

OFFICE OF COMPLIANCE SERVICES UVM.EDU/POLICIES



Title: Emergency Management and Continuity of Operations

Policy Statement

The University of Vermont (UVM) is committed to the safety and welfare of faculty, staff, students, affiliates and visitors; the protection of its financial and physical assets; and operational continuity as a University. To this end, UVM will, on an ongoing basis, prepare to manage campus emergencies and continue essential functions and/or recover rapidly after a disruption occurs. The University seeks to create and maintain an enterprise-wide culture of preparedness that encompasses an all-hazards and whole community approach to Emergency Management and Continuity of Operations.

Reason for the Policy

UVM's resilience and reputation is directly related to its ability to competently respond to, manage, and recover from an emergency. While the severity and consequences of an emergency cannot be predicted, effective emergency management and continuity efforts have proven effective in ensuring the University can do its best to maintain essential functions and meet its obligations under all-hazard threat conditions.

Applicability of the Policy

This policy applies to all UVM administrators, faculty, staff, students, affiliates, and visitors on the UVM campus, at its off-campus facilities, while on official travel for the University, and/or who are involved in emergency preparedness, mitigation, response and recovery, and/or continuity efforts at the University.

Definitions

<u>Academic Continuity:</u> The process of preserving the functions of the academic core of the University

including teaching and learning, scholarship, and research.

Administrative Continuity: The process of preserving the functions of the administrative core of the

University including communications, risk management, information technology, finance, facilities, enrollment management, student affairs, and human resources.

All-hazards include human-made, natural, and technological events. Most are

difficult to predict and their impacts to the institution and/or unit are hard to predetermine. Planners should consider many different potential threats and hazards and the likelihood they will occur in preparing for Emergency Management and

Continuity of Operations efforts.

<u>CATAlert:</u> The CATAlert system is used by the University to deliver fast and effective

emergency communications. For more information go to:

https://www.uvm.edu/emergency/catalert_campus_alerting_system

Continuity of Operations:

An effort within individual operating units to ensure that they can continue to perform their essential functions during a wide range of emergencies and/or disruptions.

<u>Continuity of Operations Plan:</u> A plan that identifies essential functions; establishes guidance and procedures

to ensure essential functions can continue; spells out procedures for alerting, notifying, activating and deploying employees; and acquiring alternate facilities and

resources in the event of a wide range of emergencies.

<u>Crisis Support Team:</u> The Crisis Support Team coordinates and provides access to emotional and

counseling support for UVM students, staff, and/or faculty during or after a critical incident or emergency. The team also provides other structural supports during an emergency including activation and staffing of an Emergency Call Center, support for family reunification centers, and participating in critical incident debriefs. The Crisis Support Team is led by the Assistant Dean of Students or designee in collaboration

with the Director of Counseling and Psychiatry Services or designee.

<u>Cyber Security Incident Response Team:</u> A team responsible for rapid response to significant information

security events as determined by the Information Security Officer or designee. The team will be led by the Information Security Officer or designee who will communicate any necessary cyber incident information to the University's Information Security Council. When the situation warrants, the Information Security Officer or designee will inform the Emergency Operations Group of cyber incidents

requiring a broader University response.

<u>Disaster Recovery:</u> Actions intended to minimize the negative effects of a disaster and allow the

organization to maintain, or quickly resume mission-essential functions.

<u>Emergency:</u> An unforeseen combination of circumstances requiring an immediate response to

help prevent or reduce injuries, death, major damage to property or a business

interruption impacting ability to accomplish the University's mission.

Emergency Management: The managerial function charged with creating the framework within which

the University and departments reduce vulnerability to hazards, cope with disasters or emergencies and recover as swiftly as possible. Emergency Management

promotes safer, more resilient communities able to cope with hazards and disasters.

Emergency Manager: During an emergency, this role serves as support to the Incident Commander and

provides leadership and coordination for the Emergency Operations Group. Additionally, the Emergency Manager serves as UVM's designated Emergency Management Director where required by federal or state statute or regulation.

Emergency Operations Center (EOC): A command and control facility, location, and/or virtual

communications used to carry out emergency and/or disaster management functions during an emergency. UVM maintains EOC facilities, as well as digital, virtual communications systems, and may employ one or more during an emergency.

