Purpose:

The underlying premise is that a major disaster will overwhelm City and County first responders leaving UCSF with minimal support for the first 72 hours or longer after the emergency. The UCSF EOC is in need of personnel at each major campus who can provide situational awareness, provide basic first aid, organize and account for victims pending arrival of disaster assistance.

Primary Function/Mission:

1. Protect life/safety of victims of an emergency/disaster.
2. Establish order and calm in the immediate aftermath of an emergency through pre-trained and organized local employees/faculty/students.
3. Provide basic first aid, support and information to victims of the emergency.
4. Promote the timely communication of life/safety information to the UCSF EOC, first responders or Emergency Communications Center (ECC).

5. Promote the communication of situational awareness to the UCSF EOC in a timely, accurate, and organized process.

Secondary Function:

1. Coordinate & Communicate with the San Francisco Fire Departments (SFFD) Neighborhood Emergency Response Team (NERT) Emergency District Coordination Center (EDCC).

2. See list of other support functions.

Lead Department/Division/Unit:

UC Police Department/Homeland Security & Emergency Management Division

Supporting Departments/Divisions/Units:

SF Fire Department NERT Program

Reports to:

EOC Operations Section, Response Team Coordinator

Response Function:

- Establish Communications with EOC or Emergency Communications Center (ECC)
- Provide basic first aid
- Identify trapped and injured persons - report locations to EOC or ECC and direct SFFD, EMS or Search and Rescue (SAR) personnel to victims
- Survey scene for immediate or potential safety hazards, secure area, warn public and move to safety, report hazard to ECC or EOC
- Perform Initial Damage Assessment utilizing UCSF Emergency Status Report (ESR) form and report information to EOC.
- Establish victim collection site, and begin process of recording victims (displaced persons), casualties, missing persons, or deceased identities.
- Work with EOC to communicate situational awareness of response efforts by CERT and other emergency responders.
- Serve as local liaison between UCSF EOC and UCSF, city, state or federal emergency response personnel to assist in location or identification of injured, trapped, deceased persons and location of hazards.
- Establish and maintain on-going situation status reports to EOC.
Locations:

- Parnassus
- Mission Bay (MB)
- Laurel Heights (LHTS)
- Mission Center Building (MCB)

As funding and volunteer resources permit also develop at San Francisco General Hospital’s (SFGH) UCSF Campus, Mt Zion, and China Basin.

Activation/Deployment:

- Activated by EOC Director or Operations Section Chief via WarnMe.
- CERT members may self-deploy in a major disaster which cause wide-spread communication failures.
- Deploys to pre-identified staging area on respective campus or as directed by EOC

Equipment/Supplies:

- Admin Kit
- CERT Bag
- 2 way Radio
- GPS
- Digital Camera
- Walkie-talkies
- Megaphone
- Search and Rescue kit – Basic kit for non-technical rescue
- First Aid Kit – 50 person

Communications:

Emergency Communications Team (ECT) members assigned to each CERT. ECT provides ham radio capability to EOC and EDCC

CERT to report any functioning phone or cell phone numbers to the EOC each operational period.

CERT Composition:

- Team Membership – Goal is 16 or more per team
- Deployable team size – 4 to 8 personnel
- ICS Based team: Team Leader, Logistics/Communications Officer*
Team Training:

- First Aid / CPR
- ICS 100 (required)
- ICS 200, 700, 800 (optional)
- SEMS Overview,
- Personal Preparedness,
- UCSF Emergency Response Management Plan Overview
- Offer quarterly Team meeting
- Use teams in UCSF Exercises & fire drills

Other Support Functions:

Based upon need and the number of CERT members available, examples of other supporting functions may include:

1. Assist in high rise building evacuations (stair chairs)
2. Helping with animal evacuations
3. Communications runners
4. Conducting search patterns for lost and missing people (i.e. Alzheimer's patients and small children)
5. Crime scene preservation
6. Damage assessment
7. EOC Operations – administrative assistance
8. EOC Operations – staffing phone lines
9. EOC Operations – vulnerable populations monitoring
10. HAZMAT incidents – assisting in the cold zone
11. Helping at Points of Distribution (PODs)
12. Helping with shelter operations (people and animals)
13. EOC check in registration and demobilization
14. Assist exercises and drills with setup, victim preparation, application of moulage, evaluation, etc.
15. Participate in drills and exercises
16. Portray victims in drills and exercises
17. Preparing helicopter landing zones
18. Support logistical staging areas
19. Record keeping at in an EOC
20. Spontaneous volunteer management
21. Staffing barricades for restricted areas (i.e.: hazardous sites, staging areas, temporary morgues, etc.)
### FUNCTIONAL CHECKLIST
**CERT Leader (Page 1 of 3)**

<table>
<thead>
<tr>
<th>Name: ____________________</th>
<th>Date: ____________</th>
<th>Time: ____________</th>
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</thead>
</table>

**Reports To:**
Response Team Coordinator at Emergency Operations Center (EOC)

**Coordinates with:**
San Francisco Fire Department (SFFD) Emergency District Coordination Center (EDCC).

**Location:**
Pre-Designated CERT Staging Area or location as directed by EOC

**Primary Responsibilities:**
- Protect life/safety of victims of an emergency/disaster.
- Establish order and calm in the immediate aftermath of an emergency through pre-trained and organized local employees/faculty/students.
- Provide basic first aid, support and information to victims of the emergency.
- Promote the timely communication of life/safety information to the UCSF EOC, first responders or Emergency Communications Center (ECC).
- Promote the communication of situational awareness to the UCSF EOC in a timely, accurate, and organized process.

**Support Responsibilities:**
- Coordinate & Communicate with the SFFD EDCC.
- See Annex CERT for other support functions.

**Supplies:**
- Team Cache:
  - Admin Kit
  - CERT Bag
  - 2 way Radio
  - GPS
  - Digital Camera
  - Walkie-talkies
  - Megaphone
  - Search and Rescue kit – Basic kit for non-technical rescue
  - First Aid Kit – 50 person

  **Individual to bring:**
  - SFFD NERT issued Equipment, Supplies and NERT ID
  - Cell phone, laptop, PDA, spare batteries, chargers, phone lists and reference materials specific to their function.

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### PROCEDURES

<table>
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<tr>
<th>PROCEDURES</th>
<th>TIME/ DATE</th>
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</table>

**EMERGENCY RESPONSE:**

1. Report to your pre-identified staging area (primary or alternate based on safety) or to location you are directed to by the EOC

2. Secure space (private if possible) with a table, some chairs. (Assign to Team’s Logistics Officer if available.)
FUNCTIONAL CHECKLIST
CERT Leader (Page 2 of 3)

<table>
<thead>
<tr>
<th>PROCEDURES</th>
<th>TIME/ DATE</th>
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</thead>
</table>

**EMERGENCY RESPONSE:**

3. Get team equipment cache’. (Assign to Team’s Logistics Officer if available.)

4. Hang up CERT sign. (Assign to Team’s Logistics Officer if available.)

5. Establish communication with Team Coordinator in the EOC. I.D.:
   - who you are,
   - which UCSF Volunteer Team you are with,
   - if you have accessed to the Team Equipment Cache’,
   - Were you are setting up your base of operations
   - You contact information: Phone, fax, Cell, E-mail, SMS etc.

6. Begin to keep a **CERT Activity Log** (ICS 214) of actions taken.

7. Coordinate the mobilization of team members. Determine what team members skills/experience is needed immediately.

8. Assign Team Logistics officer to issue equipment & supplies to team members.

9. Log in team members using **CERT Personnel Resources** form as they begin to arrive.

10. Ensure that team members have “Neighborhood Emergency Response Team” I.D.

11. Provide an orientation to team members utilizing the **Briefing/Orientation Checklist** before deploying team members to field.

12. Distribute appropriate forms, key contact phone numbers and Go Kit materials to team members. (Assign to Team’s Logistics Officer if available.)

13. Discuss team member strengths, experience, familiarity with potential service sites, work tasks and assign team members to work locations.

14. Assign Incident Command System Roles to team members (if deemed necessary)
   - Team Leader/Operations Chief (one person)
   - Logistics (May serve as Planning as well)
   - Planning (Recorder)

15. Assign Team functions (based upon training & ability)
   - Communications (Emergency Communications Team – ECT member
   - First Aid (Current First Aid CPR certificate or License/Registered EMT, LVN, RN, MD etc)
   - Mental Health (Member of UCSF Disaster Mental Health Team – DMHT, or License/Registered mental health professional)
   - Victim/Evacuee Registration
   - Disaster Assessment Teams (2 persons per team minimum)

16. Create a written work schedule (4-6 hour shifts recommended).

17. Arrange for 24-hour coverage or on-call availability with Team Coordinator.
<table>
<thead>
<tr>
<th>PROCEDURES</th>
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<tbody>
<tr>
<td><strong>EMERGENCY RESPONSE:</strong></td>
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<tr>
<td>18. Refer inquiries from the press to the EOC Public Information Officer</td>
<td></td>
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<tr>
<td>19. Attend or call into EOC Shift Briefings</td>
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<tr>
<td>20. Attend local incident command center briefings (if invited)</td>
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<tr>
<td>21. Conduct a daily team member meeting to review current status, needs and plan</td>
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<tr>
<td>22. Meet with each team member individually if possible to: ensure that data is being collected appropriately, review work, monitor stress level and offer support.</td>
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<tr>
<td>23. Contact the Team Coordinator at the EOC to give a status report.</td>
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<tr>
<td>24. Request additional supplies, if needed. (Assign to Team’s Logistics Officer if available.)</td>
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<tr>
<td>25. Encourage team members to visit a Disaster Mental Health Team if they appear to be exhibiting significant stress.</td>
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<tr>
<td>26. Record when Team Members leave their shift.</td>
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</tr>
<tr>
<td><strong>DEACTIVATION/RECOVERY:</strong></td>
<td></td>
</tr>
<tr>
<td>1. De-activate your team as directed by the Operations Section Chief.</td>
<td></td>
</tr>
<tr>
<td>2. Do not delete or destroy any written documents or e-mail correspondence related to your EOC activities.</td>
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<tr>
<td>3. Ensure return/retrieval of equipment and supplies and return all assigned EOC equipment.</td>
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</tr>
<tr>
<td>4. Upon deactivation of your position, brief the Team Coordinator or Operations Section Chief, as appropriate, on current problems, outstanding issues, and follow-up requirements.</td>
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</tr>
<tr>
<td>5. Upon deactivation of your position, ensure all documentation and Activities Logs (ICS Form 214) are submitted to the Operations Section Chief or Planning Section, as appropriate.</td>
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<tr>
<td>6. Submit comments to the Team Coordinator, or Planning Section as appropriate for discussion and possible inclusion in the after-action report; topics may include:</td>
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<tr>
<td>• Review of pertinent position descriptions and operational checklists</td>
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<td>• Emergency Response/Recovery plans, procedures activities that need improvement or worked well.</td>
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# FUNCTIONAL CHECKLIST

## CERT Logistics Officer (Page 1 of 2)

**Name:** ____________________  **Date:** ___________  **Time:** _________

<table>
<thead>
<tr>
<th>Reports To:</th>
<th>CERT Team Leader</th>
</tr>
</thead>
<tbody>
<tr>
<td>Coordinates with:</td>
<td>EOC Response Team Coordinator</td>
</tr>
<tr>
<td></td>
<td>San Francisco Fire Department (SFFD) Emergency District Coordination Center (EDCC)</td>
</tr>
<tr>
<td>Location:</td>
<td>Pre-Designated CERT Staging Area or location as directed by EOC</td>
</tr>
<tr>
<td>Primary Responsibilities:</td>
<td>• Account for, issue, and collect CERT Cache’ equipment &amp; supplies.</td>
</tr>
<tr>
<td></td>
<td>• Identify additional equipment and supply needs of CERT during emergency operations.</td>
</tr>
<tr>
<td></td>
<td>• Submit request for equipment and supplies.</td>
</tr>
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<td></td>
<td>• Coordinate food, water, shelter, and health and safety needs for CERT members</td>
</tr>
<tr>
<td>Support Responsibilities:</td>
<td>• May serve as Planning Officer</td>
</tr>
<tr>
<td></td>
<td>• May fulfill other team functions.</td>
</tr>
<tr>
<td>Supplies:</td>
<td>Team Cache:</td>
</tr>
<tr>
<td></td>
<td>• Admin Kit</td>
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<td>• CERT Bag</td>
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<td>• 2 way Radio</td>
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## PROCEDURES

### EMERGENCY RESPONSE:

1. Report to your pre-identified staging area (primary or alternate based on safety) or to location you are directed to by the EOC

2. Assist Team Leader to secure space (private if possible) with a table, some chairs

3. Get team equipment cache’
## FUNCTIONAL CHECKLIST

### CERT Logistics Officer (Page 2 of 2)

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<td>4. Hang up CERT sign</td>
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<td>5. Begin to keep a <strong>CERT Activity Log</strong> (ICS 214) of actions taken.</td>
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<td>6. Assist Team Leader in logging in team members using <strong>CERT Personnel Resources</strong> form as they begin to arrive.</td>
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<td>7. Keep a CERT Equipment Sign in / Sign out log</td>
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<tr>
<td>8. Distribute appropriate forms, key contact phone numbers and Go Kit materials to team members.</td>
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<tr>
<td>9. Maintain an inventory of expendable supplies, missing or damaged equipment.</td>
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<tr>
<td>10. Request additional supplies and equipment, if needed.</td>
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<td><strong>DEACTIVATION/RECOVERY:</strong></td>
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<tr>
<td>11. De-activate your position as directed by the Operations Section Chief.</td>
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<td>12. Do not delete or destroy any written documents or e-mail correspondence related to your EOC activities.</td>
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<td>13. Ensure return/retrieval of equipment and supplies and return all assigned EOC equipment.</td>
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<td>14. Upon deactivation of your position, brief the CERT Leader or Team Coordinator, as appropriate, on current problems, outstanding issues, and follow-up requirements.</td>
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<td>15. Upon deactivation of your position, ensure all documentation and Activities Logs (ICS Form 214) are submitted to the Operations Section Chief or Planning Section, as appropriate.</td>
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FUNCTIONAL CHECKLIST

CERT Planning Officer (Page 1 of 2)

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<thead>
<tr>
<th>Reports To:</th>
<th>CERT Team Leader</th>
</tr>
</thead>
</table>
| Coordinates with: | EOC Response Team Coordinator  
San Francisco Fire Department (SFFD) Emergency District Coordination Center (EDCC) |
| Location: | Pre-Designed CERT Staging Area or location as directed by EOC |
| Primary Responsibilities: | • Document arrival and departure of CERT members.  
• Maintain Activity Log  
• Prepare Briefings in collaboration with CERT Team leader, Logistics officer and EOC Response Team Coordinator.  
• Prepare CERT After Action Reports |
| Support Responsibilities: | • May serve as Planning Section  
• May fulfill other team functions. |
| Supplies: | Team Cache:  
• Admin Kit  
• CERT Bag  
• 2 way Radio  
• GPS  
• Digital Camera  
• Walkie-talkies  
• Megaphone  
• Search and Rescue kit – Basic kit for non-technical rescue  
• First Aid Kit – 50 person  
Individual to bring:  
• SFFD NERT issued Equipment, Supplies and NERT ID  
• Cell phone, laptop, PDA, spare batteries, chargers, phone lists and reference materials specific to their function. |

PROCEDURES

1. Report to your pre-identified staging area (primary or alternate based on safety) or to location you are directed to by the EOC

2. Assist Team Leader to secure space (private if possible) with a table, some chairs
### FUNCTIONAL CHECKLIST

**CERT Planning Officer (Page 2 of 2)**

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<tbody>
<tr>
<td><strong>EMERGENCY RESPONSE:</strong></td>
<td></td>
</tr>
<tr>
<td>3. Hang up CERT sign</td>
<td></td>
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<td>4. Begin to keep a <strong>CERT Activity Log</strong> (ICS 214) of actions taken.</td>
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<td>5. Log in team members using <strong>CERT Personnel Resources</strong> form as they begin to arrive.</td>
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<tr>
<td>6. Keep a CERT Equipment Sign in / Sign out log</td>
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<td>7. Distribute key contact phone numbers, maps, plans or other materials to team members.</td>
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<tr>
<td>8. Assist CERT Leader by preparing an orientation to team members utilizing the <strong>Briefing/Orientation Checklist</strong> before deploying team members to field.</td>
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<td>9.</td>
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<td>10. De-activate your position as directed by the Operations Section Chief.</td>
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<td>11. Do not delete or destroy any written documents or e-mail correspondence related to your EOC activities.</td>
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<td>14. Upon deactivation of your position, ensure all documentation and Activities Logs (ICS Form 214) are submitted to the Operations Section Chief or Planning Section, as appropriate.</td>
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<tr>
<td>15. Collect after action items and comments from team members and submit to the Team Coordinator or Planning Section as appropriate for discussion and possible inclusion in the after-action report; topics may include:</td>
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</table>
CERT Cache Handling Instructions

1. CERT (Campus Emergency Response Team) Cache box will be locked at all times while in security or its designated location.

2. At any given time, the entire CERT box shall be released to any UCSF CERT member or ECT (Emergency Communications Team) member after identification is verified by their red NERT Badge QR as indicated on the CERT and ECT Roster (attached) (see exception for Parnassus in 3a below).

   a. Other valid forms of identification include: UCSF ID badge, California Driver's License or California Identification Card when compared to CERT / ECT roster names.

   b. Security personnel shall inform the CERT or ECT member of the combination (XXXX) if requested by the team member.

      i. Operational Note: after the combination is entered, push down on the shackle first, then pull to open the padlock.

3. Security will ask CERT or ECT member to sign out / sign in the cache after verification of identification (See attached Sign out sheet).

   a. If a security officer is NOT present at the Parnassus cache location (only), CERT / ECT team members shall sign out the cache appropriately via the sign out sheet provided.

4. Due to the location of the boxes at Laurel Heights and Mission Center Building (MCB), security will be required to retrieve the box for the CERT or ECT member when requested.
5. Please contact John Racine at 415-476-2033 if there are any questions regarding CERT Cache access or any other questions or concerns.

**CERT Cache Locations**

1. Parnassus: In Medical Science Building Lobby Security Desk


4. Laurel Heights: In the security officers break (Room 110A)
## CERT Cache Sign In / Sign Out Sheet

<table>
<thead>
<tr>
<th>First Name</th>
<th>Last Name</th>
<th>Team (CERT/ECT)</th>
<th>Date / Time Out</th>
<th>Date / Time In</th>
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<tbody>
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</tbody>
</table>
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Laurel Heights CERT – Staging Area and Cache Location

CERT Cache located inside Security Lounge Area: Room 110A (Contact Security for Entry)

CERT Staging Area (Primary)

CERT Staging Area (Alternate)
Mission Center Building CERT – Staging Area and Cache Location

CERT Cache located inside Police Briefing Room 110. (Contact Security for Entry)
Mission Bay CERT – Staging Area and Cache Location
Parnassus CERT – Staging Area and Cache Location
# ANNEX CMRT
Campus Management Response Team Management Response Plan

<table>
<thead>
<tr>
<th>Subject</th>
<th>Page</th>
</tr>
</thead>
<tbody>
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<td>1. INTRODUCTION</td>
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<tr>
<td>1.1 Preparedness Policy Statement</td>
<td>2</td>
</tr>
<tr>
<td>1.2 Plan Scope</td>
<td>2</td>
</tr>
<tr>
<td>1.3 Range of Risks</td>
<td>3</td>
</tr>
<tr>
<td>2. UC SYSTEM’S RESPONSE STRUCTURE</td>
<td>3</td>
</tr>
<tr>
<td>2.1 Overview of Structure</td>
<td>3</td>
</tr>
<tr>
<td>2.2 Role of the Campus Incident Management Team (IMT)</td>
<td>4</td>
</tr>
<tr>
<td>2.3 Role of the Campus Management Response Team (CMRT)</td>
<td>5</td>
</tr>
<tr>
<td>2.4 Role of UCOP’s Management Response Team</td>
<td>6</td>
</tr>
<tr>
<td>2.5 The Role of Crisis Communications</td>
<td>6</td>
</tr>
<tr>
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## 1. Introduction

This plan was developed in order to provide a consistent and documented executive management process for response to events or issues, which either are or have the potential to become a crisis for UCSF. It is designed to document the function of the Executive Policy Group within the context of existing ICS processes as well as serve as the broader management
response function for all events or issues. The plan scope, team, process, tools and guidance is intended to support the UCSF leadership to manage a full range of issues, regardless of cause or whether other UC or external teams are actively engaged in response. The plan is designed to work together with the existing ICS-based emergency response protocols at UCSF. This plan, combined with the other Campus ICS-based response plans comply with the intent and purpose of NIMS, and substantively addresses management response concerns highlighted in recent third-party reports.

NB: This plan serves as a guidance to be used during events which fall outside of the crisis issues UCSF executive leadership frequently attend to. This plan may be activated by any member of the Chancellor's Executive Cabinet, particularly for events which pose extraordinary risks or challenges to the University.

1.1 Preparedness Policy Statement

In keeping with all relevant UC preparedness and safety policies including the UC Presidential Policy on Management of Health, Safety and the Environment and the Safety, Security and Emergency Management Policies, UCSF understands its responsibility to respond to all incidents in a prompt and proactive way to minimize impacts on life and safety, as well as the impacts and consequences on the stability and reputation of University of California system. UCSF will do so to ensure the protection of students, faculty, staff, visitors, the public, property, and the environment and prevent all workplace injuries and illnesses, environmental incidents, and property losses or damage.

1.2 Plan Scope

This Campus Management Response Plan defines how UCSF may respond to issues or events which require significant executive management engagement, deliberation and decision-making in response to potential or actual events which may impact the institution’s reputation, mission, services, property or the life and safety of its students, faculty, staff, affiliates, animals or public. This plan also augments the Emergency Response Management Plan (ERMP) to better manage the full extent of the impacts and consequences of an event on UCSF. The plan defines:

- The executive management response process for all incidents – physical or reputational – wherever they occur within UCSF’s operations; in those instances where the EOC is activated, this plan documents the function of the Policy Group
- The Campus Management Response Team (CMRT), its membership, roles and responsibilities
- When and how the CMRT activates
- When and how the CMRT coordinates with campus Emergency Operations Center (EOC) Incident Management Team and incident-command structure, when actively engaged
- When and how the CMRT coordinates with UC Office of the President for issues or events which have broader UC or system-wide implications or impacts
- A meeting process with tools and forms to expedite team operations, decision-making and provide clarity over executive expectations

This plan is designed to work with UCSF emergency management and/or incident command-based plans and other appropriate response plans, when activated.

This plan does NOT replace existing Emergency Response Plans which are already in place and which can be viewed at [www.police.ucsf.edu](http://www.police.ucsf.edu). Rather it provides more detail regarding the

In addition to describing the management engagement and response process for physical or emergency situations, this plan is also designed for the management of and response to non-physical, reputational threats or issues which do not require the activation of the campus Emergency Response Management Plan or local response agencies.

1.3 Range of Risks

This plan defines a consistent management process to respond to a full range of risks. A crisis is often not the result of a single issue or event, rather due to a confluence of events, unfortunate timing or the broader impact and consequences of the event on other priorities. Examples of events which have the potential to become a crisis and may require active executive level oversight and decision-making include:

**Emergencies** – Incidents that threaten human life, safety, health, property or the environment. Examples might include:
- student or staff death (suicide or homicide) related to UC
- student or staff violence, protests
- natural disasters
- terrorism
- chemical / environmental spill / hazard

**Business Interruptions** – Incidents that interrupt the process of education, research or other transactions essential to the UC mission. Examples might include:
- critical utility outages
- unlawful building occupations
- IT system failures or disruptions
- data breaches

**Emerging Issues** – Situations of growing controversy or negative climate that threaten the reputation, organizational, legal, or financial stability of UC. Examples might include:
- funding and financial stewardship issues
- social issues
- leadership / management issues
- academic cheating, theft of intellectual property

2. UC System’s Response Structure

2.1 Overview of Structure

The following depicts the response structure in place throughout the University of California system and includes existing campus Emergency Response Teams and UCOP’s Management Response structure and the UC Policy Group, which is the focus of this plan.
UC's approach is designed to allow individual teams to focus on their distinct roles and responsibilities in managing incidents, while providing a common strategy, resource coordination process and information-sharing process within UC. The approach provides the flexibility to expand or contract to meet the specific needs of a particular situation.

2.2 Role of the Campus Incident Management Team (IMT)

UCSF has a well-established campus emergency response team and multiple sub-teams based on either department plans or campus geography. The function of the overarching UCSF Emergency Response Management Plan is to establish policies, procedures, and an organizational structure for response to a major emergency. The Plan incorporates operating procedures from the Incident Command System (ICS) for handling all-hazard events and emergencies.

IMT responsibilities include:
- **Saving Lives** – Threat mitigation; restoration of order; managing building evacuations; fire suppression; hazardous materials release response; search and rescue; medical aid; communications; and utility stabilization.
• **Protecting University Property** -- Performing building inspections; establish facilities security; shelter, food and water.
• **Restoring Operations** -- Securing vital University records; safeguard research; reoccupy buildings or relocate space; obtain emergency recovery supplies through mutual aid arrangements.
• **Meet Community Needs** -- Providing available space to external agencies, assist adjacent organizations as well as neighboring residents.

Existing campus Emergency Response Management Plans recognize that in some instances significant financial, strategic or policy decisions are required to be made by the Executive Policy Group in addition to the responsibilities of the IMT. The CMRT, defined below, performs the role of the Chancellor’s Executive Cabinet when required by the emergency operations plan.

### 2.3 Role of the Campus Management Response Team (CMRT)

The Campus Management Response Team (CMRT) is the executive level oversight and strategic decision-making body for UCSF during a potential or actual crisis situation. Its members are drawn from the Chancellor’s Executive Cabinet and its size is kept intentionally small to facilitate rapid, focused and decisive decision making in times of crisis. When activated, the CMRT is responsible for and has the authority to make strategic, financial, and policy decisions in response to the issue or event. The Campus Management Response Team may be activated independent of or as a result of EOC activation.

EOC Not Activated: The CMRT is expected to become involved in the day-to-day leadership of an issue or event if the implications require executive decision-making, have potential significant and/or long-term implications on the viability and reputation of the campus, or require significant changes in existing policies.

EOC Activated: The CMRT may be convened by the EOC Director or Chancellor to provide guidance or executive decision-making when the event may have potential significant and/or long-term implications on the viability and reputation of the campus, or require significant changes in existing policies.

The CMRT makes proactive policy and strategic decisions to mitigate threats and is responsible for ensuring that UCOP and critical stakeholders are properly apprised and consulted, as appropriate.

**CMRT responsibilities include:**

- Making policy and strategic decisions that have significant implications for UCSF.
- Approving the communications strategy and key messages developed by the crisis communications team for both internal and external stakeholders (e.g. students, alumni, parents, faculty, staff, media, partners and sponsors, legislators, community leaders etc.) (Refer to Annex CC: Crisis Communications Plan).
- Providing strategic guidance to the campus IMT both during and after the crisis, including in some cases establishing priorities.
- Informing, periodically briefing, and making recommendations to UCOP on the overall response strategy and key issues from the UCSF perspective.
- Identifying/forecasting/managing key issues and consequences stemming from the incident or event.
The CMRT may remain activated long after the IMT has ceased operations to manage the ongoing consequences and medium- to longer-term implications of the event. More details about the CMRT can be found in section 3 of this plan. Team rosters and contact information are found in Appendix DIR of the ERMP.

### 2.4 Role of UCOP’s Management Response Team

It is anticipated that the vast majority of issues or events that face UCSF will be managed through established incident management procedures and practices, this CMRT Management Response Plan and the campus Emergency Response Management Plan. In some instances, however, an issue or event may have broader consequences and impacts to potentially the entire UC system, requiring active coordination and collaboration between the UCSF campus and UCOP.

UCOP’s role depends on the nature of the issue or event and can include:

1. Providing or identifying technical, financial and other support or expertise to aid the UCSF response to an issue or event.
2. Serving as a clearinghouse of information for the rest of the system, Regents and system-wide stakeholders.
3. Responding to and managing system-wide issue or event, whether or not originating at a UC campus or location.

Coordination, information sharing and overview of UCOP’s own management response plan is addressed in section 6 of this plan.

**When activated, UCOP’s Management Response Team responsibilities include:**

- Assessing system-wide impacts and management of system-wide consequences.
- Making policy and strategic decisions that have significant implications across the system.
- Ensuring a consistent and coordinated response when multiple campuses or UC locations are involved, such as pandemic, natural disaster, protests, and reputational threats.
- Identifying/forecasting/managing key system-wide issues and consequences for UC as a whole stemming from the incident.
- Approving the communications strategy and key messages for both internal and external stakeholders (e.g. regulatory authorities, external community groups, media etc.) on behalf of UCOP.
- Providing strategic guidance to UCSF’s CMRT, when appropriate.
- Periodically briefing UCOP’s President on the overall response strategy and key issues.

### 2.5 The Role of Crisis Communications

How UCSF communicates to its stakeholders is critical for the reputation of the institution – particularly during a crisis, a period of increased external scrutiny. Effective communications can protect or enhance the reputation of UCSF and strengthen the standing of the institution and its ability to fulfill its mission. UCSF University Relations is the lead for crisis communications at UCSF and had developed a Crisis Communications Plan (Refer to Annex CC).

The purpose of the UCSF Crisis Communications Plan is to ensure consistent, coordinated and accurate communication to the public from UCSF in a timely, accessible manner.
The objectives of this plan are:

1. To have a centralized communications process that is flexible and adaptable to be called into action around any significant or complex crisis at UCSF.
2. To unify all crisis communications and information messaging to ensure clarity in times of crisis.

The plan has been developed to be a highly actionable, easy-to-use guide for the University Relations (UR) team to follow when responding to a crisis situation. It fulfills the requirements of the Emergency Operations Center (EOC) and Hospital Command Center (HCC) to have approved crisis communications plans in place.

3 Team Membership, Roles and Responsibilities

3.1 Team Composition

The CMRT’s composition allows for critical functions and perspectives to be included in the management decision-making process. Each position should have a primary member and two alternates. Each of the representatives identified, or their alternate, may be called upon should this team be convened. The decision on which Campus Management Response Team or ad hoc member positions and how many to activate may be determined by the type and scope of crisis event. Over time some individuals may no longer be required to remain involved or some positions may be added as the situation changes. The Policy Group’s size is flexible and based upon changing needs of the event. As a crisis rarely only impacts one part of an organization or one function, it is vital that all activated members of the CMRT, or their designated alternate, participate in the initial meeting. The CMRT Chair will make the final decision on ongoing participation.

For incidents that require specialized expertise, the CMRT Chair may also bring one or more additional ad hoc members onto the CMRT for that particular incident, i.e. members who can provide technical expertise and/or pertinent input to the CMRT members and process.

The following depicts team membership and structure: Refer to UCSF Campus Management Response Team membership
3.2 Roles and Responsibilities

Role of the CMRT Chair

The CMRT Chair provides overall direction and coordination of CMRT activities. The CMRT Chair is responsible for:

- Assessing initial reports of a crisis for situations in which the EOC has been activated, or in situations in which there is no emergency response required with other executives as information warrants.
- Making the decision to activate the CMRT.
- Conducting CMRT meetings and activities, identifying strategic issues for decision-making and tasking specific CMRT members to develop recommendations as appropriate.
- Briefing the Chancellor and responding to information requests from UCOP and/or the Board.
- Whereas the CMRT Chair and Alternate Chair are pre-designated, the CMRT Chair may transfer the responsibility to another Executive Cabinet Member based upon which part of the University is being affected by the crisis (i.e.: the Medical Center CEO may become CMRT Chair for a medical Center crisis.)

The Role of the Chancellor
The Chancellor’s responsibilities in a crisis are broad, including oversight of the crisis management process, communications with UCOP, Regents and other critical stakeholders. It is anticipated, depending on the issue or event that the Chancellor will choose to participate in CMRT meetings, particularly during the early stages of a crisis. As it is critical, however, that the CMRT must be able to function effectively without the Chancellor being available, it is advisable for the Chancellor to not have a formal role on the CMRT, such as CMRT Chair. When not attending regular CMRT meetings, the CMRT Chair will routinely interface with the Chancellor throughout the management of the event to keep the Chancellor advised through internal reports and briefings, as well as seek guidance from the Chancellor.

Role of the CMRT Coordinator

The CMRT Coordinator will help facilitate the CMRT process in support of the CMRT Chair. The primary duties of the CMRT Coordinator, with the assistance of support staff are:

- Notifying and convening the team with the support of CMRT support staff, including facilitating virtual operations.
- Working with the CMRT Chair on scheduling meetings and developing meeting agendas.
- Identifying any ad hoc CMRT members who may be required.
- Coordinating with any campus IMT so that the CMRT receives regular status updates, decisions are escalated appropriately and the meeting schedule meets executive needs.
- Working with CMRT members to ensure that non-crisis related tasks are delegated and / or rescheduled as required.

Role of Core Team Members

The duties of the CMRT members (primary and alternate) when the CMRT is activated include:

- Giving priority to CMRT management response activity assignments over daily functional responsibilities.
- Attending all CMRT meetings.
- Designating a replacement to cover responsibilities of daily operations.
- Ensuring that all tasks identified during the CMRT meeting as that team member’s responsibility are carried out within the timeframe agreed.
- Providing subject matter expertise, advice and counsel related to the team member’s specific area of experience and responsibility.

Core team members who have been activated are expected to attend all CMRT meetings regardless of regular work responsibilities until their CMRT function has been deactivated.

Role of Ad Hoc Team Members

For incidents that require special expertise, the CMRT Chair may also bring one or more additional ad hoc members onto the CMRT for that particular incident, i.e. members who can provide technical expertise and/or pertinent input to the CMRT members and process. Examples could include IT for data breach or technology issues, the head of research if the issue or event impacts animal researchers or research, or the head of the medical center for an issue involving student health, research or hospital operations. Ad Hoc team members are not required to attend CMRT meetings unless specifically asked to attend by the CMRT Chair but once engaged, their responsibilities are the same as core team members, outlined above.

Special Note – Role of Police Chief: At UCSF, the Chief of Police is the primary designee for the function of EOC Director and is also responsible for the executive oversight of the University’s public safety, homeland security and emergency management. When the EOC is activated, the Chief of Police as EOC Director shall coordinate and consult with the Policy Group. For issues or events which the EOC has not been activated and that are primarily related to actual or potential police action on campus, it is critical that the CMRT members are fully apprised of the facts on
the ground and the point of view and recommendations of the Police Chief. For these events either the Police Chief is invited to participate as an ad hoc member for that particular activation or at minimum is required to provide a status update / briefing at each CMRT meeting. For other events when the EOC is not activated, participation of the Police Chief is as an Ad Hoc Team Member as described above.

The role of the CMRT with regard to police action is to establish the overall mission and objectives to protect the life, safety, property and essential services and functions of the University. The police department is responsible for operational and tactical strategy and decisions necessary to accomplish the objectives set by the CMRT consistent with law and best practices.

Team Rosters and contact information can be found in Appendix DIR of the Emergency Response Management Plan.

4 Team Activation and Operations

4.1 CMRT Team Activation

Any core member or identified ad hoc member of the CMRT is responsible for bringing issues or events within their area of expertise or authority to the attention of the CMRT Chair for evaluation, if the situation has the potential to become a critical incident or serious adverse event. The Chair will assess the issue or event with the following questions in mind:

- What are the actual or potential size/scope, intensity, immediacy and duration of the incident?
- What appear to be the immediate impacts to safety, operations, property, environment, and legal or financial standing?
- What other issues or events could combine with the incident to exacerbate the event and require CMRT engagement?
- What ongoing or planned events may be impacted by or may impact this situation?
- Are additional resources or technical assistance needed to respond to the situation?
- How serious could the incident become?
- What individuals or groups (internally/externally) are aware of the situation or need to be made aware of the situation?
Based on the information, the context of the issue or the event and its potential impact, the CMRT Chair will in consultation with other members of the CMRT decide:

- **No Action is Required:** The event or issue is either being appropriately managed by the relevant team or department and does not require any activation of the CMRT.
- **Continue to Monitor:** Event or issue warrants continued monitoring but currently does not require CMRT activation.
- **Activate the CMRT:** Event or issue requires CMRT activation.

### 4.2 Notification Process

During Declared States of Emergency and activation of the Campus EOC, notification and activation of the Campus Management Response Team is the responsibility of the EOC Director. For events outside of EOC activations and States of Emergency, the following notification process applies.

Once the decision is made for the CMRT to activate, the Coordinator is responsible for ensuring all team members are contacted (primary or alternate to represent each area). This may involve directing Support Staff or others to assist in the notification process or requesting WarnMe activation of the CMRT. The Coordinator will provide direction to available support staff to assist. Contact will be made using the Team Roster (contained in Appendix DIR).

The primary means of notification to the CMRT will be via phone, and a simultaneous e-mail message. This may be initiated via the UCSF WarnMe Mass Notification System. Team members will be advised of the time and location of the initial team meeting. If the physical office
In the event of a significant and sudden disrupting event, such as terrorism or natural disaster, the CMRT is to assume activation and make sure they are immediately accessible by phone, e-mail or in their office. The UCSF EOC will be activated. EOC activation can take one to two hours for EOC staff to arrive and for the EOC to be set-up. During this time UCPD and Emergency management staff will be collecting situational awareness information. The EOC Director will notify the Campus Management Response Team Chair as soon as sufficient information from the event is collected to brief the Campus Management Response Team with credible and reliable information. Depending upon the damage to phone, radio and internet communications, this could be one to four hours after the event.

Pending notification of a situation briefing by the EOC Director, all available CMRT members are expected to attempt phone and e-mail contact with the CMRT Coordinator to check in and confirm where and how they can be reached. If direct contact cannot be accomplished they should attempt to join the CMRT Conference Bridge as quickly as possible. The CMRT Chair and Coordinator will establish a conference call as soon as either is able, and make provisions for at least one member to remain on that line to provide status and direction as others join over time. The process will follow the normal process described within this plan, but will likely operate in a virtual manner until such time as a location can be established for operations. If phone and e-mail systems are out of order due to the emergency, CMRT members should attempt to get to a team location if possible.

4.3 Team Meetings

If the CMRT activates, it is important that all activated core team members, either the primary or alternate, are present for formal meetings. The absence of just one team member can produce information gaps, as well as undermine the decision-making capability of the team. To ensure full participation, yet allow breaks in the team process for members to assign or carry out individual actions, a “meet-break/ meet-break” process is recommended during team activation.

In the “meet” stage, the team members are briefed, discuss the incident, review issues, make decisions, make assignments for action and establish priorities. The team will then generally “break,” allowing members to meet with their functional departments or sub-groups to implement action items, coordinate response activities and to gather additional information that may be critical to the incident management process.
The CMRT will then reconvene (“meet”) for briefing and reports on assigned action items and identification of additional action items, as well as an on-going decision-making. This “meet-break/meet-break” process continues until the team is deactivated. Standardized meeting agendas provide structure and help drive the management process and can be found in Attachment D.

Unlike the IMT when the EOC is activated, the CMRT should not need to nor is expected to operate on a 24/7 basis. After the initial meeting, which may last longer, CMRT meetings should take no longer than one hour. Meeting frequency will be decided by the CMRT based on the unique circumstances of the issue or event, i.e. two or three times a day, every day, once a week etc.

The CMRT may remain activated long after the IMT has ceased operations to manage the ongoing consequences and medium- to longer-term implications of the event.

Meeting agendas and other recommended forms and tools are described in section 5 of this plan with full forms in Attachment B.

4.4 CMRT Deactivation

Once the CMRT has worked to resolve most if not all issues and personnel are able to manage recovery going forward with plans and strategies in place, and once the coordinated focused effort of the CMRT members is no long required, the CMRT may decide to extend its meeting cycle or to deactivate. The cycle might be modified to once every week or biweekly until such time as the team is completely dissolved and deactivated.

The decision to deactivate the CMRT will be made by the CMRT Leader and should be as equally considered a decision as activation. Deactivation of the CMRT will take place when:

- Guidance and decisions have been addressed for all identified issues, and actions have been completed or strategies and action plans are in place to resolve them.
- The consequences of the incident have been assessed and a plan for mitigating the impacts of those consequences has been developed and implemented.
- A final briefing has been given and team members concur on the decision to deactivate.
- A Post-Incident Review process and has been identified to complete the process of evaluating the incident, the campuses response to it, and lessons learned.

Upon the decision to deactivate the CMRT, the Leader and/or Coordinator will officially advise (and debrief as appropriate) the Chancellor, UCOP, and the IMT if still active.

4.5 Post-Incident Review procedures

It is the responsibility of the CMRT Coordinator to conduct a post-incident review to capture lessons learned.

- Was the incident response appropriate?
- How could plans, protocols or training be improved?
- Were there any policies or procedures not followed that allowed the incident to happen or as part of the response?
- Should any policies or procedures be changed / updated?
A post-incident review form to help guide this process is included in Attachment E of this plan.

In the event of an EOC Activation, the Campus Management Response Team Coordinator will be invited to participate in EOC Hot-Washes and the development of an After Action Report and Corrective Action Plan.

5 Tools and Forms

5.1 Working Tools and Forms

In support of the CMRT in managing crisis-related issues, assigning actions, assessing future consequences, and ongoing decision-making, three key information management forms designed to assist the teams in managing, guiding and tracking their efforts are offered. Each form is described in further detail below, and full versions can be found in Attachment E of this plan. It is the responsibility of UCSF Executive Cabinet members to adequately document crisis information and activities to protect the University’s liability and promote lessons learned from the event. Should the recommended forms and agendas not be utilized, comparable records are to be maintained.

Action Items Status Form

The Action Items Status form is designed to capture specific actions that are identified during CMRT meetings for assignment. The Action Items Status form will be updated to capture status and completion of the actions, as the designated CMRT representative reports it to the team:

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Strategic Issues Tracking Form

The Strategic Issues Tracking form will be used by the CMRT to identify, prioritize and assign strategic issues to specific CMRT members. Members are expected to develop strategies and action plans to address assigned issues, and will be expected to report back to the team on
status. Once issues on this form have been discussed and explored by the CMRT, they should be translated into executable action items that will then be tracked on the Action Items Status Form.

**Impact and Consequence Forecast Form**

The Impact and Consequence Forecast Form is designed to guide the CMRT in forecasting the worst probable – not worst possible – consequences of the incident to foster a proactive response and corresponding strategic decisions. Using the form, the first step will be to define the worst probable characteristics of the incident. This is accomplished by taking what is known about the incident and assessing both how bad the nature of the incident could reasonably be expected to become and what factors could restrict or complicate response to the incident. Then, for each of the functional areas on the form, the CMRT will identify what consequences, repercussions or strategic issues could be expected to result from the worst probable case and its likely impacts. This form is used to guide the strategic response to the situation.
Standardized Agendas

Sample agendas are included to expedite meeting process and to ensure effective use of limited time. The CMRT leader and coordinator and are responsible for setting more detailed meeting agendas and scheduling meetings at a tempo appropriate for the issues requiring CMRT engagement and to should be coordinated with other team meetings, if appropriate. Agendas are designed to encourage proactive identification of issues to get ahead of the crisis, ensure that critical longer-term issues are not lost, and that there is clear responsibility and deadlines for agreed actions.

6 Coordination with UCOP

UCSF recognizes that on occasion the impacts and consequences of an issue or event may have broader UC or system-wide consequences. Likewise, there are other occasions when UCSF is but one of a number of campuses impacted by an event (for example area-wide earthquake, pandemic etc.) and where it is critical to have a coordinated response to the event across multiple campuses. This section outlines how UCSF will coordinate with UCOP.

6.1 Incident Escalation

UCOP has developed an incident screening process to identify issues or events, which may require the UCOP Management Response Plan to become activated. Notifying UCOP does not mean that UCOP will automatically become involved. It is the responsibility of either the CMRT Chair or Coordinator to notify UCOP of serious events using the following Notification Guidelines.
The CMRT Chair or Coordinator will notify one of the following UCOP representatives using the above Notification Guidelines (Contact information can be found in Appendix DIR):

- EVP, Business Operations
- Chief Risk Officer
- Associate Vice Chancellor of Strategic Communications

This UCOP screening group will make a determination regarding what, if any, level of UCOP engagement is required. Typically, UCOP will not become involved if the issue or event is limited to one campus, unless specific support is requested. For more information on UCOP’s management response plan please visit:

http://www.ucop.edu/riskmgmt/emergprep/opmgmtresp.html

By having a system-wide view of risk and events, UCOP is also in a position to identify either trends or emerging risks. This view allows UCOP to make proactive decisions to limit the broader impacts of campus-specific events to the overall system.

If the event or issue does not meet any of the above-defined criteria, the CMRT can still make the decision to notify UCOP regarding the issue or event at any point during CMRT activation. This notification and screening process does not remove the central responsibility and authority of UCSF to manage response to the campus-specific impacts of the event.

### 6.2 Information Sharing

During crisis situations, it is likely that multiple UCSF incident response and management teams and UCOP incident management teams will be engaged and that information will be changing rapidly as events develop. It is also inevitable that awareness of the situation will be uneven and some participants will have more or less information than others. It is critical that each team has accurate and consistently shared information in order to base decisions and actions. There are a number of processes in place to ensure that information sharing is as streamlined as possible:

1. **Status updates** – Each CMRT begins with a status update so that every team member has the same level of situational awareness.
2. **Site-level information** – when the EOC is engaged, the EOC Director should provide the situation update at the start of the CMRT. Issues that need to be escalated for decision by the CMRT should be highlighted during that briefing.
3. **Campus-level information** – when UCOP’s Management Response Team (MRT) is activated, the CMRT Coordinator or Chair should provide a situation update to UCOP’s MRT so that is aware of the latest information and making broad UC or system-wide decisions in the most informed context.
4. **Mandatory attendance at CMRT meetings by members when activated.** Missing meetings in order to take care of something else will mean team members on any team may not be aware of all the latest developments and will be moving forward based on old assumptions and potentially inaccurate information.

5. **UCSF community and operational area Emergency Management partners.** The UCSF Crisis Communications Plan and Team will coordinate and develop unified messages with UCSF stakeholders and when appropriate area Joint Information Centers.

None of this formal process replaces informal information sharing or existing reporting lines but it is designed to reduce the “rumor mill” and inefficient “off-line” information updates amongst team members which not only deprives other team members of the latest information when it is accurate but can lead to errors and mistaken assumptions.

### 6.3 External Communication

Communications staff represented on each team (UCSF Crisis Communications Team, IMT, CMRT or UCOP MRT) are responsible for coordinating key messages, talking points and media or other communications strategy. UCOP’s Crisis Communications Team will schedule system-wide calls for system-wide issues or will coordinate directly with their peers on affected campuses. These calls help inform communications staff of broader communications issues and provide context and information members can bring to their own response team’s decisions. These communications coordination calls do not replace the central role of the MRT, CMRT or EOC as being the vehicle through which information is formally shared within a campus and...
across the UC system. If new or updated information becomes known through the crisis communications process, it is the communications representative's responsibility to promptly share that information with their CMRT.
## 7 Attachments

### Attachment A. Action Items Status Form

Following is a sample Action Items Status form.

<table>
<thead>
<tr>
<th>Item #</th>
<th>Due Date</th>
<th>Assigned to</th>
<th>Description</th>
<th>Status</th>
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PROPRIETARY AND CONFIDENTIAL
Attachment B: Strategic Issues Tracking Form

Following is a sample Strategic Issues Tracking form that is used to document and prioritize issues for future decision-making.

<table>
<thead>
<tr>
<th>Issue #</th>
<th>Priority</th>
<th>Issue Description</th>
<th>Status (schedule for deliberation, or assigned)</th>
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<tr>
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PROPRIETARY AND CONFIDENTIAL
Priorities:
A----Deliberate/Schedule within 24 hours
B----Deliberate/Schedule within 1-4 days
C----Deliberate/Schedule within next 1 week
### Attachment C: Impact and Consequence Forecast Form

Following is the Impact and Consequences Forecast form to be used by the CMRT to define and document the “worst probable” planning case.

<table>
<thead>
<tr>
<th>IMPACT AND CONSEQUENCE FORECAST (Page 1 of 2)</th>
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<tbody>
<tr>
<td><strong>Affected Location:</strong></td>
</tr>
<tr>
<td><strong>Issue / Event Description:</strong></td>
</tr>
<tr>
<td><strong>Date / Time (current as of):</strong></td>
</tr>
<tr>
<td><strong>Document Managed By (Name / Phone / Email):</strong></td>
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</table>

| Estimated Duration of Situation: |

| Fatalities: |
| Injuries (number and types): |

| Missing/Known Status: |

| Description of Likely UCSF Impacts: |

| Description of Likely Community/External Impacts: |
### Additional Impacts (Page 2 of 2)

Description of Departmental Outcome  
(Assumptions to Include: Scale, Scope, Nature)

<table>
<thead>
<tr>
<th>HUMAN IMPACT</th>
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<table>
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<table>
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<th>GOVERNMENT/REGULATORY AFFAIRS</th>
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Attachment D: Sample Meeting Agendas
The following sample agenda can be used for the initial CMRT meeting.

**CMRT — INITIAL MEETING AGENDA**

Establish expected duration of meeting
- Confirm record keeping process

Conduct incident briefing
- From EOC if activated
- From CMRT members providing perspective / update from their area of responsibility

Define the CMRT role
- Review crisis management requirements and needs
- Identify needs for ad-hoc CMRT members or additional resources
- Identify and deliberate on any strategic issues related to management of the crisis and its potential impact on the campus
- Document outstanding issues (use the *Strategic Issues Tracking* form *) that cannot be immediately resolved
- Prioritize those items that require more timely resolution

Define and confirm the communications strategy & approve initial public statement

Document any identified action items (use the *Action Items Status* form **)

Administrative
- Determine any extended response requirements (off hours)
- Review adequacy of CMRT staff support, resources
- Set next two meeting times and outline the schedule (24-48 hours)

*Strategic Issues Tracking:* The goal is to identify as many issues as possible that may need to be addressed for eventual deliberation by the CMRT. Select issues should be scheduled for each / future CMRT meeting.

**Action Items Status:** The purpose is to capture any specific action items assigned or identified during the meeting. Status and/or resolution should be reviewed in future meetings.
The following sample agenda can be used for the ongoing CMRT meetings and may be customized and adjusted as necessary.

**CMRT—ONGOING MEETING AGENDA**

Establish expected duration of meeting

Receive incident update briefing
  - From EOC if activated

Discuss status updates from CMRT members
  - Review progress on actions or strategy development assignments

  Review potential impact and consequences of the event or issue (use the *Impact and Consequence Forecast* form*)
  - Discuss potential consequences of the incident or issue

Deliberate and made decisions on select strategic issues related to management of the crisis and its potential impact
  - Document decisions and appropriate next steps
  - Identify additional strategy issues
  - Document and prioritize those items that require more timely resolution (use the *Strategic Issues Tracking* form *)

Define and confirm the communications strategy & approve public statement(s)

Document any identified action items (use the *Action Items Status* form **)

Administrative
  - Determine any extended response requirements (off hours)
  - Review adequacy of MRT staff support, resources
  - Set next two meeting times and outline the schedule (24-48 hours)
## Attachment E: Post Incident Review

<table>
<thead>
<tr>
<th>POST INCIDENT REVIEW: DISCUSSION POINTS</th>
</tr>
</thead>
</table>

Was the notification process effective? Was there enough time to take action?

Was the activation of the team timely and effective?

Were we able to implement existing plans and procedures?
- Were they effective?
- Are adjustments needed?

Did we coordinate effectively?
- Internally?
- With the UCOP’s screening group? Or UCOP’s MRT if activated?
- With the EOC?
- With external agencies/groups, if involved?
- With affected customers?

During the incident, did we define any new best practices?

How has perception of UCSF changed as a result of the response?
- Internally?
- Externally?

What were the lessons learned?
- What improvements were identified?

- How can they be incorporated into the plan?

- What is the implementation timeframe?
8 Attachment F: Definition of Terms

- **UC Location** - the Campus, Medical Center or Laboratory where an event or incident is taking place. For the purpose of this plan, this term is being used. However during an actual response the actual name of the campus, medical center or laboratory location will be used.

- **Scene** - the on-scene or field location of a physical event, where the incident response occurs. This could be in a building or facility. Not every event for which this plan will be deployed will be of a physical nature or have a scene.

- **EOC** - the Emergency Operations Center (or Incident Command Center) where the emergency management team for that UC Location meets to coordinate its response and to coordinate the incident-command based response aspects.

- **Emergency Management & Response Structure** – the structure and teams that coordinate and manage the overall campus, medical center or laboratory response and those teams that are Incident-Command based to meet each UC Location’s requirements.

- **IMT** – the Incident Management Team is the staff of the Emergency Operations Center.

- **Incident Command Post (ICP)** - the Incident Command Post is the location at the scene of a physical event where the UC response is directed from and where the Incident Commander is typically located.

- **Crisis** – any unexpected event or series of events that has the potential to, or does presently, significantly impact and/or harm to the University of California’s students, faculty, staff, local community, operations, buildings, assets, finances, image, reputation, or the environment. The actual or potential crisis results from both the event itself and the impacts and consequences that result.
ANNEX DAT

DISASTER ASSISTANCE TO EXTERNAL EMERGENCIES

Prepared by Barbara Foster Associates
July 18, 2006
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EXECUTIVE SUMMARY

Following Hurricane Katrina, the University of California at San Francisco (UCSF) was called upon to provide assistance to affected universities, medical centers, and individual students. Multiple campus organizations and the Medical Center (M/C) mobilized, albeit in an independent and ad hoc fashion, to receive and process requests for assistance, and, within days, an informal campus disaster assistance network had emerged. The Chancellor appointed a Post-Katrina Task Force to identify how best to organize and position the campus to respond more nimbly to similar external events in the future.

The Post-Katrina Task Force determined that a Disaster Assistance Team (DAT), based on the existing campus Emergency Operations Center (EOC) organization, with clear roles, responsibilities and lines of reporting and coordination, should be established. The DAT is responsible for coordinating the efforts of all campus units; serving as a central point of contact (POC) and campus-wide clearinghouse for requests for assistance and information, and establishing and maintaining a communication and coordination link with the campus community, the UC Office of the President (OP), and appropriate external agencies.

Each campus unit (e.g., school, division, department or M/C) responsible for performing a specific disaster assistance function (see Attachment A) will assign a representative to the DAT. This individual will serve as the single point of contact (POC) for that organization or function for coordination and communications purposes.

When indicated, the DAT will be convened for an initial briefing by the Program Coordinator in a designated location, or via a pre-established telephone conference call. The DAT members will operate from their normal work locations but will convene (in person or via conference call) on a regularly scheduled basis to provide status updates, coordinate efforts, and address any issues that need to be resolved.

Upon DAT activation, the Public Information/Media Coordinator will issue a prepared notice to all campus and M/C department/unit heads advising of activation of the DAT, providing URLs for the disaster assistance websites, and listing contact information for the POC for each type of assistance. This notice will stipulate that all requests for assistance must be directed to the appropriate POC, following the existing chain of command.

A standby DAT website, linked to UCSF’s home page, will serve as the primary campus-wide portal for disaster assistance purposes and will provide a central DAT email address for requesting and/or offering assistance. The Public Information/Media Coordinator, or other assigned staff, will review all DAT email messages and will forward requests to the appropriate campus unit for action.

The DAT website will link to disaster assistance websites established by the M/C and other campus units, the Office of the President (OP), and appropriate external agencies for more detailed information on specific forms of available assistance.
1.0 INTRODUCTION

Following Hurricane Katrina, a disaster of national significance, universities and colleges throughout the country, including the University of California, San Francisco (UCSF), were called upon to provide assistance to affected universities, medical centers, and individual students in the impacted Gulf Region. In general, the assistance requested included accepting inpatient transfers for specialty care; admitting professional and graduate students on a temporary basis; providing medical, nursing and non-medical volunteers to staff field hospitals and shelters; providing temporary housing, office and laboratory space; and similar types of support.

Similar to other UC campuses and medical centers, UCSF responded immediately to the request for assistance, albeit in an ad hoc manner. Shortly after the disaster, the Chancellor established a Post-Katrina Task Force; multiple campus units, including the Medical Center, mobilized to receive and process requests for assistance; and an informal campus disaster assistance network emerged. There was a spontaneous outpouring of offers to help the hurricane victims from individual students, staff and faculty, and numerous inquiries were received asking what individuals and groups on campus could do to help.

In order to respond promptly to disasters external to UCSF in the future, in a coordinated manner, and without duplicating efforts, the Post-Katrina Task Force determined that a disaster assistance organization, with clear roles, responsibilities and lines of reporting and coordination should be established. The organization should be flexible and capable of soliciting and processing specific forms of assistance, as well as disseminating updated status reports to the campus community.

2.0 DISASTER ASSISTANCE TEAM

The campus has an existing Emergency Operations Center (EOC) Team and the Medical Center (M/C) a Disaster Control Center (DCC) Team for responding to emergencies that impact directly on the campus. The integrated EOC/DCC organization is consistent with the nationally recognized Incident Command System (ICS), which is based upon certain functions that are typically performed when responding to any type of emergency. This system employs standard terminology and a flexible and modular organization in which only those functions required to respond to a particular situation are activated. The organization may be expanded or contracted as needed to address dynamic circumstances.

The ICS concept of operations and UCSF’s integrated EOC/DCC organization can be employed for response to various types of emergencies, including those in which the campus is asked to provide disaster assistance, rather than direct emergency response. By leveraging the existing EOC/DCC organization for disaster assistance purposes, the campus benefits from having a team that is already pre-assigned, trained and experienced in working together toward a common goal. Moreover, the EOC/DCC internal and external communication and coordination links and existing training and exercise program need only be enhanced to address disaster assistance issues.
Figure 1
Disaster Assistance Team
The Disaster Assistance Team (DAT) organizational structure depicted in Figure 1 maintains the basic EOC/DCC organization, but has been modified to reflect the disaster assistance, rather than emergency response functions to be performed. In keeping with ICS principles, functions can be added or deleted from the DAT organization as necessary to address the presenting situation. In addition, one person may perform more than one function, as long as a reasonable span of control (one to no more than seven) is maintained.

The Disaster Assistance Team (DAT) coordinates the efforts of all campus organizations; serves as a central point of contact (POC) and campus-wide clearinghouse for requests for assistance and information; and establishes and maintains a communication and coordination link with the UC Office of the President (OP). The roles and responsibilities of the individual DAT functions are outlined in Section 4.0; operational procedures are contained in Section 5.0; functional assignments are listed in Attachment A; and function-specific checklists are included in Attachment D.

3.0 CONCEPT OF OPERATIONS

The campus DAT will be activated for external disasters of significance that result in requests for assistance from UCSF. By definition, the existence of such an event will be obvious from the news coverage, as occurred with Hurricane Katrina. For a less obvious event, the UC Police Department (UCPD) will typically be notified of the event by a public safety or government agency, or the OP will notify the Chancellor’s Office. In either case, a pre-assigned Program Coordinator and the Chancellor or his designee, the Executive Vice Chancellor (EVC), will confer regarding the need to activate the DAT, and will identify any pre-established disaster assistance policies and/or procedures to be implemented on a temporary basis.

The Program Coordinator will convene the DAT in a pre-designated location or via a pre-established telephone conference call for an initial briefing. This briefing will include a description of the current situation, the types of campus assistance to be available, and any pre-established temporary OP or campus disaster assistance policies and procedures to be implemented.

The DAT members will operate from their normal work locations and will reconvene (in person or via telephone conference call) on a regularly scheduled basis to provide status updates, coordinate efforts, and address any issues that need to be resolved. The Program Coordinator, with the approval of the Chancellor or the EVC, will convene the Policy Group as needed to address specific policy issues.

3.1 Disaster Assistance Functions

Each campus organization (e.g., school, division, unit or M/C) responsible for performing a specific disaster assistance function (e.g., Student Housing) will assign a representative to the DAT. This individual will serve as the single point of contact (POC) with that organization or function for coordination and communications purposes.

3.2 Information Management

After Hurricane Katrina, multiple campus individuals and organizations received external requests for assistance, including the schools, Registrar, department heads, M/C, and the Chancellor’s office, among others. Additionally, in the
absence of a designated DAT, a decentralized approach was also used for announcing and disseminating information on the types of assistance available from UCSF.

In order to ensure that complete, accurate and timely information is compiled by the DAT and disseminated to the campus community and external organizations, it is imperative that the flow of information is closely monitored and controlled, and that the roles and responsibilities of the Liaison and Public Information/Media Coordinator are clearly defined.

3.2.1 REQUESTS FOR ASSISTANCE

Upon activation of the DAT, the Public Information/Media Coordinator will issue a prepared notice to all campus and M/C department/unit heads advising of activation of the DAT, providing URLs for the disaster assistance websites, and listing contact information for the POC for each type of assistance. This notice will stipulate that all requests for assistance must be directed to the appropriate POC, following the existing chain of command, and will suggest that the notice be disseminated to all department/unit personnel.

3.2.2 WEBSITES

A standby campus-wide DAT website, linked to UCSF’s home page and any event-specific website established by the OP, will serve as the campus’ main portal for disaster assistance information. The DAT site will link to the M/C’s and campus organizations’ disaster assistance websites for more detailed information on specific forms of available assistance. The Public Information/Media Coordinator will manage and update the DAT website and will copy appropriate messages to the DAT Liaison, as indicated.

The M/C and campus organizations providing some form of disaster assistance are encouraged to prepare standby disaster assistance websites that can be customized and activated at the time of a significant external disaster. These sites will link to each other, to the main DAT website, and to appropriate external organizations tasked with coordinating specific types of assistance. (e.g., Association of American Medical Colleges, National Institutes of Health, etc.). Each organization’s designated POC will be responsible for activating, managing and updating its website.

All websites will include a list of Frequently Asked Questions (FAQs) and a central DAT email address for requesting and/or offering assistance.

3.2.3 EMAIL ADDRESSES

In order to provide a mechanism for monitoring the extent and type of assistance requested, and to serve as a control point for directing specific requests to the appropriate POC, a centralized DAT email address will be utilized for requesting and/or offering assistance. The Public Information/Media Coordinator, or assigned staff, will review all DAT email messages and will forward requests to the appropriate organization for action.
Each campus organization will also use a central email address for receiving requests for assistance and/or information. The designated POC, or assigned staff, will review, reply to, and/or forward email messages as indicated.

The pre-established DAT and POC email addresses may also be used to share updated status information and to clarify any issues.

3.2.4 ROLES AND RESPONSIBILITIES

The specific roles and responsibilities of the Liaison and Public Information/Media Coordinator are described in Section 4.0. Generally speaking, the Liaison serves as a communications and coordination link between the DAT and external organizations and agencies, and the Public Information/Media Coordinator serves as the link with the campus community and the media.

3.3 Volunteer Recruitment

As occurred in Hurricane Katrina, UCSF may be asked to provide volunteers to assist with staffing field hospitals, shelters and similar tasks. The OP and/or the campus Policy Group may issue temporary policies on the recruitment and use of campus volunteers for disaster assistance purposes (e.g., must be sponsored by a professional association).

Based on the nature of the assistance requested and in accordance with any policies or procedures established by the OP or campus, volunteer recruitment will be consistent with the following:

- Each school will determine if the use of student volunteers is appropriate and will coordinate their recruitment.
- The campus Human Resources (HR) Department will coordinate the recruitment of non-medical volunteers.
- The M/C’s HR Department will coordinate the recruitment of non-physician clinical volunteers.
- The M/C’s Medical Director will coordinate the recruitment of physician volunteers.

4.0 DAT FUNCTION ROLES & RESPONSIBILITIES

Similar to the EOC/DCC functions, the DAT functions are grouped under the five ICS primary management functions – Management, Operations, Planning, Logistics and Finance – and the assistance functions performed in the Medical Center DCC mirror those performed by the DAT, whether they are co-located or not. (See Attachment D for DAT function checklists, which are not intended to be exhaustive.)

4.1 Management Team

With the exception of the Recovery Team, the DAT Management Team comprises the same functions/groups as the EOC/DCC and the basic functional responsibilities remain essentially the same.
4.1.1 **CHANCELLOR**

The Chancellor or EVC confers with the UC President as necessary; consults with the Program Coordinator regarding activation of the DAT and/or the Policy Group and implementation of any pre-established disaster assistance policies or procedures; provides overall direction to the Program Coordinator; and convenes the Policy Group when indicated.

4.1.2 **PROGRAM COORDINATOR**

The Program Coordinator activates the DAT to the extent required by the situation; convenes the Policy Group when directed to do so by the Chancellor; coordinates all DAT operations; provides overall management of the DAT; and keeps the Chancellor or his designee, the EVC, apprised of the situation. This function reports to the Chancellor or EVC.

Specific duties include:

- Obtaining an assessment of the situation and conferring with the Chancellor or EVC regarding the need to activate the DAT.
- Determining the extent to which the DAT will be activated, ensuring that the functions needed to address the situation are staffed, and establishing the DAT concept of operations, based on the nature and scope of the event.
- Convening the Policy Group (in person or via telephone conference call), when directed to do so by the Chancellor.
- Identifying the types of assistance required from the OP, internal organizations, professional associations, government, and other external agencies.
- Conducting regularly scheduled briefings for the DAT leaders.
- Requesting policy direction from and conferring with the Chancellor or EVC and the OP, as necessary.
- Identifying the types of assistance to be available and the parameters, priorities or any limitations on that assistance, as indicated.
- Ensuring that communications and coordination links are established and maintained with involved campus organizations and key external agencies, as indicated.

4.1.3 **ASSISTANT CHANCELLOR**

The Assistant Chancellor serves as the Chancellor’s or EVC’s liaison with the Policy Group and Legal Counsel. This function reports to the Chancellor or EVC.

4.1.4 **POLICY GROUP**

The Policy Group advises the Chancellor or EVC on policy matters and strategic planning initiatives. The Chancellor or EVC may convene this group or may direct the Program Coordinator to do so, when indicated.

