



Emergency Response Plan

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(Revised January 2009)

Letter of Promulgation

To the greatest extent possible, the University of Alabama in Huntsville provides a safe and secure environment. The University has recently developed and implemented this updated Emergency Response Plan. It has been prepared to facilitate the most effective and efficient response effort for the utmost benefit and protection of the university community in a time of emergency and disaster recovery.

While no plan can completely prevent a critical incident, good plans carried out by knowledgeable and well-trained people can and will reduce losses. This plan establishes the emergency organization structure, specific policies, general procedures, and provides a coordination platform for the various emergency staff and service elements, utilizing the National Incident Management System (NIMS) and the Incident Command System (ICS).

Detailed within the plan is the framework for coordination and full mobilization of University assets. This includes clarification of the University's strategies for mitigating, responding to, and recovering from an emergency. Parts of this plan are also intended for use in planning and conducting special events and large-scale gatherings. Personnel and departments assigned specific emergency tasks must have a working knowledge of the roles and actions described herein. Departments not tasked with specific emergency action items are also required to conduct emergency planning to ensure a rapid and decisive continuation of normal University operations.

An annual assessment and review of the plan will be conducted in conjunction with a rigorous exercise and testing process to ensure the plan is current and effective. The University administration supports this plan and urges all students, faculty, and staff to do their part in the total emergency response preparedness of the University of Alabama in Huntsville.

The University of Alabama in Huntsville Emergency Response Plan is hereby approved. The plan takes effect immediately and supersedes all previous editions.

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President

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Table of Contents

I.	Executive Summary	3
II.	Introduction	4
III.	Purpose	4
IV.	Policy Statement	5
V.	Scope	6
VI.	Assumptions	7
VII.	University Emergency Management Structure	7
	A. Organization	7
	B. Individual Roles and Responsibilities	10
	C. Department Roles and Responsibilities	14
	D. Incident Command System (ICS) Structure	18
	E. Activation of Plan, Groups, and Emergency Operations Center	19
	F. Staffing of the Emergency Operations Center	20
	G. Organization for Planning	20
VIII.	Actions by Phases of Emergency Management	21
IX.	Preparation and Maintenance of Emergency Plans and Annexes	22
	A. Plan Preparation	22
	B. General Planning Responsibilities	22
	C. Publication of Approved Emergency Plans and Annexes	25
	D. Plan Revision	26
X.	Emergency Response Training and Exercises	27
	A. Training Requirements	27
XI.	Definition of Terms	28

Appendix A: National Incident Management System (NIMS) Implementation and Training Requirements

Appendix B: Guidelines for Department / Building Emergency Planning

Appendix C: Continuity of Operations (COOP) Planning Process

Appendix D: Emergency Operations Centers

UAHuntsville Emergency Response Plan

I. Executive Summary

A. Policy

Administrators, Deans, Department Chairs, and Center Directors at the University of Alabama in Huntsville should prepare, coordinate, and maintain up-to-date emergency preparedness and continuity of operations plans in accordance with this ERP. The UAHuntsville Emergency Management Coordinator shall coordinate, prepare, and maintain the University level plan, and shall provide resources and guidance to all University departments and organizations in the development and maintenance of their emergency response planning.

B. Purpose

The purpose of emergency response and continuity of operations planning is to improve readiness and speed response to and recovery from natural or man-made disasters. The focus of emergency response planning is to protect lives and property. While the value of emergency response plans is clearly evident, business continuity and business recovery plans are often overlooked.

Continuity of Operations Planning (COOPS) assists organizations at all levels to continue to function through disruptive incidents. The process of preparing such plans often allows an organization to improve communications, functional assignments, and internal priorities. The small investment of time and effort in preparing such plans is minimal when compared to the massive work required following a major incident in the absence of plans.

C. Responsibilities

The University Emergency Response Plan is the responsibility of the Emergency Management Coordinator.

Administrators, Deans, Department Chairs, and Center Directors should develop emergency, contingency, business continuity and business recovery plans for their organizations. The Emergency Management Coordinator is available to assist in preparation of these supporting plans and shall retain a copy of any organizational level plans.

Additionally, UAHuntsville Facilities Administration, Department of Public Safety (DPS), and Office of Environmental Health & Safety (OEHS) have prepared materials to assist in preparing plans, such as the Planning Handbook and the Generator's Guide to Hazardous Material/Waste.

II. Introduction

The UAHuntsville Emergency response plan is established to address a multitude of potential issues facing the campus community. This blanket plan applies to all UAHuntsville departments, organizations, and entities, both on campus and/or under the direct control or supervision of UAHuntsville personnel. Additionally it is the responsibility of the departments and building occupants to develop their own local / emergency plans based on the requirements of this plan document.

This plan and the associated department plans, annexes, and appendices must be dynamic in nature and will be revised as required to reflect the University's changing needs for emergency preparedness and response. The Emergency Response Plan should be incorporated into all policies and procedures within the University community to ensure the preparedness to meet an emergency situation if one should occur. An emergency situation is not the appropriate time to read the Plan. Greater value will be achieved when the plan is used before an event occurs to understand how to react in various situations. Through this use, it is expected that if an emergency or crisis occurs, the UAHuntsville community will react in a calm and effective manner.

In addition to initial response to an emergency situation, the ERP provides for Continuity of Operations (COOP) planning. Continuity of Operations planning utilizes the concept of business impact analysis to identify critical and time sensitive functions. A business impact analysis will also help identify vital resources and prioritize recovery assets. This analysis can be useful in determining any special needs such as business interruption insurance.

In general, a complete University level plan would include a basic plan or University level annex with appendices as required and organizational level supporting plans from those organizations identified in the University level plan or annex with specific responsibilities or tasks.

A complete organizational supporting plan will include sufficient detail to ensure accomplishment of the responsibilities or tasks assigned an organization in the University level plan.

III. Purpose

The University of Alabama in Huntsville Emergency Response Plan (ERP) outlines the University's procedures for managing major emergencies that may threaten the health and safety of the campus community, disrupt its programs and activities, or require assistance for the surrounding communities. The ERP identifies departments, agencies and individuals responsible for emergency planning, emergency response, business continuity and business recovery planning. The ERP establishes procedures to prepare for

emergencies, as well as the management structure for coordinating and managing response to emergency situations.

The UAHuntsville Emergency Response Plan is designed to enable the University to respond to an emergency situation in a safe, effective, and timely manner. University personnel and equipment will be utilized to accomplish the following priorities:

- Protection of Human Life
- Protection of University Property and Assets
- Continuation of Mission Critical University Operations
- Restoration of University Services after an Incident
- Mitigation of Hazard Vulnerabilities

IV. Policy Statement

The University of Alabama in Huntsville (UAHuntsville) Emergency Response Plan (ERP), incorporating all annexes and addendums, has been designed as a contingency manual for University administrators in order to plan for and respond to campus emergencies. While this guide does not cover every conceivable situation, it does supply the basic administrative guidelines necessary to cope with most campus emergencies.

The University policies and procedures herein will be followed by all administrators whose responsibilities and authority cover the operational procedures found in the Plan. Campus emergency operations will be conducted within the framework of University guidelines, the National Incident Management System (NIMS) and related Incident Command System (ICS), and the National Response Framework (NRF). Any exception to these crisis management procedures will be conducted by, or with the approval of those University administrators directing and/or coordinating the emergency operations.

All requests for procedural changes, suggestions, or recommendations will be submitted in writing to the Emergency Management Coordinator for technical review. All changes recommended by the Emergency Response Coordinator will be submitted in writing to the Emergency Management Operations Group for review and comment and then forwarded to the Policy Group for final approval. All changes approved by the Policy Group will then become part of the overall Emergency Response Plan.

The UAHuntsville Emergency Response Plan shall be the primary source for guiding University administration when confronting emergency situations at UAHuntsville. It is recognized that in addition to the procedures outlined in this manual, there are areas of campus that have specific procedures to be followed in the event of an emergency. These additional emergency procedures shall continue to remain in place as long as they do not conflict with the basic procedures and polices contained within this document.

The UAHuntsville Emergency Response Plan, as adopted below, supersedes any previously developed and/or implemented policy and procedures which reference campus wide emergency situations that had been in effect. This policy manual shall be reviewed and updated annually each October.

The Administration of the University of Alabama in Huntsville expects all Administrators, Deans, Department Chairs, and Center Directors to prepare emergency action and business continuity and recovery plans for their respective units. Departments and organizations should appoint a planner to coordinate these plans with the University Emergency Management Coordinator, and should review these plans annually.

The Emergency Response Plan has been reviewed by the Policy Group and approved by the President of the University.

In the event of conflict between this plan and existing University policies, procedures, and plans, this plan shall have precedence, except as noted herein. Those University officials with authority to approve other policies, procedures, and plans on behalf of the University will be familiar with this Emergency Response Plan, and ensure conformity to it.

This plan is not intended to supersede federal, state, or local legislation and regulations. In the event of conflict between this plan and such legislation, the legislative provisions shall prevail.

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V. Scope

The University of Alabama in Huntsville Emergency Response Plan (ERP) outlines the preparedness, response, recovery, and mitigation steps of University personnel and resources for emergency situations. It is consistent with established practices relating to coordination of resources through the use of the National Incident Management System (NIMS). It applies to a broad range of emergencies and may be activated during natural or man-made emergency incidents, to include but not limited to: fire, flood, hazardous material spills, severe storms, terrorist attack, or other situations requiring evacuation of facilities.

These procedures apply to all personnel, buildings and grounds, owned, operated or under the supervision and control of The University of Alabama in Huntsville (UAHuntsville). This policy also includes all peripheral areas adjoining the University.

This Plan shall be subordinate to federal, state, and local government plans during a disaster declaration by those authorities. This Emergency Response Plan is consistent with established practices relating to coordination of emergency response activities. Accordingly this plan incorporates the use of the Incident Command System (ICS) to facilitate interdepartmental coordination, and to promote common terminology and command structure with outside agencies.

The University will cooperate with federal, state, and local emergency management agencies and other responders in the development, implementation, and execution of its emergency response plans. Nothing in this Plan shall be construed in a manner that limits the use of good judgment and common sense in matters not foreseen or covered by the elements of the Plan.

The University shall prepare for three different scenarios with the potential to affect its operations. These are:

- **Incidents occurring within the University** – these include incidents where University personnel are expected to take an interactive role in the management of all aspects of the incident including coordination with mutual aid responders.
- **Incident outside the University but affecting its operations** – these include incidents in the surrounding community with minimal effect on campus but may influence a decision to suspend some or all campus activities.
- **Incidents outside the University not affecting its operations** – these include incidents in the surrounding community with no impact on the ability of the University to continue its operations but the University may be asked to render assistance to one or more local agencies or mutual aid partners.

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VI. Assumptions

The UAHuntsville Emergency Response Plan is predicated on a realistic approach to the problems likely to be encountered during a major emergency or disaster. The following assumptions are made and should be used as general guidelines for reading this plan and used for preparations of Department / Building Emergency Plans:

- **An emergency or disaster may occur at any time:** day, night, weekend or holidays.
- **The succession of events in an emergency or disaster is not predictable.** Therefore, published operational plans, such as this Plan, should serve only as a guide and may require field modification in order to meet the requirements of the emergency.
- **An emergency or a disaster may be declared if information indicates that such conditions are developing or probable.**
- **Disasters may be community-wide.** Therefore it is necessary for the University to plan for and carry out disaster response and short-term recovery operations with or without aid from local resources.

VII. University Emergency Management Structure

A. Organization

The University's Emergency Response Plan consists of five major components:

- Policy Group
- Emergency Management Operations Group (EMOG)
- Emergency Support Function Response Annexes
- Specialized Departmental Plans
- Building Emergency Plans

To manage emergency incidents the University of Alabama in Huntsville utilizes a tiered structure involving a **Policy Group** and an **Emergency Management Operations Group**. The **Policy Group** is formed around the President's Executive Committee, serves as an advisory board for the President, and provides strategic guidance during incidents. The **Emergency Management Operations Group** oversees operational emergency response and special event management.

Policy Group

The Policy Group consists of the following personnel:

- President
- Provost & Vice President for Academic Affairs
- Vice President for Student Affairs
- Vice President for Finance and Administration
- Vice President for Development
- Vice President for Research
- University Counsel

The purpose of the Policy Group is to provide strategic direction to any incident that impacts the ability of the University to perform its critical business functions. The President will act as chair of the Policy Group and convene the group as necessary to review readiness and provide guidance to the Emergency Management Operations Group.

Emergency Management Operations Group

The Emergency Management Operations Group (EMOG) is drawn from organizations involved directly in managing emergencies or large-scale events and includes management level representatives from the following agencies:

Athletics
Facilities Administration
Facilities
Finance and Budgets
Accounting & Financial Reporting
Student Housing
Information Technology
Telecommunications
Environmental Health and Safety
Academic Deans

Human Resources
Payroll Services
Business Services
Financial Services
University Relations
Public Safety
University Center
Student Affairs
Emergency Management Coordinator

EMOG Membership: The EMOG includes both primary and alternate members. Primary members are department heads familiar with their unit's planning and operating responsibilities. Alternate members are also management personnel who are familiar with their unit's planning and operating responsibilities. Alternate members direct and execute their Unit Emergency Response Plan responsibilities in the absence/unavailability of the primary member. Members and alternates must also be available during a crisis situation.

EMOG Structure: The Emergency Management Operations Group is organized under the Incident Command System (ICS), and during an emergency will be headed by the University Incident Commander.

The Assistant Vice President, Facilities and Operations, will act as chair of the Emergency Management Operations Group (EMOG). The EMOG will meet bi-annually (June and December) to discuss plans and readiness and will convene as required for emergencies, incidents, or large-scale events.

