

Incident Management Plan



May 2007

**Corrections to this plan shall be forwarded to
Office of the Vice President for Administration and Finance
Box 4088**

NORTHERN ARIZONA UNIVERSITY
Incident Management Plan

LETTER OF PROMULGATION

On March 1, 2004, the Department of Homeland Security declared the National Incident Management System (NIMS) as the national model for incident management and response. NIMS is a comprehensive, national approach to incident management that is applicable at all jurisdictional levels and across functional disciplines. The intent of NIMS is to:

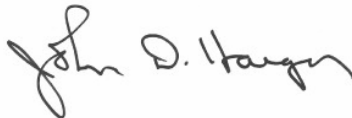
- Be applicable across a full spectrum of potential incidents and hazard scenarios, regardless of size or complexity.
- Improve coordination and cooperation between public and private entities in a variety of domestic incident management activities.

A key component of NIMS is the Incident Command System (ICS). The ICS is recognized as the foundation for an effective, “all hazard” emergency planning, and response and recovery capability. It is based on the following concepts and principles: common terminology, modular organization, management by objectives, incident action plans, manageable span of control, pre-designated incident facilities, comprehensive resource management, integrated communications, command and control, unified command, accountability, deployment, and information and intelligence management. The NIMS and ICS standardized procedures for managing personnel, communications, facilities, and resources will enhance our readiness, maintain first responder safety, and streamline incident management processes.

The National Incident Management System and the Incident Command System shall be the university standards for incident management.

It is a directive to Northern Arizona University departments to plan for, and upon order, execute emergency tasks to ensure the safety and survival of the university population and protection of university property in the event of a disaster.

Date: May 1, 2007



Adopted: _____
Dr. John Denis Haeger, President
Northern Arizona University

**NORTHERN ARIZONA UNIVERSITY
INCIDENT MANAGEMENT PLAN**

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 The university has developed worksheets covering numerous incidents using five categories: areas of vulnerability, key audiences, pre-planning tasks and tasks in managing the incident.	
 The Incident Management Plan is a working document and will be updated continually with an annual review each fall.	
 Potential incident contingencies at Northern Arizona University are identified under the following general headings:	
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INCIDENT MANAGEMENT PLAN NORTHERN ARIZONA UNIVERSITY

INTRODUCTION

It is the underlying philosophy of Northern Arizona University that the best incident management plan is to avoid the incident altogether and significant efforts should be made toward that end.

The aspects of an incident that threaten lives or health, public or private property, the public image, or the credibility of the university will require open, pro-active communications with the following:

- The media
- Students and parents
- University staff and employees (and families)
- The Arizona Board of Regents
- Various political leaders
- Regulatory agencies
- The community

Specific actions will and could include the following:

- Restatements of the university's long-standing commitment to be responsible and responsive to its students, staff, employees and the surrounding community.
- Demonstration of concern for its employees and the communities that have been affected by the event.
- Media briefings and news releases at the local, state and, if necessary, national levels citing specific actions taken.
- Discussions with administrative or elected officials.
- Discussions with the Arizona Board of Regents.

- Advertisements in newspapers and various forms of employee communications, participation in speaker forums and the possible immediate on-scene presence of the university president/provost.
- Extraordinary measures also will be undertaken by the university to restore any community property damage and to maintain the community's confidence in the university.
- The scope of the University's Incident Management Plan (IMP), **however**, is to outline a management system for use in the event an incident occurs that meets the criteria outlined below.

INCIDENT DEFINITION

For Northern Arizona University, an "incident" is defined as any unplanned event that has the potential to significantly affect the well-being of university community members, the university's image or operations, or to pose a significant economic or legal liability.

The following criteria are guidelines for evaluating a crisis incident, heretofore referred to as an "incident":

- Fatalities and serious injuries caused by either "acts of God" or other causes, e.g., suicide, assault, robberies, traffic accidents, etc.
- Significant environmental damage that would affect the university's infrastructure, e.g., floods, fires, etc.
- Any other event or incident that poses potential damage to the university's reputation and/or credibility, e.g., discovery of misuse of university funds, or misbehavior by a visible student athlete, etc.

Incidents that **do not** meet the "significance" criteria stated above will not be managed with the incident management process, but will be handled in the routine course of business.

INCIDENT CLASSIFICATIONS

Incidents can have many different dimensions depending upon their geographical impact, their potential for harm to human health and the environment, and/or their economic or image impact to the university. For ease of differentiation, the following classification system will be used:

Class III Incident: A catastrophic emergency event involving the entire campus and surrounding community or a major incident with **national** implications. The potential public and environmental exposure is truly significant. Maximum university and third-party resources should be used to control and correct the problem. Governmental involvement and media interest will be intense. Example: A major release of toxic chemicals caused by a fire releasing emissions over the university and the City of Flagstaff.

Class II Incident: A major emergency that impacts a sizeable portion of the campus and/or outside community or a incident with **at least** regional implications. The potential public and environmental exposure is of significant concern. Local university resources may have to be supplemented with third-party resources to manage the event. Public and media interest will be moderately high but primarily at the local and regional level. Example: A major fire at one of the university's residence halls that results in minor injuries and student evacuation.

