

UCONN
UNIVERSITY OF CONNECTICUT

**Emergency
Operations Plan
(EOP)**

Rev. July 2021



HANDLING INSTRUCTIONS

The Division of Public Safety, Office of Emergency Management, serves as the primary agency responsible for the development and maintenance of the University of Connecticut (UConn) Emergency Operations Plan (EOP). Requests for changes and copies of the EOP should be directed to:

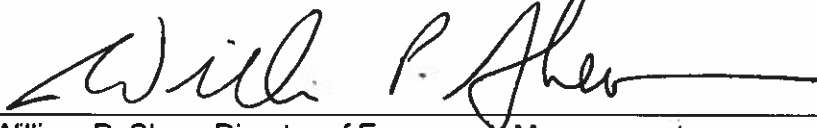
Office of Emergency Management
28 Professional Park Road, Storrs, Connecticut 06268
(860) 486-5174
oem@uconn.edu
oem.uconn.edu

UConn makes the Emergency Operations Plan available to UConn's students, faculty, staff, partner agencies, and other members of the UConn community. Some information is controlled and not distributed because it contains private contact information for individuals within UConn's emergency response organization or because that information is security or operational sensitive information. These pages are marked as sensitive security information. Those who believe they have received private contact information or sensitive security information should secure their copy of the Emergency Operations Plan and notify the Office of Emergency Management immediately.

ADOPTION AND PROMULGATION

Emergencies and disruptive incidents may affect University operations at any time. To protect the safety and security of our students, faculty, and staff, while minimizing disruptions to the University, the Office of Emergency Management in collaboration with divisions and departments across all campuses developed the University of Connecticut Emergency Operations Plan (EOP). This all-hazards EOP contains the framework for UConn officials and members of the University community to execute their roles and responsibilities to protect life, preserve property and the environment, and to minimize the impacts on University operations.

This EOP, which supersedes all previous emergency operations plans, and is designed to take into consideration the complexity and diversity of the university's varied campuses, schools, divisions, and departments. The EOP is a living and evolving document. The Office of Emergency Management shall annually review the plan and update as necessary.



William P. Shea, Director of Emergency Management

27 JULY 2021

Date

University of Connecticut



Hans Rynhart, Associate Vice President of the Division of Public Safety

7/29/2021

Date

University of Connecticut

MISSION AND PURPOSES OF THE UNIVERSITY OF CONNECTICUT

The University of Connecticut (UConn) is dedicated to excellence demonstrated through national and international recognition. As Connecticut's public research university, through freedom of academic inquiry and expression, we create and disseminate knowledge through scholarly and creative achievements, graduate and professional education, and outreach. Through our focus on teaching and learning, UConn helps every student grow intellectually and become a contributing member of the state, national, and world communities. Through research, teaching, service, and outreach, we embrace diversity and cultivate leadership, integrity, and engaged citizenship in our students, faculty, staff, and alumni. As our state's flagship public university, and as a land and sea-grant institution, we promote the health and well-being of Connecticut's citizens through enhancing the social, economic, cultural, and natural environments of the state and beyond.

Purpose and Structure of the Emergency Management Program

The UConn emergency management program seeks to promote a safer, less vulnerable University community with the capacity to cope with and recover from disasters caused by all hazards, whether natural, technological, or human-caused. This is achieved through a series of planning efforts: strategic planning, operational planning, tactical planning, and emergency response support.

- **Strategic Planning** provides the basis for program authorization, establishes emergency management program goals and objectives, sets the organizational structure for the program, identifies hazards, and assesses the risk these hazards pose to the UConn community.
- **Operational Planning** is accomplished through a collaborative program of prevention/mitigation, preparedness, response, and recovery as well as public education.
- **Tactical Planning** produces detailed procedural plans, response guides, and other plans used to implement the emergency management program.
- **Emergency Response Support** during incidents includes on-site support to emergency responders and the entire UConn community through the Emergency Operations Center.

Under the authority of UConn's President, the Office of Emergency Management is established within the Division of Public Safety to administer the emergency management program. The Director of the Office of Emergency Management and OEM staff collaborates with UConn's administrative divisions, academic departments, and operating units, staff, students, and neighboring jurisdictions to develop a comprehensive emergency management program that supports the whole UConn community. UConn's Emergency Operations Plan provides the overall framework for the emergency management program, including UConn's interaction with the local, state, and federal government, to preserve life, stabilize the incident, protect property, and coordinate the University's continuity of academic and business operations.



HOW TO NAVIGATE THIS DOCUMENT

UConn's Emergency Operations Plan (EOP) is organized as a Base Plan with supporting appendices, annexes, and operational plans.

Base Plan. The Base Plan outlines UConn's overall approach to emergency management that identifies key concepts, tools, and organizational elements that support UConn's emergency operations. The appendices and annexes listed below contain policies, procedures, and guidance in support of the Base Plan.

Appendices. Appendices contain additional information in support of the Base Plan, including charts and informational lists.

Functional Annexes. Functional Annexes focus on specific activities and provide a framework for how UConn will manage these functions before, during, and after an incident, and they identify the divisions, departments, and partner agencies that implement that function. Functional Annexes are secure and separate documents distributed and used by University officials and emergency management partners. The functional annexes include the following:

- **Agriculture, Natural Resources and Animal Care Annex:** Animal Care, Animal Disease Management, Natural Resources Assessment and Response, Agricultural Protection, Water Management, and Sustainability.
- **Public Protection Annex:** Public Safety Emergency Communications, Life Safety Programs, Security Programs, Emergency Response, and Protective Actions.
- **Infrastructure Systems Annex:** Utility Systems Support, Facilities Management and Assignment, Roadways and Access Control, and Information Technology Systems.
- **Public Health and Medical Annex:** Emergency Medical Services and Mass Casualty Management, Infectious Disease Response, Fatality Management, Medical Countermeasures, Health Care for the Campus Community, and Campus Disaster Mental Health.
- **External Affairs and Public Information Annex:** Public Information, Public Education, and Outreach.
- **Human Services Support Annex:** Campus Mass Care for Residents Storrs and Stamford Campuses, Family Reunification and Assistance Centers, Donations and Volunteer Management, and Memorials/Vigil Planning.
- **Recovery and Mitigation Annex:** Damage Assessment, Debris Management, Short and Long-Term Recovery Planning, and Mitigation Planning.

Hazard-Specific Annex. This annex contains checklists to guide response to and recovery from specific threats and hazards.

Operational Plans. Standalone plans to be implemented as appropriate.

- **UConn Debris Management Plan.** The Disaster Debris Management Plan applies to each of UConn's campuses and those UConn departments with a role in debris and solid waste management operations. This plan focuses on potential large-scale disasters that can generate significant volumes of debris and solid waste requiring an unusual or extraordinary response. This plan does not address routine debris or solid waste incidents. This plan outlines the roles and responsibilities of UConn departments, municipal departments where UConn campuses reside, supporting state and federal agencies, private contractors, and nongovernmental agencies. Disaster debris management operations will be conducted following state plans and guidelines and will comply with the principles and requirements found in federal and state laws, regulations, and guidelines.
- **UConn/Mansfield Host Community Reception Center Plan:** UConn and the Town of Mansfield serve as a Host Community for the Town of Ledyard in the event of a major incident at the Millstone Power Station in Waterford, CT. As a host community, UConn and Mansfield town staff are trained

and prepared to provide Ledyard evacuees assistance including monitoring, decontamination, and shelter assistance. This plan supports the State of Connecticut’s Radiological Emergency Preparedness Program.

- **John Dempsey Hospital Emergency Operations Plan:** The John Dempsey Hospital Emergency Operations Plan (EOP) applies to the operations of JDH, including the main campus in Farmington and all hospital-owned patient care properties. The JDH EOP is to be used by all staff as a guide for emergency planning and emergency response.

Color-coded Department Designations. Members of the Executive Policy Group (EPG) are each assigned a unique color used throughout EOP. When a department or administrative unit has specific roles and responsibilities listed in the EOP, they share the color code for the EPG member to which they report. For example, Student Health and Wellness reports to the Vice President for Student Affairs so their roles and responsibilities also appear in a dark green box. These boxes are color-coded using a standardized set of colors as listed in this table:

Office of the President
Executive Vice President for Administration & Chief Financial Officer
Provost and Executive Vice President for Academic Affairs
Vice President for Student Affairs
Vice President for Research
Vice President for Communications
Vice President & Chief Information Officer
Executive Vice President for Health Affairs & Chief Executive Officer of UConn Health
General Counsel
Associate Vice President Division of Public Safety
Director Office of Emergency Management
Associate Vice President for Facilities Operations
Associate Vice President & Chief Human Resources Officer
Deputy Director of Athletics

RECORD OF CHANGES

<p>Change Number: 2016-01 Date of Change: 09/28/16</p>	<p>Requested by: Hans Rhyhart, Interim Director of Public Safety and Chief of Police Reviewed by: Executive Policy Group Approved by: Susan Herbst, President University of Connecticut</p>
<p>Description of Change: New version of the Emergency Operations Plan (previous version authorized in 2010) with a complete update to format, concepts, roles and responsibilities, and organizational structure.</p>	
<p>Change Number: 2017-1 Date of Change: 09/20/17</p>	<p>Requested by: UConn Office of Emergency Management Reviewed and approved by: Hans Rhyhart, Interim Director of Public Safety and Chief of Police</p>
<p>Description of Change: Updates as they relate to the year 2017, consolidation of University of Connecticut Division of Public Safety components with UConn Health counterparts.</p>	
<p>Change Number: 2018-01 Date of Change: 9/30/18</p>	<p>Requested by: UConn Office of Emergency Management Reviewed and approved by: Hans Rhyhart, Interim Director of Public Safety and Chief of Police</p>
<p>Description of Change: Updates as they relate to the year 2018, consolidation of UConn Division of Public Safety and other applicable University departments components with UConn Health counterparts.</p>	
<p>Change Number: 2021-01 Date of Change: 7/01/21</p>	<p>Requested by: UConn Office of Emergency Management Reviewed and approved by: Hans Rhyhart, Associate VP of the Division of Public Safety</p>
<p>Description of Change:</p> <p>The July 2021 UConn EOP incorporates numerous revisions, additions, and deletions to reflect lessons learned based on the implementation of UConn’s emergency management program and activation of the EOP during actual emergencies and planned special events since the last major revision of this plan in 2016.</p> <p>Revisions include:</p> <ul style="list-style-type: none"> • Consolidation of applicable departments and department name changes. • Revised/updated job titles. • Change from Emergency Operations Team to Emergency Operations Center (EOC) liaisons. • Added Human Resources and Athletics to the Executive Policy Group. • Incorporated changes throughout the plan to include the most up to date concepts and principles contained in the National Response Framework, State Response Framework and National Incident Management System to better describe how they apply to incidents affecting institutes of higher education. • Changes to Appendixes: Removed/revised appendices as noted below and “renumbered” remaining appendices. <p>Removed Appendix C: ICS – will review and revise according to latest NIMS guidance.</p>	

Revised Appendix D Hazard Identification and Risk Assessment (HIRA) – received and incorporated latest State HIRA into this plan.

Removed Appendix E Map – incorporated into the base plan.

Removed Appendix F Multi-Year Training and Exercise Program – revised and incorporated training and exercise program into the base plan consistent with current Homeland Security Exercise Evaluation Program (HSEEP) guidance (2020).

Removed Appendix H Annual Requirements – revised and incorporated into the base plan. This includes annual submission requirements to the State of Connecticut.

Revised Appendix M After Action Report Template – Used current Homeland Security Exercise Evaluation Program (HSEEP) template (2020).

Removed Appendix N Plan Review Checklist – revised and incorporated into the base plan. The Connecticut Department of Emergency Services and Public Protection require annual reviews of emergency operations plans for institutes of higher education and submittal of the plan to DESPP. UConn follows all guidance and requirements as requested by DESPP.

- Added all major departments to the distribution list.
- Updated the Human Services Support Functional Annex (under separate cover) to include planning for:
 - Family Reunification and Assistance Centers.
 - Donations and Volunteer Management.
 - Shelter and Mass Care Operations.
- Added hazard checklists to the Hazard Specific Annex.
- Added the following operational plans (under separate cover).
 - Debris Management Plan.
 - UConn/Mansfield Host Community Plan.
 - John Dempsey Hospital Emergency Operations Plan (JDH EOP).
- UConn Public Safety Emergency Telecommunications now serves as the 911 center for all UConn Campuses and UConn Health in Farmington. The plan has been revised to reflect this change across the plan as appropriate.
- Utilized data from the UConn Fact Sheet 2021.
- Linked and or referenced current supporting documents including UConn policies, state, and federal guidance.
- Revised the Emergency Operations Center organizational structure from an ICS-Based Management Structure to a Department Function Management structure as supported by the most current NIMS/ICS guidance. This aligns with how the EOC has been structured for all planned events and emergency activations over the last few years.
- Included the ability to activate the Emergency Operations Center virtually using the University’s WebEx, Microsoft Teams, Zoom, or another suitable platform.
- The Coronavirus Pandemic significantly altered University operations beginning in spring 2020 and continues to impact campus operations at the time of this revision. Revisions have been made throughout this EOP to reflect how UConn worked together to respond to the pandemic along with enhancements based on lessons learned.
- Special campus reopening plans were developed to address campus operations during the pandemic and are under separate cover.
- Renamed sections to align with the Emergency Management Accreditation Program Standards.

DISTRIBUTION LIST

The Emergency Operations Plan is distributed to University personnel listed below, and state and local emergency management partners. The official version of the EOP is online at oem.uconn.edu or in hardcopy at the Office of Emergency Management, 28 Professional Park, Storrs, CT 06268.

President
Provost and Executive Vice President for Academic Affairs
Executive Vice President for Administration & Chief Financial Officer
Executive Vice President for Health Affairs and Chief Executive Officer of UConn Health
Director of Athletics
Vice President for Division of Enrollment Planning and Management
General Counsel
Vice President for Research
Vice President for Student Affairs
Vice President for Communications
Vice President and Chief Information Officer
Vice President for Global Affairs
Vice President and Chief Diversity Officer
Associate Vice President of the Division of Public Safety
Associate Vice President for Facilities Operations
Associate Vice President of Budget, Management, and Institutional Research
Associate Vice President of Financial Operations and Controller
Associate Vice President, Master Planner and Chief Architect
Associate Vice President and Chief Compliance Officer
Associate Vice President & Chief Human Resources Officer
Senior Director of Operations Office of the President and Director of University Events and Conference Services
Chief Audit Executive
Director of the Office of Emergency Management
Director of Off-Campus and Commuter Services
President and CEO of the UConn Foundation
Local OEM (Mansfield, Hartford, Waterbury, Avery Point, Farmington)
CT Division of Emergency Management and Homeland Security

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TABLE OF CONTENTS – Base Plan

Handling Instructions	i
Adoption and Promulgation.....	ii
Mission and Purposes of the University of Connecticut.....	iii
How To Navigate This Document	iv
Record of Changes.....	vi
Distribution List.....	viii
1.0 INTRODUCTION	1
2.0 PURPOSE AND OVERVIEW	1
2.1 Purpose	1
2.2 Scope	2
2.3 Situation Overview	2
2.4 Critical Considerations	4
2.5 Planning Assumptions.....	5
2.6 Key Terms: Event, Incident, Emergency, and Disaster.....	6
3.0 CONCEPT OF OPERATIONS.....	6
3.1 Core Emergency Management Concepts.....	7
3.2 Integrative and Comprehensive Planning through NIMS and ICS	7
3.3 Phased Operations Using the Emergency Management Cycle	8
4.0 ROLES AND ASSIGNMENT OF RESPONSIBILITIES	16
4.1 University of Connecticut (UConn)	16
4.2 Local Partners.....	22
4.3 State Government.....	22
4.4 Federal Government	23
4.5 Private Sector/Non-Governmental Organizations.....	23
5.0 COMMAND AND COORDINATION	23
5.1 Incident Command System (ICS).....	24
5.2 Emergency Operations Center (EOC).....	25
5.3 Information Sharing.....	29
5.4 Interjurisdictional Coordination	30
5.5 UConn Executive Policy Group (EPG)	31
5.6 Joint Information System (JIS)	31
6.0 COMMUNICATIONS AND INFORMATION MANAGEMENT	31
6.1 Emergency Notification, Alerting, and Warnings.....	32
6.2 Terminology	33
6.3 Emergency Public Information	33
6.4 Training and Education	33
6.5 Public Education and Outreach Overview	34

7.0 EMERGENCY MANAGEMENT TRAINING	34
8.0 EXERCISES, EVALUATIONS AND CORRECTIVE ACTIONS	36
9.0 ADMINISTRATION AND FINANCE	43
9.1 Administration of the Program.....	43
9.2 Finance.....	44
10.0 RESOURCE MANAGEMENT, MUTUAL AID, AND LOGISTICS	45
11.0 PLAN DEVELOPMENT AND MAINTENANCE	46
11.1 Plan Development.....	46
11.2 Plan Maintenance	47
12.0 AUTHORITIES AND REFERENCES	47
12.2 Authority to Implement Emergency Operations	48
12.3 Authority to Close All or Portions of the University	49
12.4 Authority to Evacuate Buildings.....	49
12.5 References	49
13.0 GLOSSARY OF TERMS AND DEFINITIONS	50

APPENDICES

Appendix A: Letter of Promulgation; NIMS, ICS Adoption

Appendix B: Letter of Promulgation; Executive Policy Group

Appendix C: Hazard Identification and Risk Assessment

Appendix D: Considerations for Athletic Events and Significant Events

Appendix E: Incident Briefing Guide

Appendix F: Emergency Operations Center Organizational Crosswalks

Appendix G: Lead and Support Matrix

Appendix H Executive Policy Group Synopsis

Appendix I: After Action Report Template

FUNCTIONAL ANNEXES (under separate cover - available by request only)

Agriculture, Natural Resources, and Animal Care Annex

Public Protection Annex

Infrastructure Systems Annex

Public Health and Medical Annex

External Affairs and Public Information Annex

Human Services Support Annex

Recovery and Mitigation Annex

HAZARD-SPECIFIC ANNEX (under separate cover - available by request only)

Checklists:

Active Threat
Bomb Threat
Civil Unrest/Protests/Demonstrations
Information Technology Failure/Cyber Attack
Earthquake
Explosion
Hazardous Materials Incident
Hostage Situation
Infectious Disease
Mass Casualty/Mass Fatality
Significant Events Incident
Unattended/Suspicious Package
Utility Failure (Power/Gas/Water/Sewer)

Severe Weather Standard Operating Procedures (SOP)

OPERATIONAL PLANS (under separate cover - available by request only)

Emergency Operations Center (EOC) Manual
UConn Debris Management Plan
UConn/Mansfield Host Community Reception Center Plan
John Dempsey Hospital Emergency Operations Plan (JDH EOP)

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1.0 INTRODUCTION

General. The University of Connecticut (UConn) is a diverse community that includes students, faculty, staff, visitors, and affiliates. Providing for the community's safety and security is an essential element of being a world-class public university.

This Emergency Operations Plan (EOP) provides the framework to prevent, prepare for, respond to, recover from, and mitigate the effects of incidents that occur at Storrs, Regional Campuses, the Law School, and the UConn Health system (collectively from here on referred to as UConn). Organizational structures or processes that differ by campus are noted in the appropriate sections. The EOP provides the following key information to UConn's community to guide incident management efforts across the University:

- Key concepts of operations and activities for preparedness, prevention, response, recovery, and mitigation.
- A common concept of coordination, both internally and in partnership with external agencies.
- Expectations and mechanisms for gathering and sharing information and decision-making.
- Clear roles and responsibilities for key divisions, departments, and offices.

UConn's Emergency Operations Planning Philosophy. This EOP is an evolving document that describes what UConn can realistically do in the event of an incident to prevent loss of life, stabilize the incident, and limit damage to property and impacts to UConn operations. This EOP is flexible enough that it will be of value in any incident, even those that are not foreseeable. This all-hazards EOP provides the University community with an emergency management framework that guides UConn's ability to handle an event or incident.

The procedures established in implementing the EOP shall not limit UConn's ability to take actions, issue protective measures, or impose requirements that are not specified in or that vary from this plan. In fact, UConn may not implement this plan or impose standards or protocols as set forth in this plan if it is determined that other protocols or standards are more appropriate in each situation. Strategies and tactics may be revised with the benefit of incident-specific information, including but not limited to the impact to students, faculty, and staff, the projected duration of the incident, and the need for outside assistance.