Emergency Support Functions and Response Annexes

Incidents occurring at the University may require the assistance of the personnel and equipment resources of the University, City of Huntsville, Madison County, and other agencies of the State of Alabama. The resources of these local and state response agencies may be needed to stabilize the incident and begin the necessary recovery efforts. Lead units/departments of the University will be expected to coordinate with these external resources within their respective emergency support functions during the response and recovery efforts.

Individual functional areas within the University will develop Response Plans to specific types of incidents to identify key personnel and define specific responsibilities and procedures to mitigate the specific threat, determine equipment and supply needs to support their emergency and/or recovery functions, train response and recovery personnel, and provide guidelines for demobilization and recovery operations.

Specialized Departmental Plans

Several offices have critical responsibilities necessary to allow the University to meet its mission requirements. All departmental offices are required to have individual Continuity of Operations (COOP) Plans to outline their specific tasks for the duration of an emergency incident. Specific information from these plans will be included in the Incident Command System (ICS) initial Incident Action Plan (IAP) and monitored throughout the incident by the Planning Section Chief and included, as necessary, in the operational period's Incident Action Plan. The Incident Commander may work with the Department Manager to determine appropriate staffing, alternate means of communications, security, essential services, and operational guidelines necessary for continued business operations deemed necessary during the incident.

Building Emergency Plans

These are building or area specific plans developed to reduce the risk of life or property loss through preparation for foreseeable events. At a minimum they will address emergency response procedures, evacuation routes, evacuation assembly locations, sheltering in place, and building/floor/departamental captain appointments. These plans are location specific plans written by the individual departments in coordination with the Office of Environmental Health and Safety (OEHS) and the Public Safety (PS) department. Each departmental level plan shall include Building Emergency Plan(s) appropriate for the department.

B. Individual Roles and Responsibilities

President

This plan is promulgated under the authority of the President of the University or a designee. The President is the final approving authority of the University's Emergency Response Plan. All decisions concerning the discontinuation of university function, cancellation of classes, or cessation of operations, rest with the President or his/her designee. After consulting with the University Incident Commander, the President shall be responsible for declaring a major institutional emergency. In the absence of the President, his/her designee becomes, in succession, the Provost, the Vice President for Finance and Administration. The President shall, at his/her discretion, serve as the official spokesperson for the University while the Emergency Response Plan is in effect.

Policy Group

The Policy Group will provide advice to the University President or designee when setting policy and assisting with major decisions during an emergency that significantly affects the operations of the University. The Policy Group will provide counsel in incident stabilization involving major expenditures or policy decisions beyond the authority of the Emergency Management Operations Group (EMOG), and as needed to complete stabilization. The Policy Group has a significant role in deciding University policy issues during an emergency that disrupts the operation of the University.

Many incidents require multi-agency and/or multi-jurisdictional response. Members of the Policy Group should be aware of the National Incident Management System (NIMS) and Multi-Agency Coordination Systems (MACS) functions to ensure cooperative and properly coordinated response efforts.

Emergency Management Operations Group (EMOG)

EMOG personnel are responsible for the evaluation of information from various sources during an actual event and act as an advisory group to the University Incident Commander. EMOG team members are responsible for the review, discussion, and

recommendation for all updates, revisions, and additions to the University level Emergency Response Plan, corresponding checklists, and annual updates. EMOG members must have decision-making authority within their respective areas, and must be fully trained and qualified in NIMS, ICS, and COOP.

In order to ensure a controlled and coordinated emergency response, the collective responsibilities of the EMOG include:

- Advise and support the decisions of the University Incident Commander
- Order and implement an emergency evacuation of any facility on campus, or the entire campus if necessary
- Order and implement the emergency use of an athletic or cultural facility as an emergency shelter, preempting any other scheduled use of such facility
- Authorize and establish restrictions pertaining to entry of a closed facility, in cooperation with and in recognition of the directives of local law enforcement and emergency response authorities
- Order and implement the temporary emergency sheltering of students living in on-campus housing
- Order and implement the closing of the University campus and facilities to general visitor access and/or restrict access by students, faculty, and staff
- Commit the University to emergency expenditures, with a total not to exceed \$50,000.00 without prior approval from the Policy Group and/or the Vice President for Finance and Administration
- Develop Incident Action Plans (IAP) for addressing pending or imminent emergency incidents and to implement those plans if needed

Director of Public Safety / Chief of Police

The Director of Public Safety serves as an advisor to the University President, the Policy Group, and other University personnel for emergency mitigation information. The director may act as a liaison between the President, Policy Group, EMOG, and the Incident Commander. The director is an active member of the EMOG.

University Incident Commander

The University Incident Commander is responsible for all actions associated with the on-site incident response. The Incident Commander must be able to quickly assess an emergency situation, determine the level of impact, assess the effect, contain the incident, and delegate responsibilities to command and general staff personnel. The Incident Commander has the full authorization to implement the operational and tactical aspects of this Emergency Response Plan.

The University Incident Commander shall initially be the University's first responder, such as a Police Officer or Environmental Health & Safety staff member. Incident Command

shall at the earliest opportunity be transferred to the individual best qualified for the specific response situation. This may include, but is not limited to, the Director of Public Safety, Director of Environmental Health & Safety, Executive Director of Facilities. The Incident Commander may also be supplied by a responding agency such as Huntsville Fire/Rescue, Huntsville Police, or the Emergency Management Agency. In the event of a long term response and recovery event, the University President shall appoint a long-term recovery Incident Commander.

Emergency Management Coordinator

The Emergency Management Coordinator is a member of the EMOG and is responsible for the maintenance of the University level Emergency Management Plan. The Emergency Management Coordinator consults directly with the University Incident Commander during an actual emergency, and may serve as Liaison Officer in a multi-jurisdictional or multi-agency response effort. The Emergency Management Coordinator works with the administration, department heads, and department planners to provide resources, guidance, and assistance for establishing and maintaining emergency preparedness plans. The Emergency Management Coordinator is responsible for maintaining the University level Emergency Response Plan.

Director, Student Health Services

The Director of Student Health Services should ensure that the University's Medical Emergency Response Plan is both current and operational, and should be able to lead its implementation when directed to do so. The Director shall develop plans and procedures to organize emergency medical aid and triage to injured students and provide assistance to emergency medical service responders. The Director of Student Health Services should identify resources and develop plans and procedures for necessary for managing isolation/quarantine as required by law and as directed by the EMOG.

Director, Student Housing

The Director of Student Housing shall have the authority to activate the EMOG. The Director should identify resources and create plans for providing temporary emergency shelter to students living in on-campus housing. These plans should include resources and procedures for providing emergency transportation to such shelters. The Director of Student Housing should additionally develop plans and procedures for the evacuation of student housing structures, and such planning should include provisions for accounting for all students and visitors for each housing structure. Planning should also include identifying resources and developing plans for the registration of persons temporarily displaced from their campus residence, and for implementing emergency contact programs for displaced students.

Floor Captains

Floor Captains are pre-identified for buildings or areas. They are responsible for the pre-planning and activation of plan elements at a local level (e.g. building / area specific plans).

Building Captains will be selected from among volunteer Floor Captains of that location by the Office of Environmental Health and Safety (OEHS) in conjunction with the location Floor Captains. Building Captains will act as the primary information conduit and action officer with the Emergency Operations Center for their area of responsibility. Building and Floor Captains must be seen as leaders during emergency operations. To further expedite emergency planning, Departmental Representatives will be pre-identified as needed to expedite information flow from separate departments to Floor Captains, Building Captains, and the EOC.

In conjunction with the Office of Environmental Health and Safety, and with guidance from the Emergency Management Coordinator, Building Captains are required to:

- Develop evacuation plans in conjunction with OEHS for his/her building
- Assign personnel to perform various evacuation functions
- Maintain a written copy of the building evacuation plan
- Conduct periodic evacuation drills
- Revise the evacuation plan as necessary
- Train Floor Captains and Departmental Representatives in evacuation procedures and specific duties

All positions require annual refresher training in emergency response roles and responsibilities. Said training will be conducted for each building or area annually by OEHS. This training will be coordinated through the acting Building Captain and OEHS.

Faculty and Staff

Faculty members and staff are seen as leaders by students and their peers, and should be prepared to direct them to assembly areas in the event of a drill or actual emergency. Every member of the Faculty and Staff should be familiar with applicable emergency plans by familiarizing themselves with emergency procedures and evacuation routes. Faculty and Staff must be prepared to assess situations quickly but thoroughly and use common sense in determining a course of action.

All Faculty and Staff are responsible for emergency preparedness planning for their own work areas and securing their work areas in the event of an emergency. Work areas need to be secured in advance of certain weather systems.

It is the responsibility of all University Faculty to point out their building emergency evacuation routes and emergency procedures to students at the beginning of each semester.

Students

All students should familiarize themselves with the emergency procedures and evacuation routes in buildings in which they live or use frequently. Students should be prepared to assess situations quickly but thoroughly and use common sense in determining a course of action. They should evacuate to assembly areas in an orderly manner when directed to do so by emergency personnel or when an alarm sounds.

Faculty, Staff and Students should also be able to execute safety procedures as outlined in the appropriate Incident Response Plan.

C. Department Roles and Responsibilities

University Relations

- Together with the University Public Safety department, maintain and update emergency messages on the UAHuntsville Emergency Website (<http://emergency.uah.edu>) during in an emergency.
- Coordinate all information disseminated to the press and the public
- Provide for rumor control and emergency communications
- Assign specific individuals (primary and alternate) to serve as the University's Public Information Officer (PIO), who shall disseminate information and maintain contact with the following:
 - Students
 - Faculty and staff
 - Parents
 - Government agencies and civil authorities
 - News media (TV, Newspapers, etc.)
 - Financial relationships
- The PIO shall provide for a consistent "one-voice" to the news media and all other interested parties

Public Safety

- Send "3N" alerts when directed by the President or Incident Commander
- Together with University Relations, maintain and update emergency messages on the UAHuntsville Emergency Website (<http://emergency.uah.edu>) during in an emergency.
- Preserve law and order, and University security
- Monitor and disseminate warnings and threats
- Provide traffic and crowd control
- Direct evacuation efforts
- Control access to buildings and scene of the disaster
- Interface and coordinate with local Police, Fire/Rescue, EMA, Emergency Medical Services entities to implement written mutual assistance agreements
- Maintain the University communications center on a continuous basis
- Provide for emergency transportation and/or parking for essential personnel

Facilities and Operations

- Assist and advise the Incident Commander for Mode 2, 3, and 4 emergencies when Building or Environmental Emergencies occur
- Develop and maintain building evacuation drawings
- Provide for the structural security of buildings
- Provide utility services and, as necessary, shut down utility services
- Provide for emergency water and sanitation

- Develop mitigation plans for safeguarding, maintaining, and restoring the utilities and physical infrastructure of the University
- In the event of a pending emergency, secure the University grounds and building envelopes
- Distribute supplies to Faculty and staff to secure building contents
- Clear and remove debris
- Conduct building damage assessments/determine if buildings are safe
- Repair buildings
- Maintain the Emergency Operations Center (EOC)
- Develop plans for the procurement of emergency building supplies in the event of an emergency situation
- Maintain spatial inventory of all University facilities to allow rapid identification of alternate classroom and/or office space to house displaced academic or administrative entities

Office of Environmental Health and Safety

- Assist facilities in damage assessment and building condition reports
- Maintain information on the content and location of hazardous material, chemical, biological, radiological, and fire safety hazards
- Provide for emergency response to HAZMAT release
- Provide compliance assistance on applicable codes and regulations

Accounting and Financial Services

- Together with Human Resources, maintain the continuity of Payroll Processing Services
- Ensure that emergency funds are available for expenditure as university priorities change during periods of crisis
- Maintain accurate financial and administrative records in periods of changing priorities and emergency decisions
- Maintain complete and accurate financial records for all emergency related expenditures

Business Services

- Maintain Mail Services operations
- Maintain Telecommunications services
- Maintain Procurement services and facilitate emergency procurement of goods and services
- Maintain Receiving and Distribution services
- Facilitate emergency procurement of goods and services
- Assist with transportation and distribution of supplies to emergency responders, the Emergency Management Operations Group, and individual departments as needed
- Together with Risk Management officials, assess the value of University property: buildings, building contents and other University assets
- Secure and maintain appropriate insurance

- Together with Risk Management officials, handle documentation and submission of insurance claims

Registrar

- Develop plans to reschedule classes

Information Technology Support (ITS)

- Maintain the readiness of the “3N” system to broadcast emergency messages
- Maintain the operation of internet, intranet, data, video and wireless communications services
- Implement proper backup controls and redundancies to maintain critical services
- Properly document all hardware and its configuration; develop a plan for hardware replacement and setup
- Develop adequate information security controls
- Maintain a records management plan that duplicates data on a regular basis and secures this information at a remote location
- Develop and maintain a plan to perform critical applications at a remote site
- Assist with the disablement or denial of access to existing facilities and equipment

Academics/Colleges

- Develop procedures to communicate with and account for teaching faculty in emergency situations
- Develop plans to identify alternate facilities where University activities can be conducted in the even of the destruction of or denial of access to existing facilities
- Identify and prioritize critical support services and systems
- Develop and maintain plans for Continuity of Operations (continuation of classes) after an emergency

Office of Student Affairs

- Develop plans for Mode 1 and Mode 2 (see section D of this Plan) emergencies involving students
- Conduct Safety Awareness information and training for students
- Develop and maintain plans to shelter in place or evacuate Student Housing during an emergency
- Assist and advise Incident Commander for Mode 3 and 4 emergencies involving Students
- Develop procedures to communicate with and account for students in emergency situations
- Coordinate with local agencies and support organizations to provide long- and short-term emergency shelter alternatives for students in on-campus housing
- Provide student crisis counseling services

Human Resources (HR)

- Together with Accounting and Financial Services, maintain the continuity of Payroll processing services
- Maintain the continuity of critical Employee Benefit Services

- Provide for employee counseling
- Assess faculty and staff availability
- Assist with the appropriation of personnel
- Assist faculty and staff with survival needs-food, water, shelter, etc.
- Assist employees with work recovery needs-psychological help, day care centers, local transportation, time off for personal needs, etc.

