UNIVERSITY OF COLORADO AT BOULDER

UMBRELLA PLAN

READINESS RESPONSE RECOVERY
UCB Department of Public Safety
UNIVERSITY OF COLORADO AT BOULDER UMBRELLA PLAN

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Topic: EMERGENCY MANAGEMENT POLICY

Date:

Approved by: _______________________
Dr. Richard L. Byyny, Chancellor

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Distribution: Deans, Directors, Department Heads

**Policy Statement:**

It is the policy of the University of Colorado at Boulder that all Deans, Directors and Department Heads should prepare emergency, contingency, business continuity and business recovery plans.

Plans should be prepared in accordance with the University Umbrella Plan and the University Planning Handbook.

Deans, Directors and Department Heads should appoint a planner to coordinate these plans with the University Emergency Management Coordinator, and will review plans annually.

**Purpose:**

The University of Colorado at Boulder Umbrella Plan 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 Plan identifies departments, agencies and individuals responsible for emergency planning, emergency response, business continuity and business recovery planning. The Plan establishes procedures to prepare for emergencies, as well as the management structure for coordinating and managing response to emergency situations.

**Scope:**

The University of Colorado at Boulder Emergency Plan guides preparedness, response and recovery operations and business continuity and recovery actions. 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.
OVERVIEW

Policy

Deans, Department Heads and Directors at the University of Colorado at Boulder should prepare and coordinate emergency preparedness, contingency, business continuity and business recovery plans in accordance with this umbrella plan.

Purpose

The purpose of emergency and contingency plans is to improve readiness and speed response to any natural or man made disasters. While the value of such plans is clearly evident, business continuity and business recovery plans are overlooked. Business continuity and business recovery plans assist 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.

Responsibilities

The University emergency preparedness Umbrella Plan is the responsibility of the Emergency Management Coordinator of the Environmental Health and Safety (EH&S) Division of the Department of Public Safety.

Deans, Department Heads and 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 can retain a copy of any organizational level plans.

Additionally, EH&S has prepared materials to assist in preparing plans such as the Planning Handbook and the Generators' Guide to Hazardous Material/Waste.

Definition of Terms

- The University Umbrella Plan for emergency management and its annexes (this document) provides guidance in the form of emergency plans for continuous or long-term threats to the University. The Umbrella Plan explains the general responsibilities and procedures for managing emergency incidents on campus. The Umbrella Plan will be reviewed by the Emergency Management Coordinator annually, and updated as required.

- Annexes in the University level plans 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.

- Supporting plans are prepared by all organizations named in a University level plan or annex as an action agency with a specific responsibility.

- Contingency plans address specific incidents that allow for prior planning, such as Y2K. 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.
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Section 2 - Overview

- **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 or natural disaster.

- **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.

Both business continuity and recovery planning utilize 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.
ORGANIZATION

University Emergency Management Structure

To manage emergency incidents the University of Colorado at Boulder utilizes a tiered structure involving a Policy Group and an Emergency Management Operations Group. The Policy Group is formed around the Chancellor’s Executive Committee, serves as an advisory board for the Chancellor and provides strategic guidance during incidents. The Emergency Management Operations Group oversees operational emergency response and special event management.

The Policy Group consists of the following personnel:

Chancellor  
Executive Assistant to the Chancellor & Chief of Staff  
Provost & Executive Vice Chancellor for Academic Affairs  
Senior Vice Chancellor & Chief Financial Officer  
Vice Chancellor for Student Affairs  
Vice Chancellor for Administration (chair)  
Vice Chancellor for Research  
University Counsel  
Executive Director for University Communications  
Associate Vice Chancellor for Academic and Campus Technology

The purpose of the Policy Group is to provide strategic direction to any incident that impacts upon the ability of the University to perform its critical business functions. The Vice Chancellor for Administration will act as chair of the Policy Group and convene the group as necessary to review readiness, provide guidance to the Emergency Management Operations Group, or provide advice to the Chancellor during an emergency or large-scale event.