Expectations of Participation. Officials identified within the EOP should become familiar with their roles and responsibilities before an emergency occurs. Familiarity and experience with emergency operations before an event or incident will maximize UConn's effectiveness when time constraints, stress, and other human factors apply.

2.0 PURPOSE AND OVERVIEW

2.1 Purpose

The purpose of the UConn Emergency Operations Plan (EOP) is to establish UConn's framework for the management of events and incidents to meet the four objectives of the emergency management program:

- Protect the life safety of students, faculty, staff, and visitors.
- Establish incident stability.
- Conserve, secure, and protect University property and the environment.
- Maintain continuity of operation and minimize disruption to services provided to students, faculty, staff, and visitors.

The proper application and implementation of the concepts and operations outlined in the EOP are critical to the success of effective emergency management before, during, and after an incident. this

EOP cannot provide detailed guidance for each specific incident or unimagined situation, it is the framework for UConn’s operations and a starting point for adapting to the situation or the emergency.

2.2 Scope

Storrs, Regional Campuses and Law School. The EOP applies to all of UConn’s activities and operations. The EOP guides UConn’s response in support of members of the UConn community who are participating in activities that take place on its campuses and around the world, including athletic and academic events, research activities, and study abroad programs. Finally, the EOP provides the framework and the authorizations for UConn to support other jurisdictions across Connecticut.

The UConn community includes students, faculty, and staff on and off-campus. This includes those community members whose studies, research, or work take them away from UConn campuses in an official capacity (including study abroad programs, research and teaching activities, and sanctioned academic, co-curricular, and athletic events). The UConn community also includes a larger network of businesses, faith-based organizations, visitors, and residents for which the EOP provides considerations.

UConn Health and John Dempsey Hospital. This EOP includes UConn Health and John Dempsey Hospital to guide coordination across all aspects of UConn’s organization. However, John Dempsey Hospital maintains a separate and detailed Emergency Operations Plan to guide their operations in compliance with standards established by The Joint Commission.¹ The JDH Emergency Operations Plan is an annex to the UConn EOP. Components of the UConn EOP may be implemented to support the needs of JDH in an emergency.

2.3 Situation Overview

Founded in 1881, the University of Connecticut is the flagship institution of higher education for the State of Connecticut and consistently ranks among the Top 25 public universities in the nation.² UConn is a Land Grant and Sea Grant public research university and a member of the Space Grant consortium institution. UConn, accredited by the New England Association of Schools and Colleges, offers a full range of undergraduate, graduate, and professional degrees. In addition to academic programs, UConn operates a hospital, outpatient medical facilities, research, and development facilities, performing arts venues, athletic complexes, agricultural centers, residential complexes, and transportation systems.

Campuses. UConn has seven campuses statewide. The main campus is located in Storrs, with facilities that allow it to be virtually self-reliant, including a cogeneration power plant that provides electricity to most of the campus with its exhaust steam used for campus heating, a public water system, and a wastewater treatment facility. Three regional campuses are in the urban settings of Waterbury, Hartford, and Stamford. The Avery Point regional campus is on the coast of Long Island Sound in Groton. UConn Health, which consists of the School of Medicine, School of Dental Medicine, and the John Dempsey Hospital, is primarily located in Farmington with additional clinical facilities located throughout Connecticut. The School of Law, School of Social Work, and the Graduate Business Learning Center are all located within Hartford, the state’s capital city. UConn’s land holdings include 4,107 acres for the Storrs and regional campuses and 209 acres for UConn Health. **Exhibit 1** displays the locations of each UConn campus.

Education abroad and global institutes and initiatives operate in countries worldwide. UConn’s Office of Global Affairs provides support to international students and scholars; nurtures strategic global partnerships; promotes collaborative international research; develops curricula to build global competency; creates and manages student, faculty, and staff mobility programs; and delivers educational and professional services that support sustainable economic and social development.

¹ [Leading the Way to Zero | The Joint Commission](#)

² U.S. News and World Report *America’s Best Colleges* (2020)

State of Connecticut Map – UConn Campuses



UConn Community³.

Students:

- UConn's student population includes approximately 23,900 undergraduate and 8,500 graduate students across all campuses.
- Almost 19,000 students attend classes in Storrs with approximately 12,000+ students residing in residence halls on the main campus.⁴
- The international student population represents over 100 countries.
- UConn's minority student population is approximately 33 percent.
- Approximately 1,000 students chose from more than 250 study abroad programs in 65 countries.
- UConn is home to numerous academic and sports camps; approximately 2,600 minors are involved in University-sponsored activities.
- Intersession courses are offered during both the winter and summer semester breaks.

Faculty/Staff. UConn employs approximately 5,100 full-time and part-time faculty and staff at the main and regional campuses and almost 4,700 at UConn Health.

³ [UConn 2021 Fact Sheet](#)

⁴ Campus population numbers reflect normal (pre-pandemic operations). For the Fall 2020 and Spring 2021 semesters UConn de-densified residential campuses (Storrs and Stamford). Special opening plans for those semesters are separate documents not included in the EOP.

Academic Life. UConn has 14 schools and colleges that grant 25 degrees in 117 majors and 88 research and professional practice fields of study, as well as six professional degree programs. Collaborative research is done within all schools. Cooperative education programs and internships integrate classroom learning and work experience in business, industry, and public service. UConn operates multiple libraries, including the Homer D. Babbidge Library, the University’s Music and Pharmacy libraries, and the Thomas J. Dodd Research Center. UConn Health and each regional campus operate their libraries.

Culture. UConn Storrs has art galleries, museums, such as the Benton Museum and the Ballard Institute and Puppetry Museum, and performing arts venues, such as the Nafe Katter Theatre, the von der Mehden Recital Hall and the Jorgensen Center, the largest college-based performing arts venue in New England. UConn supports 24 varsity sports programs with over 700 student-athletes. High capacity sporting venues include Gampel Pavilion (basketball and volleyball) on the Storrs campus with a seating capacity of almost 10,000, and Rentschler Field at Pratt and Whitney Stadium (football) in East Hartford with a seating capacity of 40,000. Storrs is also home to the Joseph J. Morrone Stadium (soccer) capacity of 5,300, the Freitas Ice Forum (ice hockey) capacity of 2,000, the Elliot Ballpark (baseball) capacity of 1,350, the Burrill Family Field Softball Complex (softball) capacity of 520, the George J. Sherman Family-Sports Complex (field hockey, lacrosse, track and field) capacity of 2000, and the Wolff-Zackin Natatorium (swimming and diving) capacity 800. Additionally, 1,200 students participate in club sports activities.

Budget⁵. UConn’s fiscal year budget for 2021 is \$2.7 billion.

Hazards. UConn’s campuses are open to the public and are vulnerable to many threats and hazards, such as severe weather, power outages, demonstrations, and hazardous materials incidents. UConn has assessed its risks through these key activities:

- The 2014 mandatory School Safety and Security Audit per Section 96(a) of Connecticut Public Act No. 13-3.
- Adoption of the State of Connecticut’s Hazard Identification and Risk Assessment (HIRA) to guide planning and program management, see **Appendix C: HIRA**.
- Development of a University-wide Threat and Hazard Identification and Risk Assessment, (THIRA) using the Federal Emergency Management Agency’s Comprehensive Preparedness Guide (CPG) 201 to guide the development of emergency management capabilities.
- Collaborative gathering of institutional knowledge and stakeholder involvement.
- UConn Health completes a Hazard Vulnerability Assessment (HVA) for John Dempsey Hospital (JDH) and the applicable UConn Health satellite offices as required by regulatory agencies having jurisdiction. At a minimum these assessments are conducted every two years. The HVA for JDH covers hazards applicable to the entire UConn Health Farmington campus.

UConn has used the findings from these key activities to guide this EOP, including selecting the appropriate functional and hazard-specific annexes to develop during the planning process.

2.4 Critical Considerations

The Office of Emergency Management (OEM), with guidance from UConn’s operational and executive leaders, identified the following critical considerations when developing this EOP:

- The operations within the EOP are consistent with local, state, and federal laws and use the concepts within the National Incident Management System (NIMS).
- The concepts of coordination must be consistent with the coordination requirements in the State of Connecticut State Response Framework.⁶

⁵ [UConn 2021 Fact Sheet](#)

⁶ [State of Connecticut. Emergency Response Framework, Revision Date: July 2019](#)

-
- Not every event or incident will rise to the level of requiring the implementation of the EOP.
 - The EOP will not assume the availability of assets or resources that are not currently available to UConn.
 - UConn will participate in any regional hazard mitigation planning efforts for each of its campuses, as appropriate.
 - The EOP integrates the whole community, including individuals with disabilities and others with access and functional needs.
 - The Coronavirus Pandemic significantly altered University operations beginning in spring 2020 and continues to impact campus operations at the time of this revision (July 2021). Special plans developed to address campus operations during a pandemic are under separate cover.

2.5 Planning Assumptions

To develop the EOP, OEM, along with UConn's operational and executive leaders made the following assumptions. These assumptions are based upon institutional knowledge as well as practices at peer institutions and local jurisdictions.

- This EOP is a framework to guide incident operations, but each incident is different and requires flexibility and creative solutions to meet the needs of the community.
- UConn will continue to be exposed to and potentially subject to the impact of natural, human-caused, and technological hazards. A significant emergency can occur at any time and any place.
- In many cases, dissemination of warning to the UConn community and implementation of increased readiness measures may be possible; however, some emergencies will occur with little or no warning.
- There may be injuries to faculty, staff, students, and/or visitors. A rapid and appropriate response may reduce the number and severity of these injuries.
- Proper mitigation actions, such as developing sustainable, resilient facilities and infrastructure, can prevent or reduce emergency-related losses.
- Developing detailed emergency plans, providing training, and conducting periodic emergency drills and exercises will improve UConn's readiness to manage emergencies and may increase the likelihood of reducing losses to life and property.
- Developing plans and response structures that align with partner agencies at the local, state, and federal levels will improve response coordination.
- A coordinated approach to emergency response and recovery across UConn will reduce losses and help return to normal operations more quickly.
- Some emergencies may be so large and complex that they immediately overwhelm UConn's resources, requiring the University to seek outside assistance.
- Outside resources will be available in most situations; however, it takes time to summon external assistance and UConn will strive to be prepared to carry out an initial emergency response on an independent basis for up to 72 hours.
- Organizational units assigned roles, as outlined in the EOP, will help departments adequately plan to execute their responsibilities and train, equip, organize, and exercise their personnel to execute this EOP.
- The EOP satisfies the requirements of Connecticut's School Security and Safety Plan, under Connecticut Public Acts No.13-3 and Connecticut General Statutes 10a-55.

- UConn maintains various policies and procedures that, taken as a whole, are compliant with the requirements outlined in the State of Connecticut Institutes of Higher Education Security Protocol Plan requirements.
- Global Affairs activities may present risks for specific hazards based on the local geographic or geologic, political, and cultural environment of the countries they are located in.
- UConn’s primary alerting systems may or may not provide adequate coverage for all global operations based on the limitations of local telecommunications infrastructure.
- Incidents that affect University activities abroad will require intensive cooperation and coordination internally and with state and federal officials.

2.6 Key Terms: Event, Incident, Emergency, and Disaster

This EOP uses the terms *incident* or *emergency* because they cover the entire range of potential occurrences and outcomes. The terms *declared emergency* and *major disaster* are used when it is necessary to convey an incident that has grown in scope to the level outlined in the definitions below and/or that a disaster declaration has occurred. These terms are important for the designation of an incident to trigger support and resource allocation.



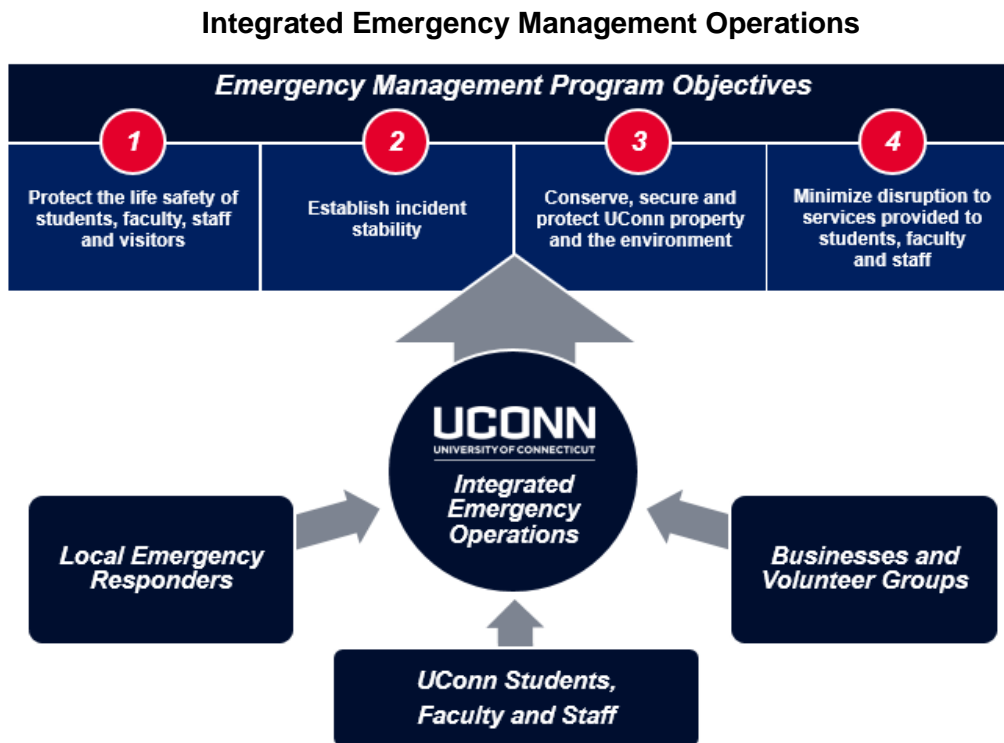
- **Event.** When used in this EOP, an *event* means a planned occurrence where people congregate for a shared purpose. An event may include sanctioned events such as sporting events, commencement activities, and dignitary visits or community-directed events such as a demonstration or a rally.
- **Incident or Emergency.** When used in this Plan, *incident* or *emergency* means any occurrence or threat thereof, whether natural, technological, or human-caused, that results in or may result in injury or harm to the population or damage to or loss of property. Threats may include disease outbreaks, epidemics, severe weather, and hazardous material releases. Incident response may include local, state, and/or federal assistance.
- **Declared Emergency.** A *declared emergency* refers to any natural, technological, or civil emergency that causes damage of sufficient severity/magnitude to results in the Governor of Connecticut or the President of the United States to declare a state of emergency or public health emergency. This means that state or federal assistance is needed to supplement state or local efforts and capabilities to save lives and protect property, public health, and safety or to avert or lessen the threat of a disaster or catastrophe in any part of the state.
- **Major Disaster.** When used in this Plan, *major disaster* refers to any natural, technological, or civil emergency that causes damage of sufficient severity and magnitude to result in: a) A declaration of a civil preparedness emergency by the Governor of Connecticut (Conn. Gen. Stat. Sec. 28-9) and/or b) a declaration of a major disaster by the President of the United States requiring assistance under the Robert T. Stafford Disaster Relief and Emergency Assistance Act, 42 U.S.C. § 5121 et seq.

3.0 CONCEPT OF OPERATIONS

The concept of operations outlines UConn’s unified approach to emergency management. This section begins with a description of the core emergency management tenets that guide the program, followed by the details of program activities within each phase: prevention/mitigation, preparedness, response, and recovery.

3.1 Core Emergency Management Concepts

UConn's emergency response concept of operations is built on the foundation of the National Incident Management System⁷ (NIMS), including the Incident Command System (ICS) and three key tenets: integrative and comprehensive planning, plain language use for incident management, and flexible and scalable incident management.



3.2 Integrative and Comprehensive Planning through NIMS and ICS

UConn has established an emergency management program that is both integrated (employs the resources of UConn, local emergency responders, organized volunteer groups, and businesses) and comprehensive (addresses prevention/mitigation, preparedness, response, and recovery).

NIMS establishes a uniform set of processes, protocols, and procedures that all jurisdictions and emergency responders at every level of government use to prepare for, respond to, and recover from incidents. NIMS ensures that those involved in emergency response operations understand their roles and have the tools they need to be effective.

- UConn has adopted the NIMS as outlined in **Appendix A: Letter of Promulgation; NIMS and ICS Adoption**.
- UConn has established executive leadership and guidance for the integrated emergency management program within the Executive Policy Group, as outlined in **Appendix B: Letter of Promulgation; Executive Policy Group**.

ICS is part of NIMS. UConn and local response partners use ICS to manage all on-scene emergencies that occur on or near UConn property. To the extent practical, UConn may use ICS to manage non-emergency, pre-planned events such as athletic events, graduations, concerts, or other large events. Using the ICS to perform non-emergency tasks promotes familiarity with the system and better prepares UConn to respond to larger incidents.

⁷ For more information, see Federal Emergency Management Agency, *National Incident Management System*, at <http://www.fema.gov/national-incident-management-system>.

Plain Language for Incident Management

One major component of NIMS is communications interoperability across agencies, jurisdictions, and disciplines. UConn will use plain language when communicating about emergency operations. The use of plain language in emergency response is a matter of public safety, especially the safety of first responders and those directly affected by the incident. All local responders, those coming into the impacted area from other jurisdictions, states, and the federal government must know and utilize commonly established operational structures, terminology, policies, and procedures.

Scalable and Flexible Incident Management

UConn manages incidents based on a scalable and flexible approach. *Scalability* is the ability to increase the scope of the response to meet the needs of the incident. *Flexibility* is the ability to tailor the response to the needs of the incident based on the threats, hazards, or required functions. UConn has developed a scalable incident management organization and a flexible response capability.

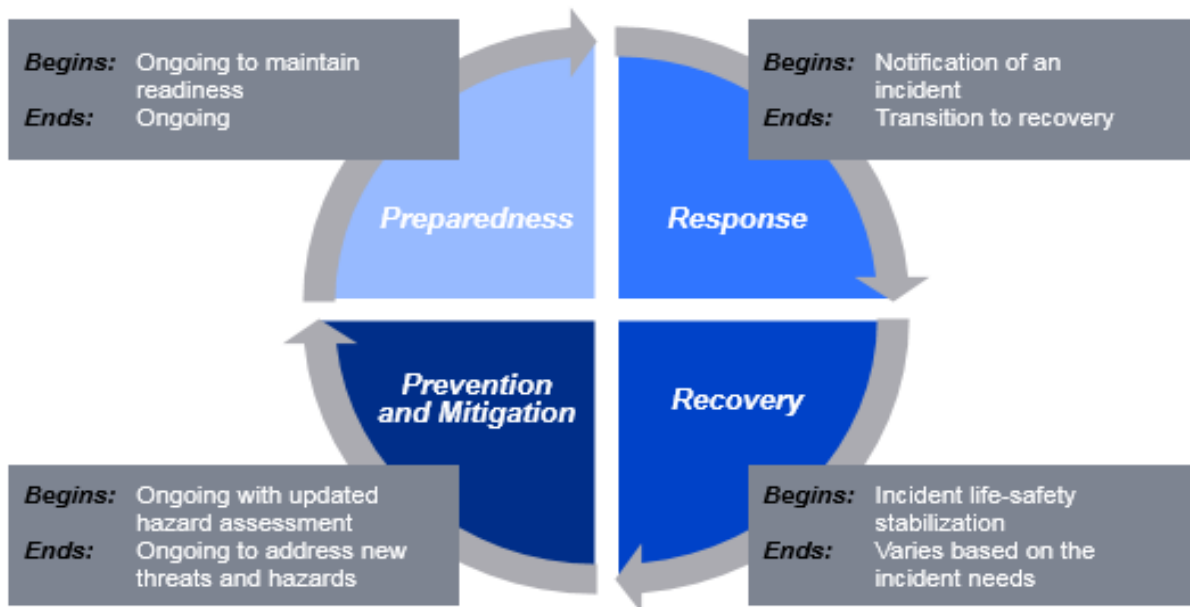
3.3 Phased Operations Using the Emergency Management Cycle

Emergencies do not just appear one day and go away the next; rather, they have an *occurrence cycle*. This cycle entails a series of management phases that include strategies to mitigate hazards and prepare for, respond to, and recover from incidents and their effects. Each phase links to the others. Activities in one phase may overlap those in the previous or following phase.

The mitigation/prevention phase and the preparedness phase are ongoing, but UConn moves swiftly into the response phase when an incident occurs. The response phase yields to the recovery phase at different times, depending on the extent and type of damage. Lessons learned during the response phase and recovery phase should help guide mitigation and prevention activities.