Emergency Management Coordinator

- Assist with the identification of alternative locations for critical housing and academic functions
- Together with Business Services, Facilities and Operations, collect and analyze damage assessment reports
- Together with Facilities and Operations, Environmental Health & Safety, and Risk Management officials, conduct evaluation of damaged assets
- Maintain accurate financial and administrative records in periods of changing priorities and emergency decisions

Student Health Services

- Maintain medical services to sick or injured students

Athletics

- Develop and maintain plans for crowd control during athletic events
- Develop plan for evacuating athletic facilities during athletic events
- Together with University Public Safety department, develop plans for ensuring that no weapons or dangerous materials are present during any athletic event
- Develop emergency plan to use athletic facilities as a shelter during and after an emergency

Library

- Identify and assist with the evaluation of library assets: books, art works collections, etc.
- Develop plans and procedures to protect critical library assets and systems
- Develop plans to shelter in place or evacuate people from the library during emergency events.

Research

- Identify and prioritize critical support services and systems
- Identify and develop plans for the securing of dangerous research materials
- Develop plans and procedures to protect critical research assets
- For special needs (such as research animals and environmentally sensitive materials) develop backup plans for electrical and other required basic services

University Center Manager

- Develop emergency plan to use the University center as a shelter during and after an emergency

- Develop plans to shelter in place or evacuate people from the University Center during emergency events
- Provide for emergency food service operations

D. Incident Command System (ICS) Structure

During an emergency or large-scale event, the University will utilize the National Incident Management System (NIMS) and related Incident Command System (ICS) to control and manage operations. This system utilizes the principles of management by objective and is recognized and utilized by public safety services of the surrounding communities and by the State and local Emergency Management Agencies. A nationally recognized system, the Incident Command System allows establishment of an integrated organizational structure tailored to the complexity and demands of single or multiple incidents. The Incident Command System is proven effective in managing multiple agency and multiple jurisdiction incidents of any nature.

Related to the Incident Command System organization is the concept of the **Multiple Agency Coordination System (MACS)**. The City of Huntsville and Madison County utilize the Multiple Agency Coordination System to facilitate and coordinate emergency response operations and handle mutual aid situations. Under the Multiple Agency Coordination System, the City of Huntsville and Madison County recognize four levels of incidents, referred to as Modes. To avoid confusion, the University will categorize incidents using the same technique. The Multiple Agency Coordination System Modes as applied to University incidents are -

Mode 1: Minor Incident – The incident will be handled completely by University assets. Routine events (non-injury vehicle accidents, minor university police responses) are Mode 1 events requiring no mutual aid response from Huntsville City or Madison County units. Usually Mode 1 incidents will not require Emergency Management Operations Group notification or Emergency Operations Center activation.

Mode 2: Emergency – The incident will require mutual aid but the University retains Incident Command. Large routine events (basketball games, concerts), incidents requiring minimal mutual aid (injury accidents or fires), and incidents with prepared contingency plans may be Mode 2 incidents. Mode 2 incidents may include Emergency Management Operations Group notification or Emergency Operations Center activation but usually such activities are of limited scope. Special Note - minor fire incidents on campus are handled as Mode 2 incidents even though Huntsville Fire Department exercises Incident Command at the scene.

Mode 3: Disaster – The incident requires significant mutual aid and the University may request an outside agency assume Incident Command. A major incident (gas explosion or building collapse) on campus, an incident beyond the scope of University plans and capabilities (aircraft accident on campus), or an incident crossing the University property line (fire, hazardous material spill) could trigger a Mode 3 requirement. In a Mode 3 event the Emergency Management Operations Group and Policy Group are notified, a University

Emergency Operations Center activated, and a full Incident Command System organization staffed. Joint command may be established.

Mode 4: Catastrophe – The incident requires mutual aid above and beyond Madison County, and State or Federal agency Incident Command is requested. A Mode 4 event is most likely to be declared when a regional level incident occurs (earthquake, severe storm), and the University and the County are brought under State or Federal Incident Command System jurisdiction, or statute requires State or Federal involvement (terrorist incident, martial law declaration). In Mode 4 the Emergency Management Operations Group and the Policy Group are activated, a University Emergency Operations Center activated, and full Incident Command System organization staffed and integrated into State or Federal Incident Command System structure.

The Incident Command System structure for an incident on the University can range from simple to complex, based upon the scope and requirements of the incident. A full Incident Command System structure (such as that required for a Mode 3 or Mode 4 incident) for the University is outlined in Appendix A.

Department level response and recovery plans should incorporate the ICS structure.

E. Activation of Plan, Groups, and Emergency Operations Center

The University of Alabama in Huntsville Public Safety Department (University Police) operates on a continuous 24/7/365 basis and has the primary responsibility for monitoring emergency threats and events on campus and in the surrounding community. The on-duty Public Safety shift supervisor is fully trained to follow Incident Command System (ICS) guidelines and established standard operating procedures for emergency response. When an event warrants, he or she would immediately establish an incident command post and notify the Chief of Police and other officials on the call list.

The on-scene officer will retain incident command until relieved by the shift supervisor, who shall then retain incident command until properly relieved. The provisions of the Emergency Response Plan (ERP) and standard operating procedures will guide the Incident Commander in controlling the incident and, if appropriate, transferring command to the Emergency Operations Center (EOC) or to a local community emergency response agency (Huntsville Police, Huntsville Fire/Rescue, etc.)

The Emergency Management Operations Group (EMOG) is activated through the University of Alabama in Huntsville Police Department Communications center. A director, assistant director, or member of the Emergency Management Operations Group may activate the group after coordination with and approval of the designated Incident Commander. For example, if a University police officer is on scene, a director/assistant director/group member would coordinate with the officer through the communications center; the communications center would then begin activation of the group. The Director of Public Safety or Police Lieutenant can activate the Emergency Management Operations Group without additional coordination.

Activation of the Emergency Management Operations Group also activates the campus Emergency Operations Center.

The Policy Group is activated by the President, Provost, or Vice President for Finance and Administration. When activated, the Policy Group can convene at the President's Conference Room (Room 369) in Shelby King Hall or another facility designated by the Policy Group.

F. Staffing of the Emergency Operations Center

Upon activation of the Emergency Management Operations Group, the University Emergency Operations Center (EOC) is activated. The Emergency Operations Center may be established in the conference room of the University of Alabama in Huntsville Police Department, the conference room Environmental Health and Safety (EHS), or any other suitable location that best serves the Incident Commander (IC).

The Emergency Operations Center will usually be staffed by all sections of the Incident Command System not required by the Incident Commander at the incident scene. While Section Chiefs will usually locate in the Emergency Operations Center, subordinate units/groups/divisions may operate either from their usual work areas or the Emergency Operations Center based upon direction of their Section Chiefs. For example, the Information Officer may initially work out of the Emergency Operations Center; the Communications Unit will usually continue to conduct normal operations from the dispatch center while providing an incident dispatcher to the Emergency Operations Center; the Transportation Unit will continue to operate out of the Physical Plant Building with a liaison present in the Logistics Section in the Emergency Operations Center. In an incident of complexity and duration requiring full Finance and Planning Sections, units of those sections will usually be established in or around the Emergency Operations Center.

G. Organization for Planning

The Emergency Management Coordinator (EMC) coordinates University level emergency preparedness plans and annexes, business continuity, and business recovery plans with the Emergency Management Operations Group and the Policy Group. The EMC further serves in an advisory capacity to various University departments for their COOP planning efforts.

Administrators, Deans, Department Chairs and **Center Directors** should appoint planners and oversee preparation of emergency preparedness and business continuity and recovery plans (Continuity of Operations Plans) for their organizations.

The Emergency Management Operations Group (EMOG) reviews University level plans and annexes.

VIII. Actions by Phases of Emergency Management

This plan addresses emergency actions that are conducted during all four phases of emergency management.

- **Mitigation:** The University and all departments will conduct mitigation activities as an integral part of the emergency management program. This is an effort to reduce the loss of life and property by lessening the impact of disasters.
- **Preparedness:** The University will conduct preparedness activities to develop the response capabilities needed in the event of an emergency. Among the preparedness activities included in our emergency management program are:
 - **Providing limited emergency equipment and facilities**
 - **Emergency planning, including maintaining this plan, its annexes, and reviewing appropriate Standard Operating Procedures**
 - **Conducting or arranging appropriate training for emergency responders, emergency management personnel, emergency planners, other University Officials, and volunteer groups who assist during emergencies**
 - **Conducting periodic drills and exercises to test plans and training**
- **Response:** The University will respond to emergency situations effectively and efficiently. The focus of many parts of this Plan and its annexes is on planning for the response to emergencies. Response operations are intended to resolve an emergency situation while minimizing casualties and property damage. Response activities include warning, emergency medical services, firefighting, law enforcement operations, evacuation, shelter and mass care, emergency information, and other related functions.
- **Recovery:** Should a disaster occur, the University will carry out a recovery program that involves both short-term and long-term efforts. Short-term operations seek to restore vital services to the University and provide for the basic needs of the University community. Long-term recovery focuses on restoring the University community to its normal state. Examples of recovery programs include temporary student housing, restoration of University services, debris removal, restoration of utilities, crisis services, and reconstruction of damaged roads, bridges, and walkways.

IX. Preparation and Maintenance of Emergency Plans and Annexes

A. Plan Preparation

Draft emergency and contingency plans and annexes may be prepared using the established formats. The Emergency Management Coordinator will maintain templates and instructions and will be available for consultation on plan development.

The Emergency Management Coordinator prepares draft University level emergency and continuity plans and annexes as directed, and coordinates draft plans with all organizations identified as action agencies. Draft University level emergency and continuity plans and annexes are additionally coordinated with the Emergency Management Operations Group (EMOG) and approved by the Policy Group. Organizations provided draft emergency and contingency plans and annexes may concur without comment, concur with comment, or non-concur with comment.

Emergency and contingency plans prepared by Administrators, Deans, Department Chairs and Center Directors that involve only that individual's organization do not require review or approval by the Emergency Management Operations Group. However, if a department or directorate level emergency and contingency plan require support by another department or organization, coordination with that organization is required, and the nature of that support must be clearly defined in the written plans. The Department Planner of the originating organization will coordinate such plans through the Emergency Management Coordinator. Just as in preparing University level plans, organizations provided draft emergency and contingency plans will be given the options to concur without comment, concur with comment, or non-concur with comment. Should a Dean, Department Head, or Director prepare a plan without change after an organization answered non-concur with comment, a copy of that non-concurrence will be forwarded with the plan to the Emergency Management Coordinator.

A copy of all department or directorate level emergency and contingency plans or annexes, as well as a copy of any changes or updates to existing plans, shall be provided to the Emergency Management Coordinator for inclusion in the University level plan.

B. General Planning Responsibilities

Deans, Department Heads and Directors

Administrators, Deans, Department Chairs, and Center Directors should appoint planners and oversee preparation of emergency preparedness and business continuity and recovery plans for their organizations.

Each department in the University specifically identified in Paragraph ??? of the University Emergency Response Plan Annex ??? as a responding organization will prepare a supporting plan for that annex. One copy of this supporting plan will be maintained with the departmental level copy of the University Emergency Response Plan, and one copy will be maintained by the Emergency Management Coordinator.

Administrators, Deans, Department Chairs and Center Directors shall be required to complete the advanced FEMA COOP introductory course IS-547 – Introduction to Continuity of Operations (COOP). This course is offered through FEMA and may be taken on line.

Planners

University organization planners appointed by Administrators, Deans, Department Chairs, and Center Directors should:

- Complete the advanced FEMA COOP introductory course IS-547 – Introduction to Continuity of Operations (COOP). This course is offered through FEMA and may be taken on line.

Prepare emergency preparedness, business continuity, and business recovery plans for their organizations in accordance with the examples and templates provided.

- Coordinate these plans or annexes with all organizations identified or tasked in their plans.
- Review plans annually and update as required.
- Serve as liaisons to the University emergency preparedness staff and the Emergency Management Operations Group.

Response, Recovery, Mitigation, Contingency Teams

Individuals (faculty and staff) holding positions directly involved in development of or named as a part of a business continuity or business recovery plan are required to complete the FEMA course IS-546 – Continuity of Operations (COOP) Awareness. This course is offered through FEMA (Federal Emergency Management Agency) and may be taken on line.

President's Office

The **President, Provost, Vice Presidents, and University Counsel** serve as members of the Policy Group.

The **Athletic Director** and **Director of University Relations** provide representatives to the **Emergency Management Operations Group (EMOG)**.

University Relations will staff the Public Information Officer (PIO) position in the Incident Command System (ICS) structure, and provide additional staff and liaisons as required.

University Counsel provides the Risk Manager who will:

- Assist in preparing University level business continuity and business recovery plans.
- Assist planners in preparing these plans for their organizations.

Provost and Executive Vice President for Academic Affairs

The **Provost and Vice President for Academic Affairs** serves as a member of the **Policy Group**.

Computer and Network Services provides representatives to the **Emergency Management Operations Group**.

Academic Deans serve as members of the **Emergency Management Operations Group** (EMOG) for planning purposes and may serve on the group as needed in actual emergencies.

The **Registrar** maintains emergency notification data for students and students' parents/family.

Vice President for Student Affairs

The **Vice President for Student Affairs** serves as a member of the **Policy Group**. The **Vice President for Student Affairs** controls the release of information related to students.

The **University Center** and **Counseling Center** provide representatives to the **Emergency Management Operations Group**.