4.1.5 **LEGAL COUNSEL**
The Legal Counsel advises the Chancellor or EVC, Policy Group and the DAT on issues related to laws, regulations, risk and liability. This function reports to the Chancellor or EVC.

4.1.6 **LIAISON**

The Liaison is responsible for establishing and maintaining an essential communications link between the DAT and the OP, as well as with appropriate external organizations, for the purpose of posting the types of assistance available from UCSF. This function works closely with the Public Information/Media function and reports to the Program Coordinator.

4.1.7 **MEDICAL DIRECTOR**

The Medical Director consults with the campus Program Coordinator and the M/C regarding any health or medical issues that may have the potential to impact on the campus community. When requested, this function is also responsible for recruiting physician volunteers for disaster relief assignments. (Note: The M/C Human Resources Department is responsible for recruiting non-physician clinical volunteers.)

4.1.8 **PUBLIC INFORMATION/MEDIA**

The Public Information/Media Coordinator serves as a vital communications link between the DAT and the media and campus community. This function works closely with the Liaison and reports to the Program Coordinator.

Specific duties include:

- Activating, monitoring and updating a pre-designed campus-wide disaster assistance web portal and DAT email address (with support from IT)
- Issuing a prepared notice to all campus and M/C department/unit heads advising of DAT activation, disaster assistance website URLs, and function POC contact information
- Reviewing all DAT email messages, forwarding requests for assistance or information to the appropriate function POC for action, and copying appropriate messages to the Liaison
- Preparing and disseminating news releases and other information bulletins approved by the Program Coordinator to the media and the campus community

4.1.9 **Technical Advisors**

When necessary, the Program Coordinator may activate technical advisors to provide subject-specific counsel (e.g., environmental health, biological, chemical, radiological exposure, decontamination, etc.).

4.2 **Operations Team**
The Operations Team is comprised of DAT functions that can provide or offer specific types of assistance. These functions and the type of assistance required and/or offered may change from event to event, based on the nature and scope of the incident and its impact on individuals and organizations in the disaster zone.

4.2.1 OPERATIONS TEAM LEADER/ACADEMIC COORDINATOR

The Operations Team Leader/Academic Coordinator is responsible for coordinating the activities of all team members; coordinating academic personnel issues with schools representatives; ensuring that any outstanding issues associated with specific types of assistance are resolved; conducting regular briefings with the other team functions to exchange information and update status reports; and coordinating team activities with M/C Operations. The Operations Team Leader reports to the Program Coordinator.

4.2.2 REGISTRAR

The Registrar, who reports to and works closely with the Operations Team Leader/Academic Coordinator, is responsible for coordinating and tracking all student admissions. In performing this function, a number of issues need to be addressed by various individuals and organizations, including:

- Approval from home institution
- Admission status
- Tuition and other fees
- Financial aid
- Health care
- Liability

The Registrar and Operations Team Leader will coordinate addressing and resolving these and any other issues and will forward this information to the Public Information/Media and the Liaison functions for dissemination to appropriate campus organizations’ POCs and external organizations and professional associations for posting.

4.2.3 SCHOOL DESIGNATES

The School Designates report to the Operations Team Leader/Academic Coordinator and are responsible to coordinate identifying, arranging for, and posting available assistance.

The types of assistance the Schools may be asked to provide includes:

- Admission of students, residents and fellows on a temporary basis
- Clinical rotations
- Educational resources
- Accommodation of displaced academics
- Medical and/or student volunteers for disaster relief assignment(s)

4.2.4 RESEARCH COORDINATOR
The Research Coordinator reports to the Operations Team Leader/Academic Coordinator and serves as a liaison with research and animal care programs. When requested, this function is responsible to coordinate the identification of appropriate assistance, including:

- Laboratory space
- Research sponsorship
- Animal care
- Communication links with appropriate professional associations for posting the availability of specific assistance

4.2.5 HOUSING

The Housing function reports to the Operations Team Leader/Academic Coordinator and is responsible for identifying available housing for students and faculty. In performing this function, applicable fees, lease terms, and any restrictions or special considerations will need to be clarified. This information will be shared with the Public Information/Media and Liaison functions for posting on websites and dissemination to the campus community and appropriate external organizations.

4.2.6 MEDICAL CENTER OPERATIONS

The Medical Center may activate its own internal disaster assistance organization to respond to specific requests. Nonetheless, a Medical Center Operations function will be assigned to the DAT to serve as a liaison with the M/C. This function, which reports to the Operations Team Leader/Academic Coordinator, is responsible for coordinating disaster assistance with the M/C, including:

- Admitting transfer patients for specialty care
- Recruiting non-physician clinical volunteers (e.g., nursing and ancillary healthcare personnel) for disaster relief assignments
- Providing employment opportunities
- Establishing and maintaining a communication link with the San Francisco Department of Public Health to identify any public health measures to be implemented

In performing these functions, a number of issues may need to be addressed by various individuals and organizations. The M/C Operations function will ensure that any outstanding issues are resolved, and that this information is shared with the DAT Operations Team Leader/Academic Coordinator and forwarded to the Public Information/Media and Liaison functions for dissemination to appropriate internal and external organizations and professional associations for posting.

The issues to be addressed may include one or more of the following:

- Medical records, admitting physician, insurance coverage (Patient admissions)
- Sponsorship, credentialing, liability, leave with pay (nursing and non-physician clinical volunteers)
4.3 Planning & Intelligence Team

The Planning & Intelligence Team is comprised of the Team Leader and a Situation Status function. Depending on the number, nature and scope of the requests for assistance being processed, one person may be assigned to perform both functions.

4.3.1 Planning & Intelligence Team Leader

The Planning & Intelligence Team Leader determines the extent of function staffing required; compiles an overall assessment of the situation, including the nature and extent of assistance provided and/or offered by the campus and M/C (e.g., number of patients admitted, number and type of campus and M/C volunteers deployed to the disaster area, etc.); documents DAT activities; and, in coordination with the Operations Team function Coordinators and the M/C Operations Liaison, prepares an Action Plan for the next operational period (typically 12 – 24 hours).

4.3.2 Situation Status

The Situation Status function compiles status reports from all DAT functions; prepares an overall situation report; and posts the report on the campus’ disaster assistance web portal.

4.4 Resources & Logistics Team

The Resources & Logistics Team is comprised of functions that support the other DAT functions and coordinate volunteer recruitment and deployment.

4.4.1 Resources & Logistics Team Leader

When necessary, a Resources & Logistics Team Leader may be assigned to oversee and coordinate the activities of the Logistics functions. This function reports to and confers with the Program Coordinator regarding any restrictions on fulfilling requests for supplies and equipment.

4.4.2 Telecommunications/Data Networks

The Telecommunications/Data Networks function is responsible for providing telephone and network support and troubleshooting for DAT members, and assisting the Public Information/Media Coordinator with activating a pre-designed campus-wide disaster assistance web portal and email address.

4.4.3 Human Resources

The Human Resources function reports to the Resources & Logistics Team Leader and is responsible for:
Providing the campus community with information regarding employee assistance programs available for those impacted by the disaster.

Arranging for crisis incident stress debriefings and crisis counseling for employees impacted by the disaster.

Advising the DAT on current OP and campus employment policies related to Administrative Leave With and Without Pay, and similar policies, as needed.

Recruiting non-medical volunteers to fill disaster relief assignments and tracking assigned volunteers.

Providing appropriate DAT staff with information on employment opportunities with the campus and Medical Center for disaster refugees.

4.4.4 SUPPLIES & EQUIPMENT (Note: This function may be eliminated if the OP and/or campus determines that this form of assistance cannot be provided.)

If activated, the Supplies & Equipment function is responsible for compiling and acting on requests for material resources, identifying potential sources and costs, and reviewing this information with the Resources and Logistics Team Leader, who will confer with the Program Coordinator. Upon approval, the items will be ordered and shipped directly to the requesting nonprofit disaster relief agency.

4.5 Finance Team

The Finance Team is comprised of Accounting, Financial Aid, Purchasing and Grants/Programs functions, and is responsible for implementing any finance-related temporary disaster assistance policies and procedures; managing payroll, benefits, expenditure tracking, financial aid and reimbursement documentation, purchasing and grants/programs.

4.5.1 ACCOUNTING (PAYROLL/BENEFITS/EXPENDITURE TRACKING)

This function is responsible for managing payroll and benefits and tracking any extraordinary costs associated with providing disaster assistance. Following disasters, such as Hurricane Katrina, in which eligible organizations provide significant disaster assistance, federal reimbursement may be provided for eligible costs. Consequently, it is essential that this function document and track all extraordinary costs.

4.5.2 FINANCIAL AID

This function is responsible for managing financial aid, completing all financial assistance and reimbursement documentation, and assisting displaced students who transfer to UCSF and do not have the financial ability to pay a second tuition or other fees, with applying for financial aid.

4.5.3 PURCHASING

The Purchasing function is responsible for processing purchase orders approved by the Program Coordinator and maintaining the
documentation needed to support disaster assistance claims and applications.

4.5.4 GRANTS/PROGRAMS

The Grants/Programs function is responsible for managing grant-related funds and associated programs documentation, and may be asked to arrange a transfer of grant funds and programs associated with a displaced researcher.

5.0 OPERATIONAL PROCEDURES

5.1 Activation

The pre-designated Program Coordinator, Chancellor, or the EVC may activate the campus-wide DAT, following approval by the Chancellor or the EVC. Activation may be initiated by the campus or may be in response to a request to provide one or more forms of disaster assistance or may be initiated by and may involve only one program element (e.g., housing or student admission).

5.1.1 TRIGGERS

Triggers for activation may include one or more of the following:

- A disaster of national significance, or a federally declared disaster has resulted in disruption to institutions, including medical centers.
- A local institution or community has been disrupted and has requested assistance.
- A local campus or medical center has been disrupted by any cause and requests assistance.

5.1.2 PROCEDURE

- Upon notification of a qualifying incident, the Program Coordinator will confer with the Chancellor or EVC via phone to determine:
  - If the DAT should activated and to what extent.
  - The types of assistance to be available, including any limitations.
  - The pre-established OP and/or campus policies and procedures, if any, to be implemented.
  - A schedule for briefing the Chancellor, EVC and/or the Policy Group.
- The Program Coordinator will determine if a face-to-face meeting or a telephone conference call will be used for the initial DAT briefing.
- The Program Coordinator will contact the Liaison and Public Information/Media Coordinator by phone to advise of:
  - The need to activate the DAT, including to what extent.
  - The need to activate the campus disaster assistance website.
  - The type of assistance to be available, including any limitations.
  - Any temporary OP or campus policies or procedures to be implemented, if known.
  - Arrangements for the initial DAT briefing.
5.2 Notifications

5.2.1 Office of the President

- The Chancellor or his designee will contact the President's Office by phone to advise of activation of the campus DAT, including:
  - The triggering event that justifies activation, including the universities, colleges and/or medical centers involved
  - Type of assistance requested, including source and method (direct vs. through professional association)
  - Type of assistance offered, including any limitations
  - Campus temporary disaster assistance policies and procedures implemented
  - Campus disaster assistance website URL
- The Program Coordinator will contact the OP Emergency Manager by phone to advise of activation of the campus DAT, including:
  - The triggering event, including the universities, colleges and/or medical centers involved
  - Type of assistance requested, including source and method (direct vs. through professional association)
  - Type of assistance offered, including any limitations
  - Campus temporary disaster assistance policies and procedures implemented
  - Campus disaster assistance website URL

5.2.2 Disaster Assistance Team

- Staff assigned by the Program Coordinator to notify DAT members will:
  - Prepare and send a high priority email message to the designated primary DAT staff advising them of DAT activation, the nature of the event, and the time and location or phone conference call number to be used for the initial briefing by the Program Coordinator.
  - The email message will request the recipient to notify the sender when the message is read. All such notifications shall be saved to be included in the event record.
  - If an email message verifying receipt of the notification is not received within 30 minutes, the DAT member(s) will be contacted by phone.
  - If telephone contact cannot be made with the primary DAT member, the designated alternates will be called, until contact is made.
  - The Program Coordinator will be advised by phone if phone contact cannot be made with the primary or any of the designated alternates for a specific DAT function.
  - All notifications will be documented, including the name, contact method and time.
  - The notification documentation will be forwarded to the DAT Planning & Intelligence function to be included in the event record.

5.2.3 Campus Leadership/Community
The Public Information/Media Coordinator will prepare a notification message to the campus leadership and community for review and approval by the Program Coordinator. Upon approval, the Public Information/Media Coordinator will disseminate the message via email and appropriate websites (e.g., campus home page and disaster assistance website).

The notification message will include the following:
- Activation of the DAT and the nature of the event;
- Name and contact information for the Program Coordinator;
- The type of assistance to be available, including any limitations;
- Any temporary OP or campus policies or procedures to be implemented;
- The URL for the campus-wide disaster assistance web portal, including an estimated time when it will be activated; and
- The email notice will request the recipient to notify the sender when the message is read. All such notifications shall be saved to be included in the event record.

The notification documentation will be forwarded to the DAT Planning & Intelligence function to be included in the event record.
# UCSF Disaster Assistance Team Assignments

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<tr>
<th>Function</th>
<th>Primary</th>
<th>Alternate</th>
</tr>
</thead>
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<tr>
<td><strong>CAMPUS</strong></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Program Coordinator</td>
<td>Christopher Jones (Director Homeland Security Emergency Management)</td>
<td>Pam Roskowski (Chief of Police)</td>
</tr>
<tr>
<td>Assistant Chancellor</td>
<td>TBD (Special Assistant to Chancellor)</td>
<td>Brenda Gee DePeralta (Communications Manager)</td>
</tr>
<tr>
<td>Liaison</td>
<td>Lisa Cisneros (News Director)</td>
<td>Aimee Levine (AVC Public Affairs)</td>
</tr>
<tr>
<td>Public Information/Media</td>
<td>TBD (News Director)</td>
<td>Jennifer O’Brien (Assistant Director, News)</td>
</tr>
<tr>
<td>Medical Director</td>
<td>Josh Adler (CMO)</td>
<td>Adrienne Green (Associate CMO)</td>
</tr>
<tr>
<td>Legal Counsel</td>
<td>Marcia Canning (Chief Campus Counsel)</td>
<td>Greta Schnetzler (Deputy Campus Counsel)</td>
</tr>
<tr>
<td><strong>Operations / Academic Coordinator</strong></td>
<td>Sally Marshall (Vice Provost-Academic Affairs)</td>
<td>Cynthia Leathers (Director, Academic Personnel)</td>
</tr>
<tr>
<td>Registrar</td>
<td>Doug Carlson (Registrar)</td>
<td>Jina Shamm (Associate Registrar)</td>
</tr>
<tr>
<td>Graduate Studies</td>
<td>Pat Calarco (interim) (Dean-Graduate Division)</td>
<td>Peter Taylor (Education Program Officer)</td>
</tr>
<tr>
<td>School of Dentistry</td>
<td>Dorothy Perry (Assoc Dean for Education)</td>
<td>TBD (Assoc Dean, Academic Affairs)</td>
</tr>
<tr>
<td>School of Medicine</td>
<td>Nancy Milliken (Vice Dean SOM)</td>
<td>TBD</td>
</tr>
<tr>
<td>School of Nursing</td>
<td>Zina Mirsky (Assoc Dean for Admin)</td>
<td>Jeff Kilmer (Dir, Office of Stud &amp; Curricular Affairs)</td>
</tr>
<tr>
<td>School of Pharmacy</td>
<td>TBD</td>
<td>Bob Day</td>
</tr>
<tr>
<td>Research Activities</td>
<td>Cliff Roberts</td>
<td>TBD</td>
</tr>
<tr>
<td>Housing</td>
<td>Jim Jacobs (Dir Housing Services)</td>
<td>TBD (Assoc Dir Housing Services)</td>
</tr>
<tr>
<td>M/C Operations</td>
<td>Peter Balesstri (Director, Security Services)</td>
<td>Tim Mahaney (Exec. Director, Support Svcs)</td>
</tr>
<tr>
<td><strong>Planning &amp; Intelligence</strong></td>
<td>Lori Yamauchi (Asst. Vice Chancellor)</td>
<td>Gene Zanko (Director of Capital Planning)</td>
</tr>
<tr>
<td>Situation Status</td>
<td>Kevin Beauchamp (Director of Physical Planning)</td>
<td>Diane Wong (Senior Planner)</td>
</tr>
<tr>
<td><strong>Resources &amp; Logistics</strong></td>
<td>Jon Gledhill (Director, Transportation Services)</td>
<td>Peter Crigger (Manager, Projects &amp; Develop.)</td>
</tr>
<tr>
<td>T/C &amp; Data Networks</td>
<td>TBD</td>
<td>TBD</td>
</tr>
<tr>
<td>Human Resources</td>
<td>Chrystal Morris (Operations Manager)</td>
<td>Luke Hones (Manager-HRIS)</td>
</tr>
<tr>
<td>Supplies &amp; Equipment</td>
<td>TBD</td>
<td>Don Diettinger (Manager Devel &amp; Training)</td>
</tr>
<tr>
<td>Finance</td>
<td>Eric Vermillion (Associate Vice Chancellor Finance)</td>
<td>Cecilia Hamilton (Controller &amp; Asst. Vice Chan)</td>
</tr>
<tr>
<td>Accounting</td>
<td>TBD</td>
<td>TBD</td>
</tr>
<tr>
<td>Financial Aid</td>
<td>TBD</td>
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<tr>
<td>Purchasing</td>
<td>TBD</td>
<td>TBD</td>
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<tr>
<td>Grants/Programs</td>
<td>TBD</td>
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### ACTION ITEMS

<table>
<thead>
<tr>
<th>#</th>
<th>Element</th>
<th>Responsible</th>
</tr>
</thead>
<tbody>
<tr>
<td>1</td>
<td>Primary web portal and pages for each form of assistance</td>
<td>PIO &amp; POCs each function</td>
</tr>
<tr>
<td>2</td>
<td>Initial communications template to key campus contacts</td>
<td>PIO &amp; Program Coordinator</td>
</tr>
<tr>
<td>3</td>
<td>Mechanism and responsibility for identifying available lab space</td>
<td>Exec. VC to identify position responsible</td>
</tr>
<tr>
<td>4</td>
<td>Identify external coordination points (e.g., AAMC, NIH, etc.)</td>
<td>Liaison</td>
</tr>
<tr>
<td>5</td>
<td>Explore need to develop templates for potential assistance agreements</td>
<td>Campus Counsel</td>
</tr>
<tr>
<td>6</td>
<td>List of external websites (e.g., Scholarship America – assistance grants for schools providing assistance to displaced students, Campus Relief.Org – ACE/NACUBO clearinghouse with links to affected and assisting campuses)</td>
<td>Liaison</td>
</tr>
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### EXAMPLES OF AVAILABLE DISASTER ASSISTANCE

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<th>Examples of Issues to be Addressed</th>
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<td>Types of eligible patients</td>
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<td>Transportation</td>
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<td>Admitting physician</td>
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<td>Medical records</td>
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<td>Students (includes clinical)</td>
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<td>Admission status</td>
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<td>- Postdoctoral Fellows</td>
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<td>Health insurance</td>
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<td>Scientists, Investigators</td>
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<td>Faculty</td>
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<td>- School of Medicine</td>
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<td>- School of Pharmacy</td>
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<td>- Graduate Division</td>
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<td>- Postdoctoral Fellows</td>
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<tr>
<td></td>
<td>Payment &amp; benefits</td>
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<tr>
<td>Nature of Assistance Available</td>
<td>Examples of Issues to be Addressed</td>
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<td>Academic office space</td>
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<tr>
<td>Housing - Student</td>
<td>Eligibility (e.g., displaced refugees)</td>
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<td>Rental rate discount</td>
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<td></td>
<td>Lease</td>
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<td>Housing - Faculty</td>
<td>Eligibility (e.g., displaced refugees)</td>
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<td>Rental rate discount</td>
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<td>Animal Care</td>
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<td>Medical/Healthcare Volunteers</td>
<td>Recruitment</td>
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<td>Administrative leave policy</td>
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<tr>
<td>UCSF Employee Support</td>
<td>Type (counseling, financial assistance)</td>
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<td>Eligibility</td>
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## DAT FUNCTION CHECKLISTS

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<td>Planning &amp; Intelligence Team</td>
<td>Planning Team Leader</td>
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<td>Situation Status</td>
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<td>Resources &amp; Logistics Team</td>
<td>Logistics Team Leader</td>
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DISASTER ASSISTANCE TEAM CHECKLIST

POLICY GROUP

☑ CHANCELLOR
☐ POLICY GROUP
☐ LEGAL COUNSEL

☐ Obtained briefing from the Program Coordinator on the status of the external emergency and the nature of assistance requested or anticipated.

☐ Identify the type(s) of assistance to be made available and any limits on assistance and advise the Program Coordinator.

☐ Determine if the Disaster Assistance Team (DAT) should be activated and to what extent, and advise the Program Coordinator.

☐ Identify any pre-established temporary policies (e.g., Administrative Leave with Pay, etc.) to be implemented, and advise the Program Coordinator.

☐ Identify any issues to be addressed by the Policy Group and/or the Office of the President (OP).

☐ Contact the OP to:
  o Advise of activation of the DAT and the nature of the assistance to be offered/provided by campus.
  o Identify any OP policies, procedures and/or priorities to be implemented and/or websites to be monitored.
  o Identify any external groups or organizations designated to coordinate specific forms of assistance (e.g., AAMC for list of schools accepting temporary medical student admissions, etc.)
  o Determine method and schedule for providing regular briefings to the OP.

☐ Brief the Program Coordinator on the outcome of discussion with OP and establish a schedule for obtaining subsequent briefings from the Program Coordinator.

☐ Establish a schedule for briefing the Policy Group, if indicated.
☐ Direct Program Coordinator to schedule a meeting or establish a telephone conference call to notify and brief the Policy Group.

☐ Brief the Policy Group on the situation:
  o Report on any OP policies, procedures or priorities to be implemented.
  o Obtain input on proposed draft policies, if indicated.
  o Advise of the schedule for the next briefing, including method (conference call or meeting).

☐ Consult with Program Coordinator and Public Information/Media Coordinator on preparing a message to the campus community regarding the situation.

☐ Obtain regular briefings from the Program Coordinator.

☐ Keep OP and Policy Group apprised (via email, conference call or personal meetings) of the situation.
DISASTER ASSISTANCE TEAM CHECKLIST

POLICY GROUP

☐ CHANCELLOR
☒ POLICY GROUP
☐ LEGAL COUNSEL

☐ Upon notification, join the Policy Group meeting or telephone conference call.

☐ Obtain briefing from the Chancellor on the status of the external emergency and the nature of assistance to be provided by campus.

☐ Identify any limits or conditions on the assistance to be provided/offered by campus.

☐ Provide policy direction to the Chancellor, as requested.

☐ Advise Chancellor on strategic planning initiatives, as warranted.

☐ Establish temporary campus emergency policies, if indicated.

☐ Participate in scheduled briefings by the Chancellor, as requested.
DISASTER ASSISTANCE TEAM CHECKLIST

POLICY GROUP

☐ CHANCELLOR
☐ POLICY GROUP
✔ LEGAL COUNSEL

LEGAL COUNSEL

☐ Upon notification, join the Policy Group meeting or telephone conference call.

☐ Obtain briefing from the Chancellor on the status of the external emergency and the nature of assistance to be provided by campus.

☐ Initiate and maintain an incident log.

☐ Identify any legal limits on the assistance to be provided/offered by the campus and advise the Chancellor.

☐ Advise Chancellor, Policy Group and Program Coordinator on issues related to laws, regulations, risk and liability, as necessary.

☐ Provide legal review and input on temporary campus emergency policies and procedures.

☐ Participate in scheduled briefings by the Chancellor, as requested.
DISASTER ASSISTANCE TEAM CHECKLIST

MANAGEMENT TEAM

☑ PROGRAM COORDINATOR
☐ ASSISTANT CHANCELLOR
☐ MEDICAL DIRECTOR
☐ LIAISON
☐ PUBLIC INFORMATION/MEDIA

PROGRAM COORDINATOR

☐ Receive notification of emergency event and conduct an initial assessment of potential needs.

☐ Initiate and maintain an incident log.

☐ Notify the Chancellor (or his successor, the Executive Vice Chancellor) of the nature and scope of the event, including the types of assistance requested or anticipated.

☐ Confer with the Chancellor on any limits on the types of assistance to be made available and any temporary emergency policies or procedures required.

☐ Determine the extent of Disaster Assistance Team (DAT) activation required and obtain the Chancellor’s approval to activate, if warranted.

☐ Identify the appropriate method for briefing the DAT (e.g., face-to-face meeting or telephone conference call).

☐ Contact Liaison and Public Information/Media Coordinator to advise of information to be emailed to designated M/C and campus POCs:
  - Activation of the DAT, including extent (full or partial)
  - Name and contact information for Program Coordinator
  - Type of assistance to be made available, including any limitations or conditions
  - Temporary campus policies or procedures being implemented
  - Need to activate campus disaster assistance website
  - Arrangements for initial briefing (e.g., meeting or phone conference)
q Contact the OP Emergency Manager to advise of DAT activation, including:
  o Triggering event and institutions impacted
  o Type of any assistance requested, including source
  o Type of assistance being made available, including any limitation
  o Temporary campus policies and/or procedures being implemented or considered
  o URL for campus disaster assistance website

q Conduct briefing for activated DAT members:
  o Ensure that all required functions are staffed.
  o If necessary, assign available staff to perform more than one function until assigned primary or alternate staff is available.
  o Provide briefing on the current situation.
  o Advise team members of the types of assistance to be made available.
  o Direct team to assess and report on the status and availability of applicable forms of assistance and any eligibility criteria, limitations and/or conditions.

q Obtain reports from designated campus organization points of contact (POCs) on the status and availability of the type(s) of assistance to be made available

q Keep Chancellor apprised of the situation.

q Ensure that communication and coordination links are established and maintained with involved campus organization POCs and key external agencies.
DISASTER ASSISTANCE TEAM CHECKLIST

MANAGEMENT TEAM

- PROGRAM COORDINATOR
- ASSISTANT CHANCELLOR
- MEDICAL DIRECTOR
- LIAISON
- PUBLIC INFORMATION/MEDIA

ASSISTANT CHANCELLOR

- Upon notification, join the Policy Group meeting or telephone conference call.
- Initiate and maintain an incident log.
- Serve as Chancellor's liaison with the Policy Group and Legal Counsel.
- Brief Chancellor and Program Coordinator, as warranted.
- Identify any issues to be discussed and/or resolved by the DAT, Chancellor, Policy Group and/or the OP.
- Confer with OP and/or other appropriate personnel and institutions to identify any external sources for coordinating specific types of assistance (e.g., medical and non-medical volunteers, laboratory space, etc.).
- Advise Liaison and Program Coordinator of any external sources designated to coordinate specific forms of assistance.
- Monitor regularly the websites of any external institutions, associations, etc., for updated information.
- Participate in scheduled DAT briefings, as requested.
DISASTER ASSISTANCE TEAM CHECKLIST

MANAGEMENT TEAM

☐ PROGRAM COORDINATOR
☐ ASSISTANT CHANCELLOR
☑ MEDICAL DIRECTOR
☐ LIAISON
☐ PUBLIC INFORMATION/MEDIA

MEDICAL DIRECTOR

☐ Upon notification, join the DAT meeting or telephone conference call.
☐ Obtain briefing from the Chancellor on the status of the external emergency and the nature of assistance to be provided/offered by the campus.
☐ Initiate and maintain an incident log.
☐ Confer with M/C Coordinator and Program Coordinator on any health and/or medical issues that may impact on the M/C and/or campus community.
☐ If requested, recruit physician volunteers for disaster relief assignments.
☐ Identify any external sources (e.g., AAMC) for coordinating specific types of assistance (e.g., medical volunteers, patient transfers, etc.).
☐ Advise Liaison and Program Coordinator of any external sources designated to coordinate specific forms of assistance.
☐ Monitor regularly the websites of any external institutions, associations, etc., for updated information.
☐ Participate in scheduled DAT briefings, as requested.
DISASTER ASSISTANCE TEAM CHECKLIST

MANAGEMENT TEAM

☐ PROGRAM COORDINATOR
☐ ASSISTANT CHANCELLOR
☐ MEDICAL DIRECTOR
☒ LIAISON
☐ PUBLIC INFORMATION/MEDIA

LIAISON

☒ Receive notification and initial briefing from the Program Coordinator.
☐ Join the DAT meeting or telephone conference call.
☐ Obtain briefing from the Program Coordinator on the status of the external emergency and the nature of assistance to be provided/offered by the campus.
☐ Initiate and maintain an incident log.
☐ Establish and maintain a communications and coordination link with the OP and with appropriate external organizations for posting assistance available from the M/C and campus.
☐ Identify any external sources (e.g., AAMC) for coordinating specific types of assistance (e.g., medical volunteers, patient transfers, etc.).
☐ Advise Program Coordinator of any external sources designated to coordinate specific forms of assistance.
☐ Consult with Public Information/Media Coordinator and Program Coordinator on:
  o Information to be emailed to designated M/C and campus POCs
  o Information to be distributed externally (e.g., post specific forms of assistance available on designated association websites, etc.)
☐ Obtain updated Situation Reports from Planning Team Leader and distribute to appropriate external agencies and individuals.
☐ Monitor regularly the websites of any external institutions, associations, etc., for updated information.
☐ Participate in scheduled DAT briefings, as requested.
DISASTER ASSISTANCE TEAM CHECKLIST

MANAGEMENT TEAM

☐ PROGRAM COORDINATOR
☐ ASSISTANT CHANCELLOR
☐ MEDICAL DIRECTOR
☐ LIAISON
☐ PUBLIC INFORMATION/MEDIA

PUBLIC INFORMATION/MEDIA

☐ Receive notification and initial briefing from the Program Coordinator.
☐ Join the DAT meeting or telephone conference call.
☐ Obtain briefing from the Program Coordinator on the status of the external emergency and the nature of assistance to be provided/offered by the campus.
☐ Initiate and maintain an incident log.
☐ Consult with Program Coordinator on a notification message to the campus leadership and community regarding:
  - Activation of the DAT, including level (e.g., partial or full) and nature of the event
  - Name and contact information for Program Coordinator
  - Name, contact information and website URL for the DAT coordinators for specific forms of assistance
  - Type of assistance to be available, including any limitations
  - Any temporary OP or campus policies or procedures to be implemented
  - The URL for the campus-wide disaster assistance web portal, including an estimated time when it will be activated
  - Request recipients to notify sender when message is read
  - Forward all replies to the DAT Planning & Intelligence function to be included in event record
☐ Prepare, and, following approval by the Program Coordinator, disseminate the email notice via email and appropriate websites (e.g., campus home page and disaster assistance website).
☐ With support from IT, complete and activate the pre-designed campus-wide disaster assistance web portal and DAT email address.
☐ Ensure that web portal is linked to campus Home Page and websites activated for the specific types of campus assistance.
☐ Monitor and update the web portal on a regular basis and as needed.
• Review and respond to email messages to the DAT. Forward requests for and offers of assistance to the designated POC. Copy appropriate messages to the Liaison.

• Prepare and disseminate news releases and other information bulletins approved by the Program Coordinator to the media and the campus community.

• Monitor regularly the websites of any external institutions, associations, etc., for updated information.

• Participate in scheduled DAT briefings, as requested.
DISASTER ASSISTANCE TEAM CHECKLIST
OPERATIONS TEAM

☑ OPERATIONS TEAM LEADER/ACADEMIC COORDINATOR
☐ REGISTRAR
☐ SCHOOL DESIGNATES
☐ RESEARCH
☐ HOUSING
☐ MEDICAL CENTER OPERATIONS

OPS TEAM LEADER/ACADEMIC COORDINATOR

☐ Upon notification, join the DAT meeting or telephone conference call.

☐ Obtain briefing from the Program Coordinator on the status of the external emergency and the nature of assistance to be provided/offered by the campus.

☐ Initiate and maintain an incident log.

☐ Determine the extent of Operations Team staffing required and notify or direct available staff to notify team members as indicated.

☐ If necessary, assign available staff to one or more Ops Team functions and provide a briefing on the situation.

☐ Identify and resolve any outstanding issues associated with specific types of assistance. Request input or support from Program Coordinator if necessary.

☐ Coordinate academic personnel issues with school designates as necessary.

☐ Conduct regular Ops Team briefings to exchange information and update status reports from each function.

☐ Share information with the Planning & Intelligence Team Leader for preparation of Action Plans and regular Situation Reports.

☐ Confer with Planning Team Leader on development of Action Plans for each operational period.

☐ Participate in scheduled DAT briefings, as requested.
DISASTER ASSISTANCE TEAM CHECKLIST
OPERATIONS TEAM

☐ OPERATIONS TEAM LEADER/ACADEMIC COORDINATOR
☑ REGISTRAR
☐ SCHOOL DESIGNATES
☐ RESEARCH
☐ HOUSING
☐ MEDICAL CENTER OPERATIONS

REGISTRAR

☐ Participate in scheduled DAT briefings, as requested.
☐ Upon notification, join the DAT meeting or telephone conference call.
☐ Obtain briefing from the Program Coordinator on the status of the external emergency and the nature of assistance to be provided/offered by the campus.
☐ Initiate and maintain an incident log.
☐ Confer with School and Graduate Studies Designates to ensure that they have addressed the following issues when considering the admission of displaced students:
  o Approval from home institution for temporary admission to an alternate school.
  o Admission status (e.g., visitor).
  o Tuition and other fees
  o Financial aid
  o Health care
  o Liability
☐ Forward the information in the bullet above to the Program Coordinator, Public Information/Media Coordinator and Liaison for dissemination to appropriate M/C and campus organization POCs and external organizations for website posting.
☐ Summarize and track all admissions.
☐ Ensure that all staff in unit are aware of how to contact you and to refer all inquiries regarding admission of displaced students to you.
☐ Participate in scheduled Team briefings, as requested.
DISASTER ASSISTANCE TEAM CHECKLIST

OPERATIONS TEAM

☐ OPERATIONS TEAM LEADER/ACADEMIC COORDINATOR
☐ REGISTRAR
☑ SCHOOL DESIGNATES
☐ RESEARCH
☐ HOUSING
☐ MEDICAL CENTER OPERATIONS

SCHOOL DESIGNATES

☐ Participate in scheduled Team briefings, as requested.
☐ Upon notification, join the DAT meeting or telephone conference call.
☐ Obtain briefing from the Program Coordinator on the status of the external emergency and the nature of assistance to be provided/offered by the campus.
☐ Initiate and maintain an incident log.
☐ Confer with the Dean to discuss and identify the type(s) of assistance, if any, to be offered, including any limitations or conditions. Address the following issues when considering the types of assistance to be offered:
  o Classification and total number of students eligible for temporary admission (graduate and professional students, post-doctoral fellows, residents)
  o Approval from home institution for temporary admission
  o Admission status (e.g., visitor)
  o Tuition and other fees
  o Clinical rotations
  o Availability of financial aid
  o Educational resources
  o Health care
  o Liability
  o Accommodations for displaced academics
  o Ability to accept and manage research grants
  o Medical and non-medical volunteers available for disaster relief organizations

☐ Determine the type(s) of assistance to be offered, including any eligibility criteria and/or conditions, limitations and other considerations.
- Attempt to contact impacted institutions to determine if there are objections to providing assistance on a temporary basis, and to identify any professional associations or other organizations (e.g., AAMC) designated to act as a central location for posting information on schools that are accepting displaced students.

- Forward a description of the type(s) of assistance (and quantity) available, including any limitations or conditions, to the Program Coordinator, Public Information/Media Coordinator and Liaison for dissemination to appropriate M/C and campus organization POCs and external organizations for website posting.

- Provide Liaison with the name and URL for any professional associations or other organizations for posting available assistance, including campus contact name, email address, website and phone number.

- Complete and activate any pre-designed school disaster assistance website; include URLs for other campus organizations offering other forms of assistance (e.g., housing, financial aid, etc.).

- Summarize and track all admissions. Provide Program Coordinator with summary of the number of students, etc. accommodated, including the types of assistance provided.

- Ensure that all school/division staff are aware of how to contact you and to refer all inquiries regarding admission of displaced students to you.

- Participate in scheduled Team briefings, as requested.
DISASTER ASSISTANCE TEAM CHECKLIST

OPERATIONS TEAM

☐ OPERATIONS TEAM LEADER/ACADEMIC COORDINATOR
☐ REGISTRAR
☐ SCHOOL DESIGNATES
☐ RESEARCH
☐ HOUSING
☐ MEDICAL CENTER OPERATIONS

RESEARCH

☐ Upon notification, join the DAT meeting or telephone conference call.

☐ Obtain briefing from the Program Coordinator on the status of the external emergency and the nature of assistance to be provided/offered by the campus.

☐ Initiate and maintain an incident log.

☐ Confer with appropriate department/unit heads to identify ability to accommodate researchers, provide laboratory space and/or small animal care, etc. Address the following issues when considering the types of assistance to be offered:

  o Classification, total number and sponsorship available for temporary relocation of researchers
  o Approval from home institution for temporary relocation
  o Number and types of laboratory spaces available
  o Number and type of accommodations for small animals
  o Availability of financial aid
  o Ability to accept and manage research grants

☐ Determine the type(s) of assistance to be offered, including any eligibility criteria and/or conditions, limitations and other considerations.

☐ Attempt to contact impacted institutions to determine if there are objections to accepting displaced researchers (with grant funding, possibly) on a temporary basis, and to identify any professional associations or other organizations (e.g., American Society for Cell Biology) designated to act as a central location or clearinghouse for posting information on institutions that are accepting displaced researchers, providing laboratory space and/or small animal care, etc.

☐ Forward a description of the type(s) of assistance (and quantity) available, including any limitations or conditions, to the Program Coordinator, Public
Information/Media Coordinator and Liaison for dissemination to appropriate M/C and campus organization POCs and external organizations for website posting.

☐ Provide Liaison with the name and URL for any professional associations or other organizations for posting available assistance, including campus contact name, email address, website and phone number.

☐ Complete and activate any pre-designed department disaster assistance website; include URLs for other campus organizations offering other forms of assistance (e.g., housing, financial aid, etc.).

☐ Summarize and track all assistance provided.

☐ Provide Program Coordinator with a summary of the assistance provided.

☐ Ensure that all department/unit staff are aware of how to contact POC and to refer all inquiries regarding assistance to the POC.

☐ Participate in scheduled Team briefings, as requested.
DISASTER ASSISTANCE TEAM CHECKLIST

OPERATIONS TEAM

☐ OPERATIONS TEAM LEADER/ACADEMIC COORDINATOR
☐ REGISTRAR
☐ SCHOOL DESIGNATES
☐ RESEARCH
☑ HOUSING
☐ MEDICAL CENTER OPERATIONS

HOUSING

☐ Upon notification, join the DAT meeting or telephone conference call.

☐ Obtain briefing from the Program Coordinator on the status of the external emergency and the nature of assistance to be provided/offered by the campus.

☐ Initiate and maintain an incident log.

☐ Confer with department head to identify the availability of housing for students and faculty. Address the following issues when considering the availability of housing:
  - Applicable fees
  - Lease terms
  - Restrictions (e.g., no pets)
  - Special considerations (e.g., disabled accessible units, etc.)

☐ Forward information concerning the number and types of housing units available, including any applicable fees, restrictions, conditions, etc. to the Program Coordinator, Public Information/Media Coordinator and Liaison for dissemination to appropriate M/C and campus organization POCs and external organizations for website posting.

☐ Summarize and track all assistance provided.

☐ Provide Program Coordinator with a summary of the assistance provided.

☐ Ensure that all department/unit staff are aware of how to contact Housing POC and to refer all inquiries regarding assistance to the POC.

☐ Participate in scheduled Team briefings, as requested.
DISASTER ASSISTANCE TEAM CHECKLIST

OPERATIONS TEAM

☐ OPERATIONS TEAM LEADER/ACADEMIC COORDINATOR
☐ REGISTRAR
☐ SCHOOL DESIGNATES
☐ RESEARCH
☐ HOUSING
☒ MEDICAL CENTER OPERATIONS

MEDICAL CENTER OPERATIONS

☐ Upon notification, join the DAT meeting or telephone conference call.

☐ Obtain briefing from the Program Coordinator on the status of the external emergency and the nature of assistance to be provided/offered by the campus.

☐ Initiate and maintain an incident log.

☐ Confer with the M/C and Medical Director to discuss and identify the type(s) of assistance, if any, to be offered, including any limitations or conditions. Address the following issues when considering the types of assistance to be offered:
  
  o Number and types of patients that can be accommodated
  o Availability of staff and admitting physicians to care for transfer patients
  o Availability of employment opportunities for disaster victims
  o Medical records
  o Insurance coverage
  o Physician and non-physician, medical volunteers available for disaster relief assignments
  o Volunteer sponsorship, credentialing, liability and leave with pay

☐ Determine the type(s) of assistance to be offered, including any eligibility criteria and/or conditions, limitations and other considerations.

☐ If indicated, consult with San Francisco Department of Public Health (DPH) to identify any public health measures to be implemented.
Identify any professional associations or other organizations (e.g., NIH) designated to act as a central location for coordinating patient transfers and/or posting information on assistance available from hospitals and medical centers.

Forward a description of the type(s) of assistance (and quantity) available, including any limitations or conditions, to the Program Coordinator, Public Information/Media Coordinator and Liaison for dissemination to appropriate campus organization POCs, OP and external organizations for website posting.

Provide Liaison with the name and URL for any professional associations or other organizations for posting available assistance, including M/C contact name, email address, website and phone number.

Complete and activate any pre-designed M/C disaster assistance website; include URLs for other campus organizations offering other forms of assistance (e.g., housing, financial aid, etc.).

Summarize and track all patient admissions and other assistance provided. Provide Program Coordinator with a summary of the number of patients, staff, volunteers etc., accommodated or provided, including the types of assistance provided.

Ensure that all M/C staff are aware of how to contact the designated M/C POC and/or Medical Director, and to refer all inquiries related to M/C assistance to the POC.

Consult with the Medical Director as necessary.

Participate in scheduled M/C and DAT briefings, as requested.

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**DISASTER ASSISTANCE TEAM CHECKLIST**
PLANNING & INTELLIGENCE TEAM

☑ PLANNING TEAM LEADER
☐ SITUATION STATUS

PLANNING TEAM LEADER

☐ Upon notification, join the DAT meeting or telephone conference call.

☐ Obtain briefing from the Program Coordinator on the status of the external emergency and the nature of assistance to be provided/offered by the campus.

☐ Initiate and maintain an incident log.

☐ Determine if additional staff is required to perform the Situation Status function and notify assigned team member, if necessary.

☐ **When performing the Situation Status function:** Consult with the Program Coordinator and Operations Team Leader for an overall assessment of the situation, including the nature and extent of assistance provided and/or offered by the campus and M/C.

☐ Establish and maintain a central event document repository and document DAT activities.

☐ **When performing the Situation Status function:** Obtain updated status information from all DAT Leaders to prepare Situation Status Reports.

☐ **When performing the Situation Status function:** Forward Situation Status Reports to the Public Information/Media Coordinator for dissemination to DAT members and posting on the campus-wide disaster assistance website, and to the Liaison for distribution to appropriate external agencies/organizations (e.g., OP, SF DPH, etc.).

☐ Consult with the Operations Team on development of Action Plans for each operational period.

☐ Following approval by the Program Coordinator, distribute the Action Plan to all DAT members.

☐ Participate in scheduled DAT briefings, as requested.

DISASTER ASSISTANCE TEAM CHECKLIST
PLANNING & INTELLIGENCE TEAM

☐ PLANNING TEAM LEADER
☑ SITUATION STATUS

SITUATION STATUS

☐ Upon notification, join the DAT meeting or telephone conference call.

☐ Obtain briefing from the Planning Team Leader on the status of the external emergency and the nature of assistance to be provided/offered by the campus.

☐ Initiate and maintain an incident log.

☐ Consult with the Program Coordinator and Operations Team Leader for an overall assessment of the situation, including the nature and extent of assistance provided and/or offered by the campus and M/C.

☐ Obtain updated status information from the Operations Team function Coordinators and prepare Situation Status Report for review and approval by the Program Coordinator.

☐ Forward Situation Status Reports to the Public Information/Media Coordinator for dissemination to DAT members and posting on the campus-wide disaster assistance website, and to the Liaison for distribution to appropriate external agencies/organizations (e.g., OP, SF DPH, etc.).

☐ Consult with the Operations Team on development of Action Plans for each operational period.

☐ Following approval by the Program Coordinator, distribute the Action Plan to all DAT members.

☐ Participate in scheduled DAT briefings, as requested.
DISASTER ASSISTANCE TEAM CHECKLIST

RESOURCES & LOGISTICS TEAM

- LOGISTICS TEAM LEADER
- TELECOMMUNICATIONS & DATA NETWORKS
- HUMAN RESOURCES
- SUPPLIES/EQUIPMENT

LOGISTICS TEAM LEADER

- Upon notification, join the DAT meeting or telephone conference call.
- Obtain briefing from the Program Coordinator on the status of the external emergency and the nature of assistance to be provided/ Offered by the campus.
- Initiate and maintain an incident log.
- Identify the team functions to be staffed, notify and brief assigned team members.
- Consult with the DAT Leaders for an assessment of the types and quantities of supplies and equipment needed by the campus and M/C.
- Consult with the Program Coordinator to identify any restrictions on filling requests for specific resources and advise the Supplies & Equipment Coordinator.
- When performing the Supplies & Equipment function: Arrange for personnel and material resources, as requested and approved by the Program Coordinator.
- Consult with the Finance Team Leader regarding any special process for ordering equipment, supplies, transportation and other resources, and advise the Supplies & Equipment Coordinator.
- When performing the Supplies & Equipment function: Document and track all personnel, supplies and equipment purchased and/or deployed for this event. Ensure that all resources are accounted for and/or returned, as appropriate, at the conclusion of the emergency.
- Participate in scheduled DAT briefings, as requested.
DISASTER ASSISTANCE TEAM CHECKLIST

RESOURCES & LOGISTICS TEAM

☐ LOGISTICS TEAM LEADER
☑ TELECOMMUNICATIONS & DATA NETWORKS
☐ HUMAN RESOURCES
☐ SUPPLIES/EQUIPMENT

TELECOMM & DATA NETWORKS

☐ Upon notification, join the DAT meeting or telephone conference call.
☐ Obtain briefing from the Resources & Logistics Team Leader on the status of the external emergency, the nature of assistance to be provided/offered by the campus, and the likely IT support to be requested by DAT members.
☐ Initiate and maintain an incident log.
☐ Provide telephone and network support and troubleshooting for DAT members.
☐ Assist Public Information/Media Coordinator with completing and activating a pre-designed, standby, campus-wide disaster assistance web portal and email address.
☐ Advise Logistics Team Leader of any IT-related issues to be resolved.
☐ Participate in scheduled DAT briefings, as requested.
DISASTER ASSISTANCE TEAM CHECKLIST

RESOURCES & LOGISTICS TEAM

☐ LOGISTICS TEAM LEADER
☐ TELECOMMUNICATIONS & DATA NETWORKS
☑ HUMAN RESOURCES
☐ SUPPLIES/EQUIPMENT

HUMAN RESOURCES

☐ Upon notification, join the DAT meeting or telephone conference call.

☐ Obtain briefing from the Resources & Logistics Team Leader on the status of the external emergency, the nature of assistance to be provided/offered by the campus, and the likely HR support to be requested by DAT members.

☐ Initiate and maintain an incident log.

☐ Advise DAT members on current OP and campus employment policies related to Administrative Leave With and Without Pay, and similar policies.

☐ Confer with the Public Information/Media Coordinator on preparing and distributing a bulletin to the campus community regarding available employee assistance programs for those impacted by the emergency.

☐ Arrange for crisis incident stress debriefings and crisis counseling for employees impacted by the emergency.

☐ Recruit non-medical volunteers to fill disaster assistance relief assignments and to track assigned volunteers.

☐ Provide appropriate DAT members with information on employment opportunities with the campus and/or M/C for those displaced by the emergency.

☐ Advise Logistics Team Leader of any related issues to be resolved.

☐ Participate in scheduled DAT briefings, as requested.
DISASTER ASSISTANCE TEAM CHECKLIST

RESOURCES & LOGISTICS TEAM

☐ LOGISTICS TEAM LEADER
☐ TELECOMMUNICATIONS & DATA NETWORKS
☐ HUMAN RESOURCES
☒ SUPPLIES/EQUIPMENT

SUPPLIES/EQUIPMENT

☐ Upon notification, join the DAT meeting or telephone conference call.

☐ Obtain briefing from the Resources & Logistics Team Leader on the status of the external emergency, the nature of assistance to be provided/offered by the campus, and the likely resource support to be requested by DAT members.

☐ Initiate and maintain an incident log.

☐ Consult with the Logistics Team Leader regarding any restrictions on filling requests for specific resources.

☐ Identify potential sources and costs for resources likely to be requested.

☐ Arrange for personnel and material resources, as requested and approved by the Logistics Team Leader.

☐ Consult with the Logistics Team Leader regarding any special process for ordering equipment, supplies, transportation and other resources.

☐ Document and track all personnel, supplies and equipment purchased and/or deployed for this event. Ensure that all resources are accounted for and/or returned, as appropriate, at the conclusion of the emergency.

☐ Participate in scheduled DAT briefings, as requested.
DISASTER ASSISTANCE TEAM CHECKLIST

FINANCE TEAM

- FINANCE TEAM LEADER
- ACCOUNTING
- FINANCIAL AID
- PURCHASING
- GRANTS & PROGRAMS

FINANCE TEAM LEADER

- Upon notification, join the DAT meeting or telephone conference call.
- Obtain briefing from the Program Coordinator on the status of the external emergency and the nature of assistance to be provided/offered by the campus.
- Initiate and maintain an incident log.
- Identify the team functions to be staffed and notify assigned team members.
- Assign staff to one or more functions, as needed, and brief on assignment.
- Identify any special process for ordering equipment, supplies, transportation and other resources and advise Logistics Team Leader.
- Consult with the Program Coordinator to identify any restrictions on filling requests for specific resources and advise the Purchasing Coordinator.
- Arrange for personnel and material resources, as requested and approved by the Program Coordinator.
- Ensure that all DAT members are aware of any finance documentation requirements.
- Participate in scheduled DAT briefings, as requested.
DISASTER ASSISTANCE TEAM CHECKLIST

FINANCE TEAM

☐ FINANCE TEAM LEADER
☑ ACCOUNTING
☐ FINANCIAL AID
☐ PURCHASING
☐ GRANTS & PROGRAMS

ACCOUNTING

☐ Upon notification, join the DAT meeting or telephone conference call.

☐ Obtain briefing from the Finance Team Leader on the status of the external emergency and the nature of assistance to be provided/offered by the campus.

☐ Initiate and maintain an incident log.

☐ Create and implement any special documentation needed to support disaster assistance claims and applications.

☐ Advise DAT members of any special procedures to be followed for documenting all costs associated with providing disaster assistance.

☐ Identify, document and track any extraordinary costs associated with providing disaster assistance.

☐ Participate in scheduled DAT briefings, as requested.
DISASTER ASSISTANCE TEAM CHECKLIST

FINANCE TEAM

☐ FINANCE TEAM LEADER
☐ ACCOUNTING
☑ FINANCIAL AID
☐ PURCHASING
☐ GRANTS & PROGRAMS

☐ FINANCIAL AID

☐ Upon notification, join the DAT meeting or telephone conference call.

☐ Obtain briefing from the Finance Team Leader on the status of the external emergency and the nature of assistance to be provided/offered by the campus.

☐ Initiate and maintain an incident log.

☐ Identify all sources of financial aid for any displaced students admitted to UCSF on a temporary basis.

☐ Advise appropriate DAT members of financial assistance-related documentation requirements.

☐ Arrange for assistance to be provided to displaced students to complete required financial assistance documents.

☐ Identify, document and track any financial assistance provided to displaced students.

☐ Participate in scheduled DAT briefings, as requested
DISASTER ASSISTANCE TEAM CHECKLIST

FINANCE TEAM

☐ FINANCE TEAM LEADER
☐ ACCOUNTING
☐ FINANCIAL AID
☒ PURCHASING
☐ GRANTS & PROGRAMS

PURCHASING

☐ Upon notification, join the DAT meeting or telephone conference call.

☐ Obtain briefing from the Finance Team Leader on the status of the external emergency, the nature of assistance to be provided/offered by the campus, any limitations on resources to be purchased, and the dollar limit for making purchases without the approval of the Finance Team Leader or Program Coordinator.

☐ Initiate and maintain an incident log.

☐ Advise DAT members of any special documentation required for disaster assistance-related purchases.

☐ Process purchase orders, in accordance with any special disaster assistance procedures.

☐ Maintain documentation needed to support potential disaster assistance insurance claims and applications to state and federal governments.

☐ Participate in scheduled DAT briefings, as requested
DISASTER ASSISTANCE TEAM CHECKLIST

FINANCE TEAM

☐ FINANCE TEAM LEADER
☐ ACCOUNTING
☐ FINANCIAL AID
☐ PURCHASING
☑ GRANTS & PROGRAMS

GRANTS & PROGRAMS

☐ Upon notification, join the DAT meeting or telephone conference call.

☐ Obtain briefing from the Finance Team Leader on the status of the external emergency and the nature of assistance to be provided/offered by the campus.

☐ Initiate and maintain an incident log.

☐ If displaced researchers are to be relocated to UCSF, determine if any grant funds can be transferred to the campus temporarily, as well.

☐ Implement process to transfer grant funds and programs to UCSF.

☐ Advise appropriate DAT members and/or campus department heads of any special documentation required for grant-funded research.

☐ Participate in scheduled DAT briefings, as requested
## ANNEX DMH
### DISASTER MENTAL HEALTH PLAN

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### PURPOSE

The purpose of the University of California San Francisco (UCSF) Disaster Mental Health Plan is to prepare for and respond to the immediate mental health needs of UCSF staff, students, faculty and emergency responders across multiple UCSF campuses following a disaster or major emergency.

**Objective:** Train UCSF personnel to provide Psychological First Aid (PFA) to coworkers, displaced personnel and staff engaged in emergency response or emergency coordination before an individual's coping mechanisms to the stress of the event are overwhelmed. UCSF mental health professions will be available for Crisis Counseling for those individual for whom PFA is not effective.

**Goal:** Prevent or minimize the surge of UCSF worried-well upon the UCSF Medical Center.
This plan will focus on performing some or all components of two key mental health interventions that are essential to the success of an effective mental health response: Psychological First Aid (PFA) and Crisis Counseling. Both interventions are short-term, preventive interventions used during the response and recovery phases of disaster to mitigate the psychological impact of a disaster or traumatic event in individuals and communities (See Appendix A: Psychological First Aid and Appendix B: Crisis Counseling for details).

ASSUMPTIONS

- Psychological injuries can greatly exceed physical injuries in a disaster.
- Most people who experience emotional and mental health distress due to an emergency/disaster will recover without professional mental health interventions.
- The nature of the disaster will influence the impact of psychological injury (i.e. terrorism compared to earthquake).
- Few people seek mental health services for their mental health needs and are more likely to seek a medical provider following a disaster. Medical providers may experience a “surge” in the demand for medical care related to mental health needs.
- The mental health needs following a disaster will likely exceed existing capacity to provide mental health services; therefore, immediate post-disaster mental health services (i.e. Psychological First Aid) are likely to be delivered by both non-mental health professionals and mental health professionals.
- The role of UCSF in mental health preparedness and response should be a part of larger, multiagency mental health preparedness and response effort, thus UCSF will strive to coordinate with other city, state and federal governmental entities, as well as non-governmental entities.
- Psychological debriefing (Critical Incident Stress Debriefing) is not recommended as an intervention model due to its lack of demonstrated effectiveness, as well as its potential to cause additional psychological trauma.

UCSF AND SAN FRANCISCO MENTAL HEALTH RESOURCES

UCSF Medical Center

During and immediately following an emergency event the UCSF Medical Center Emergency Department (ED) will triage and treat presenting patients according to physical and mental health priorities. ED staff will be augmented or supported in delivering mental health care by Medical Center social services and pastoral care staff, Langley Porter mental health staff, and appropriate UCSF faculty. The Medical Center therefore cannot be expected to provide mental health interventions outside of the medical center to affected staff, students, faculty and visitors.
Ambulatory Care Center
Ambulatory Care Center (ACC) has a limited number mental health staff. During an emergency event ACC staff is likely to be supporting clinical or medical center emergency response operations. Campus EOC requests for ACC mental health professionals to support campus disaster mental health needs will be made through the Hospital Command Center (HCC).

UCSF Medical Center Spiritual Care Services
Medical Center Spiritual Care Services (SCS) comprised of approximately 20 staff with counseling skills. SCS staff will primarily provide services to inpatients and staff and support ED operations. SCS staff may be available on a limited basis to support campus disaster mental health needs.

Langley Porter Psychiatric Institute
Langley Porter Psychiatric Institute (LPPI) has approximately 300 mental health staff. During and immediately following an emergency event LPPI staff will be responsible for providing care to LPPI in-patients and out-patients. LPPI will continue providing clinical staff under its Consultation Liaison Service agreement to the Medical Center as well as and deploying additional LPPI mental health providers to augment UCSF Medical Center ED and inpatient operations. Campus EOC requests for LPPI mental health professionals to support campus disaster mental health needs will be made through the LPPI Department Operations Center.

Student Health and Counseling Services
Student Health and Counseling Services (SHCS) has approximately 4 counselors (1-2 usually on duty). SHCS staff will establish disaster mental health services to students via their Parnassus and Mission Bay SHCS Clinics, or an alternate care site. Upon request from the EOC, SHCS staff may be available on a limited basis to support campus disaster mental health needs.

Faculty Staff Assistance Program
Faculty Staff Assistance Program (FSAP) program has approximately five staff. FSAP will designate one or more staff to serve as the EOC Disaster Mental Health Coordinator (Refer to Part 6, Disaster Mental Health Coordinator functional checklist). During and immediately following an emergency event a senior FSAP staff member may be activated by the EOC to serve as the Disaster Mental Health Coordinator in the campus Emergency Operations Center (EOC). Other FSAP staff may provide services from their offices or be deployed to campus locations to provide Disaster Mental Health services to victims in support of Disaster Mental Health Teams (DMHT) and other Campus volunteers trained in PFA.

Faculty
The School of Nursing Psychiatric Mental Health (PMHN) program has six Faculty. The PMHN program will designate one or more staff to serve as the EOC Disaster Mental Health Coordinator. During and immediately following an emergency event a senior
PMHN Faculty member may be activated by the EOC to serve as the Disaster Mental Health Coordinator in the campus EOC. Other PMHN staff may be deployed to campus locations to provide Disaster Mental Health services to victims in support of DMHTs and other Campus volunteers trained in PFA. The School of Medicine Department of Psychiatry has 107 faculties. The Department of Psychiatry is not considered available emergency resources to the Campus during an emergency as faculty are assigned to LPPI clinical services. During and immediately following an emergency event a Faculty member may be activated by the EOC to serve as the Disaster Mental Health Coordinator in the campus EOC.

**Osher Center**

The UCSF Osher Center for Integrative Medicine may have limited number of mental health staff. During an emergency event Osher Center staff is likely to be supporting clinical or medical center emergency response operations. Campus EOC requests for Osher Center mental health professionals will be made through the HCC.

**San Francisco Department of Mental Health and San Francisco Department of Public Health**

The San Francisco County Mental Health Disaster Coordinators from the San Francisco Department of Mental Health and San Francisco Department of Public Health (DPH) has primary responsibility for the assessment and provision of coordinated emergency mental health services during a locally-designated emergency or disaster. Coordination occurs through the DPH Departmental Operations Center.

**UCSF DISASTER MENTAL HEALTH TEAM**

**Composition**

The UCSF Disaster Mental Health Team (DMHT) will comprise of staff, faculty, and students. Some DMHT members will be lay volunteers (non-mental health professionals) who receive training in Psychological First Aid or other elements of disaster mental health identified by the UCSF Disaster Mental Health Workgroup. Lay volunteers may come from the EAP Emergency Coordinators and Floor Wardens, CERT, ECT, and CAST members.

The DMHT will also comprise of UCSF mental health professionals (psychologists, LCSWs, Psychiatric Clinical Nurse Specialists, Psychiatric Nurse Practitioners, and pastoral care professionals) who are assigned or volunteer to provide crisis counseling or other appropriate mental health services to disaster victims and responders. The American Red Cross Foundations in Disaster Mental Health or similar training will be recommend or provided along with other trainings as identified by the Disaster Mental Health Workgroup.

A Disaster Mental Health Coordinator in the EOC will coordinate the activation, deployment, rotation, and support for DMHT members, and if necessary coordinate the transfer of victims to clinics and hospitals.
Activation

The EOC Disaster Mental Health Coordinator or in their absence the Health and Medical Branch Director will activate members of the DMHT as needed and assign team members to UCSF locations with affected populations to provide disaster mental health services.

DMHT members may spontaneously provide PFA by virtue of their co-location amongst victims as members of the EAP teams.

DMHT mental health professionals will be activated and deployed to serve as a referral and consultation support to lay DMHT members.

Team Recruitment, Development and Maintenance

A Disaster Mental Health Workgroup (DMHWG) comprised of representatives from FSAP, SHCS, SON, LPPI, PD/HSEM, Med Center, will oversee DMHT recruitment, training, development, maintenance and retention.

The PD/HSEM Division will maintain current rosters of DMHT members and coordinate training and development schedules.

The DMHWG will assist in development and implementation of DMHT training and development.

The PD/HSEM Division will maintain an active DMHT group in the WarnMe system for emergency alert and activation purposes.

CAMPUS COORDINATION OF THE DISASTER MENTAL HEALTH RESPONSE

- A Disaster Mental Health Coordinator will be activated to the Campus EOC, Operations Section, Health and Medical Branch.

- The Disaster Mental Health Coordinator will assess the disaster mental health needs of the UCSF community, recommend appropriate mental health services to the Branch Director, and coordinate activation and or deployment of UCSF mental health resources.

- The Disaster Mental Health Coordinator may develop situation awareness of the disaster mental health needs by communicating with EAP, CERT, CAST and DMHT members in the field.

- UCSF Disaster Mental Health consists primarily of psychological first aid and may be augmented by limited number of crisis counseling sessions (i.e. 1 - 4) by UCSF mental health providers to victims then referral to an external provider if indicated.

- Disaster Mental Health will be provided at temporary campus emergency care sites and shelters established at various campuses or employee population centers (i.e. China Basin), emergency operations centers, or if available, at provider clinics and offices.
• The Disaster Mental Health Coordinator will coordinate transportation of DMHT providers to other campus location with the Logistics Section, Transportation Unit.

• The Disaster Mental Health Coordinator will coordinate with the LPPI Department Operations Center or the HCC for the referral of victims from the field to LPPI who are in need of mental health care or LPPI hospitalization.

• UCSF Disaster Mental Health operations and coordination with local, State and Federal mental health response organizations shall be coordinated at the EOC through the Disaster Mental Health Coordinator.

• The Disaster Mental Health Coordinator may need to coordinate with non-governmental, and/or governmental disaster mental health entities. Such entities include the San Francisco Department of Mental Health and San Francisco Department of Public Health, California Department of Mental Health, private providers of mental health services, San Francisco General Hospital (SFGH) and San Francisco Veterans Affairs Medical Center, (SFVAMC), other area hospitals, National Disaster Medical System Disaster Mental Health Teams, disaster relief organizations, such as the American Red Cross, faith based organizations, community based organizations, and shelters.

Local Disasters

For locally designated emergencies or disasters, the UCSF Disaster Mental Health Coordinator will work with the designated disaster mental health coordinator for the City and County of San Francisco to ensure that preparedness, response, and recovery activities of UCSF are consistent and well-coordinated with the efforts of CCSF DPH. The following are key entities that the UCSF EOC may seek to coordinate with during the disaster mental health response:

• The County Mental Health Disaster Coordinator will assess and provide coordinated emergency mental health services during a locally-designated emergency or disaster.
• San Francisco Department of Mental Health
• San Francisco Department of Public Health (DPH) and it’s Community Hub Program
• American Red Cross (ARC)

State and/or Federally Declared Disasters

For state and/or federally declared emergencies, UCSF will work through the DPH Departmental Operations Center or other designated San Francisco EOC to request State or Federal disaster mental health assistance or grants. UCSF may coordinate with any State or Federal Disaster Mental Health agencies or teams deployed to UCSF to augment UCSF’s disaster mental health response. A summary of these State delineated procedures is as follows:

1. Identification of a Disaster Mental Health Coordinator within the UCSF EOC Operations Section, Health and Medical Branch
2. Establishing communication with the San Francisco DPH Departmental Operations Center where the San Francisco disaster mental health coordinator is located to coordinate mental health response needs.
3. Coordinating the deploying State and Federal Disaster Mental Health teams and personnel to augment UCSF disaster mental health functions
4. Ensuring ongoing communication and coordination with local, state, or federal disaster mental health coordinators as required.
5. In the event of a federally declared emergency, evaluate the need for and pursuing of funding for a FEMA Crisis Counseling Program (CCP) grant.
6. Coordinate the planned demobilization of San Francisco, State and Federal disaster mental health teams and personnel with the UCSF EOC Health and Medical Branch Director and responsible local, state and federal partners.

PUBLIC EDUCATION AND MENTAL HEALTH CRISIS COMMUNICATION

1. UCSF will provide risk communication messages, pertinent mental health information (e.g. common versus intense or prolonged psychological reactions to disaster, adaptive coping strategies, etc.) and referral information to the UCSF community via print, internet, hotline and UCSF media (See Annex CC: Crisis Communication Plan).
2. UCSF will ensure that messages are crafted in a manner that does not cause unnecessary psychological harm.
3. UCSF will monitor rumors and/or any misinformation that could exacerbate psychological distress, and will respond as required.
4. UCSF will update the UCSF website where appropriate if the disaster warrants the need.