UConn has assessed its threats and potential hazards as well as its response operations and established standard activities to support the management of all hazards. These activities are grouped by emergency management phase and the Office of Emergency Management coordinates and supports all related activities.

Emergency Management Cycle



Prevention/Mitigation Phase

Description: The purpose of prevention is to eliminate threats to life and property from the hazards potentially affecting UConn. The purpose of hazard mitigation is to eliminate or reduce the impacts of threats that UConn is not able to prevent.

Begins: Ongoing.

Ends: Ongoing.

Tasks: UConn will perform the following tasks during the prevention and mitigation phase:

Assess threats/hazards and vulnerabilities. UConn's primary mechanisms for assessing threats/hazards and vulnerabilities are:

- The development of a Threat Hazard Identification Risk Assessment (THIRA).
- Ongoing self-assessments of campus facilities in coordination with various life safety programs.
- Retrospective assessment of incidents, on campus and in adjacent jurisdictions.
- Preplanning for known events, threats, and hazards.

Establish Prevention and Protection Programs. The *Public Protection Annex* outlines ongoing activities for the protection of UConn's physical and information technology assets, the protection of facilities, property, research, and the community through life safety and environmental and health safety programs. The emergency management program integrates with the following programs:

- **Physical Security.** UConn maintains a physical security program, led by the Division of Public Safety for all campuses, that:
 - Establishes the best practices for physical security across UConn.
 - Provides technical support for all UConn divisions and departments to integrate physical security elements.
 - Coordinates the funding associated with the physical security activities assigned to the Division of Public Safety.
 - Addresses the unique security needs of each campus and integrates the design and procurement of security systems and staffing into a cohesive program across UConn.
- **Information Security.** UConn's Information Technology Services' (ITS) policies, standards, and guidelines establish safeguards and controls to prevent unauthorized access to UConn's information technology assets and to protect data. ITS maintains a Disaster Recovery Plan to restore critical applications and data and to expedite access to these systems to speed recovery following a disaster.
- **Life Safety Program.** UConn's Fire Marshal and Building Inspector Office, within the Division of Public Safety, is responsible for code enforcement for buildings and construction projects for all campuses that are not otherwise under the jurisdiction of other Connecticut agencies. The Fire Marshal and Building Inspector's Office is modeled after a municipal fire marshal's office or building inspector's office in its enforcement of the Connecticut State Fire Safety Code through CGS Section 29-292 and the Connecticut State Building Code through CGS Section 29-252a. Active enforcement of life safety codes is a key prevention measure at UConn.
- **Environmental Health and Safety.** UConn's Environmental Health and Safety (EH&S), within the Division of Public Safety, provides comprehensive environmental health and safety services for the University community by developing and administering effective policies and procedures that prevent injuries, mitigate risk, and maintain regulatory compliance in the areas of biological, chemical, occupational, radiation, and public health and safety. EH&S maintains a comprehensive program that combines training, consultation, control, inspection, and regulated waste collection services to protect the health and safety of all personnel during University-sanctioned activities.

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- **Planning, Architectural, and Engineering Considerations.** University Planning, Design and Construction integrates security and life safety considerations into new construction and renovation projects using the *Design Guidelines and Performance Standards Volume 1 Revision # 3* and *Volume 2 Revision # 3, August 2020*.
 - **Conduct Mitigation Planning.** UConn OEM will support mitigation planning efforts, as outlined in the *Recovery and Mitigation Annex*, with operations personnel across UConn departments, divisions, and Regional Campuses. During annual and capital budget processes, UConn should prioritize mitigation projects based on the potential to reduce losses and diminish recurring, avoidable costs. UConn departments and divisions that have potential mitigation projects should submit those projects through their budgeting process for consideration.
 - **Implement Mitigation Projects.** UConn divisions are responsible for their assets and operations. Each one should consider implementing mitigation projects as possible within their operating budgets and other operational constraints. UConn divisions that identify mitigation actions that are linked to physical security, such as strengthening buildings to withstand hazards, improved access control, enhanced lighting and camera coverage, or increased security patrols should coordinate with the Division of Public Safety, Fire Marshal and Building Inspector's Office.
 - **Behavioral Health Threat Assessment Team.** Every community member is responsible for fostering a positive environment by following UConn's policies and procedures. UConn provides procedures for referral, evaluation, and suitable alternatives to manage potentially disruptive behaviors and/or well-being concerns.

The Behavioral Threat Assessment Team is made up of a Behavioral Assessment Oversight Committee and two team components: (1) Student Care Team and (2) Employee of Concern Team. The Behavioral Threat Assessment Team's key objective is to develop intervention strategies, foster a compassionate response, and appropriately ensure services. The Student Care and Employee of Concern Teams each meet regularly to evaluate behaviors by University students or employees that are perceived to be threatening, harming, or disruptive to themselves, others, or both, and to coordinate an appropriate response. Such response may include referral to the appropriate internal or external resources. The following offices may assist with reporting:

- Students: Office of Community Standards, Wilbur Cross, Room 301, 233 Glenbrook Rd., Unit 4119, Storrs, CT 06269
Office: 860-486-8402
Email: studentcareteam@uconn.edu
- Employees: Office of Faculty and Staff Labor Relations, 9 Walters Ave., Brown Building, Depot Campus, U-5075, Storrs, CT 06269.
Office: 860-486-5684
<https://safeworkplace.uconn.edu/contact-us/>

The Labor Relations Team provides the University community with sound guidelines on how to manage their human resources effectively and efficiently and to be responsible for documenting, developing, and implementing policies, procedures, and mandates that support the University's mission.

- **UConn Police Department Crisis Intervention Team Officers.** UConn Police Department Crisis Intervention Team Officers are a second resource for community monitoring and intervention. The UConn Police Department's Crisis Intervention Team is trained and certified in first-response crisis intervention techniques by the Connecticut Alliance to Benefit Law Enforcement. This organization provides mental health training for public safety personnel. UConn Police Department's Crisis Intervention Team Officers respond to crisis incidents, including calls involving persons known to have a mental illness, attempted or threatened suicide, gravely disabled individuals, or individuals who may be experiencing emotional trauma.

Preparedness Phase

Description: Preparedness includes all the ongoing activities that UConn completes before an incident occurs to allow UConn to respond and recover. Effective preparedness phase work helps UConn limit operational impacts and increases organizational resilience.

Begins: Ongoing.

Ends: Ongoing.

Tasks: UConn will perform the following tasks during the preparedness phase.

Monitor for Legislative and Regulatory Changes. OEM coordinates with UConn's division directors and executive leadership, to identify and evaluate changes to the legislative and regulatory environment affecting emergency management. Issues of concern, particularly concerning the state legislature, will be directed to the EPG for resolution. OEM will actively monitor federal and state emergency management guidance/regulations and participate in relevant associations, and networks to identify new rules, regulations, and guidance that will influence UConn's emergency management program, including the following:

- International Association of Emergency Managers (IAEM).
- IAEM Universities and College Caucus.
- Federal Emergency Management Agency (FEMA) programs are targeted at academic institutions and Region 1 college and university events.
- Disaster Resilient Universities (DRU).
- Other relevant associations and groups whose interests align with those of UConn.

Conduct Public Education and Outreach. Public education is targeted to students, faculty, and staff to increase awareness of threats and hazards, provide the community with actionable information to protect life, property, and the environment, and minimize impacts to UConn's operations. OEM in collaboration with University Communications will facilitate public education and outreach as outlined in the ***External Affairs and Public Information Annex***.

Develop Plans, Policies, and Procedures. Plans, policies, and procedures together establish the standards and requirements for UConn's Emergency Management Program and provide actionable frameworks to execute activities to protect life, property, and the environment and limit the impacts to UConn operations. Each administrative unit at UConn has a responsibility to establish plans, policies, and procedures to meet their responsibilities in this EOP and other University-wide plans.

- OEM provides overall leadership for UConn's emergency planning, including maintaining the University's EOP.
- UConn departments and divisions provide support and technical expertise for enterprise-level plan development and develop division-level policies and procedures to enable them to execute their emergency management roles and responsibilities.

With support from OEM, UConn's divisions, departments, and offices should develop their own emergency plans and business continuity plans to protect personnel, research, and facilities and to limit the impacts of emergencies on local department and office operations.

Provide Training and Conduct Exercises. UConn uses the Homeland Security Exercise and Evaluation Program (HSEEP) to guide the development and direction of training and exercises for UConn staff, faculty, and neighboring jurisdictional responders to prepare them to execute their roles in emergency response and recovery. See sections 7.0 Emergency Management Training and 8.0 Exercises, Evaluations and Corrective Actions.

Establish and Execute a Unified Management Process for Athletic Events and Special Events. Athletic and special events have the potential to expand the campus population, pose new threats to the community, and significantly alter UConn's operations. UConn will conduct special event planning,

execution, and evaluation using the tenets within this EOP, including NIMS and ICS. **Appendix D: Considerations for Athletic Events and Special Events** provides additional detail on planning and execution of these events. Additionally, the Division of Athletics has a Gampel Pavilion Emergency Response Plan to prepare for and respond to an emergency incident that occurs during an event hosted at Gampel Pavilion on the Storrs campus.

Develop and Maintain Current Risk Management Processes and Distribute Information for Global Activities. Led by the Office of Global Affairs, UConn will establish a framework for safe and secure activities abroad, including the following:

- Maintain a process for evaluating the safety and security of research and educational sites based upon the type of activities and which community members are present.
- Establish policies for restricting travel to specific areas based upon adverse environmental conditions, life safety threats, and rescind travel access to those already abroad.
- Establish plans, policies, and procedures for emergency notification, support, and evacuation of students, faculty, and staff when personal or environmental conditions change.
- Require students, faculty, and staff to enroll in the U.S. State Department's Smart Traveler Enrollment Program.
- Ensure systems are in place to contact individuals working or studying abroad. Test communication systems periodically for contacting individuals working or studying abroad.
- Ensure individuals traveling abroad receive the Office of Global Affairs *General Health and Safety Recommendations*.
- Maintain access to international health insurance for students and staff in other countries.
- Collaborate with U.S. Embassies and Consulates to assist individuals traveling abroad. Monitor the U.S. Department of State, Bureau of Consular Affairs for information about travel warnings and other international travel services and distribute that information.
- Revise plans based on lessons learned from exercises and other global events.
- Provide annual training for study abroad directors.
- Global Affairs will provide OEM with information on study abroad programs to maintain situational awareness and enhance program integration.
- Maintain procedures for emergency notification, support, and evacuation of students, faculty, and staff.
- Maintain a process for evaluating the safety and security of educational sites abroad.
- Conduct safety and security preparation and response sessions for students, faculty, and staff.

Build Capabilities and Manage the Emergency Management Program. During the preparedness phase, UConn evaluates findings of any ongoing risk assessments and maintains or builds capabilities to protect from, prevent the occurrence of, mitigate the effects of, respond to, and recover from emergencies. Where appropriate for the University operating environment, UConn benchmarks the emergency management program capabilities using the 32 Core Capabilities established in the National Preparedness Goal.⁸

UConn references the POETE model to build, maintain, and evaluate emergency management capabilities. POETE is an acronym of the five primary elements required to build any capability:

- **Planning** includes the written and unwritten (verbal) frameworks for each capability.
- **Organization** includes the staffing and leadership necessary to execute the plans for each capability.

⁸ For more information, see Federal Emergency Management Agency, *Core Capabilities*, at <http://www.fema.gov/core-capabilities>.

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- **Equipment** includes the durable and disposable supplies required by staff to execute each capability.
 - **Training** includes the practical and classroom education necessary for staff to execute each capability.
 - **Exercises** include the discussion and operational activities that allow staff to practice implementing the organization, equipment, and training to execute each capability.

Each division, department, and office will build capabilities through their budget process, capital budget process, and grant opportunities as appropriate. OEM will work with UConn's divisions to enhance and maintain existing capabilities and to identify and develop new capabilities based on an ongoing hazard assessment. This program management will bring together all the mitigation phase and preparedness phase activities to prepare UConn to respond to and recover from an incident.

Supporting People with Disabilities and Others with Access and Functional Needs. UConn strives to create an environment where all members of the community can participate equally, including in the emergency management program. The University engages in an interactive process with each person requesting accommodations and reviews the requests on an individualized, case-by-case basis. It is incumbent upon UConn's divisions, departments, and offices to understand these needs and to identify the best approach to providing for those needs during emergency management activities. UConn has many resources within the institution that can provide divisions, departments, and offices with assistance in determining potential approaches to providing accommodations in support of the emergency management program:

- UConn Human Resources: hr.uconn.edu/ada-compliance/.
- UConn Center for Students with Disabilities: csd.uconn.edu.
- UConn Office of Institutional Equity: accessibility.uconn.edu/.
- UConn Center for Excellence in Developmental Disabilities: uconnucedd.org.
- School and Regional Campus Disabilities Services Offices.

Response Phase

Description: Response includes activities that UConn executes from the time of an incident until there are no longer immediate threats to life, property, or the environment. In this phase, UConn's focus is on assessing the situation to determine the impacts, establishing a course of action to address threats, and executing that course of action to protect the community.

Begins: Notification of an incident.

Ends: No longer immediate threats to life, property, or the environment.

Tasks: UConn will perform the following tasks during the response phase.

Assess the Situation. One of UConn's first tasks in incident response is to monitor the operating environment and to quickly assess the situation to determine if its size or severity warrants activating the Emergency Operations Center and other organizational elements. UConn's process for situational assessment is in *Section 5.0 Command and Coordination*.

Notify and Alert the Community and Provide Emergency Public Information. Based on the needs of the incident, UConn will provide alerts, notifications, and emergency public information.

- **Notification and Alerting.** Notification and alerts (including warnings) provide time-sensitive directions to make the community aware of threats to life safety and to provide guidance.
- **Emergency Public Information.** Public information includes ongoing communication to the UConn community and the public about the incident as well as potential impacts to ongoing UConn operations.
- UConn will use the framework in *Section 6.0 Information Management and Communications* to guide this critical activity during incidents.

Assess and Respond to Incidents Abroad. Led by the Office of Global Affairs, UConn will assess changing environmental conditions and develop a course of action to respond based upon the needs of the incident. This includes the following activities:

- Contacting on-site staff or the UConn Resident Director of the program abroad if there is a hazard or threat to program staff and students.
- Accounting for all students, faculty, and staff.
- Working with overseas universities and insurance partners to obtain information for response and action.
- Providing information to the University community, as necessary.
- Collaborating with U.S. Department of State, Embassies, and Consulates to assist individuals traveling abroad.
- Arranging for transportation to the nearest safe haven or back to the United States if evacuation is the best course of action.
- Monitoring the U.S. Department of State's Bureau of Consular Affairs website for updates about travel warnings and other international travel services.
- Developing an After-Action Report and Improvement Plan and following up on corrective actions as needed.

Activate UConn's Incident Response Organization. Based on the needs of the incident, the University's incident response organization consists of the following elements:

- **Emergency Responders.** Emergency responders include UConn and local partner public safety personnel who respond to one or more incident sites. UConn provides police, fire, emergency medical, and hazardous materials response at the Storrs Campus and UConn Health. In addition to UConn Police, regional campuses receive assistance from the local jurisdiction. Emergency response support for each campus is included in the **Public Protection Annex**.
- **Emergency Operations Center (EOC) and EOC Liaisons.** The EOC is a facility activated to coordinate UConn's response to an incident(s) at any UConn campus.
 - **UConn Emergency Operations Center (EOC).** Activated by OEM, the purpose of the EOC is to coordinate resources and operations outside of the incident site and to provide support to the Incident Commander at the incident site. The primary EOC is located at the OEM offices at 28 Professional Park, Storrs, CT. The EOC may convene virtually utilizing WebEx, MS Teams, or other virtual platforms.
 - **Emergency Operations Center (EOC) Liaisons.** EOC Liaisons are senior-level operations personnel from across UConn's divisions and campuses who guide incident response from the EOC.
 - **An Incident Command Center** may be established at UConn Health and John Dempsey Hospital to coordinate response activities with the UConn EOC at Storrs as well as with local public safety coordination centers around Farmington and local and state EOC.
- **Executive Policy Group (EPG).** The Executive Policy Group consists of the senior division executives from across UConn, chaired by the Executive Vice President of Administration and Chief Financial Officer. The EPG as an advisory body that meets regularly to support the coordinated input of stakeholders in the preparation, implementation, evaluation, and revision of the emergency management program. The EPG is responsible for addressing the human, economic, political, reputational, media, and liability concerns that exceed the authority or capabilities of the Emergency Operations Center. Any member of the EPG may request activation of the group in response to an incident in the best forum and format based upon the needs of the incident. **Appendix H: Executive Policy Group Synopsis** and the **Executive Policy Group Guide** provide additional guidance on the key areas of responsibility and contact information.

Stabilize the Incident or Incidents. UConn's emergency response structure will remain active until the threats to life, property, and the environment have been stabilized or resolved, the immediate needs for public welfare are met, and key services are restored. In addition to departmental standard operating procedures used for routine incident response and recovery, UConn will implement the necessary functional and hazard-specific annexes to this EOP to coordinate operations and to implement a timely resolution.

Demobilization. As an incident transitions from response to recovery, the units involved will demobilize. All units at the scene of an incident or that have acted as emergency responders are under the supervision of the Incident Commander and therefore require Incident Command/Unified Command approval to demobilize. IC/UC may demobilize portions of the incident response as the incident is scaled down.

- The Emergency Operations Center may coordinate the demobilization of elements/sections as the incident evolves. The acting EOC Command representatives will be the primary authority within the EOC to initiate the demobilization process. The EOC may remain active in some capacity during the recovery phase.
- The Executive Policy Group may organize and break during the response phase, depending on the needs of the incident response. Until completely demobilized, EPG representatives will remain accessible even when not physically convened. The chairperson of the EPG may authorize partial or complete demobilization of the EPG once a recommendation from the EOC has been determined.

Recovery Phase

Description: Recovery includes the activities necessary for the restoration of the University and its community following an incident. Depending on the type and severity of the incident, recovery operations can last for months or years.

Begins: After the onset of the initial response.

Ends: Varies based upon the needs of the incident.

Tasks: UConn may perform the following tasks during the recovery phase.

Assess the Damage to the Community and Infrastructure. To assess the damage to the University, UConn will implement the ***Recovery and Mitigation Annex***, which integrates with the concepts in the *Connecticut State Response Framework*.⁹

Implement Business Continuity Operations. Some incidents have the potential to significantly affect UConn's leadership and service operations to the community. A loss of executive leadership can create significant organizational challenges. Diminished operations can lead to loss of accreditation, impacts to degree progress and awards, a drop in enrollment and grant funding, lost research and research funding, and negative impacts to UConn's students, faculty, staff, research animals, and property. UConn will establish and maintain an integrated ***Continuity of Operations Plan*** as a companion to this EOP.

Develop and Implement a Recovery Action Plan. Incident recovery includes short-term activities to address immediate business impacts, restore facilities and structures, and meet the immediate needs of the UConn community (to include human support and public health needs). It also includes longer-term activities required to develop a more sustainable and resilient University. The ***Recovery and Mitigation Annex*** to this EOP provides a framework, key considerations, and the process for UConn to develop a recovery action plan.

Capture, Compile, and Document Incident Costs. UConn divisions are responsible for compiling their response-related costs and forwarding them to the Controller, and the Office of Budget and Planning or as otherwise directed. In the event of a Presidentially declared disaster, documentation will be reviewed and packaged, as required by the State of Connecticut, for submission of possible

⁹ *State of Connecticut. Emergency Response Framework, Revision Date: July 2019*

reimbursement from state or federal agencies. **Section 7.0: Finance** provides additional detail to guide this activity.

Conduct Incident After Action Reporting. UConn may conduct an after-action review to identify strengths and document lessons learned following an exercise or real-life event using guidance in **Appendix I: After Action Report**. OEM will conduct after-action reviews with feedback from the participating divisions and develop an After-Action Report and Improvement Plan, as appropriate.

4.0 ROLES AND ASSIGNMENT OF RESPONSIBILITIES

During each emergency management phase, the various entities named in this plan have certain general roles and responsibilities. The tables below break down the roles and responsibilities for key response elements. The Functional Annexes and Hazard-Specific Checklists that support this plan include more detailed roles and responsibilities.