Class I Incident: An incident with state and local implications. The potential public and environmental exposure is minimal. For the most part, the problem can be corrected with local resources and some third-party resources. Public and media interest will be moderately high but restricted primarily at local levels. An example would be the disclosure of one of the university's department heads involved in misallocating university funds for personal use.

Most incidents occurring at the university will take on a Class I classification.

RESPONSIBILITY FOR CRISIS INCIDENT DESIGNATION

The university department (or function) most affected by a crisis incident will be responsible for reviewing the event with the university's office of the Vice President for Administration and Finance and the Office of Public Affairs in consultation with key staff and the university president. A determination will then be made if the situation will be designated as an incident or handled in the normal course of business.

If an incident is designated, an Incident Management Team (IMT) will be formed appropriate to the classification of the incident. The reporting relationships will be designated by the office of the VP for Administration and Finance and the Office of Public Affairs.

RESOURCE REQUIREMENTS

A crisis incident, by definition, will require dedication of significant resources at both senior and staff levels. Typically, resources from both the entire university and the community will be utilized as required.

FUNCTIONAL COMMUNICATIONS

Knowledge of an event of potential crisis proportions may come from any one source or a combination of several channels. Normal routes of internal communication include the office of Public Affairs, the office of the VP for Administration and Finance, the office of the President, the respective colleges/schools, the budget office, security, etc. Regardless of the origin, prompt communications among the designated people for these designated areas is essential to determine if the potential for an incident exists.

The university unit most affected by an incident is responsible for ensuring that communications take place with all appropriate department representatives. In the early stages of an incident, this is likely to be the university police and public affairs.

INCIDENT MANAGEMENT TEAM

Mission

The Incident Management Team (IMT) will provide direction and coordination of the university's response (utilizing the Incident Command Structure) to a campus emergency or incident situation to minimize the negative and traumatizing effects of such a situation.

Objectives

The primary objectives of the IMT are the following:

- To provide a coordinated comprehensive response to a campus emergency or incident situation.
- To provide caring assistance to those directly involved in the situation and to students, faculty, staff and family members affected by it.

Membership

Participation of the members will depend upon the nature and requirements of the campus emergency or incident situation. Membership in the IMT may be expanded to include representatives from other NAU departments and/or representatives of local or state agencies. (See Section II-3 - Incident Management Team - for current members of the IMT.)

Charge

The charge of the Incident Management Team (IMT) is to serve as a focal point for communications and coordination of all matters related to the incident. Specific responsibilities include:

- Establish and publish for team members and the President's Cabinet a specific protocol and necessary information for convening an emergency meeting.
- Select and execute a strategy for dealing with the media, students, parents, employees, public constituencies, regulatory agencies, political leaders and community residents.
- Continue analysis of the situation.

- Determine personnel to be added to the core team to provide the most effective, coordinated and comprehensive response to a specific incident or situation.
- Coordinate all policies and procedures needed for management of the event. This may include identification of policy and procedural needs, interpretation of existing policies, if applicable, and establishment of appropriate financial authorities, as needed.
- Serve as a central clearinghouse for information and coordinate communications about the situation to the media and campus community in order to disseminate accurate information, to provide reassurance and to appropriately protect the privacy of individuals involved.
- Review and ensure that media responses, news releases, management letters, etc., are accurate and consistent with the strategy selected; select a spokesperson, as necessary.
- Identify special safety and security needs created by the situation.
- Appoint appropriate investigation teams that satisfy all legal and technical needs.
- Oversee and approve all field organization activities.
- Insure that crisis counseling, spiritual guidance and other support services are provided as needed to affected NAU community members, family members and team members.
- Keep senior administration personnel, the appropriate unit representatives and the Board of Regents informed.
- Determine follow-up actions once the situation is stabilized and the incident or emergency has ended.
- Prepare a post-incident critique.

INCIDENT MANAGEMENT TEAM LEADER

For incidents that have been declared and designated an incident, an Incident Management Team Leader (IMT Leader) will be selected based on experience in the area related to the specific incident. The IMT Leader will utilize the Incident Command Structure (ICS). With this plan, the IMT Leader is equivalent to the Incident Commander in the Incident Command Structure.

While functioning as an IMT Leader, the individual will report directly to the university president or designee.

INCIDENT MANAGEMENT TEAM MEMBERS

Team members will be appointed by the IMT Leader based on the nature of the specific event and the skills needed to manage it. The leader will review the recommended team composition with appropriate members of the administration to seek their concurrence on the scope and type of resources needed on the team. Typical areas of expertise that will likely be needed to manage most crises include:

- Academic Affairs
- Human Resources
- Information Technology Services
- Legal
- Office of the Vice President for Administration and Finance
- Office of Public Affairs
- Student Affairs/Student Life
- University Police

The needs of each event will be determined on a case-by-case basis to decide what representation is needed on the Incident Management Team (IMT) and what other indirect representation is necessary. In some cases, outside resources will be required to provide the expertise. **Appointment to an IMT will supersede all other existing work assignments.**

The need for indirect staff support to an IMT may occur periodically during the course of an incident. These additional support needs will be determined by the IMT as specific requirements are defined. The IMT Leader will be responsible for securing the support from the specific functional or administrative areas of expertise identified.