Additionally, UCSF will ensure that key messages unique to disaster mental health are provided to the UCSF Community in a timely fashion so that UCSF achieves its goals for mitigating the psychological impact of disaster. The development of messages will avoid the use of stigmatizing jargon or words that inappropriately imply emotional problems. Such messages include, but are not limited to, the following:
- Ongoing preparedness activities
- Actions and response activities
- Risk and protective measures
- Common psychological reactions
- Common vs. intense or prolonged psychological reactions
- Adaptive and maladaptive coping strategies
- Help-seeking indications, and where to go for help
- Availability of services to appropriate segments of the population

UCSF DISASTER MENTAL HEALTH SERVICES

Emergency Response Phase of the Disaster -
- Group presentations/talks to individuals affected by the current disaster at shelters, auditoriums, EOCs, Staging areas and other locations where victims and responder may be assembled. Disaster Mental Health Team member will distribute pamphlets on disaster stressors and coping tips, awareness of typical emotional and cognitive reactions to disasters, and resources available for assistance.
- Provision of Psychological First Aid by trained peers (EAP Emergency Coordinators & floor wardens), Campus Volunteer Emergency Response Team members (CERT,
CAST, ECT), as well as Hospital, Police and Facilities staff who may provide PFA to peers engaged in emergency response operations.

- Provision of crisis counseling or other crisis services by mental health professionals to victims in acute distress, for which PFA has not helped, and whose mental health condition warrants immediate care.
- Hospitalization at LPPI or other available medical centers/treatment facilities as determined by DMHT licensed mental health professionals.

Recovery Phase of the Disaster

- UCSF will primarily rely on referring affected employees, faculty and students to external mental health clinics and services.
- UCSF FSAP may provide other crisis mental health services by trained and certified mental health professionals and occupational peers of those occupational groups who were engaged in emergency response operations (i.e.: Med Center staff, Police, Facilities Engineers, SHS staff)
- UCSF may facilitate referral for personnel who need additional mental health services

Table 1. UCSF Disaster Mental Health Plan Resources

<table>
<thead>
<tr>
<th>Intervention:</th>
<th>Campus/Victim Disaster Stress Group Talks</th>
<th>Psychological First Aid</th>
<th>Crisis Counseling</th>
<th>Post Traumatic Stress Disorder Long Term care</th>
</tr>
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<tbody>
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<td>Human Resources:</td>
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<td>• EAP Team Members</td>
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<td></td>
<td>• CERT</td>
<td>• CERT</td>
<td>• ACC</td>
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<td></td>
<td>• CAST</td>
<td>• CAST</td>
<td>• FSAP</td>
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<tr>
<td></td>
<td>• SOD/SON/SOP/SOM students*</td>
<td>• Med Center Staff</td>
<td>• SHCS</td>
<td></td>
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<tr>
<td></td>
<td>• Faculty*</td>
<td>• ACC Staff</td>
<td>• LPPI Psych Residency*</td>
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<td></td>
<td>• House Staff*</td>
<td>• PD</td>
<td>• SON Psych NPs</td>
<td></td>
</tr>
<tr>
<td></td>
<td>• ACC Staff*</td>
<td>• Others</td>
<td></td>
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<tr>
<td>Printed Materials:</td>
<td>Need one page handouts on coping mechanisms &amp; resources for acute and long term MH support.</td>
<td>Need a Field Operations Guide for those trained in PFA</td>
<td>SON Mental Health Trauma Curriculum</td>
<td>To be determined by treating MH professional</td>
</tr>
<tr>
<td>Training &amp; Education:</td>
<td>DMH Work Group to identify PPT, pod casts, web-based training on use of group presentations in Disasters as an intervention</td>
<td>American Red Cross (ARC) PFA</td>
<td>ARC Foundations in Disaster Mental Health (FDMH)</td>
<td>NA</td>
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<tr>
<td></td>
<td>PFA training to be developed by SON PMHCNS faculty</td>
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* It is recognized most, if not all students, faculty, house staff, ACC staff may be actively engaged in supporting clinical operations during a disaster, however there may be some who can provide 15 - 30 minute presentations.
APPENDIX A: PSYCHOLOGICAL FIRST AID (PFA)

In the *Psychological First Aid Field Operations Guide* developed by the Terrorism Disaster Branch of the National Child Traumatic Stress Network and the National Center for PTSD, PFA is described as "...an evidence-informed modular approach for assisting children, adolescents, adults, and families in the immediate aftermath of disaster and terrorism. Psychological First Aid is designed to reduce the initial distress caused by traumatic events, and to foster short- and long-term adaptive functioning. Principles and techniques of Psychological First Aid meet four basic standards. They are: (1) consistent with research evidence on risk and resilience following trauma; (2) applicable and practical in field settings; (3) appropriate to developmental level across the lifespan; and (4) culturally informed and adaptable."

In this document, PFA core actions are noted, however, they must be used in a flexible manner that fits the specific needs of the individual(s). Below is an excerpt that lists these core actions:

**PSYCHOLOGICAL FIRST AID CORE ACTIONS**

1. **Contact and Engagement**
   Goal: To respond to contacts initiated by affected persons, or initiate contacts in a non-intrusive, compassionate, and helpful manner.

2. **Safety and Comfort**
   Goal: To enhance immediate and ongoing safety, and provide physical and emotional comfort.

3. **Stabilization (if needed)**
   Goal: To calm and orient emotionally-overwhelmed/distraught survivors.

4. **Information Gathering: Current Needs and Concerns**
   Goal: To identify immediate needs and concerns, gather additional information, and tailor Psychological First Aid interventions.

5. **Practical Assistance**
   Goal: To offer practical help to the survivor in addressing immediate needs and concerns.

6. **Connection with Social Supports**
   Goal: To help establish brief or ongoing contacts with primary support persons or other sources of support, including family members, friends, and community helping resources.

7. **Information on Coping**
   Goal: To provide information (about stress reactions and coping) to reduce distress and promote adaptive functioning.

8. **Linkage with Collaborative Services**
   Goal: To link survivors with needed services, and inform them about available services that may be needed in the future.
APPENDIX B: CRISIS COUNSELING

In the Crisis Counseling Program Guidance developed by CMHS, crisis counseling is defined as “a short-term intervention with individuals and groups experiencing psychological reactions to a major disaster and its aftermath.” FEMA’s CCP is guided by the concept that most people experiencing a psychological reaction are responding normally to an abnormal situation.

Below are excerpts from the Crisis Counseling Program Guidance that summarize the services most frequently funded by the CCP. Excerpts that describe staff roles and qualifications are presented as well.

Services

- **Individual Crisis Counseling Services** assist disaster survivors in understanding their current situation and reactions, reviewing their options, addressing their emotional support and linking with other individuals and agencies that may assist them. During individual services, crisis counseling staff are active listeners who provide emotional support.

- **Group Crisis Counseling Services** involves providing/facilitating support groups, meeting with citizens, working in classrooms with affected students, working with affected teachers and administrators after school, discussing disaster-related issues with families, assisting people in understanding their current situation and reactions, reviewing their options, addressing their emotional support and linking with other individuals and agencies who may provide assistance. Groups may be facilitated by a mental health professional, a paraprofessional or the group members themselves.

- **Education Services** include the distribution or presentation of information on the project or crisis counseling-related topics. Educational information may be provided through brochures, flyers posted in public areas, mailings and training to human service personnel such as the clergy or teachers. The media is often a partner in providing information through Public Service Announcements, newspaper articles and advertisements. Educational information may also be provided to groups of people. The key difference between group education services and group crisis counseling services is that project staff present psychoeducational information to groups rather than facilitate the sharing of experiences between members of the group.

- **Referrals** are a key component of the CCP. In most disasters, the majority of survivors have needs that can be met by short-term, relatively informal interventions. However, in some circumstances, some disaster survivors may need long-term, more formal mental health services that are beyond the scope of the Crisis Counseling Program. Survivors requiring longer-term, more formal mental health treatment should be referred to an appropriate agency or licensed mental health professional.

Staff Roles

The Role of the Outreach Worker

Sensitivity to the community's perception of mental health services is key in designing a successful Crisis Counseling Program. In designing a CCP, applicants should view "crisis counselors" and "outreach workers" as synonymous. Both should be providing crisis counseling services to survivors in a variety of locations through an outreach method of
service delivery. It may be more acceptable to some communities for "outreach workers" to provide crisis counseling services; other communities may be quite comfortable with "crisis counselors" providing these services. Either reference, outreach worker or crisis counselor, is acceptable in describing the individuals who will be providing services. Throughout this guidance, "outreach workers" and "crisis counselors" will be used interchangeably.

Crisis counselors provide:

- active and supportive listening;
- validation of the appropriateness of an individual's feelings and reactions;
- affirmation that such feelings and reactions are normal;
- education to survivors about ways to manage their distress and take care of themselves as they pursue recovery;
- assistance to survivors in determining their priorities and developing plans for meeting those priorities; and
- information and referral on disaster assistance and human service resources.

Crisis counselors do not:

- engage in case finding activities
- provide case management services
- create or implement emergency preparedness activities
- advocate in an adversarial manner
- engage in fundraising for disaster survivors
- provide childcare or transportation for disaster survivors

The Outreach Team

Typically, a team of outreach workers is composed of mental health professionals and para-professionals indigenous to the community. All are trained in the basics of disaster mental health and the Crisis Counseling Program. Their credentials and roles are explained below:

Professionals: Professionals are individuals who have a master's level or higher degree in psychology, social work, counseling, psychiatric nursing, or who are psychologists, psychiatrists or related professionals. They usually are licensed by the State, have experience in the mental health or counseling field and the expertise to provide clinical supervision and training to crisis counselors. Typically, a professional coordinates and supervises the local outreach team for the Crisis Counseling Program and may offer consultation and support to crisis counselors who are working with individuals' with complex or difficult situations. They may also assess survivors to determine if their needs exceed the scope of the Crisis Counseling Program or they may work directly with individuals, families and groups whose problems are unusually challenging or complex. Professionals often need training in how crisis counseling with disaster survivors differs from traditional mental health or counseling practice. Essential skills include in-depth understanding about the normal human response to disaster and techniques for helping survivors integrate those experiences to ensure their return to pre-disaster levels of functioning.
Para-professional: The term para-professional refers to individuals who work as crisis counselors, have a bachelor's degree or less, or who are not human service professionals. They have strong intuitive skills about people or relate well to others. They possess good judgment, common sense, are good listeners, and most often are indigenous to the community. Para-professionals will engage in outreach, crisis counseling, and provide education, information and referral services for individuals, families and groups. Successful Crisis Counseling Programs train para-professionals regarding the human response to disaster and methods for working with people who are experiencing the psychological consequences of disasters. Training should include the scope and limits of the program, the role of the crisis counselor, cultural considerations, ethical conduct, techniques for introducing oneself and the program, helping individuals understand their disaster experience, record keeping, functional assessment skills, basic group process skills, and methods for guiding individuals in problem solving and setting priorities.

Peer Worker: Peer workers are crisis counselors who come from within the affected departments. They are familiar to and recognized by department co-workers. Peer workers may have formal training in counseling or related professions. They may be para-professionals or professionals in other fields, as well.
Annex EAP
Emergency Action Plan Building Evacuations: Emergency Status Reporting Procedures

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**Purpose**

This annex delineates procedures by which Emergency Status Reports from Emergency Action Plan (EAP) Emergency Coordinators are to be communicated to emergency responders and the EOC. EOC responsibilities and procedures for using information from the Emergency Status Reports to aid in emergency coordination and situational awareness are also outlined.

**Policy**

All UCSF Control Points shall comply with OSHA Standard 29 CFR 1910.38(a) and the California Code of Regulations, Title 8, Section 3220.

Refer to the UCSF EAP Team Manual Part I for a detailed policy and EAP procedures.

**Evacuation vs. Relocation vs. Defend-in-Place**

Emergency Action Plan evacuation procedures are dependent upon the building designation as a high-rise or non high-rise, and if it is a Hospital or non Hospital.
Defend-in-Place: In-patient Hospitals (Moffitt/Long, Mt Zion, and LPPI) do not evacuate. Hospitals Defend-in-Place unless specifically ordered to evacuate. Campus departments occupying worksites within a UCSF Medical Center shall develop their Emergency Action Plans based upon the Hospital’s Defend-in-Place emergency plans instead of evacuating as a first course of action.

**DEFEND IN PLACE FACILITIES INCLUDE:**
- ACC – Parnassus
- LPPI (entire complex) – Parnassus
- Moffitt/Long Hospital Buildings – Parnassus
- Building A – Mt. Zion
- Building B – Mt. Zion
- Building C – Mt. Zion
- Building R – Mt. Zion

**Relocation:** Occupants of High Rises relocate four floors below the floor with the sounding alarm. High Rises are building which exceed 75 feet (including sub-levels).

**UCSF HIGH-RISE BUILDINGS**
- Ambulatory Care Center (ACC)
- Clinical Sciences
- Health Science East
- Health Science West
- Library
- Millberry Union
- UC Hall
- Student Housing Tower East (Hearst Tower), Mission Bay

*Note: Moffitt and Long Hospitals are not high-rise buildings for fire alarm purposes.*

**Evacuation:** All other buildings are to evacuate to a designated Emergency Assembly Area. Medical Center departments located in Campus buildings (non-hospitals) are to evacuate or relocate depending upon building type (High Rise, Non High Rise).

**Evacuation**

Upon sounding of an evacuation order (Alarm, Public Address System, Mass Notification System, Siren, etc.), all building occupants are required to evacuate or relocate to a designated Emergency Assembly Area.
Individuals with mobility impairments/disabilities are to be relocated to a fire-rated stairwell and their names, condition and location are to be reported to the responding fire department.

Emergency Coordinators working with the Floor Wardens are to account for all personnel, completing an Emergency Status Report.

**Emergency Status Reports**

Emergency Status Reports are standardized reporting forms available in non-carbon copy paper (NCR) forms¹ or mobile Apps². Emergency Status Reports submitted via the mobile Apps are automatically routed to UCPD Homeland Security Emergency management and the Emergency Operations Center Planning an Intelligence Section.

Evacuations not requiring submission of Emergency Status Reports:
The majority of evacuations will result in an all-clear to reoccupy the building within 15-60 minutes. In the absence of any injuries or property damage, Emergency Status Reports do not need to be submitted, but should be retained by the Emergency Coordinator for audit purposes.

Evacuations requiring submission of Emergency Status Reports:
Building evacuations for which there are injuries, deaths, missing/unaccounted personnel or damage to the facility.

Submission of Emergency Status Reports

- Site Emergency Coordinator is on-scene - Emergency Coordinators are to submit Emergency Status Reports to the Site Emergency Coordinator who will report any missing, injured, trapped or disabled persons in need of evacuation assistance to the Fire or Police Incident Command Post
- Site Emergency Coordinator not on-scene - Emergency Coordinators are to go to the Fire or Police Incident Command Post and report any missing, injured, trapped or disabled persons in need of evacuation assistance to the Fire or Police Incident Command Post
- Emergency Coordinators to submit the Emergency Status Report to their Department level Emergency Coordinator or Department head.
- If the campus EOC (Emergency Operations Center) is activated the Site Emergency Coordinator or Emergency Coordinators (if no Site Emergency Coordinator is on-scene) are to submit Emergency Status

¹ Obtain from UCPD Homeland Security Emergency Management
² Obtain Access to iOS and Android Apps from UCPD Homeland Security Emergency Management
Reports to the Emergency Operations Center via phone, fax, e-mail, or runner as soon as possible (see Emergency Operations Center contact information)

- Control Points with Division, Department or Control Point Emergency Coordinators may submit consolidated Emergency Status Reports to the Academic, Critical Program Coordinators or Planning Section.

**Leaving Emergency Assembly Areas**

Evacuees are to remain in the Emergency Assembly Area until the All Clear is announced.

In the event of emergencies resulting in damage, injuries or death the following shall apply:

- Evacuees should not leave the Emergency Assembly Area until they have checked out with their EC or Floor warden.
- If indicated UCSF Police will announce the location of emergency information centers, shelters, aid stations, transportation, etc.
- Follow department procedures for maintaining contact with supervisors or others.
- Monitor the UCSF Home page ([http://www.ucsf.edu/](http://www.ucsf.edu/)), University Employee Emergency Hot Line number (415) 502-4000, or if inoperable the alternate Hotline 800-873-8232 for updates.

**Emergency Operations Center**

Emergency Status Reports will be collected by the Emergency Operations Center Support Unit, copied and distributed to the Operations Section - Public Safety Unit and the Planning & Intelligence Section - Documentation Unit.

Public Safety Unit will coordinate life safety response operations with available responding units including UCSF response assets if outside resources are not available to respond.

Planning and Intelligence will maintain documentation on status of emergency response to Emergency Action Plan team requests for assistance.

Communications & coordination with Emergency Action Plan teams and evacuees may be accomplished through use of Radio Talk Group 4, WarnMe, Public Address systems, and Campus Hot Lines.
Emergency Operations Center shall communicate to the Emergency Action Plan teams and evacuees the locations of Campus Emergency Response Teams, emergency information centers, shelters, aid stations, transportation, etc. via the afore mentioned mechanisms as well as via the Public Information Officer (Refer to Annex CI: Crisis Communications)

**Emergency Communications Center**

Emergency Communications Center will communicate life-safety information received by phone from Emergency Action Plan teams per Standard Operating Procedures.

Any Emergency Status Reports received by fax or e-mail from Emergency Action Plan teams will be collected and transferred to the Emergency Operations Center once activated. Emergency Status Reports submitted by mobile App automatically go to the EOC.


**Related Policies**

- 550-11 Environmental Health and Safety Management
- 550-13 Environmental Health and Safety Compliance
- 550-15 Environmental Health and Safety Training
- 550-18 Emergency Management (Pending)
- UCOP, Policy on Safeguards, Security and Emergency Management (1/25/06)
- UCOP, Policy on the Management of Health, Safety and the Environment (10/28/05)
- UCSF Campus Emergency Response Management Plan, 3/1/2010

**References**

- EAP Team Manual
- UCSF Campus Code of Conduct
- UCSF Police Emergency preparedness Website www.police.ucsf.edu
- Capital Programs Space Inventory System http://www.cpfm.ucsf.edu/space/
Annex: FEMA

FEMA Reimbursement Procedures

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Public Assistance Eligibility Quick Reference

Is applicant eligible?

- State
- County / Parish
- City / Town / Village
- Native American Tribal Governments and Tribal Organizations
- Other political subdivision of the State
- Certain Private Non-Profit Organizations

Is the facility eligible?

- Be the legal responsibility of an eligible applicant
- Have been in active use at the time of the disaster
- Be damaged as a result of the declared disaster
- Be located in the designated disaster area

Is the work eligible?

- Must be disaster related
- Must be located in the designated disaster area
- Must be the applicant’s responsibility
- Is not fundable by another federal agency

Is the cost eligible?

- Must be reasonable and necessary to accomplish eligible work
- Must comply with federal, state, and local laws and regulations
- Must include deductions of insurance proceeds, salvage value, and purchase discounts.
Public Assistance Categories Quick Reference

**Emergency Work**

A. Debris Removal
B. Emergency Protective Measures

**Permanent Work**

C. Roads and Bridge Systems
D. Water Control Facilities
E. Public Buildings / Equipment
F. Public Utilities
G. Other (Parks, Recreation, etc.)

Time limits for project completion begin on the disaster declaration date.

- Emergency work must be completed within – 6 months
- Permanent work must be completed within – 18 months

Time limits may be extended when sufficient justification is submitted.
REIMBURSEMENT PROCEDURE for FEMA PUBLIC ASSISTANCE

Mike Martinet, Coordinator for the Office of Disaster Management, Area G, South Bay Region of Los Angeles County

Financial Assistance Availability
The impact of major or catastrophic emergencies can exceed local financial resources. Financial aid and assistance may be requested from FEMA through the State of Indiana. Applicants should contact the County Emergency Management Director of the impacted county for the appropriate source of assistance and for application procedures.

FEDERAL- When damages are so extensive that the combined local and state resources are not sufficient, the governor submits a request for an emergency or major disaster declaration to the President through FEMA. A joint FEMA, state and local team will conduct a Preliminary Damage Assessment to determine if there is a need for federal assistance. If federal assistance is justified, the President issues an emergency or major disaster declaration and various emergency or disaster programs are made available. Federal assistance is on a shared cost basis with 75% federal funds and 25% non-federal funds.

Documentation
All reimbursement is based on the supporting documentation. The documentation must be able to stand the test of audit. The attached "Documenting Disaster Costs" will provide the guidelines and tools needed to set up files and document costs. The forms utilized are also available in a computerized version using MS Excel. Failure to properly document costs may result in part or the entire claim being ineligible for reimbursement. It is very important to document the request for mutual aid in addition to documenting costs.

Eligibility
To meet eligibility requirements for reimbursement, an item of work must:

• Be required as the result of the emergency or disaster event.
• Be located within a designated emergency or disaster area.
• Be the legal responsibility of the eligible applicant.
• If Mutual Aid - Have been requested by the impacted jurisdiction.
Fire service resources activated by this plan must submit reimbursement claims to the impacted jurisdiction(s).

**Categories of Work**
The work most often performed under this plan is Emergency Work. This work is performed immediately to save lives, to protect property, for public health and safety, and/or to avert or lessen the threat of a major disaster. Emergency Work contains two categories: Debris Clearance (Category A) and Protective Measures (Category B).

It is possible that certain types of claims may be made under Permanent Work categories. For example, certain damages or losses of facilities and equipment may fall into the permanent Work categories.

**Expenses for Personnel**
Only the actual hours worked beyond the regular duty time (either overtime, regular time hours, comp time) can be claimed for FEMA category A and B (Emergency Work). Standby time is not eligible for reimbursement. If time and one-half or double time is paid to regular hourly employees for overtime or holiday work, these payments must be in accordance with rates established prior to the disaster (i.e. Collective 2 Bargaining Agreement). If Applicant volunteers are not normally paid, FEMA may offset the non-federal portion of the emergency work by granting credit for eligible donated labor, equipment and materials. Volunteer firefighters activated by this plan may submit claims to the impacted jurisdiction(s) for reimbursement at the rate of $8.00 per hour. The claim for reimbursement of all personnel costs will be for hours actually worked in excess of a two-hour response. In some cases, FEMA may approve reimbursement for overtime costs associated with “backfilling”. If approved, this option would allow the department to be reimbursed when personnel are called back to work on an overtime basis to replace existing employees already approved to perform disaster related activities elsewhere. To facilitate this reimbursement, the responding department must have a written policy concerning “backfilling” in existence prior to the disaster.

The information included in “Documenting Disaster Costs” details the required information and instructions for documenting the department’s personnel costs (Force Account Labor). It also provides guidance for claiming Fringe Benefit costs and includes a sample rate schedule.

**Expenses for Equipment**
Each department may be eligible for reimbursement for the use of equipment owned (Force Account Equipment) by the department when it is used in disaster work. To assist in the reimbursement process, FEMA has developed a “Schedule of Equipment Rates”. The impacted jurisdiction should obtain the most recent version of the schedule available at (http://www.fema.gov/r-n-r/fin_eq_rates.htm) prior to submitting for reimbursement. A suggested form for recording the needed information and instructions can be found in “Documenting Disaster Costs”.
Equipment that is damaged and/or lost during disaster incidents may be eligible for reimbursement. The damage and/or loss must be documented along with sufficient supportive documentation such as video and/or photographs. Factors such as insurance, salvage, and age of the equipment (a Blue Book type of figure) will also be considered as a part of the review of the claim. If the documentation is not comprehensive, detailed and accurate, portions of the claim and possibly the entire claim may be disallowed.

**Rented Equipment**
It is possible that a department may use some rented equipment. These costs may also qualify for reimbursement. Refer the “Documenting Disaster Costs” for the proper documenting of these expenses.

**Processing Claims**
Each department is responsible for preparing the necessary documentation and submitting a claim for resources deployed under this Plan. Where and how to file a claim is dependent on several factors because of the variety of possible reimbursement sources. The size of the event, the type of event and the type of emergency or disaster declaration can effect which funding sources are available. Some general guidelines are:

- **Time is of the essence.** Coordinate reimbursement claims with the fire department and Emergency Management Agency of the impacted county. That agency will work with the Indiana Department of Homeland Security Response and Recovery Division for recommendations and guidance for the best source for reimbursement for the particular event.

- **For a federal claim,** the Request for Public Assistance form must be filed within 30 days of the designation of the county for public assistance.

**The Disaster Declaration Process**

- **Local Government responds** to the emergency or disaster supplemented by neighboring communities and volunteer agencies. If the local government is overwhelmed, the county Emergency Management Agency requests an Emergency Declaration from the County Commissioners declaring a state of disaster emergency and requesting state assistance;

- **The State Responds** with state resources, such as the National Guard and other state agencies. If these resources are overwhelmed, then the state requests assistance from the Federal Emergency Management Agency (FEMA);

- **Damage Assessment** by a Joint Preliminary Damage Assessment team composed of local, state, and federal agencies determines losses and recovery needs;
• **A Major Disaster Declaration** is requested by the governor, based on the damage assessment, and an agreement to commit state funds and resources to long-term recovery;

• **FEMA evaluates** the request and recommends action to the White House based on the disaster, the local community and the state’s ability to recover;

• **The President** considers the request and FEMA informs the governor whether it has been approved or denied. This decision process could take a few hours to several weeks depending on the nature of the disaster.

**Reimbursement Procedure Notes**

• It is very important, especially for FEMA claims, that written mutual aid agreements be executed prior to a disaster. The Plan must be adopted by the local jurisdiction(s) prior to the incident. The crucial points that the agreement must contain are: 1) the terms for charges for mutual aid; and 2) there is no contingency clause, i.e. “Payment will be provided only upon receipt of funding from FEMA.”

• The language of the “Reimbursement Procedure” and the “Documenting Disaster Costs” has been researched with the Indiana Department of Homeland Security Response and Recovery Division to insure compatibility and accuracy.

• The Response and Recovery Division of the Indiana Department of Homeland Security can be an important resource to help match reimbursement claims with the best available funding source.

• Additional information is available from FEMA’s “Public Assistance Guide” (FEMA 322) and FEMA’s “Public Assistance Policy Digest (FEMA 321).
DOCUMENTING DISASTER COSTS

A. GENERAL
Following a major disaster, federal funding may be available to help local governments repair or replace damaged facilities. The primary reason that local governments fail to receive reimbursement is the lack of properly documented disaster costs. Since federal payments are based on Project Worksheets, final inspections and audits, the proper documentation of costs is an absolute requirement. It is not enough just to complete the disaster-related work - that work must be fully and accurately documented!

B. SPECIFIC
Documentation should begin immediately during the response to the disaster. The work done for such things as debris removal and emergency protective measures should be documented. A separate file folder should be set up for each location where work is being done. Later, as Project Worksheets are completed, a separate folder should be established for each Project Worksheet. Place the Project Worksheet in its own folder along with all supporting documents to verify claim for potential reimbursement. If in doubt about starting a new folder, start a new folder. It is easier to consolidate folders than it is to separate documentation into new folders.

Basically, there are two ways to complete items of work: one is by contract, and the other is by force account (using personnel, equipment, and materials belonging to the jurisdiction). The proper documentation in each case is described below.

1. Force Account Work
Prior to or immediately after a disaster occurs, someone should be appointed to start keeping a record of costs. Ideally, this person should have been designated and trained in advance. In addition, the person picked should attend the Applicant’s Briefing that the state and federal officials will conduct. If temporary workers or extra help are hired to complete items of work (which is frequently done for emergency work such as debris removal), they must be placed on the payroll and the job, wages, and period of employment must be recorded. The procedures for placing temporary workers on the payroll during an emergency should be planned in advance. Notate these workers as temporary or extra hire on your documentation if you are the Applicant.

When a resource (personnel, materials and/or equipment) is used from another jurisdiction, (mutual aid), the resource must be documented and paid for as contract work to qualify for reimbursement. Invoices are required to show a description of the resource, dates the resource was used, name of the jurisdiction providing the resource, an invoice number, and cost of the resource. Guidelines for documenting and organizing costs are outlined below.
a. Files
After a presidential declaration, there will be a kickoff meeting conducted by the Federal Public Assistance Officer. Guidance will be provided at this meeting for the formulation of Project Worksheets. The jurisdiction may then write their own Project Worksheets without having to wait for the FEMA/State personnel to write the Project Worksheets. Technical Assistance to write the Project Worksheets may be requested from local, state and federal officials. Approval of the Project Worksheets may not be received until several weeks after the disaster. In the meantime, emergency work must be started.

The problem is how to keep a separate record of costs for each project when it is not known what each project will cover. One way to accomplish this is to establish, immediately after the disaster, a separate folder for each emergency work project that must be done before project approval is received. For example, damage to three streets should have a separate folder set up for each street, not one folder for all three streets. If several buildings require repairs (such as repairing roofs to prevent further rain damage), set up a folder for each building. When the Project Worksheets are completed and approved, a permanent folder can be established for each project. It is easier to combine information from several folders than to separate information out of one folder.

b. Labor
Permanent and temporary employees must be on the payroll in order to be reimbursed for their work on disaster projects. The payroll records must show the pay period, employee name, job classification, number of hours worked each day, total hours worked for the pay period, rate of pay (regular and overtime), and total earnings. Most established payroll systems already include this information.

The records must also show which project the employee worked on each day and each hour if he/she worked on more than one project in a single day. Claims for labor must be documented for each project individually.

The time records must show how much time the employee worked on the disaster projects. Overtime must be shown on the records as being disaster related. Overtime pay must be in accordance with policies and practices in use by the jurisdiction before the disaster. That means that pay for overtime worked during a disaster cannot be claimed if overtime is not paid for extra hours worked prior to the disaster.

Procedures must be set up to record each day to show which employees worked on each disaster-related job, for how long, and what he or she did. The Force Account Labor Summary Record is needed for this purpose (see Exhibit 1). The record sheets should be used by the supervisor of each work crew and turned into the designated record keeper. The record keeper should also prepare the Fringe Benefit Rate Sheet (see Exhibit 2).

If an employee worked on two or more projects on the same date, the supervisor should turn in a separate Forced Account Labor Record for
Each project. These Force Account Labor Records are to be filed in the proper project folders. There is no reimbursement for volunteer labor (other than Volunteer Firefighters as mentioned above). However, it is important to keep a record of volunteer labor if claims for equipment hours used by volunteers are being made.

c. Equipment
Equipment used on each project (both owned and rented) must be documented. Specifically, the documentation must show the Project Number, date used, FEMA code (if known), equipment description, operator, hours used each day, cost per hour, and total cost for each piece of equipment. **Equipment not in actual use is considered standby and is not eligible for reimbursement.** Use the Force Account Equipment Record (see Exhibit 3) or the Rental Equipment Summary Record (see Exhibit 4) to document the use of the equipment. Place the forms in each project folder immediately upon starting work. Operator costs associated with the use of equipment should be reported separately as part of the labor costs on the Force Account Labor Record unless the rental charge included the operator.

If the equipment is rented, the rental invoices must show the type of equipment, date and hours used, rate per hour (with or without operator), total cost, vendor name, invoice number, amount paid, and check number. This information is recorded on the Rented Equipment Summary Record (see Exhibit 4). Include a copy of invoice(s) and proof of payment(s) with submission. Repair costs for rental equipment are not reimbursable.

Rates claimed for forced account equipment should correspond to those approved on FEMA’s “Schedule of Equipment Rates”. Preparing a list in advance of all available force account equipment showing the make, model and other specifications will facilitate the determination of the correct rate to charge. If a piece of equipment is used which is not listed on the rate schedule, FEMA will determine an applicable rate. However, having a record of the make, model number, and any other pertinent information will help in establishing the rate.

d. Materials and Supplies
A record of materials and supplies purchased or taken from stock must be kept for each project. Specifically, the documentation must show the name of the vendor, description of the material, quantity, unit price, total price, date of purchase, date used and whether purchased or taken from stock. The Material Summary Record (see Exhibit 5) can be used to record this information. Claims for materials taken from stock must be supported either by copies of the original purchase invoice or the invoice for replacement of the materials. Invoices for the materials must show the date paid, the amount paid and the check number and should be placed in the appropriate project folder. Include copies of invoice(s) and proof of payment(s) with submission.

2. Contract Work
The folder for each project that involves contract work must contain a copy of the contract and all invoices for that project. Each invoice must include a description of the work done, date of the work, name of the contractor, an invoice number, and amount billed. The Contract Work Summary Record (see Exhibit 6) is used to record this information. The folder must also contain a copy of the contract advertisement, a list of bidders, and proof that the work was awarded to the low bid contractor. If the low bid is not accepted (there can be some acceptable reasons for not taking the low bid), it must be documented why the bid was not accepted and that information must be placed in the project folder. The contract may be awarded to the next lowest bidder who is able to meet the terms of the contract. If the contract is significantly more than the approved Project Worksheet amount, the Ohio Emergency Management Agency should be notified. **CAUTION:** FEMA will not reimburse costs for cost-plus-percentage-of-cost contracts or any contract where payment for work is contingent upon federal reimbursement. Any work done by either type of contract will be ineligible and no federal funds will be paid for the work. Include copies of contracts, invoices and proof of payment with submission.

**C. GENERAL DOCUMENTATION REQUIREMENTS**

The dates used on all documentation must be within the allowable time period for each project. This period is from the date of the disaster to the completion date of the work as shown in the Project Application. It is important that the dates on our supporting documentation agree with the project dates and final inspection. In other words, if 50 percent of the work was completed (as shown on the Project Worksheet) when the Project Worksheet was written, 50 percent of the work and costs must be shown between the date of the disaster and the date the Project Worksheet was prepared. The other 50 percent must be between the Project Worksheet date and the completion date shown on the final inspection report. The approved Project Worksheet will show a total amount approved for each job. However, do not restrict the supporting documentation to these amounts. Overruns on large projects will be considered on a case-by-case basis for reasonable costs. Significant cost overruns on small projects will be considered in relation to the net overrun on all small projects. All overruns should be reported to the IDHS as soon as possible. This step is critical because early approval of overruns is necessary. If a large overrun is not approved, reimbursement will not cover the overrun.

FEMA will reimburse only for repairs included in scope of work on the Project Worksheet. If it is decided to change to an alternate project, FEMA approval is required. Immediately inform the IDHS of any proposed changes and justification for those changes. FEMA will reimburse only for repairs included in scope of work on the Project Worksheet. If it is decided to change to an alternate project, FEMA approval is required. Immediately inform the IDHS of any proposed changes and justification for those changes. FEMA must approve of alternate and/or improved projects prior to engaging in the work due to National Environmental Protection Act compliance or other clearances/requirements.
D. AVAILABLE ASSISTANCE
Contact the local Emergency Management Director who will arrange for technical assistance with the documenting of damage costs through the Indiana Department of Homeland Security Response and Recovery Division.

Remember, reimbursement is tied to documentation. Good records must be kept!
RECORD KEEPING FORMS AND INSTRUCTIONS

Introduction
It is essential that the expenses incurred in disaster response and recovery be accurately documented. Accurate documentation will help:
1. Recover all eligible costs.
2. Have the information necessary to develop Project Worksheets.
3. Have the information available for the state and FEMA to validate the accuracy of small projects.
4. Be ready for any state or federal audits or other program or financial reviews.

There are many ways to maintain documentation. What is important is to have the necessary information, readily available and that this information is in a usable format. The records for the documentation must be assembled under the Project Number as shown on FEMA’s Project Worksheet. The Public Assistance Coordinator assigns project numbers.

Six record forms have been developed to assist in the organizing of the project documentation. Other systems can be used if the system will provide the required information.

The forms are:
1. Force Account Labor Summary Record (Exhibit 1) -- used to record personnel costs.
2. Fringe Benefit Rate Sheet (Exhibit 2) -- used to record benefit costs.
3. Force Account Equipment Summary Record (Exhibit 3) -- used to record your equipment use costs.
4. Rented Equipment Summary Record (Exhibit 4) -- used to record the costs of rented or leased equipment.
5. Material Summary Record (Exhibit 5) -- used to record the supplies and materials that are taken out of stock or purchased.
6. Contract Work Summary Record (Exhibit 6) -- used to record the costs or work that is done by contract.
Exhibit 1
FORCE ACCOUNT LABOR SUMMARY RECORD INSTRUCTIONS

Force Account is the term to refer to the jurisdiction’s own personnel and equipment. Keep the following points in mind when compiling force account labor information:

- Record regular and overtime hours separately.
- Record the benefits separately for regular and overtime hours. Most overtime hours include fewer benefits than regular hours.
- Attach a Fringe Benefit Rate Sheet giving a breakdown of what is included in the jurisdiction’s benefits. By percentages, e.g., Social Security – 15.2%, Workman’s Compensation – 4.3%, insurance – 18.5%, etc. Use an average rate if there are different benefit rates for different employees.

Complete the Force Account Labor Summary Record as follows:

- **Heading:**
  - Applicant: Enter the jurisdiction’s name.
  - Paid: Enter the date these wagers were paid.
  - PW#: Enter the Project Worksheet Number that this record covers.
  - Disaster Number: Enter the assigned Disaster Number.
  - Location/Site: Enter the location or site where the work was performed for this Project Worksheet.
  - Category: Enter the category of work being done, e.g., A, B, C, etc.

- **Detail Section:**
  - Name: Enter the names of the employees who worked on the project.
  - Job Title: Enter the job title of each employee who worked on the project.
  - Reg: Enter the regular hours that each employee worked on the project.
  - OT: Enter the overtime hours that each employee worked on the project. **REMINDER:** The only overtime that is eligible for reimbursement is overtime for emergency work. Record both regular and overtime hours, so that personnel hours can be compared with equipment use hours, if necessary.
  - Date: Enter the days date in the space at the top of each column.
  - Hours Worked: Enter the hours worked by each employee, regular hours and overtime hours, in the blocks below the date worked.
  - Total Hours: Add up the regular hours and enter the total. Add up the overtime hours and enter.
  - Hourly Rate: Enter the regular hourly rate for each employee and enter the overtime rate for each employee.
  - Benefit Rate: Enter the appropriate benefit rate from the Totals line on the Fringe Benefit Rate Sheet.
  - Total Hourly Wages: Multiply the Hourly Rate by the Benefit Rate to get an hourly benefit rate. Add the hourly rate to the hourly benefit rate and enter that total.
  - Total Costs: Multiply the Total Hours by the Total Hourly Wage and enter that total.

- **Totals Section:**
  - Total Force Account Labor – Regular Time: Add up the Regular time Total Costs and enter.
  - Total Force Account Labor – Over Time: Add up the Overtime Total Costs and enter.
  - Total Force Account Labor: Add the Regular time total to the Overtime total and enter.
ToFbeadded
**Exhibit 2**

**FRINGE BENEFIT RATE SHEET INSTRUCTIONS**

**Fringe Benefit Calculations:**

Fringe benefits for force account labor are eligible for reimbursement. Fringe benefits for overtime will be significantly less than for regular time, except for extremely unusual cases. The following steps will assist in calculating the percentage for fringe benefits paid on an employee’s salary. Note that items and percentages will vary from one entity to another.

1. The normal year consists of 2080 hours (52 weeks X 5 workdays/week X 8 hours/day). This does not include holidays and vacations.

2. Determine the employee’s basic hourly pay rate (annual salary / 2080 hours).

3. Fringe benefit percentage for vacation time: Divide the number of hours of annual vacation time provided to the employee by 2080 e.g. (80 hours (2 weeks) / 2080 = 3.85%).

4. Fringe benefit percentage for paid holidays: Divide the number of paid holiday hours by 2080 e.g. (64 hours (8 holidays) / 2080 = 3.07%).

5. Retirement Pay: Because this measure varies widely, use only the percentage of salary matched by the employer.

6. Social Security and Unemployment Insurance: Both are standard percentages of salary.

7. Insurance: This benefit varies by employer. Divide the amount paid annually by the jurisdiction by the basic pay rate determined in Step 2. Then divide the result by 100 to determine the correct percentage rate.

8. Workman’s Compensation: This benefit also varies by employee. Divide the amount paid annually by the jurisdiction by the basic pay rate determined in Step 2. Then divide the result by 100 to determine the correct percentage rate.

Note: Typically, the same rate should not be charged for regular time and overtime. Generally, only FICA (Social Security) is eligible for overtime; however, some entities may charge retirement tax on all income.

**Sample Rates:**

Although some rates may differ greatly between jurisdictions due to their particular experiences, the table below provides some general guidelines that can be used as a reasonableness test to review submitted claims. These rates are based on experience in developing fringe benefit rates for several state departments, the default rate used for the State of Florida, following Hurricane Andrew (August 1992), and the review of several FEMA claims. The rates are determined using the gross wage method applicable to the personnel hourly rate (PHR) method. The net available hours method would result in higher rates.

**Paid Fringe Benefits:**

- FICA (Social Security Matching) 7.65% (or slightly less)
- Retirement – Regular 17.00% (or less)
- Retirement – Special Risk 25.00% (or slightly less)
- Health Insurance 12.00% (or less)
- Life & Disability Insurance 1.00% (or less)
- Worker’s Compensation 3.00% (or less)
- Unemployment Insurance 0.25% (or less)

**Leave Fringe Benefits:**

- Accrued Annual Leave 7.00% (or less)
- Sick Leave 4.00% (or less)
Administrative Leave 0.50% (or less)
Holiday Leave 4.00% (or less)
Compensatory Leave 2.00% (or less)
Rates outside of these ranges are possible, but should be justified during the validation process.

To be added
Exhibit 3

FORCE ACCOUNT EQUIPMENT SUMMARY RECORD INSTRUCTIONS

Complete the Force Account Equipment Summary Record as follows:

□ **Heading**
□ **Applicant:** Enter the jurisdiction’s name.
□ **Paid:** Enter the date these charges were paid.
□ **PW#:** Enter the Project Worksheet Number that this record covers.
□ **Disaster Number:** Enter the assigned Disaster Number.
□ **Location/Site:** Enter the location or site where the work was performed for this Project Worksheet.
□ **Category:** Enter the category of work being done, e.g. A, B, C, etc.

□ **Detail Section:**
□ **Type of Equipment:** Enter the name of the equipment used including the size, capacity, horsepower, make and model.
□ **Equip Code #:** Enter the FEMA Cost Code for the equipment, if known.
□ **Operator’s Name:** Enter the name of the equipment operator.
□ **Date:** Enter the day’s date in the space at the top of each column.
□ **Hours Used:** Enter the hours used for each piece of equipment in the blocks below the date. Idle and standby hours cannot be included.
□ **Total Hours:** Add up the Hours Used for the week and enter.
□ **Equipment Rate:** Enter the cost per hour to use the equipment.
□ **Total Cost:** Multiply the Total Hours by the Equipment Rate and enter the result.

□ **Totals Section:**
□ **Total Hours:** Add the Total Hours column and enter.
□ **Total Cost:** Add the Total Cost column and enter.

To be added
Exhibit 4

RENTED EQUIPMENT RECORD SUMMARY

Complete the Rented Equipment Summary Record as follows:

- **Heading**
  - **Applicant:** Enter the jurisdiction’s name.
  - **Paid:** Enter the date these charges were paid.
  - **PW#:** Enter the Project Worksheet Number that this record covers.

- **Disaster Number:** Enter the assigned Disaster Number.

- **Location/Site:** Enter the location or site where the work was performed for this Project Worksheet.

- **Category:** Enter the category of work being done, e.g. A, B, C, etc.

- **Detail Section:**
  - **Type of Equipment:** Enter the name of the equipment used including the size, capacity, horsepower, make and model.
  - **Dates and Hours Used:** Enter the date used on the upper block and the hours used in the lower block.
  - **W/Opr:** Enter the rate charged per hour when the rental company provides the operator.
  - **W/O Opr:** Enter the rate charged per hour when the rental company does not provide the operator.
  - **Total Cost:** Multiply the Hours used by the appropriate Rate per Hour and enter.
  - **Vendor:** Enter the name of the rental company.
  - **Invoice No:** Enter the rental Company’s invoice number.
  - **Date and Amount Paid:** Enter the Date Paid in the upper block and the Amount Paid in the lower block.
  - **Check No:** Enter the number of the check used to pay the vendor.

- **Total Section**
  - **Grand Total:** Add the Amounts Paid in the Date and Amount Pd column and enter.
  - Attach copies of invoices and proof of payment

To be added
Exhibit 5
MATERIALS SUMMARY RECORD

Complete Materials Summary Record as follows:

☐ **Heading**

☐ **Applicant:** Enter the jurisdiction’s name.

☐ **Paid:** Enter the date these charges were paid.

☐ **PW#:** Enter the Project Worksheet Number that this record covers.

☐ **Disaster Number:** Enter the assigned Disaster Number.

☐ **Location/Site:** Enter the location or site where the work was performed for this Project Worksheet.

☐ **Category:** Enter the category of work being done, e.g. A, B, C, etc.

☐ **Detail Section:**

☐ **Vendors:** Enter the name of the vendor supplying the materials.

☐ **Description:** Enter a description of the materials used.

☐ **Quantity:** Enter the quantity used.

☐ **Unit Price:** Enter the price per unit.

☐ **Date Purchased:** Enter the date purchased for use or replacement of stock.

☐ **Date Used:** Enter the date the materials were used on this project.

☐ **Info From:** Check whither the information on this record came from a vendor’s invoice or from stock records.

☐ **Total Section:**

☐ Add up the Total Price column and enter. Attach copies of invoices and proof of payment.

To be added
Exhibit 6

CONTRACT WORK SUMMARY RECORD

Complete the Contract Work Summary Record as follows:

- **Heading**
  - **Applicant:** Enter the jurisdiction's name.
  - **Paid:** Enter the date these charges were paid.
  - **PW#:** Enter the Project Worksheet Number that this record covers.
  - **Disaster Number:** Enter the assigned Disaster Number.
  - **Location/Site:** Enter the location or site where the work was performed for this Project Worksheet.
  - **Category:** Enter the category of work being done, e.g. A, B, C, etc.

- **Detail Section:**
  - **Dates Worked:** Enter the dates for the work billed on the invoice listed.
  - **Contractor:** Enter the name of the contractor.
  - **Billing Invoice Number:** Enter the contractor's invoice submitted for payment.
  - **Amount:** Enter the total billed on the invoice.
  - **Comments – Scope:** Enter pertinent comments such as percentage of work completed, etc.

- **Total Section**
  - **Amount:** Add up the Amount column and enter.
  
Attach copies of contract, invoices and proof of payment.

To be added
Public Assistance Guide

FEMA 322 / June 2007

This annex was copied from the following FEMA website:

http://www.fema.gov/government/grant/pa/pag07_t.shtm

June 2007
This guide describes FEMA’s Public Assistance Program’s basic provisions and application procedures. Because this document is not exhaustive and the provisions are subject to modification, the information contained herein should be verified with FEMA PA Program officials before becoming the basis for decision making.

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500 C Street SW, Washington, D.C. 20472
Disaster Assistance: (800) 621-FEMA / TTY (800) 462-7585
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Foreword

In recent years, tremendous strides have been made by Federal, State, Tribal, and local governments to educate the public about natural disasters. Localities are now better able to respond to disasters, recover from their impact, and mitigate future damage. However, it remains a fact that in situations of catastrophic proportions, nothing that technology or preparedness has provided can prevent the inherent discontinuity in our lives caused by major disasters. Such events must be responded to through a cooperative Federal, State, Tribal, and local effort.

When a disaster occurs, it is the responsibility first of the local community and then the State to respond. Often, their combined efforts are not sufficient to cope effectively with the direct results of the disaster. This situation calls for Federal assistance to supplement State, Tribal, and local efforts. The Robert T. Stafford Disaster Relief and Emergency Assistance Act, 42 U.S.C. §5121 - 5207, authorizes the President to provide such assistance. Assistance is coordinated through the Federal Emergency Management Agency (FEMA), a component of the Department of Homeland Security. This guide explains how FEMA implements that portion of the law that authorizes Federal grants for infrastructure recovery through its Public Assistance (PA) Program. Potential recipients of this funding include State, Tribal, and local governments and certain types of Private Nonprofit (PNP) organizations.

A fundamental goal of the PA Program is to ensure that everyone shares a common understanding of the program policies and procedures. To support this goal, FEMA has undertaken an effort to provide the State, Tribal, and local partners with more and better information about the PA Program. This guide describes the PA Program's basic provisions and application procedures. The guide may be of interest to elected leaders, emergency managers, city engineers, public works directors, financial management personnel, managers of eligible PNP organizations, and other individuals who have the responsibility for restoring a community's infrastructure in the wake of a disaster. An electronic version is available on the FEMA website (www.fema.gov/government/grant/pa/ and click on Policy and Guidance).

Because this document is not exhaustive and the provisions are subject to modification, the information contained herein should be verified with FEMA PA Program officials before becoming the basis for decision making.

We invite comments that will make this guide as helpful as possible to all users, applicants, and administrators of Public Assistance. Please send your
comments, as well as any other suggestions on ways to improve the program, to:

James A. Walke  
Director  
Public Assistance Division, 4th Floor  
Federal Emergency Management Agency  
500 C Street, SW  
Washington, D.C. 20472

With a shared understanding of the program and through a partnership with all participants, we expect to efficiently, effectively, and consistently provide recovery grant funding to all eligible applicants whose lives and infrastructure have been disrupted by disaster.

David Garratt  
Acting Assistant Administrator  
Disaster Assistance Directorate  
Federal Emergency Management Agency
List of Acronyms

ADA - Americans with Disabilities Act
CBRA - Coastal Barrier Resources Act
CBRS - Coastal Barrier Resources System
CEF - Cost Estimating Format
CFR - Code of Federal Regulations
CWA - Clean Water Act
DHS - Department of Homeland Security
DRM - Disaster Recovery Manager
EMAC - Emergency Management Assistance Compact
EO - Executive Order
ESA - Endangered Species Act
FCO - Federal Coordinating Officer
FEMA - Federal Emergency Management Agency
FHWA - Federal Highway Administration
FIA - Federal Insurance Administration
FICA - Federal Insurance Contributions Act
FIRM - Flood Insurance Rate Map
GAR - Governor's Authorized Representative
HUD - Department of Housing and Urban Development
ICS - Incident Command System
INF - Immediate Needs Funding
JFO - Joint Field Office
NEPA - National Environmental Policy Act
NFIP - National Flood Insurance Program
NHPA - National Historic Preservation Act
NMFS - National Marine Fisheries Service
NOAA - National Oceanic and Atmospheric Administration
NRCS - Natural Resources Conservation Service
OCC - FEMA's Office of Chief Counsel
PA - Public Assistance
PDA - Preliminary Damage Assessment
PL - Public Law
PNP - Private Nonprofit
PW - Project Worksheet
RA - Regional Administrator (FEMA)
SBA - Small Business Administration
SCO - State Coordinating Officer
SHPO - State Historic Preservation Officer
SMD - State Management of Disasters
SOP - Standard Operating Procedure
THPO - Tribal Historic Preservation Officer
USACE - U.S. Army Corps of Engineers
USFWS - U.S. Fish and Wildlife Service
Chapter 1: Disaster Assistance Overview

Disaster Assistance Overview

Federal assistance in the wake of disasters is coordinated by the Federal Emergency Management Agency (FEMA), a component of the Department of Homeland Security. Under the Public Assistance (PA) Program, FEMA provides supplemental aid to States, communities, and certain private nonprofit organizations (PNPs) to help them recover from disasters as quickly as possible. This chapter describes the events that occur after a disaster strikes and introduces the PA Program.

When Disaster Strikes

Each year, the United States is struck by disasters that severely affect communities and State and local governments. The list of events that cause disasters includes natural events, such as hurricanes, tornadoes, storms, earthquakes, volcanic eruptions, landslides, snowstorms, and droughts; and regardless of cause, fires, floods, and explosions. The effects of disasters may be limited to a single community, such as when a small town is hit by a tornado, or they may be widespread, such as when a hurricane affects several States. Regardless of the scope of a disaster, the affected communities and States often need the assistance of the Federal government when responding to and recovering from the event. This assistance is available under the Robert T. Stafford Disaster Relief and Emergency Assistance Act, 42 U.S.C. § 5121 - 5207 (hereinafter referred to as the Stafford Act).

Communities are responsible for the protection of their residents, and local emergency response forces will always be the first line of defense when a disaster strikes. The intent of the Stafford Act is that Federal assistance be supplemental to local, State, and private relief organizations. Nevertheless, it is not necessary for the community to exhaust its resources before it requests Federal assistance.

When a disaster occurs and a locality has responded to the best of its ability and is, or will be, overwhelmed by the magnitude of the damage, the community turns to the State for help. The Governor, after examining the situation, may direct that the State's emergency plan be executed, direct the use of State police or the National Guard, or commit other resources, as appropriate to the situation. If it is evident that the situation is or will be beyond the combined capabilities of the local and State resources, the Governor may request that the President declare, under the authority of the Stafford Act, that an emergency or major disaster exists in the State.
While this request is being processed, local and State government officials should not delay in taking the necessary response and recovery actions. Such actions should not be dependent upon whether there will be Federal assistance.

Declaration Process
The request for a declaration must come from the Governor or Acting Governor. Before sending a formal request letter to the President, the Governor will request that FEMA conduct a joint Preliminary Damage Assessment (PDA) with the State to verify damage and estimate the amount of supplemental assistance that will be needed. If the Governor believes that Federal assistance is necessary after this assessment is complete, the Governor sends a request letter to the President, directed through the Regional Administrator (RA) of the appropriate FEMA region. The RA reviews the request and forwards it with a recommendation to the Director of FEMA who, in turn, makes a recommendation to the President. In the aftermath of a significant event causing extensive damage and loss of life, the declaration process may be expedited. The President makes the decision whether to declare a major disaster or emergency. After the initial declaration, the person designated by the Governor as the Governor’s Authorized Representative (GAR) may request additional areas to be eligible for assistance or for additional types of assistance as deemed necessary.

After a declaration is made, FEMA will designate the area eligible for assistance and the types of assistance available. With the declaration, the President appoints a Federal Coordinating Officer (FCO). The FCO is responsible for coordinating all Federal disaster assistance programs administered by FEMA, other Federal departments and agencies, and voluntary organizations. At the same time, the RA or one of his or her staff will be appointed as the Disaster Recovery Manager (DRM). The DRM is responsible for managing the FEMA assistance programs. The DRM authority often is delegated to the FCO. The Governor may appoint a State Coordinating Officer (SCO) as the FCO’s counterpart. Generally, the SCO and the GAR are the same person. State emergency operations plans should describe the role of the SCO as the Governor’s representative to act in cooperation with the FCO to administer disaster recovery efforts.

FEMA may also establish a Joint Field Office (JFO) in or near the disaster area. This office is used by Federal and State staff and is the focal point of disaster recovery operations. FEMA and the State manage the implementation of the PA Program from the JFO.

The PA Program
Under the PA Program, which is authorized by the Stafford Act, FEMA awards grants to assist State and local governments and certain Private
Nonprofit (PNP) entities with the response to and recovery from disasters. Specifically, the program provides assistance for debris removal, emergency protective measures, and permanent restoration of infrastructure. The Federal share of these expenses typically cannot be less than 75 percent of eligible costs. The program also encourages protection from future damage by providing assistance for hazard mitigation measures during the recovery process. The PA Program encourages planning for disaster recovery, but PA Program funds may not be used for the costs of planning. The costs incurred implementing the plans are eligible for reimbursement only if they meet PA Program eligibility criteria.

The PA Program is based on a partnership of FEMA, State, and local officials.

- **FEMA** is responsible for managing the program, approving grants, and providing technical assistance to the State and applicants.

- The **State**, in most cases, acts as the Grantee for the PA Program. FEMA, the State, and the Applicant are all responsible for grants awarded under the PA program. The State educates potential applicants, works with FEMA to manage the program, and is responsible for implementing and monitoring the grants awarded under the program. In some instances, the State may take a more active role in overall management of certain disasters, as discussed later in this chapter under State Management of Disasters. Some State regulations prohibit the State from acting as Grantee for an Indian Tribe. In such cases, or upon the Tribe’s choice, a Tribal government may act as its own Grantee.

- **Local officials** are responsible for identifying damage, providing sufficient data for FEMA to develop an accurate scope and cost estimate for doing the work and approving grants, and managing the projects funded under the PA Program.

The PA Program staff consists of management and field personnel who assist the applicant during the recovery process. These staff members include a Public Assistance Group Supervisor (Public Assistance Officer), Public Assistance Coordination Crew Leader (Public Assistance Coordinator), Public Assistance Project Specialist (Project Officer), and Public Assistance Technical Specialists (Specialists). The duties of each are described below.

- **PA Group Supervisor.** The PA Program is managed at the JFO by the PA Group Supervisor. As the program manager, the PA Group Supervisor advises the FCO on all PA Program matters; manages the operation of PA Program staff and any coordination between the PA Program and other arms of the Federal disaster recovery effort; works
with State counterparts; and ensures that the PA Program is operating in compliance with all laws, regulations, and policies.

Public Assistance Coordination (PAC) Crew Leader. At the beginning of the disaster recovery process, FEMA, in coordination with the State, assigns a PAC Crew Leader to each applicant. The PAC Crew Leader is a customer service manager who works with the applicant to resolve disaster-related needs and ensure that the applicant's projects are processed as efficiently and expeditiously as possible. By being involved from the declaration to the obligation of funds, the PAC Crew Leader ensures continuity of service throughout the delivery of the PA Program. A PAC Crew Leader generally has responsibility for more than one applicant. The PAC Crew Leader's specific responsibilities are described in more detail in Chapter 3.

PA Project Specialists and Technical Specialists. Project and Technical Specialists are resources for the applicant. Typically, Project Specialists are responsible for assisting with the development of projects and cost estimates. While a Project Specialist is generally knowledgeable with regard to the PA Program, a Technical Specialist usually has a defined area of expertise that a Project Specialist may call upon in the development of a specific project. Technical Specialists assigned to a JFO may have experience in such areas as roads and bridges, utility infrastructure, debris removal and disposal, environmental and historic preservation compliance, insurance, and cost estimating. The Project Specialist's and Technical Specialist's specific responsibilities are described in more detail in Chapter 3.

The Project Specialist and Technical Specialist positions are primarily staffed by FEMA personnel. However, FEMA often relies on State, other Federal agency and contractor resources to supplement these positions. State personnel may also be assigned to work with FEMA staff and local officials involved with response and recovery efforts.

Once the JFO is established and appropriate FEMA and State personnel are deployed, applicants can begin the process of requesting and receiving Public Assistance. The remainder of this guide:

- outlines the eligibility requirements of the PA Program, including a detailed discussion of the applicants, facilities, types of work, and costs that are eligible for assistance under the PA Program (Chapter 2);
- describes the process of applying for Public Assistance, including a discussion of the project formulation process and the Federal, State,
and applicant roles and responsibilities in development of projects, scopes of work, and cost estimates (Chapter 3);

- identifies insurance requirements, hazard mitigation opportunities, environmental concerns including floodplain management, and historic preservation issues that affect program processing and funding (Chapter 4); and

- discusses project management operations (Chapter 5).

**State Management of Disasters**

Under the State Management of Disasters (SMD) initiative, in some cases an interested and capable State, or Tribal government acting as its own Grantee, may manage the PA field operation, including project eligibility reviews, process control, and resource allocation on small disasters. The participating State voluntarily enters into an Operational Agreement with FEMA, which entrusts many aspects of program management to the State. FEMA retains obligation authority, ensures compliance with environmental and historic preservation laws, participates in quality control reviews with the State, and provides technical assistance as requested by the State.

Small disasters are disasters that warrant a major disaster declaration by the President, but are limited in scope and size generally as defined by the following:

- statewide infrastructure damage up to $2 per capita, or
- limited to debris removal and emergency protective measures.

For a State to be eligible to manage a disaster under this initiative, the State must have:

- recent disaster experience;
- adequate State staff;
- an SMD Addendum to the State Administrative Plan for Public Assistance;
- a fiscal accounting system that can track specific projects, prepare for and undergo audit, and be used to evaluate appeals;
- an established record of having met deadlines for grant management activities; and
- approval by FEMA.
Chapter 2: Eligibility

Governing Documents
The PA Program is based on a hierarchy of statute, regulations, and policies. The statute is the Federal law that authorizes the program. From the statute, regulations are published to further define program scope, and policies are written to apply the statute and regulations to specific situations. These authorities govern the eligibility criteria through which FEMA provides funds for Public Assistance.

Additional statutes, Executive Orders (EOs), regulations, and policies that affect the administration of the PA Program are described in Chapter 4.

Statutes
Statutes are laws passed by the U.S. Congress and signed by the President. They cannot be changed by FEMA or any other government agency. The law that authorizes the PA Program is the Stafford Act (Appendix A). The basic provisions outlined in the Stafford Act:

- give the President the authority to administer Federal disaster assistance;
- define the scope and eligibility criteria of the major disaster assistance programs;
- authorize grants and direct assistance to the States; and
- define the minimum Federal cost-sharing levels.

Regulations
Regulations are rules designed to implement a statute based on an agency's interpretation of that statute. FEMA rules provide procedural and eligibility requirements for program operations. Typically, they are published through an official process that allows for public comment. Regulations have the same effect as law and must be complied with once they are published in final form. The regulations governing the PA Program, outlining program procedures, eligibility, and funding, are published in Title 44 of the Code of Federal Regulations (CFR) Part 206, Subparts C and G-L (Appendix B). Additionally, regulations regarding grant administration and allowable costs can be found in 44 CFR Part 13 (Appendix C) - Uniform Administrative Requirements for Grants and Cooperative Agreements to State and Local Governments.

Policies
Policies are issued by FEMA Headquarters. They clarify or provide direction for specific situations that arise in the implementation of Stafford Act
provisions and various regulations that apply to the PA Program. Policies may be subject-specific (for example, applying eligibility criteria to landslides) or specific to a single disaster (for example, FEMA Policy 9524.1, Welded Steel Moment Frame Policy that was originally developed for the Northridge Earthquake). FEMA issues policies so that the regulations are interpreted consistently across the nation and from disaster to disaster. Policies are published in publications such as this and in the 9500 series policy publications. They can be obtained through the following sources:

- the PA Group Supervisor (Public Assistance Officer), who provides the most recent policies pertinent to a specific disaster;
- the Public Assistance Policy Digest (FEMA 321); and
- FEMA's website (go to www.fema.gov/government/grant/pa/).

The remainder of this chapter discusses the basic eligibility criteria for Public Assistance funding, as outlined in the governing documents. These criteria are presented in terms of the following four components: applicant, facility, work, and cost. These sometimes are referred to as the four building blocks.

**Applicant**
Following a disaster declaration by the President and a designation for Public Assistance grant funding by FEMA, assistance for response and recovery operations is made available to eligible applicants. Four types of entities are eligible applicants: State governments, local governments, Indian Tribes or authorized Tribal organizations and Alaskan Native Villages, and PNP organizations. Applicants that are successful in obtaining assistance are formally identified as subgrantees. In common usage, the terms "applicant" and "subgrantee" are often used interchangeably.

**State and Local Governments**
State and local government agencies are eligible applicants for Public Assistance. Examples of State departments include transportation, environmental resources, parks and recreation, air and water quality, and solid waste and hazardous materials. A multitude of local governments are eligible, including towns, cities, counties, municipalities, townships, local public authorities, councils of governments, regional and interstate government entities, agencies or instrumentalities of local governments, special districts or regional authorities organized under State law, school districts, and rural or unincorporated communities represented by the State or a political subdivision of the State. (See FEMA Policy 9521.5, Eligibility of Charter Schools.)

The general principle for eligibility is that the facilities must be open to the public. If a local governmental entity forms a non-profit organization under
IRS 501(c), the new entity is defined as a PNP organization for treatment under the PA Program.

**Indian Tribes**
Federally recognized Indian Tribal governments, including Alaska Native villages and organizations, are eligible applicants. Privately owned Alaska Native corporations are not eligible applicants. (See FEMA Policy 9521.4, Administering American Indian and Alaska Native Tribal Government Funding.)

Generally Indian Tribes are considered applicants or subgrantees and receive grant funds from the State (Grantee). In some States, however, State regulations prohibit the State from acting as Grantee for an Indian Tribe. In such cases or upon their own choice, the Tribal government may act as its own Grantee. The Tribe must apply to the FEMA RA to become its own Grantee.

An Indian Tribal government that chooses to act as its own Grantee becomes responsible for the entire non-Federal share of the Public Assistance grant. In addition, the Tribal government will be required to comply with the following conditions in order to receive funding:

- meet all requirements placed on a grantee in accordance with 44 CFR Part 13;
- execute a formal FEMA-Tribal Agreement similar to the FEMA-State Agreement; and
- develop and submit a PA Administrative Plan similar to the State Administrative Plan.

**PNP Organizations**
PNP organizations that own or operate facilities that provide certain services of a governmental nature are eligible for assistance. These organizations, their facilities, and their services must meet additional eligibility criteria beyond those that apply to governmental applicants. (See FEMA Policy 9521.3, Private Nonprofit Facility (PNP) Eligibility.)

Qualifying PNPs are those that provide education, medical, custodial care, emergency, utility, certain irrigation facilities, and other essential governmental services. Essential governmental services are:

- museums;
- performing arts facilities;
- community arts centers;
• zoos;
• community centers;
• libraries;
• homeless shelters;
• rehabilitation facilities;
• senior citizen centers;
• shelter workshops; and
• health and safety services of a governmental nature, such as:
  o low-income housing;
  o alcohol and drug treatment centers;
  o residences and other facilities offering programs for battered spouses;
  o facilities offering food programs for the needy; and
  o daycare centers for children or those individuals with special needs (such as those with Alzheimer's disease, autism, and muscular dystrophy).

With the exception of educational, emergency, medical, and custodial care facilities, an eligible facility is only the location from which the qualifying service is delivered. Eligible PNPs are identified in 44 CFR §206.221(e), summarized in the list of PNP Facilities, and further described under PNP Eligible Services.

In order to be eligible for Public Assistance, PNP organizations are required by law and regulation to provide certain types of services and to follow special procedures. PNP organizations must have an effective ruling letter from the Internal Revenue Service at the time of the disaster granting tax exemption under Sections 501(c), (d), or (e) of the Internal Revenue Code, or satisfactory evidence from the State that the organization is a non-revenue producing, nonprofit entity organized or doing business under State law. Further, the specific facility for which the PNP organization is requesting funding must be used primarily for an eligible purpose consistent with the services identified above and, generally, be open to the public.