UConn’s emergency management program is a collaborative effort of University officials and other stakeholders. In addition to University officials, an emergency affecting UConn may require the coordinated response of local, state, federal, and private sector partners. This section provides a brief description of the roles and responsibilities of each of these entities. Detailed guidance for state and federal involvement is in the *State Response Framework*. **Appendix G: Lead and Support Matrix** includes an easy-to-reference table of lead and supporting designations for each Functional Annex.

4.1 University of Connecticut (UConn)

President

Role. UConn’s President provides overall guidance and direction to the emergency management program.

Role of UConn’s President
<ul style="list-style-type: none">▪ The principal executive authority of the University, responsible for the overall policy direction of the University’s emergency prevention/mitigation, preparedness, response, and recovery efforts.▪ Provides overall guidance/direction to the entire University during an incident at any campus.

Responsibilities. The President has the overall responsibility for the emergency management program, executed through delegation to the Executive Policy Group and the Office of Emergency Management.

Prevention/Mitigation Phase and Preparedness Phase Responsibilities
<ul style="list-style-type: none">▪ Provides support for hazard mitigation projects, preparedness initiatives, and emergency management capabilities during capital budgeting processes and in the pursuit of grant funds.▪ Supports public awareness and education efforts through community engagement and media awareness.▪ Coordinates with administrators to assign representatives to the Executive Policy Group.▪ Participates in emergency management training and exercises, as appropriate.▪ Authorizes the EPG to support the needs of the EOC to address policy issues as they arise.▪ Participates in the delivery of public information and messaging to media and the community.▪ Acts as the lead point of contact for the Board of Trustees and local, state, and federal elected or appointed officials.

Executive Policy Group (EPG)¹⁰

EPG Roles. Each member of the EPG plays a role in guiding UConn's emergency management program and executing emergency operations activities. **Note: most of the EPG members have roles/responsibilities across all campuses, including UConn Health. Any exceptions are noted.**

Role of the Executive Vice President for Administration & Chief Financial Officer

- Chairs the EPG and is responsible for advising on all administrative and financial-related policy.
- Establishes authority to purchase resources necessary to respond to and recover from an emergency incident at all campuses.
- Key role in identifying and authorizing staffing levels during an emergency. This includes overtime policies and resource allocation.
- Primary advisor to the EPG on business continuity initiation.

Role of the Provost and Executive Vice President for Academic Affairs

- Serves as the EPG's Chief Academic Officer responsible for all academic-related policy at all campuses (Storrs and Regional) and has the immediate authority to execute academic policy decisions.
- Leads the development of academic policy and establish policy priorities for the University.
- Ensures that faculty participate in training activities and preparedness initiatives.
- Coordinates between faculty and administration in academic continuity efforts and advises the EPG on academic-related decisions, including course requirements, grading, and attendance.

Role of the Vice President for Student Affairs*

- The EPG's lead advisor on policy relating to the student community for all campuses, excluding UConn Health. The School of Medicine, School of Dental Medicine, and Law School have their own Student Affairs Office.
- Identifies essential campus partners and has the authority to mobilize Student Affairs resources including Residential Life, Student Health and Wellness, and Counseling and Mental Health Services, among others.

Role of the Associate Vice President of the Division of Public Safety

- The EPG's executive official to UConn's emergency services at all campuses.
- Responsible for public safety policy and authority to authorize UConn's emergency services.
- Advises the EPG on University status and helps determine closure/evacuation orders. The AVP of the Division of Public Safety can authorize Emergency Operations Center and EPG activation.

Role of the Vice President for Research

- Responsible for advising the EPG on all research-related matters on all campuses.

¹⁰ The National Incident Management System refers to the policy-level body as a Multiagency Coordination Group (MAC Group). For UConn this is the Executive Policy Group (EPG).

Role of Vice President and Chief Information Officer

- The EPG's Chief Information Officer and is responsible for advising the EPG on all information technology-related policy for Storrs and regional campuses.

Role of the Vice President for Communications

- Provides the public information structure for UConn and guides the EPG on the integration of mass communications and media relations into emergency response/recovery for all campuses.
- Oversees the Joint Information System and Joint Information Center and assumes responsibility for all emergency communication activity.

Role of General Counsel

- The EPG's lead legal advisor responsible for providing, managing, and coordinating all legal services to the University, which may include making modifications to standing policies and procedures that are based upon state and federal law.

Role of the Executive Vice President for Health Affairs and CEO UConn Health

- The EPG's conduit to UConn Health and its resources including the John Dempsey Hospital (JDH) and all satellite locations. This includes functions regarding facilities and student community support for UConn Health in its entirety.

Role of the Associate Vice President of Facilities Operations

- The EPG's lead policy advisor on infrastructure, facilities operations, building services, and physical resources at all campus locations, excluding UConn Health. The VP for Facilities Development and Operations at UConn Health is the lead advisor on infrastructure, facilities operations, building services, and physical resources at the UConn Health (Farmington) campus.
- Advises on physical campus status and plays a key role in determining campus closures.
- Authorizes facilities operations and services necessary to respond/recover from the incident.

Role of Deputy Director of Athletics

- Responsible for advising the EPG on all athletic-related matters.

Role of the Director of the Office of Emergency Management

- Responsible for briefing the EPG on UConn's overall Emergency Management Program.
- Responsible for coordinating emergency response efforts including briefing the EPG on all incident related issues.
- See the section on the **Office of Emergency Management Roles and Responsibilities** for more details.

EPG Responsibilities. EPG members have unique roles with common responsibilities when providing executive support for the emergency management program.

Executive Policy Group – Common Responsibilities

Prevention/Mitigation Phase and Preparedness Phase Responsibilities

- Meet quarterly (or as needed) to guide the emergency management program.
- Identifies an alternate with full decision-making authority to join the EPG when the primary designee is not available.
- Support public awareness/education efforts through community engagement and the media.
- Monitor and respond to legislative/programmatic changes that will affect the emergency management program.
- Review/authorize UConn’s emergency management plans during development and updates.
- Assign liaisons to the Emergency Operations Center.
- Identify essential staff within their respective divisions and communicate the expectations of an essential designation to the staff.
- Participate in emergency management training/exercises. Ensure that division staff is trained.
- Encourage and support departments and offices to develop internal emergency operations and business continuity plans.
- Provide support for hazard mitigation projects, preparedness initiatives, and emergency management capabilities during capital budgeting processes and in the pursuit of grant funds.

Response Phase and Recovery Phase Responsibilities

- Activate to support the needs of the EOC to address policy issues as they arise, including external communications, coordination, policy review, and development.
- Review, modify, and/or develop policies and procedures related to course requirements, attendance, grades, student activities, residential life, financial aid, fiscal expenditures, and all other activities necessary to support the management of an emergency event.
- Review Incident Action Plans in coordination with the EOC, including the policy formulation/modifications required to execute decisions regarding staffing levels, event cancellations, and other critical policy decisions affecting UConn faculty, staff, students, and visitors.
- Implement division/department-level business continuity plans to maintain services.
- Participate in the after-action review process, including identifying and adopting Improvement Plans to close identified gaps.

Office of Emergency Management (OEM)

OEM Roles and Responsibilities. Under the broad direction of the EPG, OEM leads the development, maintenance, and execution of UConn's emergency management program.

Office of Emergency Management	
Prevention/Mitigation Phase and Preparedness Phase Responsibilities	
<ul style="list-style-type: none">▪ Meets quarterly with the EPG (or as needed) to guide the emergency management program.▪ Oversees the University's emergency notification and alerting system, UConnALERT, in cooperation with Information Technology Services and University Communications.▪ Coordinates the development of emergency management plans to guide UConn during emergency response and recovery operations.▪ Maintains the EOC and OEM incident support assets in a state of operational readiness.▪ Coordinates and delivers training to the UConn community and conducts exercises to validate UConn's planning and preparedness initiatives.▪ Monitors and responds to legislative/programmatic changes that affect emergency management.▪ Purchases/supports the acquisition of equipment and supplies to support response/recovery operations.▪ Encourages and supports departments and offices in the development of site-specific emergency operation and business continuity plans.▪ Coordinates with Center for Students with Disabilities to ensure plans and operational initiatives address the provision of disability and functional needs support services.▪ Institutes mechanisms for immediate post-disaster damage assessments and develops a routine process for informing local and state officials about disaster impacts.▪ Participates in the University's athletic event and other significant event planning process.▪ Serves as a liaison to regional hazard mitigation planning committees to ensure that all UConn campuses, property, and operations are considered.▪ Supports John Dempsey Hospital's emergency preparedness efforts.▪ Represents UConn at the State EOC and the Governor's Unified Command.	
Response Phase and Recovery Phase Responsibilities	
<ul style="list-style-type: none">▪ Establishes and maintains situational awareness.▪ Provides briefings to executive leaders.▪ In coordination with UConn Public Safety Emergency Communications (PSEC) and University Communications, initiates alerts, notifications, and public information.▪ Manages the Emergency Operations Center, secondary EOC, and OEM assets while activated.▪ Assesses incident impacts to UConn and activates the necessary response organization.▪ Acts as a liaison between the Executive Policy Group and both the UConn EOC and State EOC.▪ Provides guidance/direction to UConn's emergency response organization during incidents.▪ Coordinates the transition from response operations to recovery operations.▪ Assigns liaison(s) to Incident Command, local EOCs, or other coordination centers as needed.▪ Provides routine incident response coordination with the local emergency management.▪ Coordinates the overall after-action review process, including identifying and adopting Improvement Plans to close identified gaps.▪ Represents UConn at the State EOC and the Governor's Unified Command.	

Emergency Operations Center (EOC) Liaisons

EOC Liaisons Role and Responsibilities. EOC Liaisons are comprised of upper-level administrators from each major division within UConn. Coordinated by OEM, EOC Liaisons help guide and support the development, maintenance, and execution of UConn’s emergency management program.

Emergency Operations Center Liaisons	
Prevention/Mitigation Phase and Preparedness Phase Responsibilities	
<ul style="list-style-type: none">▪ Identify a primary and an alternate with full decision-making authority.▪ Review UConn’s emergency management plans during development and updates.▪ Participate in emergency management training and exercises and ensure that division staff participates, as appropriate.▪ Encourage and support departments and offices to develop emergency operations and business continuity plans.	
Response Phase and Recovery Phase Responsibilities	
<ul style="list-style-type: none">▪ Respond to the EOC as required by the incident, either virtually or in-person as instructed.▪ Make recommendations for initial and ongoing alerts, notifications, and public information.▪ Assess the impacts of the incident on UConn, provide department resources, and activate the necessary response organization.▪ Track response operations costs, including department operations following the Controller and the Office of Budget and Planning policies and procedures and incident-specific guidance.▪ Participate in and support the after-action review process, including identifying and adopting improvement plans to close identified gaps.	

Other University Entities

Role and Responsibilities. Other University divisions, departments, or units not specifically assigned roles in the EOP still support UConn’s emergency management program.

Other University Departments or Offices Not Specifically Assigned	
Prevention/Mitigation Phase and Preparedness Phase Responsibilities	
<ul style="list-style-type: none">▪ Know where to go to get official information during an emergency.▪ Review and follow UConn policies and procedures, including the Emergency Closing Policy, Emergency Support Services/Essential Staff Employees policies, and the EOP.▪ Know and be able to execute the process for referring students, faculty, and staff who may pose a threat to the community or themselves to the Behavioral Threat Assessment Teams.▪ Stay informed by reading the Emergency Hazard Guide (oem.uconn.edu).▪ Develop personal and family preparedness plans.	
Response Phase and Recovery Phase Responsibilities	
<ul style="list-style-type: none">▪ Follow the instructions of emergency responders, including building emergency coordinators.▪ Execute emergency protective measures: (1) calling 911, (2) implementing an evacuation or lockdown, and (3) providing support and assistance to fellow students, faculty, and staff who have a disability and/or access and functional needs.	

4.2 Local Partners

UConn has campuses in six municipalities across the state. While UConn has a fully functional police department overseeing all campuses and a fire department protecting both the main campus in Storrs and UConn Health in Farmington, situations may require the assistance of mutual aid from surrounding jurisdictions. At the regional campuses, the local municipal fire department is the primary responder for emergencies.

Under the Connecticut Intrastate Mutual Aid Compact, codified in Section 28-22a of the Connecticut General Statutes, any municipality in Connecticut can provide any municipal asset to any other city/town, even if they do not have an existing written mutual aid agreement. The system does not affect any existing agreements and is not limited to traditional mutual aid assets such as police and fire. It can be used to provide public works, local health, or other municipal assets to assist in an emergency response or recovery effort.

In addition to established relationships with local first responder organizations, OEM has established a collaborative workgroup of the emergency management officials from the municipalities surrounding each campus to develop emergency response capabilities and plans.

4.3 State Government

Title 28, Chapter 517 of the Connecticut General Statutes is the source of authority for the State of Connecticut and its political subdivisions to use to prepare for and respond to natural disasters and other emergencies. The Robert T. Stafford Emergency Relief and Disaster Assistance Act (42 U.S.C. § 5121 et seq.) (“The Stafford Act”) is the federal legislation that created a national program for disaster preparedness, response, recovery, and mitigation.

- The State Department of Emergency Services and Public Protection, Division of Emergency Management and Homeland Security (DESPP/DEMHS) has the statutory authority and responsibility to prepare, integrate and coordinate Connecticut’s comprehensive emergency management and homeland security program.
- The State Emergency Operations Center (SEOC) is the coordination center for emergency services during any major emergency affecting the State of Connecticut. During statewide or large-scale emergencies, the Governor’s Unified Command operates from the SEOC. Direct support to UConn may be handled through the appropriate State Division of Emergency Management and Homeland Security (DEMHS) Regional Office. Not all emergencies affecting UConn will necessitate the activation of the State’s Emergency Operations Center.

State Emergency Operations Center (During Activations)		860-566-3180
DEMHS Region 1	203-696-2640	Stamford Campus
DEMHS Region 2	860-685-8105	N/A
DEMHS Region 3	860-529-6893	Hartford Campus Law School UConn Health Farmington
DEMHS Region 4	860-465-5460	Storrs Campus Avery Point Campus
DEMHS Region 5	203-591-3509	Waterbury Campus

- As a state agency, UConn OEM participates in and represents UConn in state-level operations and the Governor’s Unified Command Calls during statewide incidents and acts as a member of the state’s Incident Management Team, as required.
- UConn department-level plans may call for direct assistance from other state agencies. Nothing in this plan will supersede these department-level plans. However, if the UConn EOC is activated,

requests for state assistance or information on state involvement should be shared with the EOC for situational awareness and effective resource coordination and allocation. Communications within and between state entities during emergencies are established through ongoing collaborative planning and through the addition of technological hardware (radio frequencies) and software systems (WebEOC).

4.4 Federal Government

When an incident is anticipated to exceed state resources or when the federal government has unique capabilities needed by Connecticut, the Governor may request federal assistance. However, certain incidents affecting UConn directly may require a direct request by University officials to the federal government for assistance. Various federal departments and agencies may have statutory responsibilities and leadership roles based upon the unique circumstances of the incident. For example, the introduction of foreign animal disease to the agricultural program at UConn requires immediate assistance from both the State Department of Agriculture and the U.S. Department of Agriculture. In such cases, response activities would be coordinated through UConn's Unified Command system.

4.5 Private Sector/Non-Governmental Organizations

During an incident affecting UConn, key private sector partners, such as public utilities, may be consulted during the decision-making process. Additionally, UConn campuses house numerous private sector businesses and organizations on which the University relies for both for day-to-day operations and as subject matter experts.

Many non-governmental organizations (NGOs) provide essential aid to people in need. Many of these NGOs belong to the organization known as the Connecticut Volunteer Organizations Active in Disaster (CT VOAD). Several NGOs, such as the American Red Cross and United Way 211, have agreements with the State of Connecticut (which UConn may utilize) to supply various types of assistance before, during, and after a disaster. A detailed description of NGO support to the state resides within the State Response Framework. CT VOAD organizations may be called upon to assist UConn in supporting the needs of the University community after a disaster or significant emergency incident.

5.0 COMMAND AND COORDINATION

UConn must maintain direction, control, and coordination of the emergency management organization to protect life, preserve property and the environment, and minimize disruptions to University operations. Most incidents will only require the response of emergency responders from UConn or local mutual aid partners. A smaller number of incidents will require expanded response from across UConn with support from neighboring jurisdictions and a limited number of incidents will require state or federal support.

Following National Incident Management System (NIMS), UConn has adopted the following command organization to support the concept of operations and the activities outlined in each phase of the emergency management program. UConn will coordinate prevention, mitigation, and preparedness efforts through their respective divisions and departments, community partners, neighboring jurisdictions, and the State of Connecticut. Emergency operations will be managed at the lowest possible level using an escalating approach. Recovery operations involve different objectives, stakeholders, organizations, and timelines from response operations. To return the response organization to readiness for future incidents, UConn will seek to transition from response to recovery as quickly as possible. UConn will manage incident recovery using the concepts and organization outlined within the ***Recovery and Mitigation Annex***.

When disasters occur, response happens at four levels:

- Incident Command System (ICS) – provides a standardized approach to the command, control, and coordination of **on-scene** incident management that provides a common hierarchy within which personnel from multiple organizations can be effective.

- Emergency Operations Center (EOC) – provides incident support activities, including strategic coordination, resource acquisition, and information gathering.
- UConn Executive Policy Group (Multiagency Coordination (MAC) Group) – provides policy guidance to incident personnel, supports resource prioritization, and enables decision-making.
- Joint Information System (JIS) – ensures coherent, consistent, and accurate messaging and communication with the media and public.

Incident Support

GROUP	FUNCTION
Incident Command/ Unified Command IC/UC	Responsible for on-scene tactical management of the incident.
Emergency Operations Center (EOC)	Responsible for collecting, analyzing, and sharing information, supporting resource needs and requests, coordinating plans, and determining current and future needs, and providing coordination and policy direction.
Executive Policy Group (EPG) (Multiagency Coordination (MAC) Group)	Responsible for providing general incident oversight to include making major decisions that impact University operations (canceling classes, evacuations, closing the campus, etc.) and other decisions as dictated by the situation.
Joint Information System	Consists of the processes, procedures, and tools to enable communication to the public, incident personnel, the media, and other stakeholders. The location where this occurs is referred to the Joint Information Center.

5.1 Incident Command System (ICS)

Led by Incident Commander (IC) or Unified Command (UC).

ICS is a standardized approach to the command, control, and coordination of **on-scene incident** management that provides a common hierarchy within which personnel from multiple organizations can be effective. ICS specifies an organizational structure for incident management that integrates and coordinates a combination of procedures, personnel, equipment, facilities, and communications. Using ICS for all incident helps maintain the skills needed to coordinate efforts effectively. ICS applies across disciplines and enables incident managers from different organizations to work seamlessly together.

Individual Incidents

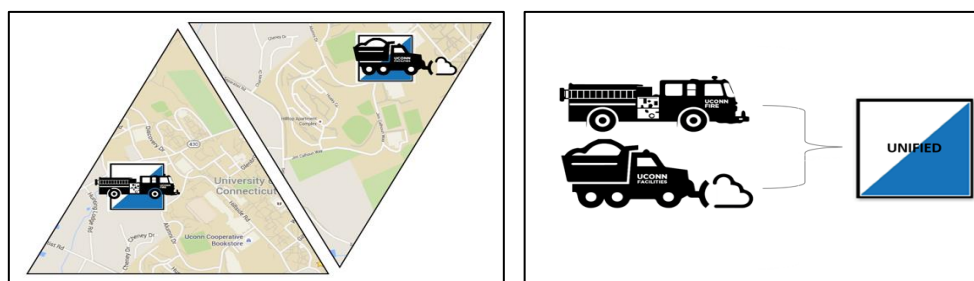
- **First Responders.** Responding agencies at the scene will employ and adhere to their respective standard operating procedures and mutual aid agreements and employ NIMS concepts as applicable.
- **Unified Command (UC).** Unified Command will be used when there is more than one division, department, or unit with incident jurisdiction or when incidents cross political jurisdictions. Agencies work together through the designated members of the UC to establish common objectives and strategies under a single Incident Action Plan (IAP). In large-scale emergencies, emergency responders generally establish a UC Post at or near the incident site. They will notify other agencies

of the need to be present at the UC Post. They will jointly appoint Command Staff and General Staff as necessary to carry out incident objectives.