Emergency Operations Group: The Emergency Operations Group (EOG) serves as the University's Emergency

Management Response Team. The EOG staffs the Emergency Operations Center during times of crisis, and provides guidance and support for large University events,

emergencies, and disasters. The team is trained in the Incident Command System and EOC operations. The group meets on a regular basis and as needed for emergencies.

Emergency Operations Group Planning Team:

A subset of the Emergency Operations Group, the Planning Team assesses threats to the campus and may conduct high level planning, coordination and assistance for University events and/or emerging threats or hazards for which there is adequate time to plan the University's response. The team also helps ensure operational readiness by planning training, exercises, and maintaining the University's Integrated Preparedness Plan. The team is comprised of Emergency Operations Group members and augmented by the Executive Policy Group and/or other subject matter experts. Depending on the threat or planning needed, the Planning Team is led by the Emergency Manager, another member of the Emergency Operations Group or a member of the Executive Policy Group.

Emergency Response Teams: One or more individuals designated by their Vice President, Dean, Director or Department Chair to support the University's and/or their unit's Emergency Management and Continuity of Operations efforts when an emergency or incident occurs affecting their unit(s).

<u>Essential Functions:</u> The set of organizational-level functions that must be continued throughout, or resumed as rapidly as possible after, a disruption of normal activities.

Executive Policy Group: Consists of the President, Provost and Senior Vice President, Vice President for Finance and Treasurer, Vice President for Legal Affairs and General Counsel, Chief Human Resources Officer, Chief of Staff to the President, and Chief Safety and Compliance Officer, or their designees. The policy group is responsible for making decisions regarding needed changes to normal operations during an emergency.

<u>Functional Annex:</u> Individual optional annexes to an Emergency Operations Plan and/or Continuity of Operations plan that focus on critical procedures or functions requiring amplification beyond a short summary paragraph in the base plan.

<u>Incident Commander:</u> The person on-scene during an emergency responsible for managing the incident and directing resources.

<u>Incident Command System:</u> A federally mandated standardized approach to the command, control and coordination of emergency response, providing a common hierarchy within which responders from multiple agencies can be effective.

Information Security Council: A risk-based advisory committee responsible for providing guidance and support to the Information Security Officer and Chief Information Officer by reviewing, evaluating, and acting against Information Security risks faced by The University. When the information security response requires a broader institutional response, the Information Security Council, through the Information Security Officer, will inform/request Emergency Operations Group activation.

Information Security Officer:

The Information Security Officer or designee ensures the confidentiality, integrity, and availability of University electronic information, by communicating risk to senior administration, creating and maintaining enforceable policies and supporting processes, and ensuring compliance with regulatory requirements. The Information Security Officer or designee also ensures that a University system-wide, disaster recovery and incident response plan is in place.

<u>Human Induced Hazards:</u> An emergency or disastrous event caused directly and principally by one or

more identifiable, deliberate or negligent human actions (e.g., chemical attacks, cuber incident.)

cyber incident.)

National Incident Management System: A comprehensive, national approach to incident management that is

applicable at all jurisdictional levels, and across functional disciplines. It is intended to be applicable across a full spectrum of potential incidents, hazards, and impacts,

regardless of size, location or complexity.

Natural hazards: Naturally occurring physical phenomena caused either by rapid or slow onset events

which can be **geophysical** (e.g. <u>earthquakes</u>, <u>landslides</u>,) **hydrological** (e.g. <u>avalanches</u> and <u>floods</u>,) **climatological** (e.g. <u>heat waves</u>, <u>cold waves</u>, <u>drought</u> and <u>wildfires</u>,) meteorological (e.g. <u>hurricanes</u>/tropical storms/significant winter weather)

or biological (e.g. disease epidemics and insect/animal plagues.)

<u>Operational Period:</u> A defined period of time or work period/"shift" when the EOC is activated during an

emergency.

Research Continuity: The capability to maintain critical research equipment, supplies, computers, unique

data and specimens/samples, and records during disruptive events, or the capability to quickly reconstitute these resources and resume research after a disruptive event.

<u>Technological Hazards:</u> Include industrial pollution, nuclear radiation, toxic wastes, dam failures, transport,

industrial or technological accidents (e.g. explosions, fires, chemical spills.)

