## Roles & Responsibilities of the CCT

The primary responsibility of the CCT is to provide communications counsel to UCOP leadership regarding the potential reputational risks associated with key decisions and to develop a communications strategy and messaging platform in order to increase understanding of and support for UC's position and the steps it has taken. The CCT, when activated, is responsible for communications to *all* internal and external stakeholders.

The CCT is composed of the following positions

Function / Department	Primary	Back-Up
<i>CC Leader</i>	AVP, Communications	Media Director
<i>Team Coordinator</i>	Marketing / Comms Director	Director, Exec Comms
<i>Media Relations</i>	Media Director	Media Specialist
<i>Government Relations</i>	Deputy to the SVP	AVP, Director, State Government Relations
<i>Internal Communications</i>	Director, Internal Comms	Managing Editor
<i>Exec. Communications</i>	Director, Exec Comms	
<i>Students / Alumni / Parents</i>	Integrated Comms Director	

CCT Leader responsibilities include:

- Developing communications strategy and core messaging
- Primary liaison with the MRT Leader and member of the MRT;
- Primary liaison with communications staff across UC locations
- On-going strategic advice and counsel to MRT and RST members as required

CC Team Coordinator responsibilities include:

- Upon Activation, ensure the notification of all CCT members
- As directed by CCT Leader, schedule and coordinate CCT meetings
- Assist CCT Leader in setting agenda for each CCT meeting
- Ensure accessibility and equipping of the CCT Meeting location
- Assist CCT Leader in scheduling and setting agenda for UCOP-wide communications meetings and / or communications
- Coordinate with MRT / RST Coordinator(s) to schedule CCT meetings as required

Media Relations responsibilities include:

- Providing input into overall communications strategy based on likely concerns and raised by media as well as broader communications objectives

- Primary spokesperson unless incident or event suggests otherwise
- Materials development such as holding statements, media advisories, press releases, media-focused Q&As
- Reactive and proactive media relations, including organizing press conferences (either virtual or in-person) and for prioritizing and managing incoming media enquiries;
- Active media monitoring, rapid outreach & response to inaccurate information

Internal Communications responsibilities include:

- Providing input into overall communications strategy based on likely concerns raised by internal stakeholders, including faculty, staff and union leadership
- Materials development such as Intranet postings, internal FAQs or emails / memos from UCOP leadership explaining UC's position to internal stakeholders

Government Relations responsibilities include:

- Providing input into overall communications strategy based on likely concerns raised by local, state and national political leaders, influencers and regulators
- Providing talking points to share with other GR team members

Executive Communications responsibilities include:

- Developing any emails / blogs / video-postings / tweets or other proactive communications from the President of UCOP in support of overall external communications strategy

Student / Alumni / Parents communications responsibilities include:

- Developing supporting communications materials aimed at these stakeholder groups, working with Student Affairs and UC-wide colleagues as necessary

**3**

## Reporting, Screening and Activation

The general reporting, screening and activation process describes the process starting at the event or issue being identified and ending at the decision regarding how UC should best respond. The process for the crisis communications plan is and should be the same as the Management Response Plan.

In addition, this plan identifies an information gathering process to serve as an 'early warning system' on issues which could potentially grow more significant. This goes beyond the basic reporting process in the MRP and covers a range of reputational risks which are more likely to require the activation of the CCT than either the MRT or the RST. This early warning system is designed to:

- Facilitate information sharing prior to a significant issue or adverse event, and
- Allow UCOP to 'connect the dots' between seemingly isolated and location-specific events

### Reporting Process

The situations which are currently required to be reported by UC locations to UCOP are:

- 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

The defined information channel for reporting these events is to UC Risk Management. All of these could result in the activation of the Management Response Plan.

## Communications Early Warning System

The process to report events that have happened or are happening is quite clear. In addition, the following is a list of issues about which the CCT leader should be notified by the UC location communications staff if it is likely to become public:

- *Financial Stewardship issues* – including controversial compensation / benefits packages; financial management and perceived ill-placed spending priorities; employee benefits; alleged fraud
- *Academic issues* – controversial speakers or faculty; admission policies; quality of research or controversial research
- *Student Issues* – student protests, threats of violence
- *Social Issues* – including religious conflicts; racial issues; animal-rights
- *Operational Issues* – data breaches; NIMBYism over construction etc.; labor unrest / strikes

All of these issues are more likely to result in the activation of the Crisis Communications team.

