



Campus Emergency Response Plan Business Continuity and Disaster Recovery

Volume 2

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PURPOSE

The Business Continuity and Disaster Recovery Management Plan (BCDRP) is a subset of the Campus Emergency Response Plan (CERP). This plan outlines the UA's guidelines and procedures for managing Level 1, Level 2 or some Level 3 critical incidents/events affecting the campus as classified by the CERP. These levels reflect critical incidents/events that may adversely affect or threaten the health and safety of the campus community or disrupt the conduct of its mission, programs and activities, and recovery operations after a disaster or critical event.

ASSUMPTIONS

This plan is based on the following assumptions:

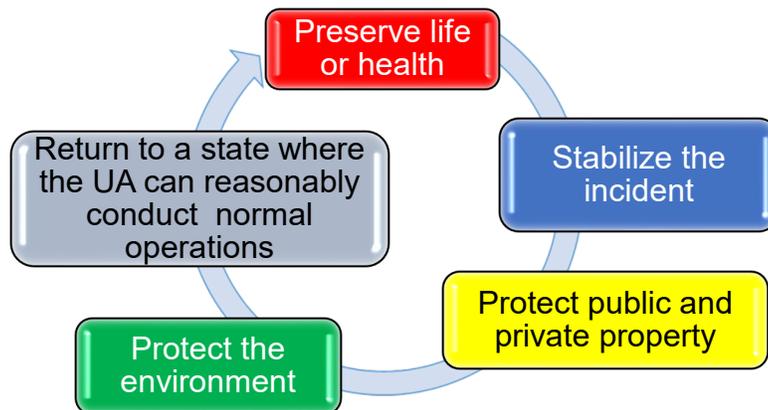
- A. That UA power generation and water will be available at critical sites.
- B. That the needed personnel and resources are available for preparation and response.
- C. That the successive levels of government (city, county, state, and federal) will respond favorably if or when emergency assistance is requested.
- D. All incidents begin locally and end locally. The responsibility for returning the University to an operational state remains with the University of Arizona regardless of outside federal, state or local assistance.

MISSION

To provide a plan for implementation that focuses on precluding disaster(s) when possible, and in the event a disaster(s) occurs, to:

- Prevent/minimize injury.
- Minimize disruption in the teaching, research, and outreach mission.
- Effectively manage recovery operations.

The BCDR Plan is guided by the university's desire to:



The BCDRP identifies university operational areas/departments and individuals (by virtue of their university position) who have been delegated responsibilities relating to certain emergency responses and/or crucial support services. It utilizes the *Coordinator of Emergency Preparedness* and the management structure of the *University of Arizona Critical Incident Response Team (UACIRT)* for coordinating needed services and deploying essential resources.

SCOPE

- A. The BCDRP guides preparedness, response, and recovery actions and is applicable to a broad range of risks/emergency incidents, including Level 1, Level 2, and Level 3 incidents, as defined in the CERP, Volume 1, which may evolve into a major campus incident.
- B. A variety of situations/circumstances could result in activation of the plan. However, an analysis of UA operational vulnerabilities indicates that activation of this plan shall most likely result from any of the following natural or man-made risks/events listed below. However, the probability is low that any will occur in the intensity to cause an extended disruption in the academic operations.

RISKS TO THE UNIVERSITY

The following risks have been identified that could evolve into critical incidents and may result in disruption to the academic enterprise. These situations include but are not limited to:

Hazards	Weather	Utility Disruption	Manmade Incidents	Mass Causality	Technology Infrastructure
Fires	Snow/Ice	Gas	Airline Crashes	Accidents	Breach
Explosion	Electrical Storms	Water	Traffic Crashes	Terrorism	Failure
Hazardous Material Release	Flooding	Electricity	Criminal Activity	Weather	Release of Personal Information
Disease Outbreak	Wind/Tornado	Waste Water	Terrorist Activity	Sickness	
Earthquake	Dust Storms		Civil Unrest	Structural	

Protection of Public and Private Property and Environment

During and following a critical incident, the protection of property and the environment will be the responsibility of multiple campus entities. These units are considered “initial responders” to the incident and will continue to be a critical component in the recovery and return the university to operational capabilities. Other University units may be called upon to assist in recovery efforts as needed.

It is important to remember that all incidents begin locally and end locally. The university must be prepared to remain self sufficient for at least 72 hours before state or federal assistance is available.