Example and key considerations for individual incidents:

A response to a small fire in a research lab in Storrs would begin with the UConn Fire Department establishing Incident Command (IC) to fight the fire and evacuate the building while UConn Police secures the scene. As the incident evolves, the Fire Department IC might be joined by the Building Emergency Coordinator (BEC), representatives from Facilities Operations, and the principal investigator from the research lab to form a Unified Command. Incident sites will be assigned an IC from the most appropriate responding division, department, or outside agency based on the nature and location of the incident. If multiple divisions or agencies are responding to the same incident, the IC may transition to a UC with representatives from each division or agency. The IC/UC retains command and control over the resources assigned to that incident.

Individual Incidents at UConn



Left: Individual Incident Commanders. Right: Using a Unified Command Approach.

5.2 Emergency Operations Center (EOC)

Led by EOC director (Emergency Management Director, or designee).

UConn's EOC serves as the direction and coordination center for all of UConn during major emergencies for assignment of resources and coordination and approval of requests for assistance outside the University's jurisdiction. The primary functions of the EOC are:

- Sharing, collecting, and disseminating information.
- Supporting resource needs and requests, including allocation and tracking,
- Coordinating plans and determining the current and future needs of the various jurisdictions and organizations involved in an incident.

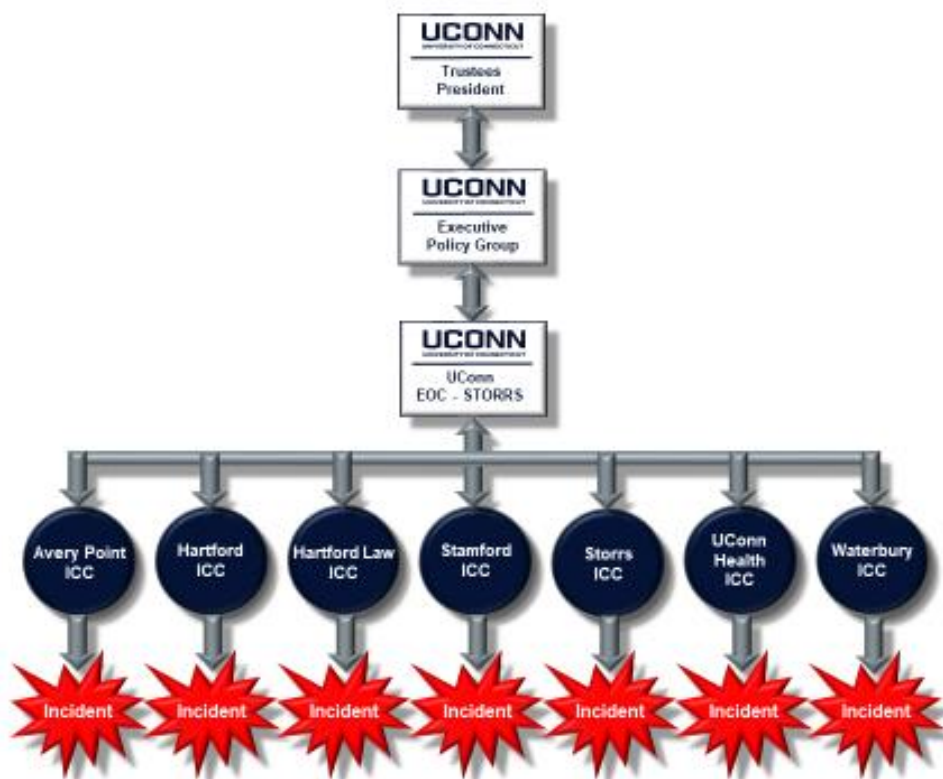
Additionally, EOC personnel support public and incident-specific communications, interface with partners as needed, and support the policy and legal needs of the IC other decision-makers.

- The EOC has jurisdictional responsibility for UConn in its entirety.
- The EOC will establish operational periods as a basis for the incident planning process and develop and publish a formal planning cycle, as applicable for the incident. The operational periods are scheduled for the execution of a given set of operation actions as specified in the Incident Action Plan. Operational periods can be of various lengths.
- The EOC will schedule and conduct an operational period (shift change) briefing at the beginning of each operational period to ensure EOC staff are briefed on the elements of the Incident Action Plan and are aware of the objectives that are expected to be accomplished.
- Operations within the EOC will be organized and conducted with established procedures, checklists, and job aids, as appropriate.
- University departments may also have operations centers. However, these organization-specific operations centers differ from a multidisciplinary EOC. For example, Facilities Operations staffs a

department operation center 24/7 to coordinate requests for repairs and maintenance emergencies. Department operation centers' primary focus is on directing their assets and operations.

- The EOC may activate to support Incident Command Centers at Regional Campuses and/or UConn Health, including John Dempsey Hospital, during incidents. See Exhibit 9.
- OEM is responsible for maintaining UConn's EOC in a state of operational readiness following the **Emergency Operations Center Operations Manual**, which is a companion plan to this EOP.

UConn Enterprise Incident Management Organizational Structure



EOC Activation Levels

The EOC generally follows four broad phases of activation based on the response required from the University and the level of engagement from other response partners.

- **Active Monitoring:** The day-to-day monitoring by OEM and other Public Safety personnel of activities, events, and situations within the University, local community, State of Connecticut, nation, and world.
- **Enhanced Monitoring:** In addition to Public Safety personnel, immediately impacted department EOC liaisons are engaged and other liaisons may be on-call. This activation phase is primarily used to maintain situational awareness and a state of readiness.
- **Partial Activation:** Immediately impacted departments are engaged with the EOC and may send liaisons to the EOC or report through virtual platforms. Liaisons from potential supporting departments are placed on call and external partners may be notified. This activation phase is used to support response operations.
- **Full Activation:** Liaisons from Impacted and supporting departments staff the EOC, virtually or in person, and external partners are engaged. This phase of activation occurs when the EOC is directly supporting an incident and coordinating resources.

Emergency Operations Center (EOC) Liaisons

General. Senior administrators from UConn departments who can provide operational guidance during incident response staff the EOC. These liaisons act within the EOC structure to identify issues, provide support, allocate resources, coordinate responders, and gather/coordinate information. EOC Liaisons have the authority to make decisions and authorize actions on behalf of the operational unit they are representing. OEM may make formal recommendations to operating units to assign specific staff members to the EOC; however, it is ultimately up to the division director or department head to select and authorize liaisons.

- Each unit represented in the EOC should identify a primary and an alternate liaison, where possible.
- During an incident, the EOC may expand and contract based on incident complexity; however, the core operational units of the University outlined in this plan will generally send members during an incident. Pre-identifying EOC Liaisons allows for an immediate response by the University, helps determine emergency responsibilities, improves communications, and allows for preparedness and response training.

Membership. The following University units, at a minimum, shall identify and provide liaisons to the Emergency Operations Center:

- Office of the Provost.
- Office of the General Counsel.
- Human Resources.
- Information and Technology Services.
- Administration (Finance, Risk Management).
- Division of Public Safety (OEM, Fire, Police, PSEC, and EHS).
- Facilities Operations.
- Division of Student Affairs.
- University Communications.
- Research.
- Division of Athletics.
- Events and Conference Services.
- Global Affairs.
- University Planning, Design, and Construction.
- Animal Care Services.
- UConn Health Administration.
- Additional members as needed.

OEM maintains the list of identified EOC Liaisons with their contact information. Units with assigned liaisons to the EOC are responsible for notifying OEM of changes to their representatives including updates to contact information, leaves of absence, or changes in position. At least once annually, OEM will review the EOC liaison contact list.

Activating the Emergency Operations Center Liaisons

During incidents, OEM activates the EOC to meet the needs of the incident. OEM determines what University departments are needed to report to the EOC based on available incident or event information and/or specific needs to respond effectively.

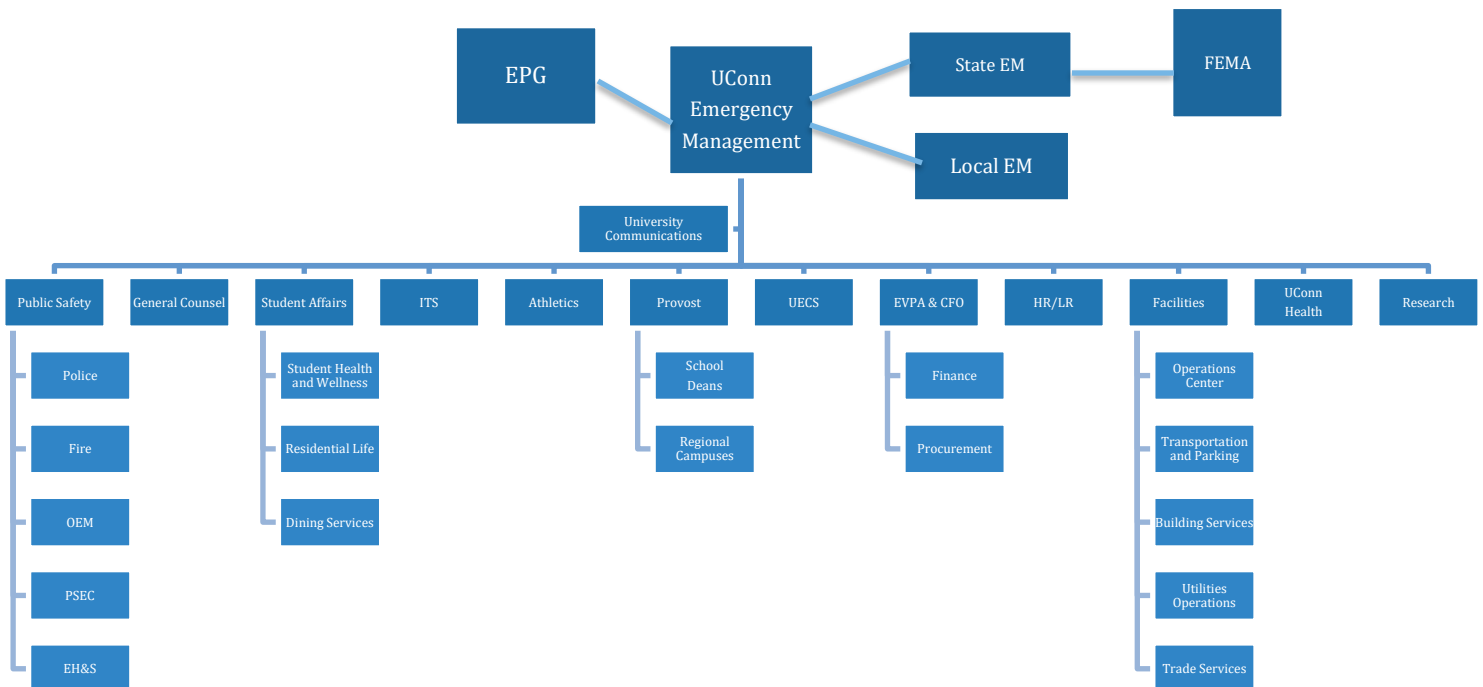
- **Selected Liaisons Only.** OEM may activate only select liaisons to provide specific guidance for an incident.
- **Task Forces.** Certain predetermined EOC Liaisons are activated to respond to specific activities. For example, the Shelter Task Force would be activated to coordinate shelter operations in the event a residence hall needs to be evacuated.
- **Expanded Team.** Because not all emergencies can be anticipated situations will likely rise that merit a response from units that have not pre-identified EOC liaisons. As incidents evolve, the emergency operations may expand and contract to meet the needs of the incident. In this case, OEM may facilitate the addition of University personnel to the EOC in several ways:
 - Request to the Executive Policy Group.
 - Request to existing EOC Liaisons. Based on the information provided, the identified liaison may then contact an additional representative with the knowledge/experience better suited to resolve the situation. These temporary additions to the EOC will be authorized to represent their unit and provide incident-specific information.
 - Request through another established network.

Responding to the Emergency Operations Center. Liaisons will respond to the EOC as requested by OEM. For some events or incidents, OEM may elect to convene the liaisons to the EOC by conference call or virtual platform rather than in person.

Organizing the Emergency Operations Center

UConn organizes the EOC using existing organizational functions, also called departmental EOC structure. When the EOC is activated, liaisons from each department will address issues and lead the execution of activities that fall within their day-to-day purview. UConn’s divisions will use flexibility to address issues during EOC activations.

Example of a Departmental EOC Structure



5.3 Information Sharing

Information sharing is the process of providing timely, accurate, and actionable information to the necessary response organizations concerning the incident. UConn has established information-sharing protocols to provide decision-makers with the information they need to make good decisions during emergencies.

- **Routine Information Sharing.** OEM will coordinate routine information sharing before an emergency when the EOC is not activated, including the website, emails, and social media.
- **Incident-Specific Information Sharing.** During incident response and recovery, operational information will flow from the originating point to the level needed as outlined below. During emergency response operations, UConn will conduct information sharing activities to coordinate with neighboring jurisdictions and to maintain situational awareness.
- **Emergency Operations Center Coordination/Liaisons.** The EOC will communicate directly with neighboring jurisdictions and, if staffing allows, assign UConn liaisons to local EOCs.
- **Incident Briefings.** OEM will provide regular incident briefings to EOC liaisons and the Executive Policy Group during conference calls, and virtual or face-to-face meetings. **Appendix E: Incident Briefing Guide** includes a briefing agenda with the critical information requirements.
- **Situation Reports.** The EOC will provide situation reports, as appropriate, to the EPG that consolidates information about the incident and the response from across UConn. The EOC will also provide situation reports to the state as appropriate during the incident.
- **Public Information.** University Communications, in coordination with any public information officers assigned at the incident sites, will coordinate with the media and update social media outlets to provide public information to the community as outlined in the **Emergency Communication Protocol and Training Manual**.
- **Situational Assessment.** Every division, department, or office at UConn will play a role in assessing the operating environment and the impacted community by identifying threats and hazards and sharing information until the incident is resolved.
- **Routine Situational Assessment.** During normal operations, each division, department, or office is responsible for the following:
 - Assessing operations and establishing parameters for normal, abnormal, and emergency operations based on their unique needs.
 - Monitoring its operating environment and identifying unexpected situations that could affect life safety or university operations.
 - Establishing a process for sharing potential incident information to the division director or the EOC liaison for the department.
 - Identifying members of the community with disabilities and others with access and functional needs and establish accommodations to participate fully in emergency management program activities.
- **Incident-Specific Situational Assessment.** During incident operations, OEM serves as the coordinating element that will establish and maintain situational awareness. OEM collects and consolidates situation reports from UConn's divisions and campuses. These reports will be shared with the EOC and EPG to guide decision-making, resource management, and public information.
- **Critical Information Requirements.** Regardless of incident type, the following critical information requirements necessary to guide decision-making are as follows:
 - Injuries or Fatalities. Are there injuries or fatalities in the UConn community?
 - Infrastructure. Is there damage to UConn's facilities, grounds, or landholdings?

- Roads and Transportation. What is the status of key roads and transportation systems?
- Utilities. Are there impacts on utility systems?
- Residential and Feeding. Are there uninhabitable residence halls or limitations to dining?
- Command and Control. Where is the Incident Commands located and who is in command?
- Continuity Activation. Are any divisions, departments, or offices working under continuity conditions?
- Communications and Information Technology Systems. Are there any limitations to communications systems or information technology systems?
- Athletics and Activities. What is the current and projected status of athletics and campus activities, on and off-campus?
- Global Programs. Are global programs affected by the situation?

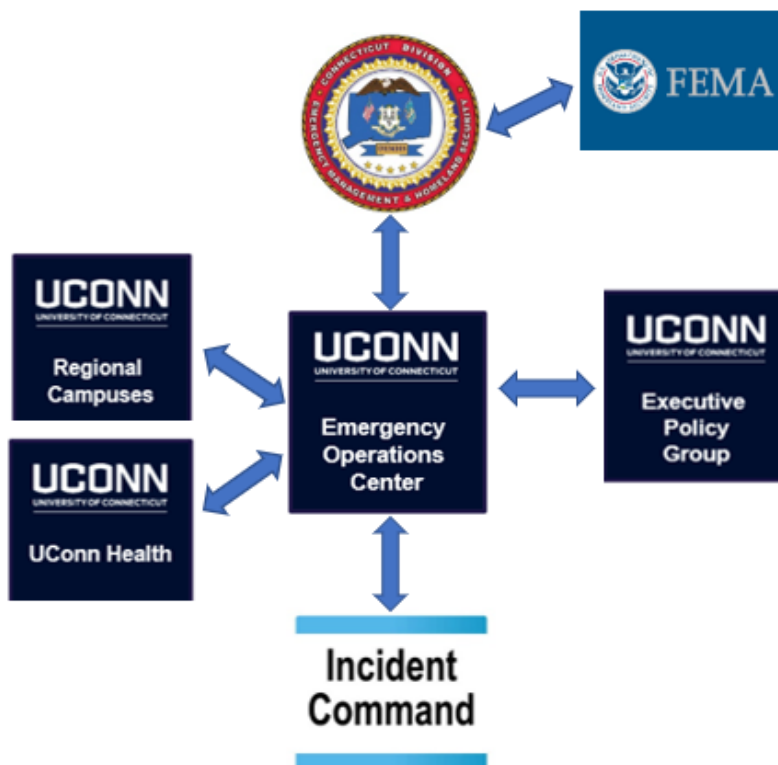
5.4 Interjurisdictional Coordination

If activated, the EOC will serve as the coordination point for inter-jurisdictional coordination. The EOC may assign a liaison to local EOCs if adequate staff is available. Depending on the situation, the EOC may assign additional UConn liaisons to the State Emergency Operations Center (SEOC).

The EOC is UConn’s central collection point for:

- Incident status updates and information.
- Resource requests made by UConn for assets from other jurisdictions.
- Requests for UConn assets made by other jurisdictions. UConn will coordinate requests for assets from outside UConn through local or regional coordination centers or designated individuals except resources activated through standing mutual aid.

Interjurisdictional Coordination



5.5 UConn Executive Policy Group (EPG)

- Led by UConn's Executive Vice President for Administration/Chief Financial Officer

UConn's Executive Policy Group (EPG) is part of the off-site incident management structure of NIMS¹¹. The EPG consists of representatives from UConn's major stakeholder departments and divisions. The EPG is the policy-level body supporting resource prioritization and allocation, and enabling decision making among University leadership and those responsible for managing the incident (e.g., the Incident Commander). In some instances, EOC staff also carries out this activity.

The EPG is primarily responsible for resource prioritization and allocation. Unlike Unified Command, they do not perform incident command functions, nor do they replace the primary functions of operations, coordination, or dispatch organizations. When competition for resources is significant, the EPG may relieve the coordination and dispatch organizations of some prioritization and allocation responsibilities. The composition of the EPG is important. Departments directly affected and whose resources are committed to the incident should be represented. Composition, roles, and responsibilities for the EPG are outlined in **Section 4.1** of the EOP.

5.6 Joint Information System (JIS)

- Led by University Communications Public Information Officer (PIO).
- Joint Information Center (JIC) houses the operations of the JIS.

Dissemination of timely, accurate, accessible, and actionable information to the public is important at all phases of incident management. Many agencies and organizations at all levels of government develop and share public information. University Communications will coordinate and integrate communication efforts to ensure that the public receives a consistent and comprehensive message. The JIS consists of the processes, procedures, and tools to enable communication to the public, incident personnel, the media, and other stakeholders. JIS integrates incident information and public affairs into a cohesive organization to provide coordinated and complete information before, during, and after incidents. The JIS mission is to provide a structure and a system for:

- Developing and delivering the coordinated interagency messaging.
- Developing, recommending, and executing public information plans and strategies on behalf of the Incident Commander or Unified Command, EOC director, or EPG.
- Advising the Incident Commander or Unified Command, EPG, and EOC director concerning public affairs issues that could affect an incident management effort; and
- Addressing and managing rumors and inaccurate information that could undermine public confidence.

The JIS cuts across the three levels of incident management (on-scene/tactical, center/coordination, policy/strategic) and help ensure coordinated messaging among all incident personnel. The **External Affairs and Public Information Annex** contains the framework for carryout UConn's Joint Information System.

6.0 COMMUNICATIONS AND INFORMATION MANAGEMENT

Communication is critical during an emergency. Based on the needs of the incident, UConn will provide notifications, alerts, warnings, and public information to provide directives about protective actions and information regarding response status, available assistance, and other matters that impact preparedness, response, and recovery. UConn strives to deliver effective communications to help ensure public safety, protection of property, and the facilitation of response efforts to instill public confidence, cooperation, and help families reunite.

¹¹ In NIMS UConn's EPG is referred to as the Multiagency Coordination Group.