Certain types of PNPs are not required to be open to the public. These are educational, utility, emergency, medical, or custodial care services, as further
defined in 44 CFR §206.221(e). For instance, a school run by a religious-oriented PNP that restricts enrollment to students of a particular religious faith will be eligible for assistance if the school is primarily used for secular educational purposes. All other types of PNPs are required to be open to the public. These include eligible irrigation facilities as well as those providing certain essential governmental services to the general public as defined in 44 CFR §206.221(e)(7).

Examples of ineligible PNPs are those restricted to:

- a certain number of people in the community; or
- members that have a financial interest in the facility, such as a condominium association.

To be open to the general public, access to the use of PNP services must not be restricted. Membership requirements or restrictions on services that do not disqualify PNPs for Public Assistance include:

- fees that cover only administrative processing costs;
- fees that can be waived upon demonstration of need; or
- restriction to a group of users where at least one parameter is open ended, such as all youth under age 16.

Application Requirements for PNPs

Emergency Work. All PNPs that are eligible for FEMA assistance, as described above and in 44 CFR §206.221(e), apply directly to FEMA through the State for emergency assistance under 44 CFR §206.225.

Permanent Work. Eligible PNPs seeking reimbursement from FEMA for permanent repairs and restoration apply for disaster assistance according to the following requirements, depending on whether their facility is deemed to provide "critical" or "non-critical" services by the Stafford Act:

- Critical services are defined as those providing power, water, sewer, wastewater treatment, communications, education, and emergency medical, fire protection, and emergency services. PNPs that provide critical services apply to FEMA through the State for permanent repair and restoration assistance. All other PNPs are considered to provide "non-critical" services and must follow the application process described below. PNPs that provide critical services may have damaged facilities that do not provide critical services, e.g., auditoriums. When critical and non-critical services share a single facility, the PNP is not required to apply to the Small Business Administration (SBA) for a repair loan for the facility.
Non-critical services are those that do not qualify as critical service facilities. PNPs with non-critical services must first apply to the SBA for a low-interest loan for repair of disaster damages.

The SBA loan application process for "non-critical" PNP services will generate one of three outcomes:

1. If the PNP is declined for an SBA loan, then the PNP may apply to FEMA for Public Assistance.
2. If the SBA loan fully covers eligible damages from the disaster event, then no assistance from FEMA is available.
3. If the maximum loan for which the facility is eligible does not fully cover damage eligible under the PA Program, then the PNP may apply to FEMA for the difference.

If an applicant applies for an SBA loan, is approved, and opts not to take the loan, the applicant still may be eligible for funding by FEMA for the difference between the SBA loan and eligible costs.

PNPs providing either critical or non-critical services should submit claims to insurance carriers and apply to FEMA for uncovered emergency assistance (debris clearance and emergency protective measures). The requirement to apply for an SBA loan only applies to PNPs with non-critical services seeking assistance for permanent repair or restoration of damaged facilities.

PNPs with facilities that provide non-critical services (see PNP Facilities) are responsible for taking these actions as soon as possible after a disaster has damaged their facilities:

A. **Apply for FEMA assistance.** It is important that a PNP apply to FEMA immediately after a disaster so that FEMA can inspect the disaster damages and prepare a Project Worksheet (PW). The PW will be held by FEMA until a loan decision is made by the SBA.

B. **Apply for a disaster loan from the SBA.** If an SBA loan is declined or does not fully cover the damage eligible under the PA Program, the PNP may be eligible for FEMA assistance. In such cases, FEMA may not be able to fairly estimate the damages unless the PNP had applied to FEMA shortly after the disaster occurred (see A above).

When a PNP receives a loan determination from the SBA and the loan has been declined or will not fully cover the damages, the PNP should immediately notify the State and the State should immediately notify FEMA in order to reactivate the PNP's request for Public Assistance. The SBA typically
provides FEMA a copy of the loan determination, but the PNP must notify FEMA of its intention to seek disaster assistance.

Figure 1 depicts the application process for PNP applicants.

PNP Eligible Services

**PNP Education.** Educational institutions are defined in terms of primary, secondary, and higher education schools. For primary and secondary schools, an educational institution is a day or residential school that provides primary and secondary education as determined under State law. This generally means that the school satisfies State requirements for compulsory attendance. For higher education facilities, an educational institution is defined as an institution in any State that:

- admits as students persons having a high school diploma or equivalent;
- is legally authorized to provide education beyond the secondary level;
- awards a bachelor's degree or a two-year degree that is acceptable as full credit towards a bachelor's degree;
• is a public or PNP institution; and

• is accredited by a nationally recognized agency or association (as determined by the Secretary of Education). The PA Group Supervisor should consult with FEMA's Office of Chief Counsel (OCC) for institutions that are not accredited.

A higher education institution is also defined as any school that provides not less than a one-year training program to prepare students for gainful employment in a recognized occupation and that meets the provisions of the criteria set forth in the first, second, fourth and fifth bullets above.

Organizations that offer classes that qualify for credit at an accredited institution but do not meet the above defining requirements are not eligible applicants.

Eligible educational facilities include buildings, housing, classrooms plus related supplies, equipment, machinery, and utilities of an educational institution necessary or appropriate for instructional, administrative, and support purposes. They need not be contiguous. Buildings, structures, or related items used primarily for religious purposes or instruction are not eligible facilities.

PNP Medical. A medical facility is any hospital, outpatient facility, rehabilitation facility, or facility for long-term care, as defined below. A medical facility is also any facility similar to those listed below that offers diagnosis or treatment of mental or physical injury or disease. Eligible components include the administrative and support facilities essential to the operation of the medical facility, even if not contiguous.

**Hospitals** include general, tuberculosis, and other types of hospitals and related facilities, such as laboratories, outpatient departments, nursing home facilities, extended care facilities, facilities related to programs for home health services, self-care units, and central service facilities operated in connection with hospitals. This category also includes education or training facilities for health profession personnel operated as an integral part of a hospital. A medical organization that primarily furnishes home-based care is not considered a hospital under this definition.

**Outpatient facilities** are defined as facilities located in or apart from a hospital for the diagnosis or treatment of patients who are not actually admitted to a hospital. Such a facility may be one operated in connection with a hospital, or one in which patient care is under the professional supervision of a doctor licensed in the State.
Rehabilitation facilities are defined as facilities that are operated for the purpose of assisting the rehabilitation of disabled persons through a program of medical evaluation and services; and for psychological, social, or vocational evaluation and services that are under competent professional supervision. The major portion of these services should be furnished in the facility.

Facilities for long-term care are defined as facilities providing inpatient care for convalescent or chronic disease patients who require skilled nursing care and related medical services. Such facilities may be in a hospital, operated in connection with a hospital, or be in a location where services performed are under the professional supervision of a doctor licensed in the State, e.g., a nursing home or hospice.

Medical office buildings that are owned by PNP organizations but contain offices leased to for-profit practices of doctors and to other ineligible services are subject to special eligibility criteria. If the for-profit entities lease more than 50 percent of the building, the building is not eligible for Public Assistance. However, if at least 50 percent of the building is used for medical service activities associated with the PNP organization, FEMA will estimate damages to the entire facility, not just to the portion occupied by the eligible service. However, such assistance would be pro-rated based on the percentage of space occupied by the PNP organization. Contents within the ineligible space (that are occupied by the for-profit services) would not be eligible for any assistance. See PNP Mixed-Use Facilities for further discussion and examples regarding mixed-use facilities. For example:

A medical office building is damaged during a declared event, and the restoration costs are estimated to be $100,000. If 60 percent of the floor space in the building is used by a PNP organization and the other 40 percent is used by a for-profit practice, the maximum eligible for the project would be $60,000.

PNP Custodial Care. Custodial care facilities are those buildings, structures, or systems, including those essential for administration and support buildings that are used to provide institutional care for persons who do not require day-to-day medical care, but do require close supervision and some physical constraints on their daily activities for their self-protection.

PNP Emergency. Emergency facilities include buildings, structures, equipment, or systems used to provide emergency services, such as fire protection, ambulances, and rescue, even if not contiguous. Damages to their buildings, vehicles, and other equipment used directly in performing
emergency services, and administrative and support facilities essential to the operation of emergency services, are eligible.

**PNP Utility.** A utility includes buildings, structures, or systems, even if not contiguous, of energy, communication, water supply, sewage collection and treatment, or other similar public service facilities. This includes PNP irrigation facilities that provide water for essential services of a governmental nature. Eligible irrigation facilities include those that provide water for fire suppression, generating electricity, and drinking water supply. They do not include facilities that provide water for agricultural purposes. When an irrigation facility element has mixed purposes (e.g., a pump), eligible damages may include the percentage of damages related to eligible purposes, i.e., pro-rated damages.

**PNP Other.** Essential governmental service facilities not falling into one of the categories described above are:

- museums;
- zoos;
- performing arts facilities;
- community arts centers;
- community centers;
- libraries;
- homeless shelters;
- rehabilitation facilities;
- senior citizen centers;
- shelter workshops; and
- health and safety services of a governmental nature.

Their eligible assets need not be contiguous.

Facilities that provide health and safety services of a governmental nature include:

- low-income housing;
- alcohol and drug treatment centers;
- residences and other facilities offering programs for battered spouses;
• animal control facilities directly related to public health and safety when under contract with a State or local government;
• facility offering food programs for the needy;
• day care and before/after school centers for children; and
• day care centers for those individuals with special needs (such as those with Alzheimer's disease, autism, and muscular dystrophy).

For additional guidance regarding PNP community center and museum eligibility, See FEMA Policy 9521.1, Community Center Eligibility and FEMA Policy 9521.2, Private Nonprofit Museum Eligibility.

PNP Mixed-Use Facilities
Facilities with mixed uses must be primarily used for eligible activities. "Primarily used," means that over 50 percent of the facility space or over 50 percent of the time is used for eligible activities. FEMA will then consider damages to the entire facility, not just to the portion occupied by the eligible service. However, assistance would be pro-rated based on the percentage of space used for eligible purposes. Contents within the ineligible space would not be eligible for any assistance. (See also the discussion of "Active Use").

For example, community centers that are open to the public and established and primarily used as gathering places for a variety of social, educational enhancement, and community service activities may be eligible. However, facilities established or primarily used for religious, political, athletic, recreational, vocational, or academic training, artistic, conference, or similar activities are not eligible.

The community center must be established by the organization's charter or by-laws, and used for regularly scheduled activities, rather than simply offering space to a community organization. It may be necessary to obtain materials such as the organizational charter, articles of incorporation, activity logs, and other documents to verify use and eligibility.

A community center includes the building and associated structures and grounds. Each component must be evaluated separately to determine eligibility. For example:

If a community center complex consists of three buildings, two that serve as eligible community centers and one that serves as an administrative building, only two buildings are eligible for Public Assistance, as the administrative building does not provide an eligible activity.
PNP Ineligible Services or Facilities
Examples of ineligible services or facilities are:

- recreational facilities;
- job counseling or job training facilities;
- facilities for advocacy groups not directly providing health services;
- conference facilities;
- political education;
- advocacy or lobbying;
- religious service or education;
- facilities for social events;
- parking facilities not in direct support of an eligible facility;
- roads owned and operated by a Homeowners' Association or gated community; and
- irrigation unless the facility provides water for fire suppression, drinking, or generating electricity.

Homeowners' Associations and Gated Communities
Homeowners' Associations often prohibit access with gates and other security systems. When access is restricted, the services and facilities cannot be considered open to the general public and, therefore, are not eligible for Public Assistance funding except as described below:

- Removal of debris from roadways within the community to create an emergency path of travel is eligible if performed or contracted for by an eligible local or State level government entity with legal authority and applied for by the eligible local or State entity.
- If the Homeowners' Association meets the criteria for an eligible PNP under the PA Program, it may claim costs for the repair of its eligible education, medical, custodial care, emergency, and utility (except irrigation) facilities.

Repairs of roadways, irrigation facilities, and facilities that provide governmental services other than those listed above are not eligible. PNP recreation facilities are ineligible whether the community is gated or not.
Other PNPs that offer a mix of eligible and ineligible facilities are subject to the same provisions as those described above.

**Community Development Districts**
Community Development Districts (CDDs) are special districts authorized under State law to finance, plan, establish, acquire, construct/reconstruct, extend/enlarge, equip, operate, and maintain systems, facilities, and basic infrastructure within their respective jurisdictions. Applicant eligibility criteria are: establishment under State law; legal responsibility for ownership, maintenance, and operation of an eligible facility; and open access to the general public.

When access is restricted by gates and other security systems, the services and facilities cannot be considered public and are not eligible for Public Assistance funding except as described below:

- Removal of debris from roadways within the community to create an emergency path of travel is eligible if performed or contracted for by an eligible local or State level government entity with legal authority and applied for by the eligible local or State entity. If established for the purpose of road maintenance, the CDD may do the work and apply as an applicant.

- Emergency protective measures for and repair of facilities for which the CDD was created. If it was created for water and sewer operations or for roads, it may claim assistance for only those facilities. Even though the CDD is an eligible applicant, its other facilities are ineligible for emergency and permanent work.

**Public Entities**
Certain "public entities" also may be eligible applicants. Public entities (e.g., Port Authority of New York and New Jersey) are those organizations that are formed for a public purpose and do not constitute one of the other forms of local government specified in the Stafford Act. To qualify for assistance, these types of applicants must receive direction and a majority of their funding from the State or one or more political subdivisions of the State. Application for Public Assistance, as with assistance for facilities that serve rural or unincorporated communities (see page 23), must be made by a State or a political subdivision of the State that will ensure the completion of work at the facility.

*Private Nonprofit Facilities: Permanent Work*

**Eligible Facilities**
Critical Services

- Power facilities for generation, transmission and distribution of electric power
- Water facilities for treatment, transmission, and distribution by a water company supplying municipal water. Water provided by an irrigation company for potable, fire protection, or electricity generation purposes
- Sewer and wastewater facilities for collection, transmission, and treatment
- Communications facilities for transmission, switching, and distribution of telecommunications traffic
- Education facilities
- Emergency medical care facilities that provide direct patient care, including hospitals, clinics, outpatient services, hospices, and nursing homes and rehabilitation centers that provide medical care
- Fire protection/emergency services; fire and rescue companies including buildings and vehicles essential to providing emergency services, and ambulance companies
- Eligible facilities supporting facilities that provide critical services (e.g., hospital labs, storage, administration, and records areas) except for irrigation facilities

Non-Critical Services

- Alcohol and drug treatment facilities that do not provide medical care
- Rehabilitation centers that do not provide medical care
- Animal control facilities directly related to public health and safety when under contract with State or local government
- Community centers
- Custodial care
- Daycare and before/after school centers for children
- Daycare centers for those individuals with special needs (e.g., those with Alzheimer's disease, autism, muscular dystrophy, etc.)
- Performing arts facilities
- Community arts centers
• Food programs for the needy
• Homeless shelters
• Libraries
• Low-income housing (as defined by Federal, State, or local law or regulation)
• Museums
• Residential facilities for the disabled
• Residences and facilities offering services for battered spouses
• Assisted living facilities
• Senior citizen centers
• Shelter workshops
• Zoos
• Eligible facilities supporting irrigation facilities and facilities that provide non-critical services

Ineligible Facilities
• Advocacy or lobbying groups not directly providing health services
• Cemeteries
• Conference facilities
• Daycare centers for those other than included as eligible
• Irrigation facilities used solely for agricultural purposes
• Job counseling and training centers
• Political education facilities
• Property owners associations' facilities such as roads and recreational facilities, except those facilities that could be classified as utilities or emergency facilities
• Public housing, other than low income
• Recreation facilities
• Facilities for religious services or religious education
• Parking facilities not in direct support to an eligible facility

**Facility**

A facility is defined as:

- any publicly or PNP-owned building, works, system, or equipment (built or manufactured); or
- certain improved and maintained natural features.

A group of buildings is not a facility.

The improvement of a natural feature should be based on a documented design that changes and improves the natural characteristics of the feature. Examples of such improvements include soil stabilization measures (such as terracing) and channel realignment. The constructed improvement must result in a measurable difference in performance over the unimproved natural feature. It is then the improvement itself that must be maintained for the natural feature to be considered a facility. The maintenance of this improvement must have been done on a regular schedule and to standards to ensure that the improvement performed as designed.

Certain improved and maintained natural features of publicly owned golf courses [e.g., sand traps, drainage, and greens (without grass)] may be considered facilities.

Examples of improvements that do not qualify as eligible facilities include agricultural lands and planted trees and shrubs.

**Legal Responsibility**

An eligible applicant must be legally responsible for the repair of the damaged facility or the performance of eligible emergency services at the time of the disaster. FEMA may approve a post-disaster transfer of an eligible facility from one eligible applicant to another eligible applicant in extraordinary situations. If an eligible applicant did not have legal responsibility, the facility is ineligible for assistance.

Ownership of a facility is generally sufficient to establish responsibility. If an applicant owns but leases out an eligible facility, repairs to the facility are eligible, unless the lease states that the lessee is responsible for repair of the type of damage sustained or maintaining insurance for repairs. If the applicant is the lessee (tenant), repairs to that facility are not eligible unless the lease specifically states that the lessee is responsible for the repairs. Facilities owned by Federal agencies typically are not eligible for Public Assistance. Some Federal agencies, however, may have turned responsibility for operation and maintenance of facilities over to local agencies so that the local
agencies have the legal/financial responsibility for operation and maintenance. These may be eligible facilities. Examples include roads constructed by the U.S. Forest Service and the Bureau of Indian Affairs, and reservoirs and water delivery systems constructed by the U.S. Bureau of Reclamation.

Often, citizens in rural or unincorporated communities will band together for the purpose of maintaining common facilities through the formation of a legal entity. Because such facilities serve the community, they may be eligible for Public Assistance, even though they are not owned by an eligible applicant, if a State or political subdivision of the State submits the request for assistance and assumes responsibility for completion of the work. The damaged facility must be included within the purpose for which the organization was formed. The purpose of the facility must have been for use by the general public and not for private or commercial uses. The facilities must be owned by a legal entity, not just an individual, in order to be eligible.

See also "Legal Responsibility" under discussion of "Work" on pages 30-31.

Other Federal Agencies
For certain types of facilities, other Federal agencies have authority to provide disaster assistance. Public assistance is not available for the permanent repair of such facilities and is limited to emergency work. This is true even when the responsible agency lacks funds. When an applicant requests Public Assistance for a facility whose repair FEMA considers to be within the authority of another Federal agency, FEMA will ask the specific Federal agency with responsibility to review the request and advise FEMA whether the work would be eligible under that agency's authority. If the work falls outside the statutory authority of that agency, FEMA may consider providing assistance for the work under the Stafford Act.

Since some agencies must perform work or let a contract for the work themselves (and are not authorized to reimburse an applicant), an applicant may find that it cannot be reimbursed for the work it did. Denial of payment by itself is not a basis for requesting Public Assistance from FEMA. However, if there is an emergency need, FEMA may consider assistance for emergency work that has been done or paid for by the applicant. Permanent work is not eligible for Public Assistance in these circumstances.

Public Assistance funding cannot be used for the non-Federal cost share of other Federal agency funding. In addition, when another Federal agency has a minimum threshold for work, FEMA will not fund the amount under the threshold.
Federal agencies that often have authority to provide disaster assistance are discussed below.

**U.S. Army Corps of Engineers (USACE).** The USACE has continuing authority to conduct emergency repair and permanent restoration of damaged flood control works. Flood control works are those facilities constructed for the purpose of eliminating or reducing the threat of flooding. Examples include:

- levees;
- floodwalls;
- flood control channels; and
- dams designed for flood control.

Because permanent restoration of these facilities falls under the authority of the USACE, Public Assistance funding is not available. This restriction applies even if USACE funding is denied. However, Public Assistance funding may be provided for emergency measures to include debris removal and flood fighting.

Emergency repair may be eligible if, at the time of the disaster, the facility is not enrolled in the USACE program and the facility has not previously received FEMA assistance for emergency repairs. A condition of funding will be that the applicant enrolls the subject facility in the program; if it does not enroll, funding for the repair and restoration of the facility will not be provided in subsequent disasters. If the facility is already enrolled in the USACE program at the time of the disaster, or has received emergency repair assistance from FEMA previously, Public Assistance is not available for emergency repair.

The USACE also has the authority to construct and repair facilities that protect the shorelines of the United States. The USACE repair authority extends only to federally constructed shoreline works. It does not extend to locally owned facilities. Therefore, federally constructed facilities are not eligible for Public Assistance funding, but locally owned shoreline works may be eligible.

See [FEMA Policy 9524.3](#) for discussion of levees and flood control works.

**Department of Agriculture - Natural Resources Conservation Service (NRCS).** Under the Emergency Watershed Protection Program, the NRCS has authority for the repair of flood control works that is similar to that of the USACE. Because of these overlapping authorities, the two agencies have a memorandum of understanding that provides guidance in dividing responsibilities when a disaster occurs. The NRCS authority applies to
drainage basins of 400 square miles or less. (The USACE is responsible for flood works within a larger drainage basin.) The NRCS also has authority to remove debris from stream channels, road culverts, and bridges. Cost share requirements apply. This overlap with the FEMA program may result in FEMA’s deferring to the NRCS.

Department of the Interior - Bureau of Indian Affairs (BIA). The BIA provides resources, such as road maintenance grants, that may help Tribal recovery. See also the Federal Highway Administration discussion below.

Federal Highway Administration (FHWA). The FHWA administers the Emergency Relief Program to assist State and local governments with the repair of Federal-Aid roads and bridges damaged during disasters. Funds from this program are used for facilities on routes identified by the FHWA. They include most public roads except those functionally classified as rural or minor collector routes. Rural or minor collection routes are eligible for FEMA assistance.

The Emergency Relief Program is the responsibility of the Secretary of Transportation and is available independently of major disaster and emergency declarations made by the President. Emergency Relief funds are used for both emergency and permanent work and are granted on the basis of inspections performed by FHWA and State highway department personnel. Eligible Emergency work includes debris removal even when there is no physical damage to the roads.

Because restoration of certain facilities falls under the authority of FHWA, the Stafford Act specifically excludes permanent restoration of them under the PA Program. As a result, Public Assistance for the permanent repair of these facilities is not available, even if the Emergency Relief Program is not available. Therefore, there will be times when no assistance is available for the permanent repair of some facilities.

FEMA may assist with limited emergency repairs and debris clearance on a case-by-case basis and only for those cases in which there is an immediate threat to the public health and safety.

There are certain roads on Indian reservations that have been designated by the Bureau of Indian Affairs as falling under the authority of the FHWA. These roads are subject to the restrictions discussed above. It may be necessary to consult the Bureau of Indian Affairs to determine repair responsibility of damaged roads on reservations.

FHWA is also discussed on page 68 under "Category A - Debris Removal" and page 80 under "Category C - Roads and Bridges."
Department of Housing and Urban Development. When a Public Housing Authority (PHA) is determined to be an eligible applicant, disaster assistance may be available from both FEMA and the Department of Housing and Urban Development (HUD). FEMA will provide assistance for emergency work including debris removal, demolition of unsafe structures, and any actions necessary to reduce an immediate threat to life, property, and public health and safety. In most cases, HUD will provide assistance for permanent restoration costs as authorized by the United States Housing Act of 1937. PHAs that do not qualify for assistance under the Housing Act of 1937 may apply directly to FEMA for permanent restoration work. [See FEMA Policy 9523.7, Public Housing Authorities (PHAs).]

Active Use
A facility must be in active use at the time of the disaster. Inactive facilities are not eligible. Exceptions to this requirement occur when:

- the facility was only temporarily inoperative for repairs or remodeling;
- the facility was unoccupied for a short time between tenants;
- active use by the applicant was firmly established in an approved budget; or
- the applicant can clearly demonstrate to FEMA that there was intent to begin use within a reasonable amount of time.

This requirement is also applied to a facility that is partially occupied and partially inactive at the time of a disaster. Inactive portions would not be eligible unless the exceptions noted above apply. In all cases, the facility in question must have been eligible for assistance during the time it was in use. When the eligible repairs would benefit a non-active area, the assistance will be pro-rated according to the percentage of the facility that was in active use.

For PNP facilities, over 50 percent of the facility had to be in active use for an eligible purpose at the time of the disaster in order for the facility to be eligible. See the PNP Mixed-Use Facilities section on pages 19-20 for further discussion and examples regarding pro-rating assistance for these circumstances.

Alternate Use
If a facility is being used for purposes other than those for which it was originally designed, the eligible cost of restoration for that facility is limited to:

- restoring the facility to its original design and capacity; or
- restoring the facility to the immediate pre-disaster alternate purpose, whichever costs less.
For example:

If an office building is being used as a storage facility at the time of a disaster, only those repairs that may be needed to restore a storage facility are eligible. Any special lighting or wall and floor finishes that are typical of an office building would not be necessary for a storage facility and, therefore, would not be eligible.

In the case of PNP facilities, the primary purpose for the establishment of the facility is important for the eligibility determination. For example:

A facility established as a church (an ineligible purpose) might be used on occasion as a homeless shelter, while its primary purpose remained as a church. It would be ineligible based on the primary or majority use.

Facilities Under Construction or Scheduled for Replacement

Typically, a facility under construction is the responsibility of the contractor until the owner has accepted the work as complete. Because a contractor is not an eligible applicant, the portion of the facility under the contractor’s responsibility is not eligible for Public Assistance. In the event of damage to a facility under construction, FEMA must determine if the applicant is responsible for repairs before granting assistance. Repairs are eligible if the contract under which the work is being performed places responsibility for damage on the applicant during the construction period. Repairs are also eligible if, prior to the disaster, the applicant had accepted the work and had, therefore, assumed responsibility. If the applicant had accepted responsibility for a portion of the site, repairs to only that portion of the site would be eligible.

When a facility or portion of that facility is under contract for repair or replacement using non-Federal funds, damage to the portion of the facility under contract is eligible, but FEMA will subtract the contract amount from the cost of the work. This restriction in funding applies even if the work has not started at the time of the disaster. However, if an applicant had included a project in a budget but had not yet let a contract at the time of the disaster, that project is eligible.

If a facility has been scheduled for replacement using Federal funds and work is scheduled to begin within 12 months of the time the disaster struck, the facility is not eligible for funding. An example of a continuing program of this nature is the FHWA Bridge Replacement and Rehabilitation Program. The program provides for State or locally owned bridges to be replaced with FHWA assistance. The State sets priorities for this program and determines which bridges will be replaced. If a disaster damages or destroys a bridge scheduled for replacement, the State should be able to reschedule so that the damaged bridge can be replaced immediately rather than later in the year.
Work There are three general types of work that may be eligible, with different criteria for each:

- debris removal;
- emergency protective measures; and
- permanent restoration.

Debris removal and emergency protective measures are considered "emergency work." Permanent work includes restoring the facility back to its pre-disaster design, function, and capacity, including any codes and standards applicable to the approved work. Emergency and permanent work are discussed in the latter part of this chapter. Three general criteria apply to all types of work and to all applicants. These criteria are discussed below.

**Direct Result.** Work must be required as a direct result of the declared major disaster or emergency. The declaration by the President will designate the event, such as a severe storm, tornado, or flood, for which the declaration is being made. Damage that results from a cause other than the designated event, such as a pre-disaster damaging event, post-disaster damaging event, or work to correct inadequacies that existed prior to the disaster is not eligible. Damage caused during the performance of eligible work may be eligible.

FEMA establishes an incident period after consultation with the GAR. The incident period is the time span during which the disaster-causing incident occurs. This period varies in length, depending on the type of incident. For example:

- The incident period for a flood event could be several weeks because the water has to crest and recede, while the incident period for a tornado would be one day because the damage occurs in a matter of minutes.

Damage that occurs during the incident period, or damage that is the direct result of events that occurred during the incident period, is eligible. Protective measures and other preparation activities performed within a reasonable and justified time in advance of the event also may be eligible. For example, if a flood crest on a major river is forecast a few weeks in advance, sandbagging and construction of temporary levees to protect the community may be eligible if a disaster is later declared.

Protective measures to alleviate or lessen threats caused by the event may be performed after the incident period. Damage that occurs after the close of an incident period that can be tied directly to the declared event also may be eligible. Such damage may occur even a few months after the event and still be considered. For example:

- A hillside becomes saturated during a declared rain or flood event, but no movement of or damage to the slope is observed during the
incident period. After the incident period closes, the slope fails due to loss of strength caused by the saturated condition, causing damage to adjacent eligible facilities. Resulting damage may be eligible for Public Assistance. In some cases, a geotechnical investigation may be necessary.

**Designated Disaster Area.** Eligible work must be located within a designated disaster area. When a declaration of a major disaster is made for a State, FEMA will designate those counties of the State that are eligible for Public Assistance. Except for unusual situations, counties or independent cities are designated. Declarations for Tribal lands may be considered independent from surrounding communities, such that a Tribal land may receive a declaration even if the adjacent or surrounding county or city does not.

If the damaged facility is located within the designated area but the owner of the facility is from an undesignated area, the damaged facility may be eligible and that owner may apply for assistance. However, if an owner from within the designated area has a damaged facility located outside the designated area, that facility is not eligible, even if damaged by the same event.

The types of assistance available in the designated disaster area may vary among counties. Some counties may be eligible for reimbursement for both emergency and permanent work while others may be eligible to receive funding for emergency work only.

**Legal Responsibility.** As with eligible facilities (see page 23), work must be the legal responsibility of the applicant at the time of the disaster to be eligible. Ownership of a facility is generally sufficient to establish the responsibility for work to repair the facility. However, if an applicant leases a facility as a tenant, repairs to that facility are not eligible unless the lease states that the lessee is responsible to insure for and/or make minor and/or extraordinary repairs. A copy of the lease agreement should be provided to FEMA to determine responsibility. The lease usually contains general repair and maintenance language; however, responsibility for damage resulting from a disaster may not be established. In the absence of any mention in the lease, the owner of the facility will be assumed to be responsible for the repair. (See also "Legal Responsibility" under discussion of "Facility" on page 23.)

**Negligence**

Damage caused by negligence on the part of the applicant after the event is not eligible. This issue often arises when an applicant fails to take prudent measures to protect a facility from further damage in the wake of a disaster. For example:
The roof of a library is damaged during a hurricane, but the applicant does not install tarps on the roof to protect the building's interior for several weeks. Repeated rain showers during that time destroy the exposed books and furnishings. The damage caused by the rains would not be eligible unless the applicant could document and justify why emergency protective measures were not implemented in a timely manner.

Damage caused by an applicant's actions, if unavoidable, may not necessarily be negligence, especially in cases where the damage occurs during emergency response efforts. For example:

While using heavy equipment to build a temporary berm for emergency flood protection, an applicant damages the roads that provide access to the site. Even though the applicant caused the damage, the repairs to the roads back to their original condition may be eligible as Category B - Emergency Work. For Federal-Aid roads, only emergency repairs would be eligible. For local roads, repairs to pre-disaster conditions would be eligible.

In instances where ground is disturbed due to movement of heavy equipment performing eligible work, such as that described above or when repairing underground utilities within landscaped areas, replacement of damaged trees, shrubs or other ground cover is not eligible. See page 87 for further discussion of "Trees and Ground Cover."

Also note that damage caused by inadequate design is not necessarily considered negligence. For example:

If an undersized culvert contributes to damage to a road, the repair of the road still may be eligible.

Mold

Extensive disaster-related damage from external sources or from broken water pipes may cause eligible facilities to become inundated or exposed to wet and humid conditions for several days following a disaster. The disruption of electrical power may inhibit the use of water-extraction, pumping, and drying electrical equipment, and the limited availability of private repair and restoration contractors may delay cleanup activities. If this happens, water saturation may cause growth and propagation of mold on structures and interior contents, causing health-related problems and increasing the cost of repairs.

Mold remediation may be eligible under the PA Program, either as an emergency protective measure in the immediate aftermath of a disaster, or as part of the permanent repair work. For mold remediation to be eligible, the
mold must not be a result of poor facility maintenance or failure to take protective measures in a reasonable time after the event. The following information guides FEMA’s decision of whether the mold growth is a direct result of the disaster or pre-disaster in origin:

- Windows and exterior vents are susceptible to water infiltration if not properly sealed. Evidence of poor seals may indicate pre-disaster leaks, which could have caused mold growth.

- Poor surface water drainage flow around the structure could result in a propensity for water to accumulate around the building. The evidence of standing water against an exterior wall may indicate that the facility had a history of water intrusion, which could have caused the mold growth.

- The presence of rusted rain gutters or drains and vegetative growth in gutters is an indicator of poor building maintenance practices. Poorly maintained drain gutters could cause localized flooding at the base of the structures, water intrusion, and subsequent mold growth that could have existed before the disaster event. Likewise, the absence of rain gutters could have caused the same effects.

- If ceiling tiles have evidence of leakage, water intrusion may have occurred before the disaster event and caused mold growth.

See Fact Sheet 9580.100, Mold Remediation.

**Maintenance**

To meet the basic rule of eligibility, an item of work must be required as a direct result of the declared disaster. Normal maintenance items that existed prior to the disaster, such as pothole repair, routine pulling of ditches, and minor gravel replacement; and deferred maintenance, such as replacing rotted timber, and repairing deteriorated asphalt and leaking roofs, are not eligible because they do not meet the criterion of being disaster-related. For example:

If a culvert’s annual maintenance report indicates that the culvert was full of debris (tree limbs and sediment) before the disaster, the work to remove the obstructions from the culvert would not be eligible.

For facilities that require routine maintenance to maintain their designed function, such as culverts, roads, bridges and dams, it may be possible to review pre-disaster maintenance or inspection reports to verify the pre-disaster condition and to assess eligible disaster damage.

In instances where damage can be attributed to the disaster instead of lack of maintenance, repairs are eligible. It is the applicant's responsibility to show that the damage is disaster-related. Funding of repairs may be made
contingent upon the repair of pre-disaster damage with the applicant's own funds. For example:

FEMA may determine that repairs to a damaged bridge deck are eligible. However, the deck cannot be repaired unless the applicant replaces rotting timbers that support the deck.

Codes and Standards
When a facility must be repaired or replaced, FEMA may pay for upgrades that are necessary to meet specific requirements of reasonable current codes and standards. This situation typically occurs when older facilities must be repaired in accordance with codes and standards that were adopted after the original construction. These codes and standards may include Federal requirements, such as those mandated by EO 12699 (seismic requirements for new buildings) or the Americans with Disabilities Act (ADA), as discussed later in this section. However, this does not mean that Public Assistance grant funds will be provided to bring a facility into full compliance with current codes and standards. For example, FEMA will not fund construction of increased capacity because such work is beyond that necessary to restore the pre-disaster design capacity of the facility, except as noted for Category E (pages 83-85). Bringing facilities in violation of code or standard (at the time of the disaster) up to code is not an eligible program cost. The determination of which codes and standards are applicable to the work is very important in determining eligible work. Often codes are for new construction and not for repairs. For an upgrade to be eligible, the code or standard requiring the upgrade must meet the five criteria listed below.

1. The code or standard must apply to the repair work or restoration required. If a facility must be replaced, an upgrade would apply throughout the facility. However, if a facility needs repair work only, upgrades would apply to the damaged elements only. For example:

   FEMA would pay to install a code-required new sprinkler system throughout a multi-story building if that building were being replaced. However, FEMA would not pay for installing such a system if the eligible work involved repair only, unless it was required based on the amount of repair. FEMA would have to determine that the requirement is reasonable for the type and extent of the repair.

2. The code or standard must be appropriate to the pre-disaster use of the facility. For example, if a former classroom facility that was being used by a school district as a warehouse before the disaster is destroyed, standards applicable to the design and construction of classrooms do not apply; only those for warehouses would be eligible.
3. The code or standard must be reasonable, in writing, and formally adopted, and implemented prior to the disaster declaration date or be a legal Federal requirement. The appropriate legislative authority within the applicable jurisdiction must have taken all requisite actions to implement the code or standard. The effective date of the code provision must be before the declaration date. It is the responsibility of FEMA to determine the reasonableness of a code or standard. Federal requirements are subject to the same criteria as local or State standards.

4. The code or standard must apply uniformly to all facilities of the type being repaired within the applicant's jurisdiction. The code or standard cannot allow selective application; it cannot be subject to discretionary enforcement by public officials; it must be applied regardless of the source of funding for the upgrade work; and it cannot be applied selectively based on the availability of funds.

5. The code or standard must have been enforced during the time that it was in effect. FEMA may require documentation showing prior application of the standard.

See also "Category E - Buildings and Equipment" on pages 83-85.

EO 12699. EO 12699, Seismic Safety of Federal and Federally Assisted or Regulated New Building Construction, requires that all eligible construction of new buildings under the PA Program use appropriate seismic design and construction standards and practices. This is true regardless of the cause of the declared disaster and even if the applicant does not have applicable local or State seismic codes.

If a damaged building is eligible for replacement, the costs of meeting required and reasonable seismic codes are also eligible. (See FEMA Policy 9527.1, Seismic Safety - New Construction.) However, for new construction of an alternate or improved project, any additional costs to satisfy appropriate seismic requirements beyond those that would have been required, if any, for the original approved project are not eligible; yet the measures necessary to satisfy these requirements are required as a condition of the grant.

The Americans with Disabilities Act. The ADA applies to restoration of damaged facilities under the Stafford Act. The ADA requires that any building or facility that is accessible to the public or any residence or workplace be accessible to and useable by disabled persons.

When FEMA provides assistance to replace a damaged facility, the facility must meet applicable access requirements. FEMA will provide funds to comply with ADA when replacing a facility, whether or not the facility met
compliance prior to the disaster. However, a new facility funded as an alternate or improved project is limited to the eligible funding for the original facility even when the new facility has to comply with additional ADA requirements. Applicants notified of an ADA violation prior to the disaster and required to bring the facility into compliance are not eligible to receive FEMA funding to comply with accessibility requirements related to that violation.

For buildings eligible for repair, FEMA will fund the cost of ADA compliance requirements to the damaged elements of the facility. [See FEMA Policy 9525.5, Americans with Disabilities Act (ADA) Access Requirements.] In addition, FEMA may fund ADA compliance requirements for non-damaged elements associated with a path of travel for a primary function area that is damaged. A primary function area is where a major activity occurs for which the facility is intended, such as the dining area of a cafeteria. For primary function areas, FEMA will fund ADA compliance requirements for providing an accessible travel path and service facilities up to 20 percent of the total cost of repair to the primary function area.

Non-damaged areas of a damaged facility are not required to meet ADA requirements unless they are part of the travel path or service facility to a damaged primary function area, as described above.

**Repair vs. Replacement (50 Percent Rule)**
FEMA will restore an eligible facility to its pre-disaster design. Restoration is divided into two categories: repair or replacement. [See FEMA Policy 9524.4, Eligibility of Facilities for Replacement (the 50% Rule).] The following calculation, known as the "50 Percent Rule," is used to determine whether replacement is eligible:

IF (Repair Cost / Replacement Cost) < 50% THEN only the repair cost is eligible

IF (Repair Cost / Replacement Cost) > 50% THEN the replacement cost is eligible

**Repair Cost** includes only those repairs, including non-emergency mold remediation, associated with the damaged components and the codes and standards that apply to the repair of the damaged components. This cost does not include upgrades of other components triggered by codes and standards, design, demolition of the entire facility, site work, or applicable project management costs, even though such costs may be eligible for Public Assistance. The cost of contents and hazard mitigation measures is not included in the repair cost.

**Replacement Cost** includes the costs for all work necessary to provide a new facility of the same size or design capacity and function as the damaged
facility in accordance with current codes and standards. The replacement cost does not include demolition, site work, and applicable project management costs, even though these costs may be eligible for Public Assistance.

Note that the design capacity of the facility, either as originally designed or as modified by later design, governs the extent of eligible work when a facility is being replaced. If a facility was being used in excess of its design capacity, that factor does not increase the eligible capacity of a replacement facility. Note also that the 50 Percent Rule applies to the overall facility. It is not to be used to calculate replacement of the facility's individual components, e.g., equipment, a roof, a wall, or mechanical system. Consult CEF guidance when using the CEF to calculate the 50% threshold. Multiple buildings on a campus are analyzed individually.
The following table illustrates eligible cost determinations.

<table>
<thead>
<tr>
<th>Conditions</th>
<th>Eligible Costs</th>
</tr>
</thead>
<tbody>
<tr>
<td>1. The repair cost* does not exceed 50% of the replacement cost** and no</td>
<td>Repair of eligible damage only</td>
</tr>
<tr>
<td>upgrades are triggered</td>
<td></td>
</tr>
<tr>
<td>2. The repair cost* does not exceed 50% of the replacement cost** and whole</td>
<td>Repair of eligible damage plus</td>
</tr>
<tr>
<td>building upgrade is triggered and the total of the two items is greater</td>
<td>upgrade cost.</td>
</tr>
<tr>
<td>than 50% but less than 100% of replacement cost**</td>
<td></td>
</tr>
<tr>
<td>3. The repair cost* does not exceed 50% of the replacement cost** and whole</td>
<td>Repair of eligible damage plus</td>
</tr>
<tr>
<td>building upgrade is triggered and the total of the two items is estimated</td>
<td>upgrade cost, but total eligible</td>
</tr>
<tr>
<td>to be greater than 100% of replacement cost**</td>
<td>costs capped at the replacement cost.</td>
</tr>
<tr>
<td>4. The repair cost* exceeds 50% of replacement cost**</td>
<td>The building's full replacement cost (but no more</td>
</tr>
<tr>
<td></td>
<td>than its replacement cost) is eligible.</td>
</tr>
</tbody>
</table>

NOTES:
* "Repair cost" in these examples includes repair of damaged components only, as described on page 36.
** "Replacement cost" is replacement of the same size or designed capacity and function of the building to all applicable codes, as described on page 36.

In most cases, the criteria outlined in this table are adequate for repair and replacement projects. However, particular attention should be paid to the repair of damaged historic buildings. Such repair could trigger a requirement to upgrade a structure to new construction standards, while at the same time maintaining historic features. The total restoration cost, in this situation, may exceed replacement cost, as in condition 3 in the table, but the excess over the replacement cost is not eligible.

The regulations contain an exception to the funding limitation described in Table 2 that applies only when a facility is eligible for listing or listed in the National Register of Historic Places. If an applicable standard requires a facility to be restored in a certain manner and disallows other options, such as leaving the facility unrestored, the eligible cost to complete the restoration may exceed the replacement cost. See 44 CFR 206.226(f)(3).
**Temporary Relocation**
When buildings that house essential services, such as school classrooms, police and fire department facilities, government offices, and certain PNP functions, such as critical health facilities, are damaged extensively enough that they cannot be used until repairs are made, temporary relocation of the essential services may be necessary. Other PNP facilities may be eligible if they are directly related to public health and safety and under contract with State and local government to provide the health and safety functions. Temporary relocation may also be necessary in instances where such buildings are undamaged but inaccessible due to disaster-related conditions in the immediate vicinity. The criticality of the service and safety of the facility are the factors used to determine the need for temporary relocation. Temporary relocation is permitted as an emergency protective measure under Section 403 of the Stafford Act.

The costs associated with temporary relocation are eligible but are subject to cost comparisons of alternate methods of providing facilities. Such costs include the rental or purchase of temporary space and equipment. The decision whether to rent or purchase space and equipment must be based on cost effectiveness. Utilities, maintenance, and operating costs of the temporary facility are not eligible. However, applicants who perform essential services in leased facilities who have had to temporarily relocate to other leased facilities as a result of the disaster may be eligible for a reasonable rental cost differential if the temporary facilities are more costly than the pre-disaster facilities.

The moving costs, as well as necessary alterations at the new location, might be eligible if the continued operation of the facility is necessary to eliminate immediate threats to life or property.

The length of time that rental costs are eligible is based on the time estimated to complete repair work that will bring the damaged facility to pre-disaster design, not including time for completion of improvements. Normally, the period of time for which temporary relocation assistance may be provided is 6 months, based on the regulatory time limitation for the completion of emergency work. If no additional funds are involved, the GAR may approve a time extension if the GAR is satisfied that extenuating circumstances beyond the control of the applicant prevented the completion of the work within the initial time limit and that the applicant has provided the design proposal, a schematic, and a revised timeline for the permanent project. If additional funds are required, the GAR may recommend to FEMA a time extension based on extenuating circumstances beyond the control of the applicant that prevented the completion of the work within the initial time limit and the provision of the design proposal, a schematic, and a revised timeline for the permanent project. An extension requiring additional funding may not be
granted without a design proposal, schematic, and timeline for the permanent work. Extensions beyond a total temporary relocation period of 12 months are extremely rare, but may be approved by the FEMA Regional Administrator if construction began within the 12-month period. (See FEMA Policy 9523.3, Provision of Temporary Relocation Facilities.)

Permanent Relocation
An applicable Federal, State, or local standard, such as a floodplain management regulation, may require that a damaged facility be relocated away from a hazardous area. Such relocations also may be required by FEMA if the facility is subject to repetitive heavy damage because of its location. In either case, FEMA will provide assistance for the relocation project only if it is cost effective and not barred by any other FEMA regulations or policies. Eligible costs of a relocation project include:

- demolition and removal of the old facility;
- land acquisition;
- construction of the new facility, including compliance with environmental requirements; and
- construction of ancillary facilities, such as roads and utilities.

To determine cost effectiveness, benefits are measured in terms of the damage prevented by moving away from the hazardous location. Generally, the project will only be cost effective if the damage is severe enough that the facility qualifies for replacement.

When a relocation to outside a hazard area is approved, no future Public Assistance funding for the repair or replacement of any facility subsequently built at the old site will be approved. An exception is given for facilities or structures that facilitate an open space use. Examples include minimal facilities for a park, such as benches, tables, restrooms, and minor gravel roads. When such a restriction is placed on a site, the applicant will be notified.

If relocation is not desired, feasible or cost effective, and restoration in the original location is not a practicable alternative because of floodplain, environmental, historic preservation, or other Special Considerations, the applicant may request that the funding be applied to an alternate project. Alternate projects are discussed in more detail on pages 111-112 of this guide.

Cost Generally, costs that can be directly tied to the performance of eligible work are eligible.
Such costs must be:

- reasonable and necessary to accomplish the work;
- compliant with Federal, State, and local requirements for competitive procurement (including 44 CFR Part 13); and
- reduced by all applicable credits, such as anticipated insurance proceeds and salvage values.

A cost is reasonable if, in its nature and amount, it does not exceed that which would be incurred by a prudent person under the circumstances prevailing at the time the decision was made to incur the cost. In other words, a reasonable cost is a cost that is both fair and equitable for the type of work being performed. For example:

If the going rental rate for a backhoe is $25/hour, it would not be reasonable to pay $50/hour for a backhoe.

In the immediate aftermath of a disaster, shortages in equipment, materials, and labor may affect costs. Costs also may stabilize in the months after the disaster. These variations should be considered when establishing reasonable costs of repair.

Consideration should also be given to whether the cost is of a type generally recognized as ordinary and necessary for the subject facility and type of work and whether the individuals concerned acted with prudence in conducting the work. In addition, normal procedures must not be altered because of the potential for reimbursement from Federal funds. Reasonable costs can be established through:

- the use of historical documentation for similar work;
- average costs for similar work in the area;
- published unit costs from national cost estimating databases; and
- FEMA cost codes, equipment rates, and engineering and design services curves.

- FEMA staff make the final determination on the reasonableness of a cost.

In performing work, applicants must adhere to all Federal, State, and local procurement requirements.

An applicant may not receive funding from two sources for the same item of work. The Stafford Act prohibits such a duplication of benefits. (See FEMA...
Policy 9525.3, Duplication of Benefits.) If FEMA funds are duplicated by another source, the FEMA funds must be returned. If another Federal agency has specific authority to fund certain work, then FEMA generally cannot provide funds for that project. A State disaster assistance program is not considered a duplication of Federal funding.

A duplication of benefits most commonly occurs with insurance settlements. If a damaged facility is insured, FEMA is required to reduce the amount of the grant by any insurance proceeds that the applicant anticipates or receives for the insured facility. If the applicant has not completed negotiations with the insurer at the time the Project Worksheet is developed, FEMA will estimate the anticipated proceeds and this value will be used for the reduction. See Chapter 4 for additional discussion regarding insurance requirements.

Grants and cash donations received from non-Federal sources designated for the same purpose as Public Assistance funds are considered a duplication of benefits. However, such grants and donations, including disaster relief funds provided by the State, may be applied towards the non-Federal cost share and are not considered a duplication of benefits. Grants and cash donations, including disaster relief funds provided by the State, that are received for unspecified purposes or ineligible work also do not constitute a duplication of benefits and can be applied to the non-Federal cost share.

Applicant "rainy day" funds are not considered a duplication of benefits.

The eligible cost criteria referenced above apply to all direct costs, including labor, materials, equipment, and contracts awarded for the performance of eligible work. This also includes any additional costs for compliance with codes and standards that meet FEMA's eligibility criteria, as well as any costs necessary to obtain permits. Compliance with environmental and historic preservation laws, regulations, and EOs may constitute eligible costs. (See Chapter 4, Special Considerations.)

Labor

Force account labor is defined as labor performed by the applicant's employees, rather than by a contractor. Force account labor costs associated with the conduct of eligible work may be claimed at an hourly rate. Labor rates include actual wages paid plus fringe benefits paid or credited to personnel. Different eligibility criteria apply to labor rates for different kinds of employees and work, as described below.

Permanent Employees. For debris removal and emergency protective measures, only overtime labor is eligible, regardless of normal duties or assignments. (See FEMA Policy 9525.7, Labor Costs - Emergency Work.)
For permanent work, both regular time and overtime are eligible. Regular time of permanent employees who are funded from an external source (e.g., by a grant from a Federal agency, statutorily dedicated funds, or rate payers) to work on specific non-disaster tasks is an eligible cost when the employee is performing emergency work. Overtime or compensatory time for "exempt" employees is not eligible, except where written policies allow for it, and cannot be contingent upon Federal funding. The costs of salaries and benefits for individuals sent home or told not to report due to the emergency conditions are not eligible for reimbursement. However, extraordinary costs for essential employees who are called back to duty during administrative leave to perform disaster-related emergency work are eligible if the procedures were provided for in a written policy prior to the disaster.

**Seasonal Employees.** Seasonally employed personnel, when covered under existing budgets and used for a disaster during the normal season of employment, are considered permanent employees for the purpose of cost eligibility.

**Reassigned Employees.** Many times during a disaster, employees are assigned to perform tasks that are not part of their normal jobs. The labor cost for the reassigned employee is eligible as long as the reassigned employee is performing eligible work.

For emergency work, only overtime is eligible for reassigned employees. For permanent work, both regular and overtime are eligible. An example of a reassigned employee performing eligible work is having an office employee stacking sandbags or a police officer removing debris from a roadway. The pay rate is based on the reassigned employee's normal rate of pay, not the pay level appropriate to the work.

**Backfill Employees.** When a permanent employee is performing eligible disaster-related work, it is sometimes necessary to provide a person to fill their normal position and duties. The following examples provide guidance on determining the eligibility of these backfill employee costs:

- If the backfill employee is an extra hire, the cost of this person represents an extra cost to the applicant. Straight time salary, benefits, and overtime costs are eligible for work performed by the backfill employee.
- If the backfill employee is a regular employee of the applicant, there is no extra cost. Only the overtime cost for work performed by the backfill employee is eligible.
- If the backfill employee is a regular employee who is called in on a weekend or other day off, there may be an extra cost. Straight time,
benefits, and overtime costs are eligible for work performed by the backfill employee.

- If the backfill employee is called in from vacation, there is no extra cost because the vacation can be rescheduled. Only overtime costs are eligible for work performed by the backfill employee.

**Temporary Employees.** Temporary employees are extra personnel hired as a direct result of the disaster to perform eligible work. An example of a temporary employee would be a laborer hired to perform repairs to roads damaged during the disaster. Regular and overtime costs are eligible for both emergency and permanent work performed by temporary employees when they are doing eligible work.

**Force Account Mechanics.** Time spent maintaining and repairing applicant-owned equipment is not eligible because this cost is included in equipment rates described on pages 48-49. Repair of disaster damage to equipment may be eligible, as described later in this chapter under Category E.

**Foremen and Supervisors.** Labor for both foremen and supervisors may be eligible for work forces engaged in disaster-related field activities to the extent that the time is associated with eligible work. (See "Project Supervision and Management Costs," pages 61-65, for further discussion.) However, the salaries of commissioners, mayors, department directors, police and fire chiefs, and other administrators usually are not eligible.

**Contract Supervision.** Reasonable costs of contractors hired to accomplish emergency work are eligible for reimbursement. Regular time salaries of the applicant’s employees overseeing contractors performing emergency work are not eligible. However, regular time salaries of force account labor for overseeing contractors performing permanent work are eligible.

**National Guard Labor and Prisoner Labor.** The Stafford Act contains specific reference to costs of National Guard labor and prisoner labor. Costs of using National Guard personnel to perform eligible work are eligible to the extent that those costs are being paid by the State. Prisoner labor costs are eligible at the rate normally paid to prisoners. Costs of prisoner labor also include transportation to the worksite and extraordinary costs of guards, food, and lodging.

**General Criteria for Labor Costs Davis-Bacon Act.** The Davis-Bacon Act requires Federal agencies to pay workers under contract to them the "prevailing wage," defined by the Department of Labor. The provisions of the Davis-Bacon Act do not apply to State or local contracts for work completed using Public Assistance funds under the Stafford Act. However, the provisions do apply to contracts let by other Federal agencies, such as the USACE,
when operating under a Mission Assignment from FEMA. If a State or local government incorporates Davis-Bacon wage rates as part of its normal practice for all contracts, regardless of funding source, those rates are eligible.

**Regular Time and Overtime.** For debris removal and emergency protective measures, only overtime labor is eligible for permanent employees, regardless of normal duties or assignments. For permanent work, both regular time and overtime are eligible for all employees. Policies for payment of overtime or premium pay must be reasonable and not be contingent on Federal funding. The policy must have set criteria for its activation and not be open to the discretion of management.

**Compensatory Time.** If an applicant has a written policy in place prior to the disaster for providing compensatory time in place of overtime, FEMA reimbursement will be based on that policy. Funding at a reasonable rate is eligible if the written policy requires it.

**Fringe Benefits.** Fringe benefits that are actually paid or credited as part of an established policy are eligible. Because certain items in a benefit package are not dependent on hours worked, such as health insurance, the fringe benefit rate will be different for regular and overtime hours. The overtime fringe benefit rate is usually significantly lower.

The following steps may be used to calculate the percentage of fringe benefits paid on an applicant's employee's salary. Note that items and percentages will vary from one entity to another.

1. The normal year consists of 2080 hours (52 weeks x 5 workdays/week x 8 hours/day). This makes no allowance for holidays and vacations.
2. Determine the employee's basic hourly pay rate (annual salary/2080 hours).
3. Fringe benefit percentage for vacation time: Divide the number of hours of annual vacation time provided to the employee by 2080 (80 hours (assuming 2 weeks)/2080 = 3.85%).
4. Fringe benefit percentage for paid holidays: Divide the number of paid holiday hours by 2080 (64 hours (assuming 8 holidays)/2080 = 3.07%).
5. Retirement pay: Because this measure varies widely, use only the percentage of salary matched by the employer.
6. Social Security and Unemployment Insurance: Both are standard percentages of salary.
7. Insurance: This benefit varies by employee. Divide the amount paid by the applicant by the basic pay rate determined in Step 2.

8. Workman's Compensation: This benefit also varies by employee. Divide the amount paid by the applicant by the basic pay rate determined in Step 2. Use the rate per $100 to determine the correct percentage.

Note: Typically, the applicant should not be charging the same rate for regular time and overtime. Those fringe benefits that vary with the number of hours worked may be eligible at the higher rate.

Sample Rates
Although some rates may differ greatly between organizations, the table below provides some general guidelines that can be used as a test of reasonableness when reviewing submitted claims. These rates are based on experience in developing fringe rates for several State departments. The rates presented are determined using the gross wage method applicable to the personnel hourly rate method. The net available hours method would result in higher rates.
The Applicant's Benefit Calculation Worksheet is available in the [PA Forms Library](#).

### Table 3: Paid Fringe Benefits

<table>
<thead>
<tr>
<th>Item</th>
<th>Rate</th>
</tr>
</thead>
<tbody>
<tr>
<td>Holiday Leave</td>
<td>4.00% (or less)</td>
</tr>
<tr>
<td>Accrued Vacation Leave</td>
<td>7.00% (or less)</td>
</tr>
<tr>
<td>Sick Leave</td>
<td>4.00% (or less)</td>
</tr>
<tr>
<td>Social Security Matching</td>
<td>6.2% of employee earnings up to $94,200 (in 2006)</td>
</tr>
<tr>
<td>Medicare</td>
<td>1.35%</td>
</tr>
<tr>
<td>Unemployment Insurance</td>
<td>0.25% (or less)</td>
</tr>
<tr>
<td>Worker's Compensation</td>
<td>3.00% (or less)</td>
</tr>
<tr>
<td>Retirement - Regular</td>
<td>17.00% (or less)</td>
</tr>
<tr>
<td>Retirement - Special Risk</td>
<td>25.00% (or slightly more)</td>
</tr>
<tr>
<td>Health Insurance</td>
<td>12.00% (or less)</td>
</tr>
<tr>
<td>Life &amp; Disability Insurance</td>
<td>1.00% (or less)</td>
</tr>
<tr>
<td>Administrative Leave</td>
<td>0.50% (or less)</td>
</tr>
<tr>
<td>Compensatory Leave</td>
<td>2.00% (or less)</td>
</tr>
</tbody>
</table>

Rates outside of these ranges are possible, but should be justified.

**See Also:** Applicant's Benefits Calculation Worksheet

**Materials** The cost of supplies that were purchased or taken from an applicant's stock and used during the performance of eligible work is eligible. Replacement costs may be determined by contacting area vendors.

**Equipment**

Certain ownership and operating costs for force account (that is, applicant-owned) equipment used to perform eligible work are eligible. Costs for use of automobiles and pick-up trucks may be reimbursed on the basis of mileage if less costly than hourly rates. For all other types of equipment, costs are reimbursed using an hourly rate. Reimbursable equipment rates typically include operation (including fuel), insurance, depreciation, and maintenance; however, they do not include the labor of the operator. Stand-by time for equipment is not eligible. However, if an applicant uses equipment intermittently for more than half of the normally scheduled working hours for a given day, use for the entire day may be claimed if adequate documentation is submitted. Equipment that is used for less than half of the normally scheduled working day is reimbursable only for the hours used.

See [FEMA Policy 9525.8, Damage to Applicant Owned Equipment](#), for guidance on recovering costs related to the repair of force account equipment.
damaged during the performance of eligible disaster work, including transit to the work site.

FEMA recognizes three types of equipment rates. Each is described as follows.

**FEMA Rates.** FEMA has published a schedule of equipment rates that is applicable on a national basis. If a piece of equipment used by an applicant is not on the FEMA schedule, documentation to justify the requested rate must be submitted to FEMA for the DRM's approval. If an entity has established rates for use in its normal day-to-day operations, the criteria listed below under State and local rates apply. If an entity does not have established rates, FEMA rates will be used.

**State Rates.** An applicant may claim reasonable rates that were developed using State guidelines up to $75 per hour. Rates over $75 per hour may be approved by the Disaster Recovery Manager (DRM) on a case-by-case basis. A State guideline would be an equipment cost methodology used by a State agency to account for the costs of using its own equipment. Care must be taken to examine the rate schedule before applying it to State or locally owned equipment. Some State highway departments have a schedule of rates for "force account" work, the meaning of which is generally different from its meaning in the PA Program. State highway usage of the term may mean a rate for contractor's equipment doing extra work on a project. PA Program usage means a rate for applicant-owned equipment. Therefore, FEMA may request verification that any such rate schedule is actually for applicant-owned equipment.

**Local Rates.** Rates developed by a local government can be used. Where local rates have been developed, reimbursement is based on the local rates or FEMA's rates, whichever is lower. If the local rate is lower and the applicant certifies that the rates do not reflect all actual costs, the higher FEMA rates may be used. The applicant may be requested to provide documentation of the basis for its rates.

**Equipment and Supplies Purchased for Disaster Use**

There are many instances where an applicant will not have sufficient equipment and supplies to respond to the disaster in an effective manner. For the purpose of this section, the following definitions apply:

- The term "equipment" means tangible, non-expendable, personal property having a useful life of more than one year and an acquisition cost of $5,000 or more per unit.
- The term "supplies" means all tangible personal property other than equipment.
While FEMA may assist the applicant in purchasing the needed equipment and supplies, the applicant is required to compensate FEMA for the Federal share of the cost of individual items of equipment and the aggregate total of supplies with a current fair market value in excess of $5,000 when the items are no longer needed for the disaster. For equipment and supplies below this threshold, the applicant may sell or otherwise dispose of the items with no compensation to FEMA. (See FEMA Policy 9525.12, Disposition of Equipment, Supplies and Salvaged Materials.)

The fair market value is the value of equipment and supplies determined by selling them in a competitive market or researching advertised prices for similar items on the used market. The current fair market value should be determined at the time the equipment and supplies are no longer needed for disaster operations regardless of when actual disposition takes place.

Salvage Value
When applicable, salvage value should be deducted from the estimated replacement cost. Disposition of salvaged materials must be at fair market value and the value must be reimbursed to FEMA to reduce the total project cost. For example, debris resulting from disasters, such as timber debris, mulched debris, and scrap metal, may have a market value. Reasonable costs for administering and marketing the sale of the salvageable materials is allowed to be recouped by the applicant from the fair market value. To reduce contract costs, applicant debris removal contracts may provide for the contractors to take possession of salvageable material and benefit from its sale in order to lower bid prices. When the salvage values are taken into account in the bid and award, no salvage value needs to be recouped at the end of the project. (See FEMA Policy 9525.12, Disposition of Equipment, Supplies and Salvaged Materials.)

Third Party Liability
When a third party causes damage (e.g., an oil spill) or otherwise increases the cost of repair or cleanup, the applicant is required to pursue the third party for recovery. If recovery is not adequate despite the applicant's good faith effort, costs may be funded through a PW. Reasonable costs (including reasonable legal fees) of such recovery may be deducted from the recovery before the deduction is made from the eligible costs.

Mutual Aid Agreements
In some cases, State or local governments use mutual aid agreements as an emergency preparedness device. A mutual aid agreement is an agreement between jurisdictions or agencies to provide services across boundaries in an emergency or major disaster. Such agreements usually provide for reciprocal services or direct payment for services. FEMA will reimburse mutual aid costs for eligible emergency work, when requested by the applicant (receiving
entity) in accordance with FEMA Policy 9523.6, Mutual Aid Agreements for Public Assistance. Key provisions are:

- reimbursement to the providing entity is not contingent on the receipt of Federal funding;
- the assistance is for the performance of eligible work;
- the claimed costs are reasonable;
- the work accomplished, the billing for assistance, and the payment for the assistance can be documented; and
- the claimed costs are in accordance with FEMA's mutual aid policy.

When a pre-event agreement provides for reimbursement, but also provides for an initial period of unpaid assistance, FEMA will pay the eligible costs of assistance after the initial unpaid period. When a pre-event mutual aid agreement provides for reimbursement and there is a consistent record of reimbursement without Federal funds, FEMA re-imbursement will follow the provisions of the agreement.

When the parties do not have a pre-event written mutual aid agreement, the Requesting and Providing entities may verbally agree on the type and extent of mutual aid resources to be provided to the current event, and the terms, conditions, and costs of such assistance. Post-event verbal agreements must be documented in writing and executed by an official of each entity with authority to request and provide assistance, and provided to FEMA as a condition of receiving reimbursement.

The Emergency Management Assistance Compact (EMAC) is a form of mutual aid. It establishes procedures whereby a disaster-impacted state can request and receive assistance from other member states quickly and efficiently. EMAC resolves two key issues up front: liability and reimbursement. The requesting State agrees to (1) assume liability for out-of-state workers deployed under EMAC and (2) reimburse assisting states for deployment-related costs. There are two types of work potentially eligible for FEMA reimbursement; grant management work and emergency work. To the extent the specific agreement between states meets the requirements of the FEMA policy on mutual aid agreements and the work meets FEMA eligibility requirements, costs may be eligible for FEMA assistance. Reimbursement for these costs would be subject to the Federal/non-Federal cost share for that disaster.

To be allowable, costs must be consistent with policies, regulations, and procedures that apply uniformly to both Federal awards and other activities of
the applicant. The receiving entity is responsible for requesting FEMA assistance and for the non-Federal cost share.

**Contracts**
Contracts must be of reasonable cost, generally must be competitively bid, and must comply with Federal, State, and local procurement standards. FEMA regulations at 44 CFR Part 13 - *Uniform Administrative Requirements For Grants And Cooperative Agreements To State And Local Governments* provide specific guidance on contracts. FEMA finds four methods of procurement acceptable. Each is described below in general terms.

**Small Purchase Procedures.** Small purchase procurement is an informal method for securing services or supplies that do not cost more than $100,000 by obtaining several price quotes from different sources.

**Sealed Bids.** Sealed bid procurement is a formal method where bids are publicly advertised and solicited, and the contract is awarded to the bidder whose proposal is the lowest in price (this method is the preferred method for procuring construction contracts).

**Competitive Proposals.** Competitive procurement is a method similar to sealed bid procurement in which contracts are awarded on the basis of contractor qualifications instead of solely on price (this method is often used for procuring architectural or engineering professional services).

**Noncompetitive Proposals.** Noncompetitive procurement is a method whereby a proposal is received from only one source. Noncompetitive proposals should be used only when the award of a contract is not feasible under small purchase procedures, sealed bids, or competitive proposals, and one of the following circumstances applies:

- the item is available only from a single source;
- there is an emergency requirement that will not permit a delay for competition;
- FEMA authorizes a noncompetitive proposal; or
- solicitation from a number of sources has been attempted, and competition is determined to be inadequate.