- University of Arizona Police Department (UAPD)
- Risk Management Services (RMS)
- Research Labs and Safety Services (RLSS)
- Facilities Management (FM)
- Planning Design and Construction (PD&C)
- UA Communications
- UA Emergency Medical Services (UAEMS)
- Campus Health Service (CHS)

In Level 1 or 2 situations, and when necessary in Level 3 situations, the following prioritization has been established in each component as critical to returning the university to an operational state. These priorities may change depending on the nature of the critical event.

AREA	DEPARTMENTS
Life Safety	UAPD Risk Management Services Research Lab and Safety Services Campus Health Services Hospitals (University Banner Medical) Center)
Utilities and Buildings	Facilities Management Planning Design and Construction
Fiscal Management	Sr. Vice President for Business Affairs Budget Office Financial Services
Food and Shelter	Student Union Residence Life Campus Recreation Athletics
Technology Services	University Information and Technology Services
Human Resources	Policy Employee Benefits Employee/Departmental Issues
Communication	UA Communications
Academics	
Research	
Other as defined the President	

TERMINATION OF EMERGENCY RESPONSE PHASE

The termination of the emergency response phase will be the decision of the assigned Incident Commander in conjunction with the President of the University of Arizona. The official announcement will be communicated to the campus community by UA Communications, using all available emergency response and notification systems to include but are not limited to:

- UAlert
- Campus email
- Social Media
- Public and Commercial Media

Although termination of the emergency response is announced, there may be a need to continue the following:

- On-going repairs and preparations
- Support services for affected students and employees
- Community relief efforts
- Space adjustments

ACTIVATION OF THE DISASTER PLAN

The authority to activate the BCDR Plan rests with the University President. In the President’s absence the order of succession for activation is:



DISASTER RECOVERY INCIDENT COMMAND

Based upon the type of critical incident/disaster, the President or designee will designate an individual who will lead the recovery effort. This individual will be responsible for the identification of the recovery team membership, and will manage the recovery effort, reporting to an individual/group as identified by the UA President.

CONTINUITY OF OPERATIONS PLANS (COOP)

A Continuity of Operations Plan (COOP) is part of the overall “Four Phases of Emergency Management” cycle, which includes



The COOP ensures the campus has the capability to continue essential functions. A Business Continuity Plan (BCP) identifies systems needed to conduct all administrative functions so that operations can be continued after the emergency

The COOP is an effort within individual executive businesses, departments, units, and colleges to ensure that “Primary Mission Essential Functions” continue to be performed during a wide range of emergencies, including localized acts of nature, accidents, and technological or attack-related emergencies. A COOP will assist a coordinated effort within the University to ensure that “Essential Functions” continue to be performed during a major campus emergency or event.

A COOP serves as the cornerstone for any event threatening a major disruption to the daily operations of the institution, making it useful as an “All Hazards Plan.”

ACTIVATION OF COOP

Public Health Incident:

The Executive Director of Campus Health will make a recommendation to the UA CIRT Executive Team (CET) or activation of the university COOP. The CET will make a recommendation to the President for activation of the plan. The Executive Director of Campus Health will advise when a movement from one stage to another is required.

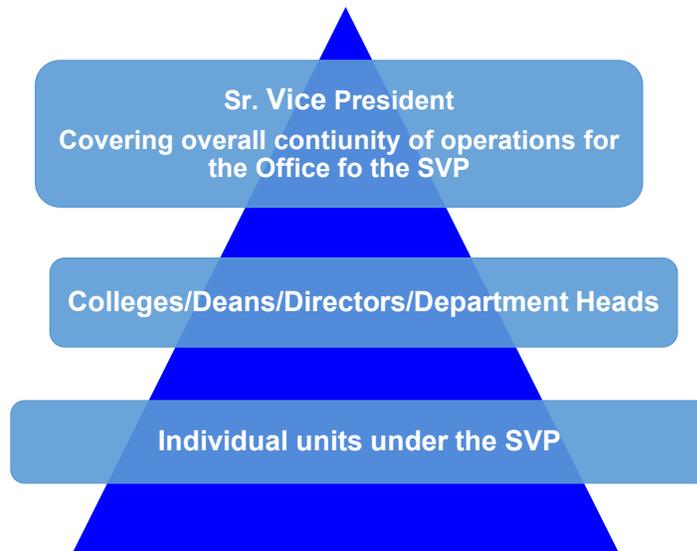
Other Critical Events

For other critical events having a profound impact on the daily operation of the university, the COOP may be activated by the CET and/or the University of Arizona President.