6.1 Emergency Notification, Alerting, and Warnings

Emergency notifications, alerts, and warnings provide time-sensitive information to make the community aware of threats to life safety and provide guidance. In addition to obligations for emergency notification and alerting during all phases of the emergency management cycle, UConn must also comply with the Jeanne Clery Disclosure of Campus Security Policy and Campus Crime Statistics Act (Clery Act), the Higher Education Opportunity Act, and applicable U.S. Department of Education regulations.

Phased Approach. Notifications occur in phases, which relate to the overall timeline of situational awareness for an event or incident.

- **Hazard Preparedness** focuses on educating the University community about impending hazards with actions to mitigate impacts. This occurs very early when information regarding a potential event arises with enough information to allow communication of potential hazard type, impact to UConn, and guidance to prepare for impending conditions.
- An **Emergency Alert** is an urgent notice sent thorough **UConnALERT** to the community of an emergency that threatens life, health, or property. Immediate protective actions should be included in the communication (shelter-in-place, evacuate, etc.).
- An **Advisory** is given as a notice to the community of critical information but does not rise to the level of an emergency.
- **Follow-up/University Status** notifications provide important updated information regarding an ongoing or a recently terminated emergency. These messages contain more detailed instruction than an emergency alert for greater explanation, clarification, and guidance. This information will be provided on the UConnAlert webpage alert.uconn.edu.
- The final notification phase is the **All Clear**. An All Clear informs the community that the situation is terminated and offers recovery information. It is understood that the University will return to normal operation, with due regard to the after-effects of an event or incident which may have produced significant impacts.
- A **Timely Warning** based on the Clery Act requires the alerting of the campus community to certain crimes in a manner that is timely and will aid in the prevention of similar crimes. Although the Clery Act does not define “timely,” the intent of a warning, regarding a criminal incident(s) is to enable people to protect themselves. This means that a warning should be issued as soon as pertinent information is available.

Warning Point. UConn’s primary warning point is the Public Safety Emergency Communications (PSEC) located on the Storrs campus. From the warning point, the information is assessed to determine credibility to proceed further. If information is deemed uncredible, the information is communicated through departmental policy via avenues that do not include emergency means. Once the information is confirmed, the message is selected as either “emergency,” “advisory” or “timely warning.” The system is activated through authorized users and disseminated to the UConn community through UConnALERT. As the notification continues through its phases, it will ultimately end in an “All Clear” as UConn begins recovery and returns to normal operation. The emergency notification and alert system then resumes its constant state of readiness. *Timely Warnings are not followed by an All Clear.*

UConn’s Division of Public Safety at Storrs houses its 911 Public Safety Answering Point (PSAP) that is staffed 24/7 by Public Safety Emergency Communications Center (PSEC) dispatchers. PSEC services as the dispatch for all UConn campuses including UConn Health in Farmington. PSEC receives information, including but not limited to, wire telecommunication lines, wireless cellular 911, emergency-only phones/devices (often referred to as “code blue phones”), life safety system receivers, third party central stations, IP surveillance, and radio communications through statewide frequencies.

Crime Alerts communicated through a predesignated Campus Security Authority are another warning point for information to be considered for notification. Crime Alerts are monitored and reviewed three times per day by UConn Police Department Shift Commanders.

Notification Types. When an emergency event, incident, or threat occurs and is confirmed, the type of notification to communicate and disseminate will be determined by three main categories: Emergency, Advisory, and Timely Warning.

- **Emergency Notifications** pertain to a situation that is immediately dangerous to life and health. Examples of an Emergency Notification include rapidly developing weather such as a tornado, an active threat/active shooter incident, or an evacuation.
- **Advisory Notifications** pertain to potentially hazardous situations or essential business-critical information. An Advisory contains information that is valuable to the University community but does not rise to the level of an emergency. This may be information regarding construction, forecasted weather advisories, or a water main break that may affect local traffic.
- **Timely Warning Notifications** involve an issue that occurred on or near campus locations and poses a serious or continuous threat to students, faculty, staff, and/or visitors. Timely Warnings are intended to meet or exceed Clery Act compliance. The decision to issue a Timely Warning will be considered on a case-by-case basis depending on risk and when and where the incident occurred. Timely Warnings are often the result of a Crime Alert reported through a Campus Security Authority.

6.2 Terminology

OEM defines four main terms established through combined national best practices and definitions from the U.S. Occupational Safety and Health Administration and U.S. Department of Education. The definitions are available on the OEM website at <http://publicsafety.uconn.edu/emergency/hazard-guide/>.

- **Evacuate:** Leave the building or area immediately and safely.
- **Shelter-In-Place:** Stay inside the building or get to one immediately and safely.
- **Lockdown:** A state of isolation or restricted access instituted as a security measure.
- **All Clear:** The danger or difficulty is over, and the area is safe. Normal operations may resume.

6.3 Emergency Public Information

Public information includes ongoing communication to the UConn community and the public about the incident and potential impacts to ongoing UConn operations. During incident operations, public information is integrated into the ongoing set of activities during each operational period to ensure that UConn is providing updates on a recurring and predictable basis. The information disseminated during this time may originate from the Emergency Operations Center or components of the overall information framework to include input from the Joint Information System, the EOC, and the Executive Policy Group.

University Communications supports emergency public information and communication through the processes, procedures, and systems to communicate timely, accurate and accessible information on an incident's cause, size and current situation to the public, responders, and additional stakeholders. This information is coordinated and integrated across divisions/departments, jurisdictions, agencies, and organizations as well as among federal, state, and local/regional governments and as necessary with non-governmental organizations and the private sector. Information must be communicated to numerous audiences in a timely and consistent manner. University Communications developed and maintains the University of Connecticut (UConn) Emergency Communication Protocol and Training Manual¹² to guide these efforts.

6.4 Training and Education

The Associate Vice President for Public Safety established a working group to collaboratively oversee the emergency notification and alerting process and components with OEM serving as Chair. The UConnALERT Advisory Committee meets quarterly to evaluate current roles and responsibilities, new technology, and lessons learned to prioritize system maintenance and improvement initiatives. The

¹² The University of Connecticut (UConn) Emergency Communication Protocol and Training Manual contains security sensitive information, not for distribution.

OEM Director briefs the Executive Policy Group on the status of UConnALERT at their quarterly meetings.

- Training on system components shall occur within standard operational procedures internal to each department or division identified. This shall include both initial and periodic training of staff responsible for activating, maintaining, and/or monitoring system components.
- Education of UConn’s staff, faculty, students, and visitors on UConnALERT shall be an ongoing, multifaceted initiative that utilizes the most common forms of communication within the UConn community. At a minimum, University Communication’s www.alert.uconn.edu website shall include information regarding the components, testing procedures, and overall familiarity with message content, instructions, and participation. Periodic emails provide general reminders regarding UConnALERT to the University community.

6.5 Public Education and Outreach Overview

UConn has multiple divisions, departments, and programs that educate the entire community on how to prepare for and respond to emergencies. Across all campuses, public safety departments actively engage in public education activities. UConn Police and Fire lead prevention and preparedness campaigns and provide educational opportunities to UConn’s community through course instruction like the First-Year Experience, and the Rape Aggression Defense & Campus Safety Program. OEM with support from University Communications and other divisions, has established several ongoing, coordinated programs to educate the UConn community on how it can better prepare for, respond to, and recover from emergencies.

UConn Ready. OEM, in consultation with University Communications, continues to enhance UConn’s emergency preparedness public education campaign, referred to as UConn Ready. This campaign is designed to educate students, staff, and faculty on threats and hazards to the UConn community and gives them the tools to be ready to prepare for, respond to, and recover from those hazards. UConn Ready uses various platforms to share emergency preparedness information, including the OEM website (oem.uconn.edu), social media, email, myUConn app, the Daily Digest, UCTV, the Daily Campus, WHUS, UConn Today, posters (bulletin boards/buses), flyers, and in-person information fairs.



Emergency Hazard Guides. OEM maintains the **Emergency Hazard Guides**¹³ online to provide community members with the information they may need to prepare for and respond to emergencies. Based on identified hazards to the UConn community, these guides include, Active Shooter/Active Threat, Bomb Threat, Evacuate, Infectious Disease, Lockdown, Extreme Temperatures, Building Fire, Suspicious Package, Tornado, Power Outage, Severe Weather, Shelter-in-Place, and All Clear. In addition to the online availability, OEM works with Information Technology Services to make the guides available in various computers across the Storrs and regional campuses. As new threats and hazards are determined through ongoing assessment, new Emergency Hazard Guides are developed and made accessible.

7.0 EMERGENCY MANAGEMENT TRAINING

OEM’s training goals support the enhancement and maintenance of UConn’s emergency management capabilities. Building upon emergency management capabilities requires that individuals be familiar with their roles and can execute their responsibilities outlined in this plan. OEM will coordinate and provide training to help UConn personnel execute their responsibilities during an emergency. UConn’s training program consists of the following:

¹³ <http://publicsafety.uconn.edu/emergency/hazard-guide/>

- **Training Targets.** Each member of the UConn community should be provided training necessary to execute their roles and responsibilities during an emergency. Training is provided on general emergency management concepts and for specific roles and responsibilities.
 - **General Emergency Management Concepts.** All staff with responsibility to execute an activity in the Emergency Operations Plan should have a working knowledge of the National Incident Management System (NIMS) and the Incident Command System (ICS).
 - **Emergency Operations Center Liaison Training.** Everyone assigned to the EOC will be provided with training on basic EOC operations for in-person or virtual activations.
 - **Training for Specific Roles and Responsibilities.** Each division, department, and unit should train its staff to execute their activities as outlined in the Emergency Operations Plan. For example, University Communications trains staff members to execute the division’s responsibilities for activities mass communications and media relations.

Position/Role
Field Responders – Basis NIMS/ICS Awareness Level
<p><i>FEMA Emergency Management Institute (EMI) Independent Study (IS) Courses:</i></p> <ul style="list-style-type: none"> ▪ IS-100: <i>Introduction to Incident Command System (use current version).</i> ▪ IS-200: <i>Basic Incident Command System for Initial Response (use current version).</i> ▪ IS-700: <i>An Introduction to the National Incident Management System (NIMS).</i>
EOC Liaisons & Field Response Leadership Staff – Advanced NIMS/ICS Awareness Level
<p>In addition to the training for Field Responders, FEMA EMI Independent Study (IS) Courses:</p> <ul style="list-style-type: none"> ▪ IS-800: <i>National Response Framework, An Introduction</i> ▪ IS-2200: <i>Basic Emergency Operations Center Functions</i> <p>Classroom courses coordinated by the Office of Emergency Management or another jurisdiction:</p> <ul style="list-style-type: none"> ▪ ICS-300: <i>Intermediate ICS for Expanding Incidents (3 days)</i> ▪ ICS-400: <i>Advanced ICS for Command and General Staff (2 days)</i> ▪ UConn Emergency Operations Center Staff Training
Executive Leaders
<p>FEMA EMI Independent Study (IS) Courses:</p> <ul style="list-style-type: none"> ▪ IS-908: <i>Emergency Management for Senior Officials</i> <p>Optional classroom courses coordinated by the Office of Emergency Management:</p> <ul style="list-style-type: none"> ▪ ICS-402: <i>Incident Command System for Executives/Senior Officials</i>

- **Funding.** Most emergency management training is funded through various programs supported by the US Department of Homeland Security. FEMA Independent Study Courses and courses conducted on campus and arranged by OEM are free of charge. Individuals wanting to take emergency management courses not funded by DHS/FEMA or their partner organizations need to work out funding issues with their departments.

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- **Training Outlets.** OEM will work through the CT's Division of Emergency Management and Homeland Security (DEMHS) to bring training to UConn. FEMA provides training for first responders and emergency managers and other community partners through an enterprise of institutions and partnerships managed by the National Preparedness Directorate's National Training and Education Division (NTED) and the U.S. Fire Administration (USFA) National Fire Academy.
 - The **National Fire Academy (NFA)** provides leadership skills and advanced technical training for local fire and emergency services. The NFA uses resident and off-campus classroom, blended and distance learning options.
 - The **Center for Domestic Preparedness (CDP)** offers courses at its resident campus in Anniston, Alabama, and through mobile or virtual deliveries, focusing on incident management, mass casualty response, and emergency response to a catastrophic natural disaster or terrorist act. Training provided by the CDP is federally funded at no cost to state, local, tribal, and territorial emergency response professionals, or their agencies.
 - The **Emergency Management Institute (EMI)** develops and delivers emergency management training to enhance the capabilities of federal, state, local, tribal and territorial government officials, volunteer organizations and the public and private sectors to minimize the impact of disasters.
 - The **National Domestic Preparedness Consortium (NDPC)** is a partnership of several nationally recognized organizations whose membership is based on the urgent need to address the counter-terrorism preparedness needs of the nation's emergency first responders within the context of all hazards including chemical, biological, radiological, and explosive Weapons of Mass Destruction (WMD) hazards.
 - **Review, Reporting, and Recording.** All UConn staff taking emergency management courses should retain a copy of their certification of completion and forward a copy to OEM for their files. Information on NIMS training will be provided to State Emergency Management officials upon request.
 - **Integration with Emergency Management Exercises.** OEM will integrate training programs with UConn's emergency management exercises as well as with other exercise programs.

8.0 EXERCISES, EVALUATIONS AND CORRECTIVE ACTIONS

UConn's emergency management program uses exercises and corrective action processes to regularly evaluate and test the knowledge, skills and abilities, and experience of UConn personnel. OEM evaluates personnel, plans, procedures, equipment, and facilities through different types of exercises. Consistent with FEMA's Homeland Security Exercise and Evaluation Program (HSEEP)¹⁴, UConn's emergency management exercise, evaluation and corrective action program consists of the following:

8.1 Exercise Types. Establishes reasonable exercise expectations including the frequency, type, and scope of each exercise.

- **Discussion-Based Exercises**

Discussion-based exercises include seminars, workshops, and tabletop exercises (TTXs). These types of exercises familiarize players with or develop new plans, policies, procedures, and agreements. Discussion-based exercises focus on strategic, policy-oriented issues, and facilitators or presenters lead the discussion, keeping participants moving towards meeting the exercise objectives.

¹⁴ [Homeland Security Exercise and Evaluation Program \(HSEEP\) \(fema.gov\)](https://www.fema.gov/hseep)

SEMINARS

Discussion-based exercises that orients participants to or provides an overview of authorities, strategies, plans, policies, procedures, protocols, resources, concepts, and ideas.

Element	Considerations and Activities
Purpose	<ul style="list-style-type: none"> • Provide a common framework of understanding. • Starting point for developing or revising existing plans, policies, or procedures.
Structure	<ul style="list-style-type: none"> • Usually in the form of multiple presentations, subject-matter expert (SME) panels, or case study discussions. • Lecture-based led by a seminar facilitator/presenter. • Limited feedback or interaction from participants.
Participant Goals	<ul style="list-style-type: none"> • Gain awareness of or assess interagency capabilities or inter-jurisdictional operations. • Set objectives for future capabilities.
Conduct Characteristics	<ul style="list-style-type: none"> • Minimal time constraints. • Effective for small or large groups.
Outcomes	<ul style="list-style-type: none"> • A report that captures the discussion, issues raised, and (if appropriate) action items that will address these issues. • An After-Action Report (AAR)/Improvement Plan (IP).

WORKSHOPS

Discussion-based exercises often employed to develop policy, plans, or procedures.

Element	Considerations and Activities
Purpose	<ul style="list-style-type: none"> • Participant interaction with a focus on achieving or building a product. • Clearly defined objectives, products, or goals and focus on a specific issue.
Structure	<ul style="list-style-type: none"> • A group of individuals in a venue conducive to discussion. • Lectures, presentations, panel, or decision support tools. • Facilitated working breakout sessions, led by a workshop facilitator/presenter.
Participant Goals	<ul style="list-style-type: none"> • Develop a product as a group. • Obtain consensus. • Collect or share information.
Conduct Characteristics	<ul style="list-style-type: none"> • Effective for small and large groups, attendance by relevant stakeholders. • Conducted based on clear objectives/goals. • More participant discussion than lecture based. • Uses breakout sessions to explore parts of an issue with similar groups.
Outcomes	<ul style="list-style-type: none"> • Emergency Operations Plans • Mutual Aid Agreements. • Standard Operating Procedures. • Continuity of operations plans. • An After-Action Report (AAR)/Improvement Plan (IP).

TABLETOP EXERCISES (TTX)

Discussion-based exercise in response to a scenario, intended to generate a dialogue of various issues to facilitate a conceptual understanding, identify strengths and areas for improvement, and/or achieve changes in perceptions about plans, policies, or procedures.	
Element	Considerations and Activities
Purpose	<ul style="list-style-type: none"> Generate discussion of various issues regarding an exercise scenario. Facilitate conceptual understanding, identify strengths and areas for improvement, and/or achieve changes in perceptions.
Structure	<ul style="list-style-type: none"> Scenario is presented to describe an event at a simulated time. Players apply their knowledge and skills to a list of problems presented by the facilitator. Problems are discussed as a group, and resolution may be reached and documented for later analysis. Plenary or breakout session(s). Discussion led by a facilitator(s), presentations.
Participant Goals	<ul style="list-style-type: none"> Enhance general awareness, roles and responsibility understanding. Validate plans and procedures. Discuss concepts and/or assess types of systems in a defined incident.
Conduct characteristics	<ul style="list-style-type: none"> Requires an experienced facilitator. In-depth discussion. Problem-solving environment. All participants should be encouraged to contribute to the discussion and be reminded that they are making decisions in a no-fault environment.
Outcomes	<ul style="list-style-type: none"> Recommended revisions to current plans, policies, and procedures An After-Action Report (AAR)/Improvement Plan (IP)

- Operations-Based Exercises**

Operations-based exercises include drills, functional exercises (FE), and full-scale exercises (FSE). These exercises validate plans, policies, procedures, and agreements; clarify roles and responsibilities; and identify resource gaps. Operations-based exercises include a real-time response such as initiating communications or mobilizing personnel and resources.

DRILLS

Operations-based exercises often employed to validate a single operation or function.	
Element	Considerations and Activities
Purpose	<ul style="list-style-type: none"> Coordinated, supervised activity to validate a specific function or capability. Provide training on new equipment, validate procedures, or practice and maintain current skills.
Structure	<ul style="list-style-type: none"> Can be standalone or used as a series of drills. Clearly defined plans, procedures, and protocols need to be in place.
Participant Goals	<ul style="list-style-type: none"> Evaluate new procedures, policies, and/or equipment. Practice and maintain skills. Prepare for future exercises.

Conduct characteristics	<ul style="list-style-type: none"> • Immediate feedback. • Realistic environment. • Narrow focus. • Results are measured against established standards.
Outcomes	<ul style="list-style-type: none"> • Determine if plans can be executed as designed. • Assess whether more training is required. • Reinforce best practices. • An After-Action Report (AAR)/Improvement Plan (IP).

FUNCTIONAL EXERCISES (FE)

Operations-based exercises designed to test and evaluate capabilities and functions while in a realistic, real-time environment; however, movement of resources is usually simulated.

Element	Considerations and Activities
Purpose	<ul style="list-style-type: none"> • Validate and evaluate capabilities, multiple functions and/or sub-functions, or interdependent groups of activities. • Exercise plans, policies, procedures, and staffs involved in management, direction command, and control functions. • Apply established plans, policies, and procedures under crisis conditions.
Structure	<ul style="list-style-type: none"> • Events are projected through a realistic exercise scenario with event updates that drive activity typically at the management level. • Controllers typically use a Master Scenario Events List (MSEL) to ensure participant activity remains within predefined boundaries. • Evaluators observe behaviors and compare them against established plans, policies, procedures, and standard practices (if applicable).
Participant Goals	<ul style="list-style-type: none"> • Validate and evaluate capabilities. • Focused on plans, policies, and procedures.
Conduct characteristics	<ul style="list-style-type: none"> • Conducted in a realistic environment. • Usually simulated deployment of resources and personnel. • Use of Simulation Cell and Master Scenario Events List (MSEL). • Simulators can inject scenario elements. • Include controller and evaluators.
Outcomes	<ul style="list-style-type: none"> • Management evaluation of EOCs, command post, headquarters, and staffs. • Performance analysis. • Cooperative relationships are strengthened. • An After-Action Report (AAR)/Improvement Plan (IP).