"Piggyback contracting" is a concept of expanding a previously awarded contract. Piggyback contracting does not meet the requirements of 44 CFR Part 13 because it is non-competitive and may have an inappropriate price structure. This type of contract is not eligible. However, FEMA may separately evaluate and reimburse costs it finds fair and reasonable.
It is important to recognize that an applicant may provide a contract that meets the legal and administrative procurement requirements but includes aspects that would not be eligible for FEMA funding. Each type of contract must be reviewed carefully to assure compliance with the FEMA scope of eligible work.

FEMA provides reimbursement for three types of contracts. They are:

- lump sum contracts for work within a prescribed boundary with a clearly defined scope and a total price;
- unit price contracts for work done on an item-by-item basis with cost determined per unit; and
- cost plus fixed fee contracts, which are either lump sum or unit price contracts with a fixed contractor fee added into the price.

Applicants should avoid using time and materials contracts. FEMA may provide assistance for work completed under such contracts for a limited period (generally not more than 70 hours) for work that is necessary immediately after the disaster has occurred when a clear scope of work cannot be developed. Monitoring is critical and a competitive process still should be used to include labor and equipment rates. Trimming trees of dangerous hangers may be an appropriate use of this type of contract, but only if an acceptable unit price contract is not feasible. Applicants must carefully monitor and document contractor expenses, and a cost ceiling or "not to exceed" provision must be included in the contract. If a time and materials contract has been used, the applicant should contact the State to ensure proper guidelines are followed. Cost plus a percentage of cost contracts are not eligible. However, FEMA may separately evaluate and reimburse costs it finds fair and reasonable. FEMA may review proposed contracts for compliance with FEMA eligibility rules and reasonableness of costs, but such a review does not constitute approval.

FEMA has developed an on-line debris contractor registry tool to assist State and local governments in identifying and contacting contractor resources. The registry tool can be found on FEMA's website (www.fema.gov/business/contractor.shtm). The information provided in the registry is maintained by contractors and their representatives. FEMA does not verify, and takes no responsibility for, the accuracy of any of the information submitted. FEMA does not endorse, approve, or recommend any contractors, including those in the registry. State and local governments should perform all appropriate due diligence prior to entering into a contract. Contracting with any of the entities listed in the registry does not assure a State or local government of reimbursement under a Federal grant. State and
local governments should follow their competitive procurement procedures when selecting a contractor.

**Loss of Revenue**
The loss of revenue is not an eligible cost authorized by the Stafford Act and, therefore, cannot be funded through the PA Program. Loss of revenue may occur:

- when a hospital releases non-critical patients in order to make room for disaster victims;
- when a hospital sustains damage that reduces its pre-disaster capacity;
- when a toll road is opened for evacuation of traffic and the normal toll is not charged;
- when the State waives the normal fee for ferry service to encourage alternate transportation after a disaster event; or
- when a utility system is shut down as the result of a disaster.

Applicants may suffer other costs that are ineligible for FEMA assistance, such as payment of salaries for employees sent home during an emergency.

**Increased Operating Expenses**
The costs of operating a facility or providing a service may increase due to or after a disaster. With few exceptions, these costs are not eligible. Some examples of ineligible costs are:

- increased hospital patient care costs;
- increased costs for feeding residents and staff of critical facilities;
- increased costs of administrative operations;
- increased costs for care and feeding of prisoners and people in residential facilities (schools, nursing homes, etc.);
- increased costs of telecommunications (e.g., additional cell phone instruments and fees);
- increased costs for copying, parcel delivery, photography, supplies, fuel, materials, and similar costs;
- food service (other than mass feeding as an emergency protective measure);
• increased cost of obtaining electrical power from an alternate source;
• increased cost of obtaining water from an alternate source; and
• costs of finance charges, e.g., interest on loans and bond costs to finance rebuilding.

However, reasonable short-term additional costs to an applicant that are directly related to accomplishing specific emergency health and safety tasks as part of eligible emergency protective measures may be eligible. If they can be documented and identified with a specific emergency task, some examples of potentially eligible costs are:

• increased utility costs of a permanently mounted generator at a hospital or at a police station;
• increased water-testing and water-treatment supplies in the immediate aftermath of a disaster to counter a specific threat;
• increased fuel for increased use of a pumping station;
• increased costs of vector control; and
• increased facility costs (e.g., electricity) for emergency operating centers of eligible applicants.

Examples of Emergency Protective Measures are given on pages 71-74.

Surveys for Damage
The owner of a facility is responsible for determining the extent of damage. Surveys are not eligible work under a PW. Such activities are covered by an applicant's administrative allowance. Examples of ineligible survey costs include:

• general surveys for eligible facilities;
• video inspection of sewer lines;
• bridge inspections to determine the possibility of damage; and
• pier inspections to determine the possibility of damage.

In some instances, damage to an inaccessible structure or structural component may be evident based on other observations, such as sunken ground above a buried pipeline, loss of or increased flow in a pipe, or visible damage to finishes. If such conditions are evident, FEMA may pay for inspections to determine the extent of damage and method of repair. When disaster-related damage is discovered during a survey or is evident from
other observation, inspection of only the damaged section is eligible. That limited cost may be included in the PW for the damages.

After a facility is determined to be damaged, costs for an engineering evaluation to determine the type and extent of repairs necessary to return the facility to its pre-disaster condition is eligible as part of the costs of permanent repair.

**Donated Resources**
Third party donated resources (volunteer labor, donated equipment, and donated materials) are eligible to offset the non-Federal portion of the cost for emergency work. (See [FEMA Policy 9525.2, Donated Resources](#).) The amount of credit that can be applied to a project is capped at the non-Federal share so that the Federal share will not exceed the applicant's actual out-of-pocket costs. Any excess credit can be applied to other emergency work projects of the same applicant.

Donated resources must apply to actual eligible emergency work, such as debris removal or the filling and placing of sandbags. An example of ineligible donated resources is volunteers helping individuals applying for assistance. The donated services must be documented and must include a record of hours worked, number of workers at the work site, and a description of work.

Volunteer labor will be valued at the same hourly labor rate as a similarly qualified person in the applicant's organization who normally performs similar work. If the applicant does not have employees performing similar work, the rate should be consistent with that for a similarly qualified person ordinarily performing the work in the same labor market.

The value for donated equipment should be determined by using the applicable FEMA equipment rate and multiplying it by the number of hours the piece of equipment was used to perform eligible work.

Donated materials are valued at the current commercial rate. If the materials were donated by a Federal agency, such as sandbags donated by the USACE, the value of the materials cannot be applied as credit.

**Engineering and Design Services**
The costs of basic engineering and design services normally performed by an architectural-engineering firm on complex construction projects are eligible for reimbursement. Such services include:

- preliminary engineering analysis;
- preliminary design;
- final design; and
• construction inspection.

While a final inspection and reconciliation will be used to determine the actual costs for reimbursement of these services, the costs can be estimated during project formulation using a percentage of the construction cost. Percentages are derived from FEMA engineering and design services cost curves. These curves, which were developed for FEMA from data developed by the American Society of Civil Engineers Committee on Professional Practice in 2005, show a correlation between engineering costs and total construction costs. These curves are shown in Figures 3 and 4. To use the curves, estimate construction costs for a project. Find the construction cost on the horizontal axis and, using the appropriate curve for either force account or contract work, read the associated percentage of engineering and design services from the vertical axis. This percentage can be multiplied by the estimated construction cost to determine an appropriate engineering and design cost estimate.

**Curve A** applies to projects of above-average complexity and non-standard design. Examples of such projects include:

- airports with extensive terminal facilities;
- water, wastewater, and industrial waste treatment plants;
- hospitals, schools, and office buildings;
- power plants;
- large dams and complicated small dams;
- highway and railway tunnels;
- pumping stations;
- incinerators; and
- complicated waterfront and marine terminal facilities.
NOTE: "Contract" and "Force Account" above mean engineering and design services performed by contract or by an applicant's own employees, respectively.


**Curve B** applies to projects of average complexity. Examples of such projects include:

- industrial buildings, warehouses, garages, hangars, and comparable structures;
- bridges and other structures of conventional design;
- simple waterfront facilities;
- roads and streets;
- conventional levees, floodwalls, and retaining walls;
- small dams;
- storm sewers and drains;
- sanitary sewers;
- water distribution lines;
- irrigation works, except pumping plants; and airports, except as classified for Curve A.

In addition to the basic engineering services, special services may be required for some projects. Such services include engineering surveys, soil investigations, services of a resident engineer, and feasibility studies. Because special services are not required on all projects, they are not included in the percentages on the engineering and design services curves. These services are estimated separately.

If a project requires only basic construction management, a fee not exceeding 3 percent of construction costs may be used for the estimate. Management functions include review of bids, work site inspection visits, checking and approval of material samples, review of shop drawings and change orders, review of contractor's request for payment, and acting as the client's representative. An example of a project requiring only inspection services but no design and engineering would be a building repair project that only included patching and painting damaged interior wall. Another example would be where a contractor is hired to repair local roads back to the pre-disaster condition, using local construction standards.

Estimates for engineering and design services and construction inspection typically are not included in small project estimates or emergency work project estimates except for complex projects or projects where special services are required.
NOTE: "Contract" and "Force Account" above mean engineering and design services performed by contract or by an applicant's own employees, respectively.
Actual costs, not estimated costs, for eligible engineering and design services should be claimed in large project final inspection and reconciliation. Costs that exceed the amounts determined by use of these curves will be reviewed for reasonableness and funded accordingly.

**Project Supervision and Grant Management Costs**

Applicants have several types of eligible supervisory and management costs available that serve different purposes and need to be identified and claimed separately. (See FEMA Policy 9525.6, Project Supervision and Management Costs of Subgrantees.) Commingling of these various costs and claiming them incorrectly may result in loss of eligible reimbursement. Project management costs provided when using the Cost Estimating Format methodology for estimating project costs (see pages 105-106) must not duplicate other requests for reimbursement.

The following items may be eligible project supervision and management costs:

A. **Supervision and Management by Force Account.** In general, applicant expenses for administration and management activities not specifically accountable to an eligible work project are ineligible. The regular time salaries of an applicant's permanently employed personnel who supervise or manage emergency work performed by an applicant's employees (or by contractors) are not eligible; only overtime costs are eligible for emergency work. Labor costs of second level supervisors (and above) are ineligible unless the applicant can account for specific time spent on eligible permanent projects. Generally, the labor costs of only first line supervisors of permanent work are eligible.

B. **Project Management Activities.** Project management is the oversight of an eligible project from the design phase to the completion of work. Eligible project management activities are those activities that the applicant would have performed in the absence of Federal funding, such as:

   o direct management of projects in the concept and design stages that are being designed by an applicant's in-house staff, or by an architectural/engineering firm retained to analyze and design the repair or replacement of damaged facilities;

   o procurement activities for architectural/engineering services and performance of work;

   o review and approval of the project design regardless of who performs the design work; and
D. **Master Service Agreements.** Local governments occasionally enter into Service Agreements or Master Service Agreements (MSAs) with private contractors for management or overview of disaster work. The agreements typically involve a broadly defined scope of services, allowing the local government to use the contractor for multiple tasks. An MSA might include various tasking for architectural/engineering services, construction and construction management services, procurement assistance (bid document preparation, bid analysis and review, etc.), and other technical services (environmental and historic consulting etc.). The eligibility of specific costs payable under an MSA depends upon the nature of the work. If a task under the MSA meets FEMA eligibility criteria, complies with 44 CFR Part 13, does not duplicate other work funded by FEMA, and is directly related to a specific, FEMA-approved project, the cost may be incorporated into the PW for the project it is supporting. Any general MSA costs not directly related to the performance of a specific eligible project are not eligible for reimbursement. Some of these costs may be covered by the Administrative Allowance (e.g., preparing the grant application). A separate PW just for MSA activities may not be prepared. Grantees employing similar services may request coverage of these expenses on a State Management PW.

E. **Administrative Allowance.** Federal regulations for grant programs allow the grant recipients to claim reasonable administrative costs, unless the law authorizing a grant program includes specific provisions for these costs. For the PA Program, the Stafford Act stipulates that each grant recipient be provided an allowance to meet the cost of administering the grant. The allowance is calculated differently for applicants and States and covers different costs for each.

**Applicants.** The Administrative Allowance for applicants (subgrantees) covers direct and indirect costs incurred in requesting, obtaining, and administering Public Assistance, i.e., grant management. No other administrative or indirect costs incurred by an applicant are eligible. Examples of the activities that this allowance is intended to cover include:

- identifying damage (to include photographs and flyovers of damaged areas);
- attending the Applicants' Briefing;
- completing forms necessary to request assistance;
The allowance is not intended to cover direct costs of managing specific projects that are completed using Public Assistance funds. These costs are eligible as part of the grant for each project, as long as they can be specifically identified and justified as necessary to do the work. For example:

The wages of a foreman on the site of a repair project would be a direct cost associated with that project and would not be included in an applicant's Administrative Allowance.

At the time of publication of this guide, FEMA was preparing to change the system for calculating the amount of compensation due. Until that new method is finalized, the following method will continue to be used.

The Administrative Allowance for an applicant is calculated as a percentage of all approved eligible costs that the applicant receives for a given disaster. The applicant is not required to submit documentation for its administrative allowance, but records are required to be kept for audit purposes. If there are surplus Administrative Allowance funds, they must be returned to FEMA. Retaining unspent funds and using them for another purpose is not permitted by Federal regulation. This percentage is calculated using a sliding scale as indicated in Table 4.
Table 4: Administrative Allowance - Applicants

<table>
<thead>
<tr>
<th>Total Amount of PA Project Funds</th>
<th>Allowance</th>
</tr>
</thead>
<tbody>
<tr>
<td>First $100,000 of net eligible costs</td>
<td>3 percent of net eligible costs</td>
</tr>
<tr>
<td>Next $900,000 of net eligible costs</td>
<td>2 percent of that $900,000 or less</td>
</tr>
<tr>
<td>Next $4,000,000 of net eligible costs</td>
<td>1 percent of that $4,000,000 or less</td>
</tr>
<tr>
<td>Net eligible costs in excess of $5,000,000</td>
<td>½ percent of that excess</td>
</tr>
</tbody>
</table>

**States.** The Administrative Allowance for States is provided for the extraordinary costs incurred for **overtime pay, per diem, and travel expenses** for State employees who participate in the administration of Public Assistance grants. It does not cover regular time labor costs, equipment purchases, contractor assistance, or other costs directly associated with grant administration.

Examples of administrative activities covered by the allowance include:

- field inspections;
- preparation of damage assessments and cost estimates;
- conducting Applicants' Briefings;
- working with applicants; and
- project monitoring, processing of appeals, final inspections, and audits.

The Administrative Allowance is calculated as a percentage of the Federal share of all Public Assistance funds (under Sections 403, 406, 407, 502, and 503 of the Stafford Act) actually awarded in the State for a given disaster. The percentage is calculated on the Federal share of eligible Public Assistance costs for the entire disaster using the same sliding scale as that used for applicants. Costs covered under the State Management Administrative Costs (see Table 5) are not included in the base calculation of the Administrative Allowance. The State is not required to submit documentation for its Administrative Allowance, but records are required to be kept for audit purposes.
At the time of publication of this guide, FEMA was preparing to change the system for calculating the amount of compensation due. Until that new method is finalized, the following method will continue to be used.

### Table 5: Administrative Allowance - Grantee

<table>
<thead>
<tr>
<th>Total Amount of PA Grant Funds</th>
<th>Allowance</th>
</tr>
</thead>
<tbody>
<tr>
<td>First $100,000 of net eligible costs</td>
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</tr>
<tr>
<td>Net eligible costs in excess of $5,000,000</td>
<td>½ percent of that excess</td>
</tr>
</tbody>
</table>

F. **State Management Administrative Costs.** In addition to reimbursement under the Administrative Allowance, a State Management PW is prepared to cover the regular time of State employees and other grant administration costs associated with performing grant management activities. If it is necessary for a Grantee to employ a contractor to perform this work, reasonable contractor costs, including overtime, travel, and per diem, are eligible. (See FEMA Policy 9525.11, Payment of Contractors for Grant Management Tasks.) FEMA will continue to fund State costs by the current system until FEMA publishes regulations for management costs.

G. **State Indirect Cost Reimbursement.** Indirect cost reimbursement is contingent on the State submitting a State Indirect Cost Rate Proposal or a Public Assistance Cost Allocation Plan per Attachments D and E of Office of Management and Budget (OMB) Circular A-87. The proposal or plan should be submitted to FEMA, Office of Financial Management, Disaster Finance Branch, Disaster Reports and Analysis Section, for approval.

**Categories of Work**

To facilitate the processing of Public Assistance grants, FEMA has divided disaster-related work into two broad categories, emergency work and permanent work. Emergency and permanent work are further divided into the seven defined categories shown in Table 6.
Emergency Work

Emergency work is that which must be performed to reduce or eliminate an immediate threat to life, protect public health and safety, and to protect improved property that is threatened in a significant way as a result of the disaster. Specific eligibility criteria for the two emergency work categories, Category A Debris Removal and Category B Emergency Protective Measures, are discussed in detail in the individual category discussions that follow.

Within the referenced criteria, the term "immediate threat" describes imminent danger or the threat of additional damage or destruction from an event that could reasonably be expected to occur within 5 years. It must be kept in mind, however, that the definition of "emergency" or "immediate threat" may differ where the requirements of other laws or Federal agencies are concerned. The following are examples of how this definition applies to various disaster scenarios.

For a flood, the immediate threat exists if a 5-year flooding event could cause damage or threaten lives, public health, and safety. This is not a flood that necessarily happens within 5 years, but a flood that has a 20 percent chance of occurring in any given year.

For a landslide, an immediate threat may exist if the earth on a slope could slide as the result of a moderate amount of rainfall. A geotechnical study may be necessary to determine if an immediate threat exists.

For an earthquake, an immediate threat may exist if moderate ground shaking, such as might be expected during an aftershock, could cause further damage to a structure or threaten the safety of the structure's occupants.

FEMA Procedures
FEMA-90
Annex FEMA_FEMA Reimb Procedures.doc
Adopted March 1, 2010

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### Table 6: Categories of Work

<table>
<thead>
<tr>
<th>Category</th>
<th>Type of Work</th>
</tr>
</thead>
<tbody>
<tr>
<td>Emergency Work</td>
<td>A Debris Removal</td>
</tr>
<tr>
<td></td>
<td>B Emergency Protective Measures</td>
</tr>
<tr>
<td>Permanent Work</td>
<td>C Roads and Bridges</td>
</tr>
<tr>
<td></td>
<td>D Water Control Facilities</td>
</tr>
<tr>
<td></td>
<td>E Buildings and Equipment</td>
</tr>
<tr>
<td></td>
<td>F Utilities</td>
</tr>
<tr>
<td></td>
<td>G Parks, Recreational Facilities, and Other Items</td>
</tr>
</tbody>
</table>
For a hurricane, an immediate threat may exist if improved property could be exposed to flooding from a 5-year event. Similarly, if a wind-damaged facility is subject to additional damage by moderate winds, such winds could be considered an immediate threat.

State authorities must document the determination that an immediate health or safety threat is present pursuant to established State or local ordinances, regulations, or other engineering criteria.

"Improved property" means a structure, facility, or item of equipment that was built, constructed, or manufactured. It includes improved and maintained natural features. It does not include land improved for agricultural purposes.

Category A - Debris Removal
Potentially eligible debris removal activities include the clearance of:

- trees and woody debris;
- building components or contents;
- sand, mud, silt, and gravel;
- wreckage produced during conduct of emergency protective measures (e.g., drywall); and
- other disaster-related wreckage.

To be eligible for Public Assistance, debris removal must be in the public interest, which is when removal is necessary to:

- eliminate immediate threats to lives, public health and safety;
- eliminate immediate threats of significant damage to improved public or private property when the measures are cost effective;
- ensure economic recovery of the affected community to the benefit of the community-at-large; or
- mitigate the risk to life and property by removing substantially damaged structures and associated appurtenances as needed to convert property acquired using FEMA hazard mitigation program funds to uses compatible with open space, recreation, or wetlands management practices. (See FEMA Policy 9523.4, Demolition of Private and Public Facilities.)

In all cases, the costs associated with these activities must be reasonable.
Public Property
In general, debris on public property that must be removed to allow continued safe operation of governmental functions or to alleviate an immediate threat is eligible. Debris that is blocking streets and highways is a threat to public health and safety because it blocks passage of emergency vehicles or it blocks access to emergency facilities such as hospitals. Debris in a natural stream or flood channel may cause flooding from a future storm. If such flooding would cause an immediate threat of damage to improved property, removal of the disaster-related debris only to the extent necessary to protect against an immediate threat would be eligible. However, not all public property clearance will necessarily be eligible. For example, removal of fallen trees in an unused forested or wilderness area would not be eligible.

Where temporary levees have been constructed as an emergency protective measure, removal of them will be eligible only to protect public health and safety or to protect improved public or private property.

Debris cleared from roads and highways, including the travel lanes and shoulders, roadside ditches and drainage structures, and the maintained right-of-way, may be eligible. When the Emergency Relief Program is activated for an area, FHWA assistance is available for debris removal on Federal-Aid roads and FEMA assistance is not available for these roads. If the Emergency Relief Program is not activated, then FEMA assistance may be available. (See pages 25-26 for further discussion of FHWA programs.)

The removal of debris from parks and recreational areas used by the public is eligible when it affects public health or safety or proper utilization of such facilities. Trees frequently constitute a large part of debris in these areas. Normally, trees requiring removal are flush cut at the ground. Stump removal is not eligible unless it is determined that the stump itself poses a hazard, as when the tree has been uprooted. When eligible, stump removal will be accomplished by the most economical means. [For additional guidance regarding debris operations and FEMA eligibility criteria, See FEMA Policy 9523.11, Hazardous Stump Extraction and Removal Eligibility; FEMA Policy 9523.12, Debris Operations: Hand-Loaded Trucks and Trailers; the Debris Management Guide (FEMA publication 325); FEMA 9580.1, Public Assistance Debris Operations Job Aid; FEMA Fact Sheet 9580.201, Debris Removal Applicant’s Contracting Checklist; and FEMA Fact Sheet 9580.202, Debris Removal Authorities of Federal Agencies.]

Private Property
Debris on private property rarely meets the public interest standard because it does not affect the public at large and may not be the legal responsibility of a State or local government. Debris removal from private property is the responsibility of the individual property owner aided by insurance settlements.
and assistance from volunteer agencies. Many homeowner fire and extended coverage insurance policies have specific coverage for debris removal and for demolition of heavily damaged structures. FEMA assistance is not available to reimburse private property owners for the cost of removing debris from their property; however, an eligible local or State government may pick up and dispose of disaster-related debris placed at the public right-of-way by those private individuals. This type of work must be carefully controlled with regard to extent and duration.

If debris on private business and residential property is so widespread that public health, safety, or the economic recovery of the community is threatened, the actual removal of debris from the private property by an applicant may be eligible. Such debris removal must benefit the general public and not just an individual or a limited group of individuals within the community. The use of the economic recovery criterion is normally restricted to the removal of disaster-related debris from large commercial areas when a significant percentage of the commercial sector of a community is impacted and coordinated debris removal is necessary to expedite restoration of the economic viability of the affected community. It does not normally apply to residential property. In each of these situations, the work must be done, or be contracted for, by an eligible applicant. If the local government and the State are both incapable of arranging for the work to be done, direct Federal assistance may be requested. Direct Federal Assistance is discussed in more detail on pages 76-78 of this guide. FEMA must approve removal of debris from private property before the work begins for that work to be eligible. Additionally, debris removal from private property will not be approved until the State or local government has agreed in writing before work begins to indemnify FEMA from any claims arising from such removal and has obtained unconditional authorization to remove the debris from the property owner. This indemnification includes Right-of-Entry agreements, release from liability, and signed agreements with property owners that any available insurance proceeds will be pursued and credited back to FEMA. Debris removal from agricultural land is not eligible. See the discussion of Homeowners’ Associations and Gated Communities on pages 20-21 for further information on debris on private property.

A governmental resolution after a disaster by an applicant declaring that debris on private property constitutes a threat to public health and safety does not in itself make the debris removal eligible. The applicant should submit its established, specific legal requirements for declaring the existence of a threat to public health and safety to FEMA for review and approval. Conditions that could make the removal of debris from private property eligible for reimbursement include:
• a damaged structure may be a public health and safety hazard if it could be condemned as such pursuant to the provisions of an applicant’s ordinance related to condemnation of damaged structures. Such a determination must be made by an individual qualified to do so, such as a certified building inspector; or

• a public health hazard may exist if such a determination is made pursuant to the provision of an applicant’s ordinance related to public health. Such a determination must be made by an individual qualified to do so, such as a public health official.

In general, even if private property debris removal is authorized, FEMA will not pay for removal of the following:

• privately owned vehicles, whether or not insured;
• old white goods (refrigerators, washers, dryers, etc.) located on private property awaiting proper disposal before the disaster;
• old tires, batteries, or any equipment/material located on private property awaiting proper disposal before the disaster;
• other equipment or material stored on the property or awaiting disposal before the disaster;
• damaged swimming pools and basements;
• damaged foundations (unless it is part of a mitigation buy-out project); or
• reconstruction debris, private or public, sometimes called construction rubble. This is material resulting from reconstruction activities. Removal is the responsibility of the property owner. Removal of reconstruction debris from an eligible facility may be included in the repair/replacement Project Worksheet for that facility.

Category B - Emergency Protective Measures
Emergency protective measures are those activities undertaken by a community before, during, and following a disaster that are necessary to do one of the following:

• eliminate or reduce an immediate threat to life, public health, or safety; or
• eliminate or reduce an immediate threat of significant damage to improved public or private property through cost-effective measures.
Generally, those prudent actions taken by a community to warn residents, reduce the disaster damage, ensure the continuation of essential public services, and protect lives and public health or safety are eligible for assistance. Such activities should be evaluated to ensure that they meet the criteria of the law. The following list provides examples of activities that may be eligible:

- Warning of risks and hazards.

- Search and rescue, including transportation of disaster victims.

- Emergency medical facilities. Eligible costs include any additional temporary facilities and equipment required to treat disaster victims when existing facilities are overloaded or damaged. Ineligible costs include any costs for emergency medical treatment (including vaccinations), labor costs (physicians, medical personnel, etc.), follow-on treatment, increased operational and administrative costs, and loss of revenue. (See FEMA Policy 9525.4, Medical Care and Evacuations.)

- Emergency evacuations of medical and custodial care facilities. Eligible costs include transportation and extraordinary labor costs for non-medical staff assisting in the evacuations. Ineligible costs include medical staff and supplies utilized during the evacuations. (See FEMA Policy 9525.4, Medical Care and Evacuations.)

- Facility costs (but not labor costs) for emergency mass care and shelter operations provided by volunteer agencies. Eligible costs generally include supplies, durable medical equipment, security, cleanup, minor repairs, and increased utility costs. Lease costs are not eligible except in the most extraordinary of disaster situations.

- Facility costs (including labor costs allowed under FEMA Policy 9525.7, Labor Costs - Emergency Work) for emergency mass care and shelter operations provided by governmental entities when volunteer agencies are unable to provide emergency mass care and shelter. Eligible costs generally include supplies, durable medical equipment, security, cleanup, minor repairs, and increased utility costs. Lease costs are not eligible costs except in the most extraordinary of disaster situations.

- Expenses of PNPs for providing emergency protective measures for their facilities are eligible if their facilities are otherwise eligible for assistance.
• Security in the disaster area.

• Provision of food, water, ice, and other essential needs at central distribution points for use by the local population.

• Temporary generators for facilities that provide health and safety services.

• Rescue, care, shelter, and essential needs for household pets and service animals if claimed by a State or local government. Service animals will be sheltered with their owners in congregate shelters. (See FEMA Policy 9523.18, Eligible Costs Related to Pet Evacuations and Sheltering.)

• The provisions of rescue, evacuation, movement of supplies and persons, care, shelter, and essential needs for human populations affected by the outbreak and spread of influenza pandemic. Three conditions must be met for a pandemic to start: a) a new influenza virus subtype must emerge for which there is little or no human immunity; b) it must infect humans and cause illness; and c) it must spread easily and sustainably (continue without interruption) among humans.

• Provision of temporary facilities for schools (public and PNP) and essential community services. Examples of temporary facilities include construction of a temporary bridge or detour road to replace an essential crossing facility, temporary hookup of utilities, and essential temporary buildings for schools or government offices. Eligibility criteria for temporary relocation are outlined on pages 38-39. (See FEMA Policy 9523.3, Provision of Temporary Relocation Facilities.)

• Activation of a State or local emergency operations center to coordinate and direct the response to a disaster event. Costs must be associated with a time frame related to circumstances justified by the nature of the emergency or disaster. Often an emergency operations center is used to direct response activities for a period of time, and then its primary activity shifts to managing the Federal assistance.

• Because the Stafford Act places limitations on reimbursement for the costs of administering the Federal grant, the applicant must keep track of which duties are being performed by the center's personnel. Applicant pre-disaster pay policies related to overtime, compensatory
time, and Fair Labor Standards Act designations are integral to eligibility determinations regarding costs.

- Demolition and removal of damaged public and private buildings and structures that pose an immediate threat to the safety of the general public. The threat must be identified by local officials according to established local ordinances and verified by State and Federal officials. In some instances, securing a damaged building from access is sufficient to alleviate the threat and demolition is not necessary. Buildings that were condemned as a safety hazard before the disaster are not eligible. (See FEMA Policy 9523.4, Demolition of Private and Public Facilities.)

- Removal of health and safety hazards. Such activities may include the following:
  - disposal of dead animals;
  - pumping of trapped floodwaters that threaten improved property;
  - pumping of flooded basements, but only if there is a widespread need affecting numerous homes and businesses in the community;
  - pumping of septic tanks or decontamination of wells, but only if there is a widespread pollution threat; and.
  - vector control of rodents or insects when there is a serious health hazard. A serious health threat exists when a specific threat posed by the increased vector population is identified. Verification of the threat by the Federal Centers for Disease Control or State or local health agencies in accordance with established ordinances is required. [See FEMA Policy 9523.10, Vector Control (Mosquito Abatement).]

- Construction of emergency protective measures to protect lives or improved property to include the following:
  - temporary levees, berms, dikes, and sandbagging by itself or on top of a levee;
  - buttressing, bracing, or shoring of a damaged structure to protect against further damage to the structure, or to protect the general public;
o emergency repairs to protective facilities (work is limited to that which would provide protection from a 5-year event or would restore the facility to its pre-disaster design, whichever is less); and placement of sand on a beach to serve as protection of improved property from waves and flooding (the same criteria regarding the level of protection apply).

• Emergency measures to prevent further damage to an eligible facility. Boarding windows or doors, covering the roof, and remediation to stop the spread of mold in the immediate aftermath of the disaster are examples of this work.

• Restoration of access. If a privately owned access (such as a driveway, road, or bridge) is damaged, funds for restoration of this access may be eligible either under FEMA's Individuals and Households Program or FEMA's PA Program. In cases where homes are inaccessible as a result of the damage, work to establish emergency access may be eligible under PA if an eligible applicant has legal authority to perform the work and provided that the emergency access economically eliminates the need for temporary housing. The PA Program staff should coordinate with the Individuals and Households Program staff to eliminate duplication of effort and funds.

Other Types of Emergency Work
Specific eligibility criteria may also apply to the provision of emergency communications, public transportation, building inspections, and snow removal. These criteria are defined as follows.

Emergency Communications. The communications system in a local community may be damaged by a disaster to the extent that the local officials are unable to carry out their duties of providing essential community services or responding to the disaster. A temporary emergency communications system, such as a mobile radio system or cellular telephones, may be needed. Such a system is meant to supplement the portion of the community's communications that remains operable, not to replace or expand the pre-disaster system. The community is expected to repair the damaged system on an expedited basis so that the assistance can be terminated when there is no longer an emergency need.

The temporary system may be eligible for assistance, but only through Direct Federal Assistance. FEMA, through a Mission Assignment, would use appropriate Federal agencies to perform the eligible work. See pages 76-78 for additional discussion regarding Direct Federal Assistance and Mission Assignments.
Emergency Public Transportation. The essential portions of a community's transportation system may be damaged by a disaster to such an extent that the vital functions of community life are disrupted. This situation may involve damage to buses, a subway system, or a bridge between two sections of the city. For some of these damaged facilities, replacement with temporary facilities may provide the solution. In other situations, there may not be a specific damaged facility, but there is still a need to supplement existing transportation.

This condition may result from temporary changes in the location of government facilities or residential areas or a need to access different shopping areas. The supplemental system must be required to ensure access to public places, employment centers, post offices, and schools so that a normal pattern of life may be restored as soon as possible.

The emergency transportation, such as extra buses or trains, additional school buses to transport relocated students, or new bus routes, may be eligible for assistance, but only through Direct Federal Assistance. FEMA, through a Mission Assignment, would use appropriate Federal agencies to perform the eligible work.

The damaged facilities should be restored, or the need for supplemental transportation should be addressed, as soon as possible so that the assistance can be terminated when there is no longer an emergency need.

Building Inspection. Safety inspections are eligible if necessary to establish whether a damaged structure poses an immediate threat to life, public health, or safety. Inspections associated with a determination of substantial damage under the National Flood Insurance Program, the determination if a building should be elevated or relocated, a determination of what repairs are needed to make a building habitable, and code enforcement during reconstruction are not eligible, because these inspections go beyond the scope of a safety inspection. (See FEMA Policy 9523.2, Eligibility of Building Inspections in a Post-Disaster Environment.)

Snow Removal. Snow removal assistance may be eligible for Public Assistance provided that:

- the snowfall is of record or near record amount using National Oceanic and Atmospheric Administration (NOAA) data;
- the response is beyond the State and local government capabilities; and
- the action is necessary to save lives, protect public health and safety, and protect improved property.
Heavy snowfall over an extended period of time, severe winds and extraordinary drifting, extraordinary ice formations, and the cumulative effect of snow on the ground may be the basis for assistance when the snow depth is a near-record amount.

Snow removal assistance is eligible for a 48-hour period to address the most critical emergency needs. The 48-hour period may begin at a time other than when the storm actually began. Each applicant designates the beginning of its 48-hour period. All snow plowing, salting, sanding, and related emergency work performed during the 48-hour period are eligible. (See FEMA Policy 9523.1, Snow Assistance Policy.)

**Direct Federal Assistance**

When the impact of a disaster is so severe that neither the State nor local government can adequately respond, either by direct performance or by contract, the State may request that certain emergency work be performed directly by a Federal agency. See 44 CFR §206.208 for a discussion of types of Direct Federal Assistance. Under the provisions of the regulations, FEMA, through “Mission Assignments,” may use appropriate Federal agencies to perform work or to contract for it to be performed.

The work to be performed must be eligible under the Stafford Act and Federal regulations and is limited to:

- debris removal;
  - The duration of mission assignments for debris removal will be limited to 60 days from the declaration date. The Federal Coordinating Officer may approve extensions for up to an additional 60 days, if a State or local government demonstrates a continued lack of capability to assume oversight of the debris removal mission. Further extensions will require approval by the Assistant Administrator of the Disaster Assistance Directorate.

- emergency protective measures;

- emergency communications; and.

- emergency public transportation.

The assistance is subject to the cost-sharing provisions applicable to the disaster. The State must reimburse FEMA for the appropriate non-Federal share of the cost of the work, including any administrative costs of the performing Federal agency.
A request for direct Federal assistance must be submitted by the State to the DRM either on its own behalf or on behalf of an applicant. The request must include the items listed below.

- A written agreement that the State will:
  - provide, without cost to the United States, all lands, easements, and rights-of-way necessary to complete the approved work;
  - hold and save the United States free from damages due to the requested work and indemnify the Federal government against any claims arising from such work;
  - provide reimbursement to FEMA for the non-Federal share of the cost of the work; and.
  - assist the performing Federal department or agency in all support and local jurisdictional matters.

- A statement explaining why the State and local governments are unable to perform or contract for the work.

- If the State is legally unable to agree to the first two items listed under the first bullet above, an agreement from the applicant that it will be responsible for the items. The provision of lands, easements, or rights-of-way without cost to the United States means that any leasing or purchase costs will be borne by non-Federal interests. The costs of preparation for the assistance operations and costs of restoration to pre-operation conditions will be eligible for Federal assistance.

When the President approves 100% funding for debris removal or emergency protective measures, FEMA Policy 9523.9, 100% Funding for Direct Federal Assistance and Grant Assistance, gives guidance on eligibility and duration of this work. Two provisions of the policy that may be applicable to emergency work are:

- The policy provides for up to 100% Federal funding for Direct Federal Assistance when warranted by the needs of the disaster. Such assistance is limited to work completed during the first 72 hours following the Presidential declarations of a major disaster.

- The policy also provides for up to 100% Federal funding for grant assistance (i.e., when the applicant performs the work or contracts it out) when warranted by the needs of the disaster. The period for work to be completed is a 72-hour period selected by the applicant within a window from 12:01 a.m. of the date of a Governor's or city or county official's declaration of emergency through 11:59 p.m. of the seventh
full day after the date of the Presidential declaration of a major disaster. The period may be different for Category A and Category B work.

For additional guidance regarding mission assignments performed by the Environmental Protection Agency, see FEMA Policy 9523.8, Mission Assignments for ESF #10.

Permanent Work
Permanent work is that which is required to restore a damaged facility, through repair or restoration, to its pre-disaster design, function, and capacity in accordance with applicable codes or standards. Each of these items is defined below.

**Design:** FEMA provides funds to restore a facility to its pre-disaster design or to a design in accordance with an applicable standard. Such a standard must meet the requirements for eligible standards discussed on pages 33-36. Uniform use of the standard in situations when Federal funds are not involved for similar types of facilities is a key factor in the evaluation of a standard. Standards might involve sizing of a replacement culvert pipe or the type of material it is made of. Standards might also have "triggers" that require alteration to other parts of the facility, even undamaged parts. This type of requirement in a standard must be found "reasonable," another key factor in evaluating a standard. Additionally, the design must be limited to the original design or to the immediate pre-disaster alternate use, whichever costs less. See pages 27 for additional discussion of alternate use facilities.

**Function:** The facility must perform the same function that it was performing before the disaster. For example, a school gymnasium is in need of repair after an earthquake. The school district proposes to convert the space into a two-story office complex. Only the repairs to return the building to its use as a gymnasium are eligible. FEMA cannot provide funding for the conversion to office space, except as an alternate project.

**Capacity:** The restored facility must operate at the capacity available before the disaster. For example, a school designed for 100 students is damaged beyond repair during a hurricane. The eligible replacement facility must be designed for no more than 100 students. If code dictates a larger area per unit of capacity (e.g., square footage per student), FEMA may provide assistance to increase the size of the building. FEMA will not reimburse for the cost to build a larger school required due to a greater service area or over-utilization of space. A larger facility with greater capacity may be built as an improved project (see pages 110-111).

**Category C - Roads and Bridges**
Roads, bridges, and associated facilities (e.g., auxiliary structures, lighting, and signage) are eligible for Public Assistance. For roads (paved, gravel, and dirt), eligible items include:

- surfaces;
- bases;
- shoulders;
- ditches;
- drainage structures; and.
- low water crossings.

For bridges, eligible items include:

- decking and pavement;
- piers;
- girders;
- abutments;
- slope protection; and.
- approaches.

Only repairs of disaster-related damage are eligible. In some cases, it may be possible to review pre-disaster bridge inspection reports to determine if damage to a bridge was present before the disaster. As discussed on pages 25-26, permanent restoration of any facility, whether it is a road, bridge, or related structure, that is part of a Federal-Aid route and falls under the authority of the FHWA, is not eligible for Public Assistance. Other examples of ineligible facilities include roads that service USACE or NRCS levees and dams. Private roads, including homeowners’ association roads, are not eligible.

For Category C work, upgrades necessary to meet current standards for road and bridge construction, such as standards for pavement and lane width, may be eligible for Public Assistance. If code requires, and if the applicant has consistently implemented that code, or if there has been no opportunity to implement the code but the applicant agrees to in the future, FEMA will fund changes in the bridge design to include changing it from one lane to two lanes and access modification for a short distance. However, FEMA will not fund construction of additional lanes (for example, from two to four lanes or from
four to six lanes) because such work is beyond that necessary to restore the pre-disaster capacity of the facility.

Landslides. Specific eligibility criteria also apply to slope failures and washouts that are considered landslides. The term landslide describes a wide variety of processes that result in the downward and outward movement of slope-forming materials including soil, artificial fill, or a combination of these. Stabilization or restoration of failed slopes is only eligible in the situations described below. (See FEMA Policy 9524.2, Policy on Landslides and Slope Failures.)

Emergency work: If a disaster-caused landslide poses an immediate threat to life, public health, and safety, or improved public or private property, emergency protective measures to stabilize slopes may be eligible. However, the work must be the least cost option, must be completed within 6 months of the declaration, and must meet the requirements for work under Section 403 of the Stafford Act and 44 CFR §206.225(a)(3). Examples of eligible emergency protective measures include, but are not limited to:

- temporary drainage measures;
- temporary ground protection to better stabilize the mass (riprap, sheeting);
- partial excavation at the head of a sliding mass to reduce driving force;
- backfilling or buttressing at the toe of a sliding mass (gabions, rock toes, cribwalls, binwalls, soldier pile walls, etc.);
- installation of barriers to redirect the debris flow; and.
- temporary relocation of facilities' function, when cost effective and otherwise meeting criteria for temporary relocation.

Such measures must be temporary. Public assistance will be provided to address the area of the immediate threat only, not the stabilization of the entire hillside or long-term stabilization of the limited area. The Regional Administrator may authorize funding for post-disaster inspections and limited geotechnical investigations to determine if the disaster created an unsafe condition that poses an immediate threat to life or property.

Permanent work: If a landslide damages an eligible facility, repairs to that facility are eligible as long as the site is stable; the replacement of a reasonable amount of integral ground necessary to support the facility is also eligible. If the site instability was caused by the disaster, the site is eligible only if the work to stabilize the site is cost effective. However, if the site was unstable before the disaster, the applicant must pay to stabilize the site.
before Public Assistance funds are provided to repair the facility. Natural slopes and hillsides do not meet the definition of eligible facilities and are not eligible for permanent work assistance. The Regional Administrator may authorize post-disaster site inspections and geotechnical investigations to determine site stability.

Category D - Water Control Facilities

Water control facilities include:

- dams and reservoirs;
- levees;
- lined and unlined engineered drainage channels;
- canals;
- aqueducts;
- sediment basins;
- shore protective devices;
- irrigation facilities (for PNP irrigation eligibility, see 44 CFR §206.221(e)(3)); and
- pumping facilities.

As described on pages 24-25, the USACE and NRCS have primary authority for repair of flood control works, whether constructed with Federal or non-Federal funds, as well as authority over federally funded shore protective devices. Permanent repairs to these facilities are not eligible through the PA Program. Other water control facilities may be eligible for FEMA assistance. (See FEMA Policy 9524.3, Policy for Rehabilitation Assistance for Levees and Other Flood Control Works.)

Restoration of the carrying or storage capacity of engineered channels and debris basins may be eligible, but maintenance records or surveys must be produced to show the pre-disaster capacity of these facilities. The pre-disaster level of debris in the channel or basin is of particular importance to determine the amount of newly deposited disaster-related debris. Such a facility must also have had a regular clearance schedule to be considered an actively used and maintained facility.

Restoration of reservoirs to their pre-disaster capacity also may be eligible in accordance with the criteria for debris basins described above. Not all reservoirs are cleaned out on a regular basis, and evidence of pre-disaster
maintenance must be provided to FEMA. In addition, removal of debris that poses an immediate threat of clogging or damaging intake or adjacent structures may be eligible. Only the removal of disaster-related debris is eligible. If all debris is removed, the project would be considered an improved project and costs would be pro-rated. Removal of debris to restore a facility to its pre-disaster capacity is Category A work.

**Category E - Buildings and Equipment**

Buildings, structural components, interior systems such as electrical or mechanical work, equipment, and contents including furnishings, are eligible for repair or replacement. Public assistance may be provided for the replacement of pre-disaster quantities of consumable supplies and inventory and for the replacement of library books and publications. Damaged or lost files are eligible only for stabilization (e.g., freeze drying or copying); re-establishing files and records from original information is not eligible. Removal of mud, silt, or other accumulated debris is eligible as permanent work if the debris does not pose an immediate threat but its removal, along with any cleaning and painting, is necessary to restore the building. If the work meets the immediate threat criteria, removal of disaster-related debris and treatment of spreading mold (in the immediate aftermath of the disaster) may be eligible as emergency work.

If an insurance policy applies to a building, equipment, contents, etc., FEMA must take that policy into account before providing funds for restoration of the building. The owners of insured buildings must provide FEMA with policy and settlement information as soon as possible after a disaster occurs. Detailed information on insurance is contained in Chapter 4.

FEMA may reimburse for upgrades that are required by certain codes and standards provided the upgrade work is required as a direct result of the disaster. An example might be roof bracing installed following a hurricane. For repairs, upgrades are limited to damaged elements only unless a reasonable code with a trigger requires upgrades to other parts of the facility. If a structure must be replaced, the new facility must comply with all appropriate codes and standards. See pages 33-36 for further information.

FEMA may fund the replacement of a damaged building if the building is completely destroyed or if the severity of damage meets FEMA's 50 Percent Rule for replacement (see pages 36-38). If a damaged building must be replaced, FEMA has the authority to reimburse for a building with the same capacity as the original structure (see page 79). However, if a written standard for space per occupant has changed since the original structure was built, FEMA may reimburse for construction of a larger building that accommodates the original design capacity. A Federal, State, or local agency or statute must mandate the increase in space in accordance with a written...
code; the increase cannot be based only on design practices for an industry or profession. FEMA will not fund additional capacity necessary due to increased population or use, even if required by code. (See "Codes and Standards" on pages 33-36 for general eligibility criteria.)

When museums, either publicly owned or owned by a PNP, are involved in disasters, culturally significant collections or objects may be damaged. Collections and objects in a museum, by their very nature, generally are one-of-a-kind and thus cannot be replaced. Therefore, replacement of destroyed collections or objects is not an eligible cost.

FEMA may, however, fund stabilization measures. Stabilization involves taking the minimum steps necessary to return a collection or object to a condition in which it can function in the same capacity as it did prior to the disaster. FEMA’s Preservation Officer, in consultation with the applicant and the State, will use professional judgment to determine if additional treatment beyond stabilization is necessary to maintain the integrity of the collection or object and return it to its pre-disaster function. (See FEMA Policy 9524.6, Collections and Individual Objects.)

When equipment, including vehicles, is not repairable, FEMA will approve the cost of replacement with used items that are approximately the same age, capacity, and condition. FEMA may use "blue book" values or similar price guides to determine the eligible cost for used equipment and vehicles. Replacement of an item with a new item may be approved only if a used item is not available within a reasonable time and distance.

When a piece of applicant-owned equipment is performing eligible disaster work, extraordinary damage to the equipment that is caused by the disaster may be eligible. However, the cost of increased maintenance resulting from excess use is not eligible, because the cost of maintenance is included in FEMA’s equipment rates. Damage that could have been reasonably avoided such as an accident also is not eligible. Reimbursement for the eligible damage is in addition to the applicable FEMA equipment rate being paid for the time the equipment was performing eligible work. (See FEMA Policy 9525.8, Damage to Applicant-Owned Equipment.)

Animals, birds, fish, and insects are treated as contents as long as they can be obtained through legal means from reputable sources by reasonable methods and at reasonable prices. Reimbursement is authorized only for juvenile specimens unless mature specimens are equivalently priced. (Research time and materials spent on developing the specimens is not eligible under the PA Program.)

**Category F - Utilities**
Utilities include:

- water treatment plants and delivery systems;
- power generation and distribution facilities, including natural gas systems, wind turbines, generators, substations, and power lines;
- sewage collection systems and treatment plants; and.
- communications.

The owner of a facility is responsible for determining the extent of damage; as with any facility, FEMA does not provide funds for general surveys to look for damage, such as video inspection of sewer lines. However, if disaster-related damage is evident, such as by observed loss of ground above a buried pipeline or loss of or increased flow in a pipe, FEMA may pay for inspections to determine the extent of the damage and method of repair. The extent of damage to equipment utilized in the generation or distribution of utilities should be confirmed through testing to determine if damage actually exists and that repair is sufficient or replacement is warranted. An example of this would be a pump in a lift station that has been flooded. The pump should be turned on or inspected and then tested to determine if the pump is damaged and if so, to what extent. Generally, large pieces of equipment such as a pump can be rebuilt rather than replaced. When disaster-related damage is discovered during a general survey, inspection of only the damaged section is eligible. When evaluating the repair of damage at multiple locations in a pipeline or other continuous facility, FEMA may consider the possibility of replacing a whole section if it is cost-effective when compared to repairing individual sites.

While FEMA may provide assistance for restoration of damaged utilities, FEMA does not provide assistance for increased operating expenses resulting from a disaster or for revenue lost if a utility is shut down (see page 54). However, the cost of establishing temporary emergency services in the event of a utility shut-down may be eligible (e.g., providing a temporary sewage facility).

**Category G - Parks, Recreational, and Other**

Eligible publicly owned facilities in this category include:

- mass transit facilities such as railways;
- playground equipment;
- swimming pools;
- bath houses;
• tennis courts;
• boat docks;
• piers;
• picnic tables;
• golf courses;
• fish hatcheries; and.
• facilities that do not fit Categories C-F.

Other types of facilities, such as roads, buildings and utilities, that are located in parks and recreational areas are also eligible and are subject to the eligibility criteria for Categories C, D, E, and F.

PNP-owned park and recreational facilities are not eligible, nor are the supporting facilities, such as roads, buildings, and utilities.

As stated on page 22 of this guide, natural features are not eligible facilities unless they are improved and maintained. This restriction applies to features located in parks and recreational areas. Specific criteria apply to beaches and to trees and ground cover, as described below.

**Beaches.** Emergency placement of sand on a natural or engineered beach may be eligible when necessary to protect improved property from an immediate threat. Protection may be to a 5-year storm profile or to its pre-storm profile, whichever is less costly.

A beach is considered eligible for permanent repair if it is an improved beach and has been routinely maintained prior to the disaster. A beach is considered to be an "improved beach" if the following criteria apply:

• the beach was constructed by the placement of sand to a designed elevation, width, grain size, and slope; and.

• the beach has been maintained in accordance with a maintenance program involving the periodic re-nourishment of sand.

Typically, FEMA requests the following from an applicant before approving assistance for permanent restoration of a beach:

• design documents and specifications, including analysis of grain size;
• "as-built" plans;
• documentation of regular maintenance or nourishment of the beach; and.

• pre- and post-storm cross sections of the beach.

Restoration of sand on natural beaches beyond that necessary to provide emergency protection is not eligible.

**Trees and Ground Cover.** The replacement of trees, shrubs, and other ground cover is not eligible. (See FEMA Policy 9524.5, *Trees, Shrubs and Other Plantings Associated with Facilities*.) This restriction applies to trees and shrubs in recreational areas, such as parks, as well as trees and shrubs associated with public facilities, such as those located in the median strips along roadways and those used as landscaping for public buildings. This restriction also applies to instances where ground is disturbed due to movement of heavy equipment performing eligible work, such as when repairing underground utilities within landscaped areas.

Grass and sod are eligible only when necessary to stabilize slopes and minimize erosion.

This restriction does not affect removal of tree debris or the removal of trees as an emergency protective measure. FEMA will reimburse for the removal of tree debris and the removal of eligible trees, or buttressing if less costly than removal and disposal, as an emergency protective measure if it eliminates an immediate threat to lives, public health and safety, or improved property. However, FEMA will not pay for further costs or reimburse for the replacement of these trees.
Chapter 4: Special Considerations

What Are Special Considerations?
FEMA uses the term "Special Considerations" to describe issues other than basic program eligibility that affect the scope of work and funding for a project. These issues include:

- insurance;
- hazard mitigation; and.
- environmental/historic preservation compliance with Federal laws, regulations, and EOs, such as those that address the environment, floodplains, wetlands, historic preservation, endangered species, and environmental justice.

Each of these issues is described in greater detail in this chapter.

Timely identification and resolution of Special Considerations issues prior to initiation of disaster-related work is critical to the effective delivery of the PA Program. If FEMA, the State, and the applicant fail to identify and address these issues expeditiously, the following consequences can result:

Loss of Funding. FEMA may be prevented from approving funds for a project, or may be required to deobligate funds after the initiation of a project.

Delays. Approval and obligation of funding may be delayed while Special Considerations issues are resolved. For example, a funding decision may be delayed while FEMA waits for an applicant to submit insurance information.

Legal Action. Citizens, advocacy groups, and others can file lawsuits to stop projects funded by FEMA.

Loss of Opportunity. Hazard mitigation measures typically are most effective when incorporated in the initial repair or replacement of the damaged facility.

Negative Publicity. All of the above create negative publicity for FEMA, the State, and the applicants.

The Special Considerations Process
Special Considerations are a factor in all phases of the recovery process, from the PDA through the completion of projects. Processing involves:

- collection of data;
- review of the data and coordination with the appropriate agencies; and.
• documentation of the process and its results.

FEMA’s objective is to resolve Special Considerations issues early and expeditiously. The PDA is the first step in identifying Special Considerations. PDA teams collect Special Considerations information through observation and interviews with the local officials. Once recovery operations are underway, the scoping process begins. This process includes:

• identification of potential issues;
• coordination with other agencies and organizations;
• establishment of procedures for addressing issues; and.
• coordination among the PA Program staff to ensure that field personnel are aware of the issues and the procedures for resolving them.

Depending on the issues prevalent for a specific disaster, FEMA may consult with any or all of the following agencies or organizations as part of this scoping process:

• State insurance commissioner’s office;
• FEMA Hazard Mitigation Grant Program office (see the discussion of 404 Mitigation on pages 124-125);
• Federal Insurance Administration (FIA);
• The Regional Environmental Officer (REO) at the region and the Environmental Liaison Officer (ELO) or environmental/historic preservation specialists in the JFO;
• State Historic Preservation Officer (SHPO) or Tribal Historic Preservation Officer (THPO);
• State environmental protection, hazard mitigation, and other agencies; and.
• USACE, U.S. Fish and Wildlife Service (USFWS), the National Marine Fisheries Service (NMFS), and other Federal agencies.

The scoping process should result in some means for resolving issues, such as a clearance letter or memorandum of understanding with the appropriate agencies.

The interface between the PAC Crew Leader (Public Assistance Coordinator) and the applicant is the most critical element of the Special Considerations
process. The PAC Crew Leader has the opportunity to interact with the applicant on several occasions, beginning with the Kickoff Meeting. The PAC Crew Leader:

- brings potential issues to the applicant's attention;
- works with the applicant and specialists to identify issues and obtain information that can lead to resolution;
- alerts Project Specialists (Project Officers) to potential issues;
- identifies projects for which a review is required and assigns the appropriate Technical Specialist (Specialist); and.
- ensures that the appropriate review is completed by a Technical Specialist and documented in the applicant's Case Management File.

It is the applicant's responsibility to identify the existence of Special Considerations issues for each project. Project Specialists, Technical Specialists, and PAC Crew Leaders working with these projects must ensure that such issues are appropriately documented on the PW. A standard set of questions has been developed to assist in identifying Special Considerations issues. The questions reflect each of the areas of concern and are intended to highlight elements of the applicant's projects that could trigger a Special Considerations review. The PAC Crew Leader should review these questions, which appear on the Special Considerations Questions form, during the Kickoff Meeting and again when PWs are submitted. An explanation must be provided in the comment field if the applicant or PAC Crew Leader answers "yes" or "unsure" to any of these questions. The Special Considerations Questionnaire is available in the PA Forms Library.

In accordance with Section 312 of the Stafford Act, the PA Program cannot duplicate benefits from other sources, such as proceeds from an insurance policy. Therefore, FEMA is required to reduce the amount of assistance for eligible work by the amount of any actual or anticipated insurance proceeds available for that work. FEMA also must limit flood disaster assistance for insurable facilities in Special Flood Hazard Areas (described below). Section 406(d) of the Stafford Act requires a reduction in assistance for such facilities if they don't have flood insurance or if their flood insurance coverage is inadequate (see pages 120-122). Section 311 of the Stafford Act requires an applicant to purchase and maintain insurance for permanent work projects, where that insurance is reasonably available, as a condition for receiving disaster assistance. These criteria are discussed in more detail in the paragraphs that follow.

Items and facilities that typically are insured include:
• buildings;
• contents;
• equipment; and.
• vehicles.

Insurance
An applicant may have insurance coverage for other items, facilities, or types of work, such as debris removal, snow removal, temporary facilities, or operating costs. If the applicant's policies contain provisions for cleanup, debris removal, and demolition, FEMA must deduct insurance proceeds for these activities from eligible costs of PA Program grants. While insurance policies typically do not pay for voluntary hazard mitigation items, they often cover upgrades necessary to comply with current codes and standards.

When an insurance policy covers both insured eligible and insured ineligible damages, such as both property and business income losses, without specifying limits for each type of loss, FEMA will apportion the anticipated recovery to be deducted from eligible costs between the two based on the ratio of insured eligible to insured ineligible damages. Similarly, if deductible amounts are unspecified between the types of losses, the amount of deductible that will be eligible will be based on the same ratio.

In order to prevent delays or loss of FEMA funding, it is critical that the applicant:

• discuss all insurance coverage with the PAC Crew Leader;
• report all facilities and equipment with prior disaster insurance requirements;
• provide all pertinent insurance information, policies, and statements of loss to FEMA as soon as possible; and
• pursue payment under their insurance policies to maximize potential benefits.

General Property Insurance
FEMA uses the term "general property insurance" to describe all perils except for flood. This could include perils such as fire, wind, rain, and earthquake. Coverage for these perils generally includes buildings, contents, personal property, and other items. Once the amount and availability of coverage have been determined, an appropriate reduction in eligible project costs can be made based on anticipated insurance proceeds. If an applicant has already received an insurance payment at the time of project approval, FEMA will
review the settlement to determine if it is in accordance with the policy. FEMA may limit funding if the applicant's policy provides coverage which should be pursued from the insurer. Legal costs incurred in pursuing insurance settlements may be subtracted from such proceeds before reduction of eligible costs.

The National Flood Insurance Program and Flood Insurance
As stated above, the Stafford Act includes specific provisions for insurance of facilities located in floodplains. Most property insurance does not cover flood damage; instead, a separate flood insurance policy must be purchased to obtain this coverage. In 1968, Congress created the National Flood Insurance Program (NFIP) to address the nationwide lack of affordable flood insurance and to stimulate local programs to reduce the risk of damage caused by floods. Under the NFIP, federally backed flood insurance is available in communities that agree to adopt and enforce floodplain management ordinances to reduce future flood damage.

To support the NFIP, FEMA publishes Flood Insurance Rate Maps (FIRMs). These maps depict Special Flood Hazard Areas, defined as those areas subject to inundation during a 100-year flood (a flood having a 1 percent chance of occurrence in a given year). The maps also show 500-year floodplains (areas subject to inundation by a flood having a 0.2 percent chance of occurrence in a given year), coastal high hazard areas, floodways, Coastal Barrier Resources System units, and Otherwise Protected Areas.

The extent of coverage available varies depending on factors such as exposure to flooding, location, and loss history due to flooding. A list of properties that are insurable under the NFIP is provided in 44 CFR Part 61. Examples of insurable properties include buildings and contents, building additions, and detached garages. (Under the NFIP, flood insurance coverage is provided separately for buildings and contents.) Examples of properties that are not covered by the NFIP include vehicles, pumping stations that do not qualify as buildings, water treatment plants that are primarily below ground, boat docks, swimming pools, and items that are stored but not normally located in basements.

Section 406(d) of the Stafford Act mandates a special reduction in the amount of Public Assistance funding for a facility (facility meaning each separate building or structure insurable under NFIP Coverage A - Buildings) that is:

- insurable under the NFIP;
- located in a Special Flood Hazard Area, as shown on a FIRM; and
- damaged by floodwaters.
For insurable facilities that do not have flood insurance or carry inadequate flood insurance, FEMA will reduce eligible project costs by the lesser of:

- the maximum amount of insurance proceeds that could have been obtained from a standard NFIP flood insurance policy; or.
- the value of the facility at the time of the disaster.

After the reduction, FEMA assistance is available for:

- reasonable deductible (limited to minimum available under NFIP), but only for the first disaster and not for subsequent disasters;
- items not covered by the NFIP; and.
- damage in excess of limits of a standard NFIP policy.

The regulations at 44 CFR §59.2 state that Federal financial assistance with respect to insurable buildings within an identified Special Flood Hazard Area shall not be provided in a sanctioned or non-participating community. There may be a limited exemption from the Section 406(d) reduction for eligible PNP facilities when a community is sanctioned or not participating in the NFIP. Reduction is not made, but assistance is not allowed unless the community joins the NFIP within 6 months and the PNP obtains insurance.

**Eligible Costs for Insurable Facilities - All Disasters**

Except in cases involving Stafford Act 406(d) flood insurance reductions or where an insurance purchase requirement has not been maintained (see page 123 of this guide), any eligible work or costs not covered by an insurance policy (that is, the difference between eligible costs and insurance proceeds) may be eligible for PA grant funding if it is the applicant's first claimed FEMA assistance for the specific facility. The eligibility of these items is determined only after a FEMA Specialist reviews the insurance policy, all endorsements, and the schedule of insured property to determine insurance recoveries, as well as actual settlement documents, if available. Generally, eligible uninsured losses may include the following items:

- reasonable deductible in the applicant's first claimed FEMA assistance if the cost accrued to the applicant;
- depreciation; (i.e., differences in FEMA eligible costs and final loss valuations used by insurers); and.
- costs in excess of an insurance policy limits, including sublimits for certain hazards (such as flood or earthquake).
Regardless of the extent to which an applicant's costs will be covered by insurance, the PAC Crew Leader must ensure that the entire scope of work for the project is described in the PW. This practice allows for the future adjustment of eligible costs based on such occurrences as a change in the applicant's insurance settlement.

In situations where insurance covers all eligible work, and the only eligible cost is that of the deductible, FEMA reimburses the applicant for this cost even if it is less than the $1,000 minimum that is otherwise required for the preparation of a PW.

In some cases, the applicant may be required to pursue the proceeds from an insurance policy held by a third party. For example, property insurance for buildings often covers the cost of demolition and debris removal. If the applicant removes debris from property belonging to a third party as an emergency measure, and the insurance policy for that property covers debris removal, the applicant must attempt to recover the proceeds from that insurance policy. FEMA would then deduct the value of the proceeds from the eligible cost of the work.

**Insurance Purchase Requirements - All Disasters**

As a condition for receiving Public Assistance for permanent work, an applicant must obtain and maintain insurance to cover that facility for the hazard that caused the damage. Such coverage must, at a minimum, be in the amount of the estimated eligible damages for that structure prior to any reduction. The costs of Section 406 hazard mitigation measures are included in the amount of insurance required. If the requirement to purchase all insurance is not met, FEMA will not provide assistance for damage sustained in the current or a future disaster of the same type. If the applicant does not maintain all required insurance, FEMA will not provide any assistance for that facility in future disasters of the same type. An applicant is exempt from this requirement for:

- projects where the eligible damage (before any reductions) is less than $5,000; or.

- facilities for which, in the determination of the State insurance commissioner, the type and/or extent of insurance being required by FEMA is not reasonable. (This exemption does not apply to facilities insurable under the NFIP because insurance is both available and reasonable.)

The commitment by the applicant to purchase and maintain insurance must be documented and submitted to FEMA before project approval. If a facility has been severely damaged or destroyed, the applicant may be unable to
determine the amount of insurance necessary for the restored facility before
design and construction commences. In such a situation, the applicant must
provide FEMA with as detailed a commitment as possible, and FEMA places
a requirement in the PW stating that the applicant must provide
documentation regarding the insurance policy that is eventually obtained
within a reasonable period of the completion of construction.

FEMA does not require applicants to obtain or maintain insurance on
temporary facilities, and the cost of premiums (for temporary as well as for
other facilities) is not eligible for reimbursement. However, prudent risk
management practices generally encourage appropriate coverage for hazard
exposure at a facility. If a temporary facility is damaged in a non-federally
declared event, FEMA will not repair or replace it.

**Hazard Mitigation**

Hazard mitigation is defined as cost-effective action taken to prevent or
reduce the threat of future damage to a facility. The applicant, FEMA, or the
State may recommend that hazard mitigation measures be included in a PW.
The costs of eligible hazard mitigation actions will be included in the overall
funding of a project. [See FEMA Policy 9526.1, Hazard Mitigation Funding
Under Section 406 (Stafford Act).]

In some cases, FEMA may require mitigation measures as part of an
approved project. For example, FEMA may require that a flood-damaged
building be elevated to comply with local ordinances established pursuant to
the requirements of the NFIP.

**Differences Between Section 404 and Section 406 Hazard Mitigation
Measures**

The Stafford Act provides for two types of funding for hazard mitigation
measures: statewide mitigation programs (authorized under Section 404 of
the law) and mitigation for disaster-damaged facilities (authorized under
Section 406 of the law). The differences between these provisions are
described in the following table:
Table 9: Mitigation

<table>
<thead>
<tr>
<th>404 Hazard Mitigation</th>
<th>406 Hazard Mitigation</th>
</tr>
</thead>
<tbody>
<tr>
<td>Separate program run by the State</td>
<td>Implemented through the PA Program</td>
</tr>
<tr>
<td>Applies to structural measures and to non-structural measures (such as planning, property acquisition, drainage projects)</td>
<td>Applies only to structural measures and does not apply to buyouts</td>
</tr>
<tr>
<td>Applies throughout the State in most disasters</td>
<td>Must apply to the damaged element of the facility</td>
</tr>
<tr>
<td>The formula for calculating the HMGP allocation for States with a standard State mitigation plan is based on 15% of the first $2 billion of estimated aggregate amounts of disaster assistance. For amounts greater than $2 billion, a sliding scale is used to make allocation determinations. States with enhanced mitigation plans are eligible for a 20% HMGP formula.</td>
<td>No program-wide limits on funds, but each project must be cost-effective and approved by FEMA</td>
</tr>
</tbody>
</table>

Section 404 hazard mitigation does not fall under the purview of the PA Program. Nevertheless, it is important to understand the differences between the two programs. The following discussion pertains solely to Section 406 hazard mitigation. For more information on Section 404 hazard mitigation, local officials should contact the PAC Crew Leader, appropriate JFO Hazard Mitigation staff, or the State.