PREPARATION OF COOPS

Colleges and their departments, vice presidential areas and subordinate units are expected to prepare a “Continuity of Operations Plan” (COOP), as a means of safeguarding critical programs, processes and records in order to significantly enhance their ability to continue academic operations after a disaster. A COOP is a predetermined set of instructions or procedures that describe how an organization’s essential functions will be sustained for up to 30 days as a result of an incident before returning to normal operation.

COOPS should support each area in the chain to ensure an orderly operation and continuity of operation.



Essential Personnel

Each department/unit should identify individuals who are considered “essential personnel” in the event a critical incident occurs and personnel staffing is temporarily reduced.

Essential Personnel

Key personnel who are designated as critical and whose presence is required regardless of the situation.

Resumption of Normal Operations

Central administration is responsible for the resumption of normal operations for all university-wide business systems/processes as outlined the Campus Emergency Response Plan (CERP).

Continuity of operations planning is based on the premise and assumption that neither the knowledgeable person(s) who performed functions critical to the unit’s mission nor the system(s), processes and procedures and perhaps the facility and attendant equipment will be available to initiate the resumption of operation.

The business continuation planning model shown below is being used by several universities that are located in areas subject to natural disasters and who have had the misfortune of having to implement a disaster recovery plan:

- Identification of unit controlled critical mission processes and the business functions(s) (excludes those dependent on central systems such as:
 - UAccess Analytics
 - UAccess Employee

- UAccess Financials
 - UAccess Student
 - Kuali Financial System (KFS)
- Develop procedures for continuing all or part of the highest priority functions that are not provided by the central administration.
 - Determine whether any of the unit processes could be suspended or degraded or whether it must be fully functional.
 - Identify alternate work locations within the unit for the most crucial functions (Real Estate Management in coordination with the Provost and Sr. VP for Business Affairs will implement decisions regarding intra campus facilities realignments and the acquisition of facilities within the Tucson Community).
 - Assignment of internal unit business recovery roles and authority.
 - Procedures for recovering affected business operations quickly and strategies for them.

Areas for Consideration include:

1. Essential functions of the unit.
 - a. Pre-determined prioritization of essential functions based on
 - i. Priority 1 (most critical to the operation of the unit)
 - ii. Priority 2 (areas to support critical functions, only after recovery has begun)
 - iii. Priority 3 (daily operations)
2. Identification of essential personnel
3. Alternative methods for delivery of instruction, e.g., online, podcasts, Blackboard

RECOVERY PHASE

Recovery is the fourth of four phases in the Emergency Management Cycle. The *Recovery* phase is the time where the UA begins to restore normal operations following a critical incident.

Recovery from a critical incident will involve a coordinated response effort. The UACIRT will be the coordinating entity during this phase.

The University has established a number of teams to help management and supervise recovery efforts. They include:

- Institutional Executive Recovery Group
- Damage Assessment Team (DAT)
- Business Continuity and Disaster Recovery Management Team

DAMAGE ASSESSMENT TEAM (DAT)

The Damage Assessment Team (DAT) will be under the direction of the Vice President University Planning/Design and Operations, and will include the following key university departments:

- Risk Management Services
- Facilities Management
- Planning Design and Construction
- Research Lab and Safety (if laboratories are involved)

All documented assessment information shall provide documented assessment as it relates to building and/or infrastructure conditions. This information shall be forwarded to the Vice President for University Planning/Design and Operations for review and recommendation to prioritize action to being repairs, and to return essential services and operations to the University of Arizona.

This recommendation will be submitted to the Business Continuity and Disaster Recovery Management Team for evaluation and recommendation to the Executive Policy Group.

Cost Recovery

A “Cost Recovery Team” will be consist of university officials whose area of responsibility is related to the nature and magnitude of the disaster.

Nevertheless, because of their position and responsibilities are central to any disaster recovery effort the team will include, as a minimum the following units from the university.

- Office of the Senior Vice President for Academic Affairs & Provost
- Office of the Senior Vice President Business Affairs & Chief Financial Officer
- Office of the Senior Vice President for Research and Innovation
- Office of the Senior Vice President for Legal Affairs & General Counsel
- Office of the Chief Risk Officer for Risk Management Services

To help with the recovery, the activities and plans by UA units/operational areas will continue to be executed or modified based on the existing situation until their role is no longer needed.

Outside Experts

The University maintains a list of outside experts who can help with damage assessment, in structural and engineering, mechanical, utilities, IT network, and other areas. The names and contact numbers for these companies and individuals are on file with Risk Management Services, Facilities Management, Facilities, Design and Construction, UITS and Procurement.