FULL SCALE EXERCISES (FSE)

Operations-based exercise that is typically the most complex and resource-intensive of the exercise types and often involves multiple agencies, jurisdictions/organizations, and real-time movement of resources.	
Element	Considerations and Activities
Purpose	<ul style="list-style-type: none"> Often includes many players operating under cooperative systems such as the Incident Command System (ICS) Unified Command. Focus on implementing and analyzing the plans, policies, and procedures that may have been developed in discussion-based exercises and honed during previous, smaller exercises.
Structure	<ul style="list-style-type: none"> Events are projected through an exercise scenario with event updates that drive activity at the operational level. Involves multiple agencies, organizations, and jurisdictions. Use of a MSEL drives player actions SimCell controllers inject scenario elements. The level of support needed may be greater than that needed for other types of exercises. Conducted in a realistic environment to mirror a real incident by presenting complex problems
Participant Goals	<ul style="list-style-type: none"> Demonstrate roles/responsibilities as addressed in plans and procedures. Coordinate between multiple agencies, organizations, and jurisdictions.
Conduct Characteristics	<ul style="list-style-type: none"> Rapid problem solving; critical thinking. Mobilization of personnel and resources. Exercise site is usually large with many activities occurring simultaneously. Site logistics require close monitoring. Safety issues, particularly with use of props/special effects, must be monitored. Demonstrate roles/responsibilities as addressed in plans and procedures.
Outcomes	<ul style="list-style-type: none"> Validate plans, policies, and procedures. Evaluate resource requirements. An After-Action Report (AAR)/Improvement Plan (IP).

8.2 After-Action Reporting (AAR)

Formal exercises conducted following the Homeland Security Exercise and Evaluation Program (HSEEP) will include an After-Action Report (AAR) to document strengths and areas for improvement. Unit-level exercises do not require AARs. However, units may elect to develop an AAR to document findings and to close gaps that they identify during exercises. Simple punch lists provide an easy way to track gaps through to resolution.

The after-action reporting process is a critical activity following an incident or event. The purpose of the AAR is to catalog UConn's strengths during the response to build upon them for the future and to identify areas for improvement. Areas of focus include planning, organization, staffing, equipment, and training and exercises.

After-action reporting can take many forms, from simple hot wash sessions following an incident to expanded, formalized processes following a major incident. UConn will use the following guidelines for after action reporting.

- **General Guideline.** There are lessons to be learned following any incident, and any unit within UConn should consider conducting at least a minimal internal review of their response and recovery. This process is non-punitive.
- **Hot wash.** A hot wash is a round-table discussion in which each participant quickly and simply addresses what happened during an incident, significant event, or exercise and addresses strengths and areas for improvement. A hot wash is performed as immediately after an event as possible by the personnel involved and usually covers the following questions:
 - What was planned?
 - What occurred?
 - What went well?
 - What needs improvement?
- **Formal AAR.** OEM will facilitate AAR processes to review and evaluate responses to an incident and develop After Action Reports using the following process:
 - OEM will gather after action notes from those who participated in the response and may provide follow-up opportunities for responders and the community to provide feedback.
 - OEM will conduct sessions, including informal hot washes and after-action meetings to gather information, compare participant feedback, and identify strengths and areas for improvement.
 - Working closely with responding UConn units and partner agencies, OEM will compare the incident response to the expected response to classify strengths and areas for improvement.
 - OEM, or another more appropriate author, will draft an AAR that provides an overview of the incident, the response actions, the timeline of activities (if applicable), the strengths and areas for improvement identified during the review process, and an improvement plan for each identified area for improvement.
 - OEM will share the draft AAR with those who participated in the after-action process, incorporate comments and feedback.
 - OEM will share AAR findings with EPG and highlight any areas for improvement that may pose an unacceptable risk to UConn along with an improvement plan, as appropriate. The EPG may request modifications to the AAR and improvement plan.






Improvement Planning

Improvement planning is a process by which areas for improvement identified during AARs following exercises or actual events are turned into measurable corrective actions. Improvement planning activities can help shape preparedness priorities and strengthen capabilities. Effective improvement planning serves as an important tool for:

- Prioritizing corrective actions identified from individual exercises.
- Providing valuable input into strategy development and program priorities.
- Initiating a review or new development of plans, policies, and procedures.
- Identifying and obtaining needed training, equipment, and other resources.

Specific, measurable, achievable, relevant, and time-bound (SMART) corrective actions are actionable steps intended to resolve capability gaps and shortcomings identified in exercises.

SMART Guidelines

SMART Guidelines for Corrective Actions		
Specific		Corrective actions should address the five Ws – who, what, when, where, and why. The action should be tied back to an objective that was evaluated.
Measurable		Corrective actions should include numeric or descriptive measures that define quantity, quality, cost, etc. The focus should be on the outcomes of the corrective action.
Achievable		Corrective actions should be within the control, influence, and resources of the responsible owner/assignee.
Relevant		Corrective action should be instrumental to the mission of the organization and linked to its goals or strategic intent. Validation of the corrective action ensures that it meets the goals and intent.
Time-bound		Corrective actions should have a specified and reasonable timeframe to be completed

OEM will develop a plan to address identified corrective or actionable items. An example of a matrix of actionable items is in the **After-Action Report Template** in **Appendix I** of the EOP. The matrix lists:

- Areas for improvement from incidents, exercises, security audits, mitigation planning, and other relevant sources.
- The suggested corrective action necessary to address the area for improvement.
- The primary organization or department along with their point of contact responsible for carrying out the corrective action.
- A timeframe for completion of the corrective action.

OEM will maintain the corrective action plan, brief the EPG on progress and seek their guidance, as necessary, and track the closure of corrective actions. The EPG may support the closure of corrective actions through the annual and capital budgeting processes and grant-based initiatives, as appropriate.

Some corrective actions will require ongoing training and exercises to provide continuous awareness for the UConn community. OEM will conduct necessary training and exercises based corrective action priorities and the available resources

- **Integration with Other Emergency Management Exercises.** OEM serves as UConn's primary coordination point for UConn to participate in other local and state emergency management exercises. However, the regional campuses and UConn Health may participate in local exercises on an ongoing basis.
- **Review and Reporting.** OEM will analyze after-action reports following exercises to identify trends. If a trend is present, OEM will look at current training to identify an approach to address the trend. For example, if several after-action reports identified a recurring issue with staff response to the Emergency Operations Center, OEM would evaluate the training provided to staff and update that training. OEM will maintain a list of areas for improvement identified in after-action reports. OEM will include information on exercises and areas for improvement during Executive Policy Group meetings.

9.0 ADMINISTRATION AND FINANCE

This section outlines the administrative processes that support the emergency management program at UConn. This includes documenting response and recovery activities, developing situation reports for steady-state and incident operations, funding the activities within the program, and support emergency management activities across all phases of the program. Effective management of administrative, financial, and logistical activities is critical in allowing UConn to respond more effectively, track costs for reimbursement, and maintain a high level of accountability and public trust.

9.1 Administration of the Program

Documentation Development. Documentation is an administrative action that UConn takes to capture incident information. The primary purposes of capturing incident information are (1) operational information sharing, (2) situational information reporting, (3) cost recovery, and (4) lessons learned.

- **Operational Information Sharing.** Capturing information during the incident allows staff to transfer information from one operational period to the next throughout the incident. UConn primarily uses the following documents to capture and transfer information across incident operations periods:
 - **Activity logs.** A running log of the activities that the emergency responders and the Emergency Operations Center have initiated or supported may be recorded on the Activity Log ICS Form 214. Staff at the EOC use the ICS 214 Form. Other divisions, departments, and offices may use their own activity log forms or other information tracking methods if they meet or exceed the information collected in the ICS 214 Form. Information collected on the Activity Log becomes a resource for each new shift.
 - **Incident Action Plans (IAP).** An IAP contains UConn's intended plan of action to meet the needs of an event or incident. Not all incidents require an IAP. Small and less complex incidents do not require formal, written incident action plans while larger, more complex incidents, do require a written version. UConn's incident action planning process is outlined in the *Emergency Operations Center Operations Manual*.
- **Situational Information Reporting.** Capturing information during the incident allows UConn to transfer critical information to internal and external university stakeholders:
 - **Situation Reports.** Situation Reports combine critical information from across UConn and provide a quick reference guide on the current state of the response. UConn's Situation Report template is in the *Emergency Operations Center Operations Manual*.
 - **Damage Assessment Reports.** UConn conducts damage assessment based on the guidance within the Connecticut State Response Framework. This process and the supporting forms are outlined in the *Recovery and Mitigation Annex*.
 - **Outside and Ad Hoc Reporting.** During incidents, UConn departments may develop and share information with outside agencies using internal forms or State forms. For example, UConn Health and Student Health and Wellness both coordinate with local health districts and Connecticut DPH for surveillance of communicable diseases.
- **Cost Recovery.** Capturing information during the incident allows UConn to support the State's cost recovery process, which may result in additional disaster-related reimbursements for incident costs.
- **Lessons Learned.** Capturing information during the incident allows UConn to develop an After-Action Report that serves as the historical record of the incident and the strengths and lessons learned.
- **Documentation Collection.** At the end of an incident, OEM will collect all relevant incident documentation for analysis and historical record keeping.

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- **Operational Information.** EOC liaisons collect and compile the incident information for their department, review the information for completeness and relevance, and forward the information to OEM, as appropriate.
 - **Cost Reporting.** Each department is responsible for documenting costs associated with an emergency incident. As appropriate, EOC liaisons will work with the Controller and the Office of Budget and Planning to review, audit, and package the information for the incident cost documentation package.
 - **After Action Notes.** As outlined below, a copy of after-action notes should go to OEM to develop the incident After Action Report.

9.2 Finance

General Approach to Financing Incident Response. UConn will expend the costs and effort for most incident preparedness and response and recovery activities without reimbursement from the federal government or additional funding from the State of Connecticut or the federal government. Most incidents that UConn responds to will not reach the response and recovery cost thresholds necessary to trigger this level of support. UConn will finance the emergency management program, response, and recovery as appropriate within the following general guidelines:

- **Preparedness Activities.** Each division, department, and office identified in this plan is responsible for their costs necessary for the execution of this plan. Each division, department, or office will consider planning, training and exercise, equipment, and organizational needs when developing their annual budget request.
- **Procurement.** Divisions, departments, and offices will follow UConn's standard procurement policies and procedures before, during, and after emergencies, unless otherwise directed by the Purchasing Department.¹⁵
- **Cost Tracking.** Divisions, departments, and offices will follow their standard cost accounting processes as outlined in UConn Procurement policy before, during, and after emergencies, unless otherwise directed by University Business Services. If the President or designee determines an emergency exists for the university:
 - The President or designee will coordinate with the Executive Policy Group to identify the immediate needs of the incident and the most effective and efficient process for filling those needs.
 - The Office of the Associate VP of Financial Operations and Controller will provide instructions on coding emergency expenses and will notify the other divisions of any modifications to standard policies and procedures.
 - Each division is responsible for tracking all expenses and labor costs associated with the emergency to that cost code and to following standard policies and procedures unless notified of alternative processes by the Finance Division.
 - After the incident, the Office of Budget and Planning with the Controller will collect and review all records of cost data and ensure that all forms are completed accurately, and all supporting documentation is included.

UConn will track the following categories of costs:

- **Personnel Overtime.** Personnel labor performed during the employee's normal workday is not an eligible cost for reimbursement; however, overtime costs that are accrued following standing (non-disaster) human resources policies may be eligible during a federally declared disaster.
- **Equipment and Supplies.** Equipment costs and supplies used in responding to the incident may be eligible for reimbursement during a federally declared disaster; however, purchases of

¹⁵ [Policies and Procedures | Purchasing Department \(uconn.edu\)](#)

durable goods and equipment must be preapproved as these costs have additional limitations and documentation requirements.

- **Response Support Contracts.** Response support contracts include goods or services that are provided to UConn by vendors to support the response to an incident. Newly initiated contracts to respond to an incident require written permission from the University Business Services.
- **Compensation and Claims.** The Human Resources Department will handle workers' compensation documentation and files of injuries and/or illnesses associated with the incident. The Office of Budget and Planning with the Controller will investigate and manage claims involving damaged property associated with the incident. The Office of Budget and Planning with the Controller is the lead point of contact for UConn to interface with the institution's insurance providers for reimbursement claims.

10.0 RESOURCE MANAGEMENT, MUTUAL AID, AND LOGISTICS

UConn has established a logistics and resource management process to identify and acquire resources in advance of and during emergency operations, including options to overcome gaps identified during planning, exercises, and ongoing capabilities assessment. Resource management consists of the process, procedures, and mechanisms for providing material and human resources in support of incident operations.

10.1 Needs Assessment.

During the preparedness phase, each division, department, and office is responsible for assessing the material and human resources requirements necessary to execute their roles and responsibilities outlined in this plan. Through the ongoing Hazard Identification and Risk Assessment process UConn establishes the capabilities that it needs to respond to and recover from incidents. When a division, department, or office identifies a gap in resources necessary to execute their roles and responsibilities, it should consider one of the following three options: (1) procure the necessary material or human resources; (2) seek a memorandum of understanding (MOU) with a partner service provider; or (3) establish a standby contract for a private service provider.

10.2 Resource Management During Emergencies.

During incident response and recovery, UConn resources may be requested and assigned at the discretion of the Incident Commander in coordination with the EOC, if activated. Resources assigned to an incident site remain under the direction of their team lead and operate under departmental standard operating procedures to execute the objectives assigned by the Incident Commander. This applies to resources from outside of UConn as well. A distribution process needs to be developed along with a tracking system.

- **Requesting External Resources.** Divisions, departments, and offices may activate their standby agreements to fulfill their obligations in support of the incident. If the EOC is activated as part of the incident response, the department, division, or office should notify the EOC to avoid duplicate requests. OEM (or the EOC, if activated) will be the central coordinating point for requesting resources from outside of UConn during incident operations, including requesting resources from the State through WebEOC.
- **Resource Listing.** Each division or department will maintain a list of resources that may be used for emergency operations. Emergency Operations Center liaisons should have access to those lists when responding to the EOC in support of incident operations. Information on resources should identify what they are and what they are used for and include where they are stored, how they are maintained and tested if necessary and information on how to acquire replacements.
- **Gaps in Resources.** If a division, department, or office identifies a gap in resources necessary to support the activities in the EOP, it should determine the specifications for the necessary resources. Divisions, departments, or offices should procure items using existing operational funding. If the

division, department, or office is not able to make the procurement through operational funds, it should be considered during the annual budgeting process or capital budgeting process.

- **Standby Agreements and Standing Contracts.** To support incident response and recovery, UConn has established several standing agreements by a memorandum of agreement (MOA), memorandum of understanding (MOU), or standby contract to obtain additional resources or capabilities. Each agreement has appropriate legal and procurement reviews and has been executed within UConn's standing policies and procedures. The Purchasing Department maintains a list of standby contracts for expedited purchasing on the department website:
<https://purchasing.ubs.uconn.edu/university-of-connecticut-contracts/>.

- **Donated Goods and Services**

Donations management is the process of accepting and distributing donated cash and goods following an incident. UConn officials should do everything possible in the early stages of an incident or disaster to stem the flux of unneeded donated goods to the University. An effective donations management system allows UConn to access and utilize appropriate donated goods while also providing a process to prevent unsolicited donations from becoming a burden to response and recovery efforts. Volunteers are a valuable resource when they are trained, assigned, and supervised within established emergency management systems. Like donations management, an essential element of every emergency management plan is the clear designation of responsibility for the on-site coordination of volunteers. **UConn Donations and Volunteer Management** guidance is contained in the **Human Services Support Annex** of the UConn Emergency Operations Plan.

10.3 Mutual Aid Agreements

- **Statewide Mutual Aid.** Per Section 28-22a of the Connecticut General Statutes, UConn participates in the Intrastate Mutual Aid Compact. The Office of Emergency Management maintains a copy of the statutory language as *Attachment 5 to the State Resource Framework, Resource Management Guide*, in the OEM office. Requests through the Intrastate Mutual Aid Compact are made to OEM, which will coordinate with the State Division of Emergency Management and Homeland Security to execute the request.
- **Interstate Mutual Aid - Emergency Management Assistance Compact (EMAC).** The State of Connecticut is a member of the Emergency Management Assistance Compact (EMAC), the provisions of EMAC can be found in Title 28, Conn. Gen. Stat. **§28-23a**. It establishes procedures whereby a disaster-affected state can request and receive assistance from other member states quickly and efficiently. It resolves two key issues up front: liability and reimbursement. If a the State suffers or expects to suffer a major disaster and needs assistance from another state, the State Emergency Management Director or other authorized representative may only request EMAC interstate assistance or respond to a request for EMAC assistance with the permission of the Governor.
- **International Emergency Management Assistance Compact.** Working with the New England states and the eastern Provinces of Canada, the State of Connecticut, through DEMHS, is a member of the **International Emergency Management Group (IEMG)**, which operates under the International Emergency Management Assistance Compact (IEMAC) to provide mutual aid to one another in times of emergency. The IEMAC is found in Connecticut General Statutes §28-22d.

11.0 PLAN DEVELOPMENT AND MAINTENANCE

This section provides an overview of how UConn developed and maintains this plan.

11.1 Plan Development

UConn conducted a major overhaul of the emergency management program between 2014 and 2016. This overhaul included a major rewrite of the Emergency Operations Plan in 2016. OEM led the process

with input from each of UConn's administrative divisions, representatives from each campus, and local and state emergency managers. UConn designed the EOP to meet the University's day-to-day program requirements and easily integrate with the key concepts from the Connecticut State Response Framework, National Response Framework, U.S. Department of Education Comprehensive Planning Guidance, and findings from research into EOPs developed by peer institutions. Emergency Management Accreditation Program (EMAP) standards were incorporated into the design of this EOP. The EOP was presented to the Executive Policy Group by the Office of Emergency Management for adoption and promulgation by UConn's President.

11.2 Plan Maintenance

Annual Review. OEM conducts an annual review of the EOP to ensure that the information and organizational structures are appropriate and current. OEM is authorized to update and modify the EOP as appropriate. This annual review along with the updated EOP submitted to the State Department of Emergency Services and Public Protection and local first responders is in accordance with Connecticut General Statutes 10a-55a(c):

10a-55a(c) On or before October 1, 2007, each institution of higher education and private occupational school, as defined in section 10a-22a, shall have an emergency response plan. On or before October 1, 2007, and annually thereafter, each institution of higher education and private occupational school shall submit a copy of its emergency response plan to (1) the Commissioner of Emergency Services and Public Protection, and (2) local first responders. Such plan shall be developed in consultation with such first responders and shall include a strategy for notifying students and employees of the institution or school and visitors to such institution or school of emergency information.

As Needed Reviews. OEM or a division, department, or other named entity within the EOP may identify an immediate and necessary update, modification, or revision to the EOP. Changes may be based upon updated hazard assessments, internal program audits, organizational changes, or lessons learned during exercises and real-world events.

Publication of Changes. Whenever a change to the EOP occurs, OEM will:

- Make a record of the change in the **Record of Changes** at the beginning of this plan.
- Publish the updated version and post the updated plan to oem.uconn.edu.
- Send an updated electronic copy to the individuals listed in the **Distribution List** at the beginning of this plan.

12.0 AUTHORITIES AND REFERENCES

This section provides the legal basis for UConn's emergency operations and activities. It begins by outlining key public safety responsibilities and authorities and closes with a list of references used in the development of this EOP.

12.1 Emergency Management Authority

General Responsibility for Emergency Management. UConn's President has the ultimate responsibility for ensuring the continued operations of the UConn community, including maintaining safety through the development of public safety, life safety, environmental health and safety, and emergency management programming. As such, the President has broad authority to establish the emergency management program, assign responsibility for key program activities, and delegate the necessary authorities in support of the program.

Continuity of Executive Leadership. If the President is not available to execute his or her authorities when an incident occurs, the order of succession is as follows:

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- Provost & Executive Vice President for Academic Affairs¹⁶.
 - Executive Vice President for Administration & Chief Financial Officer.
 - Vice President for Student Affairs.

Emergency Management Program. UConn's President has established the Office of Emergency Management within the Division of Public Safety to maintain and execute an emergency management program for UConn.

12.2 Authority to Implement Emergency Operations

Routine Public Safety Operations. Each division, department, or unit having responsibility for public safety outlined in this plan will establish and maintain standard operating procedures for the activation and implementation of emergency operations at UConn.

Expanded Emergency Management. Once an incident reaches a certain threshold requiring incident support and operations, the following people have the authority to activate UConn's emergency organization as outlined in this EOP:

- Incident Commander.
- Director, Office of Emergency Management.
- Any member of the Executive Policy Group.