Section 406 Hazard Mitigation
For hazard mitigation measures to be approved, the measures must be reviewed by FEMA staff to ensure eligibility, technical feasibility, environmental and historic preservation compliance, and cost effectiveness. [See FEMA Policy 9526.1, Hazard Mitigation Funding Under Section 406 (Stafford Act).]

To be eligible, Section 406 hazard mitigation measures:

- Must be appropriate to the disaster damage and must prevent future damage similar to that caused by the declared event.

- Must be applied only to the damaged element(s) of a facility. This criterion is particularly important when conducting repairs to a portion of a system. For example, if floodwaters inundate a sanitary sewer, block manholes with sediment and damage some of the manholes,
cost-effective mitigation to prevent blockage of the damaged manholes in future events may be eligible; however, work to improve any undamaged manholes that are part of the system is not eligible. New berms are not eligible as mitigation measures because they do not meet the requirement of being part of the damaged element.

- Cannot increase risks or cause adverse effects to the facility or to other property.
- Must consist of work that is above and beyond the eligible work required to return the damaged facility to its pre-disaster design. Upgrades required to meet current codes and standards, however, are not considered hazard mitigation measures for purposes of the PA Program and have different eligibility criteria.
- Cannot be applied to replacement buildings. Since new construction will be to current codes and standards, which are intended to ensure structural integrity for local conditions, mitigation funding applies only to building repairs, which generally are not covered by codes and standards.

The considerations listed below are used to determine cost effectiveness. In all cases, the total eligible cost of the project, before deducting insurance proceeds, is used for the cost comparison.

- Hazard mitigation measures may amount to up to 15 percent of the total eligible cost of the eligible repair work for the damaged facility.
- Certain mitigation measures may be determined to be cost-effective as long as the mitigation measure does not exceed the cost of the eligible repair work on the project. Examples are provided below.
- For measures that exceed the costs of eligible repair work, the applicant must demonstrate through an acceptable benefit/cost analysis that the measure is cost effective.

If mitigation measures agreed to by the applicant are approved (and thereby required), non-completion jeopardizes the funding of the entire project.

The following list includes examples of Section 406 mitigation measures that have been determined to be cost-effective if they do not exceed the cost of the eligible repair work. As stated above, the applicant, the State, or FEMA may propose such measures, and FEMA may require hazard mitigation measures before agreeing to provide funds for certain projects. See the policy on Hazard Mitigation Funding Under Section 406 (FEMA Policy 9526.1) for a more detailed listing of potential mitigation measures.
• Relocation of facilities from hazardous locations:
  o Roads and bridges
  o Utilities
  o Buildings

• Slope stabilization to protect facilities:
  o Placement of riprap
  o Installation of cribbing or retaining walls
  o Installation of soil retention blankets

• Protection from high winds:
  o Installation of shutters to protect windows
  o Installation of hurricane clips
  o Strengthening anchoring and connections of roof-mounted equipment

• Floodproofing of buildings:
  o Use of flood-resistant materials
  o Elevation of mechanical equipment and utilities
  o Elevation of buildings
  o Dry-floodproofing, if technically feasible

• Flood protection of bridges and culverts:
  o Installation of cut-off walls or headwalls on culverts
  o Installation of gabions, riprap, sheet piling, or geotextile fabric

• Seismic protection:
  o Bracing of overhead pipes and electrical lines
  o Anchoring non-structural elements such as parapets and veneers
  o Bracing interior walls and partitions

• Protection of utilities:
- Use of disaster-resistant materials for power poles
- Anchoring fuel tanks to prevent movement
- Elevation of equipment, control panels, and electrical service to prevent flood damage

**Environmental/Historic Preservation Compliance**

When providing funds under the PA Program, FEMA must consider a range of Federal laws, regulations, and EOs that apply to the use of Federal funds. These laws, regulations, and EOs generally require the funding agency to ensure compliance prior to funding. The size and type of project, and project site and area conditions, generally determine the level of review that must be performed. Some of these laws, regulations, and EOs, and the means through which FEMA ensures that the PA Program complies with them, are discussed below.

Reviews for compliance with these laws must be completed before FEMA approves funding and before work is started since the review may identify steps to be taken or conditions to be met before the project can be implemented. These are noted in the paragraphs below where applicable. More information on FEMA's environmental and historic preservation compliance responsibilities can be found at www.fema.gov/plan/ehp. The REO, the ELO, and environmental and historic preservation specialists are resources that can help, and in some cases are required to help, process these compliance requirements.

**National Environmental Policy Act**

The National Environmental Policy Act (NEPA) requires every Federal agency to follow a specific planning process to ensure that agency decision-makers have considered, and the general public is fully informed about, the environmental consequences of a proposed Federal action, such as the approval of a grant. This review and consultation process is used to evaluate the impact a project, and any possible alternatives, may have on the environment. The process must be completed prior to obligating funds and beginning work. FEMA's regulations regarding NEPA can be found in 44 CFR Part 10.

NEPA does not require that FEMA limit the impact of projects on the environment; nor does it require FEMA to fund only the alternative that has the least environmental impact. However, it does require that the decision to fund a project be made in an informed manner.

The review process required by NEPA, where applicable, is usually the means through which FEMA addresses other environmental laws and regulations.
Statutory Exclusions (STATEX). Section 316 of the Stafford Act provides FEMA with a statutory exclusion from NEPA, which exempts from the NEPA review process certain program activities that restore a facility substantially to its condition prior to the disaster or emergency. The exempted Stafford Act programs are:

- Section 402 (General Federal Assistance);
- Section 403 (Essential Assistance) - protective measures, such as the construction of temporary bridges and other activities necessary to reduce immediate threats to life, property, and public health and safety;
- Section 406 (Repair, Restoration, and Replacement of Damaged Facilities) - repair or restoration projects that restore facilities substantially to their pre-disaster footprint, function, and size;
- Section 502 (Federal Emergency Assistance).

Some actions, although excluded from NEPA review by Section 316, may still have potential environmental impacts that require additional review for compliance with other environmental/historic preservation laws and EOs. The more commonly encountered of these other laws and EOs include: Endangered Species Act, the National Historic Preservation Act, Clean Water Act, Clean Air Act, and EOs on floodplains, wetlands, or environmental justice. Compliance with these laws and EOs is still required whether or not NEPA review is required. For example, although Section 403 debris removal activities are generally statutorily exempt from NEPA review, FEMA still must ensure that those activities comply with such laws as Clean Air Act, Resource Conservation and Recovery Act, and others.

If an action is not statutorily excluded, then it must be determined which of the following levels of review is required for NEPA compliance:

Categorical Exclusions (CATEX). Categorical exclusions are types of actions that, through experience, FEMA has found typically will have little or no environmental impact. FEMA's categorical exclusions are listed in 44 CFR §10.8(d). Examples include upgrades to codes and standards, removal of structures after addressing historic preservation needs, or minor improvements or minor hazard mitigation measures at existing facilities, such as placing riprap at a culvert outlet to control erosion. If there are unresolved extraordinary circumstances that may have a significant adverse environmental impact, such as the potential to affect protected natural or cultural resources, the proposed action cannot be categorically excluded, and an Environmental Assessment is required.
Environmental Assessments (EA). An Environmental Assessment is a concise public document that provides the decision maker with sufficient evidence and analysis regarding the significance of the environmental impacts of the proposed action. An EA can include two or more alternatives to aid in decision making and concludes with one of two findings: either a Finding of No Significant Impact or a Notice of Intent to prepare an Environmental Impact Statement.

Environmental Impact Statements. An Environmental Impact Statement (EIS) is required when significant environmental impacts are anticipated. It is a detailed analysis and evaluation of all the impacts of the proposed action and all reasonable alternatives. This document usually provides more detailed and rigorous analyses than the EA and requires formal public involvement. The EIS concludes with a Record of Decision that provides an explanation of the reasons for selecting a particular action.

Endangered Species Act
This legislation prohibits Federal actions that cause takings of species listed as threatened or endangered, or the destruction or adverse modification of the habitat for these species. Endangered species include mammals, fish, birds, reptiles, and amphibians, as well as plants and insects.

If a project has the potential to affect a threatened or endangered species or its habitat, FEMA must consult with the USFWS or the National Marine Fisheries Service (NMFS), or both, before approving funding for that project. While compliance issues may arise with projects involving undisturbed sites (alternate or improved projects), or sites in or by waterways (bridge or dam repairs), they could also arise with relatively minor actions. For example:

If a culvert replacement must be performed on a stream that serves as the habitat of an endangered fish species, the construction could adversely affect the life cycle of that species. The presence of the species would not necessarily prevent the replacement but may necessitate certain constraints, such as doing the work outside of the species' breeding season.

There are over 1,250 species currently listed as threatened or endangered. Therefore, it is important to consult with the USFWS or NMFS early in the disaster recovery to determine which species inhabit the declared disaster area. In some cases, FEMA may establish a programmatic agreement with the USFWS or NMFS at the beginning of the disaster recovery process to address projects in areas known to have threatened or endangered species. Working with an environmental officer or specialist can facilitate formal or informal consultations with these agencies and help identify streamlining agreements that are already in place.
National Historic Preservation Act
The National Historic Preservation Act (NHPA) requires a Federal agency to consider, before approval of funding, the effects of its activities, referred to as "undertakings," on any historic property listed in or eligible for listing in the National Register of Historic Places. The agency funding the undertaking is required to give the Advisory Council on Historic Preservation (ACHP) a reasonable opportunity to comment on that undertaking. Under the NHPA regulations, which can be found in 36 CFR Part 800, PA Program projects are considered undertakings because they are funded in whole or in part by a Federal agency.

Historic properties include districts, buildings, structures, objects, landscapes, archaeological sites, and traditional cultural properties that are listed in or eligible for listing in the National Register of Historic Places, a federally maintained list of recognized historic properties. These properties are not limited to old buildings or well-known historic sites, but include places important in local, State, Tribal, or national history. Facilities as diverse as bridges, roads, water treatment plants, and areas once inhabited by prehistoric populations may be considered historic properties.

The National Register of Historic Places is incomplete. States may have additional properties with historic significance that may be candidates for listing in the National Register of Historic Places.

Many Public Assistance projects have the potential to affect historic properties. These projects include:

- repair and restoration of historic structures;
- demolition or removal of historic structures;
- repair, restoration, and demolition projects in historic districts; and
- improved, alternate, or relocated projects affecting undisturbed areas that may contain archeological sites or have cultural, historic, or prehistoric significance.

FEMA must ensure the following steps are achieved for properties before approval of funding for a PA project:

- identification of historic properties;
- evaluation of the effects of PA projects on historic properties; and
- consultation with the State Historic Preservation Office (SHPO) or Tribal Historic Preservation Officer (THPO), the ACHP, and other interested parties, such as a local historic society, and the public.
In some cases, FEMA may establish a programmatic agreement with the ACHP, SHPO, and/or the THPO at the beginning of the disaster recovery process to address projects potentially falling within the scope of the NHPA.

**Clean Water Act**

Under Section 404 of the Clean Water Act (CWA), the USACE is responsible for issuing permits for the discharge of dredged materials or fill into the waters of the United States. The applicant must obtain a permit in any situation where dredging or filling is a component of the project. Where a USACE permit is required for a PA project, FEMA places a requirement in the PW stating that the applicant is responsible for obtaining the permit. Also as part of the CWA, the applicant may be required to seek a Section 101 water quality permit from the State agency that administers that program.

Wetlands are considered part of the waters of the United States and are subject to CWA provisions. Some wetlands, such as marshes and riverine wetlands, are easy to recognize. Other sites, such as forested wetlands and agricultural drainage ditches, are more difficult to identify, and some areas that are considered wetlands may not actually be wet for much of the year. Wetlands can be identified by the USACE, USFWS, or Natural Resource Conservation Service.

Some of the facilities and projects that may involve the CWA include:

- bridges, culverts, or outfall structures;
- levees, dikes, and berms;
- irrigation works;
- channel alignment and stream bank erosion control;
- debris removal in streams;
- shore protective measures;
- projects involving the placement of fill, such as relocation of roads and buildings; and
- construction of water and wastewater treatment plants.

**Clean Air Act**

The Clean Air Act is administered through State and local agencies. Except for activities in non-attainment areas (i.e., those exceeding national standards and, therefore, requiring more rigorous compliance measures), air quality compliance will often require that fairly standard measures be implemented such as dust abatement, vehicle emissions control, fuels storage and
distribution procedures, etc. Those activities with particular air quality concerns include:

- debris disposal through methods such as burning;
- collection and disposal of appliances that contain chlorofluorocarbons;
- collection and disposal of switches and fluorescent tubes that contain mercury;
- demolition of damaged structures, which can release dust or harmful substances, such as asbestos, into the air; and
- large construction projects that require extensive grading and use of heavy equipment.

**Coastal Barrier Resources Act**

The Coastal Barrier Resources Act (CBRA) and the subsequent Coastal Barrier Improvement Act establish a system of protected coastal areas and Otherwise Protected Areas (OPAs) known as the Coastal Barrier Resources System (CBRS). The areas, called CBRS units, include defined areas along the Atlantic, Gulf of Mexico, and Great Lakes coasts, and Puerto Rico, Florida Keys, Virgin Islands, and secondary barriers within large embayments. These two Acts minimize impacts to their unique natural ecosystems by restricting Federal expenditures and financial assistance that encourage development in certain defined areas of the coastal barriers which are identified on FEMA’s FIRMs or on USFWS maintained maps.

Debris removal and emergency protective measures in designated CBRS units may be eligible for Public Assistance provided the actions eliminate an immediate threat to lives, public health and safety, and improved property. While strongly encouraged, advance consultation with the USFWS is not required before approval of emergency measures. Notification is required at the soonest practicable time for approved emergency work.

Before approving funding for permanent work in CBRS areas, however, FEMA must consult with the USFWS to allow the USFWS the opportunity to provide written comments. The following types of publicly owned facilities may be eligible for permanent work funding:

- essential links in a larger system;
- restoration of existing channel improvements;
- repair of existing energy facilities that are functionally dependent on a coastal location;
- special-purpose facilities as defined in 44 CFR §206.347(c)(4); and
• other existing (but not expanded or improved) roads, structures, or facilities that are consistent with the purposes of CBRA.

Certain PNP facilities that meet the restrictions of CBRA and the PA Program may be eligible for assistance. Examples include electric, water, and sewer utilities. [See 44 CFR §206.347(c)(6).]

Improved projects that expand a facility and alternate projects are not eligible in CBRS units except in a few limited cases.

An existing facility is defined as a publicly owned or operated facility on which construction started on or before October 18, 1982. If a facility has been substantially improved or expanded since October 18, 1982, it is not an existing facility. If a unit was added to CBRS at a later date, that date may be substituted for the October 18, 1982, date. For a complete description of the PA Program’s responsibility for CBRA, refer to 44 CFR §206.340 Subpart J.

**Resource Conservation and Recovery Act**
Although debris removal is statutorily exempted from NEPA, it is nonetheless subject to the Resource Conservation and Recovery Act, which requires safe disposal of waste materials, promotes the recycling of waste materials, and encourages cooperation with local agencies. The act, implemented at the State and local levels, applies to disposal of both disaster-generated debris and demolition debris and is of particular concern when hazardous materials may be present.

**Coastal Zone Management Act**
If a proposed project is located in an area covered by a state's coastal zone management plan, its consistency with the requirements of that plan must be determined before funding can occur.

**Farmland Protection Policy Act**
If a proposed project causes irreversible conversion of prime, unique, or other special farmland to non-agricultural use, the lost acreage must be evaluated using NRCS procedures.

**Fish and Wildlife Coordination Act**
If a proposed project will affect water resources, this act requires an evaluation of that action on fish and wildlife. Projects affecting the stream hydrology or the impoundment of water will most often trigger requirements under this law. Consultation with USFWS and other agencies may be required.

**Wild and Scenic Rivers Act**
If a proposed project is located on or above a reach of a river designated as wild and scenic, it must be reviewed for compliance with this law.
EO 11988 - Floodplain Management and EO 11990 - Protection of Wetlands
EOs 11988 and 11990 require Federal agencies to minimize or avoid activity that adversely affects floodplains and wetlands. Because many PA projects are located in these areas, FEMA must review proposed projects for compliance with the requirements of these orders. Through this review, FEMA seeks to:

- avoid, to the extent possible, the long- and short-term adverse impacts associated with the occupancy and modification of floodplains;
- avoid direct and indirect support of floodplain development wherever there is a practicable alternative; and
- minimize the destruction, loss, or degradation of wetlands.

FEMA's regulations for applying EO 11988 and 11990 are outlined in 44 CFR Part 9. These regulations describe a specific, 8-step process for conducting floodplain management and wetland reviews before approval of funding. The process includes the following steps:

1. Determine the location and potential of the proposed action to affect or be affected by a wetland or the 100-year floodplain.
2. Notify the public of the proposed action within or affecting a wetland or floodplain.
3. Identify and evaluate practicable alternatives, including alternative sites or actions outside the floodplain or wetland.
4. Identify the potential direct and indirect impacts associated with the proposed action.
5. Minimize potential adverse impacts of the proposed action.
6. Re-evaluate the proposed action and other practical alternatives based on steps 3, 4, and 5.
7. Inform the public of the final decision.
8. Implement the action.

This review process is not required for most projects where eligible damage is less than $5,000. In addition, the review is not required for Category A and B projects (emergency work), except for projects involving disposal of debris in Special Flood Hazard Areas or wetlands.
For all other projects located within Special Flood Hazard Areas or wetlands, FEMA must perform the 8-step process to determine if it is practicable to avoid restoration in the floodplain or wetland. If avoiding the floodplain or wetland is not practicable, FEMA must identify all effects to the floodplain or wetland as well as to the facility, and seek to minimize the adverse effects through mitigation (such as relocation or redesign).

Consideration of alternative sites is not required for projects over $5,000 but less than $25,000 that are located in Special Flood Hazard Areas or wetlands. However, mitigation measures must be considered.

FEMA must perform floodplain management reviews for critical facilities located in any floodplain up to and including the 500-year floodplain. A facility is considered to be critical if flooding of that structure would present an immediate threat to life, public health, and safety. Critical facilities are those that serve as emergency shelters; contain occupants who are not sufficiently mobile to avoid death or injury, such as hospitals; house emergency operation or data storage that may become lost or inoperative; are generating plants and principal points of utility lines; or that produce, use, or store volatile, flammable, explosive, toxic, or water reactive materials. FEMA may require mitigation of the hazard or relocation of a critical facility before agreeing to provide funding for restoration of the facility.

**EO 12898 - Environmental Justice**
Field personnel should identify any neighborhoods or communities with minority or low-income populations. This order requires Federal agencies to evaluate actions for disproportionately high or adverse effects on minority or low-income populations and to find ways to avoid or minimize these impacts where possible. It does not typically apply to in-kind repair or replacement of facilities under the PA Program. However, it may affect funding for improved, alternate, and relocated projects and certain hazard mitigation measures.
Chapter 5: Project Management

Project management begins when a disaster occurs and does not end until an applicant has received final payment for the project. Good project management ensures successful recovery from the disaster, expedited payment of funds, and more efficient closeouts of PA Program grants. See FEMA Instruction 8610.8, Public Assistance (PA) Program Grants Administration Post Award Monitoring and Closeout Processes for additional information.

Record Keeping

It is critical that the applicant establish and maintain accurate records of events and expenditures related to disaster recovery work. The information required for documentation describes the "who, what, when, where, why, and how much," for each item of disaster recovery work. This information should include the completed PW; completed Special Considerations Questions form; estimated and actual costs; force account labor; force account equipment, materials, and purchases; photographs of damage, work underway, and work completed; insurance information; environmental and/or historic alternatives and hazard mitigation opportunities considered; environmental review documents; receipt and disbursement documents; and records of donated goods and services, if any. The applicant should have a financial and record keeping system in place that can be used to track these elements. The importance of maintaining a complete and accurate set of records for each project cannot be over-emphasized. Good documentation facilitates the project formulation, validation, approval, and funding processes.

All of the documentation pertaining to a project should be filed with the corresponding PW and maintained by the applicant as the permanent record of the project. These records become the basis for verification of the accuracy of project cost estimates during validation of small projects, reconciliation of costs for large projects, and audits.

Applicants should begin the record keeping process before a disaster is declared by the President. To ensure that work performed both before and after a disaster declaration is well documented, potential applicants should:

- designate a person to coordinate the compilation and filing of records;
- establish a file for each site where work has been or will be performed; and
- maintain accurate disbursement and accounting records to document the work performed and the costs incurred.
Grantees must maintain records for a minimum of 3 years from the date of the final Financial Status Report (FSR) or follow their standard record retention policy requirements if that policy dictates record retention beyond the 3-year requirement. Applicants must meet their own record retention requirements if they are longer than the Grantee's. Otherwise, they must follow the Grantee's requirements. If the applicants are required to submit an FSR to the Grantee, the beginning date for record retention is the date of the final FSR. If the FSR is not required, the beginning date for record retention is the final certification of completion of the applicant's last project. Applicants may refer to the Public Assistance Applicant Handbook, FEMA 323, for additional information regarding record keeping.

**Time Limits**

Eligible work must be completed within timeframes established by regulation. These deadlines are measured from the declaration date of the major disaster or emergency. The deadlines are established according to the type of work, as shown in the following table:

<table>
<thead>
<tr>
<th>Type of Work</th>
<th>Months</th>
</tr>
</thead>
<tbody>
<tr>
<td>Debris Clearance</td>
<td>6</td>
</tr>
<tr>
<td>Emergency Work</td>
<td>6</td>
</tr>
<tr>
<td>Permanent Work</td>
<td>18</td>
</tr>
</tbody>
</table>

The State has limited authority to grant extensions of the above deadlines on a case-by-case basis in situations of extenuating circumstances. However, the State may not grant extensions that modify the approved scope of work, such as where the project cost is dependent on the duration. For example, for a leased temporary facility, FEMA defines the eligible funding for this facility based on the duration of use. The State does not have the authority to extend the duration of the lease as this constitutes an increase in the approved scope of work and associated costs. Only FEMA can approve a scope of work modification.

For debris clearance and emergency protective measures, the State may grant up to an additional six months for the completion of the approved scope of work. For permanent restoration work, the State may grant up to an additional 30 months.

Requests by applicants for time extensions should include identification of the project by PW number, the dates and provisions of any previous extensions granted for the particular project, a detailed justification of the need for the
extension, and a projected completion date. The justification should be based on extenuating circumstances or unusual project requirements beyond the control of the applicant. FEMA may review the State’s actions on time extensions on a periodic basis to ensure compliance with the regulations.

If an applicant requests a time extension beyond the limit of the State's authority, the State must submit the request to the RA for approval. Information to be contained in the request is the same as in a request submitted for State approval. The RA will make a determination as to whether some or all of the requested extension should be granted and will inform the State in writing. The RA has authority to grant extensions appropriate to the situation. The RA may impose requirements upon the State to ensure that the project will be completed within the approved time limit.

FEMA provides assistance only for those costs incurred up to the latest approved completion date for a particular project. However, the project still must be completed for any funding to be eligible for that project.

**Changes in Scope of Work and Costs**

During the performance of work on a project, the applicant may discover hidden damage, additional work that is necessary to properly complete the project, or that certain costs are higher than those used to make the original estimate for the PW. Delays in the work schedule also may increase costs. This notification of additional damage or costs must be for a project already identified and approved by FEMA. Changes in the scope of work may result in additional environmental/historic preservation compliance reviews and/or new permits.

Assistance for any newly discovered damaged facilities must be requested within 60 days of the first substantive meeting (typically the Kickoff Meeting) with the applicant.

For large projects, when a change in scope or a need for additional funding is discovered, the applicant should notify the State as soon as possible. It should not be assumed that such costs can be reported at the end of the project and that the additional funds will be approved automatically. The request should contain justification for the eligibility of the additional work or costs. If additional damage to the facility is involved, it may be necessary to show how that damage is disaster-related. The State forwards the request to FEMA with a written recommendation. To determine eligibility, FEMA and the State, in cooperation with the local representatives, may conduct a site visit. The timing of the request should be such that the damaged element can be inspected before it is covered up or repaired. FEMA renders a decision and notifies the State either with an amended PW for additional funding or a written denial of the request.
Small projects are handled differently. If there is a gross error or omission in the scope of work of a small project, the applicant should make a request for a change as described above. Cost overruns are not handled on a project-by-project basis; rather, the applicant may request supplemental funding for a net cost overrun on all small projects by submitting an appeal through the State to FEMA. An appeal should be submitted only when the total costs for all small projects significantly exceed the total cost approved for all small projects. The appeal must be submitted within 60 days of the completion of all of that applicant’s small projects. The appeal must include documentation of actual costs including reasons for increased cost or scope of work of all of the projects, including projects with underruns as well as those with overruns.

Except when an appeal is to be submitted, cost documentation for small projects does not need to be submitted to FEMA, but should be retained for 3 years after the date of the applicant's final FSR to the Grantee. If there is no FSR, it should be retained for 3 years from the date of the final certification of completion of the applicant's last project.

**Progress Reports**

Progress reports are critical to ensuring that FEMA and the State have up-to-date information on PA Program grants. Reporting requirements for the PA Program generally concentrate on large projects. Recipients of assistance should check with their State to determine the particular reporting requirements.

The State submits reports quarterly to the RA for projects for which a final payment has not been made. The date of the first report will be determined jointly by the State and the DRM, depending on the circumstances at the time. The progress report will include:

- the status of the project, such as "in design" or "percentage of construction completed";
- time extensions granted, if any;
- a projected completion date;
- the amount of expenditures and amount of payment for each project; and
- any problems or circumstances that could delay the project or result in noncompliance with the conditions of the FEMA approval.

As final payment is made on each large project, the project may be dropped from the report. Final payment for small projects is made at the time of project
approval by FEMA and, therefore, small projects do not need to be reported to FEMA.

Other reporting requirements for small projects may vary depending upon the requirements of each State.

FEMA has no reporting requirements for applicants, but the State is expected to impose some reporting requirements on applicants so that it can prepare quarterly reports. The format in which the applicants submit project reports to the State will be determined by the State.

**Audits**

Public assistance grant recipients are required to comply with the provisions set forth under the Single Audit Act of 1984 (Public Law 98-502), as amended in 1996. The act requires grant recipients expending $500,000 or more in Federal funds in a fiscal year ending after December 31, 2003 to perform a single audit or program-specific audit in accordance with OMB Circular A-133, Audits for States, Local Governments, and Non-Profit Organizations.

Even though a single audit must be performed, grant recipients also are subject to additional audits by the DHS Office of the Inspector General and State auditors. OMB requires grant recipients to maintain financial and program records for 3 years beyond the date of final FSR or follow their and the Grantee’s standard record retention policy if that policy requires record retention beyond the 3-year requirement. If an FSR is not required, records must be maintained for 3 years from the date of the final certification of completion of the applicant's last project.

Typically, applicants will be informed of audit requirements during the Applicants’ Briefing. Any questions after the briefing regarding the single audit, or audits in general, should be directed to the appropriate State official or the DHS's Office of the Inspector General.
ANNEX MC&S
Mass Care & Shelter Plan

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Purpose

UCSF Care and Shelter provides limited term (1-3 days) care, feeding and shelter for displaced UCSF students, faculty staff and affiliates displaced due to a disaster on the UCSF Campus until such time as Care and Shelter Operations can be transitioned over to Red Cross, City-County of San Francisco Department of Emergency Management, State, or federally coordinated shelter operations.

Part I – Concept of Operations

1. Primary Function/Mission

Provide emergency food rations and temporary emergency shelter for UCSF students, faculty, staff and affiliates displaced due to a disaster.

2. Secondary Functions

- Accounting for victims.
- Disseminating emergency information.
- Provision of Psychological First Aid via UCSF Disaster Mental Health Team (DMHT) members.
- Provision of basic first aid.
- Providing disaster shelter to neighboring community members on a space available basis if City or Red Cross disaster shelters are unavailable.

3. Assumptions

This plan’s activation would be limited to a major disaster causing infrastructure and transportation system damage or closures such as an earthquake and resulting in large numbers of students, staff, faculty and affiliates unable to return to homes or leave the campus.

4. Emergency Responder Food and Shelter

Feeding and billeting of EOC staff and UCSF personnel engaged in response operations is the responsibility of the EOC Logistics Section Food & Shelter Unit.
5. Mass Care & Shelter Responsibilities
Planning & Preparedness

5.1.1 UCSF Lead Department/Division/Unit
- UCSF Police Department – Homeland Security Emergency Management Division

5.1.2 Supporting Departments/Divisions and Organizations
- Capital Projects
- CLS
- Distribution & Storage
- EAP Teams
- EH&S
- Facilities Management
- Human Resources
- Medical Center
- Parking & Transportation
- Bay Area Chapter of the American Red Cross
- City-County of San Francisco Department of Emergency Management

Response & Recovery

5.1.3 EOC Lead Section/Function
- Operation Section – Operations Chief

5.1.4 EOC Supporting Sections/Units:
- Operations:
  - Building & Facilities Branch
  - Building Inspections Unit
  - EH&S Unit
  - Public Safety Unit
  - Response Teams Coordination Unit
- Logistics:
  - Equipment & Supplies Unit
  - Care & Shelter Unit
  - Human Resources Unit
  - Transportation Unit
  - Real-estate Unit
  - ITS Branch
- Admin Finance Section
  - Accounting Unit
  - Purchasing Unit
  - FEMA Claims Unit
  - Insurance Risk management Unit
5.1.5 Field Responders

- CERT: CAST ECT, & DMHT members
- EAP Teams
- ERT
- Police
- Facilities Management

City & County of San Francisco

Under the City and County of San Francisco’s (CCSF) Emergency Operation Plan (EOP), the Operations Section – Human Services Branch is responsible for managing a Mass Care and Shelter program. Under the CCSF EOP, Emergency Support Function # 6: Mass care, Housing, and Human Services collaborate to meet care and shelter needs of disaster victims with the American Red Cross, Salvation Army and other voluntary agencies.

Mutual Aid Region

The California Emergency Management Agency (CalEMA) Mutual Aid Region Care and Shelter Coordinator (representative of the State Department of Social Services) will coordinate care and shelter operations within the Region and will submit requests for support to the State Director of Care and Shelter.

State Social Services

The Director of the State Department of Social Services will serve as the State Director of Care and Shelter and will coordinate care and shelter operations. The Department of Social Services is responsible for:

- Serving as the lead agency in coordinating State agency care and shelter response to support local operations.
- Providing personnel and other resources to Disaster Assistance Centers.
- Coordinating with the County Health and Human Services Agency.
- Recommending transfer of evacuees or resources as needed.

Federal

Federal support for care and shelter operations will be provided by those Federal agencies, such as the Department of Agriculture and the Department of Defense, whose responsibilities include disaster response prior to a Presidential Declaration. After a Presidential Declaration, the Federal Emergency Management Agency will coordinate more support.

American Red Cross

The American Red Cross works with the County and City to provide emergency mass care to persons affected by disasters. In many situations, the Red Cross is the primary provider of staff and supplies for emergency shelters. At the time of this writing UCSF
does not have a Memorandum of Understanding with the Red Cross for assuming operation of UCSF shelters.

**Mutual Aid**

If City and resources (both public and private) are not adequate, the City can request support through the County to the CalEMA Mutual Aid Region. If the requirement cannot be met through resources available within the region, the Regional Office will request help from CalEMA in Sacramento. CalEMA will then forward the request to the State Department of Social and Health Services for final action.

### 6. Activation of Mass Care & Shelter Plan

Plan Activated by EOC Director or Operations Section Chief.

### 7. Resources

**Care and Shelter Cache:** UCSF maintains a care and shelter cache capable of supporting 20,000 people for three days. Cache contains 3600 calorie food bars, water, first aid and trauma kits, Mylar blankets, flashlights, lanterns spare batteries, 12 hour light sticks, personal hygiene kits, and bucket toilet kits. (Refer to PART 3 - UCSF CARE AND SHELTER DISASTER SUPPLY CACHES)

**Campus Life Services Food Vendor Emergency Contract Clause:** CLS include a clause in contract with food court vendors allowing UCSF to retrieve and use non-perishable (and safe-to-consume perishable) food items from vendor stores during disasters when food vendors are unable to operate.

**CERT:** UCSF Campus Emergency Response Teams (CERT) may be deployed to coordinate the set-up and management of emergency shelters. CERTs are comprised of UCSF personnel who may have also received Red Cross Shelter management training (Care and Shelter Team – CAST), Emergency Communications training (Emergency Communications Team – ECT) or Psychological First Aid training (Disaster Mental Health Team – DMHT). (Refer to Annex CERT)

**EAP:** Approximately 1200 staff serves as Emergency Coordinators or Floor Wardens under their worksite Emergency Action Plans. Emergency Coordinators or Floor Wardens may be recruited to assist CERT and CAST members in staffing the shelters.

**Disaster Service Workers:** All UCSF faculty and staff are disaster service workers and may be directed to assist in shelter operations.

**Special Needs Cots:** UCSF maintains an inventory of approximately 200 cots for use by shelter residents with physical impairments which may prevent them from laying on the floor for sleep.
Part 2 - Field Responder & EOC Standard Operating Procedures (SOP)

Until shelter operation can be assumed by the American Red Cross, SF DEM’s Human Services Unit, or other local, state or federal care and shelter provider, UCSF’s shelter management/operations will be fulfilled by UCSF staff.

Due to the lack of UCSF personnel formally trained in Red Cross Shelter Operations, a UCSF Shelter Field Operation Guide (FOG) will be used by available UCSF personnel tasked with establishing and operating temporary emergency shelters.

Available UCSF personnel include CERT, EAP emergency coordinators and floor wardens, UCSF staff using the shelter, and UCSF staff deployed through the HR Disaster Resource Center (HRDRC) as Disaster Service Workers to support shelter operations. All UCSF personnel providing shelter management or support services will be designated as a Care and Shelter Team (CAST).

CAST’s will operate shelters utilizing a UCSF Shelter management Field Operation Guide (FOG). The Shelter FOG will provide ICS based position checklists, shelter set-up plans, shelter registration procedures, shelter management guidelines, care and shelter equipment and supply use and distribution, and forms and procedures for maintaining communications and coordination with the ICP and EOC during shelter operations. (Refer to PART 4 - UCSF SHELTER MANAGEMENT FIELD OPERATIONS GUIDE)

8. Care & Shelter Operational Phases

The following standard operation procedures outline two phases of field emergency responder and Emergency Operations Center Care and Shelter functions:

• Shelter Identification and Set-Up Phase
• Shelter Operations & Support Phase.

Checklists for UCSF field responders (I.e.: CERT, Facilities Management, Police, EH&S) and for EOC staff are provided on the following pages.

<table>
<thead>
<tr>
<th>Task</th>
<th>Date/ Time</th>
<th>Notes</th>
</tr>
</thead>
<tbody>
<tr>
<td><strong>CERT</strong></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Establish an Incident Command Post from which to communicate and coordinate with the EOC.</td>
<td></td>
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<tr>
<td>Survey campus buildings to identify facilities that appear undamaged facilities have large conference rooms or other open spaces suitable for sleeping.</td>
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<tr>
<td>Report locations to EOC for Building Inspection Team and EH&amp;S assessment.</td>
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<tr>
<td>Assess availability of CERT, CAST and EAP team members in the local area to manage and staff a shelter.</td>
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<tr>
<td>Request additional personnel if necessary from EOC.</td>
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<tr>
<td>Upon approval to occupy space, assemble volunteers to assist in moving Care &amp; Shelter supplies from storage locations to shelter locations. (See Local Cache locations)</td>
<td></td>
<td></td>
</tr>
<tr>
<td>Request vehicle to aid in relocating supplies if necessary from EOC.</td>
<td></td>
<td></td>
</tr>
<tr>
<td>Recruit volunteers from displaced personnel awaiting shelter or assign CAST, CERT, EAP or other available UCSF personnel to fulfill shelter management positions and provide copies of Job Sheets (See ATTACHMENT F: Care &amp; Shelter Team Position Checklists)</td>
<td></td>
<td></td>
</tr>
<tr>
<td>Instruct appointed CAST Team leader to route all resource request, situation reports and census information to EOC through CERT ICP.</td>
<td></td>
<td></td>
</tr>
<tr>
<td><strong>Building Inspection Team</strong></td>
<td></td>
<td></td>
</tr>
<tr>
<td>As directed by EOC Building Inspection Unit, assess facilities for use as temporary emergency shelters.</td>
<td></td>
<td></td>
</tr>
<tr>
<td>If available, have EH&amp;S assess structurally safe building for health and safety or request EH&amp;S assessment from EOC.</td>
<td></td>
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</tr>
<tr>
<td>Report which buildings are safe and unsafe for occupancy to EOC Building Inspection Unit.</td>
<td></td>
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</tr>
<tr>
<td><strong>EH&amp;S</strong></td>
<td></td>
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</tr>
<tr>
<td>As directed by EOC EH&amp;S Unit, assess spaces within facilities determined safe for occupancy by Building Inspections Team for use as temporary emergency shelters.</td>
<td></td>
<td></td>
</tr>
<tr>
<td>Report which spaces within buildings meet minimal health and safety criteria for use as an emergency shelter to EOC EH&amp;S Unit. Report on any recommended or required remediation of health or safety hazards for occupancy.</td>
<td></td>
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<tr>
<td>Inform local CERT which spaces meet minimal</td>
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<tr>
<td>Task</td>
<td>Date/ Time</td>
<td>Notes</td>
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<tr>
<td>---------------------------------------------------------------------</td>
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</tr>
<tr>
<td>health and safety criteria for use as an emergency shelter. Advise on any recommended or required remediation of health or safety hazards for occupancy.</td>
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<tr>
<td><strong>FM</strong></td>
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<tr>
<td>Report to ICP and coordinate with CERT the identification of buildings to use as shelters.</td>
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<tr>
<td>Upon approval to occupy space, coordinate clearance of spaces for sleeping, eating, and hygiene (Existing bathrooms or bucket toilets from Care &amp; Shelter cache).</td>
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<tr>
<td>Assemble available cleaning supplies from building.</td>
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<tr>
<td>Coordinate temporary repairs as needed.</td>
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<tr>
<td>Request facilities equipment/supplies or FM trades/crafts personnel from FM ERC</td>
<td></td>
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<tr>
<td><strong>PD</strong></td>
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<tr>
<td>Assess shelter population and coordinate security needs with CAST Team leader.</td>
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<tr>
<td>Identify and assess security status and needs of critical facilities within building (i.e.: Select Agent labs, animal facilities, HR record rooms)</td>
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<tr>
<td>If necessary request security guard support through EOC – Public Safety Unit</td>
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</tbody>
</table>
10. EOC Response: Shelter Identification and Set-Up Phase

## OPERATION SECTION CHECKLIST

<table>
<thead>
<tr>
<th>Task</th>
<th>Date/Time</th>
<th>Notes</th>
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</thead>
<tbody>
<tr>
<td><strong>Ops Chief</strong></td>
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</tr>
<tr>
<td>Establish with Ops Section:</td>
<td></td>
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</tr>
<tr>
<td>• Buildings to be inspected and cleared by Building Inspection Team before entry.</td>
<td></td>
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<tr>
<td>• EH&amp;S to assess spaces within building for health and safety before use as shelter.</td>
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</tr>
<tr>
<td>• If available, local CERT ICP to be utilized to coordinate field activities.</td>
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<tr>
<td>• Final approval to use locations for shelter operations will come from Ops Chief</td>
<td></td>
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<tr>
<td>• Notification to CERT/CAST or EAP SEC/ECs of authorization to establish Shelter operations in specific locations is to come from Ops Chief, Response Teams Coordinator or Public Safety Unit</td>
<td></td>
<td></td>
</tr>
<tr>
<td>All involved Ops Section Units are to Provide Documentation Unit on-going updates:</td>
<td></td>
<td></td>
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<tr>
<td>• Locations inspections requested</td>
<td></td>
<td></td>
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<tr>
<td>• Locations inspected and cleared</td>
<td></td>
<td></td>
</tr>
<tr>
<td>• Locations inspected and not cleared</td>
<td></td>
<td></td>
</tr>
<tr>
<td>• Team locations</td>
<td></td>
<td></td>
</tr>
<tr>
<td>• Status of Shelter set-up</td>
<td></td>
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<tr>
<td>• Notification of shelter opening</td>
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</tbody>
</table>

Clearing building and space for use as shelter includes:

- Building Inspection Team Clearance
- EH&S health and safety approval
- Building & Facilities Branch assistance with clearing and preparing space of occupancy as needed.
- Consultation with EH&S, Animal Care, Critical Programs to identify sensitive areas and any safety or security concerns.
- Public Safety & Security assessments as needed.

Coordinate release of shelter locations with PIO.

**Building Inspections Unit**

From Response Teams Coordination Unit:

- Obtain locations and contact information of any CERT ICPs
- Obtain list of locations requested by CERTs (if any)

Deploy Building Inspection Teams providing team leaders with CERT ICP location/contact information

Brief Building Inspection Team leaders with schedule
<table>
<thead>
<tr>
<th>Task</th>
<th>Date/ Time</th>
<th>Notes</th>
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</thead>
<tbody>
<tr>
<td>to report updates back to EOC.</td>
<td></td>
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</tr>
<tr>
<td>Notify EH&amp;S of Building Inspection Teams deployments and contact information.</td>
<td></td>
<td></td>
</tr>
<tr>
<td>Notify Documentation Unit of Building Inspection Teams deployments and contact information.</td>
<td></td>
<td></td>
</tr>
<tr>
<td>Notify Response Team coordinator and Documentation Unit of results of building inspections as they come in.</td>
<td></td>
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</tbody>
</table>

**EH&S Unit**

<table>
<thead>
<tr>
<th>Task</th>
<th>Date/ Time</th>
<th>Notes</th>
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</thead>
<tbody>
<tr>
<td>Deploy DSA to meet with CERT and Building Inspection Teams to assess cleared building for fuse as emergency shelters. Assess locations against minimal health and safety criteria for emergency shelter occupancy.</td>
<td></td>
<td></td>
</tr>
<tr>
<td>Notify Documentation Unit of DSA deployments and contact information.</td>
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<tr>
<td>Notify Response Team coordinator and Documentation Unit of results of EH&amp;S assessments as they come in.</td>
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</tbody>
</table>

**Response Teams Coordination Unit**

<table>
<thead>
<tr>
<th>Task</th>
<th>Date/ Time</th>
<th>Notes</th>
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<tbody>
<tr>
<td>From CERT ICPs identify:</td>
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<tr>
<td>• Number and location of persons needing care and shelter.</td>
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<tr>
<td>• Names of buildings which appear intact which may serve as shelters.</td>
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<tr>
<td>• Locations of recommended spaces within the building(s) suitable for shelter operations</td>
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<tr>
<td>• Number of CERT, CAST, EAP or others at site who are available to operate a shelter.</td>
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<tr>
<td>Provide CERT with location and combinations to nearest care and shelter caches.</td>
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<tr>
<td>Brief CERT leaders with schedule to report updates back to EOC.</td>
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<tr>
<td>Advise CERT leaders not to occupy building until notified by EOC (Response Team Coordinator, Ops Chief, Public Safety Unit)</td>
<td></td>
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</tr>
<tr>
<td>Notify Building Inspections Unit, Public Safety Unit, EH&amp;S Unit and Documentation Unit of CERT ICP locations contact information, and suggested shelter locations for inspections and assessments.</td>
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</tr>
<tr>
<td>Provide Documentation Unit updates on:</td>
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<tr>
<td>• Number and location of persons needing care and shelter.</td>
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<td></td>
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<tr>
<td>• Interim CERT feeding and care activities provide to evacuees.</td>
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<tr>
<td>Notify Ops Chief and Documentation Unit of locations cleared by Building Inspectors and EH&amp;S.</td>
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</tbody>
</table>

**Building & Facilities Branch Director**

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<thead>
<tr>
<th>Task</th>
<th>Date/ Time</th>
<th>Notes</th>
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<tbody>
<tr>
<td>Tasks appropriate Branch Units to assist in identifying floor plans/spaces for shelter operations</td>
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<td>Task</td>
<td>Date/Time</td>
<td>Notes</td>
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<tr>
<td>within seismically rated buildings.</td>
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<tr>
<td>Coordinates tasking’s to Building Inspections Unit</td>
<td></td>
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<tr>
<td>Assures Damage Assessment Unit documents facility inspections and status, and communicates status reports to Documentation Unit.</td>
<td></td>
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</tr>
<tr>
<td>Coordinates with Ops Chief, EH&amp;S Unit and Building Inspections Unit to identify inspected sites cleared for occupancy and determine scope of EH&amp;S facility health and safety issues to be corrected before shelter operation can commence.</td>
<td></td>
<td></td>
</tr>
<tr>
<td>Coordinates Facilities Unit support for designated emergency shelter space clearing, set-up, and</td>
<td></td>
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<tr>
<td>Coordinates Repair &amp; Construction Unit support for temporary immediate repairs to shelter spaces to enable occupancy.</td>
<td></td>
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<tr>
<td>Coordinates with Response Teams Coordination Unit communications and coordination of Facilities and Repair &amp; Construction personnel with on-site CERT/CAST or EAP personnel</td>
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<tr>
<td>Public Safety Unit</td>
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<tr>
<td>Coordinates securing of restricted/sensitive areas of Buildings housing emergency shelters.</td>
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<tr>
<td>Coordinates provision of on-site security if indicated.</td>
<td></td>
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<tr>
<td>Coordinates clearance of streets or parking lots if indicated.</td>
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</tbody>
</table>
11. EOC Shelter Operations & Support Phase

OPERATIONS SECTION CHECKLIST

<table>
<thead>
<tr>
<th>Task</th>
<th>Date/Time</th>
<th>Notes</th>
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</thead>
<tbody>
<tr>
<td><strong>Ops Chief</strong></td>
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<td></td>
</tr>
<tr>
<td>Establish with Ops Section:</td>
<td></td>
<td></td>
</tr>
<tr>
<td>• Continuation to utilize local CERT ICP to be utilized to coordinate field activities.</td>
<td></td>
<td></td>
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<tr>
<td>• Provide Documentation Unit on-going status updates of tasks to support shelter operations.</td>
<td></td>
<td></td>
</tr>
<tr>
<td>• Provide Documentation Unit on-going updates of shelter census and operating status.</td>
<td></td>
<td></td>
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<tr>
<td>Prepare to order evacuation and re-inspection of shelters due to After-Shocks.</td>
<td></td>
<td></td>
</tr>
<tr>
<td>Address shelter safety &amp; security needs as needed.</td>
<td></td>
<td></td>
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<tr>
<td>Coordinate release of shelter updates with PIO.</td>
<td></td>
<td></td>
</tr>
<tr>
<td>Coordinate with Logistics Chief and Admin/Finance Chief securing non-perishable food items from UCSF food vendor supply rooms for distribution to shelter populations.</td>
<td></td>
<td></td>
</tr>
<tr>
<td>Coordinate with Logistics Chief and Admin/Finance Chief contracting meal services from operating UCSF food vendors for feeding of shelter populations.</td>
<td></td>
<td></td>
</tr>
<tr>
<td>Coordinate with Logistics Chief and Admin/Finance Chief contracting meal services from operating area food vendors for feeding of shelter populations.</td>
<td></td>
<td></td>
</tr>
<tr>
<td><strong>Building Inspections Unit</strong></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Prepare to re-inspect shelters due to After-Shocks.</td>
<td></td>
<td></td>
</tr>
<tr>
<td><strong>EH&amp;S Unit</strong></td>
<td></td>
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<tr>
<td>Establish schedule to inspect shelters for maintenance of minimal health and safety criteria for emergency shelter operations.</td>
<td></td>
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<tr>
<td>Notify Response Team Coordinator EH&amp;S inspection results as they come in.</td>
<td></td>
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<tr>
<td>Assist in mitigation/correction of health and safety concerns</td>
<td></td>
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<tr>
<td><strong>Response Teams Coordination Unit</strong></td>
<td></td>
<td></td>
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<tr>
<td>Brief CERT leaders with schedule to report updates back to EOC.</td>
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<tr>
<td>Establish schedule of conference calls with ICP and CAST Shelter managers as needed.</td>
<td></td>
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<tr>
<td>From CERT ICPs maintain daily reporting of:</td>
<td></td>
<td></td>
</tr>
<tr>
<td>• Number and location of persons with unmet care and shelter needs.</td>
<td></td>
<td></td>
</tr>
<tr>
<td>• Shelter Census.</td>
<td></td>
<td></td>
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<tr>
<td>• Shelter registration sheets.</td>
<td></td>
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<tr>
<td>• Shelter staffing list.</td>
<td></td>
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<tr>
<td>Task</td>
<td>Date/Time</td>
<td>Notes</td>
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</tr>
<tr>
<td>• Shelter staffing resource requests.</td>
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<tr>
<td>• Other shelter resource request</td>
<td></td>
<td></td>
</tr>
<tr>
<td>• Locations of recommended spaces within the building(s) suitable for expanding shelter operations.</td>
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<tr>
<td>Communicate unmet medical needs, including prescription refills with the Health &amp; Medical Branch Director</td>
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<tr>
<td>Identify any shelter transportation needs.</td>
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<tr>
<td>Provide Documentation Unit updates on:</td>
<td></td>
<td></td>
</tr>
<tr>
<td>• Number and location of persons with unmet care and shelter needs.</td>
<td></td>
<td></td>
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<tr>
<td>• Shelter Census.</td>
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<tr>
<td>• Shelter staffing list.</td>
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<td></td>
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<tr>
<td>• Shelter staffing resource requests.</td>
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<tr>
<td>• Other shelter resource request</td>
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<td></td>
</tr>
<tr>
<td>• Locations of recommended spaces within the building(s) suitable for expanding shelter operations.</td>
<td></td>
<td></td>
</tr>
<tr>
<td>Provide appropriate Logistics Units with CAST resource request forms.</td>
<td></td>
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<tr>
<td>Provide Admin Finance Accounting Unit with daily shelter Disaster Filed Log - Labor</td>
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</tbody>
</table>
**Building & Facilities Branch Director**

<table>
<thead>
<tr>
<th>Task</th>
<th>Date/Time</th>
<th>Notes</th>
</tr>
</thead>
<tbody>
<tr>
<td>Coordinates tasking’s to Building Inspections Unit to re-inspect shelters in event of after-shocks as needed.</td>
<td></td>
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<tr>
<td>Coordinates Facilities Unit support for designated emergency shelter space maintenance.</td>
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<tr>
<td>Coordinates with Response Teams Coordination Unit communications and coordination of Building Inspections Unit, Facilities and Repair &amp; Construction personnel with on-site CERT/CAST or EAP personnel</td>
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</table>
**Public Safety Unit**

<table>
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<tr>
<th>Task</th>
<th>Date/Time</th>
<th>Notes</th>
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<tbody>
<tr>
<td>Support of on-site security if indicated.</td>
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<tr>
<td>Assist in relaying public safety radio medical emergency calls to the Health &amp; Medical Branch Director if City and disaster EMS are unable to respond.</td>
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</tbody>
</table>
## RESOURCE & LOGISTICS SECTION CHECKLIST

<table>
<thead>
<tr>
<th>Task</th>
<th>Date/Time</th>
<th>Notes</th>
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</thead>
<tbody>
<tr>
<td><strong>Logistics Chief</strong></td>
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<tr>
<td>Establish with Logistics Section:</td>
<td></td>
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<tr>
<td>If available, local CERT ICP to be utilized to coordinate field activities.</td>
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<tr>
<td>Assure resource request forms are used to process requests for care and shelter supplies.</td>
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<tr>
<td>Coordinate track all resource requests with Planning &amp; Intelligence Section:</td>
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<td></td>
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<tr>
<td>• What was asked for</td>
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<tr>
<td>• Who asked for it</td>
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<tr>
<td>• When was it requested</td>
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<td></td>
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<tr>
<td>• When is it needed by</td>
<td></td>
<td></td>
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<tr>
<td>• Where to deliver it</td>
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<td></td>
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<tr>
<td>• What was delivered</td>
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<td></td>
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<tr>
<td>• When was it delivered</td>
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<td></td>
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<tr>
<td>• What remains to be delivered</td>
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<td></td>
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<tr>
<td>All involved Logistics Section Units are to supply the Documentation Unit on-going updates:</td>
<td></td>
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<tr>
<td>• Resources Requested</td>
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<tr>
<td>• Who asked for it</td>
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<td></td>
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<tr>
<td>• When was it requested</td>
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<tr>
<td>• When is it needed by</td>
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<tr>
<td>• Where to deliver it</td>
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<tr>
<td>Where the resource is being obtained:</td>
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<tr>
<td>• Distribution &amp; Storage</td>
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<tr>
<td>• HR</td>
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<td>• Transportation</td>
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<td>• Emergency Purchase</td>
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<td>• Contract Vendor</td>
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<td>• Other UC</td>
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<tr>
<td>• San Francisco EOC</td>
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<tr>
<td>What was delivered</td>
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<tr>
<td>When was it delivered</td>
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</tr>
<tr>
<td>What remains to be delivered</td>
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<td></td>
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<tr>
<td>Providing resources for Care and Shelter operations involves:</td>
<td></td>
<td></td>
</tr>
<tr>
<td>• Supplies &amp; Equipment Unit</td>
<td></td>
<td></td>
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<tr>
<td>• Care &amp; Shelter Unit</td>
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<tr>
<td>• Human Resources Unit.</td>
<td></td>
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<tr>
<td>• Transportation Unit</td>
<td></td>
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<tr>
<td>• Real Estate</td>
<td></td>
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<tr>
<td>• ITS Branch.</td>
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<tr>
<td>Coordinate with Operation Chief and Admin/Finance Chief securing non-perishable food items from UCSF food vendor supply rooms for distribution to shelter populations.</td>
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<tr>
<td>Coordinate with Operations Chief and Admin/Finance Chief contracting meal services from</td>
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<tr>
<td>Task</td>
<td>Date/Time</td>
<td>Notes</td>
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</tr>
<tr>
<td>operating UCSF food vendors for feeding of shelter populations.</td>
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</tr>
<tr>
<td>Coordinate with Operation Chief and Admin/Finance Chief contracting meal services from operating area food vendors for feeding of shelter populations.</td>
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</tbody>
</table>

**Supplies & Equipment Unit**

<table>
<thead>
<tr>
<th>Task</th>
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<th>Notes</th>
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<tbody>
<tr>
<td>Maintain status of care &amp; shelter cache inventory balance at Oyster Point warehouse.</td>
<td></td>
<td></td>
</tr>
<tr>
<td>Receive and process resource requests and deliver care &amp; shelter supplies from EOC warehouse Care &amp; Shelter cache to shelters</td>
<td></td>
<td></td>
</tr>
<tr>
<td>Coordinate movement of care &amp; shelter cache from Oyster Point to shelters (Via DSS Vehicles, contract vehicles, EOC Transportation Unit).</td>
<td></td>
<td></td>
</tr>
<tr>
<td>Provide trucks and personnel to move supplies from local Care &amp; Shelter caches to shelters.</td>
<td></td>
<td></td>
</tr>
<tr>
<td>Alert Operations Section when cache supplies running low: Determine if additional supplies are needed. If so, prepare and route Resource Request Form</td>
<td></td>
<td></td>
</tr>
</tbody>
</table>

**Care & Shelter Unit**

<table>
<thead>
<tr>
<th>Task</th>
<th>Date/Time</th>
<th>Notes</th>
</tr>
</thead>
<tbody>
<tr>
<td>Maintain status of EOC/Responder care &amp; shelter cache inventory.</td>
<td></td>
<td></td>
</tr>
<tr>
<td>If needed, identify any surplus EOC/Responder care &amp; shelter cache items that may be used for campus shelter operations.</td>
<td></td>
<td></td>
</tr>
<tr>
<td>Coordinate transfer of EOC/Responder care &amp; shelter cache from to shelters (Via DSS Vehicles, contract vehicles, EOC Transportation Unit).</td>
<td></td>
<td></td>
</tr>
</tbody>
</table>

**Human Resources Unit**

<table>
<thead>
<tr>
<th>Task</th>
<th>Date/Time</th>
<th>Notes</th>
</tr>
</thead>
<tbody>
<tr>
<td>Receive and process labor resource requests to support shelter operations.</td>
<td></td>
<td></td>
</tr>
<tr>
<td>Provide staff from HRDRC to support shelter operations as requested.</td>
<td></td>
<td></td>
</tr>
<tr>
<td>Assist with just-in-time training of shelter staff utilizing Shelter Field Operation Guide position checklists.</td>
<td></td>
<td></td>
</tr>
<tr>
<td>Coordinate with Transportation Unit movement of shelter workers to shelters if necessary.</td>
<td></td>
<td></td>
</tr>
</tbody>
</table>

**Transportation Unit**

<table>
<thead>
<tr>
<th>Task</th>
<th>Date/Time</th>
<th>Notes</th>
</tr>
</thead>
<tbody>
<tr>
<td>Coordinate use of shuttle busses and Van Pool vans to support transportation of care and shelter supplies from Oyster Point or Care &amp; Shelter Storage container to shelters.</td>
<td></td>
<td></td>
</tr>
<tr>
<td>Coordinate use of shuttle busses and Van Pool vans to support transportation of displaced persons to emergency shelters.</td>
<td></td>
<td></td>
</tr>
<tr>
<td>Coordinate use of shuttle busses and Van Pool vans to support transportation of shelter workers to emergency shelters.</td>
<td></td>
<td></td>
</tr>
<tr>
<td>Task</td>
<td>Date/Time</td>
<td>Notes</td>
</tr>
<tr>
<td>------</td>
<td>-----------</td>
<td>-------</td>
</tr>
<tr>
<td>Assist with transportation of shelter residents to other facilities as needed (medical facilities, Red Cross Shelters, transportation hubs, etc.)</td>
<td></td>
<td>.</td>
</tr>
<tr>
<td><strong>Real Estate</strong></td>
<td></td>
<td></td>
</tr>
<tr>
<td>If requested identify and contract for vacant space to transition shelter operations.</td>
<td></td>
<td></td>
</tr>
<tr>
<td><strong>ITS Branch</strong></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Support request to move computers and establish network connectivity at shelters for shelter management and shelter population use.</td>
<td></td>
<td></td>
</tr>
</tbody>
</table>
### ADMIN FINANCE SECTION CHECKLIST

<table>
<thead>
<tr>
<th>Task</th>
<th>Date/Time</th>
<th>Notes</th>
</tr>
</thead>
<tbody>
<tr>
<td><strong>Admin Finance Chief</strong></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Establish with A/F Section:</td>
<td></td>
<td></td>
</tr>
<tr>
<td>Assure resource request forms are used to process requests for care</td>
<td></td>
<td></td>
</tr>
<tr>
<td>and shelter supplies.</td>
<td></td>
<td></td>
</tr>
<tr>
<td>Coordinate track all resource requests procurements</td>
<td></td>
<td></td>
</tr>
<tr>
<td>Planning &amp; Intelligence Section:</td>
<td></td>
<td></td>
</tr>
<tr>
<td>• What was ordered</td>
<td></td>
<td></td>
</tr>
<tr>
<td>• Which Resource Request it was for</td>
<td></td>
<td></td>
</tr>
<tr>
<td>• When was it ordered</td>
<td></td>
<td></td>
</tr>
<tr>
<td>• Estimated date of delivery</td>
<td></td>
<td></td>
</tr>
<tr>
<td>• When was it delivered</td>
<td></td>
<td></td>
</tr>
<tr>
<td>• What remains to be delivered</td>
<td></td>
<td></td>
</tr>
<tr>
<td>Providing Admin/Finance Section support for Care and Shelter</td>
<td></td>
<td></td>
</tr>
<tr>
<td>operations involves:</td>
<td></td>
<td></td>
</tr>
<tr>
<td>• Accounting Unit</td>
<td></td>
<td></td>
</tr>
<tr>
<td>• Purchasing Unit</td>
<td></td>
<td></td>
</tr>
<tr>
<td>• FEMA Claims Unit</td>
<td></td>
<td></td>
</tr>
<tr>
<td>• Insurance/Risk Mgt Unit</td>
<td></td>
<td></td>
</tr>
<tr>
<td>Coordinate with Operation Chief and Logistics Chief</td>
<td></td>
<td></td>
</tr>
<tr>
<td>securing non-perishable food items from UCSF food vendor supply</td>
<td></td>
<td></td>
</tr>
<tr>
<td>rooms for distribution to shelter populations.</td>
<td></td>
<td></td>
</tr>
<tr>
<td>Coordinate with Operations Chief and Logistics Chief</td>
<td></td>
<td></td>
</tr>
<tr>
<td>contracting meal services from operating UCSF food vendors for</td>
<td></td>
<td></td>
</tr>
<tr>
<td>feeding of shelter populations.</td>
<td></td>
<td></td>
</tr>
<tr>
<td>Coordinate with Operation Chief and Logistics Chief</td>
<td></td>
<td></td>
</tr>
<tr>
<td>contracting meal services from operating area food vendors for</td>
<td></td>
<td></td>
</tr>
<tr>
<td>feeding of shelter populations.</td>
<td></td>
<td></td>
</tr>
<tr>
<td><strong>Accounting Unit</strong></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Assure all care &amp; shelter storage container Tear Sheets document</td>
<td></td>
<td></td>
</tr>
<tr>
<td>current Disaster Declaration number, shelter location, and emergency</td>
<td></td>
<td></td>
</tr>
<tr>
<td>use</td>
<td></td>
<td></td>
</tr>
<tr>
<td>Assure all care &amp; shelter purchases/contracts and invoices</td>
<td></td>
<td></td>
</tr>
<tr>
<td>document current Disaster Declaration number, shelter location(s),</td>
<td></td>
<td></td>
</tr>
<tr>
<td>and emergency use</td>
<td></td>
<td></td>
</tr>
<tr>
<td>Assure all shelter labor forms document current Disaster Declaration</td>
<td></td>
<td></td>
</tr>
<tr>
<td>number, shelter location(s), and emergency use.</td>
<td></td>
<td></td>
</tr>
<tr>
<td>Maintain accounting records for care and shelter operations and</td>
<td></td>
<td></td>
</tr>
<tr>
<td>route to FEMA Claims Unit</td>
<td></td>
<td></td>
</tr>
<tr>
<td><strong>Purchasing Unit</strong></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Assure resource request forms are used to process requests for care</td>
<td></td>
<td></td>
</tr>
<tr>
<td>and shelter purchases.</td>
<td></td>
<td></td>
</tr>
<tr>
<td>Assure all care &amp; shelter purchases/contracts document current</td>
<td></td>
<td></td>
</tr>
<tr>
<td>Disaster Declaration number, shelter location(s), and emergency use.</td>
<td></td>
<td></td>
</tr>
<tr>
<td>Maintain log of care and shelter purchases/contracts and route to</td>
<td></td>
<td></td>
</tr>
<tr>
<td>Accounting Unit</td>
<td></td>
<td></td>
</tr>
<tr>
<td>Task</td>
<td>Date/ Time</td>
<td>Notes</td>
</tr>
<tr>
<td>---------------------------</td>
<td>------------</td>
<td>-------</td>
</tr>
<tr>
<td><strong>FEMA Claims Unit</strong></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Maintain running totals for care and shelter operations costs for FEMA reimbursement.</td>
<td></td>
<td></td>
</tr>
<tr>
<td>Provide daily care &amp; shelter costs to Documentation Unit.</td>
<td></td>
<td></td>
</tr>
<tr>
<td><strong>Insurance/Risk Management Unit</strong></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Coordinate &amp; process shelter staff OWCP claims with HR Unit.</td>
<td></td>
<td></td>
</tr>
<tr>
<td>As needed advise Operation Section Chief or Command Staff on shelter risk reduction strategies.</td>
<td></td>
<td></td>
</tr>
<tr>
<td>Coordinate &amp; process shelter resident claims.</td>
<td></td>
<td></td>
</tr>
</tbody>
</table>
## PLANNING & INTELLIGENCE SECTION CHECKLIST

<table>
<thead>
<tr>
<th>Task</th>
<th>Date/Time</th>
<th>Notes</th>
</tr>
</thead>
<tbody>
<tr>
<td><strong>Planning &amp; Intelligence Chief</strong></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Establish with P&amp;I Section:</td>
<td></td>
<td></td>
</tr>
<tr>
<td>Assure resource requests are tracked and updated on the IAP Resource Summary (ICS 201) each operational period.</td>
<td></td>
<td></td>
</tr>
<tr>
<td>Assure the IAP, SitReps and EOC Briefings document the following:</td>
<td></td>
<td></td>
</tr>
<tr>
<td>• Shelter Locations</td>
<td></td>
<td></td>
</tr>
<tr>
<td>• Operational Status</td>
<td></td>
<td></td>
</tr>
<tr>
<td>• Date shelter first opened</td>
<td></td>
<td></td>
</tr>
<tr>
<td>• Shelter Population</td>
<td></td>
<td></td>
</tr>
<tr>
<td>• Special Needs Population</td>
<td></td>
<td></td>
</tr>
<tr>
<td>• Critical unmet needs</td>
<td></td>
<td></td>
</tr>
<tr>
<td>Providing P&amp;I Section support for Care and Shelter operations involves:</td>
<td></td>
<td></td>
</tr>
<tr>
<td>Documentation Unit.</td>
<td></td>
<td></td>
</tr>
<tr>
<td>Sit/Stat Unit.</td>
<td></td>
<td></td>
</tr>
<tr>
<td>Coordinate with HR and University Relations the development of a central location to collect information on the welfare of students faculty, staff, affiliates and visitors from shelter managers, EAP emergency Coordinators, and departments</td>
<td></td>
<td></td>
</tr>
<tr>
<td><strong>Documentation Unit</strong></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Maintain documentation of:</td>
<td></td>
<td></td>
</tr>
<tr>
<td>• Shelter Locations</td>
<td></td>
<td></td>
</tr>
<tr>
<td>• Operational Status</td>
<td></td>
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</tr>
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<td></td>
<td></td>
</tr>
<tr>
<td>• Special Needs Population</td>
<td></td>
<td></td>
</tr>
<tr>
<td>• Critical unmet needs</td>
<td></td>
<td></td>
</tr>
<tr>
<td>Maintain documentation on Resource Summary (ICS 201) of:</td>
<td></td>
<td></td>
</tr>
<tr>
<td>• Care &amp; Shelter supplies ordered</td>
<td></td>
<td></td>
</tr>
<tr>
<td>• Estimated date of delivery</td>
<td></td>
<td></td>
</tr>
<tr>
<td>• When was it delivered</td>
<td></td>
<td></td>
</tr>
<tr>
<td>• What remains to be delivered</td>
<td></td>
<td></td>
</tr>
<tr>
<td><strong>Sit/Stat Unit</strong></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Update IAP Resource Summary (ICS 201) each operational period.</td>
<td></td>
<td></td>
</tr>
<tr>
<td>List on IAP, SitReps and EOC Briefings:</td>
<td></td>
<td></td>
</tr>
<tr>
<td>• Shelter Locations</td>
<td></td>
<td></td>
</tr>
<tr>
<td>• Operational Status</td>
<td></td>
<td></td>
</tr>
<tr>
<td>• Date shelter first opened</td>
<td></td>
<td></td>
</tr>
<tr>
<td>• Shelter Population</td>
<td></td>
<td></td>
</tr>
<tr>
<td>• Special Needs Population</td>
<td></td>
<td></td>
</tr>
<tr>
<td>• Critical unmet needs</td>
<td></td>
<td></td>
</tr>
</tbody>
</table>
PART 3 - UCSF CARE AND SHELTER
DISASTER SUPPLY CACHES
UCSF CARE AND SHELTER DISASTER SUPPLY CACHES:

UCSF maintains a care and shelter cache capable of supporting 20,000 people for three days. Care and Shelter cache contents include the items listed in table 1.