Damage Documentation

Thorough and detailed documentation of damage is critical for the claims and reimbursement process.

Photography and Videography

The use of photography and videography and when appropriate, sketches will aid in the documentation process. In situations where a county, state or national state of emergency has been declared, proper documentation is crucial for reimbursement. In such situations UACIRT and the Administration Finance Section is responsible for tracking and collecting expense receipts.

Photographs should be taken and recorded for each building and room. Photographs will be taken from several distances to properly document the scene.

- Overall – usually in a 360 degree pattern to document the overall scene.
- Distance - from a distance to document the immediate area, such as from the end of a hallway or the entrance to an office.
- Close-up – to document a specific area or issue, such as a burn pattern, collapse of a wall, etc.
- Video – in the same manner as above.

Diagrams

Diagrams and sketches aid in the documentation process to provide a “field diagram” of the scene and document the location of items.

Damage Assessment Task Force

The Damage Assessment Team (DAT) is appointed by the President following recommendation of the Executive Policy Group.

UA Expertise

The following University units have subject matter experts in their respective fields to assist with damage assessment and repair and should be considered part of the Damage Assessment task Force:

- Facilities Management (FM)
- Risk Management and Safety (RMS)
- Facilities Design and Construction
- University Information and Technology Services
- Sr. Vice President of Research – for laboratories
- University Information and technology Services (UITS)
- Faculty with expertise – as needed
- Museums and Valued collections

Additional university and outside experts may be added to the task force if necessary.

In addition to those listed above, depending on the extent of damage other key UACIRT members may be called in to assist. These members may include but is not limited to:

- UA Communications
- Academic Affairs
- Public Health
- Human Resources
- Procurement and Contracting
- Budget Office

Written Reports and Receipts

Written reports are required to submit claims and document property loss. In local, state and national incidents specific forms, other than the standard UA or State of Arizona forms may be required. The Finance and Administration Section from UACIRT will provide the required forms.

Written reports include the UA Property Loss Report, sketches, and other written memorandums, etc.

Receipts must accompany any purchases, and should include:

- What the item was for - e.g., Emergency Generator for UAPD
- Location for which the purchase made, e.g. - Dispatch Center, Rm101, UAPD

COORDINATION and DECLARATION Of a STATE of EMERGENCY

The President of the University may declare a campus State of Emergency (see Appendix 1) and implement action plans on behalf of the University.

State and Federal Relations will be maintained through the Incident Command System. All requests for assistance will come from the Incident Commander to the appropriate entities.

The full and effective plan implementation will depend on the ability of the UA to coordinate with, both internal and external units/agencies.

When an emergency exceeds the capability of the UA, requests for support will be made for the **City of Tucson**. The following procedures and channels for assistance apply:

Tucson/City Government

Emergency response agencies from Tucson/city government will respond to an emergency/disaster within their corporate limits, coordinate activities in accordance with their standard operating procedures (SOP), emergency operations plan and mutual aid agreements.

When an emergency/disaster situation is, or is likely to be, beyond the scope of control of the town/city and the combined efforts of the county, town/city and possibly the state are considered essential for an effective response/recovery, the mayor, or town/city council of an incorporated city/town may proclaim a Local Emergency. The Local Emergency proclamation should be forwarded to the county emergency services/management director in an expedient manner (e.g., voice followed by hard copy).

When a Local Emergency has been proclaimed, the mayor will govern by proclamation and has the authority to impose all necessary regulations to preserve the peace and order of the town/city, including but not limited to:

- Imposing curfews in all or portions of the town/city;
- Ordering the closure of any business;
- Closing to public access any public building, street or other public area;
- Calling upon regular and/or auxiliary law enforcement agencies and organizations;
- Providing/requesting mutual aid to/from other political subdivisions; and,
- Obtaining commitments of local resources in accordance with emergency plans.