Vice President for Finance and Administration

The **Vice President for Finance and Administration** serves as a member of the **Policy Group**.

Human Resources, Facilities and Operations Administration, Facilities, Business Services, Financial Services, Environmental Health and Safety, and Public Safety provide representatives to the **Emergency Management Operations Group** and personnel to staff the Incident Command System structure as required.

The **Public Safety, Environmental Health and Safety, and Facilities** departments serve as primary emergency response agencies for minor incidents on the University.

Facilities and Operations Administration provides an Emergency Management Coordinator to:

- Prepare University Emergency Response Plan and University level Continuity of Operations plans
- Assist planners in preparing these plans for their organizations
- Maintain University Emergency Response and Continuity of Operations plans
- Update University level plans as required
- Serve as liaison from Emergency Management Operations Group to Policy Group

- Serve as University liaison to the Madison County Emergency Management Agency

Vice President for Research

The **Vice President for Research** serves as member of the **Policy Group**.

Non-University Emergency Service Providers

Huntsville Fire/Rescue, Huntsville Police, and HEMSI are primary emergency response agencies for incidents on the University. Huntsville Fire/Rescue and HEMSI will respond to all fire and hazardous material calls on the University. The Huntsville Fire Department participates in the **Incident Command System**.

The Huntsville Police Department and Madison County Sheriff's Office support the UAHuntsville Police Department in accordance with standard operating procedures, local and state laws, and mutual aid agreements.

The Madison County office of the **American Red Cross** may be required to support shelter operations for the University. The American Red Cross participates in the **Incident Command System**.

The Madison County Emergency Management Agency is a principal assisting agency for the University in the event of major emergencies and the channel for requesting assistance from state agencies and the state or federal government. The Madison County Emergency Management Agency Emergency Plans Coordinator participates in the **Emergency Management Operations Group**.

C. Publication of Approved Emergency and Contingency Plans and Annexes

Unrestricted Circulation and Publication

This plan is a public document and is available for public inspection.

However, plan attachments, addendums, annexes, appendices, and databases contain private and confidential information and are therefore not considered public documents.

General circulation of this plan does not include such confidential documents.

Restricted Publication and Circulation

Restricted copies of this plan include all confidential annexes, addendums, appendices, databases and attachments. No person or entity is authorized to reproduce or distribute

this restricted plan, in whole or in part, without specific authorization as set forth in this plan.

All restricted plan copies shall be numbered and their distribution tracked by the Emergency Management Coordinator. The Emergency Management Coordinator and/or the Director of Public Safety are the only positions authorized to reproduce or approve reproduction of any portion of this plan.

All copies of this plan are and remain the property of The University of Alabama in Huntsville (UAHuntsville). Persons receiving a restricted copy of this plan must surrender the copy upon request of the Director of Public Safety or the Emergency Management Coordinator, and will return their numbered copy at the time they leave the service of the University.

The plan distribution list shall be maintained as an appendix to the plan. It shall be the responsibility of the Emergency Management Coordinator to update the distribution list. The Director of Public Safety shall notify the Emergency Management Coordinator any time a plan copy is authorized or distributed.

D. Plan Revision

This plan, including all addendums, appendices, attachments, and annexes, is considered a living document. It must be revised on an ongoing basis so that all content remains current and all parts reflect current information, processes, University structure and hierarchy, and local and regional resources.

Plan Review

The plan will be reviewed annually by the Emergency Management Operations Group. The annual review will be coordinated by the Emergency Management Coordinator, in cooperation with the EMOG.

The EMOG shall make an annual report to the Policy Group. This report will outline amendments to the plan made within the past 12 months.

Minor and Major Revisions

Minor revisions include informational updates to the plan, such as changes in contact names, contact information, and typographical corrections. Such changes shall be made by the Emergency Management Coordinator and revised pages distributed as necessary.

Major revisions are those that alter the responsibilities, structures, organizations, procedures, or other operational aspects of this plan. Major revisions will be made by the

Emergency Management Coordinator in consultation with the Emergency Management Operations Group, and must be submitted to the Policy Group for approval.

X. Emergency Response Training and Exercises

In order for this Emergency Response Plan to be effective, it must be tested on a regular basis, and key personnel must be trained in the National Incident Management System and related Incident Command System.

A. Training Requirements

Key Personnel

Key personnel, as specified in Appendix A - National Incident Management System (NIMS) Implementation and Training Requirements – shall be required to complete all NIMS and Incident Command System (ICS) training outlined in that Appendix. Training in NIMS and ICS for new hires and personnel transferring into key positions should be completed within 90 days of hire or transfer.

Students

Students living in on-campus housing should receive orientation and periodic regular training in fire safety and prevention, sheltering in place, and building evacuation. Such training shall include a minimum of one drill per semester per residence structure. The Director of Student Housing, with assistance from the Public Safety and Environmental Health and Safety departments, shall develop and implement plans to accomplish these training requirements.

Faculty and Staff

Faculty and staff not identified as key emergency response personnel should be provided an orientation to specific departmental emergency response plans, as well as the University level plan (this plan). New hires and personnel transferring into a department should be provided this orientation within 60 days of hire or transfer. Department heads shall be responsible for ensuring all training is completed as required.

XI. Definition of Terms

- **Annexes** in the University level plan provide guidance for handling specific types of emergency incidents. Annexes in University level plans will be reviewed annually or as circumstances dictate and will be updated as required.
- **Appendices** to annexes in University level plans provide additional information or supporting information for annexes and plans. Appendices often include graphics or maps, asset listings, or other details.
- **Business continuity plans** address how an organization will continue to provide critical services through an incident, to include a short-term problem or event. Situations to be covered by business continuity plans could include temporary office closure due to water pipe breaks or utility failures as well as more serious dislocations or relocations due to fire, natural disaster, or other serious incident. Business continuity plans are part of an overall Continuity of Operations (COOP) Plan.
- **Business recovery plans** address the issues related to restoring complete operations following major disruption due to serious incidents such as natural disasters or structure fires. Business recovery plans include discussions on cost recovery and mitigation. Business recovery plans are part of an overall Continuity of Operations (COOP) Plan.
- **Contingency plans** address specific incidents that allow for prior planning. Once the threat of a specific incident has passed or the incident has been resolved, contingency plans are no longer valid and need not be retained.
- **Continuity of Operations (COOP) Plans** address the internal effort within an organization to assure that the capability exists to preserve, maintain, and recover essential business functions across a wide range of natural and man-made disasters. COOP Planning delineates essential functions, specifies lines of succession, clarifies emergency delegation of authority, provides for safekeeping of vital records and data, identifies alternate operating facilities, provides for interoperable communications, and validates capabilities through tests, training, and exercises.
- **Crisis** is a significant event that threatens, or may threaten, the well-being of one or more individuals on campus (or the University itself as a single entity) that requires could require support and assistance from local community response agencies.
- **Demobilization** is the process to terminate an incident and must be accomplished in an orderly fashion. The Planning Section provides a demobilization plan in larger incidents to ensure site security, property, and personnel accountability are maintained throughout the process.

- **Disaster** is an event of significant scale and beyond the resources of the University to handle, and may also impact the surrounding community resulting in the University being required to be self-sufficient (no outside assistance available) for up to 72 hours.
- **Emergency** is viewed as a situation of an emergent nature that has, or has the potential to have, a major impact on the University. Such impact would, or may potentially, require a coordinated response by one or more departments from among: Public Safety, Environmental Health and Safety, Facilities Management, Student Housing, Student Health Services. Some emergency services may be required from local government or community service agencies.
- **Emergency Response Plan (ERP)** for emergency management provides guidance in the form of emergency plans for continuous or long-term threats to the University. The ERP (this document and all annexes, appendices, and addendums) explains the general responsibilities and procedures for managing emergency incidents on campus. The ERP will be reviewed by the Emergency Management Coordinator annually and updated as required.
- **Incident Action Plan (IAP)** states the objectives to be accomplished in an operational period by incident personnel. The Incident Action Plan provides enough detailed information to direct activities to achieve stated objectives in a period while reflecting the overall incident strategy. Verbal or written, when in writing, an Incident Action Plan will include a map and traffic, safety and communication portions of the action plan. The Incident Action Plan must be approved by the Incident Commander.
- **Joint Information Center (JIC)** is an area or location established by the Public Information Officer to facilitate media briefings.
- **Media Releases** under the Incident Command System are channeled through the Public Information Officer (PIO). Only the Public Information Officer's staff provides information to the media, usually through scheduled briefings. The Public Information Officer may establish a Joint Information Center (JIC) and use this facility for briefings. Media personnel at the scene should be escorted by a member of the PIO's staff. This ensures the safety of the media personnel, minimizes disruption of ongoing operations, and prevents incorrect information from being released.
- **Multiple Agency Coordinating System (MACS)** is an information and resource support system utilized by the City of Huntsville and Madison County to integrate emergency actions in complex incidents. Using Multiple Agency Coordinating System, the Madison County Emergency Management Agency coordinates support for major incidents in the jurisdiction. The University is a member of the Madison County Emergency Planning Committee.
- **Operational Period (Ops Period)** is the time scheduled to accomplish objectives specified in the Incident Action Plan. Usually, operational periods are 12 hour increments

and rarely exceed 24 hours. Operational periods commence and conclude with an operations briefing and are referred to as "Ops Periods."

- **Operations Briefings** are held at the start and finish of an operational period and provide the Incident Commander an opportunity to brief key incident personnel on the Incident Action Plan, objectives, and incident progress. These briefings are also referred to as end of period briefings or operational period change (OPC) briefings.
- **Planning Meetings** are held throughout the duration of an incident to select specific strategies and tactics for incident control operations and ensure adequate service and support for the incident. Planning meetings are held prior to an operational period change and operations briefing. In incidents requiring a Planning Section Chief, that individual is responsible for managing the planning meetings.
- **Recordkeeping**, particularly in larger incidents, is absolutely vital to successful incident termination and cost recovery. Often information lost early in an incident cannot be accurately recovered. At a minimum, an Incident Commander should maintain or assign the task to maintain an incident log, activation log, and listing of actions/expenditures authorized in support of an incident. In a large incident, the Planning Section maintains detailed records, but much of the initial response paper trail depends upon the incident command staffs attention to detail early in the incident. Incident Command System Unit Logs (such as the ICS Form 214) can capture much of this vital information.
- **Staging** is the concept of gathering and controlling assets responding to an incident at a location separate from the actual incident. Staging allows assets to be logged in, briefed, and then dispatched to the location those assets are required. While in smaller incidents, staging usually occurs at the scene of the incident and is managed by the Incident Commander, in larger incidents a staging area is established and managed for the Incident Commander by a member of the operations staff. When a staging area is established, all personnel responding to the incident shall first report to staging for accountability and assignment.
- **Supporting plans** are prepared by all organizations named in a University level plan or annex as an action agency with a specific responsibility.

The University of Alabama in Huntsville Emergency Response Plan

APPENDIX A

National Incident Management System (NIMS) Implementation and Training Requirements

I. General

The U.S. Department of Education (ED) issued in fiscal year 2007 the *NIMS Implementation Activities for Schools and Higher Education Institutions*. (See Annex 1) This document outlines steps required for Higher Education Institutions, such as UAHuntsville, to achieve compliance with the National Incident Management System (NIMS) requirements. The baseline steps, activities, and requirements outlined in ED's NIMS implementation activities document identify goals to be developed or completed in close coordination with campus and community partners.

NIMS compliance is required in order for educational institutions to receive Federal preparedness funding. It is the responsibility of UAHuntsville to self-certify that it is supporting NIMS and implementing the requirements outlined in the *NIMS Implementation Activities for Schools and Higher Education Institutions* document. Additionally, the Alabama Commission on Higher Education (ACHE) has begun monitoring compliance of state higher education institutions, and has adopted the U.S. Department of Education's NIMS implementation standards for schools and higher educational institutions.

II. Scope

This addendum applies to all UAHuntsville departments, business units, organizations, and groups. It is intended to cover, but is not limited to:

- Senior Administrators
- Deans
- Directors
- Department Heads
- Faculty
- Staff
- Students

III. Purpose

This policy addendum is intended to ensure that UAHuntsville is prepared for and can effectively respond to an emergency situation through the use of University resources. It is further designed to provide a framework for effectively working, coordinating, and communicating with community emergency response agencies (fire, police, medical, etc.).

IV. Policy

UAHuntsville shall, by authority of the President, adopt and incorporate all compliance activities outlined in the *NIMS Implementation Activities for Schools and Higher Education Institutions* document published in 2007 by the U.S. Department of Education (ED). These activities and requirements shall become part of the UAHuntsville Emergency Response Plan.

To ensure full compliance with NIMS requirements, the University shall:

- Adopt NIMS at the campus community level
- Institutionalize the Incident Command System (ICS) for managing all emergency incidents and pre-planned major campus events
- Coordinate and support the development and use of integrated Multi-agency Coordination Systems (MACS)
- Establish a Public Information System within the ICS framework
- Establish NIMS strategy and timeline for full implementation
- Develop and implement a system to coordinate and leverage Federal preparedness funding to implement and maintain NIMS
- Develop and update emergency management plans to incorporate NIMS and reflect National Response Framework
- Participate in and promote mutual aid agreements with community response partners, volunteer agencies, and private industry
- Require key personnel to complete NIMS training
- Incorporate NIMS and ICS into all emergency management training and exercises
- Participate in all-hazards exercise programs based on NIMS that involves first responders from multiple disciplines and jurisdictions
- Incorporate corrective actions into preparedness and response plans and procedures
- Maintain an inventory of organizational response assets (equipment, resources, and supplies)
- Ensure that relevant national standards and guidance to achieve equipment, communication, and data interoperability are incorporated into acquisition programs
- Apply standardized and consistent terminology during campus incidents, including the establishment of plain English communication standards across the public safety sector

- Integrate and document response procedures from all response partners, including public health, mental health, fire, and law enforcement

Required NIMS compliance activities build progressively each year. It is imperative that UAHuntsville stays current with these requirements. UAHuntsville will monitor changes in requirements and adopt such changes as necessary to ensure its emergency preparedness and maintain eligibility for Federal emergency preparedness funding.