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

Athletics  
Boulder Fire Department  
Boulder Office of Emergency Management  
Facilities Management  
Financial and Business Services  
Graduate School / Vice Chancellor for Research  
Housing & Family Housing  
Information Technology Services / Telecom  
Natural Hazards Center  
News Services  
Provost and Executive Vice Chancellor for Academic Affairs  
Public Safety  
Recreation Services  
Red Cross  
University Libraries  
University Memorial Center  
Vice Chancellor for Research  
Wardenburg Health Center

The Emergency Management Coordinator will act as chair of the Operations Group, also referred to as the Emergency Management Operations Group (EMOG). The Emergency Management Operations Group will meet regularly to discuss plans and readiness, and will convene as required for emergencies, incidents or large-scale events.
Incident Command System (ICS) Structure

During an emergency or large scale event, the University will utilize the 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 Office of Emergency Management. 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). Boulder city and 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 Boulder and Boulder 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:** 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 Boulder city or county units. Usually Mode 1 incidents will not require Emergency Management Operations Group notification or Emergency Operations Center activation.

**Mode 2:** The incident will require mutual aid but the University retains Incident Command. Large routine events (football games), incidents requiring minimal mutual aid (injury accidents or minor 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 Boulder Fire Department exercises incident command at the scene.

**Mode 3:** The incident requires significant mutual aid and the University requests 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:** The incident requires mutual aid above and beyond Boulder 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 a 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 discussed below.
At the University of Colorado at Boulder, the Chancellor 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 Chancellor as well as providing subject matter expertise.

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, Information Officer (IO) and a Liaison Officer who report directly to the Incident Commander. 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.

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 Boulder Fire Department as the principal responding agency, the Incident Commander will usually be the responding Battalion Chief; the Incident Commander for a major athletic event could be a member of the Athletic department staff; the Incident Commander for a shelter operation could be from the Housing department. The Incident Commander may change during an incident due to changes in the scope, duration or complexity of the incident.

The Command Staff may include Safety, Information and Liaison Officers. 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 Colorado at Boulder 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 Boulder Fire Department Incident Commander the Safety Officer will usually come from the Boulder Fire Department. However, any principal university department could provide a Safety Officer based on the nature of the incident. The Information Officer (IO) - referred to in older documents as the Public Information Officer - develops and releases information about the incident to the media, incident personnel, and other appropriate agencies and organizations. The Information Officer should be the only source of media releases, and should manage all information flow to agencies/organizations external to the incident. The Information Officer should provide regular media releases and information briefings, and should attend all operations briefings. The University Office of News Services will usually provide the Information Officer. The Liaison Officer coordinates incident
activities with assisting and cooperating agencies and serves as the University representative to the Boulder
Multiple Agency Coordinating System or State Office of Emergency Management. The University
Emergency Management Coordinator will usually serve as the Liaison Officer.

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).

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 Boulder Fire Department. For other type incidents on campus, University of
Colorado at Boulder Police Department may provide the Operations Section Chief. 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. The University of Colorado at Boulder Police
Department Parking Services may provide a Staging Manager. The University of Colorado at Boulder
Police Department will usually provide a Law Enforcement Branch Director, Boulder Fire Department or
Facilities Management a Fire Branch Director, the county ambulance service provider or Wardenburg a
Medical Branch Director, Facilities Management a Public Works Branch Director, the Boulder County
Coroner a Coroner Branch Director if required, and Boulder County Office of Emergency Management or
Civil Air Patrol an Air Operations Branch Director if required.

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).
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 the Department of Public Safety. 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.

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 Family 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 Management. 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 Colorado at Boulder Police Department Communications Director, the Medical Unit Leader will be drawn from Wardenburg, and the Food Unit Leader from Housing. 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. Usually the Supply Unit Leader will be provided by the Distribution Center and the Transportation Unit Leader from the Transportation Center; the Facilities Unit Leader may be provided from Housing, the Recreation Center, the Events Center, the Athletic Department, University Memorial Center, or the Boulder office of the American Red Cross if the incident involves sheltering University personnel off campus.
The Finance Section manages all financial aspects of the incident to include purchasing and contract support. The Financial and Business Services Department of the Vice Chancellor for Administration 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 Financial or 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.