Being informed about an issue or adverse event does not mean that the CCT is going to be activated. Rather, it serves as a mechanism to gather information about the events or risks that are present throughout the system. It is anticipated that in most cases, the CCT will not formally activate either because the issue is isolated to a single UC location or it can be managed through normal business processes. In other cases, the information shared by the campus could offer important information and insight into a broader issue which does have the potential to cause significant reputational risk to UC as a system.

## Incident Screening

The screening team is responsible for making the decision about how UCOP should respond. Based on an assessment of the facts as known, the screening team can decide if:

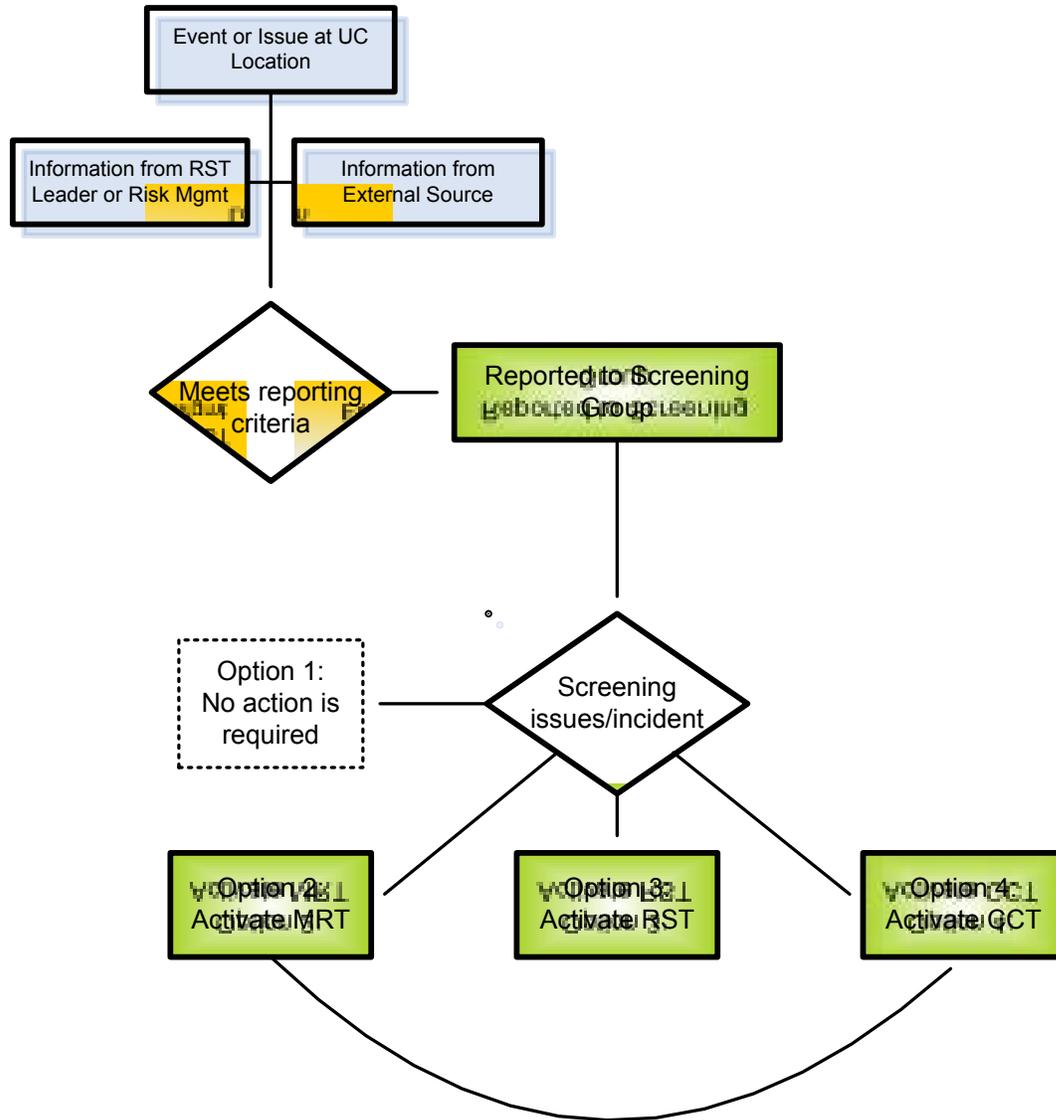
- 1) No UCOP response is necessary
- 2) The MRT needs to be activated (full activation)
- 3) The RST needs to be activated (partial activation)
- 4) The CCT only needs to be activated

The screening team is the head of the MRT, the head of the RST and the head of the CCT.