Senior Administration, Deans, Directors, and Department Heads shall be responsible for ensuring their departments and budget units are compliant with NIMS requirements as outlined in the UAHuntsville Emergency Response Plan, this addendum, and the ED's NIMS implementation guidelines.

It shall be the responsibility of the Emergency Management Coordinator to notify the UAHuntsville Emergency Operations Management Group (EMOG) and Policy Group of changes to the NIMS compliance requirements for Higher Education Institutions. The EMOG and Policy Group shall adopt those changes and shall instruct the Emergency Management Coordinator to incorporate them into the Emergency Response Plan. The Emergency Management Coordinator shall be responsible for notifying the UAHuntsville campus community of any such changes and shall monitor and track departmental compliance. He or she shall additionally provide bi-annual NIMS compliance status reports to the EMOG and Policy group.

V. NIMS Training Requirements

UAHuntsville has identified key personnel to receive training based on their roles and responsibilities in these areas:

- Overall emergency management process
- Emergency preparedness
- Incident management
- Response
- Business continuity

In accordance with NIMS guidelines, the University has identified three groups of key personnel:

- **General Personnel** – personnel with any role in emergency preparedness, incident management, or response
 - Any position specifically named in departmental COOP plans
 - Administrators, Center Directors, VPs (other than EMOG), Department Chairs
 - Staff and Faculty who have active role in response & recovery planning
 - Accounting & Financial Reporting, Payroll, Budgets, Procurement, Business Services staff who might potentially provide administrative support during an extended recovery

- Facilities staff who may be utilized as response or recovery resources
- **Critical Personnel** – personnel with a critical role in response
 - Emergency Operations Group (EMOG)
 - Policy Group
 - Public Safety (Sworn Officers and full-time communications personnel)
- **Leadership Personnel** – personnel with a leadership role and are typically obligated to command and manage incidents in the absence of traditional incident response personnel. Leadership personnel also include those likely to be integrated into a more advanced Incident Command System role, such as a unified command with outside responding agencies.
 - All potential Incident Commanders (excluding first responders such as Sworn Officers). Includes, but is not limited to:
 - Director of Public Safety
 - Police Lieutenant
 - Director of Office of Environmental Health and Safety
 - Assistant Vice President of Facilities and Operations
 - Executive Director of Facilities
 - Public Information Officer (PIO) and Alternate PIO
 - Emergency Management Coordinator

NIMS Training requirements for each category are outlined in the above referenced ED NIMS implementation document, and are as follows:

- **General Personnel:**
 - ICS-100.a – Introduction to Incident Command System, OR IS-100.SCa – Introduction to Incident Command System for Schools
 - ICS-700 – National Incident Management System (NIMS), An Introduction

Initial training for General Personnel shall be completed no later than Feb. 28, 2009. Subsequent training of new hires and personnel transferring into such positions shall be completed within 60 days of hire or transfer.

- **Critical Personnel:**
 - ICS-100.a – Introduction to Incident Command System, OR IS-100.SCa – Introduction to Incident Command System for Schools
 - ICS-700 – National Incident Management System (NIMS), An Introduction
 - ICS-200.a – ICS for Single Resources and Initial Action Incidents
 - ICS-800.B – National Response Framework, An Introduction

Critical Personnel shall complete ICS-100 and ICS-700 no later than Feb. 28, 2009. Completion of ICS-200 and ICS-800 shall be completed no later than April 30, 2009.

Subsequent training for new hires and personnel transferring into such positions shall be completed within 60 days of hire or transfer.

▪ **Leadership Personnel:**

- **All requirements of Critical Personnel Training, PLUS**
- ICS-300 – Intermediate Incident Command System
- ICS-400 – Advanced Incident Command System
- ICS- 701 – NIMS Multi-Agency Coordination System (MACS)

Additional Requirements:

- IS-703 – NIMS Resource Management (Required for potential Incident Commanders only)
- IS-702 – NIMS Public Information System (Required for Public Information Officers only)

ICS-100, -200, -700, -800 training for Leadership Personnel shall be completed no later than Feb. 28, 2009. ICS-300 and -400 shall be completed at the first available instance of these classes offered locally through the EMA, Fire Dept., or other agency. New hires and personnel transferring into such positions shall complete independent study training within 60 days of hire or transfer. ICS-300 and -400 shall be completed at the first available instance of these classes offered locally.

Sr. Administrators, Deans, Directors, and Department Heads shall be responsible for ensuring compliance within their respective organizations. Training records shall be maintained by the department/budget unit and copies filed with the Emergency Management Coordinator.

Personnel who have completed all or part of the required training prior to the inception of this policy may satisfy specific requirements by providing relevant certificates and transcripts from the Federal Emergency Management Agency (FEMA) or other federally authorized certifying agency. Training received while employed at other educational institutions will be acceptable if FEMA transcripts and certificates are provided as supporting documentation.

VI. NIMS Compliance Evaluation

The University shall be responsible for monitoring and maintaining NIMS compliance, and for self-certification and evaluation. The University shall use the NIMS Compliance Assistance Support Tool (NIMSCAST), provided by FEMA, to regularly assess compliance status. The Emergency Management Coordinator shall maintain the NIMSCAST database for the University, with the exception of Public Safety departmental compliance, which shall be maintained by the Director of Public Safety.

NIMS Process Testing and Evaluation

NIMS and the associated Incident Command System (ICS) policies and practices shall be included in all internal and external training and exercise activities. During training and exercises, plans shall be reviewed to ensure personnel and students are knowledgeable and able to carry out properly their roles and responsibilities during an incident.

Three types of exercises shall be incorporated into the testing and evaluation of the NIMS process:

- **Tabletop Exercises:** facilitated, scenario-based group discussions regarding the coordination of plans, procedures, and resources with partners.
- **Functional Exercises:** simulated events that allow participants to work through plans and procedures in a real-time scenario.
- **Full-scale Exercises:** involve multiple response agencies and test MACS integration. Resources are actually deployed to a simulated incident scene. Require participants to move actual personnel and equipment while working through plans and procedures in real time. These exercises should include testing interoperability of communication devices with community response organizations.

Training exercises shall be conducted on a regular basis, with at least one full-scale exercise annually. Table top exercises and/or functional exercises shall be conducted at the rate of one per academic semester. A full-scale exercise shall satisfy the exercise requirement for the semester during which it is conducted.

The Emergency Management Coordinator, Director of Public Safety, and Director of Environmental Health and Safety shall be responsible for developing and planning exercises, and shall have the cooperation of departments and organizations chosen to participate. Departments are encouraged to volunteer in order to have the effectiveness of their planning and training evaluated prior to an actual incident. Where practical, every effort should be made to include outside response agencies in each exercise.

The University shall additionally provide personnel to participate in community-wide all-hazards exercises. Joint practice will help to improve relations and communications with community response agencies, private entities, and the general community.

The University shall request feedback and suggestions from outside agencies participating in or observing UAHuntsville exercises or actual response efforts. Where possible and practical, the University shall incorporate such recommendations and best practice suggestions into University and department level plans.

The University shall periodically request external review all or part of the University's Emergency Response Plans. Possible review partners include the local Emergency

Management Agency, Huntsville Fire/Rescue, Huntsville Police Department, NASA/MSFC safety office, and private industry.

VII. Corrective Action Plans

Compliance: Under authority granted by the President and the Policy Group, the Emergency Management Coordinator shall notify department heads of specific non-compliance issues and request immediate correction of NIMS compliance and training shortcomings. Department heads shall be required to take immediate action to correct any reported compliance and training issues.

Performance: Departments and the University as a whole shall evaluate emergency response plans and actual performance for strengths and weaknesses during and after each type of exercise or actual incident response. Debriefing meetings shall be held following any exercise or actual incident and evaluation data will be collected and used to assess, improve, and adjust procedures and practices where shortcomings are noted. Relevant plans shall be updated to reflect corrective actions.

VIII. Compliance Reporting

Bi-annual reports on compliance status, including compliance with updated or added requirements, shall be made by the Emergency Management Coordinator to the Policy Group and EMOG. Compliance status shall be reported annually to the University and surrounding communities.

Compliance Documentation

The University shall maintain documentation, databases, and other informational materials in order to substantiate, verify, and monitor NIMS compliance. These records shall include, but are not limited to:

- Electronic and printed copies of:
 - University level mitigation, response, and recovery plans
 - Department level mitigation, response, and recovery plans
 - University and Departmental key personnel lists
 - University and Departmental NIMS training files
 - Includes NIMS training certificates
- Policy Group and EMOG meeting notes
- Exercise documentation:
 - Documentation of NIMS use in exercises
 - Exercise scenarios
 - List of participants
 - Post-exercise evaluations
 - Corrective action recommendations
 - Corrective action implementations (plan revisions, etc.)
- NIMS Compliance self-monitoring information

- NIMSCAST reports
- Internal NIMS audit reports
- Key personnel lists, to include:
 - Roles and responsibilities in ICS
 - Chain of command
 - Lines of succession
 - Leadership position back-up personnel

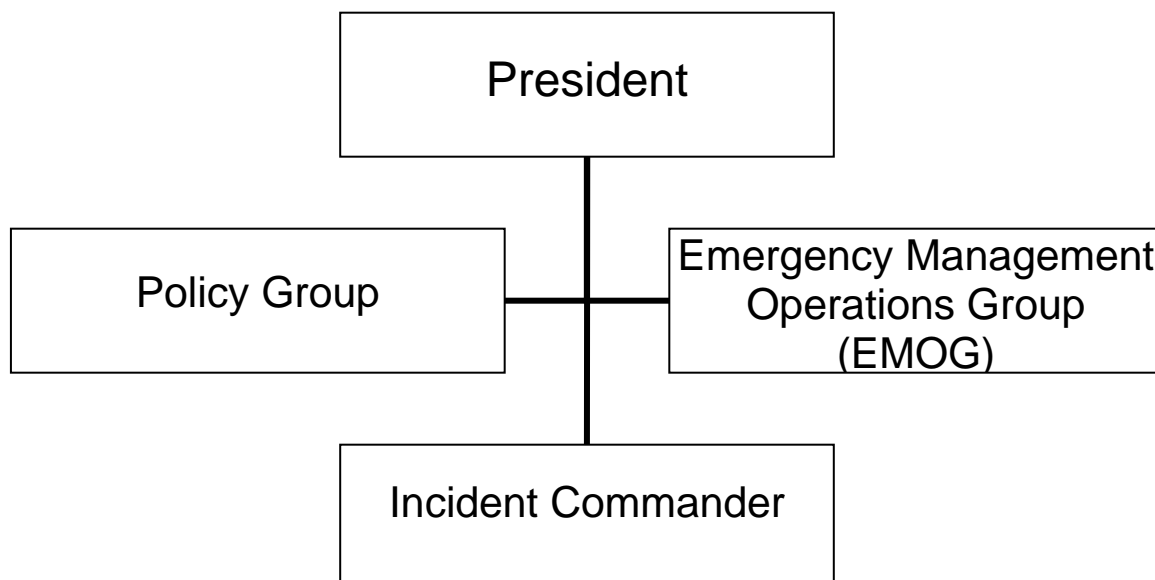
Departments and organizations should maintain their respective Emergency Response Plans, and provide for both on-site and off-site (back-up copies) availability, as well as electronic and printed copies at each site location.

Departments and organizations should maintain NIMS training records for each key personnel position named in organizational key personnel lists. Copies of all proof of training should also be provided to the Emergency Management Coordinator, who will maintain a master database of all key personnel positions and training documentations.

IX. Incident Command System Structure

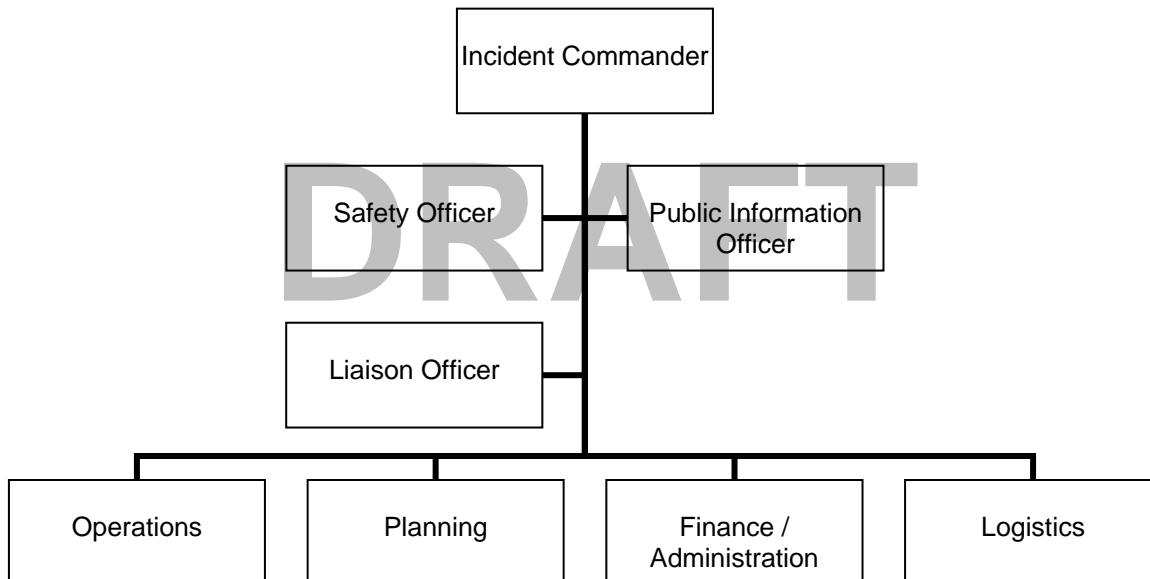
The National Incident Management System (NIMS) requires that organizations adopt the Incident Command System (ICS) organizational approach for command structure during emergency response efforts. The Incident Command System is a flexible and scalable system intended to provide the appropriate level of support for any size response and recovery effort.