Pima County Government

Activation of the County Emergency Operations Center (EOC)

The Pima County Office of Emergency Management is responsible for the activation and operation of the **County Emergency Operations Center**. The Pima County EOC may be contacted 24/7 by **calling 520.798.0600**. The trigger points for activation of the EOC include:

<i>If the IC decides there may be a need to activate the EOC</i>	<i>Two (2) or more incident command posts are operating on similar incidents</i>
<i>MASS CASUALTY: Five (5) or more patients sent to two (2) or more hospitals or mass casualty incident</i>	<i>During a government VIP visit</i>
<i>Any hazardous materials incident</i>	<i>Any request for video down link and equipment</i>
<i>Flooding</i>	<i>Logistical support and qualified ICS personnel or request for an Incident Management Team</i>
<i>A request to the County EOC for interoperability and emergency communications equipment</i>	<i>Request from other counties for emergency support activities</i>
<i>An evacuation operation involving more than 100 people</i>	<i>Wildfire</i>
	<i>Any EOC Opens</i>

Pima County Government – Proclamation of a Local Emergency

Upon receipt of the proclamation of a Local Emergency from an incorporated town/city of the county, the chairman of the board of supervisors or the board of supervisors will:

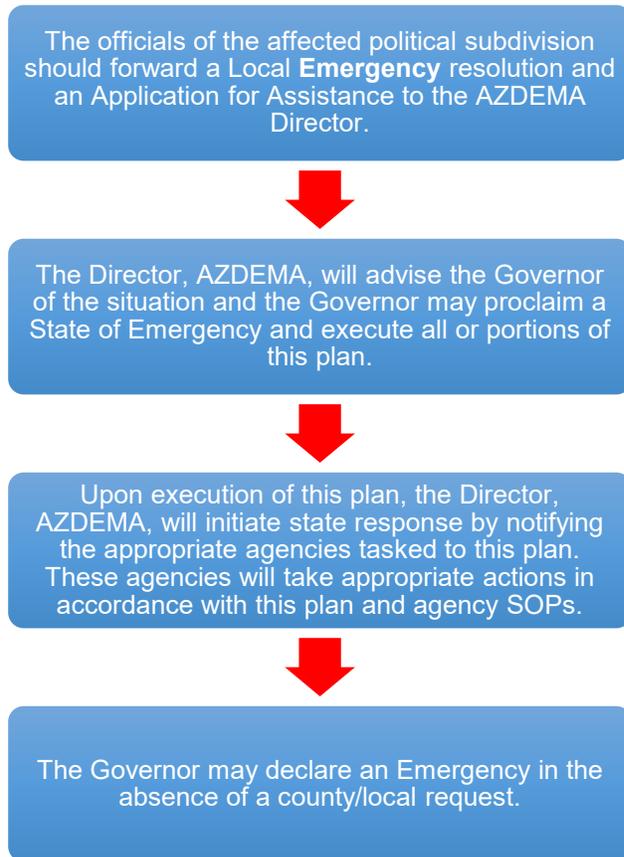
1. Provide available assistance requested to contain the incident (e.g., sheriff, public works, health);
2. Notify Arizona Department of Emergency and Military Affairs (AZDEMA) that a situation exists which may require the proclamation of a county Local Emergency.
 - a. In the event a situation exists in the unincorporated portions of the county which may affect lives and property, the county will take necessary measures to bring the situation under control utilizing all county government resources.
 - b. If the situation in either incorporated or unincorporated portions of the county is beyond the capability and resources of the county to control, the chairman of the board of supervisors or

the board of supervisors may proclaim a Local Emergency to exist in accordance with ARS 26-311.

- c. The Local Emergency resolution and an Application for Assistance will be forwarded to the Director, Arizona Department of Emergency and Military Affairs (AZDEMA).

Arizona State Government

A State of Emergency may be proclaimed by the Governor when disaster conditions exist and appear likely to overwhelm local governments (ARS 26-301).



In the event that the Governor is absent or inaccessible, the State Emergency Council may issue a State of Emergency proclamation. This action will be taken at a meeting of the council called by the Director, AZDEMA, and if not less than three (3) council members, at least one (1) of whom is an elected official, approves the action.

Specific liabilities and expenses may be incurred to meet contingencies and emergencies arising from incidents relating to hazardous materials and search and rescue operations without the proclamation of a State of Emergency by the Governor.

Arizona National Guard - Request

Request for assistance from the National Guard will be forwarded to the Director, AZDEMA. The Director will evaluate the request and make appropriate recommendations to the Governor, or if the National Guard has been activated, relay the request to the Military Affairs Division.

The Major Disaster Process – Federal Government

A major Disaster Declaration usually follows these steps:

1. Local government responds, supplemented by neighboring communities and volunteer agencies. If overwhelmed, turn to the state for assistance
2. State responds with state resources, such as the National Guard and state agencies
3. Damage assessment by local, state, federal, and volunteer organizations determines losses and recovery needs
4. Major Disaster Declaration is requested by the Governor, based on the damage assessment, and an agreement to commit state funds and resources to the long-term recovery
5. FEMA evaluates the request and recommends action to the President based on the disaster, the local community and the state's ability to recover
6. The President of the United States approves the request or FEMA informs the governor it has been denied. This decision process could take a few hours or several weeks depending on the nature of the disaster.