Specific triggers for activation of the CCT team alone would include:

1. Significant and sustained internal and external communications required to mitigate risks caused by on-going, negative issue.
2. Significant state and/or national media attention occurring at a time of particular sensitivity to UC increasing the likelihood of multiple issues converging and increasing scrutiny on UC decision-making and leadership i.e., state budget negotiations, Regents meetings etc.

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



## Activation

The CCT is required to operate under three different scenarios:

1. MRT Activation – The CCT will automatically be activated if the MRT is activated
2. CCT Activation Only – There will be instances, particularly likely regarding the issues outlined in the Early Warning System when the CCT will work independently, without either the MRT or the RST being activated.

3. RST Activation – The screening group will decide whether in the case of a partial activation (i.e. RST only activated), if it is necessary for the CCT to also become activated or whether the usual operations of the communications department will provide sufficient support to both the RST and the UC Location as required.

## Notification

The CCT Coordinator is responsible for notifying members of the CCT that the team is activated. Roster information is contained in appendix B of this plan.

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](tel: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 CCT 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 CCT 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. 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 is required to operate remotely by conference call and internet. Instructions for the mode of operation will be part of the notification message provided.

# 4

## Concept of Operations

This plan is designed to identify and define a process to manage UCOP's communications response to issues or events which cannot be handled as effectively through UCOP's normal structure and processes. The plan's concept of operations defines the policies and processes which will help the CCT operate effectively as a team during the crisis as well as ensuring coordination with other UC locations, and with the MRT and RST as required.

This section includes information on

- Approval processes and policy
- Spokesperson selection
- Information clearing house
- Reporting
- Meeting requirements
- Key Tools

## Approval Process

When the CCT has been activated, *all* external and internal communications need to be explicitly approved by the CCT leader, even those ostensibly unrelated to the issue at hand. Unrelated communications activities may have an impact on the perception of the effectiveness of the response, reputation or priorities of UC and will be put on hold until they have been evaluated individually.

It is the responsibility of each team member to report upcoming, planned communications activities in their area (press releases, newsletters, speeches, announcements, events etc.) which may, depending on the issue at hand, either continue to move forward or which may need to be delayed or reconsidered completely.

At the time of a crisis, timeliness in communication is critical, delays often undermining credibility of the overall management of the issue and providing more opportunity for other

voices – including those critical of UC – to define the issue and shaping the overall environment in a negative light which will exacerbate the potential reputational risk to UC.

*Only CCT:* Approval of core messaging and key external documents (such as a press release) will be approved by either the President of UCOP or if unavailable by the MRT leader. A maximum, 60 minute turn-around time between being approved by the CCT leader and final approval would be considered best practice.

*MRT activated:* The MRT is responsible for approving key messages. Specific, derivative documents will contain those key messages will only need to be approved by the CCT leader, not by the MRT unless specifically requested.

## **Spokesperson Selection**

At the time of a crisis, it is important that one person is identified as the UCOP spokesperson and that person continues in that role until the team is deactivated. The Media Relations representative is the default spokesperson for UCOP when the team is activated rather than the CCT leader, who will have broader team responsibilities including meeting with and reporting to the MRT, RST, other campuses etc. If due to the specific issue at hand or other extenuating circumstances, it is preferable to select a different spokesperson for the incident, that issue will be decided at the initial meeting of the CCT. The spokesperson will:

- Speak on-the-record with reporters from all prioritized media;
- Conduct press conferences;
- Serve as primary quoted attribution in holding statements etc.

None of the above precludes the ad-hoc and strategic use of UCOP leadership to further communication objectives, as long as it is limited and does not impede their ability to fulfill their primary functions during the crisis.

## **Information Clearinghouse**

At a time of crisis, inconsistency in policy positions and messaging between UCOP or between different campuses has the potential to confuse stakeholders and can undermine the perception of UC being a well-managed enterprise. With separate communications teams on each campus and medical center potentially needing to respond to their own constituents, the UCOP CCT has an important role to play in providing consistent messaging across the system.

When activated, one of the roles of the CCT will be to serve as an information clearinghouse for the rest of the UC system communications teams. Activities will include the following:

- Daily email with key messaging, Q&As and any reactive media statements or proactive press releases that will be used (shared in the form of an issues brief, see appendix A);
- Daily call with the UC-wide team to discuss strategy and messaging as well as location-level response efforts and stakeholder concerns; clarification on location-level response and UCOP-level response etc. The call will be scheduled at a consistent time throughout activation.
- Distribution of issue-specific clips, pulled from UC Daily Clips service, to the UC-wide team.