At the University of Alabama in Huntsville, the President provides the authority for incident management to a single designated Incident Commander. The Policy Group and Emergency Management Operations Group serve as special Command Staff for the President as well as providing subject matter expertise.



Incident Commander

The **Incident Commander (IC)** is responsible for the overall management of the incident. A Command Staff and a General Staff assist the Incident Commander. The Command Staff usually includes a Safety Officer, Public Information Officer (PIO), and a Liaison Officer who report directly to the Incident Commander. In a Unified Command structure, these staff members may report directly to the Unified Command leadership. The General Staff usually includes Operations, Planning, Logistics, and Finance/Administration Sections. Based on the complexity of the incident, the General Staff may report directly to the Incident Commander or to a deputy Incident Commander. These positions may be drawn from the organization most knowledgeable with the incident or best suited to serve in a capacity to support the incident. As an event moves from response to recovery phase, these positions should be staffed with the individual(s) best qualified for the response or recovery situation. The President, under advisement of the Policy Group and the EMOG, shall generally appoint the University's Incident Commander.



The **Incident Commander (IC)** can be drawn from almost any organization of the university or any supporting agency. In a fire incident or event involving the Huntsville Fire Department as the principal responding agency, the Incident Commander will usually be the responding Deputy Chief; the Incident Commander for a law enforcement operation could be from the Police department. The Incident Commander may change during an incident due to changes in the scope, duration or complexity of the incident, and should be the individual(s) best qualified for the response or recovery situation, and may be appointed by the EMOG, Policy Group, or outside responding agency as appropriate.

The Command Staff may include Safety, Information and Liaison Officers. The Command Staff may be drawn from the Emergency Management Operations Group.

Safety Officer

The **Safety Officer** recommends measures to assure the safety of personnel responding to the incident. The Safety Officer should not be responsible for any other functions. The University of Alabama in Huntsville Department of Public Safety, Facilities Management, or the Incident Commander's own organization will usually provide the Safety Officer. For example, in an incident with a Huntsville Fire Department Incident Commander the Safety Officer will usually come from the Huntsville Fire Department. However, any principal university department could provide a Safety Officer based on the nature of the incident.

Public Information Officer

The **Public Information Officer** works with the Incident Commander, or in the event of a Unified Command structure, with the Unified Command, to develop and release information about the incident to the media, incident personnel, and other appropriate agencies and organizations. The Public Information Officer should be the only source of media releases and should manage all information flow to agencies/organizations external to the incident. The Public Information Officer should provide regular media releases and information briefings and should attend all operations briefings. The University Relations Office will usually provide the Public Information Officer.

Liaison Officer

The **Liaison Officer** coordinates incident activities with assisting and cooperating agencies and serves as the University representative to the Huntsville Multiple Agency Coordinating System or State Emergency Management Agency. The Emergency Management Coordinator will usually serve as the Liaison Officer. This position may also be filled by the UAHuntsville Incident Commander when a Unified Command structure is incorporated.

General Staff

The General Staff consists of Incident Command System Sections directed by Section Chiefs. The size and composition of this staff is tailored to the scope and complexity of the incident and may include Operations, Logistics, Planning, and Finance sections. The Emergency Management Operations Group (EMOG) and responding agencies may provide the personnel to fill key General Staff positions.

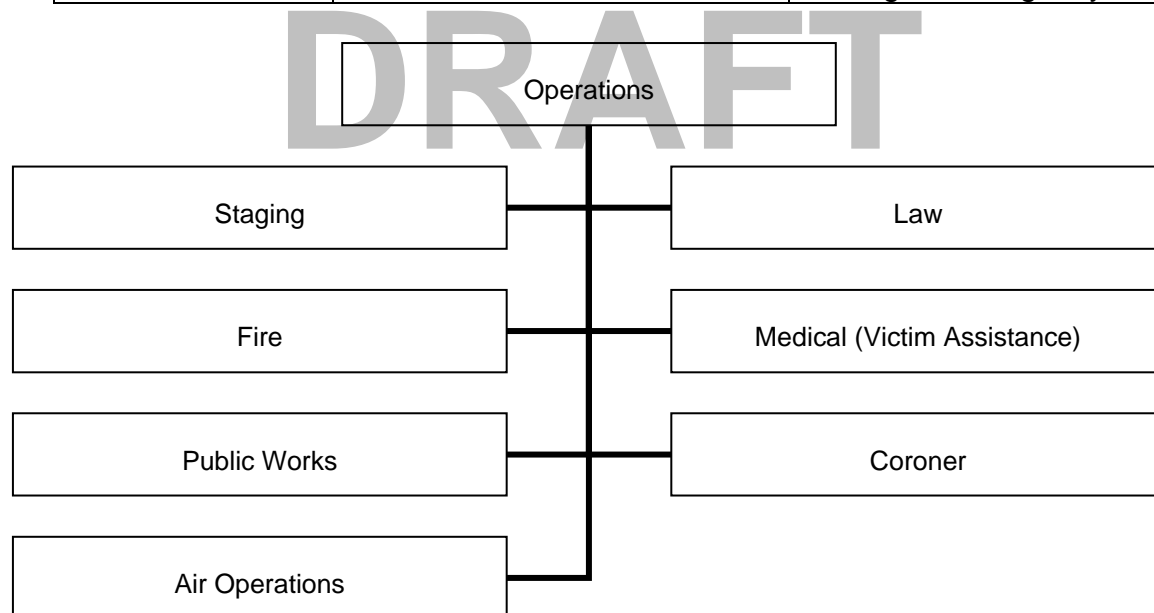
Generally, for short duration or routine incidents (Mode 1 or Mode 2) the Command Staff and Operations Section of the General Staff are utilized. Other sections should be considered for incidents of increased complexity or duration, such as those lasting longer than 8-10 hours or more than one Operational Period (complex Mode 2 or any Mode 3 / 4 incidents).

Operations Section

The **Operations** Section manages tactical operations at the incident. The Operations Section Chief usually acts as principal deputy to the Incident Commander. In a fire type

incident, the Operations Section Chief may be provided from the Huntsville Fire/Rescue Department. For other type incidents on campus, University of Alabama in Huntsville Police Department may provide the Operations Section Chief. The Planning Section Chief may change as a disaster situation moves from initial response into the recovery phase and should be the individual(s) best qualified for the response or recovery situation. The Operations Section is usually composed of several critical branches and may include Staging, Law Enforcement, Fire, Medical, Public Works, Coroner, and Air Operations Branches. If required, the branches are provided as follows:

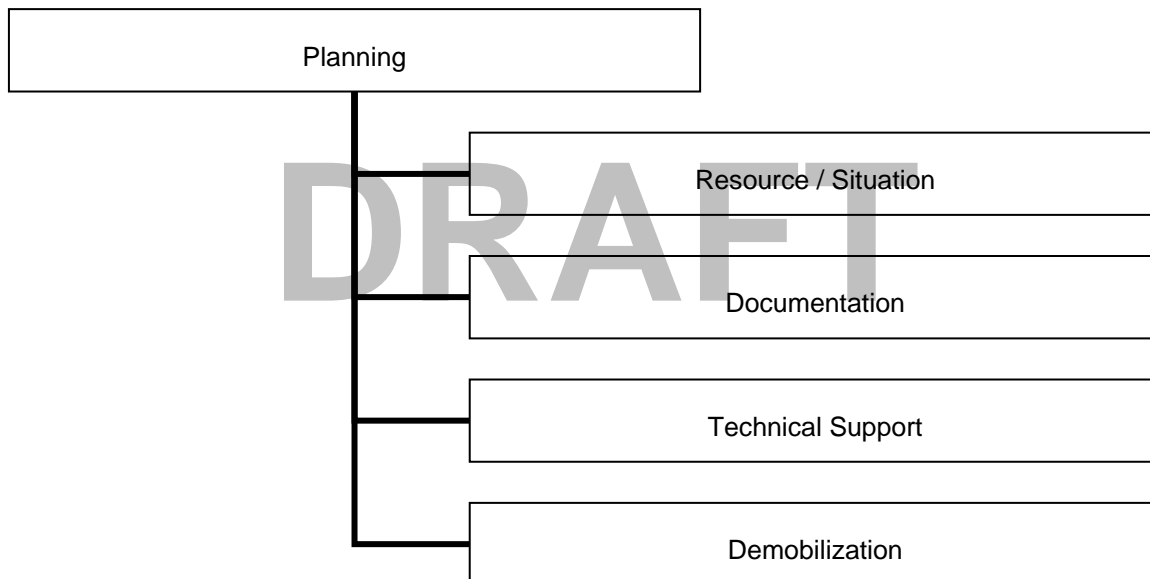
BRANCH	TITLE	PROVIDED BY
Staging	Staging Manager	UAHuntsville Police Department
Law Enforcement	Law Enforcement Branch Director	UAHuntsville Police Department
Fire	Fire Branch Director	Huntsville Fire Department or UAHuntsville Facilities Management
Medical	Medical Branch Director	Emergency Medical Services Provider or EMA
Public Works	Public Works Branch Director	UAHuntsville Facilities Management
Coroner	Coroner Branch Director	Madison County Medical Examiner
Air Operations	Air Operations Branch Director	Madison County Emergency Management Agency or Civil Air Patrol



Note - the Medical Branch Director in the Operations Section is responsible for medical planning, triage, evacuation, and treatment of victims or casualties caused by the incident that are not incident personnel (i.e. not responding public safety personnel). Medical services for responders will generally be provided through the Logistics Section.

Planning Section

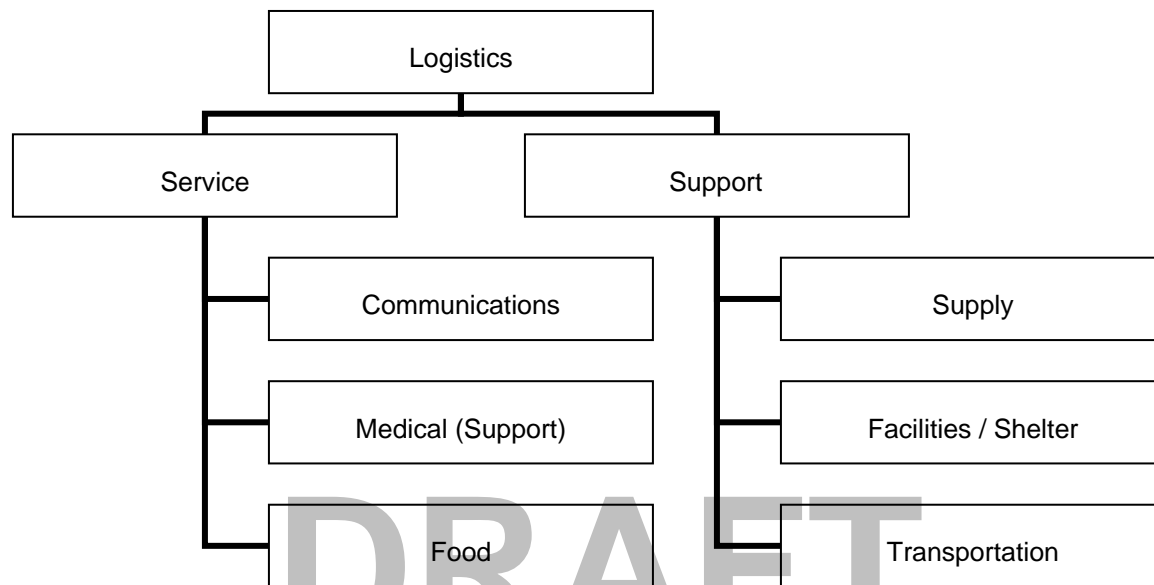
The **Planning** Section manages all information relevant to the incident and provides the operational support required for long-term incidents. The Planning Section prepares formal briefings, consolidates and disseminates Incident Action Plans, maintains records, and manages demobilization. Planning Sections are usually required only for complex incidents expected to last beyond 8-10 hours. The Planning Section Chief could be drawn from any area listed under the EMOG and should be the individual(s) best qualified for the response or recovery situation. The Planning Section Chief may change as a disaster situation moves from initial response into the recovery phase. The Planning Section may include Resource, Situation, and Documentation Units as well as technical specialists as required. The Resource and Situation Unit Leader could be provided by Facilities Management, the Documentation Unit Leader from a Copy Center or an administration office, and technical specialists from organizations as required.