Federal Government Disaster Process and Disaster Aid Programs - FEMA

First Response to a disaster is the job of local government's emergency services with help from nearby municipalities, the state and volunteer agencies. In a catastrophic disaster, and if the governor requests, federal resources can be mobilized through the Federal Emergency Management Agency (FEMA) for search and rescue, electrical power, food, water, shelter and other basic human needs.

It is the long-term recovery phase of disaster that places the most severe financial strain on a local or state government. Damage to public facilities and infrastructure, often not insured, can overwhelm even a large city.

A governor's request for a major disaster declaration could mean an infusion of federal funds, but the governor must also commit significant state funds and resources for recovery efforts.

A major disaster could result from a natural or man-made incident which the President of the United States determines warrants supplemental federal aid. The event must be clearly more than the state or local governments can handle alone. If declared, funding comes from the President's Disaster Relief Fund, which is managed by FEMA, and disaster aid programs of other participating federal agencies.

A Presidential Major Disaster Declaration puts into motion long-term federal recovery programs, some of which are matched by state programs, and designed to help disaster victims, businesses and public entities.

An Emergency Declaration is more limited in scope and without the long-term federal recovery programs of a Major Disaster Declaration. Generally, federal assistance and funding are provided to meet a specific emergency need or to help prevent a major disaster from occurring.

Disaster Aid Programs

There are two major categories of disaster aid:

1. Individual Assistance – for damage to residences and businesses or personal property losses. Immediately after the declaration, disaster workers arrive and set up a central field office to coordinate the recovery effort. A toll-free telephone number is published for use by affected residents and business owners in registering for assistance. Disaster Recovery Centers also are opened where disaster victims can meet with program representatives and obtain information about available aid and the recovery process.

Disaster aid to individuals generally falls into the following categories:

Disaster Housing may be available for up to 18 months, using local resources, for displaced persons whose residences were heavily damaged or destroyed. Funding also can be provided for housing repairs and replacement of damaged items to make homes habitable.

Disaster Grants are available to help meet other serious disaster related needs and necessary expenses not covered by insurance and other aid programs. These may include replacement of personal property, and transportation, medical, dental and funeral expenses.

Low-Interest Disaster Loans are available after a disaster for homeowners and renters from the U.S. Small Business Administration (SBA) to cover uninsured property losses. Loans may be for repair or replacement of homes, automobiles, clothing or other damaged personal property. Loans are also available to businesses for property loss and economic injury.

Other Disaster Aid Programs include crisis counseling, disaster-related unemployment assistance, legal aid and assistance with income tax, Social Security, and Veterans' benefits. Other state or local help may also be available.

2. Public Assistance – for repair of infrastructure, public facilities and debris removal.

Assistance Process

After the application is taken, the damaged property is inspected to verify the loss. If approved, an applicant will soon receive a check for rental assistance or a grant. Loan applications require more information and approval may take several weeks after application. The deadline for most individual assistance programs is 60 days following the president's major disaster declaration.

Audits are done later to ensure that aid went to only those who were eligible and that disaster aid funds were used only for their intended purposes. These federal program funds cannot duplicate assistance provided by other sources such as insurance. After a major disaster, FEMA tries to notify all disaster victims about the available aid programs and urge them to apply. The news media are encouraged to visit a Disaster Recovery Center, meet with disaster officials, and help publicize the disaster aid programs and the toll-free telephone registration number.

Public Assistance is aid to state or local governments to pay part of the costs of rebuilding a community's damaged infrastructure. Generally, public assistance programs pay for 75 per cent of the approved project costs. Public Assistance may include debris removal, emergency protective measures and public services, repair of damaged public property, loans needed by communities for essential government functions and grants for public schools.

On Line Resources and Publications

Federal Emergency Management Agency (F.E.M.A.) <http://www.fema.gov>

Washington Military Department Emergency Management Division
Family Emergency Preparedness Plan <http://emd.wa.gov/>

F.E.M.A./American Red Cross - Emergency Management Guide for Business
& Industry <http://www.fema.gov/pdf/library/bizindst.pdf>

International Association of Emergency Managers (I.A.E.M.)
<http://www.iaem.com/resources/links/intro.htm>

American Red Cross <http://www.redcross.org>