<u>Unified Command:</u> Unified Command is a structure of incident command used during complex incidents

where multiple agency commanders work together to support the incident

commander.

Procedures

General

UVM's Emergency Manager or designee will coordinate the implementation of UVM's Emergency Management and Continuity of Operations program including:

- 1. Incorporation of all phases of Emergency Management: prevention, preparedness, mitigation, response and recovery.
- 2. Incorporation of key Continuity of Operations components: an all-hazards risk assessment; a simplified business impact analysis; and unit continuity of operations plans development, training, exercises and continuous improvement.
- 3. The incorporation and use of the National Incident Management System and Incident Command System frameworks to manage campus emergencies, and to integrate seamlessly and fully with external emergency responders and public agencies responding to UVM emergencies.
- 4. The use of National Fire Protection Association 1600 Standard on Disaster/Emergency Management and Business Continuity/Continuity of Operations Programs as a best practice aspiration for UVM's Emergency Management/Continuity of Operations program.

Emergency Management Procedures

Disasters and Emergencies Beyond the UVM Campus

In a state of emergency or during larger scale disasters or emergency operations, the State of Vermont - pursuant to state statute and at the direction of the Governor, the Commissioner of the Department of

Public Safety, or the State Emergency Operations Center or their designees - may direct University operations or assets. Similarly, in a smaller scale event occurring in the cities of Burlington or South Burlington, their emergency management functions may, to the extent of applicable law, supersede those of the University and employ University assets in the larger, coordinated response. When events occur on a larger scale, UVM emergency management teams will assist in the statewide and regional response to the greatest extent reasonably possible.

In preparation for emergencies occurring on a statewide or regional basis, UVM's emergency management teams endeavor to train and conduct drills with these emergency response partners, often in direct partnership with the Vermont Department of Public Safety Division of Emergency Management.

Declaring a Campus Emergency

During a campus emergency, the University President (or the next most senior available administrator – see <u>Delegation of Authority University Operating Procedure</u> has ultimate responsibility and authority for declaring, setting direction, and making key executive decisions during, and ending a "state of campus emergency." The President is advised by the Executive Policy Group and has delegated institution-wide operational decisions to the Emergency Operations Group.

Roles During an Emergency

The initial response to a campus emergency is managed in accordance with the University's all-hazards Emergency Operations Plan, and its related annexes.

When a campus emergency exceeds the capacity of the on-scene Incident Commander, or the nature of the emergency requires a broader University response, the Emergency Operations Center and Emergency Operations Group will be activated under the direction of the Chief Safety & Compliance Officer or designee with the Vice Provost for Student Affairs or the Emergency Manager or their designees acting as the EOC Manager for specified operational periods, depending upon the nature of the emergency. UVM's Emergency Manager or designee may provide on-scene incident management support to the Incident Commander or may operate from the Emergency Operations Center. Other EOC managers may be designated during longer-term events as needed.

The Executive Policy Group will meet at the request of the University President or next most senior member of the group, to address policy issues.

In addition to overseeing operations of the EOC/EOG, the Chief Safety and Compliance Officer or designee serves as a member of and liaison between the Executive Policy Group and the Emergency Operations Group and will normally be located in the Emergency Operations Center with the Emergency Operations Group.

The role of the EOG is to provide guidance, coordination and support to on-scene Incident Command during emergencies by staffing the UVM Emergency Operations Center.

EOG participation is pre-assigned in most instances, ad hoc in some, and expected based on knowledge/experience and university position. Levels of participation include:

Tier I = Individuals who fill Command and General Staff positions and their alternates and attend regular meetings, training, drills, and exercises. Required training for Tier 1 EOG members is- FEMA IS-700 and FEMA IS-100. Tier 1 EOG members include:

- UVM Role EOG Role
- Vice Provost for Student Affairs EOC Manager
- o Emergency Manager EOC Manager

- Director, Environmental Health and Safety Safety Officer
- Fire Marshal On-Scene Liaison
- Executive Director and University Spokesperson, Strategic Communications Public Information Officer (PIO)
- o Social Media Manager PIO/Intelligence and Information Section
- o Facilities Management Executive Director Section Chief
- o Associate Director for Maintenance & Operations Physical Plant Section Chief
- Director, Event Services Section Chief
- o Chief Officers, Police Services Section Chief
- o Director, Residential Life Section Chief
- o Director, Student Life Section Chief
- o Director, Risk Management Section Chief
- o Office of General Counsel Policy Group Representative
- Chief Safety and Compliance Officer Liaison to Policy Group

Tier II = Individuals who may lead or direct branches and teams an incident. Tier II members attend periodic meetings as assigned - normally February and October - and participate in drills, and exercises. Attendance at all other monthly meetings and training is welcome but not mandatory. Required training for Tier II members is - FEMA IS-700 and FEMA IS-100.