NATIONAL INCIDENT MANAGEMENT SYSTEM (NIMS)

On March 1, 2004, the Department of Homeland Security declared the National Incident Management System (NIMS) as the national model for incident management and response. NIMS is a comprehensive, national approach to incident management that is applicable at all jurisdictional levels and across functional disciplines. The intent of NIMS is to:

- Be applicable across a full spectrum of potential incidents and hazard scenarios, regardless of size or complexity.
- Improve coordination and cooperation between public and private entities in a variety of domestic incident management activities.

The NIMS integrates existing best practices into six major components. These components work together as a system for preparing for, preventing, responding to, and recovering from a disaster. The components are:

1. Command and Management

a. The Incident Command System (ICS)

The ICS defines the operating characteristics, interactive management components, and structure of incident management and emergency response organizations engaged throughout the life cycle of an incident;

b. Multi-agency Coordination Systems

These define the operating characteristics, interactive management components, and organizational structure of supporting incident management entities engaged at the Federal, State, local, tribal, and regional levels through mutual-aid agreements and other assistance arrangements; and

c. Public Information Systems

These refer to processes, procedures, and systems for communicating timely and accurate information to the public during crises or emergency situations.

2. Preparedness

a. Planning

Plans describe how personnel, equipment, and other resources are used to support incident management and emergency response activities. Plans provide mechanisms and systems for setting priorities, integrating multiple entities and

functions, and ensuring that communications and other systems are available and integrated multiple entities and functions, and ensuring that communications and other systems are available and integrated in support of a full spectrum of incident management requirements.

b. Training

Training includes standard courses on multi-agency incident command and management, organizational structure, and operational procedures; discipline-specific and agency-specific incident management courses, and courses on the integration and use of supporting technologies.

c. Exercises

Incident management organizations and personnel must participate in realistic exercises – including multidisciplinary, multi-jurisdictional and multi-sector interaction - to improve integration and interoperability and optimize resource utilization during incident operations.

d. Personnel Qualification and Certification

Qualification and certification activities are undertaken to identify and publish national-level standards and measure performance against these standards to ensure that incident management and emergency responder personnel are appropriately qualified and officially certified to perform NIMS-related functions.

e. Equipment Acquisition and Certification

Incident management organizations and emergency responders at all levels rely on various types of equipment to perform mission essential tasks. A critical component of operational preparedness is the acquisition of equipment that will perform to certain standards, including the capability to be interoperable with similar equipment used by other jurisdictions.

f. Mutual Aid

Mutual-aid agreements are the means for out jurisdiction to provide resources, facilities, services, and other required support to another jurisdiction during an incident. Each jurisdiction should be party to a mutual-aid agreement with appropriate jurisdictions from which they expect to receive or to which they expect to provide assistance during an incident.

g. Publications Management

Publications management refers to forms and forms standardization, developing

publication materials, administering publications – including establishing naming and numbering conventions, managing the publication and promulgation of documents, and exercising control over sensitive documents – and revising publications when necessary.

3. Resource Management

The NIMS defines standardized mechanisms and establishes requirement for processes to describe, inventory, mobilize, dispatch, track, and recover resources over the life cycle of an incident.

4. Communications and Information Management

a. Incident Management Communications.

Incident management organizations must ensure the effective, interoperable communications processes, procedures, and systems exist to support a wide variety of incident management activities across agencies and jurisdictions.

b. Information Management

Information management processes, procedures, and systems help ensure that information, including communications and data, flows efficiently through a commonly accepted architecture supporting numerous agencies and jurisdictions responsible for managing or directing domestic incidents, those impacted by the incident, and those contributing resources to the incident management effort. Effective information management enhances incident management and response and helps insure that crisis decision-making is better informed.

5. Supporting Technologies

Technology and technological systems provide supporting capabilities essential to implementing and continuously refining the NIMS. These include voice and data communications systems, information management systems (i.e., record keeping and resource tracking), and data display systems. Also included are specialized technologies that facilitate ongoing operations and incident management activities in situations that call for unique technology-based capabilities.

6. Ongoing Management and Maintenance

This component establishes an activity to provide strategic direction for and oversight of the NIMS, supporting both routine review and the continuous refinement of the system and its components over the long term.

INCIDENT COMMAND SYSTEM

No single agency or department can handle an emergency of any magnitude by itself. The affected agency or department must work cooperatively with responding and assisting agencies to properly manage the emergency. To coordinate and effectively use all the available resources, a formalized system for organization must be in place before an incident occurs. The Incident Command System (ICS) is a management system designed to integrate resources to effectively attack a common problem. This system is not exclusive to one discipline or one set of circumstances; its hallmark is its flexibility to accommodate all circumstances.

The ICS is recognized as the foundation for an effective, “all hazard” emergency planning, and response and recovery capability. It is based on the following concepts and principles: common terminology, modular organization, management by objectives, incident action plans, manageable span of control, pre-designated incident facilities, comprehensive resource management, integrated communications, command and control, unified command, accountability, deployment, and information and intelligence management. Using a common organizational structure, terminology, and procedures makes it possible for diverse agencies to quickly apply their existing resources to the incident in the most efficient and effective way possible.