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.
Possible Complete ICS Structure for an Incident on Campus
Activation of Groups and Emergency Operations Center

The Emergency Management Operations Group (EMOG) is activated through the University of Colorado at Boulder Police Department Communications center. A director, assistant director, or member of the Emergency Management Operations Group may activate the group after coordination with any 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 senior member of Police Operations 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 Chancellor, or Vice Chancellor for Administration. When activated, the Policy Group can convene at the Chancellor’s Conference Room in Regent Hall or the Police Department second floor conference room.

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 second floor conference room of the University of Colorado Police Department, the second floor conference room Environmental Health and Safety Center (EHSC), or any other suitable location that best serves the Incident Commander (IC); for example, a command post functioning as an Emergency Operations Center for home football games is activated and staffed in the top floor of the Duane Physics building.

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 Transportation Center 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.

Other Incident Command System Terms (in alphabetical order)

Demobilization
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.

Incident Action Plan (IAP)
The Incident Action Plan 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.
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Section 3 - Organization

Joint Information Center (JIC)
A Joint Information Center may be established by the Information Officer to facilitate media briefings.

Media Releases
Under the Incident Command System, media releases are channeled through the Information Officer (IO). Only the Information Officer’s staff provides information to the media, usually through scheduled briefings. The 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 Information Officer’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)
The Multiple Agency Coordinating System is an information and resource support system utilized by the city and county of Boulder to integrate emergency actions in complex incidents. Using Multiple Agency Coordinating System, the Boulder County Office of Emergency Management coordinates support for major incidents in the jurisdiction. The University is a member of the Boulder Multiple Agency Coordinating System Group.

Operational Periods (Ops Periods)
An operational 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 also referred to as "Ops Periods."

Operations Briefings
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
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.

Record Keeping
In larger incidents, accurate and timely record keeping 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 staff's 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
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 first report to staging for accountability and assignment.
PROCEDURES

Organization for Planning

The Emergency Management Coordinator of the Environmental Health and Safety Division, Department of Public Safety coordinates University level emergency preparedness plans and annexes, business continuity and business recovery plans with the Emergency Management Operations Group.

Deans, Department Heads and Directors should appoint planners and oversee preparation of emergency preparedness and business continuity and recovery plans for their organizations. Planners may additionally serve as liaisons to the University emergency preparedness staff and Emergency Management Operations Group.

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

Preparation and Coordination of Draft Emergency and Contingency Plans and Annexes

Draft emergency and contingency plans and annexes may be prepared using the established formats.

The Emergency Management Coordinator prepares draft University level emergency and contingency plans and annexes as directed, and coordinates draft plans with all organizations identified as action agencies. Draft University level emergency and contingency plans and annexes are additionally coordinated with the Emergency Management Operations Group (EMOG). 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 Deans, Department Heads and 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 requires support by another department or organization, coordination with that organization is required. The Department Planner of the originating organization will coordinate such plans through the Emergency Management Coordinator and the Emergency Management Operations Group. 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 plan be prepared by a Dean, Department Head or Director 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 may be provided to the Emergency Management Coordinator, Environmental Health and Safety Division, Department of Public Safety for inclusion in the University plan, as well as a copy of any changes or updates to existing plans.

Publication of Approved Emergency and Contingency Plans and Annexes

Approved University level plans and annexes will published and distributed to all Policy Group and Emergency Management Operations Group members. Representatives from these groups will distribute plans and annexes to subordinate Deans, Department Heads and Directors.
Preparation of Business Continuity and Business Recovery Plans

The purpose of business continuity and business recovery plans is to allow the University to continue its critical missions of teaching, research and community 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.

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 which 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 Umbrella Plan and the Planning Handbook. 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 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. 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 draft plan be prepared by a Dean, Department Head or Director 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 may be provided to the Emergency Management Coordinator, Environmental Health and Safety Division, Department of Public Safety for inclusion in the University plan, as well as a copy of any changes or updates to existing plans.