- UVM Role EOG Incident Support Role
- Campus Planning Facilities/Space
- CatCard Access Control/CCTV
- Center for Health and Wellbeing Medical/Crisis Support
- Custodial Facilities
- o Dean of Students Office Crisis Support/Family Notification and Reunification/Call Center
- o Dining, University Food Service
- Environmental Health and Safety Confined Space/Occupational Safety
- o HR Employee Support
- o Information Technology and Security Cybersecurity/IT Support
- Purchasing and Contracts Procurement
- Registrar Academic Continuity
- Telecommunications and Network Services Communications and IT Support
- o Transportation and Parking Transportation/Traffic Control/Parking

During an emergency, on recommendation of the Emergency Operations Group or independently, the Chief Safety and Compliance Officer or designee may assign UVM employees to assume temporary emergency support roles and may direct UVM equipment or assets to respond to an emergency. Any employees who do not have specific roles during a declared "state of campus emergency" may be called upon to assist with an emergency.

Emergency Response Teams. When activated, unit Emergency Response Teams establish and maintain communication with, and assist their unit's Emergency Management efforts, the Incident Commander on-scene, and/or the University's Emergency Operations Group response to, and recovery from, an emergency or incident.

Essential Employees

Essential employees are those individuals designated on a situational basis by their academic or administrative department head(s) to provide essential functions during a campus emergency and/or when The University has suspended normal operations, such as in the event of a University closure. When identified for a particular emergency situation, these individuals will be expected to work as assigned for the duration of the emergency.

Emergency Campus Closure

The decision to close the University rests with the President or designee. Under most circumstances, the University will remain open when classes are in session unless an external governmental authority (i.e., U.S. President, Governor or Mayor) requests that the University close, or where campus conditions preclude the provision of normal services (winter storm, hurricane, campus-wide power or water system failure, etc.). Employees who are directed to work during a campus closure will be compensated in accordance with University policy, or collective bargaining agreement, as applicable.

<u>Limited Campus Operations and Reduced Staffing</u>

Although only the President or designee can officially "shut-down" all University activities, Deans, Vice Presidents, Directors, and Department Heads have the authority to scale back staffing levels or implement alternative work arrangements as long as they <u>maintain basic services within their units</u>. For instance, Deans, Vice Presidents, Directors, and Department Heads may choose to allow employees to leave early and/or come in late without charge to leave, and telework-ready employees may be directed to work from pre-approved remote locations when normal operations are disrupted (the Telework Policy can be found at: http://www.uvm.edu/policies/hr/telecommuting.pdf).

In addition, employees not designated as "essential" for the particular emergency situation at hand may request to use accrued leave in lieu of working. Approval or denial of these requests should be considered carefully and in accordance with the terms of any relevant handbook or collective bargaining agreement. Supervisors and managers may deny any request that would interfere with the University's business operations (e.g., snow removal, de-icing). Employees are expected to work as scheduled and directed unless their absence is authorized.

Continuity of Operations

Continuity of Operations Goals

- Ensure unit order of succession and delegation of authority
- Determine priority of, and perform unit essential functions in order of priority
- Acquire space and equipment as necessary for unit essential services
- Manage unit human resources
- Establish means for identifying, backing-up and accessing unit vital records, files and databases

Roles and Responsibilities

<u>Chief Safety and Compliance Officer or their designee</u> – Leads the University's continuity of operations efforts assisted by the Continuity of Operations Working Group.