ICS Activation

The activation of a fully expanded ICS structure will usually be limited to Class II and Class III incidents (see Incident Classifications).

Command Protocol

It is important to remember that every incident, no matter how big or small, has certain actions that must be performed. These actions are command, planning, operations, logistics, finance, and intelligence. In other words, someone must be in charge, the problem needs to be clearly identified, a decision has to be made on what to do, the decision needs to be carried out, appropriate resources need to be acquired, and when it is all said and done someone must pay for it. These actions can be handled by a single person or by a team of people. In the ICS model the person in charge is the incident commander. It is important to recognize that not every component of the ICS model must be used.

Unified Command

Unified command is an application of ICS used when there is more than one responding agency with legal, geographic, or functional responsibility for the incident. As a team, the unified command overcomes much of the inefficiency and duplication of effort that can occur when agencies from different functional and geographic jurisdictions, or agencies at different levels of government, operate without a common system or organizational framework.

The primary difference between the single command structure and the unified command structure is that in a single command structure, the incident commander is solely responsible for establishing incident management objectives and strategies. In a unified command structure, the individuals designated by their jurisdictional authorities jointly determine objectives, plans, and priorities and work together to execute them. This is accomplished without losing or abdicating agency authority, responsibility, or accountability.

Area Command

Area Command is activated only if necessary, depending on the complexity of the incident and span-of-control considerations. An area command is established either to oversee the management of multiple incidents that are being handled by separate ICS organizations or large incidents that cross jurisdictional boundaries.

Incident Action Plan (IAP)

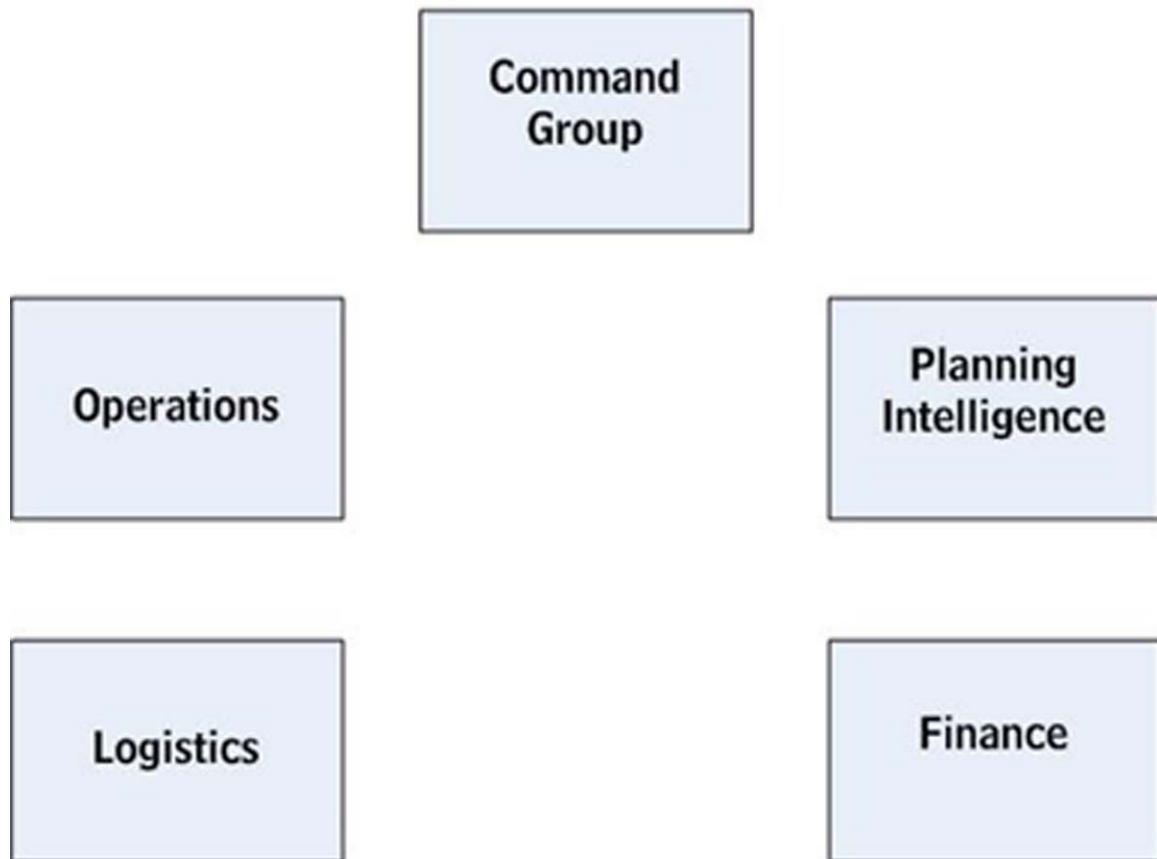
The IAP includes the overall incident objectives and strategies established by the incident commander or unified command. The incident commander typically delegates this responsibility to the Planning Section. In the case of unified command, the IAP must adequately address the overall incident objectives, mission, operational assignments, and policy needs of each jurisdictional agency. This planning process is accomplished with collaborative interaction between jurisdictions, functional agencies, and private organizations. The IAP also addresses tactical objectives and support activities for one operational period, generally 12 to 24 hours. The IAP also contains provisions for continuous incorporation of “lessons learned” as identified by the Safety Officer or incident management personnel as activities progress.