Logistics Section

The **Logistics** Section provides facilities, materials, and services for the incident and is composed of a Service Branch and a Support Branch. The Logistics Section Chief and branch directors may be drawn from the organization most knowledgeable with the incident or best suited to serve in a capacity to support the incident. For example, in a Housing evacuation incident the Logistics Chief could be drawn from Housing, but in an incident involving power or utilities the Logistics Chief could be from Facilities and Operations. The Service Branch may include Communications, Medical and Food units, which provide support to incident personnel. Usually the Communications Unit Leader will be the University of Alabama in Huntsville Police Department Communications Operator; the Medical Unit Leader will be drawn from EMS, and the Food Unit Leader from UAH Dining Service. The Support Branch may include Supply, Facilities/Shelter and

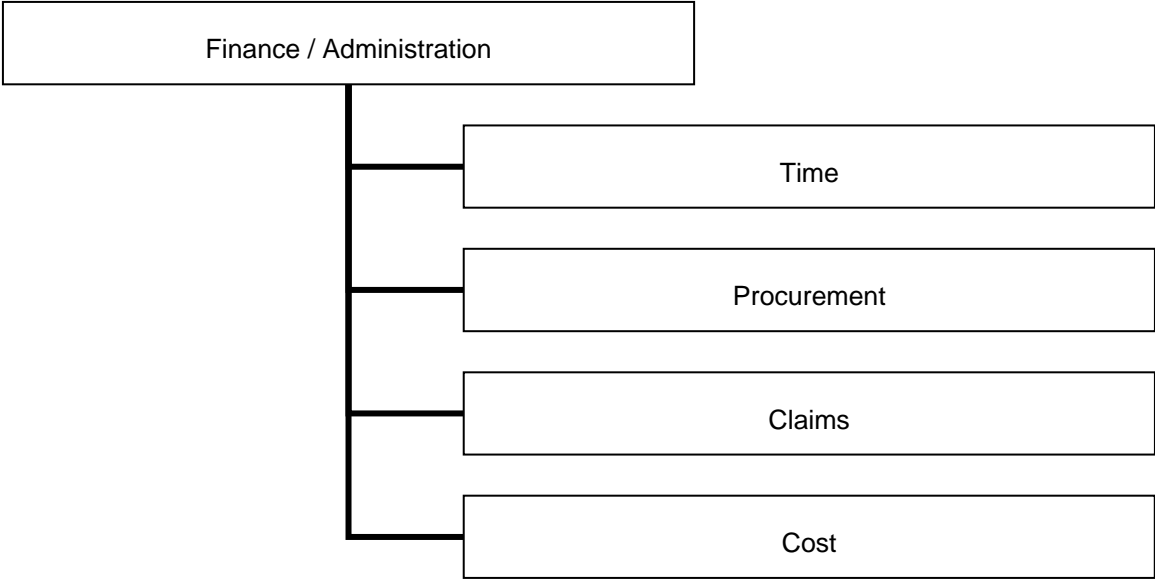
Transportation Units, which provide support to the incident - both incident personnel and victims/casualties of the incident. The Supply Unit Leader may be provided by Business Services division, and could include Procurement or Central Receiving and Shipping personnel. The Transportation Unit Leader may come from Facilities and Operations; the Facilities Unit Leader may be provided from Housing, Facilities and Operations, the University Center, the Athletic Department, or the Huntsville office of the American Red Cross if the incident involves sheltering University personnel off campus.



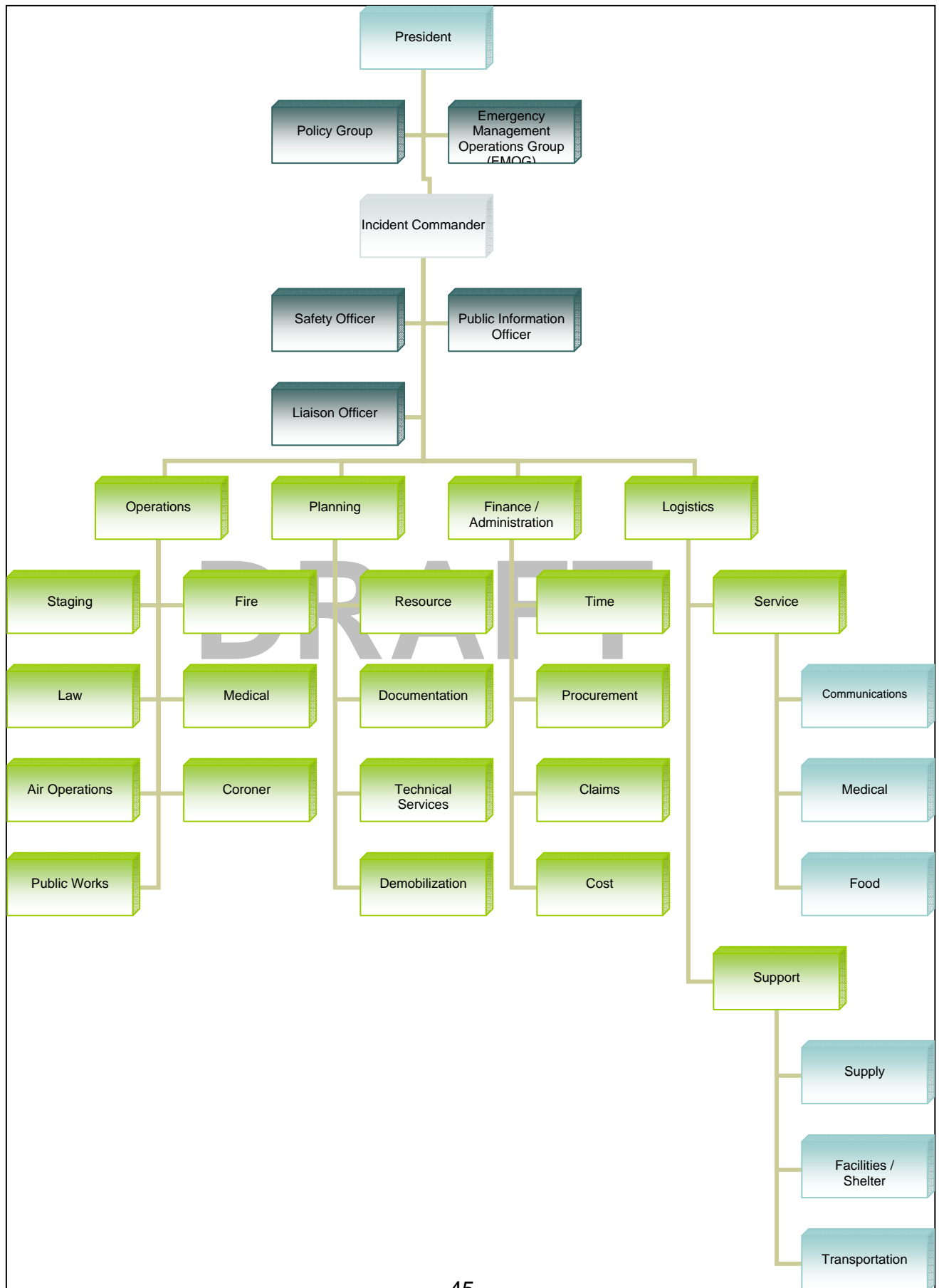
Finance Section

The **Finance** Section manages all financial aspects of the incident to include purchasing and contract support. The Accounting and Finance Department will usually provide the Finance Section Chief and the Finance Section may include Time, Procurement, Compensation/Claims, and Cost units. The Time Unit Leader could be drawn from Human Resources, the Claims Unit Leader from Risk Management, and the Cost Unit Leader from Business Services. While often not activated in routine or short-term incidents, this section is vital in complex incidents involving extensive recovery or cost recovery and in such incidents, it is often the last section demobilized.

The Finance Section, when activated, will track all relevant expenses throughout an incident, from initial response through recovery and return to normal operations. Accurate and thorough records are necessary to seek insurance and/or disaster grant reimbursement, to track time and labor expenses that may be owed to outside response agencies.



Note: The diagram on the following page shows a full Incident Command System structure. The structure used at an incident depends upon the nature and complexity of the incident. Not all positions shown below need to be filled, and the organization of an incident command structure is not limited to these positions. This example is provided to show a possible structure. Organizations listed below the position titles show possible sources for personnel to fill the positions. Again, these are possible sources but are not the only organizations which could fill those positions. Positions will be filled with personnel best suited for a particular response and/or recovery phase.



The University of Alabama in Huntsville Emergency Response Plan

APPENDIX B

Guidelines for Department / Building Emergency Planning

I. Purpose

The purpose of a department/building level emergency response plan is intended to serve three functions:

1. Provide for the safety and welfare of students, faculty, and staff during and immediately after an emergency event
2. Familiarize faculty, staff and students with emergency procedures for situations specific to the department or facility, including evacuation routes and hazardous materials spill response.
3. Provide continuity of operations (COOP) for essential functions in order for the University to meet its educational, research/creative activity, and service missions

The plan should be used as a training document, and all personnel should become familiar with it. The plan should be periodically reviewed and revised as needed. All revisions will be distributed as per the "Department / Building Emergency Plans – Distribution" paragraph below.

II. Scope

These procedures apply to all departments, organizations, and entities which are a part of or under the supervision and control of The University of Alabama in Huntsville (UAHuntsville). This policy also includes all peripheral areas adjoining the University.

III. Policy

All UAHuntsville departments, organizations, and budget units are required to develop emergency response plans. Such plans shall provide for emergency response procedures, including: evacuation, accounting for personnel after an incident, and Continuity of Operations (COOP).

Department / Building Emergency Plans - Components

Components of the plan must include emergency response procedures, stay in place procedures, an evacuation plan, training procedures and a list of individual's assigned responsibilities under the plan. The plan should also include emergency guidelines to be used in the event of a major disaster when professional emergency response assistance is unavailable or is unable to respond quickly. In such cases, the department or building occupants may need to be self-reliant for an extended period of time. Additional information on emergency procedures such as rescue, building security, area(s) of refuge, rescue assistance, and Emergency Control Center locations should be included.

Department / Building Emergency Plans – Distribution

Once the plan is completed, copies are to be sent to the Business Manager and the department's safety committee (if applicable) for review. Upon acceptance, copies should be distributed to the department personal responsible for responding to the emergency the Business Manager University Police and Safety Website. It is the department's responsibility to distribute the campus copies and revisions.
Department / Building Emergency Plans - Responsibilities

Department / Building Emergency Plans -Roles and Responsibilities

Deans, Directors, and Department Heads

Every dean, director, and department head shall appoint a specific person as Building/Facility Coordinator for every activity under their control. The Building/Facility Coordinator has the following general responsibilities prior to and during a Level I emergency:

- a. Emergency Preparedness
 - Building evacuation information shall be distributed to all employees / students with follow-up discussions, on-the-job training or explanation as required
 - Time shall be allowed for training employees in building evacuation procedures.
 - Time table for the Plan's review.
- b. Emergency Situations
 - Inform all affected employees under their direction of the emergency condition
 - Evaluate the impact the emergency has on their activities and take the appropriate action. This may include ceasing operations and initiating building evacuation
 - Maintain emergency telephone communications with University officials
 - Notify the Business Manager and or University Police

Faculty and Supervisors

Each faculty and staff supervisor has the responsibility to:

- Educate faculty, staff and students concerning University emergency procedures as well as evacuation procedures and stressing the importance of evacuation for their building and/or activity.
- Inform faculty, staff and students of an emergency and initiate emergency procedures as outlined in this guide.
- Survey and evaluate their assigned building, facility or activity in order to determine the impact a fire or other major event could have on their facility and activities
- **IMPORTANT:** Inform all faculty, staff and students to conform to building evacuation guidelines during an emergency and to report to a designated campus assembly area where a headcount can be taken

Department / Building Emergency Plans – Component Guidelines for Development

The University has developed an Emergency Response Plan. These policies and procedures go into effect in the event of a Level II or Level III emergency. Copies of these plans are available on the University's website or from the Business Manager's Office. These policies and plans do not address Level I emergency procedures at the department/building level. Therefore, the University requires the development of a specific emergency response and disaster plans for Level I emergencies for each campus facility. Technical

assistance for facility plan development is available from the Business Manager. Annual review of the Department / Building Plans is required.

The level of detail will depend on the size of the building, the number of occupants and the hazards present. The following is a minimum outline for developing a building or department emergency response and disaster plan:

Executive Summary

Introduction

Purpose

Applicability and Scope

Essential Functions

Authorities and References

Concept of Operations

- A. Phase 1: Activation and Relocation
 - 1. Decision Process
 - 2. Alert, Notification, and Implementation Process
 - 3. Leadership
- B. Phase 2: Alternate Facility Operations
 - 1. Mission Critical Systems
 - 2. Vital Files, Records, and Databases
- C. Reconstitution

COOP Planning Responsibilities

Logistics

- A. Alternate Location
- B. Communications Plan (Interoperable Communications)

Test, Training, and Exercises

COOP Plan Maintenance

Annex A: Operational Checklists

Annex B: Alternate Location / Facility Information

Annex C: Evacuation Plans and Routes

Annex D: Definitions and Acronyms

The University of Alabama in Huntsville Emergency Response Plan

APPENDIX C

Appendix C – Continuity of Operations (COOP) Planning Process

I. Purpose

The purpose of business continuity and business recovery plans is to allow the University to continue its critical missions of teaching, research/creative activity, and service through any emergency incident. Business continuity plans focus on continuing critical functions through an incident, while business recovery plans focus on re-establishing complete services and functions following a major incident and recovering extraordinary costs caused by the event.

II. Scope

Individuals (faculty and staff) directly involved in development of or named as a part of a business continuity or business recovery plan shall be required to complete an introductory Continuity of Operations (COOP) course: IS-546 – Continuity of Operations (COOP) Awareness. This course is offered through FEMA (Federal Emergency Management Agency) and may be taken on line.

Senior Administrators, Deans, Directors, and Department Heads shall be required to complete an advanced COOP introductory course: IS-547 – Introduction to Continuity of Operations (COOP). This course is offered through FEMA and may be taken on line.

III. Policy

In order to accomplish these goals the business continuity and business recovery planning formats complete a series of sequenced steps. This process results in the framework plan that allows the organization to accomplish critical functions and eventually complete resumption of all functions. Business continuity and business recovery plans may be prepared using the templates and formats provided in both the University Emergency Response Plan, Planning Handbook, and other materials provided by the Emergency Management Coordinator. The Emergency Management Coordinator shall maintain up-to-date preparation aids, guidelines, and templates. A brief description of the process to prepare these plans is provided below, with more detail and examples provided in the Planning Handbook.