Continuity of Operations Working Group – Implements UVM's Continuity of Operations program: 1) assists the Emergency Operations Group to develop and maintain an institution-level, all-hazard risk assessment and heat map; 2) produce a simplified business impact analysis; 3) produce and maintain a Continuity of Operations plan; 4) assist department Emergency Response Teams to develop unit continuity of operations plans; and 5) develop and conduct Continuity of Operations training, exercises and continuous improvement efforts. The standing Continuity of Operations Working Group includes: the Associate Chief Information Officer, Informational Security Officer, Director of IT Systems Architecture and Administration, Director of Risk Management, Director of Compliance Services, and the Emergency Manager or their designees.

The Continuity of Operations Plan may be incorporated into the University's Emergency Operations Plan and may include any of the <u>functions</u> listed below. Responsibility for the development, maintenance and testing of continuity-focused operational plans is assigned as follows:

<u>Central Executive Operations</u> (including all central executive direction, coordination and communications functions, and the management of essential University records): *Chief Safety and Compliance Officer or designee*

<u>IT Infrastructure and Systems</u> (including campus network & data, IT services, and centrally managed enterprise systems and telecommunications): *Chief Information Officer or designee*

<u>Financial Systems</u> (including payroll, cash management, procurement, payments, and financial records systems): *Vice President for Finance and Administration or designee*

<u>Facilities Infrastructure</u> (including buildings, utilities, potable water, grounds, sanitation and related support services): *Vice President for Finance and Administration or designee*

<u>Public Safety Systems</u> (including law enforcement and security, emergency communications and 911 dispatch, fire detection and suppression systems, search and rescue, hazardous material response, emergency management operations, emergency medical services, crisis transportation & parking management): *Chief Safety and Compliance Officer or designee*

<u>Human Resource Systems</u> (including talent management, employee and labor relations, benefits management and employee records): *Chief Human Resources Officer or designee*

<u>Enrollment Management Support Services</u> (including admissions, SLATE comprehensive CRM software registrar and student financial aid): *Vice President for Enrollment Management or designee*

<u>Student Support Services</u> (including the provision of housing, food, medical care and crisis mental health counseling): *Vice President for Student Affairs or designee*

<u>Instructional Activities</u> (including teaching and learning, scholarship, as well as those processes that impact faculty appointment, promotion, and tenure): *Provost or designee*

<u>Research Activities</u> (including critical research equipment, supplies, central computers/software like CLICK, unique data and specimens/samples and records, and animal care): *Vice President for Research or designee*

<u>Public Relations Activities</u> (including public affairs and communications, social media, government and community relations): *Chief Communications and Marketing Officer or designee*

<u>Emergency Response Teams</u> assist their Vice President, Dean, Director or Department Chair to develop and maintain their unit's Continuity of Operations Plan.

Continuity of Operations Procedures

<u>All-Hazards Risk Assessment and Heat Map</u> – Continuity of Operations Working Group in coordination with the Emergency Operations Group, will prepare and update as needed, an all-hazard risk assessment to identify and analyze potential hazards, and to inform The University's business impact analysis, and Emergency Operations Plan and/or Continuity of Operations development.

<u>Simplified Business Impact Analysis</u> – The Continuity of Operations Working Group in coordination with the Emergency Operations Group, will prepare, update as needed and use a simplified business impact

analysis to determine the potential impacts resulting from the interruption of critical University business processes.

<u>Continuity of Operations Plan and Unit Continuity of Operations Plans</u> – The Continuity of Operations Working Group in coordination with the Emergency Operations Group, will prepare and update as needed The University's Continuity of Operations Plan. Deans and Vice Presidents will prepare and update as needed unit Continuity of Operations Plans.

The University's Continuity of Operations Plan, and/or unit Continuity of Operations Plans may be activated by the President or designee, based on the type of campus emergency and the recommendation of either the Executive Policy Group or Emergency Operations Group. Individual unit Continuity of Operations Plan may also be activated, by the unit's responsible senior leader or Emergency Response Team, Emergency Operations Group, Emergency Manager, or the Incident Commander.