Emergency Operations Center (EOC)

The purpose of an Emergency Operations Center (EOC) is to facilitate on-scene field operations by performing the following functions: coordination; communications; resources dispatch and tracking; and information collection, analysis, and dissemination. During the initial stages of an emergency, the field incident commander will establish an Incident Command Post (ICP) at, or in the immediate vicinity of, an incident site.

The ICP although primarily focused on the tactical on-scene response, may perform an EOC-like function in smaller scale incidents. In larger, more complex events, a more central or permanently established facility capable of operating at a higher level of organization may be desired. EOCs are organized by major functional discipline, jurisdiction, or more likely, by some combination thereof. The EOC and field ICP function together with the same goals, but at different levels of responsibility. The field ICP deals with on-scene situations that are within the reasonable control of an incident command post operation. The focus of the Incident Management Team is more global in nature and addresses concerns and interests beyond the reasonable control of the field command post.

EOC ROOM LAYOUT



Concept of Operations

1. The University President or his designee is responsible for directing and controlling disaster operations.
2. The Emergency Operations Center (EOC) will be activated when the University President or his designee determines that an emergency has reached such proportions that it requires a closely coordinated effort on the part of the Incident Management Team (IMT).
3. The President or the President's designee would declare a crisis when an emergency is, or is likely to be beyond the control of university emergency response services and the combined efforts of other agencies/departments are considered essential for an effective response.

- a. The IMT will take the necessary actions to control a limited emergency occurring in its jurisdiction. If the situation escalates, requests for assistance will be made to the appropriate City of Flagstaff or Coconino County agency/department.
 - b. When the emergency exceeds the City's or County's capabilities, assistance will be requested from the State by the County.
 - c. If needed, the State will request federal assistance.
4. The designated IMT, representing multiple campus functional disciplines and a wide variety of resources, would report to the EOC.
 5. The IMT will assume control of emergency operations in any emergency of such magnitude as to require significant mobilization of campus departments other than those principally involved in day-to-day emergency services.

Tasks

The following tasks typically apply to all major emergencies.

1. University President

During a crisis, the University President is authorized to impose all necessary regulations to preserve peace and order within the campus boundaries. This authority includes but is not limited to:

- a. Making emergency policy decisions
- b. Implementing curfews in all or portions of the campus
- c. Suspending regular academic activities
- d. Restricting access to buildings, streets, or other public areas
- e. Calling upon law enforcement agencies
- f. Requesting supplemental aid
- g. Procuring mitigation funds
- h. Acting as the IMT Leader or naming a designee. If an IMT Leader is selected the IMT Leader will report directly to the University President.

2. Law Enforcement

- a. Assume overall on-scene authority when the preponderance of the incident is on law enforcement and/or police investigative functions.
- b. Supervise law enforcement activities.
- c. Receive and disseminate warning of imminent and actual hazardous conditions
- d. Supervise traffic control activities.
- e. Ensure crowd control.
- f. Cordon and isolate damaged areas.

- g. Ensure damage reconnaissance and reporting.
- h. Ensure explosive ordnance reconnaissance.
- i. Evacuate and secure disaster area.
- j. Provide a representative for assignment to the IMT at the EOC.
- k. Provide prompt and accurate information from field forces to the IMT.
- l. Provide security for essential university facilities.
- m. Provide ingress and egress routes for emergency vehicles responding to the disaster.

3. Fire Services

- a. Assume overall on-scene authority when the preponderance of the incident is on rescue, treatment and/or transport of injured, or fire suppression functions.
- b. Supervise search & rescue operations, emergency medical response, and fire suppression, and fire prevention activities.
- c. Coordinate triage, treatment, transport and other EMS activities immediately after the disaster strikes.
- d. Contain and coordinate cleanup of hazardous spills.
- e. Inspect damaged area for fire hazards.

4. Damage Assessment/Restoration

- a. Establish a Damage Assessment Team from among campus departments with assessment capabilities and functions.
- b. Assign Building Inspectors to condemn unsafe structures.
- c. Assess damage to streets, bridges, traffic control devices, and other public works facilities.
- d. Maintain a system for reporting and compiling information on damage to facilities and property.
- e. Barricade hazardous areas and provide lights for night operations.
- f. Restore and provide emergency backup power sources as needed.
- g. Restore potable water services, sanitation and wastewater systems, and utility services.
- h. Ensure priority restoration of streets and roadways.
- i. Provide debris clearance and removal on campus roads.
- j. Maintain a resource list of all appropriate vehicles and tools and ensure that they are available to support emergency operations.

5. Communications

- a. Establish and maintain an Emergency Communications System.
- b. Coordinate the use of all public and private communications systems necessary during emergencies.
- c. Manage and coordinate all EOC emergency communications operations.