Table 1: UCSF Care & Shelter Cache

<table>
<thead>
<tr>
<th>Item</th>
<th>Total Items</th>
</tr>
</thead>
<tbody>
<tr>
<td>Batteries: D-cell/12 pack</td>
<td>268</td>
</tr>
<tr>
<td>Cots – Special needs population</td>
<td>200</td>
</tr>
<tr>
<td>first aid kit 50 person basic OSHA kit</td>
<td>400</td>
</tr>
<tr>
<td>first aid kit 50 person Trauma</td>
<td>100</td>
</tr>
<tr>
<td>Food Bars 3600 Calorie 3-day pack</td>
<td>20,000</td>
</tr>
<tr>
<td>Hygiene: UCSF 3-day Female Hygiene Kits</td>
<td>10,000</td>
</tr>
<tr>
<td>Hygiene: UCSF 3-day Male Hygiene Kits</td>
<td>10,000</td>
</tr>
<tr>
<td>Lighting: GE 2d Flashlight</td>
<td>800</td>
</tr>
<tr>
<td>Lighting: 12 Hour Green Light sticks</td>
<td>11,000</td>
</tr>
<tr>
<td>Lighting: Lantern GE Fluorescent</td>
<td>400</td>
</tr>
<tr>
<td>Mylar Blankets</td>
<td>20,000</td>
</tr>
<tr>
<td>Radio: 4-1 flashlight radio cell charger</td>
<td>400</td>
</tr>
<tr>
<td>Toilet bags 12 pack</td>
<td>1600</td>
</tr>
<tr>
<td>Toilet: 5 gallon bucket</td>
<td>800</td>
</tr>
<tr>
<td>Toilet: Bio-blue toilet deodorant 12 pack</td>
<td>800</td>
</tr>
<tr>
<td>Toilet: bucket toilet seat</td>
<td>800</td>
</tr>
<tr>
<td>Water - Drinking: 5 gal Bottle</td>
<td>6,000</td>
</tr>
<tr>
<td>Water: Drinking cups</td>
<td>50,000</td>
</tr>
<tr>
<td>Water: hand pump for 5 gallon Bottles</td>
<td>100</td>
</tr>
</tbody>
</table>

CARE & SHELTER CACHE LOCATIONS

UCSF Warehouse, Oyster Point, South San Francisco

UCSF Distribution and Storage maintains approximately a two day supply of care and shelter items I bulk storage at Oyster Point. The EOC Logistics Section – Equipment & Supplies Unit is responsible to maintain and inventory of the cache and transporting the cache to UCSF shelters.

Local Caches
UCSF Campus Pre-Positioned Caches

A one day supply of the care and shelter cache has been pre-positioned across UCSF campus locations at Fresno, Parnassus, Mission Bay, MCB and Laurel Heights. CERT and UCPD members are provided combination codes to the storage sites. UCSD PD HSEM Staff are responsible for inventory management of the local caches.

Each storage location is access via combination lock except for LPPI, Mission Bay Landscape Yard and Mission bay housing towers. See below for access information.

Table 2: Local Care & Shelter Caches

<table>
<thead>
<tr>
<th>Population (Est)</th>
<th>Location</th>
<th>Storage Type/Size</th>
<th>Population Supported for 3 Days</th>
<th>Population Supported for 1 Day</th>
<th>Total Population Supported 1 Day per Location</th>
<th>Total Population Supported 1 day UCSF Wide (excl Fresno)</th>
</tr>
</thead>
<tbody>
<tr>
<td>250</td>
<td>Fresno</td>
<td>Trailer 6X10</td>
<td>250</td>
<td>750</td>
<td>750</td>
<td>-</td>
</tr>
<tr>
<td>1,220</td>
<td>LHTs</td>
<td>Trailer 8.5x20</td>
<td>1,000</td>
<td>3,000</td>
<td>3,000</td>
<td>-</td>
</tr>
<tr>
<td>MB Garage #1</td>
<td>Connex 8x20</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>MB Garage #2</td>
<td>Connex 8x20</td>
<td></td>
<td>2,000</td>
<td>6,000</td>
<td></td>
<td></td>
</tr>
<tr>
<td>MB Garage #3</td>
<td>Connex 8x20</td>
<td></td>
<td>2,000</td>
<td>6,000</td>
<td></td>
<td></td>
</tr>
<tr>
<td>MB Garage #4</td>
<td>Connex 8x20</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>MB Housing East</td>
<td>Storage Room</td>
<td></td>
<td>250</td>
<td>750</td>
<td>15,000</td>
<td>4,080</td>
</tr>
<tr>
<td>Rm 3L1-3F1</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>MB Housing North</td>
<td>Storage Room</td>
<td></td>
<td>250</td>
<td>750</td>
<td>36,000</td>
<td>10,200</td>
</tr>
<tr>
<td>Rm 3L1-3F1</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>MB Housing South</td>
<td>Storage Room</td>
<td></td>
<td>250</td>
<td>750</td>
<td>36,000</td>
<td>10,200</td>
</tr>
<tr>
<td>Rm 3L1-3F1</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>MB Housing West</td>
<td>Storage Room</td>
<td></td>
<td>250</td>
<td>750</td>
<td></td>
<td></td>
</tr>
<tr>
<td>Rm 3L1-3F1</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>MB Landscape Yard</td>
<td>Connex 8x20</td>
<td></td>
<td>250</td>
<td>680</td>
<td></td>
<td></td>
</tr>
<tr>
<td>(water)</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>MCB</td>
<td>Connex 8x10</td>
<td></td>
<td>1,000</td>
<td>3,000</td>
<td>3,000</td>
<td>-</td>
</tr>
<tr>
<td>PAR 4th &amp; Kirkham</td>
<td>Connex 8x20</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>(Water)</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>PAR Aldea</td>
<td>Connex 8x20</td>
<td></td>
<td>2,000</td>
<td>6,000</td>
<td></td>
<td></td>
</tr>
<tr>
<td>PAR LPPI</td>
<td>Shed 11x11</td>
<td></td>
<td>1,000</td>
<td>3,000</td>
<td>15,000</td>
<td>6,120</td>
</tr>
<tr>
<td>PAR Woods Lot</td>
<td>Connex 8x20</td>
<td></td>
<td>2,000</td>
<td>6,000</td>
<td></td>
<td></td>
</tr>
<tr>
<td>PAR Woods Lot (Water)</td>
<td>Connex 8x40</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
</tbody>
</table>

Population Sub-Totals Supported by Supplies

| Population Sub-Totals | 12,250 | 3,400 | 36,750 | 10,200 |
UCSF Parnassus

6 Potential future location under IRM

4 Aldea housing at Johnstone

#1 LPPI Park. One prefab shed. Size 11D x 11W x 7 H

Contents: General Supplies

Access:
Current - For access and/or to coordinate work during the day 7:30am-4:30pm, contact Monyca-Duarte Roberts (LPPI Bldg. Svcs) at 476-7300.

Or Page Esther Lam if Urgent: 443-3839

For after hours access (4:30pm – 7:30am): Page the Hospital Assistant 443-7747 or Call the nursing station in the Adult In Patient Unit at 476-7410.
| Combination padlock on shed same as other locations. |
| Planned - Watchmen key boxes with card key access to emergency responders to access the appropriate key box. |

<p>| # 2 Woods Lot: 8x40 Ft Connex | Contents: Water |
| # 3 Woods Lot: 8X20 Connex Box | Contents: General Supplies |</p>
<table>
<thead>
<tr>
<th>#4 (Not on map) Aldea Housing @ Johnstone Drive and Behr Ave: 8X20 Connex Box.</th>
</tr>
</thead>
<tbody>
<tr>
<td>Contents: General Supplies</td>
</tr>
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<table>
<thead>
<tr>
<th>#5 4th and Kirkham: 8X20 Connex Box</th>
</tr>
</thead>
<tbody>
<tr>
<td>Contents: Water</td>
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</tbody>
</table>
Mission Bay

#1 Third St Parking Garage Cut-out: Four 8x20 Connex Boxes against back wall.

Containers are numbered as pictured.

#1: Contents: EOC Supplies
#2: Contents: General Supplies
#3: Contents: General Supplies
#4: Contents: Water
<table>
<thead>
<tr>
<th>#2 Landscape Yard: 8X20 Connex box</th>
<th>Contents: Water</th>
</tr>
</thead>
<tbody>
<tr>
<td>Access:</td>
<td>Gate combination lock: Code 2021</td>
</tr>
<tr>
<td></td>
<td>Combination padlock on container same as other locations.</td>
</tr>
</tbody>
</table>
Parking Lot - South East Corner. 8X10 Connex box.

Contents: General Supplies & Water
Laurel Heights

UCSF Laurel Heights Campus

3333 California Street
San Francisco, CA 94116

→ Public Entrance
→ Staff Entrance (Employees Access Card)
→ Entrance for the Disabled
① Information Desk
② Main Bus Stop
③ Shuttle Bus Stop
④ Public Parking
⑤ Elevators

1st level staff parking: One 8x20 enclosed cargo trailer.

Contents: General Supplies & Water
PART 4 - UCSF SHELTER MANAGEMENT FIELD OPERATIONS GUIDE

The following section is adapted from shelter management plans developed by the American Red Cross and the City of Livermore, CA
12. Overview
This Field Operation Guide (FOG) outlines the University of California San Francisco’s concept of operations to:

- Coordinate and/or support food, shelter, and other basic necessities of life on a mass care basis to UCSF students, faculty, staff and affiliates who are unable to return home as a result of a disaster and obtain temporary accommodations at local hotels or emergency shelters.
- Coordinate and/or support an inquiry service in conjunction with the UCSF EOC and Red Cross to reunite separated families or respond to inquiries from relatives and friends outside the affected area.
- Provide food, shelter, and other basic necessities of life to UCSF students, faculty, staff and affiliates as necessary.
- Assure an orderly transition from UCSF operated shelters to Red Cross and other disaster service shelters or to home.

13. Campus Mass Shelter Preparations

Equipment & Supplies: UCSF Police – Homeland Security Emergency Management Division and other UCSF departments have established a cache of basic disaster supplies to support up to 20,000 personnel for three days. Supplies are stored at the UCSF warehouse in South San Francisco and across UCSF campuses in storage containers.

Training: A small number of UCSF staff has voluntarily trained as Campus Emergency Response Teams, Care and Shelter Teams, Emergency Communications Teams and Disaster Mental Health Teams. These personnel will be deployed to assist in establishing and managing shelters. Shelters will be also staffed and managed utilizing displaced UCSF students, faculty staff and affiliates to assist in its operations.

Building Seismic Ratings: Facilities Management, Capital Programs and Campus Planning have identified UCSF owned building constructed to acceptable seismic standards which will be prioritized for building safety inspections in order to permit occupancy for shelter operations post-earthquake.

Building Inspections Teams: UCSF and contract personnel have been trained and organized for deployment by the UCSF Emergency Operations Center to inspect Campus owned building for safe occupancy following earthquakes or other events which may affect the structure or safety of a building.

14. Campus EOC Mass Shelter Response

Once a disaster occurs, if needed, the UCSF Emergency Operations Center (EOC) will coordinate building safety inspections and opening of mass care shelters and feeding facilities. Campus Emergency Response Teams, Care and Shelter Teams, Emergency Communications Teams and Disaster Mental Health Teams will be deployed to set-up and operate the shelters.
UCSF Human Resources (HR) will establish HR Disaster Resource Centers to assign available UCSF staff to assist in shelter operations.

The UCSF Emergency Operations Center will coordinate with the San Francisco EOC to determine what shelter sites have been opened in the City and will coordinate with the Red Cross to request assistance in shelter management or the transfer of UCSF personnel from UCSF shelters to Red Cross or other disaster services operated shelters.

The UCSF EOC Public Information Officer (PIO) should work with the Care and Shelter Teams to provide information to the UCSF Community on shelter and feeding facilities.

Should an opened shelter be impacted by aftershocks or loss of utilities, evacuees and shelters may need to be moved.

15. Recovery Phase

Upon closure of UCSF emergency shelters Care and Shelter Teams will assist in the collection of unused care and shelter supplies. The UCSF Emergency Operation Center will coordinate the cleaning and restoration of the shelter space for return to normal operations.

16. If the Red Cross is Available to Open the Shelter

EOC will provide a UCSF Campus Life Services staff person to work in cooperation with the American Red Cross.

The American Red Cross and other sheltering agencies will assist UCSF with care and shelter operations.

UCSF EOC’s Logistics Section will assist the Red Cross to the best of its available resources to ensure that adequate food supplies, equipment, staff and services are available to launch and sustain shelter operations.

The American Red Cross will pay costs that the Red Cross incurs.

UCSF CAST and the American Red Cross will respond to the shelter site to begin care and shelter operations.

If the Red Cross is not available to open a shelter the following procedures will apply.

17. Care and Shelter Team (CAST) Organization and Functions:

When possible, shelters will be staffed and managed by trained Campus Emergency Response Team (CERT) members, trained Care and Shelter Team members. In many
cases volunteers from amongst the shelter residents and UCSF staff assigned by the Human Resources Disaster Resource Centers with little or no shelter management training or experience will fulfill shelter management functions. Together they will form a Care and Shelter Team (CAST). The CAST management structure will be organized according to the Incident Command System (ICS)

The most important part of the team is the shelter manager. In opening a disaster shelter, the shelter manager’s first responsibility is to assign available staff to fill the following ICS functions.

Each person assigned to or volunteers for a CAST position will be provided a copy of the position checklist.

- Shelter Manager
- Registration Coordinator
- Food and water Coordinator
- Dormitory/Sleeping Coordinator
- Mental Health Coordinator
- First Aid & Health Care Coordinator
- Planning Coordinator
- Logistics Coordinator
- Finance/Admin Coordinator

Detailed descriptions of each position are listed in a separate attached document.

18. Coordination with EOC

Keep in contact with the UCSF Emergency Operations Center (EOC) throughout the disaster. You will be informed which of two UCSF EOCs is activated (Primary EOC or Alternate EOC) Call the EOC to update shelter location, status reports, supply requests,
and notify if the shelter is closing. The EOC will assist in obtaining needed supplies and relaying vital information about disaster response and recovery operations back to the shelter.

Refer to the Primary and Alternant EOC Phone Directories (ATTACHMENT E: EOC Phone Directory). Contact in order to precedence:
1) Operations Section Main Number – Ask for the Response Teams Coordinator
2) EOC Main Number – Ask for the Response Teams Coordinator
3) Operations Section Chief

You may need to use alternate means of communication with the EOC if phone, e-mail or text messaging avenues are down, such as locating the nearest CERT Incident Command Post (ICP), locating an Emergency Communication Team member (ECT), or sending a runner.

19. Shelter Rules

Shelter Resident Rules

The following rules shall be posted and enforced impartially.
- No pets (except service animals)
- No weapons
- No drugs
- No alcohol
- Respect quiet hours (10pm-8am)
- Watch your children
- Keep your area clean
- Register when you arrive
- No Smoking (UCSF is a smoke-free campus)
- Valuables are your responsibility
- Sign in and out when entering or leaving
- Keep food and beverages in designated area.

Shelter Volunteer Rules

The following rules are for all shelter volunteers. It is the responsibility of the Manager to ensure the team coordinators are following these rules. It is the responsibility of the team Coordinators to ensure all volunteers follow these rules:
- Ensure the shelter is a safe place.
- Respect all staff and shelter residents.
- Provide services fairly and consistently.
- Enable clients to transition to outside living arrangements.
- Involve partner agencies in the management of relief.
- Use resources wisely.

20. Special Needs Individuals
Some UCSF students, faculty, staff and affiliates may have physical, psychological or cognitive disabilities which require special attention. It is possible these individuals will need separate sleeping quarters or a volunteer to accompany them to make sure their needs are met. These individuals may need more care than the shelter is capable of providing, and should be referred to local services that specialize in their care. Notify the UCSF EOC so they may coordinate with outside agencies and programs in finding available programs to help the special needs populations.

21. Registration and Inquiry Operations

It is important that everyone is accounted for. In the event of a disaster, many people will be missing or lost. It is important to keep track of everyone, so concerned parties can find displaced persons. It is also important to keep track of shelter staff for liability reasons.

- Shelterees should first proceed to the registration desk before going to their lodging area. Note: If shelterees are already outside, set aside an area within the shelter for people to wait comfortably.
- Everyone who enters and exits the shelter shall check in and out with the registration desk. Assign volunteers or someone on site to perform this task.
- Registration Data -- Keep a simple record of every person who is housed in the shelter (See ATTACHMENT- A: UCSF Shelter Registration Form). The following registration information is needed:
  - Family last name (at the top of the card)
  - First, and middle names for husband and wife (include wife’s maiden name)
  - UCSF ID number (if known)
  - Names and ages of all other family members
  - Pre-disaster address
  - Note any health concerns or special needs
  - Date arrived in the shelter; date departed shelter
  - Post-disaster address
- Special Needs -- Use registration as an opportunity for people to self-identify any medical, dietary, medication, or accommodation needs (i.e., needs for special assistance).
- Special Skills -- Use registration as an opportunity for people to self-identify any skills which may be of use in shelter operations (i.e.: current health care licenses, first aid training, HAM radio operator)
- When people leave the shelter, note the time and destination of the person leaving.
- Maintain the confidentiality of all shelter residents. Personal information is not to be released without the express permission of the resident. (See ATTACHMENT- A: UCSF Shelter Registration Form)
- Providing personal information about the shelter residents is prohibited including releasing names or verifying if a certain person is a resident except to the UCSF EOC.
• To assist meeting shelter resident needs, it is important to poll shelter residents and volunteers of skills and certifications. This information can be used to find people with skills to fulfill needs that may arise. (See ATTACHMENT- A: UCSF Shelter Registration Form)

• It is important to gather information from incoming residents to ensure people with special needs are properly cared for. (See ATTACHMENT- A: UCSF Shelter Registration Form)

• Any special handicap or elderly needs that need to be addressed.
• Needs for a referral to the Medical unit.
• Family accommodations to ensure families are not split up.
• Ability to speak a foreign language in the event translators are needed.

The UCSF EOC will establish a central shelter registration information site to assist in communicating disaster welfare information between UCSF shelter residents and their families.

UCSF shelter registration lists and location changes are to be sent to the UCSF shelter registration information center daily.

The EOC will also collaborate with the Red Cross which has established a system for registration and inquiry (Disaster Welfare Inquiry). This system includes trained Disaster Welfare Inquiry workers, a system to recruit volunteer workers and a tested program to handle mass inquiries.

22. Sleeping

Cots are not available for the general shelter population. Shelter residents will be issued a Mylar blanket. Sleeping area should be carpeted. Set-up the sleeping area, so each person has 40 square feet of space (5’x8’). If space permits, set-up separate sleeping areas for men and women, the elderly, people who are ill, and families with small children (UCSF Housing may have families displaced from damaged residences.

Individuals with physical conditions that prevent them from sleeping on the ground: A limited number of cots are contained in the local Care & Shelter Disaster Supply containers. Cots are for individuals with medical or physical conditions which may prevent them from laying down or getting up from the floor to sleep/rest. Set-up the sleeping area, so each person (cot) has 40 square feet of space (5’x8’). Space cots or bedding to allow access for people with mobility disabilities and ensure clear paths to all fire exits. If additional cots are needed submit request to the EOC Operations Section Response Teams Coordination Unit. Request can be routed through the local Incident Command Post (ICP) if one is established.

Quiet Time or Lights Out hours are to be enforced. As it is a tiring and traumatic time for all involved, sleep and rest are important.

Communicate to dormitory residents that they are expected to help keep the dormitory area clean.
23. Selecting Shelter Sites

A large disaster event will require activation of the Emergency Operations Center (EOC).

EOC Operations Section works with Planning to identify safe areas of the University to open a shelter and the extent of shelter needed (i.e., number of persons to be sheltered and any special needs involved, such as persons with disabilities who may need accommodation, displaced student housing residents with small children or elderly parents).

EOC Facilities Unit selects appropriate shelter facility(ies) based on building seismic ratings, large open interior spaces such as atriums, conference and training rooms, utilities, facilities and absence of secure or sensitive areas such as research labs, hazardous materials storage, sensitive records storage, etc.

In a major earthquake, Building Inspection Teams must inspect each shelter site both before occupancy and after each significant aftershock.

The EOC Facilities Unit will make contact with the appropriate facilities management personnel management and occupants if a shelter will be established in an occupied and operating building.

24. Shelter Layout Recommendations

Ideal shelter facilities have the following characteristics:

- Space for parking
- Space for Sleeping (40 square feet per person)

In addition, envision space for the following within the facility:

- Registration Area
- Shelter Manager's Office
- Health Services Area
- Mental Health Services Area
- Food Preparation or Serving Areas (including space for a snack table)
- Recreation Area
- Toilet and Shower Facilities (one toilet per 40 people)
- Kitchen / Cooking Facilities
- Emergency Generator on Site
- Safety Features (e.g., fire extinguisher, fire sprinklers and fire alarm)
- Building Heating and Cooling Capacity
- Telephones
- Secured Storage Areas
- Separate Rooms within the Facility (e.g., private space for elderly persons, families with children, or persons that need isolation; also rooms for nursing and office space)
• Set-up a bulletin board near the registration table. Post messages received for shelter residents and shelter rules and relief information.
• Organize the space so that it is accessible for people with visual or mobility disabilities. In addition, organize space to provide for adequate ventilation.
• Ensure that garbage is stored away from food storage and occupied shelter areas. A major earthquake disaster may disrupt garbage removal service for some time.
• Create an area outside for the handling of service animals (or pets from displaced Student Housing residents).
• Ensure that the shelter address is clearly visible from the nearby street; post a sign that clearly marks the building as a disaster shelter.

Manager’s Office
Provide adequate space for the shelter manager and associated staff to function 24 hours per day. This includes space for staff meetings, administrative functions, communications and volunteer coordination.

25. Feeding
Option One – Care & Shelter disaster food cache.
Assuming widespread damage and power outages affecting retail and wholesale food supply chain, Care and Shelter staff will be instructed where to retrieve emergency food and water or when it will be delivered.

Food Bars - 3600 Calorie 3-day pack – Issue one 3-day pack to each shelter resident. These are high calorie food bars sufficient to meet basic nutritional needs for three days. Instruct recipients to consume over three days. Additional food will be provided as soon as local, state or federal emergency feeding support can be provided.

Water – Five gallon water jugs. Are available in the Care & Shelter food caches. In the event of building and campus water supply disruption, assume consumption of ½ gallon per person/per day. One five gallon jug will supply 10 persons per day. Pumps will be provided for the 5 gallon jugs. Shelter staff will need to transfer pumps from empty water jugs to full jugs.

Paper Cups – Instruct shelter residents to mark cups with their names and reuse cups. Paper cup should last one day.

Option two – UCSF Food Vendors.
Various food vendors have retail outlets across UCSF. The EOC will coordinate the distribution of vendor food stores to shelter populations.

Operating UCSF Food Outlets – If power, water and staff are available to operated food outlets the EOC will coordinate with food vendors in obtaining meals for shelter residents while available supplies last.

Closed UCSF Food Outlets -- If damage, utility disruptions or lack of staff result in the closure of UCSF food outlets, the EOC will coordinate the food safety assessment retrieval and distribution of food stores to shelter staff to distribute to residents while available supplies last.
UCSF Institutional Suppliers – If UCSF contract institutional suppliers are operating, the EOC will coordinate the supply of fully prepared, meals for use by UCSF shelters.

**Option Three - Designate a Central UCSF Kitchen.**

An alternative strategy is to designate one large, central institutional kitchen within UCSF as the site to prepare and provide meals for each UCSF shelter.

Bulk Food Donations -- The Logistics Section – Equipment & Supplies Unit of the EOC to obtain large bulk food items from local sources and then direct supplies to the central kitchen.

Kitchen Staff -- The Logistics Section – HR Unit of the EOC to obtain staff to operate the central kitchen.

Shelter Delivered Meals -- The Logistics Section – Transportation Unit to deliver prepared meals to UCSF shelters.

**Option Four – Food Trucks.**

If local food truck vendors are able to operate, the EOC may contract with vendors to prepare meals at shelter locations via their food trucks.

**Option Five – Local/State/Federal Mass Care responders.**

The EOC will request shelter operations and meal services from local state and federal disaster response agencies, including the Red Cross, via the San Francisco City EOC.

**Meeting Special Diet Needs** – Some shelter residents may request consideration for special dietary needs, including ethnic, vegetarian and infant considerations. Collect as many special diet requests as possible, at time of registration. Although resources to meet special dietary needs may be limited immediately following a disaster the EOC can request suppliers to meet the needs if possible.

**26. Health Care Services**

Many people arriving at the shelter will be in need of medical attention. With the right supplies, planning, and staff; minor injuries can be treated. Designate a private area to conduct medical treatment. A separate private area may be needed to provide mental health services. Check with registration to find any available volunteers with first aid, medical, or psychological training. UCSF has faculty, staff and students with medical training who may be asked to assist with treating shelter residents.

Utilize the Registration Coordinator to determine which residents need treatment. The Registration Coordinator and the Recruitment/Records Coordinator will be helpful in finding residents with medical training,

Be sure to keep contagious patients separate from other patients and the general population.
Medical confidentiality laws still apply during a disaster, and are to be observed. Medical privacy is to be respected. Medical examinations and consultations are to be done in private, and away from the general population. All medical records are to be secured.

First Aid –
Shelter personnel must plan to have basic first aid assistance available at the shelter. People will come to the shelter with minor injuries.

Identify Staff with First Aid Training -- Inventory UCSF students, faculty and staff in the shelter as to medical, nursing and first aid skills and assign to shelter first aid stations.

First Aid Supplies –
The UCSF Care & Shelter disaster supply cache contains 50 person basic first aid kits and 50 person trauma Kits. Shelter staff should supply first aid stations with Five 50 person basic first aid kits and one 50 person trauma Kit for every 250 shelter residents.

Medical Emergencies –
Call 9-911 from campus phone or 476-6911 from cell phone. If phone service is not functioning locate the nearest Incident Command Post or UCPD Police Officer or Security guard who can contact the EOC by radio. Be prepared to provide the shelter address, room and floor where the patient is located. Provide a working phone number, test message number, e-mail, or radio channel and frequency for a call back (remember conventional means of communication may not function during a disaster).

Role of UCSF EH&S or County Public Health Department –
Depending on circumstances the EOC may arrange for EH&S staff or County Public Health to perform the following:

Health & Sanitation Inspections -- To provide periodic health inspections of the shelter, including a sanitary inspection.

Public Health Nurses -- To provide public health nursing services to shelter residents.

Prevent Communicable Disease -- To monitor/evaluate the health status of the shelter population and prevent the spread of communicable disease.

Contagious Disease Concerns & Medically Fragile Persons
Separation to Reduce Spreading -- Plan to provide for the separation of persons with suspected communicable diseases that can range from common colds to more severe influenza and intestinal infections.

Note: Given the close confines of shelter conditions, illness (especially respiratory infections) spread easily among the shelter population without intervention actions.
Temporary Infirmary -- If necessary, set aside a part of the shelter as a section for the privacy and isolation of ill persons. In addition, use this area to provide a higher level of care for persons who are more medically fragile.

Alternative Facilities -- Setup an alternate shelter facility and coordinate support through the EOC if a large number of persons have a communicable disease in the shelter, or if a large population needs ongoing medical assistance.

**Prescription Drug Management** –

Some persons within the shelter will have very individualized medication regimes that cannot be interrupted without consequences.

Storage of Medication -- Plan for the storage of medications; refrigeration is required for some medications (e.g., insulin and some HIV antibiotics).

Prescription Refills – Shelter residents may need to contact local pharmacies and clarify how to obtain medications post-disaster (e.g., with a current prescription, with a prescription phoned in by a licensed physician, with a prescription validated by another pharmacy, or with a prescription bottle).

If local pharmacies are not operating, communicate prescription refill needs to the EOC Operations Section – Health and Medical Branch which will attempt to coordinate assistance.

**Mental Health Services**

The mental health impact of disasters ranges from emotional stress and anger to severe trauma and depression. Mental health support for shelter residents is very important in helping people to deal with their losses and begin the recovery process. It will also help people to manage feelings of post-traumatic stress.

Space Create an additional quiet area for counseling or interviewing persons.

Request mental health support from the EOC.

**16.1.1 UCSF Disaster Mental Health Team (DMHT)**

UCSF has a small number of qualified personnel to provide counseling and support disaster victims with their emotional needs. The DMHT is comprised of:

- CERT and EAP volunteers trained in Psychological First Aid
- FSAP counselors
- UCSF Medical Center Pastoral Counseling Services (congregations and faith-based organizations often provide counseling services)
- LPPI mental health clinicians
- Other UCSF Faculty and Staff trained as licensed therapists
16.1.2 Local/State/Federal Disaster Mental Health Services –
The EOC may request disaster mental health support from local, state and federal disaster mental health resources. These teams may:

- Assess Mental Health Needs -- To assess and activate responses to mental health issues resulting from the disaster.

- Provide Crisis Support -- To provide crisis support services for shelter and community residents traumatized by the disaster.

Other

Identifying Concerns -- Plan to use the registration process as an opportunity for shelter residents to identify any medical problems or medication needs.

Documentation -- Maintain records on all health incidents and related actions taken.

27. Transportation
During the period in which the shelter is in operation, some persons will require transportation to the shelter, as well as door-to-door transportation from the shelter to medical and other appointments. In addition, people with mobility disabilities will need paratransit assistance.

- UCSF Van Pool Drivers - Identify shelter residents who are UCSF Van Pool drivers with vehicles and coordinate transportation plan with them.
- UCSF Shuttle System – The UCSF Shuttle System may be operating a scheduled serve from shelters to clinical facilities and other disaster related service facilities.
- EOC – If the above resources are not available or do not meet individual's medical or disability needs contact the local Incident Command Post or EOC.

28. Shelter Information Needs
Shelter personnel must plan for the collection, communication and distribution of care and shelter information. This includes information about the disaster, about relief services available to shelter residents, as well as information to help reunite separated family members. Information should be given to shelter residents about events that effect the situation. Updated information regarding neighborhoods being cleared can help return shelter residents to their homes or the homes of friends. Passing along information of other relief programs available will assist residents.

Centralized posting of information in a general area will ensure residents are all equally informed, and will decrease gossip and other incorrect information.

Public Shelter Messages -- As the UCSF EOC puts out messages about shelter locations, displaced UCSF community member will be encouraged to bring any personal
disaster kits they may have stored at their worksite including a blanket or sleeping bag, change of clothes, personal hygiene items and prescription medications.

**Bulletin Boards** -- Set-up bulletin boards near the shelter registration area as a means for disseminating information to the shelter population.

**News Postings** -- Post daily updated news on the response to the disaster, along with news and information about shelter activities for the day.

**Recovery Services** -- Provide information on recovery services available through UCSF or disaster relief organizations such as the American Red Cross, Salvation Army, and FEMA, along with other government disaster assistance programs.

**CBO Relief Assistance** -- In addition, include information on any active community-based or faith-based relief and assistance programs.

**Special Needs Communications** -- Consider the information needs of persons who are deaf, or blind, or non-English speaking Affiliates (i.e.: employees of UCSF contractors).

**Shelter Meetings** -- Hold daily shelter meetings as another way to share information and dispel false rumors that may be circulating within the shelter population.

**Disaster Welfare Inquiries** -- Respond to disaster welfare inquiries (seeking to located persons who are presently unaccounted) by referring to the EOC shelter registrations center.

**UCSF Central Shelter Registration Log** – The EOC will establish a central location to collect information on the welfare of students faculty, staff, affiliates and visitors from shelter managers, EAP emergency Coordinators, and departments.

**Coordination with Red Cross** -- Coordinate family reunification support with the American Red Cross, which operates a regional Disaster Welfare Inquiry system.

**EOC Communication** -- Telephones are the primary communication link between shelter facilities and the EOC. If telephones are not functional, try sending an e-mail from a smart phone or use Emergency Communications Team members from the Campus Emergency Response Team. As a last resort, use runners to relay messages.

**Media** - The media may want to do a story about the shelter. Contact the EOC Public Information Officer (PIO) if contacted by the media. The PIO will coordinate on behalf of UCSF with the media. Cameras are not allowed into the shelter, and no photographs of shelter residents are allowed without their permission. All media outlets are to respect the privacy of the shelter residents. Cameras are allowed outside or near the shelter, it is advised that all interviews and photos that are shelter related be taken outside the shelter. Taking pictures of the outside shelter with shelter signs in the background is permitted.
29. Social and Personal Needs

Given a significant disaster event, residents will begin to work toward recovery while in the shelter. Shelter personnel should plan to coordinate with external agencies and services (via the Logistics Section of the EOC) to help meet the personal recovery needs of shelter residents.

**Child Care** -- If a shelter remains open for more than a day or two, and families with children from UCSF student housing are in the shelter, plan to provide child care services to support parents with child supervision and care needs.

**UCSF Childcare Centers** – If open, or if childcare center staff are available, the EOC may attempt to secure childcare services/support for the shelters.

**Clothing** – UCSF students, faculty, staff and affiliates are encouraged to keep a change of clothing and shoes as part of their worksite personal emergency kit.

If UCSF shelter residents are in need of clothing notify the EOC which will attempt to obtain clothing from the Red Cross.

**Comfort Kits** -- Shelter residents will need basic hygienic items such as soap, toothbrush, toothpaste, a razor, and a comb.

Male and Female Hygiene kits are included in the Care & Shelter disaster storage containers. Additional kits may be requested through the EOC. (See ATTACHMENT – C: Shelter Supplies and Equipment)

**Language Translation** – Some employees of UCSF contractors and family members of foreign students in Student Housing may not speak English. Consider the following options for bilingual support.

**Bilingual Shelter Residents** -- Ask bilingual shelter occupants to volunteer and assist non-English speaking shelter occupants.

**Bilingual Volunteers** – EOC may request UCSF staff or city disaster volunteers with bilingual skills to support language translation needs at the shelter.

**Recovery Services** – Although UCSF shelter are intended to function only 1-3 days pending the opening of local, state and federal shelters, shelter residents will need assistance in identifying where to go for services to meet their specific disaster recovery needs. At the request of the EOC, disaster relief organizations such as the American Red Cross, Salvation Army, and FEMA, along with other government, faith and community-based relief programs, may initiate recovery services for UCSF shelter residents.

**Distribute Resource Lists** – As provided by disaster relief agencies, distribute resource materials to shelter residents.
Information and Referral Services -- Care and shelter personnel can work in coordination with community-based Information and Referral service programs that are in turn linked with hundreds of human service providers.

Replacement Equipment -- Elderly persons and people with disabilities will need help to replace personal supplies and equipment, if lost or damaged in the disaster (e.g., items like orthopedic braces, wheelchairs, or hearing aids). Notify the EOC who may work through local vendors (e.g., Longs Drugs, Walgreens, Rite Aid Pharmacies, etc.) to replace items.

Recreation -- To minimize boredom and keep shelter residents occupied survey shelter residents who are building occupants and request the retrieve the following from their offices, if available:

- Books, cards, games, recreational equipment
- DVDs, DVD players and data projectors (if power available)
- Survey shelter residents who are willing to provide lectures.
- Survey shelter residents with musical talents and instruments who are willing to provide concerts.

30. Animal Services
UCSF Student Residence occupants who are pet owners who evacuate to UCSF shelters will likely arrive at the shelter with their pet. Other than service animals, which legally must remain with their owner at all times, shelter personnel are advised not to allow animals inside due to health and safety concerns for other shelter occupants.

Option One – Offsite Care – Notify the EOC which will attempt to work with the local animal shelter, SPCA, local kennels or the humane society to accept pets during the sheltering operation.

Option Two – Onsite Holding Area -- Create a makeshift pet holding area outside the shelter facility. This requires the provision of food, water, and exercise for pets, and if necessary, supplies from Logistics to create a pet holding area (e.g., cages or fencing).

31. Volunteers
The situation will be stressful, and it is important to give the volunteer staff breaks and rest periods. The shelter will stay open longer than a person can stay awake, so it is important to have the volunteers work in shifts. Provide briefing times, to allow the replacements to be caught up to speed by the previous shift. The shelter manager is to supervise the unit coordinators, to ensure volunteer staff members are getting enough rest and the continuity of work transitions from shift to shift with ease. It is also important to give the shelter manager time to rest. A new shelter manager shall be designated and brief prior to the previous shelter manager leaving the position.
A private rest area for volunteers is to be established. It is to be kept separate from the general population, to ensure the volunteers are given ample time to rest when not performing their volunteer duties.

**Sources for Volunteer Recruitment**

**Shelter Residents** -- Use volunteers from within the shelter population.

**UCSF Staff** – The EOC may request UCSF HR to assign staff via the Human Resources Disaster Resource Centers.

**Disaster Response and Voluntary Organizations** – The EOC may request shelter management staff from the Red Cross, Salvation Army, CBOs, faith-based organizations and local congregations are another source for voluntary support via the City EOC. However, if UCSF is establishing its own shelters, it is most likely because area disaster response and voluntary organizations are unable to meet the demand.

**UCSF CERT and CAST List** – UCSF Emergency Management, in conjunction with the Bay Area Red Cross attempts to recruit and train UCSF students, faculty, staff and affiliates to set-up and manage shelters in advance of a disaster. The EOC will utilize any available trained volunteers if available to serve as shelter managers.

**Areas for Volunteer Involvement.** The following are some of the roles for volunteers within the shelter.

- Reception -- Meet and greet arriving shelter residents and provide comfort.
- Registration -- Help newly arrived shelter residents to fill out registration forms.
- Runners -- Help in obtaining goods and services or acting as “runners”.
- Amateur Radio -- Recruit ham radio operators from local amateur radio clubs such as RACES (Radio Amateur Civil Emergency Service), or ARES (Amateur Radio Emergency Services).
- General Operations -- Support with shelter operations such as shelter set up, food services, shelter maintenance, etc.
- Health and Human Services -- Support with more specialized services such as first aid, mental health, child care, recreation and personal assistance services from support to seniors and people with disabilities, to help with language translation.

**32. Safety and Security**

Care and shelter personnel must plan to operate shelter facilities in a manner that promotes the safety and security of each resident within the shelter. This includes establishing and posting clearly understood rules so all shelter occupants understand what is expected of them.

Monitoring Occupant Flow -- Establish one entrance and exit to the shelter and secure all other entrances and exits. This is to prevent theft from people outside the facility and to facilitate sign-in/sign-out procedures.
33. Shelter Maintenance and Equipment

Operating a shelter for a sustained period requires plans for the daily upkeep of the facility and for the ongoing acquisition of equipment and supplies. UCSF Facilities Management and contract housekeeping staff who are normally responsible for the facility may be unavailable due to the disaster. Since it is their “temporary home,” ask shelter residents to assist with housekeeping and cleaning activities.

Hygiene is a must in any situation, especially in a shelter. Trash disposal plans should be made, as trash will quickly accumulate. Special disposal considerations should be made for medical waste and other biohazard waste.

Request personal protective equipment (Latex Gloves) from the EOC if needed and issue to volunteers assisting with the disposal of any hazardous waste.

Kitchens, eating areas, bathrooms, and shower areas are to be kept clean. Bathrooms and shower areas are to be kept separate and be patrolled regularly by the unarmed security volunteers. Security volunteers are to report if the rules and regulations are broken. Security volunteers will also report unsafe conditions. The kitchen and food preparation areas must meet all health code and OSHA standards.

Contact the EOC to request EH&S to consult on food, water safety and sanitation issues in shelters if necessary.

The shelter will need to resupply. It is a possibility that the supplies will not be delivered, but at a central processing area, and the shelter will need to send volunteers to pick up the supplies. Volunteer’s private vehicles or UCSF fleet vehicles with the capacity for traversing the roads (whatever condition they are), will need to be utilized.

The shelter shall keep track of all supplies and food used or consumed. To assist in the reimbursement process, it is necessary to keep a log of all expenses incurred by the shelter. All equipment is to be checked out by a volunteer, and returned by the volunteer. Any damage or loss shall be documented for reimbursement. All unused or returned supplies are to be returned to storage when the shelter is shut down.

34. Shelter Supplies

A detailed listing of supplies contained in the UCSF Care and Shelter Cache is provided in ATTACHMENT – C: Shelter Supplies and Equipment.

Initial Inventory –

Conduct a pre-occupancy inventory of shelter site to determine what operational supplies may be retrievable from building supply rooms and janitorial closets including:

- Paper and Pens (ball point and felt tip)
- Masking tape
- Stapler and staples
- Chairs
- Tables
• Trash Cans
• Telephones (Locate any red emergency phones)
• Flashlights
• Toilet Paper
• Paper cups and towels
• Paper plates and utensils
• Batteries
• Bottled water
• Mops and brooms
• Buckets
• Soap
• Disinfectant
• First Aid Kit
• AM/FM radio
• PPE:
  o Latex or other “rubber” gloves (trash removal)
  o Tyvek overalls (removing bio-hazard bags from restrooms)
  o Masks (removing bio-hazard bags from restrooms)
  o Eye protection (removing bio-hazard bags from restrooms)

On-Site Cache of Supplies –
UCSF PD Emergency Management has pre-positioned critical shelter supplies (e.g., water, nonperishable food bars, Mylar blankets, first aid kits, lights and other supplies) in trailers or shipping containers on the grounds of Parnassus, Mission Bay, Laurel Heights, Fresno and Mission Bay (Refer to Local Caches). The on-site cache may provide enough supplies for one day to enable time to transport additional supplies from the Off Site cache. UCSF CERT and PD members have the combination to the storage containers.

Off-Site Cache of Supplies –
UCSF PD Emergency Management has a cache of critical shelter supplies at the UCSF Warehouse in South San Francisco.

Local State and Federal care and Shelter Goods/Services
During operations, work with EOC Logistics to obtain goods and services to support shelter operations from the City EOC and State and Federal resources.

Waste Management
Plan to arrange for daily garbage/waste removal. A major earthquake disaster will most likely disrupt regular service.

Portable Toilets –
In the event water and sewer services to shelter facilities are not functioning, as necessary, obtain bucket toilets from the on-site care and shelter supply containers and arrange for their placement in bathrooms. See ATTACHMENT – C: Shelter Supplies and Equipment for more information.
Attachments

ATTACHMENT- A: UCSF Shelter Registration Form

ATTACHMENT – B: Shelter Rules

ATTACHMENT – C: Shelter Supplies and Equipment

ATTACHMENT E: EOC Phone Directory

ATTACHMENT F: Care & Shelter Team Position Checklists
**ATTACHMENT- A: UCSF Shelter Registration Form**

### UCSF Shelter Registration Form

#### UCSF Student/Faculty/Staff/Affiliate Registration

<table>
<thead>
<tr>
<th>Last name</th>
<th>MI</th>
<th>First Name</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
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</table>

<table>
<thead>
<tr>
<th>UCSF ID #</th>
<th>UCSF DPT/DIV</th>
</tr>
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<tbody>
<tr>
<td></td>
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</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th>Any Health/Medical Complaints?</th>
<th>Referred to Shelter Clinician?</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td></td>
</tr>
</tbody>
</table>

### UCSF Housing Family Registration

#### Family Last Name: ________________

<table>
<thead>
<tr>
<th>Names</th>
<th>Age</th>
<th>Medical Problem</th>
<th>Killed</th>
<th>Injured</th>
<th>Hospitalized</th>
<th>Referred to Nurse</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
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</tbody>
</table>

#### Man

<table>
<thead>
<tr>
<th>Woman (Include Maiden name)</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
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</tbody>
</table>

#### Children in Home

<table>
<thead>
<tr>
<th>Family member not in Shelter (location if Known)</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
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</table>

#### Special Skills (I.E.: RN, MD, Language, Radio Operator)

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#### Special Needs (I.E.: Insulin, Cot, Deaf)

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<thead>
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</table>

### Shelter Location:

<table>
<thead>
<tr>
<th>Shelter Location</th>
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<tbody>
<tr>
<td></td>
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</table>

<table>
<thead>
<tr>
<th>Shelter Telephone No.</th>
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<table>
<thead>
<tr>
<th>Date of Arrival</th>
</tr>
</thead>
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<table>
<thead>
<tr>
<th>Pre-Disaster Address &amp; Telephone No.</th>
</tr>
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</table>

| I _do, _do not, authorize release of the above information concerning my whereabouts or general condition |
|                                                                                                      |

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<tr>
<th>Signature</th>
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<th>Date left</th>
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<th>Time left</th>
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<th>Shelter</th>
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| I _do, _do not, authorize release of the above information concerning my whereabouts or general condition |
|                                                                                                      |

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<table>
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<tr>
<th>Post Disaster Address &amp; Telephone No.</th>
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</table>

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<tr>
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<td></td>
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</table>

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<thead>
<tr>
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<tr>
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</tbody>
</table>

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<thead>
<tr>
<th>Special Needs (I.E.: Insulin, Cot, Deaf)</th>
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<tbody>
<tr>
<td></td>
</tr>
</tbody>
</table>
ATTACHMENT – B: Shelter Rules

Shelter Rules

No pets (except service animals)
No weapons
No drugs
No alcohol
Respect quiet hours (10pm-8am)
Watch your children
Keep your area clean
Register when you arrive
No Smoking (UCSF is a smoke-free campus)
Valuables are your responsibility
Sign in and out when entering or leaving
Keep food and beverages in designated area.
ATTACHMENT – C: Shelter Supplies and Equipment

UCSF Police – Homeland Security Emergency Management maintains a 20,000 person – 3 day a cache of care and shelter supplies. Approximately a one day supply is located in on-site supply containers (Refer to Local Cache locations) and an additional two day supply is located at the UCSF warehouse in South San Francisco.

The following table lists the distribution of UCSF Care and Shelter supplies based upon supporting 20,000 people for three days. If fewer than 20,000 persons are being sheltered at UCSF, the EOC will distribute additional supplies to shelters.

### Distribution Guideline for UCSF Care and Shelter Supplies at Shelters¹

<table>
<thead>
<tr>
<th>Item</th>
<th>Item(s)</th>
<th>Per number of people</th>
</tr>
</thead>
<tbody>
<tr>
<td>Batteries: D-cell/16 hrs</td>
<td>6</td>
<td>50</td>
</tr>
<tr>
<td>First Aid Kit: 50 person basic OSHA kit</td>
<td>1 Kit</td>
<td>50</td>
</tr>
<tr>
<td>First Aid Kit: 50 person Trauma</td>
<td>1 Kit</td>
<td>200</td>
</tr>
<tr>
<td>Food Bars 3600 Calorie 3-day pack</td>
<td>1 pack</td>
<td>1</td>
</tr>
<tr>
<td>Hygiene: UCSF 3-day Female Hygiene Kits</td>
<td>1 Kit</td>
<td>1</td>
</tr>
<tr>
<td>Hygiene: UCSF 3-day Male Hygiene Kits</td>
<td>1 Kit</td>
<td>1</td>
</tr>
<tr>
<td>Lighting: GE 2d Flashlight</td>
<td>1</td>
<td>25</td>
</tr>
<tr>
<td>Lighting: 12 Hour Green Light sticks</td>
<td>1</td>
<td>2</td>
</tr>
<tr>
<td>Lighting: Lantern GE Fluorescent</td>
<td>1</td>
<td>50</td>
</tr>
<tr>
<td>Mylar Blankets</td>
<td>1</td>
<td>1</td>
</tr>
<tr>
<td>Radio: 4-1 flashlight radio cell charger</td>
<td>1</td>
<td>50</td>
</tr>
<tr>
<td>Toilet bags 12 pack</td>
<td>1 Pack</td>
<td>25</td>
</tr>
<tr>
<td>Toilet: 5 gallon bucket</td>
<td>1</td>
<td>25</td>
</tr>
<tr>
<td>Toilet: Bio-blue toilet deodorant 12 pack</td>
<td>1 pack</td>
<td>25</td>
</tr>
<tr>
<td>Toilet: bucket toilet seat</td>
<td>1</td>
<td>25</td>
</tr>
<tr>
<td>Water - Drinking: 5 gal Bottle</td>
<td>15 Btls</td>
<td>50</td>
</tr>
<tr>
<td>Water: Drinking cups</td>
<td>125 Cups</td>
<td>50</td>
</tr>
<tr>
<td>Water: hand pump for 5 gallon Bottles</td>
<td>1</td>
<td>200</td>
</tr>
</tbody>
</table>

### Obtaining Supplies

UCSF Campus Emergency Response Teams (CERT) have access to the on-site care and shelter storage containers. Coordinate with the CERT to obtain supplies. The CERT may be located at an Incident Command Post (ICP) nearby. Shelter residents may be needed to help carry supplies from the storage containers to the shelters.

¹ On-site care & Shelter Containers may contain only a one day supply of many items. Request additional supplies from EOC.
The UCSF EOC can access additional care and shelter supplies from the cache at the UCSF South San Francisco warehouse. Coordinate request though the CERT or if CERT is unavailable, request thorough the EOC.

If Facilities Management or contract janitorial staff is on-site, ask to obtain cleaning supplies form building supply rooms.

Shelter administrative supplies, if not available in the Care and Shelter supply Containers, may be salvaged from offices with the building where the shelter is located. Ask shelter residents who work in the building if they can obtain office supplies for the shelter.

Any other equipment and supply needs should be routed to the EOC which can either provide from existing supplies, purchase if vendors are operational, or request from local, state or federal disaster response agencies via the City EOC.

**Supplies and Equipment to Operate a Disaster Shelter**

**Bedding Provisions (Cots & Blankets)**

**Mylar Blanket - Distribute one per person.**

Unless shelter occupants bring their own sleeping bags or blankets, the UCSF Care and Shelter cache provides for one Mylar blanket per person. A limited number of cots are available (approx. 200 cots). Given a shortage of cots, make seniors and persons with disabilities the first priority for cots.

**Hygiene Kits**

**Hygiene Kit - Distribute one kit per person.**

It is doubtful shelter occupants will arrive with toiletries or personal hygiene kits, so the UCSF Care and Shelter cache contains male and female 3-day hygiene kits. Hygiene Kits contents include:

<table>
<thead>
<tr>
<th>Item</th>
<th>Quantity</th>
</tr>
</thead>
<tbody>
<tr>
<td>Pocket Tissue Pack</td>
<td>1</td>
</tr>
<tr>
<td>Female Sanitary Napkin (Female kit only)</td>
<td>2</td>
</tr>
<tr>
<td>Toothbrush 6.5'' Wrapped</td>
<td>1</td>
</tr>
<tr>
<td>Gel Fluoride Toothpaste .60 oz.</td>
<td>1</td>
</tr>
<tr>
<td>Antibacterial Soap #1 Wrapped</td>
<td>1</td>
</tr>
<tr>
<td>Black Comb 7''</td>
<td>1</td>
</tr>
<tr>
<td>Disposable Razor Single Edge</td>
<td>1</td>
</tr>
<tr>
<td>Sanitary Cleansing Towelette 5'' x 7''</td>
<td>10</td>
</tr>
<tr>
<td>4mil Reclosable Zip Bag 6'' x 9''</td>
<td>1</td>
</tr>
</tbody>
</table>

**Communications Equipment**

The UCSF Care and Shelter Supply cache include AM/FM Radios with cell phone chargers. Estimate one AM/FM Radio with cell phone charger per 50 persons.

The Care and Shelter Team should determine their access to the following means of communications:
Ham Radio and Operators – Ask shelter residents
Multi-channel, 2-way radios – Ask CERT
Cellular telephones and chargers 2 - Survey staff and residents. UCSF cell phones assigned to staff are UCSF property – use them.
Portable computers & tablets with modem and Internet capabilities - Survey staff and residents. UCSF computers & tablets assigned to staff are UCSF property – use them.
Public address systems – Ask Facilities management
Fax machines – Ask shelter residents who are building occupants to check.
Additional telephones (the phone company can setup additional telephones or simply bring in a phone trailer)
Telephone books for the local area
Battery-powered radio (part of UCSF Care and Shelter Supplies)

First Aid Kits/Supplies
UCSF Care and Shelter cache contains 50 person first aid kits and 50 person trauma kits:

50 Person OSHA First Aid Kit Contents:

<table>
<thead>
<tr>
<th>Item Description</th>
<th>Quantity</th>
</tr>
</thead>
<tbody>
<tr>
<td>Adhesive Bandage 3” x 3/4”</td>
<td>30</td>
</tr>
<tr>
<td>Adhesive Bandage 3” x 1”</td>
<td>50</td>
</tr>
<tr>
<td>Adhesive Bandage 1 ¾” x 3/8”</td>
<td>20</td>
</tr>
<tr>
<td>Knuckle Bandage</td>
<td>3</td>
</tr>
<tr>
<td>Fingertip Bandage</td>
<td>3</td>
</tr>
<tr>
<td>Butterfly Closure</td>
<td>3</td>
</tr>
<tr>
<td>Tape Roll</td>
<td>2</td>
</tr>
<tr>
<td>Triangular Bandage</td>
<td>2</td>
</tr>
<tr>
<td>Trauma Pad 5x9</td>
<td>2</td>
</tr>
<tr>
<td>Eye Pad</td>
<td>1</td>
</tr>
<tr>
<td>Gauze Pad 4” x 4”</td>
<td>4</td>
</tr>
<tr>
<td>Gauze Pad 3” x 3”</td>
<td>4</td>
</tr>
<tr>
<td>Gauze Pad 2” x 2”</td>
<td>4</td>
</tr>
<tr>
<td>Gauze Roll 2”</td>
<td>1</td>
</tr>
<tr>
<td>Examination Gloves</td>
<td>4</td>
</tr>
<tr>
<td>Instant Cold Pack</td>
<td>1</td>
</tr>
<tr>
<td>Tweezers</td>
<td>1</td>
</tr>
<tr>
<td>Burn Cream / First Aid Cream</td>
<td>10</td>
</tr>
<tr>
<td>Sting Relief Pads</td>
<td>10</td>
</tr>
<tr>
<td>Alcohol Pads</td>
<td>30</td>
</tr>
<tr>
<td>Antiseptic Towelettes</td>
<td>20</td>
</tr>
<tr>
<td>First Aid Guide</td>
<td>1</td>
</tr>
<tr>
<td>Emergency Blanket</td>
<td>1</td>
</tr>
<tr>
<td>Finger Splints / Tongue Depressors</td>
<td>4</td>
</tr>
<tr>
<td>Cotton Tip Applicators</td>
<td>20</td>
</tr>
<tr>
<td>CPR Barrier</td>
<td>1</td>
</tr>
<tr>
<td>Elastic Bandage 2” “Ace” Type</td>
<td>1</td>
</tr>
<tr>
<td>Filtration Mask</td>
<td>1</td>
</tr>
</tbody>
</table>

50 Person Trauma Kit Contents:

<table>
<thead>
<tr>
<th>Item Description</th>
<th>Quantity</th>
</tr>
</thead>
<tbody>
<tr>
<td>Abdominal Pads Sterile 8” x 7 ½”</td>
<td>10</td>
</tr>
<tr>
<td>Abdominal Pads Sterile 5” x 9”</td>
<td>10</td>
</tr>
<tr>
<td>Multi Trauma Dressing 12” x 30” Sterile</td>
<td>2</td>
</tr>
<tr>
<td>Triangular Bandages w/ Clips 40”</td>
<td>5</td>
</tr>
<tr>
<td>Blood stopping Compression Bandage 9” x 5 ½”</td>
<td>5</td>
</tr>
<tr>
<td>Gauze Pads 4” x 4” Sterile</td>
<td>100</td>
</tr>
</tbody>
</table>

2 Be aware that cellular systems may be completely saturated after an event. Also note that while voice services may not function, text messages and smartphone e-mail may function.
**Mass Care and Shelter**

**MC&S-60**

**February 2012**

**Updated: 09 26 2013**

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**Pharmaceuticals**

The UCSF Care and Shelter cache does not contain pharmaceuticals (except for trauma kit contents). Members of the UCSF community should have 2 week supply or prescription medication in their worksite personal preparedness kit. If shelter residents require prescription refills, notify the incident command post or EOC. Request for refill assistance will be made to the Medical Center and City EOC which may have vendor agreements, with local pharmacy chains. The American Red Cross also has statewide agreements with Long's Drug Stores and Shield Health Care.

**Toilets.** If water and sewer utilizes are functioning shelter staff are to identify all bathroom facilities in the building. Each shelter should have one toilet per 40 residents.

If water and sewer services are not functioning:

**Bucket Toilet Kits.** UCSF Care and Shelter cache contains bucket toilet kits. Estimate kit contents for shelter operations based upon the following:
- One 5 gallon bucket toilet per 25 persons
- One toilet seat per toilet
- One 12-Pack of Toilet Bags (liners) per 25 persons
- One 12-pack of Bio-Blue toilet deodorant per 25 persons
- Restroom Set-up

---

**Gauze Pads 4" x 4" Non-Sterile**
- 200

**Gauze Rolls 2" x 4.1yds. Sterile**
- 10

**Gauze Rolls 3" x 4.1yds. Sterile**
- 5

**Gauze Rolls 4" x 4.1yds. Sterile**
- 5

**X-Large Fabric Knee Bandage 2" x 4 ½"**
- 10

**Fabric Bandage 1" x 3"**
- 50

**Sheer Junior Bandage ¼" x 1 ½"**
- 25

**Butterfly Bandage Closure Medium 3/8" x 2"**
- 25

**Tapes**
- 2 Cloth Adhesive Tape 1" x 10yds.
- 2 Cloth Adhesive Tape 2" x 10yds.

**Splints**
- 2 Disposable Padded Splint 18"
- 1 Disposable Padded Splint 24"
- 5 Elastic Bandage 3" x 5yds.
- 1 Wire Splint

**Eye Care**
- 1 Eye Wash Solution 4oz.
- 4 Disposable Eye Cup
- 10 Oval Eye Pads Sterile

**Blankets & Stretchers**
- 5 Emergency Mylar Blanket 54" x 80"
- 2 Paramedic Yellow Blanket 54" x 80"
- 1 8-Handle Heavy Duty Folding Stretcher

**Instruments**
- 5 Nitrile Medical Gloves Large Pair
- 2 Paramedic Shears 7 ¾"
- 5 Cyalume 12-Hour Green Lightstick
- 1 Penlight w/ Pupil Gauge
- 5 Disposable Tweezers/Forceps
- 1 Safety Sterile Scalpel #10
- 5 Ear Loop Procedure Face Masks
- 10 Tongue Depressors 6" Sterile

**Miscellaneous**
- 25 Ibuprofen 200mg. Foil 2-Pack
- 25 Aspirin 325mg. Foil 2-Pack
- 10 Sugar Packets
- 1 Triage Tape 4-Pack (red, black, green & yellow)
- 2 CPR Disposable Face Shield
- 5 Instant Cold Pack 5" x 9"
- 1 Sharpie Fine Point Marker Black
- 1 30-Page AMA First Aid & CPR Guide
- 1 Content Card
- 1 Packaged in a Heavy Duty 5-Pocket Duffle Bag
Locate large plastic waste cans with lids from the building (empty waste can if necessary) and place in each bathroom for disposal of full bucket toilet plastic liners. Place a 12 pack of plastic liners in the restroom along with a 12 pack of Bio-Blue toilet deodorant.
Post Bucket Toilet Shelter Resident Rules in each stall or bathroom
Shelter staff
Keep extra packs of toilet bags and Bio-Blue Deodorant in shelter supply area
Monitor bucket toilets and restrooms
Request assistance from Facilities Management to locate large waste cans, toilet paper and cleaning supplies from building supply rooms.

**Portable Toilets/Chemical Toilets (1 per 40 persons)**
Self-contained, chemical type toilets maybe necessary, to supplement regular toilets, or when regular toilets are either disrupted, or are not a part of the shelter. The EOC Logistics section may attempt to establish emergency contracts with area vendors or request assistance from the City EOC

Power and Lighting
Some UCSF buildings have emergency generators for essential operations. Red wall outlets identify outlets connected to the emergency generators. If there is no power to the shelter, the UCSF Care and Shelter cache contains light sticks, flashlights, lanterns and spare batteries. Estimate distribution of emergency lighting resources for shelter operations based upon the following:

Flashlights (Requires 2-D cell batteries). 1 per 25 persons
12 hour chemical light sticks. 1 per person per day.
Lantern – Fluorescent. 1 per 50 persons
Options Include:
- Place light sticks in hallways leading to restrooms and in restroom stalls each evening
- Place lanterns in shelter administration area, first aid station, eating areas and common dormitory areas.
- Have shelter staff sign out flashlights for necessary uses, or place in common areas for resident to borrow and return.
Request additional resources from EOC
EOC can access additional Care and Shelter cache items from the UCSF Warehouse in South San Francisco.
Some portable generators may be available from Facilities Management
EOC Logistics can request local, state and federal emergency generators and lighting resources via the City EOC.

Water and Food
Option One – Care & Shelter disaster food cache. Assuming widespread damage and power outages affecting retail and wholesale food supply chain, Care and Shelter staff
will be instructed where to retrieve emergency food and water or when it will be delivered.

Food Bars - 3600 Calorie 3-day pack – Issue one 3-day pack to each shelter resident. These are high calorie food bars sufficient to meet basic nutritional needs for three days. Instruct recipients to consume over three days. Additional food will be provided as soon as local, state or federal emergency feeding support can be provided.

Water – Five gallon water jugs. Are available in the Care & Shelter food caches. In the event of building and campus water supply disruption, assume consumption of ½ gallon per person/per day. One five gallon jug will supply 10 persons per day. Pumps will be provided for the 5 gallon jugs. Shelter staff will need to transfer pumps from empty water jugs to full jugs.

Paper Cups – Instruct shelter residents to mark cups with their names and reuse cups. Paper cup should last one day.

Option two – UCSF Food Vendors. Various food vendors have retail outlets across UCSF. The EOC will coordinate the distribution of vendor food stores to shelter populations

- Operating UCSF Food Outlets – If power, water and staff are available to operated food outlets the EOC will coordinate with food vendors in obtaining meals for shelter residents while available supplies last.
- Closed UCSF Food Outlets -- If damage, utility disruptions or lack of staff result in the closure of UCSF food outlets, the EOC will coordinate the food safety assessment retrieval and distribution of food stores to shelter staff to distribute to residents while available supplies last.
- UCSF Institutional Suppliers – If UCSF contract institutional suppliers are operating, the EOC will coordinate the supply of fully prepared, meals for use by UCSF shelters.

Option Three - Designate a Central UCSF Kitchen. An alternative strategy is to designate one large, central institutional kitchen within UCSF as the site to prepare and provide meals for each UCSF shelter.

- Bulk Food Donations -- The Logistics Section – Equipment & Supplies Unit of the EOC to obtain large bulk food items from local sources and then direct supplies to the central kitchen.
- Kitchen Staff -- The Logistics Section – HR Unit of the EOC to obtain staff to operate the central kitchen.
- Shelter Delivered Meals -- The Logistics Section – Transportation Unit to deliver prepared meals to UCSF shelters.

Option Four – Food Trucks. If local food truck vendors are able to operate, the EOC may contract with vendors to prepare meals at shelter locations via their food trucks.
Option Five – Local/State/Federal Mass Care responders. The EOC will request shelter operations and meal services from local state and federal disaster response agencies, including the Red Cross, via the San Francisco City EOC.

Meeting Special Diet Needs – Some shelter residents may request consideration for special dietary needs, including ethnic, vegetarian and infant considerations. Collect as many special diet requests as possible, at time of registration. Although resources to meet special dietary needs may be limited immediately following a disaster the EOC can request suppliers to meet the needs if possible.

Emergency Equipment

Due to damage, debris removal and minor repairs in the shelter spaces may be necessary. While the EOC will send repair teams to the shelters approved for use shelter staff should attempt to scavenge the following equipment/supplies from the building if Facilities Management staff are not available,

- Brooms
- Duct Tape
- Fire extinguishers
- Hammer
- Mop-Buckets
- Mops
- Plastic Tarps
- Pliers
- Pry-bars
- Rope 50'
- Shovel
- Shut-off wrench for utilities
- Tool kits
- Utility knife
- Extension cords
- Bins/Cans to collect debris

Sanitation and Cleaning Supplies

Scavenge the building for the following items if they are not supplied.