Contacts

Questions concerning the daily operational interpretation of this policy should be directed to the following		
(in accordance with the policy elaboration and procedures):		
Title(s)/Department(s): Contact Information:		
Chief Safety and Compliance Officer 347 Waterman Building		
	Michael.Schirling@uvm.edu	
Emergency Manager, Office of Emergency	Manager, Office of Emergency Room 008, 109 South Prospect Street	
Management	emergency@uvm.edu	

Forms/Flowcharts/Diagrams

None

Related Documents/Policies

- Delegation of Executive Authority
- Information Security Policy
- UVM Continuity of Operations Planning
- <u>UVM Emergency Management website</u>
- <u>UVM Emergency Operations Plan</u>

Regulatory References/Citations

- Federal Emergency Management Agency course website
- Incident Command System
- National Fire Prevention Association 1600 Standard on Disaster/Emergency Management and Business Continuity/Continuity of Operations Programs
- National Incident Management System
- Vermont Emergency Management Training Information

Training/Education

Training Topic:	Introductory Federal Emergency Management Agency Training		
Training Audience:	 UVM staff and/or faculty with any general role in emergency preparedness, incident management, or response: Federal Emergency Management Agency courses IS-100.C: Introduction to the Incident Command System, ICS 100. These individuals are also encouraged to participate in Emergency Management or Continuity of Operations training and/or exercises when the training and/or exercise objectives warrant their participation. 	Delivered By:	Federal Emergency Management Agency, online self-study at https://training.fema.gov/is/courseoverview.aspx?code=is-100.c⟨=en
Method of Delivery:	 Federal Emergency Management Agency course IS-100.C is available on demand online at: https://training.fema.gov/is/courseoverview.aspx?code=is-100.c⟨=en University Emergency Management or Continuity of Operations training and exercises will be scheduled and delivered in person when possible. 	Frequency:	One-time. Annually Participation will be determined by the training objectives and availability of units and/or individuals to participate.

Training Topic:	Critical Role Federal Emergency Management Ag	gency Training	
Training Audience:	Emergency Operations Group Tier 1 and Tier II members must complete the following courses:	Delivered By: Federal Emergency Mana-Agency, online self-study https://training.fema.gov/erview.aspx?code=IS-700.and https://training.fema.gov/erview.aspx?code=IS-100.	at /is/courseov .b⟨=en /is/courseov

 Method of Delivery: Federal Emergency Management Agency courses are available on demand on-line. See FEMA's website at: https://training.fema.gov/is/crslist.aspx. University Emergency Management or Continuity of Operations training and exercises will be scheduled and delivered in person when possible. 	Frequency:	One-time, within 1 year of assignment to Emergency Operations Group. Annually. Participation will be determined by the training objectives and availability of units and/or individuals to participate.
---	------------	--

Training Topic:	Leadership Federal Emergency Management Agency Training		
Training Audience:	 Recommended for UVM's Emergency Manager, Police & Deputy Chiefs and Sergeants, UVM Rescue Director of Operations and Training Officer, and Emergency Operations Center Managers: IS-100.C Introduction to the Incident Command System, ICS 100 IS-200.C Basic Incident Command System for Initial Response, ICS-200 Advanced scenario-based FEMA or DHS courses such as MGT-324 or MGT-346 These individuals are also required to participate in Emergency Management or Continuity of Operations training and/or exercises when the training and/or exercise objectives warrant their participation. 	Delivered By:	Department providing training: Office of Emergency Management coordinating though Vermont Emergency Management.
Method of Delivery:	 These courses are provided by State and Federal instructors and are in person only. For Vermont training opportunities, see the Vermont Emergency Management Training Calendar: https://vem.vermont.gov/training University Emergency Management or Continuity of Operations training and exercises will be scheduled and delivered in person when possible. 	Frequency:	As courses are made available. Annually. Participation will be determined by the training objectives and availability of units and/or individuals to participate.

About this Policy

Responsible Official:	Chief Safety and Compliance Officer	Approval Authority:	President
Policy Number:	V. 3.25.1	Effective Date:	June 13, 2023
Revision History:	 the Vice President for Finance ar Relations and Administration Au V. 5.8.3/V. 3.8.3 effective Novem the Vice President for University Operations and Public Safety (VF 2022. Title of VPOPS changed to V. 3.25.1 effective June 13, 2023. 	5.8.2 effective August 27, 2010. Responsible official officially changed from ident for Finance and Administration to the Vice President for University	

University of Vermont Policies and Operating Procedures are subject to amendment. For the official, approved, and most recent version, please visit UVM's <u>Institutional Policies Website</u>.