6. Transportation Resources

- a. Identify local transportation resources and availability in emergencies.
- b. Coordinate the deployment of transportation equipment to campus services requiring augmentation.
- c. Provide emergency bus service for evacuation purposes.
- d. Maintain records on use of privately owned transportation equipment and personnel for the purpose of possible reimbursement.

7. Human Services

- a. Identify facilities to accommodate mass feeding in emergency situations.
- b. Identify resources to obtain clothing and essential items for disaster victims.
- c. Secure sources of emergency food supplies.
- d. Assist in operation of shelter facilities, whether operated by the city, local volunteers or organized disaster relief agencies.
- e. Assist in special care requirements for sheltered groups, such as unaccompanied children, the elderly, physically challenged and others.
- f. Provide mental health assistance to disaster victims.
- g. Coordinate planning efforts of hospitals and other health facilities with campus planning requirements.
- h. Determine health facilities' capabilities to receive patients during emergencies.
- i. Develop emergency health and sanitation standards and procedures.

8. Evacuation

- a. Clearly define the area to be evacuated.
- b. Define the needs of special populations (i.e., people with disabilities, summer programs, people without transportation, etc.).
- c. Identify the travel routes and travel distances/destinations needed to ensure safety.
- d. Describe the mode of transportation that will be used to move evacuees. Unless the hazard is disrupting normal transportation, evacuees will use private transportation to leave the area.
- e. Identify assembly areas for picking up people that do not have transportation.
- f. Implement a public relations/communications plan to keep evacuees and the public informed of evacuation activities and the specific actions they should take.
- g. Develop plans to control access and provide security to the evacuated area.
- h. Develop plans to allow for the return of people to the evacuated area.

STRATEGY TO IMPLEMENT THE PLAN

STRATEGY CONSIDERATIONS

Designation of a primary spokesperson and determination of an incident management strategy must be accomplished by the IMT **as soon as possible**.

The strategy and its elements should be formulated in terms of the nature of the occurrence and short- and long-term impact on the university. Each incident likely will consist of a unique combination of image, student, employee, legal and business considerations. The strategy characteristics that might relate to each of these considerations and the distinctions among them are discussed below.

RESPONSIBILITY FOR SELECTION OF AN INCIDENT STRATEGY

Not all incidents will fit neatly into one of the three categories. In reality, each incident will have elements of each of these categories in varying degrees. In any event, close working relationships among public affairs, legal, the respective colleges and departments will be essential to the effective management of the incident. The first order of business for the IMT is to consider the circumstances and develop an underlying strategy that will guide the team's action for each event. Significant attention should always be given to areas of the university's social responsibility such as human health, environmental protection, student and community impact and employment stability.

After the specific type of strategy is developed by the IMT, it will be reviewed and approved by the university president or designee.

EXECUTION OF THE INCIDENT STRATEGY

After a basic strategy is defined, the IMT will be responsible for implementing the strategy. The activities prescribed in the Team Charge will be carried out in context with the approved strategy. During this period, normal work functions carried out by the team members on a day-to-day basis will become secondary to the management of the incident. In some instances, team members will devote all of their attention to the incident. This condition will remain in effect until the incident has subsided to the point where full-time attention by the IMT is no longer warranted.

POLITICAL AND LEGAL ASPECTS OF THE PLAN

THE UNIVERSITY'S RELATIONSHIP WITH POLITICAL LEADERS

The synergistic relationship between the media and political leaders requires careful consideration when an incident management strategy is being formulated and set for implementation. As a general rule, the level of media involvement in an incident situation influences and/or parallels the level of involvement of political leaders.

Recognition by the IMT of the political overtones of an incident is a crucial factor in the effective management of the image aspects of an incident. As part of the strategy development, the IMT should ensure that key elected and appointed local and state (possibly federal) officials, thought leaders and other constituencies are briefed by university representatives on key aspects of the incident. The university's Office of Public Affairs will assist in this phase. Depending upon the severity of the event, involvement by the university's senior officials may be required to brief high-ranking political leaders.

LEGAL/LIABILITY ISSUES

The aspects of an incident, which involve primarily **legal/liability** issues, may require a different approach. The overriding concerns stem from various legal aspects of the incident. In those instances, communication may be limited and guarded to protect the university until these issues are resolved satisfactorily.

CRITIQUE OF THE INCIDENT

When the incident has diminished and before disbanding the IMT, a post-incident evaluation will be prepared and forwarded to the university president. The IMT Leader is expected to ensure this evaluation is done. Items to be addressed include:

- A description of the event and what caused it.
- A summary of corrective measures taken to remedy the immediate problem.
- An assessment of the public's/students'/employees' perception of the incident and the university's role and response.
- An assessment of students' and employees' communications.
- An assessment of whether media coverage was effective, accurate and balanced.
- An assessment of the long-term impact on the university, including recommendations by the IMT on specific actions the university should undertake.
- An assessment of the effectiveness of the IMT and what was learned from the specific event, including recommendations for further training of IMT members.