The Business Continuity 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 and community 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 that would be 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.**

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

- Immediately essential to the critical functions of the University; list these as CRITICAL ACTIVITIES.
- Not immediately essential to University critical functions but recommended to be continued; list these as RECOMMENDED ACTIVITIES.
- Not essential to critical functions of the University that may be temporarily discontinued; list these as NON-ESSENTIAL ACTIVITIES.

**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 the other functions (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 Six. Determine if manual work-around techniques are possible and applicable. List the actions required to overcome the shortfalls identified in Step Six and meet the Recovery Time Objectives identified in Step Three. Step Seven 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 Chancellor 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.

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.
GENERAL RESPONSIBILITIES

Deans, Department Heads and Directors

Deans, Department Heads and 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 C of a University Umbrella 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 Umbrella Plan and one copy will be maintained by the Emergency Management Coordinator.

Planners

University organization planners appointed by Deans, Department Heads and Directors should:
- 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.

Chancellor's Office

The Executive Assistant to the Chancellor, Vice Chancellors, Executive Director of University Communications, University Counsel and Associate Vice Chancellor for Academic and Campus Technology serve as members of the Policy Group.

The Athletic Director, Office of News Services, and Director of Information Technology Services / Telecom provide representatives to the Emergency Management Operations Group (EMOG).

The Office of News Services will staff the Information Officer (IO) position in the Incident Command System (ICS) structure, and provide additional staff and liaisons as required.

Provost and Executive Vice Chancellor for Academic Affairs

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

University Libraries provide representatives to the Emergency Management Operations Group.

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

Vice Chancellor for Student Affairs

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

The Housing Department, Recreation Services, University Memorial Center and Wardenburg Student Health Services provide representatives to the Emergency Management Operations Group.

Senior Vice Chancellor and Chief Financial Officer

The Senior Vice Chancellor and Chief Financial Officer serves as a member of the Policy Group.
Vice Chancellor for Administration

The Vice Chancellor for Administration serves as the chair of the Policy Group.

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

Facilities Management and Public Safety (Police Department and Environmental Health and Safety) serve as primary emergency response agencies for incidents on the University.

Financial and Business Services provides the Risk Manager to:
- Assist in preparing University level business continuity and business recovery plans.
- Assist planners in preparing these plans for their organizations.

Public Safety /Environmental Health and Safety provides an Emergency Management Coordinator to:
- Prepare University Umbrella Plan and University level emergency management plans.
- Assist planners in preparing these plans for their organizations.
- Maintain University Umbrella, business continuity and business recovery plans.
- Update University level plans as required.
- Serve as liaison from Emergency Management Operations Group to Policy Group.
- Chair Emergency Management Operations Group meetings and functions.
- Serve as University liaison to Boulder Multiple Agency Coordinating System.

Vice Chancellor for Research

The Vice Chancellor for Research serves as member of the Policy Group, and provides a representative to the Emergency Management Operations Group.

Non-University Emergency Service Providers

The Boulder Fire Department and the ambulance service provider currently under contract with Boulder County are primary emergency response agencies for incidents on the University. The Boulder Fire Department and ambulance service provider will respond to all fire and hazardous material calls on the University. The Boulder Fire Department participates in the Emergency Management Operations Group.

The Boulder Police Department and Boulder County Sheriff's Office support the CU Police Department in accordance with standard operating procedures.

The Boulder office of the American Red Cross may be required to support shelter operations for the University. The American Red Cross participates in the Emergency Management Operations Group.

The Boulder Office of Emergency Management 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 Boulder Emergency Manager participates in the Emergency Management Operations Group.
UNIVERSITY OF COLORADO AT BOULDER UMBRELLA PLAN

ANNEX LISTING

A. FIRE

B. STORM

C. HAZARDOUS MATERIAL SPILL

D. FLOOD

E. CRIMINAL INCIDENTS

F. EVACUATION

G. SHELTER OPERATIONS

H. MASS CASUALTY OPERATIONS

J. WARNING AND ALERT SYSTEMS

K. UTILITIES FAILURE

L. BUSINESS CONTINUITY AND BUSINESS RECOVERY