UConn. The following people have the authority to activate UConn's emergency organization as outlined in this EOP:

- President of UConn.
- Office of the Executive Vice President for Administration and Chief Financial Officer.
- Associate Vice President of the Division of Public Safety.
- Associate Directors of Public Safety (Fire Chief, Deputy Police Chief, and Emergency Management Director).
- Office of Emergency Management.

UConn Health. The President of UConn and the Executive Vice President for Health Affairs and Chief Executive Officer of UConn Health can activate the emergency management organization at the Health Center. The following positions comprise the UConn Health Emergency Management Council and have the authority to activate the emergency organization at UConn Health as outlined in the UConn Health Emergency Response Management Plan:

- Chief Executive Officer of UConn Health.
- Associate Vice President of the Division of Public Safety.
- Associate Directors of Public Safety (Fire Chief, Deputy Police Chief, and Emergency Management Director).
- Associate Vice President, Facility Management & Operations.
- Nursing Manager/Clinical Operations Administration.
- Office of Emergency Management.

¹⁶ *University of Connecticut Bylaws (Article VII Section B.2.a) dictates that the Provost is the first order of succession for the President. The EOP further assigns the second and third positions.*

12.3 Authority to Close All or Portions of the University

Campus Operations. UConn's President (or designee) has the authority to close all or a portion of the University system, regardless of its campus location. Generally, the decision to delay opening, release employees early, cancel classes, or close the University at any or all campuses is made jointly by the following:

- The Offices of the President.
- Office of the Provost.
- Executive Vice President for Administration & Chief Financial Officer.

Typically, representatives from these three offices reach a consensus decision after seeking input and recommendations from the Division of Public Safety and Facilities Operations. If the Governor of the State of Connecticut releases state employees, closes state agencies, or restricts travel on roadways, UConn acts accordingly.

Other Operations. Events that occur independently of the University's operating schedule, including the Jorgensen Center for the Performing Arts and UConn Athletics, may decide independently whether to continue or cancel their events unless specifically directed by the above offices.

12.4 Authority to Evacuate Buildings

Emergency Evacuation. Anyone may **cause** the evacuation of an office, classroom, or building when there is an imminent hazard by activating the fire alarm or other building safety systems.

Ordered Evacuation. Public safety personnel with the authority to respond to UConn facilities (for example, UConn Police Department, UConn Fire Department, local police and fire departments, UConn Fire Marshal, State Fire Marshal (as applicable)) have the authority to **order** the evacuation of buildings. This may involve a unified consultation with Facilities representatives for each campus, the building owner, and other University division or department officials as needed.

An evacuation of a building does not automatically result in the cancellation of classes or the closing of all or part of the University. Should an evacuation of a building significantly affect the ability of the University to reconvene normal operations, separate approval to cancel or close a portion or all a facility shall require separate approval within established policies. Any absences resulting from closures will be handled following University leave policies and procedures.

12.5 References

UConn consulted the following authorizing documents and references to develop this EOP.

Federal

- Higher Education Act, 20 U.S.C. § 1092(f)(1)(F); 34 C.F.R. § 668.46 (Clery Act).
- *The Handbook for Campus Safety and Security Reporting, 2016 Edition.*
- U.S. Department of Education Guide for Developing High-quality Emergency Operations Plans for Institutions of Higher Education, 2013.
- Occupational Safety and Health Administration, 29 C.F.R. § 1910.38.
- Robert T. Stafford Disaster Relief & Emergency Assistance Act, 42 U.S.C. § 5121.
- Emergency Planning Right-to-Know Act, 42 USC Chapter 116.
- Emergency Management and Assistance, 44 CFR Chapter 1.
- Homeland Security Act of 2002, 6 U.S.C. § 101 et seq.
- Homeland Security Presidential Directive, HSPD-5, Management of Domestic Incidents.
- Homeland Security Exercise and Evaluation Program, 2020.
- National Incident Management System.

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- National Response Framework.
 - National Strategy for Homeland Security, October 2007.
 - FEMA Comprehensive Preparedness Guide 101: Developing and Maintaining Emergency Operations Plans version 2.0.
 - FEMA Comprehensive Preparedness Guide 201: Threat and Hazard Identification and Risk Assessment Guide, Second Edition, August 2016.
 - Hazardous Waste Operations & Emergency Response, 29 C.F.R. § 1910.120.

State of Connecticut

- Connecticut General Statutes, Title 28.
- Executive Order 34 (Governor, State of Connecticut).
- Connecticut Department of Homeland Security and Emergency Management Guidance for Security Audits.
- State Response Framework.
- State of Connecticut Hazard Identification and Risk Assessment.
- *State-Wide Natural Hazards Mitigation Plan and regional hazard mitigation plans for each campus.*
- University of Connecticut By-laws approved April 29, 2020.

Other

Emergency Management Accreditation Program (EMAP) standards were incorporated into the design of this EOP.

13.0 GLOSSARY OF TERMS AND DEFINITIONS

The following terms occur within the Emergency Operations Plan. This section serves to define key terms where the meaning is especially significant to understanding the Plan.

Active Threat/Active Shooter. Any situation that presents an immediate and ongoing danger to the safety of UConn students, faculty, staff, and visitors. In addition to individuals using firearms (active shooters) other types of weapons and behavior can create active threat situations.

Advisory Notifications. Pertain to potentially hazardous situations or essential business-critical information. An Advisory contains information that is valuable to the University community but does not rise to the level of an emergency. This may be information regarding a power outage, construction, forecasted weather advisories, or a water main break that may affect local traffic.

After-Action Report and Improvement Planning. The purpose of the After-Action Report is to catalog UConn's strengths during the response to build upon them for the future and to identify areas for improvement. Areas of focus include planning, organization and staffing, equipment, and training, and exercises.

Alert and Notification. Notification and alerts (including warnings) provide time-sensitive directions to make the community aware of threats to life safety and to provide guidance. UConnALERT.

All Clear. The danger or threat is over. You may return to normal operations.

Business Continuity. The ability of a business to continue operations in the face of a disaster condition. Business continuity includes:

- Identifying critical business functions.
- Identifying risks to critical functions.
- Identifying ways to avoid or mitigate the risks.

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- Having a plan to continue business in the event of a disaster condition.
 - Having a plan to quickly restore operations to 'business as usual'.

Concept of Operations. The sequence and scope of the planned emergency response. The concept of operations section explains the jurisdiction's overall approach to an emergency, i.e., what should happen, when, and at whose direction.

Continuity of Government. Capability to ensure survivability of the government, governing body, and/or organizational leadership.

Continuity of Operations. Capability to continue essential program functions and to preserve essential processes and functions, positions, lines of succession, applications and records, communications, and facilities across a broad range of potential emergencies/disasters.

Damage Assessment. The process used to appraise or determine the number of injuries and deaths, damage to public and private property, and the status of key facilities and services such as hospitals and other health care facilities, fire and police stations, communications networks, water and sanitation systems, utilities, and transportation networks resulting from a human-caused or natural disaster

Declared Emergency. Any natural, technological, or civil emergency that causes damage of sufficient severity and magnitude to result in the determination by the Governor of Connecticut or the President of the United States that state or federal assistance is needed to supplement state or local efforts and capabilities to save lives and protect property, public health and safety, or to avert or lessen the threat of a disaster or catastrophe in any part of the state.

Disaster. A severe or prolonged emergency that threatens life, property, the environment, and/or critical systems.

Emergency or Incident. An occurrence, or threat thereof, whether natural, technological, or human-caused, that results in or may result in injury or harm to the population or damage to or loss of property. Threats may include disease outbreaks, epidemics, severe weather, and hazardous material releases. Incident response may include state and/or federal assistance.

Emergency Alert. Is an urgent notice to the community of an emergency that threatens life, health, or property. Immediate protective actions should be included in the communication (shelter-in-place, evacuate, etc.).

Emergency Management Program. A system that provides for management and coordination of prevention, mitigation, preparedness, response, and recovery activities for all hazards. The system encompasses all organizations, agencies, departments, and individuals having responsibilities for these activities.

Emergency Notifications. Pertain to a situation that is immediately dangerous to life and health. Examples of an Emergency Notification include rapidly developing weather such as a tornado, an active threat/active shooter incident, or an evacuation.

Emergency Planning. Emergency planning is a cycle of planning, training, exercising, and revision that continues throughout the five phases of the emergency management cycle (preparedness, prevention, response, recovery, and mitigation). One purpose of the planning process is the development and maintenance of an up-to-date emergency operations plan. Emergency planning is a team effort and requires collaboration with personnel from other agencies and organizations.

Emergency Public Information. Includes ongoing communication to the UConn community and the public about the incident as well as potential impacts to ongoing UConn operations.

Emergency Operations Plan (EOP). The ongoing plan for responding to a wide variety of potential hazards. It describes how people and property will be protected; details who is responsible for carrying out specific actions; identifies the personnel, equipment, facilities, supplies, and other resources available; and outlines how all actions will be coordinated.

Emergency Operations Center (EOC). UConn's EOC will serve as the direction and coordination center for UConn during major emergencies and disasters for the assignment of resources and coordination and approval of all requests for assistance outside the University's jurisdiction. The primary functions of the EOC are (1) sharing, collecting, and disseminating information; (2) supporting resource needs and requests, including allocation and tracking, and (3) coordinating plans and determining the current and future needs of the various jurisdictions and organizations involved in an incident. Additionally, EOC personnel support public and incident-specific communications, interface with partners as needed, and support the policy and legal needs of the IC and other decision-makers.

Emergency Operations Center (EOC) Liaisons. The EOC liaisons are senior-level operations personnel from across UConn's divisions who guide the incident response from the EOC.

Emotional Support Animal¹⁷. Any animal specifically designated by a qualified medical provider that alleviates one or more identified symptoms of an individual's disability. Such animal may afford an individual with a disability an equal opportunity to use and enjoy a dwelling, workplace, or other area, provided there is a nexus between the individual's disability and the assistance the animal provides. ESA's are also commonly known as companion, therapeutic or assistance animals. ESA's are not service animals.

Essential Program Function(s). Activities that enable an agency, department, organization, or individual to carry out emergency response actions, provide vital services, protect the safety and well-being of the citizens of the Program's jurisdiction, and maintain the economic base of the Program.

Evacuate. This means that you should leave the building or area you are in immediately and safely.

Event. A planned occurrence where people congregate for a shared purpose. An event may include sanctioned events such as sporting events, commencement activities, and dignitary visits or community-directed events such as a demonstration or a rally.

Executive Policy Group (EPG). The Executive Policy Group consists of the senior division executives from across UConn, chaired by the Executive Vice President of Administration and Chief Financial Officer. The EPG as an advisory body that meets regularly to support the coordinated input of stakeholders in the preparation, implementation, evaluation, and revision of the emergency management program. The EPG is responsible for addressing the human, economic, political, reputational, media, and liability concerns that exceed the authority or capabilities of the Emergency Operations Center. Any member of the EPG may request activation of the group in response to an incident in the best forum and format based upon the needs of the incident.

Functional Annex. The functional annexes are individual chapters that focus on missions such as communications or public protection. These annexes describe the actions, roles, and responsibilities of participating organizations. Functional annexes discuss how UConn will manage these functions before, during, and after an incident as well as the divisions, departments, and partner agencies that implement that function. However, each functional annex addresses only general strategies used for any incident.

Hazard. Something that has the potential to be the primary cause of an incident.

Hazard Identification and Risk Assessment. Activities involve the identification of hazards and assessment of risks to persons, public and private property, and structures.

Hazard-Specific Annex. The hazard-, threat- or incident-specific annexes describe the policies, situation, concept of operations, and responsibilities for hazards, threats, or incidents. They explain the procedures that are unique to that annex for a hazard type. For example, the Public Protection Annex discusses the concept of operations for implementing a shelter-in-place action during an incident; this information would only be addressed in a hazard-, threat- or incident-specific annex if it would be different for particular hazards, threats, or incidents.

¹⁷ [Animals on Campus | Policies & Procedures \(uconn.edu\)](https://uconn.edu/animals-on-campus/policies-procedures)

Hazardous Material. A substance in a quantity or form posing an unreasonable risk to health, safety, and/or property when manufactured, stored, or transported. The substance, by its nature, containment, and reactivity, has the capability for inflicting harm during an accidental occurrence. It can be toxic, corrosive, flammable, reactive, an irritant, or a strong sensitizer, and poses a threat to health and the environment when improperly managed. Hazardous Materials include toxic substances, certain infectious agents, radiological materials, and other related materials such as oil, used oil, petroleum products, and industrial solid waste substances.

Human-caused. Incidents caused by human activity, which include but are not limited to those of a chemical, biological, radiological, nuclear, explosive, or technological (including cyber) nature, whether accidental or intentional.

Incident Action Plan. A document that results from an organized planning process that captures incident information and establishes an approach for the upcoming operational period. The incident action plan provides a coherent means of communicating the overall incident objectives in the contexts of both operational and support activities.

Incident Command System (ICS). ICS is a management system designed to enable effective and efficient incident management by integrating a combination of facilities, equipment, personnel, procedures, and communications operating within a common organizational structure. A basic premise of ICS is that it is widely applicable. It is used to organize both near-term and long-term field-level operations for a broad spectrum of emergencies, from small to complex incidents, either natural or human-caused. Federal, state, local, tribal, as well as many private sector organizations and NGOs use ICS. ICS is also applicable across disciplines. It is normally structured to facilitate activities in five major functional areas: command, operations, planning, logistics, and finance and administration.

Incident Management System. An incident management system is formalized and institutionalized and addresses the principles of command and the basic functions of planning, operations, logistics, finance, and administration. An incident management system is modular, scalable, interactive, and flexible; it includes common terminology, manageable span of control, unified command, consolidated action plans, multi-agency coordination, and integrated communications. Examples include the National Incident Management System, Incident Command System (ICS), or a multi-agency coordination system.

Live Research and Teaching (Laboratory) Animals. Live research and teaching (laboratory) animals are defined as live vertebrate animals that are in the care and management of UConn for research, testing, and training at the Storrs campus, the regional campuses, and UConn Health. UConn manages live animals for research, testing, and training following the Use of Animals in Research and Teaching Policy,¹⁸ including the transportation of animals.

Lockdown. State of isolation or restricted access instituted as a security measure. You will be the safest by quickly placing a locked door or other barricades between you and the potential threat or danger.

Major Disaster. When used in this plan, major disaster refers to any natural, technological, or civil emergency that causes damage of sufficient severity and magnitude to result in (a) a declaration of a civil preparedness emergency by the Governor of Connecticut (Conn. Gen. Stat. Sec. 28-9) and/or (b) a declaration of a major disaster by the President of the United States requiring assistance under the Robert T. Stafford Disaster Relief and Emergency Assistance Act, 42 U.S.C. § 5121 et seq.

Memorandum of Understanding/Memorandum of Agreement. The Connecticut Attorney General distinguishes between a contract (which is made between a state agency and an external party) and an MOU (which is made between two state agencies) and an MOA (which is less restrictive and can be made between a state agency and municipalities). There is not a formal process for developing these agreements at UConn, but the Office of the General Counsel must review all contracts and memoranda before executive approval and execution.

¹⁸ UConn Policy: *Use of Animals in Research and Teaching* at <http://policy.uconn.edu/2011/05/17/use-of-animals-in-research-and-teaching/>.

Mitigation. The activities designed to reduce or eliminate risks to persons or property or to lessen the actual or potential effects or consequences of a disaster. Mitigation involves ongoing actions to reduce exposure to, probability of, or potential loss due to hazards

Mutual Aid Agreement. A written agreement between agencies and or jurisdictions that provides for assistance upon request, by furnishing personnel, equipment, and or expertise in a specified manner.

National Incident Management System (NIMS). The system for managing incidents adopted by the federal government as well as state and local governments in Homeland Security Presidential Directive #5. NIMS provides a systematic, proactive approach guiding government agencies at all levels, the private sector, and NGOs to work seamlessly to prepare for, prevent, respond to, recover from, and mitigate the effects of incidents, regardless of cause, size, location, or complexity, to reduce the loss of life or property and harm to the environment.

National Response Framework. Federal planning document that establishes a comprehensive, national, all-hazards approach to domestic incident response. It serves as a guide to enable responders at all levels of government and beyond to provide a unified national response to a disaster. It defines the key principles, roles, and structures that organize the way U.S. jurisdictions plan and respond.

Needs Assessment. During the preparedness phase, each division, department, and office is responsible for assessing the material and human resources requirements necessary to execute their roles and responsibilities.

Persons with Disabilities and/or Others with Access and Functional Needs. An individual with a disability is defined by the ADA as a person who has a physical or mental impairment that substantially limits one or more major life activities, a person who has a history or record of such an impairment, or a person who is perceived by others as having such an impairment.¹⁹

Preparedness. The range of deliberate, critical tasks and activities necessary to build, sustain and improve the operational capability to prevent, protect against, mitigate against, respond to, and recover from disasters. Preparedness is a continuous process.

Prevention. Actions to avoid an incident or to intervene to stop an incident from occurring. Prevention involves actions to protect lives, property, the environment, and critical systems/infrastructure. It involves identifying and applying intelligence and other information to a range of activities that may include such countermeasures as deterrence operations; heightened inspections; improved surveillance and security operations; investigations to determine the full nature and source of the threat; public health and agricultural surveillance and testing processes; immunizations, isolation, or quarantine; and, as appropriate, specific law enforcement operations aimed at deterring, preempting, interdicting, or disrupting illegal activity, and apprehending potential perpetrators.

Protection. Means the capabilities to secure the campus against acts of terrorism and man-made or natural disasters. Protection focuses on ongoing actions that protect students, faculty, staff, visitors, networks, and property from a threat or hazard.

Recovery. The development, coordination, and execution of plans or strategies for the restoration of impacted communities and government operations and services through individual, private sector, non-governmental, and public assistance.

Response. Efforts to minimize the short-term direct effects of an incident threatening life, property, the environment, and/or critical systems.

Service Animals²⁰. Service animal is specially trained to perform certain tasks for a person with disabilities. The traditional service animal most people are familiar with is a seeing eye dog. Service animals can be trained to assist with many different types of visible and invisible disabilities, including seizures and mobility limitations. A service animal is generally permitted to be on University property in any place where the animal's handler is permitted to be. In certain limited situations, a service animal

¹⁹ U.S. Department of Justice, *A Guide to Disability Rights Law* at <http://www.ada.gov/cguide.htm>.

²⁰ [2020.08.01-Animals-on-Campus-Policy-FAQs.pdf \(uconn.edu\)](https://uconn.edu/2020.08.01-Animals-on-Campus-Policy-FAQs.pdf)

may be prohibited for safety and health reasons. Although most service animals are dogs, in some circumstances, a miniature horse may be considered as a service animal.

Shelter-In-Place. This means **stay inside** the building you are already in or closest to. This is typically used for severe weather events, such as a tornado. Preferably, when a shelter-in-place order is given, choose a small interior room with few or no windows. Do not lock the doors behind you as others may also need to shelter-in-place.

Situation Reports. Situation Reports aggregate critical information from across UConn and provide a quick reference guide on the current state of the response.

Task Force. Certain predetermined Emergency Operations Center liaisons activated to respond to specific activities as defined within a functional annex.

Timely Warning Notifications. Notification to the community following an issue that occurred on or near campus locations and poses a serious or continuous threat to students, faculty, staff, and/or visitors. Timely Warnings are intended to meet or exceed Clery Act compliance. The decision to issue a Timely Warning will be considered on a case-by-case basis depending on risk and when and where the incident occurred. Timely Warnings are often the result of a Crime Alert reported through a Campus Security Authority.

Unified Command. Unified Command will be used when there is more than one division, department, or unit with incident jurisdiction or when incidents cross political jurisdictions. Agencies work together through the designated members of the Unified Command to establish common objectives and strategies under a single Incident Action Plan.

Warning Point. A central location that can receive information and issue warnings to the community at any time. UConn's primary warning point is Public Safety Emergency Communications.

WebEOC. A computer-based real-time information platform is used to share information with the Connecticut State Emergency Operations Center.

Abbreviations

The following abbreviations are used in this plan.

ADA	Americans with Disabilities Act
COOP	Continuity of Operations Plan
EOC	Emergency Operations Center
EOP	Emergency Operations Plan
EPG	Executive Policy Group
ESF	Emergency Support Function
FEMA	Federal Emergency Management Agency
ICS	Incident Command System
MOU	Memorandum of Understanding
NGO	Non-Governmental Organizations
NIMS	National Incident Management System
OEM	Office of Emergency Management
VOAD	Volunteer Organizations Active in Disaster