INCIDENT MANAGEMENT TRAINING

Periodic refresher training (at least annual) is the responsibility of the Office of Public Affairs and the VP for Administration and Finance. A program for exercising incident management skills and techniques, including media training, will be developed and administered. Each function that likely could be called upon to participate in management of an incident will be required to provide at least one representative for training.

In addition to refresher training on the incident management activities, the Office of Public Affairs also is responsible for ensuring that people, who could function as a public spokesperson in an incident, receive training. This training includes designated representatives from any university function that could be exposed to an incident.

These functions include the following:

- Administration (president/provost/selected associate provosts)
- Office of Public Affairs
- Student Affairs
- Office of the VP for Administration and Finance
- Multicultural Affairs
- Athletics
- Information Technology Services
- Human Resources
- Budget
- University Police
- Health Services
- Members of the Incident Management Team

INCIDENT PLANNING ADMINISTRATOR

Planning for the "next incident" also is viewed as vital to maintaining the Incident Management Plan in an "evergreen" status. It is the responsibility of the Executive Vice President and the VP for Administration and Finance to be the plan's executive administrators and to periodically update it, as appropriate.

VII-1

Revised May 2007

INCIDENT MANAGEMENT - THE THREE (3) TIME PHASES

PHASE I -- TASKS IN PRE-INCIDENT PLANNING

In this phase of incident management, which is frequently called **contingency planning**, the objectives are to (1) anticipate inevitable crises, (2) pre-make as many decisions as possible and (3) establish and train an Incident Management Team.

Specifically, these tasks will be undertaken:

1. Identify Potential Contingencies and Areas of Vulnerability

As with all contingency planning, the initial step in the communication plan is to consider all potential contingencies and areas of vulnerability with a "worst case" scenario. These potential contingencies should be reviewed and completed by the university's respective functions, e.g., senior administration officials, department heads, legal staff, security forces and human resources. (See Appendix 1 - Specific Contingencies and Areas of Vulnerabilities.) These forms, when completed, will be made an integral part of the plan.

2. Establish Incident Threshold and Incident Alert Responsibilities

An incident threshold should be established for every contingency, i.e., a concrete indicator or set of indicators that an incident is imminent unless emergency measures are taken to avert it.

Criteria for establishing whether a crisis threshold has been reached include:

- Does it have the potential to cause embarrassment to the university and seriously undermine its reputation and credibility and reputation as a responsible university?
- Does it have the potential to cause significant damage that would affect the university's infrastructure?
- Does it have the potential to cause harm or injury to either the university's students, staff, employees or the surrounding community?

3. Organize the Make-Up of the Incident Management Team (IMT) and Supporting Task Forces

A central, top-level IMT will be organized and trained to handle crises in accordance with all of the various components and responsibilities contained in the Incident Management Plan and the Incident Command Structure.

4. Approve Contingency Plan Measures

The university president will be responsible for final approval of all contingency plan measures.

5. Maintain List of Priority Publics that Must be Informed

The Office of Public Affairs will maintain a current list of those priority publics. Those listed will be immediately notified and informed, as appropriate. (See Appendix 3 - Priority Publics.)

6. Maintain Incident Media List and Background Press Materials

The Office of Public Affairs will be responsible for creating and maintaining a (1) Incident Media List (See Appendix 4 – Incident Media List) and (2) Background Press Materials.

Background Press Materials will include, but are not limited to, (1) an initial and follow-up news release(s), (2) background information covering the incident and (3) generic material on the university.

7. Designate and Train Spokespersons

The Office of Public Affairs will be responsible for continuing its Media Relations Training Program for those university personnel who are likely to be called upon as spokespersons during an incident. (See Appendix 5 – Incident Spokespersons and Appendix 6 - University's Operating Standards for Operating With the Media During an Incident - Call Out Procedures - University's Communications Policy.)

PHASE II - TASKS IN MANAGING THE INCIDENT

When an incident occurs, the excellence and shortcomings of the contingency plan are tested. As always, the particulars must now be added and new judgments made.

The objective is to ameliorate the harm caused by the incident event itself and the secondary effects of media coverage of the event. Public relations activities focus on media relations and relationships with the university's publics.

1. Alert Senior Administration Officials and the Incident Management Team

When the VP for Administration and Finance, the Executive Vice President and the responsible university unit make the judgment that the incident threshold has been reached, the VP and Executive will immediately alert senior administration officials and activate the IMT.

Under these circumstances, an Incident Management Center will initially be located in the VP and Public Affairs offices where the IMT will meet. Implementation of the "Managing the Incident" part of the plan begins. (See Appendix 8 - Step-by-Step Process for Managing the Incident Stage of the Plan.)

In the event that the VP and Public Affairs offices are not available or that more expansive quarters are needed, the VP and Executive VP will immediately notify the IMT of a change in location to accommodate the incident. (See Appendix 9 - Incident Media Center - Guidelines for Media Access to an Emergency Scene.)

2. Designate an Incident Media Center

Depending on the classification of the incident, newspaper reporters, television and radio crews normally will contact the university's Office of Public Affairs immediately, either by phone or in person.

The Office of Public Affairs is responsible for designating a central Incident Media Center and, if called for, an additional field media center. (See Appendix 9 – Incident Media Center - Guidelines for Media Access to an Emergency Scene.)