Appendix B includes the latest roster of UC system wide communications contacts.

## **Reporting**

When activated, the CCT leader will report to the RST and MRT lead on at least a daily basis to provide an information update as well as to reassess whether or not the issue needs additional support and resources or potentially the activation of the RST or MRT teams.

*(add)*

## **Meeting Requirements**

If the CCT activates, formal meetings are scheduled by the team's Coordinator and conducted following a structured format to maximize the efficiency and effectiveness of the response effort. 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.

It is the responsibility of the CCT Coordinator to schedule these meetings so as not to conflict with the MRT or RST meeting schedules. This will allow information sharing across teams and for the CCT leader to brief the respective teams on progress, new issues or other strategic considerations for overall response.

**Agenda...**



## **Capability Maintenance**

## Appendix A: Tools and Forms

This appendix includes templated materials to be used by the CCT. Some of these templated materials are used in everyday communications activities, others are new forms designed specifically to assist the CCT perform its function effectively. Forms include:

**UCOP Issues Brief** – The role of this form is to be the primary document which provides background information on an issue, media holding statement and then detailed Q&As to assist effective media relations across the UC system. This will be shared with all UC system communications leaders during the time of activation. It will also serve as a way to institutionalize knowledge and positions.

CRISIS ISSUES BRIEF: CONFIDENTIAL: FOR INTERNAL USE ONLY	
University of California Office of the President Date: As of XX	
Primary UCOP Contact: UC Locations Affected: X and Y	
Issue Overview: Student Protests	
Brief summary of issue / event, key decisions	
Approved Media Statement	
Oakland, CA: XXXXX	
Key Messages	
Sensitive Q&As (reactive only)	
Q.?	

**UCOP Collateral Tracking Form** – At the time of a crisis with a broad variety of stakeholders who will have a variety of information needs via a variety of channels, this form is designed to capture all communications document requirements, identify ownership, help prioritize, provide information on document status and its final use. It is designed to facilitate discussion at CCT meetings and help identify new information needs.

<b>UCOP COLLATERAL TRACKING GRID</b>						
<b>Item #</b>	<b>Doc Owner</b>	<b>Description</b>	<b>Status</b>	<b>Time Needed?</b>	<b>UCOP Approved?</b>	<b>In Use?</b>
1.		Press release	Completed	5pm	pending	
2.		Fact sheet	In development			
3.		Employee email				
4.		Web-posting				
5.		Issues brief				
6.		Letter to X				
7.		Email to Y				
8.		FAQ for website				
9.		UC President Facebook posting				
10.		Updated internal Q&As				

**UCOP Press release**

UCOP Media statement

UCOP X

UCOP Media Tracking form





## **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 CCT Meeting Location:***

XX Conference Room (Franklin Building 12<sup>th</sup> Floor)

Alternate CCT Locations:

1. A

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.

#### **Website**

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



## Appendix B: Contact Lists

1. Contact list of CCT Members and Back-ups
2. UC-Wide Communications Staff
3. Key Media / External Stakeholder Contact information

<b>UC-Wide Communications Staff Contact Information</b>			
<b>Contact</b>	<b>Email</b>	<b>Phone</b>	<b>Alternate Phone</b>
<b>BERKELEY</b>			
<b>LAWRENCE BERKELEY LAB</b>			
<b>LAWRENCE LIVERMORE LAB</b>			
<b>DAVIS</b>			
<b>DAVIS MEDICAL CENTER (Sacramento)</b>			
<b>IRVINE</b>			
<b>IRVINE MEDICAL CENTER (Orange)</b>			
<b>LOS ANGELES</b>			
<b>LOS ANGELES MEDICAL CENTER</b>			

<b>MERCED</b>			
<b>RIVERSIDE</b>			
<b>SAN DIEGO</b>			
<b>SAN DIEGO MEDICAL CENTERS</b>			
<b>SAN FRANCISCO</b>			
<b>SANTA BARBARA</b>			
<b>SANTA CRUZ</b>			
<b>LOS ALAMOS LAB (New Mexico)</b>			
<b>UCOP</b>			

## **Appendix E:**

### **UCOP Broadcast Emergency Messaging**

1. To Send Broadcast *Voicemail* Message:

[Redacted]

[Redacted]

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

[Redacted]

[Redacted]

[Redacted]

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

[Redacted]