Business continuity and business recovery (COOP) plans prepared by Deans, Department Heads, and Directors that involve only that individual's organization do not require review or approval by the Emergency Management Operations Group or Policy Group. However, if a department or directorate level plan requires support by another department or organization, coordination with that organization is required and the nature of that support must be clearly defined in the written plans. The Department Planner of the originating organization will coordinate such plans with the other departments or organizations. The Emergency Management Coordinator may assist the Department Planner with this coordination. Just as in preparing University level plans, organizations provided draft plans will be given the options to concur without comment, concur with comment, or non-concur with comment. Should a Dean, Department Head, or Director prepare a draft plan without change after an organization answered non-concur with comment, a copy of that non-concurrence will be forwarded with the plan to the Emergency Management Coordinator.

A copy of all department or directorate level plans or annexes shall be provided to the Emergency Management Coordinator for inclusion in the University plan, as well as a copy of any changes or updates to existing plans.

The Continuity of Operations Planning Process is addressed in **Appendix C**.

IV. The Continuity of Operations (COOP) Planning Process



Step One. Identify critical functions of the organization to include critical products, services and operations.

Critical functions of your organization are those essential to the continued accomplishment of the University mission of teaching, research/creative activity and service. If the failure of your organization to perform a function will result in irrevocable disruption of student

education, irrecoverable loss of research data, irrecoverable loss of operational data, or significant financial loss to the University then that would be considered a critical function.

Determine the critical business functions your organization performs for the University in terms of:

- **Products** - to include deliverables to customers, such as procedural guides for students/staff/faculty and equipment to University facilities.
- **Services** - to include support activities such as transportation / housing / feeding students, custodial or maintenance services to research facilities, utility services for University structures, and fire protection or emergency services.
- **Administrative & Regulatory** functions - to include permits or licensing actions, required financial actions, publications, or notices.

Identify the customers, volume, and frequency of these functions. Determine the result of not accomplishing these functions (Result of Non-Delivery). Note any additional remarks concerning the functions.

Step Two. Prioritize and establish Recovery Time Objectives for critical functions.

Categorize those activities performed by your organization identified in Step One using the following criteria:

- **CRITICAL ACTIVITIES:** Immediately essential to the critical functions and mission of the University
- **RECOMMENDED ACTIVITIES:** Not immediately essential to University critical functions but recommended to be continued
- **NON-ESSENTIAL ACTIVITIES:** Not essential to critical functions of the University and may be temporarily discontinued.

Prioritize the activities, with the most essential activity being priority number one.

Identify:

- Any other organizations of the University providing the same or similar critical functions
- Where these organizations are located
- Which functions they can perform during the disruption of your operations

Note functions that may be provided by a contractor temporarily during the disruption of your operations (**POTENTIAL CONTRACTOR ACTIVITIES**). Note the priority of the activity the contractor may provide in brackets.

The remaining actions will focus on those functions identified as CRITICAL ACTIVITIES - those immediately essential to the critical functions of the University. As time permits, your plan may be expanded to include additional functions (those listed as RECOMMENDED and NON-ESSENTIAL); however, initial planning should focus on the CRITICAL ACTIVITIES.

Establish Recovery Time Objectives.

For each critical activity (Product, Service or Administrative & Regulatory Action) categorized in Step Two as immediately essential to the critical functions of the University, develop a specific Recovery Time Objective (RTO), which states how soon that function must be resumed.

For example, one Recovery Time Objective for a cable television service provider may read "Restore service within one hour to 25% of customers; restore service within two hours to 50% of customers; service must be restored within three hours to 100% of customers."

Develop these Recovery Time Objectives in order using the priority established.

Now, complete Step Three for each Recovery Time Objective.

Step Three. Identify Assets required and any shortfalls for accomplishing each Recovery Time Objective for Critical Functions.

Identify and list all assets required to meet the Recovery Time Objectives prepared in Step Two. Include the following requirements:

- Personnel
- Work Area
- Equipment and Supplies
- Services

Personnel should be identified by job classification or description of duties, number required to accomplish a specified requirement, location they will be required at, and remarks (such as special training required, additional duties they may be able to perform, or length required if not continually needed to maintain a critical function).

Work Area should be described in terms of the type of space required (e.g. classroom, office, shop area, etc), activity to be conducted in the area, number of personnel required to be accommodated in the area, location required (in the most general terms as on campus or off campus; at a specific location if known).

Equipment and Supplies should include location and types of equipment to include computers, telephone lines, and other equipment or supplies required to meet the Recovery Time Objective.

Services should include such issues as mail and transportation services, warehousing, special requirements such as specific power requirements or water if beyond normal office use, data storage, and access and any other special requirements.

Identify resources available.

Identify internal resources your organization can provide to meet the Recovery Time Objectives using the same categories (Personnel, Work Area, Equipment & Supplies, and Services).

Services could include any services required which can be immediately provided by contractors (e.g. through standing contracts, current contracts).

Identify shortfalls.

Identify the resource requirements that your organization cannot meet which prevent your organization from meeting the Recovery Time Objectives using the same categories (Personnel, Work Area, Equipment & Supplies, and Services).

Step Four. Identify solutions.

Identify possible solutions to overcome or compensate for the shortfalls (Personnel, Work Area, Equipment & Supplies, and Services) identified in Step Three. Determine if manual work-around techniques are possible and applicable. List the actions required to overcome the shortfalls identified in Step Three and meet the Recovery Time Objectives identified in Step Two. Step Four provides the core of the business continuity plan for the organization.

Prepare and distribute the plan.

Once finished with these steps, the core of the business continuity plan is completed. Consolidate the worksheets and solutions and distribute within the department, and brief the plan to the department.

This process completes the business continuity planning sequence. The detailed procedures to meet the Recovery Time Objectives serve as the Business Continuity Plan, allowing the continuation of critical functions and services through an incident.

Describe the procedures to utilize all internal resources to accomplish the Recovery Time Objectives. Where applicable, prepare standing contracts to assist in the accomplishing Recovery Time Objectives. Consider availability of contractors in a major or regional event.

From this process, identify any shortfalls without solutions at your level and detail these for Vice President consideration or elevation to University level for prioritization and planning.

Templates for each of the steps can be found in the Planning Handbook.

Business Continuity Plan Format

- **Situation** - describe the situation requiring the plan
- **Situation Recovery Time Objectives** assignments - detail the assignment of organizational assets to accomplish specific Recovery Time Objectives
- **Shortfalls / solutions** - describe possible solutions to each identified shortfall with details on how to overcome or compensate for the shortfall (such as implementing standing contracts, requesting mutual aid from another department providing that service)
- **Shortfalls without solutions** - describe any identified shortfalls which your organization cannot overcome or compensate for and will require action at University level.

Business Recovery Plans

The business recovery plan expands upon the business continuity plan by identifying actions required to completely re-establish all operations. As is true in all plans, not all aspects of the business recovery plan will be required in all recovery situations.

A complete business recovery plan will include identification and instructions for salvage, service restoration, and mitigation teams. Additionally, an event requiring activation of a business recovery plan will probably have been fairly destructive or disruptive. For this reason, a business recovery plan should address actions to support employee and employee problems, such as critical stress debriefings and employee assistance programs. The business recovery plan must also address cost recovery, insurance, and mitigation issues.

Identify the salvage team. In a major event requiring activation of a recovery plan, it is likely significant damage or destruction of facilities and assets will have been incurred. In order to minimize loss, a salvage team should attempt to recover any usable assets. Additionally, the salvage team assists in determining the extent of the clean up and repair necessary to re-occupy a facility, if re-occupation is an option. Note that salvage teams may not under any circumstances enter an effected area until that area has been deemed safe by UAHuntsville Public Safety, Facilities, and/or the Office of Environmental Health and Safety.

Identify a service restoration team. The service restoration team ensures those actions critical to restoration of full services are properly accomplished. In the event a facility can be re-occupied, the service restoration team activates standing contracts for facility clean-up or repair. The service restoration team prioritizes establishment of utility, communications, data processing, supply delivery and storage services. Additionally, the

service restoration team ensures revenue collection and accounting activities (where applicable) are properly established. In the event a facility cannot be re-occupied, the service restoration team determines what replacement facilities and equipment purchases are required to restore full services. The service restoration will work closely with the University Risk Management office in beginning cost recovery efforts and business continuity insurance claims (if applicable).

Identify a mitigation team. The mitigation team works to capture all lessons learned during the event and to formulate policies and procedures to minimize or avoid reoccurrence of the incident.

Business Recovery Plan Format

- Situation - describe the situation requiring the plan
- Employee recovery issues and instructions
- Salvage team instructions
- Service restoration team instructions
- Mitigation team instructions.

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The University of Alabama in Huntsville Emergency Response Plan

APPENDIX D

Emergency Operations Centers

I. General

In the event of an emergency incident on UAHuntsville's campus, one or more Emergency Operations Centers (EOC) will be activated.

The Incident Command staff and the Emergency Management Operations Group (EMOG) will assemble in and coordinate response efforts from one or more of these locations.

The Incident Commander will be responsible for directing EOC operations and personnel. EMOG members will function in an advisory capacity to the Incident Commander, and will serve as liaison between the Incident Commander and the Policy Group and/or University President.

The Facilities and Operations division shall identify, stock, and equip primary and alternate on-campus facilities that may be used as EOCs. Additionally, in the event that campus locations are inaccessible, or have the potential for being rendered inaccessible, Facilities and Operations shall identify and secure off-campus location(s) for use as temporary Emergency Operations Centers.

II. Emergency Operations Center Management

Building Security and Access

Access to active Emergency Operations Centers will be limited to members of the Incident Command staff and activated Emergency Operations Management Group members. These personnel will carry and openly display official identification badges or vests.

Authorized visitors may be signed in by ICS general and command staff and/or EMOG members. Visitors will be issued "Visitor" badges which they will openly display when entering and while in the Emergency Operations Center.

For large-scale EOC activation, members of the Public Safety department may be utilized to provide security for the EOC, and as needed, will establish a security checkpoint outside the facility and/or room.

The Incident Commander shall have the authority to allocate nearby rooms and offices if additional space is required due to the nature or magnitude of the activating event(s).

EOC Authorized Personnel Identification

The following identification methods shall be utilized for identifying personnel who are authorized to access the EOC:

- Incident Command System Command Staff (Incident Commander, Liaison Officer, Safety Officer, Public Information Officer): Orange reflective vests with ICS position title displayed in not less than 3-inch lettering
- Incident Command System General Staff (Operations Chief, Planning Chief, Logistics Chief, Finance/Administration Chief): Orange reflective vests with ICS position title displayed in not less than 3-inch lettering
- EMOG Members: Photo ID card with "UAHuntsville EMOG" on front and back of card
- ICS Command, General, and Support Staff(all): Photo ID card with "UAHuntsville ICS" on front and back of card
 - **Note: The Charger Card system could possibly be utilized to create these cards. Actual Charger cards could substitute for photo ID in early response and recovery efforts.**
- Visitors: Visitor ID card with "VISITOR UAHuntsville EOC" on front and back of card.

Daily authorized personnel lists should be provided to Public Safety and any other personnel the Incident Commander delegates security responsibilities to.

Emergency Operations Center Equipment

To support effective emergency operations, the Emergency Operations Center(s) shall be equipped as follows:

- Tables and chairs to accommodate 10-15 persons
- Reserve seating and tables for up to five (5) visitors
- Minimum of two (2) paper flip charts with stands
- Minimum of one (1) whiteboard with two sets of dry erase markers (multiple colors) and two erasers per board. Board(s) should be a minimum of 4' x 6' in size.
- Writing materials, tape, staplers, and three-ring binders for each team member
- Fax and photocopier
- Minimum of two (2) printers with network connection
- Radio communications equipment for use contacting UAHuntsville Public Safety department
 - Interoperable communications equipment capable of interfacing with local responders during a multi-organizational response effort is recommended
- Minimum of 500 call log sheets
- Emergency weather radio with charged batteries

- The room(s) used for EOC operations should have emergency lighting installed
- Minimum two (2) four drawer file cabinets
- Computer connections to both the University system and to the Internet (minimum of 10 connection points)
 - Wireless access is acceptable, but provisions for both LAN and wireless should be made
- Computer equipment for each member of the ICS staff and the EMOG (computer, monitor, keyboard, mouse) with connection to a printer (local or networked)
 - Laptop computers are recommended in the interest of lesser space requirements and portability
 - Members of the ICS staff and EMOG having access to laptop equipment issued to them as part of their normal duties should plan to use that equipment
 - Such equipment should be maintained in a state of readiness for incorporation into the EOC network (wireless networking and/or LAN capability required)
 - The Incident Commander has the authority to request and obtain necessary computer equipment from nearby offices whose work is not essential to the emergency response and/or recovery efforts
- Minimum two (2) cases of 12 ounce bottled water
- In the event the EOC is established in a remote location (due to nature or magnitude of an event), portable toilet facilities should be furnished

Support Staff

While access to the EOC should be controlled at all times, and the number of non-critical personnel within the EOC limited, it is recognized that members of the Incident Command staff and/or EMOG may require the assistance of support staff. If the Logistics position of the ICS general staff is activated, it shall be that position's responsibility to identify and activate the appropriate personnel resources. In the event the Logistics position is not activated, the Incident Commander or his/her designee shall identify and activate the appropriate personnel resources.

Support Materials

The following support materials should be readily available to the EOC:

- One current copy of every Departmental Emergency Response Plan
- One current copy of the University level Emergency Response Plan, including all annexes and appendices
- One large campus map, showing structures, roadways, and elevations
- One set of building plans for each structure on campus
- One set of utilities plans for the entire campus, to include: electrical, water, steam, storm and sanitary sewer lines

These documents and items shall be maintained in the following locations, and upon activation of the EOC shall be made available for immediate distribution upon request from the EOC:

- Public Safety Department (hard copy and electronic formats)
- Facilities and Operations Administration (hard copy and electronic formats)
- Library (hard copy and electronic formats)
- Off-site location (**to be identified as the planning progresses**)
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