The office will identify spaces on campus for media satellite trucks to park and appropriate spaces to be used as work areas by the media.

3. Conduct Necessary Fact-Finding

The Office of Public Affairs will immediately begin to collect all pertinent information to cope with the incident and to prepare for media and/or public inquiries. Questions that can be expected include:

- What happened, and if possible, what caused the incident?
- How many casualties were incurred (both injured and dead)?
- What is the damage to property and the surrounding environment?
- Do any public health or environmental dangers exist?
- What steps is the university taking to deal with the incident?
- How are rescue and relief operations proceeding?

- What other actions or interventions are being implemented by the university in response to the incident?
- What consequences stem from the incident (legal, financial, etc.)?
- What witnesses, experts, university officials and others might be interviewed?

In addition to the Office of Public Affairs preparing "drafts" of an Initial and Follow-up News Release(s), it will prepare a "draft" of "Potential Questions/Suggested Responses" to be used by the university spokesperson(s) during the incident.

4. Designate a Single Spokesperson

It is essential at this stage that a single spokesperson act as the information source for public officials, the media and the public. Otherwise, it is impossible to maintain control over the accuracy and authenticity of the information. The IMT Leader, in coordination with the Public Affairs staff, will identify and designate the spokesperson.

The university will speak with one (1) voice!

5. Schedule a News Conference

When the vital facts have been verified, prepare a university statement and news release in consultation with senior administration officials and legal counsel. If the IMT Leader believes that a news conference should be scheduled to uphold the credibility and reputation of the university, the Office of Public Affairs will make the necessary arrangements to notify the media. (See Appendix 10 - Conducting a News Conference.)

6. Communicate with Administration Officials, Staff, Students, Parents, Employees and Key Publics

Information also must be disseminated as quickly as possible to the university's Board of Regents, staff, students, parents, employees and "key" publics. (See Appendix 11 - IMT Specific Public Contact Checklist.)

The Office of Public Affairs will be responsible for drafting all of these communications, with final approval provided by the IMT Leader.

7. Keep a Media/Public Log

Keep a log of all media and public contacts - both inquiries and initiatives. The log is helpful in ascertaining inaccuracies, as well as in conducting a post-incident analysis for purposes of improving future performance and engaging in post-incident rebuilding efforts. (See Appendix 12 - Media/Public Log.)

PHASE III - POST-INCIDENT STAGE - REBUILDING

COMPREHENSIVE INCIDENT MANAGEMENT LOOKS BEYOND THE IMMEDIATE INCIDENT EVENT AND PRECEDING CONTINGENCY PLANNING WITH THE AIM OF REDUCING THE INCIDENCE OF FUTURE CRISES AND STRENGTHENING THE UNIVERSITY'S ABILITY TO COPE WITH THOSE THAT DO OCCUR.

Some steps appropriate to the post-incident phase are:

1. Review the Incident Event

- Examine the log looking for oversights and deficiencies, and evaluate how well the incident was handled.
- Review the respective media clips relating to the incident to ascertain whether or not (1) the coverage was accurate and balanced, (2) sources quoted or interviewed were authorized university sources and spokesperson(s) and (3) those that spoke did so in an appropriate and professional manner.
- Seek external resources' evaluations of the university's handling of the incident, e.g., the media, agencies, political leaders, the Arizona Board of Regents, etc.
- Make a candid assessment as to whether or not the incident had an adverse impact on the university's reputation and image.
- Ask whether the plan can be made more comprehensive and realistic.
- Consider whether more training and drills are necessary.
- Fine-tune the plans and procedures.
- Determine what steps need to be taken to implement the policies and procedures to prevent a re-occurrence of the incident.

2. Regain Lost Ground Through Aftermath Communications

Damage of several kinds is usually caused by an incident, no matter how well it was handled. Some examples include (1) loss of current and future enrollment, (2) loss of community support and (3) erosion of the Board of Regents' support.

The university will take proactive steps to candidly assess any fallout caused by the incident and develop communication programs to reinforce its reputation as an educational institution committed to excellence.

NATURAL INCIDENTS

Blizzard

Campus Closure

Earthquake

Flooding/hail storm/tornado

Volcanic eruption

Fire on campus - academic building/residence hall

TECHNOLOGICAL INCIDENTS

Hazardous material spill

Gas line leak

Electric power failure

Academic computer failure

Administrative computing system failure

Telephone system failure

Voice mail system failure

CONFRONTATIONAL INCIDENTS

Riot (student or non-student)

Student group occupies university building or classroom

Wild animal on the loose on campus

INCIDENTS OF CRIMINAL ACTS AGAINST PERSONS/UNIVERSITY

Active Shooter
Assault
Bomb Threat
Bomb Explosion
Death Threat
Domestic Violence
Hate Crime
Hostage Incident
Kidnapping
Murder
Rape
Sexual Assault
Terrorism
Violation of University Trademarks

IMAGE MANAGEMENT

HUMAN INCIDENTS

Food-borne disease outbreak

Measles outbreak

Meningitis outbreak

Suicide/accidental death

Communicable Disease