- 2 Boxes facial tissue per 100 persons
- 2 Rolls toilet tissue/toilet/day per 100 persons

Janitorial services are unlikely to be provided, therefore scavenge the building for the following items if not supplied:

- Trash cans or receptacles
- Trash can liners and ties
- Paper towels
• Disinfectants
• Chlorine bleach
• Plastic bags
• Soap
• Towels
• Biohazard bags ³

Ensure daily garbage removal from the shelter area, even if normal collections are temporarily disrupted. Have garbage piled outside near the trash and recycling area, or if in accessible, designate a location.

Infant and Children Supplies

Displaced families with children form student housing may be in need of infant care items. Notify the CERT and request the EOC obtain the following items.

• Package of disposable diapers
• Baby powder and ointments
• Box of baby wipes
• Moistened towelettes
• Pacifiers
• Blankets
• Powdered formula, milk, baby food

Office Supplies

The Care & Shelter supply containers may have a Shelter Administration Kit containing the following items. If not scavenge the building for the following items Based on a shelter housing 100 persons

• 150 Shelter Registration Forms (May need to create)
• Shelter worker name badges
• 12 pencils & 12 ball-point pens
• 1 package, 3x5" index cards
• 2 clipboards & 2 paper tablets
• 1 pencil sharpener
• 1 stapler & 1 box of staples
• 1 box of paper clips 1 package of
• 1 box of thumbtacks
• 2 rolls masking tape
• 1 roll scotch tape
• 1 package rubber bands
• 1 pair scissors
• 12 file folders

³ Use biohazard bags for disposal of products that need special handling or disposal. If not available, setup up a separate trash can and line it with a good sturdy, thick bag
Other

- Bulletin Boards to post notices and announcements
- Highly visible signs for both outside and within the shelter.
- Bicycle - For communication runners/messaging if telephones are inoperable.

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ATTACHMENT D: Bucket Toilet Instructions

Bucket Toilet Instructions

This is a disaster. Help keep the bucket toilets from becoming another disaster.

Although water may not be available to flush toilets, toilets can be used for liquid waste (urine) as long as they are not clogged

- If all you need to do is urinate, use urinals or permanent toilets for urination whenever possible. (Ladies, do not place toilet paper in toilet – toss in bucket toilet.)

- Use bucket toilets for solid waste, toilet paper, and yes, the accompanying liquid waste (see item 1).

- Plastic bag liners should be in each bucket toilet.

- If there is no plastic bag liner – don’t use the toilet – someone is looking for a fresh plastic bag liner.

- There are not enough plastic bag liners for every individual’s use of the toilet.

- If the bucket toilet is ½ full, you’re the winner. Tie the bag in a tight knot and transfer to whatever waste container has been placed in the bathroom for full bags.

- Insert a fresh plastic bag.

- If no plastic bags are available, notify the shelter staff.
### ATTACHMENT E: EOC Phone Directory

**PRIMARY EOC DIRECTORY (654 Minnesota St)**

Area code 415 unless otherwise listed  EOC Red Emergency Phone System have 753 prefix

<table>
<thead>
<tr>
<th>FUNCTION</th>
<th>Phone</th>
<th>E-Mail</th>
</tr>
</thead>
<tbody>
<tr>
<td><strong>Main Number</strong></td>
<td>753-4386</td>
<td></td>
</tr>
<tr>
<td><strong>Fax</strong></td>
<td>476-9718</td>
<td></td>
</tr>
<tr>
<td><strong>Satellite Phone</strong></td>
<td>(480) 768-2500 then 8816-5141-3383</td>
<td><a href="mailto:8816-5141-3383@msg.iridium.com">8816-5141-3383@msg.iridium.com</a> (120 Character limit)</td>
</tr>
<tr>
<td><strong>Radio Channel</strong></td>
<td>Talk Group 4</td>
<td>(Talk Group 4, on handheld radio, talk to CERT)</td>
</tr>
<tr>
<td><strong>Command (Management) Staff</strong></td>
<td></td>
<td></td>
</tr>
<tr>
<td><strong>Academic Coordinator</strong></td>
<td>753-4387</td>
<td><a href="mailto:EOC.DIRECTOR@UCSF.EDU">EOC.DIRECTOR@UCSF.EDU</a></td>
</tr>
<tr>
<td><strong>Chancellor</strong></td>
<td>753-4387</td>
<td></td>
</tr>
<tr>
<td><strong>Director - EOC</strong></td>
<td>312-9712</td>
<td><a href="mailto:EOC.LEGAL@UCSF.EDU">EOC.LEGAL@UCSF.EDU</a></td>
</tr>
<tr>
<td><strong>Legal</strong></td>
<td>312-9714</td>
<td></td>
</tr>
<tr>
<td><strong>Liaison</strong></td>
<td>312-9750</td>
<td></td>
</tr>
<tr>
<td><strong>PIO – Media</strong></td>
<td>312-9718</td>
<td><a href="mailto:EOC.PIO@UCSF.EDU">EOC.PIO@UCSF.EDU</a></td>
</tr>
<tr>
<td><strong>Safety Officer</strong></td>
<td>312-9846</td>
<td><a href="mailto:EOC.SAFETY@UCSF.EDU">EOC.SAFETY@UCSF.EDU</a></td>
</tr>
<tr>
<td><strong>Support- EOC</strong></td>
<td>753-4386</td>
<td><a href="mailto:EOC.SUPPORT@UCSF.EDU">EOC.SUPPORT@UCSF.EDU</a></td>
</tr>
<tr>
<td><strong>Operation Section (Ops)</strong></td>
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<tr>
<td><strong>Animal Care (LARC)</strong></td>
<td>305-7385</td>
<td><a href="mailto:EOC.ANIMAL.CARE@UCSF.EDU">EOC.ANIMAL.CARE@UCSF.EDU</a></td>
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<tr>
<td><strong>EH&amp;S</strong></td>
<td>312-9846</td>
<td><a href="mailto:EOC.EHS@UCSF.EDU">EOC.EHS@UCSF.EDU</a></td>
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<tr>
<td><strong>Facilities</strong></td>
<td>312-9880</td>
<td><a href="mailto:EOC.FACILITIES@UCSF.EDU">EOC.FACILITIES@UCSF.EDU</a></td>
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<tr>
<td><strong>Health &amp; Medical</strong></td>
<td>312-9832</td>
<td><a href="mailto:EOC.HEALTH.MEDICAL@UCSF.EDU">EOC.HEALTH.MEDICAL@UCSF.EDU</a></td>
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<tr>
<td><strong>LPPI</strong></td>
<td>753-4384</td>
<td><a href="mailto:EOC.LPPI@UCSF.EDU">EOC.LPPI@UCSF.EDU</a></td>
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<tr>
<td><strong>Ops Chief (Team Lead)</strong></td>
<td>312-9798</td>
<td><a href="mailto:EOC.OPS.CHIEF@UCSF.EDU">EOC.OPS.CHIEF@UCSF.EDU</a></td>
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<tr>
<td><strong>Building Inspections</strong></td>
<td>312-9880</td>
<td><a href="mailto:EOC.BLDG.INSP@UCSF.EDU">EOC.BLDG.INSP@UCSF.EDU</a></td>
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<tr>
<td><strong>Damage Assessment</strong></td>
<td>312-9880</td>
<td><a href="mailto:EOC.DAMAGE.ASSESS@UCSF.EDU">EOC.DAMAGE.ASSESS@UCSF.EDU</a></td>
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<tr>
<td><strong>Repair/Construction</strong></td>
<td>312-9880</td>
<td><a href="mailto:EOC.REPAIR.CONSTR@UCSF.EDU">EOC.REPAIR.CONSTR@UCSF.EDU</a>*</td>
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<tr>
<td><strong>Public Safety &amp; Security</strong></td>
<td>336-0002</td>
<td><a href="mailto:EOC.PUBLIC.SAFETY@UCSF.EDU">EOC.PUBLIC.SAFETY@UCSF.EDU</a></td>
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<tr>
<td><strong>Resources &amp; Logistics Section (Logs)</strong></td>
<td>336-0003</td>
<td><a href="mailto:EOC.LOG.CHIEF@UCSF.EDU">EOC.LOG.CHIEF@UCSF.EDU</a></td>
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<tr>
<td><strong>Log Chief (Team Lead)</strong></td>
<td>336-0003</td>
<td><a href="mailto:EOC.LOG.CHIEF@UCSF.EDU">EOC.LOG.CHIEF@UCSF.EDU</a></td>
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<tr>
<td><strong>Supplies/Equipment</strong></td>
<td>336-0004</td>
<td><a href="mailto:EOC.SUPPLIES.EQUIP@UCSF.EDU">EOC.SUPPLIES.EQUIP@UCSF.EDU</a></td>
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<tr>
<td><strong>Telecommunications/Data Networks</strong></td>
<td>336-0040</td>
<td><a href="mailto:EOC.TELECOMM.DATA@UCSF.EDU">EOC.TELECOMM.DATA@UCSF.EDU</a></td>
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<tr>
<td><strong>Transportation</strong></td>
<td>336-0009</td>
<td><a href="mailto:EOC.TRANSPORTATION@UCSF.EDU">EOC.TRANSPORTATION@UCSF.EDU</a></td>
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<tr>
<td><strong>Planning &amp; Intelligence Section (P&amp;I)</strong></td>
<td>336-0600</td>
<td><a href="mailto:EOC.PLANNING.CHIEF@UCSF.EDU">EOC.PLANNING.CHIEF@UCSF.EDU</a></td>
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<tr>
<td><strong>P&amp;I Chief (Team Lead)</strong></td>
<td>336-0600</td>
<td><a href="mailto:EOC.PLANNING.CHIEF@UCSF.EDU">EOC.PLANNING.CHIEF@UCSF.EDU</a></td>
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<tr>
<td><strong>Situation Status</strong></td>
<td>336-0692</td>
<td><a href="mailto:EOC.SIT.SAT@UCSF.EDU">EOC.SIT.SAT@UCSF.EDU</a></td>
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<tr>
<td><strong>Documentation</strong></td>
<td>336-0692</td>
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<td><strong>Finance Section</strong></td>
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<tr>
<td><strong>Accounting</strong></td>
<td>336-0728</td>
<td><a href="mailto:EOC.ACCOUNTING@UCSF.EDU">EOC.ACCOUNTING@UCSF.EDU</a></td>
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<tr>
<td><strong>FEMA Claims</strong></td>
<td>336-0810</td>
<td><a href="mailto:EOC.FEMA@UCSF.EDU">EOC.FEMA@UCSF.EDU</a></td>
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<tr>
<td><strong>Finance Chief (Team Lead)</strong></td>
<td>305-0952</td>
<td><a href="mailto:EOC.FINANCE.CHIEF@UCSF.EDU">EOC.FINANCE.CHIEF@UCSF.EDU</a></td>
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<tr>
<td><strong>Grants/Programs</strong></td>
<td>336-0810</td>
<td><a href="mailto:EOC.GRANTS@UCSF.EDU">EOC.GRANTS@UCSF.EDU</a></td>
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<tr>
<td><strong>Insurance/Risk Management</strong></td>
<td>336-0810</td>
<td><a href="mailto:EOC.INSUR.RISK.MGT@UCSF.EDU">EOC.INSUR.RISK.MGT@UCSF.EDU</a></td>
</tr>
<tr>
<td><strong>Purchasing</strong></td>
<td>336-0728</td>
<td><a href="mailto:EOC.PURCHASING@UCSF.EDU">EOC.PURCHASING@UCSF.EDU</a></td>
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### ALTERNATE EOC DIRECTORY (UCSF MCB)

Area code 415 unless otherwise listed  EOC Red Emergency Phone System have 242 or 753 prefix

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<thead>
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<th>FUNCTION</th>
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<th>E-Mail</th>
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<tr>
<td>Main Number</td>
<td>242-3575</td>
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<tr>
<td>Fax</td>
<td>476-6273</td>
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<tr>
<td>Satellite Phone</td>
<td>(480) 768-2500 then 8816-5141-3384</td>
<td><a href="mailto:8816-5141-3384@msg.iridium.com">8816-5141-3384@msg.iridium.com</a> (120 Character limit)</td>
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<tr>
<td>Radio Channel</td>
<td>Talk Group 4 (Talk Group 4, on handheld radio, talk to CERT)</td>
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</table>

#### Command (Management) Staff (Main Number 415-242-3576)

| Academic Coordinator | 242-3576 |        |
| Chancellor | 242-3576 |        |
| Director - EOC | 336-0914 | EOC.DIRECTOR@UCSF.EDU |
| Legal | 336-1076 | EOC.LEGAL@UCSF.EDU |
| Liaison | 336-1523 |        |
| PIO – Media | 336-1321 | EOC.PIO@UCSF.EDU |
| Safety Officer | 336-1644 | EOC.SAFETY@UCSF.EDU |
| Support- EOC | 242-3575 | EOC.SUPPORT@UCSF.EDU |

#### Operation Section (Ops) (Main Number 415-242-3574)

| Animal Care (LARC) | 336-1741 | EOC.ANIMAL.CARE@UCSF.EDU |
| EH&S | 336-1644 | EOC.EHS@UCSF.EDU |
| Facilities | 336-1674 | EOC.FACILITIES@UCSF.EDU |
| Health & Medical | 336-1634 | EOC.HEALTH.MEDICAL@UCSF.EDU |
| LPPI | 242-3574 | EOC.LPPI@UCSF.EDU |

#### Ops Chief (Team Lead) | 336-1574 | EOC.OPS.CHIEF@UCSF.EDU |

#### Resources & Logistics Section (Logs) (Main Number 415-242-3571)

| Administrative Computing | 336-2753 | EOC.ADMINISTRATIVE.COMPUTING@UCSF.EDU |
| Desktop Support | 336-2753 |        |
| Food & Water/Care & Shelter | 336-2514 | EOC.CARE.SHELTER@UCSF.EDU |
| Human Resources | 336-2549 | EOC.HR@UCSF.EDU |
| Log Chief (Team Lead) | 336-2436 | EOC.LOG.CHIEF@UCSF.EDU |
| Supplies/Equipment | 336-2514 | EOC.SUPPLIES.EQUIP@UCSF.EDU |
| Telecommunications/Data Networks | 336-2753 | EOC.TELECOMM.DATA@UCSF.EDU |
| Transportation | 336-2675 | EOC.TRANSPORTATION@UCSF.EDU |

#### Planning & Intelligence Section (P&I) (Main Number 415-242-3573)

| P&I Chief (Team Lead) | 336-2823 | EOC.PLANNING.CHIEF@UCSF.EDU |
| Documentation Unit | 336-3008 | EOC.DOCUMENTATION@UCSF.EDU |
| Situation Status | 336-3008 | EOC.SIT.STAT@UCSF.EDU |

#### Finance Section (Main Number 415-242-3572)

| Accounting | 336-3106 | EOC.ACCOUNTING@UCSF.EDU |
| FEMA Claims | 336-3183 | EOC.FEMA@UCSF.EDU |
| Finance Chief (Team Lead) | 336-3094 | EOC.FINANCE.CHIEF@UCSF.EDU |
| Grants/Programs | 336-3183 | EOC.GRANTS@UCSF.EDU |
| Insurance/Risk Management | 336-3183 | EOC.INSUR.RISK.MGT@UCSF.EDU |
| Purchasing | 336-3106 | EOC.PURCHASING@UCSF.EDU |
ATTACHMENT F: Care & Shelter Team Position Checklists
Command Staff: Shelter Manager

- Proceed immediately to the building.
- Establish and maintain contact with CERT Team Leader or UCSF Emergency Operations Center Response Team Coordinator.
- Assemble staff sent by the Incident Command Post and assign responsibilities for set-up and operations. (provide copy of position checklist)
- The Shelter Manager makes staffing assignments based on the functions necessary to carry out shelter operations (see following position checklists).
- Assign arriving staff to shelter functions. Provide ongoing supervision of shelter staff to ensure effective accomplishment of all shelter operations. Conduct daily meetings with staff on shelter management issues.
- It is up to the shelter manager to ensure that the needs of shelter residents are met and to provide for the overall health and safety of all residents and staff.
- Obtain a facility safety briefing from the UCSF Building Inspection Team or EH&S representative.
- Inspect the facility to ensure the safety of all areas for shelter operations use. Block off unsafe areas and areas not to be used (only use areas that can be directly supervised by staff).
- Relocate supplies from the nearest Care & Shelter Supply Caches to the shelter.
- Establish communications with the UCSF EOC and report on needs (equipment, supplies or personnel needs) and shelter status.
- Arrange the building for operation, and inventory supplies and equipment. Prepare rooms for receiving people and for other purposes.
- Notify CERT and EOC when shelter is ready to begin receiving persons needing shelter.
- Begin registering shelter residents.
- Order additional supplies and equipment from the EOC via the Response Teams Coordinator or ICP. Report any need for support such as medical services.

- Recruit additional personnel. (Disaster victims in the shelter may be recruited.)

- Assure emergency food rations and water is distributed to registered shelterees.

- Arrange for the accommodation persons with disabilities and pets, if necessary.

- Coordinate activities with the media and clear any news releases with the UCSF EOC Public Information Officer (PIO).

**Note:** Rotate shelter staff positions. The shelter manager position can be rotated on a daily shift schedule, or instead the shelter manager may serve on site for the duration of the operation and employ 2 or 3 shift supervisors or Assistant Shelter Managers who rotate. Other staff positions may work an 8 to 12 hour shift.

**Assistant Shelter Manager**

Larger shelter operations of more than 100 persons may require an assistant shelter manager. Assistant shelter managers can assume some of the above shelter manager functions or a more "field level" role and assume some of the other shelter position functions, given staff shortages.
Operations: Registration Coordinator

- The Registration Coordinator oversees the registration of shelter occupants. In addition to collecting basic registration data, registration is also an opportunity to identify shelter residents with needs that may require additional staff support.

- Choose one entrance for registration. Set up a registration table and chairs. Post a Shelter Registration Point sign, as well as a sign indicating that no weapons, drugs, alcohol, or pets are allowed in the facility. Translate signs into other languages (Spanish, Chinese, etc.), based on the demographics of the community.

- Ensure an adequate supply of registration forms (see Appendix A for a copy of the Red Cross Registration Form 5972). Have persons entering the shelter fill out one registration form for each household.

- Identify any special needs on behalf of persons registering – needs for medical care, counseling, medications, dietary restrictions, or other accommodations. Refer persons who are injured or ill to health care staff, if available. Identify any shelter residents with medical training.

- Maintain a sign-out log for shelter residents who leaving temporarily.
Operations: Food Services Coordinator

- The Food Services Coordinator is responsible for planning, preparing and/or ordering meals for shelter residents. This person also supervises other food services staff.

- If applicable, inspect the food preparation area at the shelter site. Obtain any keys necessary to access food storage areas. Determine if cooking equipment is still functioning and is safe to use.

- Coordinate with Logistics for food supplies (or in ordering pre-prepared food) and any additional staff or equipment needs. Coordinate with Health Services for any special dietary needs. Plan meals 2-3 days ahead of time.

- Set up a dining area. Post meal times in a conspicuous place. Keep meal times as consistent as possible. A large shelter may require more than one seating to serve everyone.

- Recruit shelter residents to assist with food preparation, cooking, serving, and clean up.

- Keep a log of the number of meals served and supplies ordered. Keep receipts for food that is delivered.
Operations: Dormitory Coordinator

- The Dormitory Coordinator is responsible for setting up, supervising, and closing down the sleeping area. If using an operating building, the sleeping area for shelter residents must be separate from the area where any staff or students continue working/studying.

- Inspect the dormitory area(s). Move aside athletic equipment, desks, or anything that might present a hazard to shelter residents. Request any needed supplies and equipment (such as cots, blankets, mats and personal hygiene kits) through Logistics.

- Set-up the sleeping area(s) and distribute any available blankets and personal hygiene supplies. To provide adequate ventilation open doors and windows of the dormitory area during the day. If custodial services are not available, recruit shelter residents to assist in daily dormitory clean up.

- Post sleeping area rules. Rules include: 1) Quiet Hours or Time for Lights Out, 2) No Alcohol, 3) Always use the same cot, etc.

- Monitor sleeping area (this requires establishing staff shifts). Ensure shelter occupants do not consume food or liquids in the dormitory area (a violation of Public Health code). Stay alert for such potential dormitory problems as drug use or sale, unattended children, fighting, theft, or shelter residents becoming ill.

- Keep the shelter manager informed of any suspicious actions, health concerns and the status of dormitory resources.
Operations: First Aid and Health Care Services Coordinator

- The Health Services Coordinator promotes and maintains good public health standards within the shelter. This includes overseeing the provision of basic first aid and ensuring access to other health care services as needed.
- Establish procedures for handling medical emergencies (presumably, the local fire department or paramedic services will be the first contact).
- Set aside an area within the shelter as a health station. Refer persons with health concerns or illnesses to the health station. Check with the registration coordinator and ask if persons who register with medical or nursing training can volunteer at the health station. Establish a 24-hour shift rotation for the health station.
- Document all health care performed (injuries/illnesses treated, medications issued, etc.). Use Logistics to request supplies, equipment, or additional personnel.
- Advise the Meals Coordinator about special dietary needs if there are shelter residents (such as persons with diabetes).
- Stay alert for anyone with a communicable disease. If necessary, prepare a separate room as a quarantine area.
Operations: Mental Health Coordinator

- Shelter conditions are stressful for shelter occupants (especially children) and staff. The Mental Health Coordinator provides or arranges for counseling services.

- Secure a quiet area or room away from public view. Work with Logistics to find local mental health resources and counseling services to support shelter residents.

- Monitor the stress conditions for staff and shelter occupants. Intervene in crisis situations when practical. Coordinate with the health services coordinator and registration coordinator to identify shelter residents who might welcome counseling support.

- Work with the shelter manager to plan activities or entertainment that will help morale and reduce the stress of the living environment. If possible, provide shelter residents with access to local news via a television or radio. Lack of information following a disaster often contributes to rumors, hysteria, and fear.

- Debrief shelter staff before they are released.
Operations: Additional Shelter Services

The Shelter Manager should assess the need to address the following services him/herself or other staff may be assigned as needed. Coordinate with Logistics for supplies, equipment, and personnel (personnel may include community volunteers).

Recreation
- Obtain/provide items such as books, games, videos and recreational equipment.
- Organize activities for shelter residents. Examples of possible activities include sports tournaments, birthday parties, entertainment, and religious services.

Child Care
- Select a safe area for child care away from the general shelter population; remove any hazardous furniture, equipment, or other items from the area.
- Request supplies appropriate for kids through Logistics: toys, coloring books, stuffed animals, puzzles, etc.

Animal/Pet Care
- Select a fenced-in area outside and away from the shelter for pets.
- Post a notice that pet owners are responsible for the care and restraint of their animals (i.e., ensure shelter residents restrain their pets on leashes).
- Use Logistics to contact the local SPCA, Animal Control, and nearby kennels for assistance in boarding and caring for animals.

Security/Safety
- Maintain the following safety suggestions: 1) Regularly inspect the facility to see that all areas are safe; 2) Keep exits clear and unblocked; 3) Locate all fire extinguishers and ensure compliance with fire safety regulations (e.g., ensure that garbage, debris, or refuse does not pose a fire hazard or block doorways).
- Work with Logistics to provide signage that clearly identifies all rules and safety regulations (see ATTACHMENT – B: Shelter Rules). Monitor compliance.
- Establish a "patrol team" to roam the shelter during the night and ensure night safety.
- When necessary, coordinate with local Law Enforcement and Fire Services for assistance.
**Planning Coordinator**

- The shelter manager may assume the role of shelter operations planning. However, a staff planning position can assist the shelter manager by obtaining timely and accurate information, (which is often hard to come by immediately after a large disaster).

- Gather as much information as possible from sources both within and outside the shelter on needs, resource availability, services, and the status of events. Monitor media sources to keep current on all disaster-related news, especially news about relief services, recovery operations and outside assistance.

- Maintain close and ongoing contact with the local EOC to ensure a reciprocal sharing of planning information.

- Develop action plans based on the information above and from information gathered at planning meetings. Work with the shelter manager in planning for anticipated shelter needs and in planning for the next 24 to 48 hours of shelter activity. Plan staffing schedules and determining staffing rotations.

- Provide information on available recovery assistance (especially information on the availability of temporary or long-term housing); keep information up-to-date and post in a visible place for shelter residents (e.g., bulletin boards).

- Keep a disaster activity log with detailed records of meetings, decisions and actions (e.g., who made what decisions). Record important inter-agency contacts and agreements. This is vital for after-action reports and for future planning.

- Support information needs related to helping reunite family members.
Logistics Coordinator

The Logistics Coordinator at the shelter works in close coordination with the Logistics Section at the UCSF EOC to accomplish the following:

- Obtain all resources necessary to operate the shelter facility in coordination with the EOC Logistics Section:
  - Personnel
  - Food
  - Transportation
  - Supplies and Equipment
  - Communication Resources
  - All other personal services as applicable for shelter residents (health, mental health, translation, etc.)
- Work with the EOC Finance Section to set up vendor agreements with local businesses as necessary for the purchase of supplies and equipment to operate the shelter.
Finance/Administration Coordinator

The position of Finance/Administration Coordinator maintains financial records, including the use of any expendable supplies taken from the UCSF Care and Shelter Supply caches or obtained from building store rooms and food vendors. This helps to ensure later cost recovery by reimbursement agencies such as the Federal Emergency Management Agency (FEMA). Reimbursement depends on complete, detailed and accurate records from the first hour forward.

- Track all staff, equipment and supply use and expenses on the UCSF Disaster Field Forms which should be in the Care and Shelter Administration Kit. If none are available see below.

- Develop a financial tracking system for authorizing and recording all shelter expenditures, including:

  - Shelter staff and volunteer time. Names, UCSF ID Numbers, Function/Position, date & hours worked

  - List of Care & Shelter Supply Cache items distributed. List the type and quantity distributed on a daily basis

  - List of supplies used, even if they were retrieved from existing building supplies. Item, Quantity used, date used, and purpose related to emergency shelter operations.

  - List of UCSF food vendor items used, if the Shelter staff retrieved food items from closed campus food vendor supply rooms list the Item, quantity used, date used, and purpose related to emergency shelter operations.

- Save copies of all receipts. If shelter residents were able to purchase emergency supplies to support shelter operations list the items purchased quantity used, date used, and purpose related to emergency shelter operations.
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1. Introduction

Free and open association, discussion and debate are important aspects of the educational environment and are part of the rich culture and history of the University of California.

To that end, it is essential that the leadership of UC San Francisco ensures peaceful assemblies and demonstrations are protected and encouraged on the campus and properties of UC San Francisco.

Moreover, the Chancellor and campus leadership encourage frequent interaction and discussion between and among members of the campus community to ensure open avenues of communication around areas of concerns.

At the same time, university leadership must ensure that the normal academic, research and administrative activities of the university can be carried out in an environment that is safe and free from intimidation or harassment.

Therefore, the Chancellor of UC San Francisco has established the following policy to ensure that these potentially conflicting rights are protected and judiciously balanced during peaceful assemblies or demonstrations on the properties of the University of California, San Francisco. The policy includes a clear delineation of divisional duties and responsibilities and mandatory procedures for the prior review of any decision to use force or other means to disperse, manage or control crowds or to defuse non-emergency but potentially dangerous, destructive or harmful situations affecting people or property or the ability of the university to carry out its teaching, research and service mission.

2. Principles

The U.S. Constitution and the policies and traditions of the University of California protect the right to peaceful assembly and protest. These rights shall not be abridged at UC San Francisco provided they are exercised in a manner that does not violate criminal statutes or unreasonably impede the teaching, research, service, and administrative activities of the university, its students, faculty, administrators, staff, suppliers and others who have a need to come and go safely and freely.

The term “peaceful” is interpreted to include conduct that may annoy or give offence to persons opposed to the ideas or claims than an assembly is promoting. It is also interpreted to include nonviolent conduct such as passive resistance or sit-down blockades that impede or obstruct the activities of a third
party. When peaceful assemblies or demonstrations include civil disobedience and are in violation of applicable laws or regulations, there may be legal or judicial consequences. But the existence of police powers to intervene and disperse an unlawful but peaceful assembly does not mean that such powers should be exercised.

Actions by campus police to intervene in a peaceful assembly or protest only will be taken following consultation with and approval by the Chancellor, who is ultimately responsible for ensuring that force is used as a last resort when negotiations have failed, and the disruption to the mission of the University is substantial or a threat exists to the safety of persons or property. The Chancellor may delegate responsibility for this decision but in doing so must maintain civilian control.

As needed, the Chancellor or designee will convene the Event Response Team to collaboratively oversee peaceful assemblies and demonstrations on campus. The Event Response Team is responsible for operating in a manner that continually re-assesses the event and objectives, and emphasizes teamwork, timely and effective communication and actions that support the university’s teaching, research and service missions while protecting and respecting the right to peacefully assemble and protest. It is the university’s explicit intention to accomplish these goals with the least possible show or use of force or other means of control. In situations where this objective cannot be met, clear protocols for escalation identified in the University of California “Response Option Framework”¹, and recommended by the Event Response Team and approved by the Chancellor, must be understood and strictly observed by all law-enforcement personnel.²

In the rare event of an imminent and substantial threat of harm to persons or property, and with no reasonable opportunity to consult with the Chancellor or designee, Campus Police will follow the UC “Response Option Framework” for responding. The Chief of Police is responsible for exercising sound judgment and appropriate restraint.

3. Concept of Operations

Demonstrations (A.K.A. protests) are rarely spontaneous, thus require planning by the protest organizers. During the weeks or days leading up to a planned protest an Event Preparedness Team comprised of University administrators

¹ Under Development as of 1/11/2013
² Robinson Edley Recommendation 7.
and stakeholders will work with the University Police Department in preparations for the event. (Applicable to Level 1 and 2 UCSF PD Security Levels³)

Once a protest appears to be evolving towards civil disobedience or violation of applicable laws an **Event Response Team** comprised of senior University administrators may be activated to work with the University police to collaboratively protect the right to peaceful assembly and protest. To assure those rights shall not be abridged at UC San Francisco provided they are exercised in a manner that does not violate criminal statutes or unreasonably impede the teaching, research, service, and administrative activities of the university, its students, faculty, administrators, staff, suppliers and others who have a need to come and go safely and freely. (Applicable to Level 2 and 3 UCSF PD Security Levels⁴)

In situations where civil disturbances appear imminent or there is a substantial threat of harm to persons or property the **Campus Management Response Team** comprised of members of the Chancellors Executive Cabinet and senior administrators to assume the functions of the Event Response Team. (Applicable to Level 3 UCSF PD Security Levels⁵)

Within the Event Preparedness Team, Event Response Team and Campus Management Response Team, some key members may transfer to each team as the situation escalates thus assuring continuity of operations and transfer of knowledge of the evolving situation. (Refer to Flowchart 1)

### 4. Event Preparedness Team

#### 4.1 Activation:

Demonstrations whether for labor, political, civil, educational or other causes are rarely spontaneous, thus involve planning by labor, student, activist or extremist organizations. As a result the University has some level of opportunity to prepare to protect freedom of speech, public safety, and property and promote continuation of university services and functions in response to the event.

The USCF Police are the lead department for event preparedness and planning. An Event Preparedness Team may be activated by Chief or Police, Event Commander, or Special Events Lieutenant in the weeks leading up to a planned event such as the UC Regents meetings, or within the days or hours of learning of a planned demonstration or protest.

³ UCSF Police Department Regents’ Planning Guide Book V.8.11
⁴ UCSF Police Department Regents’ Planning Guide Book V.8.11
⁵ UCSF Police Department Regents’ Planning Guide Book V.8.11
Flowchart 1: Transition of Event Team Activations

<table>
<thead>
<tr>
<th>Event Preparedness Team</th>
<th>Event Response Team</th>
<th>Campus Management Response Team</th>
</tr>
</thead>
<tbody>
<tr>
<td>UCPD Lt or Capt</td>
<td>Chair</td>
<td>Chair</td>
</tr>
<tr>
<td>AVC CLS</td>
<td>SVC FAS or Assistant Chancellor/COS</td>
<td>SVC FAS or EVC &amp; Provost</td>
</tr>
<tr>
<td>Campus Counsel</td>
<td>Chancellor or Assistant Chancellor/COS (If not Chair)</td>
<td>Coordinator Assistant Chancellor/COS</td>
</tr>
<tr>
<td>Dir FM</td>
<td>SVC FAS (If not Chair)</td>
<td>Campus Counsel</td>
</tr>
<tr>
<td>Fire marshal</td>
<td>Chief or Police</td>
<td>EVC &amp; Provost (If not Chair)</td>
</tr>
<tr>
<td>Dir Parking Transportation</td>
<td>EVC &amp; Provost</td>
<td>Dean SOM</td>
</tr>
<tr>
<td>Dir Med Center Security</td>
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<td>Exec Dir Public Affairs</td>
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<tr>
<td>Dir Risk Management</td>
<td></td>
<td></td>
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<tr>
<td>Ad Hoc Members</td>
<td></td>
<td></td>
</tr>
</tbody>
</table>

Flowchart:
- Transition of Event Teams from Peaceful Assembly and to Civil Disturbance

Not in Hierarchical Order
4.2 Event Preparedness Team Membership:
Membership of Event Preparedness Team will include the following officials or their designees:

- UCPD Special Events Lt or Captain
- AVC Campus Life Services
- Campus Counsel
- Director Facilities Management
- Campus Fire Marshal
- Director Parking & Transportation
- Director Medical Center Security
- Executive Director Public Affairs or Public Information Officer
- Director Risk Management

Other university stakeholders may be invited to participate as Ad-Hoc members. If warranted non-university neighboring stakeholders may be invited to participate. Which stakeholders are invited depends on the type of demonstrations, location(s) and amount of time the University has to prepare (one hour vs. one week).

4.3 Meetings:
The Event Preparedness Team may meet by conference call, video conferencing or face-to-face meetings as necessary in the days leading up to the event. For demonstrations by organizations known to UCSF PD, with a history of peaceful assembly and open lines of communication, the Event Preparedness Team may not need to meet, but simply be provided a notice of the planned protest and UCSF PD plans for assuring safety and security during the peaceful assembly and plans for community notification.

4.4 The Event Preparedness Team’s primary functions:
- Receive a threat assessment briefing by UCSF PD of the intended event (Labor action, protest, rally etc.)
- Identify University and community services, functions, facilities and populations which may be impacted by the event.
- Review and provide input into proposed UCSF PD procedures to protect public safety and property and promote continuation of university services and functions while protecting freedom of speech rights of the event
• Determine which if any UCSF buildings, administrative, academic, research, medical, or other services may need to be cancelled, closed, or hours of operation adjusted.
• Review and provide input into planned Public Affairs and UCSF PD communications and message distribution.
• Identify Event Preparedness Team members to serve as ad-hoc members of the Event Response Team.
5. Event Response Team

5.1 Activation:
An Event Response Team may be activated by Chief or Police, Event Commander when the police become aware elements within the protestors are planning to engage in civil disobedience and are in violation of applicable laws or regulations which threaten life, safety, property or essential University services or functions including academic or clinical studies.

An Event Response Team may be activated by the Chancellor or Event Response Team Chairperson when, based on considerations such as the number of demonstrators involved in an event, the event’s impact on campus operations, or the potential safety risks involved, he/she determines that an event is significant enough to call for the team's involvement.

5.2 Chairperson:
The Event Response Team Chair provides overall direction and coordination of Event Response Team activities. The Event Response Team Chair will be the Senior Vice Chancellor for Finance and Administration or in his her absence the Assistant Chancellor/COS6.

The Event Response Team Chair is responsible for:
- Assessing initial reports of a protest for situations in which protestors are planning to or are engaging in civil disobedience and are in violation of applicable laws or regulations which threaten life, safety, property or essential University services or functions including academic or clinical studies.
- Making the decision to activate the Event Response Team.
- Conducting Event Response Team meetings and activities, identifying strategic issues for decision-making and tasking specific Event Response Team members to develop recommendations as appropriate.
- Briefing the Chancellor and responding to information requests from UCOP and/or the Board.
- Whereas the Event Response Team Chair and Alternate Chair are pre-designated, the Event Response Team Chair may transfer the responsibility to another Executive Cabinet Member based upon which part of the University is being affected by the civil disturbance (I.e.: the Medical Center CEO may become Event Response Team Chair for a medical Center protest/demonstration.)

6 Use of SVC FAS or Assistant Chancellor/COS in Event Response Team promotes continuity of operations in the event the Campus Management Response Team is activated.
5.3 Event Response Team Membership:
Whereas the Event Response Team is comprised of select executive cabinet representatives and an Ad Hoc committee of senior administrators, during a response to a threat of or actual civil disturbance the Event Response Team shall consist of the senior officer, or his or her designee, from each of the divisions identified below.7

- Chair (SVC FAS or Assistant Chancellor/COS)
- Chancellor or Assistant Chancellor/COS8
- Executive Vice Chancellor & Provost
- Senior Vice Chancellor for Finance and Administration (or alternates)9
- Chief of Police
- Campus Counsel
- Dean School of Medicine
- VC Strategic Communications or Public Information Officer
- Executive Director Community & Government Relations

5.4 Ad-hoc membership
of the Event Response Team will vary depending on the nature of the demonstration (i.e.: Medical Center or Campus labor action, Animal Extremist, Anarchists amongst student activist events), campus location (i.e.: Parnassus, Mission Bay, Hunters Point).
- AVC Human Resources
- CEO Medical Center
- AVC Research
- Office of Environmental Health and Safety
- Director Facilities Management
- Director Insurance/Risk Management
- Other members from the Event Preparedness Team.

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8 At a minimum, the team must include the Chancellor, or another administrative official designated by the Chancellor with decision-making authority on behalf of the entire Administration, such as the Executive Vice Chancellor. It is also essential that the team reflects and understands the academic values of the institution, which will make it more legitimate in the eyes of the community. The team should therefore include one or more administrators who are members of the Academic Senate, and whoever chairs the team should both have the confidence of the Chancellor and be perceived by faculty and students as firmly aligned with our academic values and mission. (Robinson/Edley Report)
9 Must include the Chief of Police and the Vice Chancellor to whom the Chief of Police reports (Robinson/Edley Report)
5.5 Meetings:
The Event Response Team may meet by conference call, video conferencing or face-to-face meetings as necessary in the days leading up to the event and on the day(s) of the event.

The Event Response Team should meet at least twice a year, even in the absence of demonstrations or other events warranting a meeting to review its purpose, membership and mechanisms for convening rapidly at the request of the team’s chair. Additionally, the team should develop a system for real-time communication among members and should designate alternates in case some members are out of town or unavailable when the team needs to convene.

5.6 The Event Response Team’s primary functions are:

Upon appointment, develop principles for future activations that will guide the Event Response Team in their response to civil disobedience. The guidelines should:

1. Include clear definitions of the roles of the Event Response Team and of campus police in responding to demonstrations.
2. Make explicit that the responsibilities of the Event Response Team and the police to discuss both the objectives and the police tactics necessary to achieve them continue throughout the event.
3. Require an incremental and progressive approach when responding to civil disobedience, beginning with the least confrontational option.
4. Define what constitutes tolerable vs. non-tolerable or life threatening civil disobedience situations which will require a response and, what type of response is appropriate.

Upon Activation:

Receive a briefing by UCSF PD of the protestor numbers, location, activities, threatened activities, police strength, locations protective measures and current situation.

Share basic information about the demonstration, its affects upon the University, concerns, etc.

Identify priorities and objectives for responding to the demonstration, and consider how, if at all, the Administration should respond to unlawful activity by the demonstrators.

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10 Robinson Edley Recommendation 8
11 Robinson Edley Recommendations 9 & 10
Review definitions of tolerable vs. non-tolerable or life threatening civil disobedience situations which will require a response and, what type of response is appropriate.

Receive a briefing from the Chief of Police (or designee) on the Department's Use of Force Protocol as related to "orderly crowds or marches," "peaceful civil disobedience," or to "non-peaceful civil disobedience.

The Chief of Police or Senior member of the Event Response Team should brief the Chancellor or the Chancellor’s designee on the priorities and objectives for responding to a peaceful demonstration and protestor/demonstrator threats or actions considered non-tolerable or life-threatening civil disobedience during the event.

Since each step along the progression could escalate the situation, administrators should be able to articulate reasons why an earlier option did not or would not work before moving on to more confrontational options.

During the course of an event, continuously re-assess objectives, and the wisdom of pursuing them, in light of necessary police tactics—seek to pursue only important goals with the minimum force necessary.  

If administrators have determined that there is a significant interference with their campus’ academic mission, as defined through the process described above, and consider the campus police use of force justified they should:

Designate at least one administrator from the event response team to be present at the demonstration to facilitate the Administration’s involvement in decision-making at any time in which police action may be imminent.

If that person is not the Chancellor or the person to whom the Chancellor delegated ultimate decision-making responsibility, then the person on the ground must be able to communicate in real-time with the Chancellor or the Chancellor’s designated decision-maker.

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12 Robinson Edley Recommendation 12
13 If the Chancellor designates decision-making responsibility, the Chancellor’s designee may be a member of the Academic Senate.
14 It is not necessary for the ultimate decision-maker to be on-site at the protest as long as he or she has an adequate understanding of the situation based on real-time communications from the on-site administrator and the police department’s Incident Commander.
5.7 Office of the Chancellor Functions:

☐ Set expectations for monitoring and managing the event
☐ Designate appropriate individual as Chancellor’s representative “on the ground” to event organizers/protest leaders and law enforcement
☐ Ensure appropriate and effective communication between event organizers/protesters, senior administrators, and law enforcement
☐ Appoint a designee with decision-making authority if the Chancellor is unavailable.
☐ Communicate with the Chief of Police regarding use of force guidelines
☐ Provide direct communication with the UC Office of the President

5.8 Office of the Executive Vice Chancellor & Provost Functions:

☐ Direct communication with faculty regarding all appropriate aspects of faculty involvement in peaceful assemblies or demonstrations
☐ Initiate educational opportunities, when appropriate, around issues of protest
☐ Communicate with the Chancellor all recommendations to alter daily campus business as usual, to facilitate the immediate needs of the students and faculty regarding the issues of protest or the safety of the campus.
☐ Appoint academic spokesperson for media interviews, if appropriate, in consultation with the Office of University Communications
☐ Designate an “on the ground” liaison if faculty or instructional staff are involved in the protest
☐ Appoint or designate mediator as appropriate

5.9 Office of the VC Strategic Communications & University Relations Functions:
Develop communications/media strategy and news points
Recommend and provide oversight of all media outlets, interviews, releases and press conferences
Monitor news coverage and blogosphere to provide real-time feedback to incident command post

5.10 Office of Community and Government Relations Function:

Provide communication to governmental entities as appropriate, in coordination with the Office of University Communications

5.11 Police Functions:

Establish Incident Command and activate EOC as determined by the Chief of Police
Provide continuous and appropriate levels of security for the safety of all involved people and UC property
Ensure all on and off-campus responding law-enforcement personnel are thoroughly briefed
Identify the police incident commander responsible for giving an order to use force prior to deployment and establish direct line of communication with the Chancellor's on the ground representative
Provide proactive planning guidance to affiliates as appropriate
Identify staffing needs and proactively request appropriate levels of staffing from UC campuses, CSU campuses, CHP, local law enforcement agencies, fire and EMS when appropriate for the safety, security and timely response of or to the needs of the community
Provide violence-prevention education and advocacy support as appropriate
Establish, if necessary, field incident command post and communicate the location to the Campus Management Response Team
Assist in identifying non-affiliates participating in a sustained or encampment protest
☐ Designate official event videographer, if appropriate

5.12 Office of the Vice Chancellor for Student Affairs Functions (Ad Hoc Member):

☐ Direct personal communication with students regarding interpretation of policies, expectations, academics, student discipline, and general guidance provided by the UC San Francisco Principles of Community; health and safety requirements; federal, state and local laws; and university policy

☐ Designate independent observers if needed

☐ Monitor mental and physical health of students

☐ Identify and communicate health, safety, security and academic needs to the Campus Management Response Team

☐ Communicate with parents and student caregivers as appropriate

☐ Appoint a spokesperson for media interviews, if appropriate, in consultation with the Office of University Communications

☐ Provide planning guidance to students

☐ Designate an “on the ground” liaison if students are involved in the protest

5.13 Facilities Management Functions (Ad Hoc Member):

☐ Provide facilities support as identified by Campus Management Response Team including but not limited to:

☐ Sanitation and trash receptacles and pick up

☐ Lighting

☐ Building-access control

☐ Grounds maintenance and irrigation Control

☐ Signage

☐ Facility maintenance

☐ Safety, health and security equipment needs

☐ Transportation and parking needs
5.14 Office of Environmental Health and Safety Function (Ad Hoc Member):

- Monitor and provide guidance for meeting the fire, health and safety needs during sustained demonstrations

5.15 Human Resources Functions (Ad Hoc Member):

- Direct communication with employees and labor union representatives regarding interpretation of policies, expectations, employee discipline and general guidance provided by the UC San Francisco Principles of Community; health and safety requirements; federal, state and local laws; and university policy
- Monitor mental and physical health of employees
- Identify and communicate health, safety and security needs to the Campus Management Response Team
- Designate an “on the ground” Labor Relations Liaison if staff are involved in the protest

6. Campus Management Response Team

6.1 Role of the Campus Management Response Team

The Campus Management Response Team (CMRT) is the executive level oversight and strategic decision-making body for UCSF during a potential or actual crisis situation. When activated, the ECMRT is responsible for and has the authority to make strategic, financial, and policy decisions in response to the issue or event. The Policy Group may be activated independent of or as a result of EOC activation.

EOC Not Activated: The CMRT is expected to become involved in the day-to-day leadership of an issue or event if the implications require executive decision-making, have potential significant and/or long-term implications on the viability and reputation of the campus, or require significant changes in existing policies.

EOC Activated: The CMRT may be convened by the EOC Director or Chancellor to provide guidance or executive decision making when the event may have potential significant and/or long-term implications on the viability and reputation of the campus, or require significant changes in existing policies.
The CMRT makes proactive policy and strategic decisions to mitigate threats and is responsible for ensuring that UCOP and critical stakeholders are properly apprised and consulted, as appropriate.

6.2 CMRT responsibilities include:

- Making policy and strategic decisions that have significant implications for UCSF.
- Approving the communications strategy and key messages developed by the crisis communications team for both internal and external stakeholders (e.g. students, alumni, parents, faculty, staff, media, partners and sponsors, legislators, community leaders etc.) (Refer to Annex CC: Crisis Communications Plan).
- Providing strategic guidance to the campus Chief or Police or Incident Commander or EOC Incident Management Team both during and after the crisis, including in some cases establishing priorities.
- Informing, periodically briefing, and making recommendations to UCOP on the overall response strategy and key issues from the UCSF perspective.
- Identifying/forecasting/managing key issues and consequences stemming from the incident or event.

The CMRT may remain activated long after the Incident Command Post (as in a civil disturbance event) or EOC has ceased operations to manage the ongoing consequences and medium- to longer-term implications of the event (Refer to ERMP Annex CMRT).

6.3 CMRT Members

- Chair: SVC Finance & Administration or EVC & Provost
- Coordinator: Assistant Chancellor/COS
- EVC & Provost (if not Chair)
- Camps Counsel
- Dean School of Medicine
- VC Strategic communications & University Relations
- Medical Center CEO or COO

6.4 Role of Ad Hoc Team Members

For incidents that require special expertise, the CMRT Chair may also bring one or more additional ad hoc members onto the CMRT for that particular incident, i.e. members who can provide technical expertise and/or pertinent input to the CMRT members and process. Examples could include IT for data breach or technology issues, the head of research if the issue or event impacts animal
researchers or research, or the head of the medical center for an issue involving student health, research or hospital operations. Ad Hoc team members are not required to attend CMRT meetings unless specifically asked to attend by the CMRT Chair but once engaged, their responsibilities are the same as core team members, outlined above.

7. After -Action Reporting

The office/department designated as the lead for the event by the Chancellor (Usually UCPD) will compile an after-action report to be presented to the Chancellor no later than 30 days following the end of the event. A summary of observations and recommendations from the official observers must be included in the after-action report.

8. References

1. UC Response to Protests on UC Campus: A Report to University of California President Mark G. Yudof, 2012 (A.K.A. Robinson/Edley Report)
2. UCPD System-wide Policy: Crowd Management Intervention & Control 9/28/2012
3. UCSF Police Department Special Order #12-02: Crowd Management Intervention & Control
4. UCSF Police Department Regents’ Planning Guide Book V.8.11
5. ERMP Annex CMRT: Campus Management Response Team
6. ERMP Appendix ICP: Incident Command Post
APENDIX PHED

Public Health Emergency Planning Guideline for Departments

Introduction: Pandemic Influenza Planning within UCSF Divisions & Departments

During the emergence of a potential pandemic, UCSF Emergency Management and Medical Center Infection Control & Emergency Management will be closely monitoring alerts and updates both from WHO and the Centers for Disease Control and prevention (CDC).

The UCSF Campus and Medical Center have separate, yet coordinated Public Health Emergency Plans. Prior to a pandemic event, there are planning measures each Control Point* should take in anticipation of or in response to Campus, State, and Federal Pandemic emergency declarations.

In the event of a Pandemic Emergency, the Medical Center and Campus Emergency Operations Centers will collaborate with a Technical Advisory Group made up of health and medical subject matter experts to develop recommendations on continuation, reduction, or curtailment/cessation of some non-medical center UCSF operations. Those recommendations will be submitted to a Campus Policy Group (comprised of Deans, Senior Vice Chancellors and Medical Center CEO/CMO) for final decisions affecting the UCSF enterprise operations.

This document is designed to assist your Control Point in ensuring adequate measures are in place to continue critical functions throughout a pandemic. Each Control Point should designated staff to develop and document these measures. The ideal method would be to include the measures within a Departmental Business Continuity Plan. UCSF has implemented an online Business Continuity Planning Tool, UC Ready, which allows users to easily document a Departmental Business Continuity Plan. For information and access to the UC Ready, contact Esther Silver, UCSF Business Continuity Planning Program Manager at esilver@police.uscf.edu or 415-476-6887. However due to the urgency of pandemic readiness, Divisions may choose to document overall pandemic contingency plans at the Division Level as an interim solution.

* Executive Vice Chancellor and Provost (EVCP), Senior Vice Chancellor University Advancement and Planning, Interim Vice Chancellor Finance & Administration, Senior Vice
Key Concepts for Control Point, Departmental, or Division Emergency and Pandemic Planning

Control Points must identify critical functions and the essential staff required to carry out those critical functions. A function is critical if a disruption to it could potentially cause irreparable or material impact to the UCSF’s ability to provide security to its constituents, public service, education, health care, animal care or any other of its other core objectives or mission. Identifying critical functions is the first step within the Business Continuity Planning Process. For additional guidance in determining critical functions contact Esther Silver, UCSF Business Continuity Planning Program Manager at esilver@police.uscf.edu or 415-476-6887. Critical functions may include, but are not limited to:

Academic Programs
Administrative Functions:
- Payroll
- Benefits
- Registrar
- Records
- Purchasing,
- Accounts Payable, etc
Animal Care
Child Care
Data & Network Services
Facilities: Engineering, Maintenance & Housekeeping.
Food Services
Legal
Research
Risk Management and Insurance Services
Student Services
Supply & Distribution
Telecommunications
Transportation

It will be necessary to define and identify essential staff necessary to carry out the critical functions to be performed during an emergency when normal campus operations have ceased. Essential staff are not identified by title, pay grade, or educational credentials. The University of Maryland provides an excellent definition of Essential Staff:
An essential employee is one who is "an employee of a facility who has been designated as vital to the operation of the facility, whose presence is required regardless of the existence of an emergency condition, and whose absence from duty could endanger the safety and well-being of the campus population and/or physical plant. Examples of such employees are police, IT and facility engineers, other plant and maintenance personnel, payroll, procurement, warehouse, animal care employees, food service staff, hospital staff, etc. Employees may be designated as essential on a situational basis, e.g., in the event of a utility failure, or in the event of a public health crisis."

http://www.umd.edu/emergencypreparedness/pandemic_flu/studentlife.cfm

UCSF as a Global Enterprise

UCSF faculty, staff and students travel globally to and from the UCSF campus increasing the risk of exposure and transmission of pandemic influenza. Each School, Division and Department should assure their faculty, staff, and students traveling overseas register their travel plans at http://www.uctrips-insurance.org/ in order to ensure access to emergency medical assistance in the event of a health emergency while traveling. Some events may require special precautions, travel restrictions or even evacuation – registered travelers will receive real-time, online travel alerts on communicable disease outbreaks. Refer to the UCSF Risk Management Travel Safety web page for more information: https://www.rmis.ucsf.edu/RMISDetails.aspx?Panel=9

Control Point Pandemic Planning Activities:

To enhance our ability to effectively respond to a potential pandemic, the UCSF Police Department – Emergency Management Division recommends each Control Point document the measures needed to ensure continuity of their critical functions.

Examples of measures you can implement prior to a pandemic are listed below

- Develop Plans for supporting essential/critical functions and facilities. Identify the facilities that must stay open. Refer to your Business Continuity Plan (BCP). Don’t have a BCP? Contact Esther Silver, Continuity Planning Program Manager @ esliver@police.ucsf.edu.
- Define and identify essential staff.*
- Designate an emergency point person for each major division within the Control Point.*
- Ensure that essential staff contact Information is updated, documented and properly disseminated. *
• Review existing UCSF HR workplace flexibility guidelines and applicable Control Point procedures to authorize telecommuting, alternate or flexible schedules, etc. at the UCSF HR website: http://ucsfhr.ucsf.edu/index.php/general/article/common-questions-and-answers-to-communicable-disease-emergencies-and-all-ha/.
• Develop contingency plans to account for, track, and report staff, student and/or faculty absenteeism.
• Develop or review BCP or reduced operating plans for essential/critical functions and facilities during staff, student and/or faculty absenteeism.
• Identify essential research and make plans for possible interruptions in research schedules (including notification of research funding sources if necessary).
• Develop and save alternate lesson plans/lectures for teaching (Pod-Cast, Web-Cast, Webinar, Tele-conference, etc.).
• Work with purchasing to increase essential supplies (Suppliers will be impacted, and deliveries may be delayed during Pandemics.
• Assess internal storage capacity and work with CPFM - Oyster Point to identify additional storage capacity for essential supplies, if necessary.
• Develop contingency plans for telecommuting. (Refer to above HR website)
• Develop contingency plans for employees to take leave. (Refer to above HR website)
• Develop contingency plans for cancelling classes.
• Develop contingency plans for closing residence halls.
• Develop contingency plans for closing administrative offices. (Refer to above HR website)
• Develop contingency plans, communications for overseas staff, faculty & students. (refer to UC Travel Safety at Risk Management website: https://www.rmis.ucsf.edu/RMISDetails.aspx?Panel=9)
• Issue or develop plans to cancel staff, faculty, and student travel to affected areas.
• Distribute BCPs or contingency plans to managers/supervisors for reduced operations during staff, student and/or faculty absenteeism

* Should be located in your Business Continuity Plan

Once the Pandemic has been declared, additional measures that can be taken include:

• Update departmental websites with service specific information as conditions evolve over time
• Update and post/schedule alternate lesson plans/lectures for teaching (Pod-Cast, Web-Cast, Webinar, Tele-conference, etc.).
• Assure essential emergency supply orders were processed or delivered.
• Assure emergency supplies are secure.
• Alert or recommend repatriation for overseas staff, faculty, students

Note that major decisions must be made in coordination with the UCSF Emergency Operations Center & Policy Group. Major decisions include such things as:
• Close facilities.
• Close UCSF housing.
• Cancel classes.
• Suspend unnecessary research.
# ANNEX PHEP

## Public Health Emergency Plan

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Introduction

The UCSF Emergency Response Management Plan (ERMP) is an all hazards plan. This Public Health Emergency Plan serves as an Annex to the ERMP. It is beyond the scope of an emergency operations plan to specifically address the public health and medical characteristics, prevention, treatment, and control of all diseases capable of causing a pandemic or widespread public health emergency and disrupting UCSF’s mission or critical infrastructure.

In the development of this Plan it is also recognized public health and medical information, guidelines and response strategies issued by lead Federal, State and local public health agencies/authorities responsible for the emergency response are likely to evolve during the course of the emergency. Therefore this Plan will outline the University’s core emergency coordination and response components to a public health emergency.

As a general public health emergency plan the Annex provides a response framework applicable to naturally occurring public health emergencies (Pandemics, Epidemics, communicable disease outbreaks) as well as acts of Bioterrorism.

Unlike geologic or weather related disaster planning which focuses on a discrete event, public health emergencies, specifically pandemic events are expected to have worldwide impact with an unpredictable timeline, possibly occurring in multiple waves over 18 months or longer. Disruptions are likely in critical infrastructure including communications, transportation, and utilities. Public health emergencies have the potential to disrupt the health care, research, service and educational missions of UCSF.

UCSF is a global enterprise with staff living and working throughout California, the United States, Europe, Asia, and South America. In addition to fixed national and international locations where UCSF personnel may be assigned, UCSF students, faculty and researchers travel throughout the world in the course of short-term projects, business, and lectures.

The UCSF Emergency Operations Center (EOC) Director has emergency management responsibility for the UCSF Enterprise therefore takes into consideration the national and global implications of public health emergencies as they impact or threaten UCSF staff, students and faculty, wherever their work location may be.

In the event of an actual or potential public health emergency, subject matter experts from the medical center and campus will be appointed to a Technical Advisory Group (TAG). The EOC director will consult with the TAG and UCSF Medical Center Chief Medical Officer on all public health strategies and public information messages applicable to the UCSF Enterprise. (See Communication Algorithm)

Overview to Plan
The Public Health Emergency Plan provides guidance to the EOC Staff and EOC Policy Group in coordinating an enterprise-wide emergency response to a pandemic outbreak or other communicable disease emergencies that threaten the critical infrastructure, resources and functions of the UCSF Enterprise.

The Public Health Emergency Plan does not supersede the UCSF Medical Center Outbreak Response Plan developed to guide the hospital’s response in the provision of patient care. Instead, the enterprise-wide plan is intended to be synergistic with the Medical Center Outbreak Response Plan and address Enterprise issues that the Medical Center's Outbreak Plan may not address.

Objectives

This UCSF enterprise-wide Public Health Emergency Plan strives to address the following objectives:

- Protect and support the health, safety and welfare of our faculty, staff, students and affiliates as well as the assets and property of the university;
- Protect and support the university’s mission to provide teaching, research and service, as long as possible;
- If any university operations must be suspended, interrupted or are in any way impacted, recover from these disruptions as quickly and efficiently as possible;
- Establish a multi-modal method to communicate with the campus and community and UCSF personnel Enterprise-wide;
- Establish benchmarks or “triggers”, in advance of a pandemic, to signal university response or alternative actions;
- To the extent feasible, extend the services or expertise of the Enterprise to San Francisco and larger regional community.

Scope and Limitations

The UCSF Medical Centers (Moffitt Long, Mt Zion, and Children’s Hospital) maintain incident management teams which report and coordinate emergency response operations through the Hospital Command Center (HCC) at Moffitt Long. The HCC coordinates directly with the San Francisco Department of Public Health’s Departmental Operations Center for health and medical resources. The Medical Center (Moffitt Long) provides pandemic or communicable disease subject mater experts to the Technical Advisory Groups (TAG) which provides health and medical advice to the UCSF EOC in how the Enterprise may respond to the Pandemic or communicable disease outbreak (Refer to Technical Advisory Group Annex).
It is beyond the scope of this Plan to identify and describe each communicable disease that poses a risk of becoming a Pandemic and the surveillance, prevention, prophylaxis strategies which may be employed for each. Therefore, the Enterprise EOC Incident Management Team will look to the UCSF Medical Center and Campus Public Health Officer to monitor and review the critical sources of public health emergency management information and advise the appropriate EOC Command and General Staff.

The Medical Center and Technical Advisory Group should strive to frame its recommendations in terms of strategies applicable to the City/County of San Francisco, San Francisco Bay Area, State, and Nation. The TAG should include Global Health Sciences and Risk Management (utilizing the University’s international travel assistance contractor) in developing recommendations applicable to countries in which UCSF has personnel living/working, studying or traveling to or from.

Should the national or global consequences of the pandemic or communicable disease outbreak, exceed the resources of the Medical Center & TAG to adequately address location specific public health strategies, the Enterprise EOC Director may need to defer to State Health Department, CDC and or WHO recommendations for UCSF interests located outside of the City & County of San Francisco.

UCSF is classified as a local government by the San Francisco and State emergency management agencies. As such the enterprise EOC scope of responsibility takes into consideration how it implements emergency public health strategies in relation to:

Critical Infrastructure: Communicable disease control and prevention strategies and information may need to address worksite and workforce needs specific to Critical Infrastructure as well as general public health information for the UCSF Community. (Refer to Critical Infrastructure Annex)

San Francisco County: UCSF public health information and recommendation disseminated within the County of San Francisco will be coordinated with San Francisco, State, and Federal officials’ represented in a Joint Information Center. Similarly, campus strategies for vaccinations, personal protective measures, or other preventative and safety measures will be in compliance with measures taken by local, state and federal emergency management and public health authorities.

Statewide/Nationwide: Strategies for vaccinations, personal protective measures, or other preventative and safety measures outside of San Francisco County may need to be modified and based on State Health Departments, CDC or WHO guidelines, with instructions to UCSF personnel located domestically but outside of San Francisco to refer to their local health department’s recommendations.

International: The UCSF EOC, in consultation with the TAG, Global Health Sciences, and Risk Management (utilizing the University’s international travel assistance contractor) will advise overseas personnel regarding precautions they should take which may include host nation public health recommendations, WHO or CDC
recommendations. UCSF may recommend personnel traveling overseas (or planning to travel) return to UCSF (or cancel travel plans).

**UCSF Critical Infrastructure**

In a pandemic or major communicable disease outbreak, the Enterprise may need to prioritize the distribution of resources (vaccines, antivirals, antibiotics, personal protective equipment) to those personnel essential to maintaining Critical Infrastructure, Services and Functions.

In a pandemic or other public health emergency, Federal and State emergency management agencies may provide supplies to local governments and agencies for use in protecting critical infrastructure. It is important therefore for UCSF to be ready to identify and quantify its critical infrastructure when required in order to receive supplies of limited resources. (Refer to Critical Infrastructure Annex [Secured Document])

Critical Infrastructure includes Physical assets, *including people*, whose incapacity or destruction would have a debilitating impact on the economic or physical security of the UCSF Enterprise.

Critical Services are those services without which a building would be “disabled” such as utilities (water, gas, electric, etc.) and standby power systems, environmental control systems or communication networks.

Critical Functions: Critical operational and/or UCSF business support functions include those that could not be interrupted or unavailable for more than a mandated or predetermined timeframe without significantly jeopardizing the University (i.e.; Payroll, Human Resources - Staffing, Office of Academic and Administrative Information Systems (OAAIS), academic records, critical research.)

The Critical Infrastructure Annex of the UCSF Emergency Response Management Plan identifies critical infrastructure necessary in enabling the University’s response and recovery to emergencies. Additionally the *Departmental Pandemic Influenza Contingency Planning* (Appendix P) provides guidelines to the UCSF Control Points and their Divisions and Departments on contingency plans they should develop as part of their Business Continuity Plan in the event non-critical UCSF functions and services should be suspended.

**Essential Personnel**

During a pandemic or communicable disease outbreak UCSF Division and Departments may need to identify Essential Personnel. Essential Personnel are most likely the same categories of personnel or individuals identified under Critical Infrastructure. Departmental and Division Business Continuity Plans should also list essential personnel by name.
Technical Advisory Group (TAG)

The Technical Advisory Group serves as a subject matter expert advisory team to the UCSF EOC on the health, medical, environmental and veterinary impacts or threats from public health (epidemic and pandemic), bio-safety, chemical, biological, nuclear, radiologic, or Zoonotic emergencies.

The TAG will be comprised of subject matter experts from the Medical Center and/or Campus depending upon the specific pandemic or communicable disease threat.

The TAG recommends strategies and tactics for the University's response and recovery and may assist Public Information/Media with Communication public health and medical strategies and risks regarding emergency. (Refer to Technical Advisory Group Annex for description of functions.)

Communication Algorithm

Since UCSF Medical Center disease surveillance programs are most likely to identify or be informed about a local case of a communicable disease, they are also the responsible starting point for campus-wide notifications to leadership, staff, the Infectious Disease technical advisory group, and programs that support emergency response efforts.

See UCSF Communication Emergency Notification for Exposure algorithm below for a description of how the UCSF medical Center will notify the UCSF Emergency Operations Center and or UCSF leadership of a communicable disease which may have the potential for becoming a public health emergency.
UCSF Communication Emergency Notification for Exposure

UCSF Communication Emergency Notification for Exposure

Communicable Disease Event is recognized and reported

Medical Center Infection Control (Exec. Tech. Adv.)

Campus Environmental Health and Safety (EH&S)

Technical Advisors:
CMO
ID MDs
PSOS Director
Student Health
EH&S
OEHSE

TIER 1

Heigthened Alert or Emergency Response Recommendation

TIER 2
No--Follow Routine Chain of Command Reporting AND when MCC/EOC Activated

Campus: Legal

Campus: AVC Research

Campus: AVC Student Affairs

Med Ctr. Programs

Micro & Ctr. Labs

Ambulatory Adm.

Home Care Adm.

Emergency Dept.

Human Resources

Messages:
CMO
Risk Management
Regulatory Affairs

Patient Relations

Public Affairs

UC Internal Communications

Safety Officer

TIER 3

Joint Medical Center-Campus Advisory Team & Heightened Alert

Tier 1

Tier 2

Medical Center Admin-on-Call

Facilities Mgmt (MC & Campus)

Security

Pharmacy

Material Services

UCPD

Emergency Management (Medical Center, Campus, & UPPP)

Student Health Services

Dental Clinics

Medical Center Emergency Fans-Out List

Campus UCPD Chief Or UCPS

Watch Command for EOC Activation

Reports and guidance developed for:

GF and CA DPH

Lic & Cert.

Press

Patients

Students, Staff, Faculty

All clinical care directives to Med Ctr and campus-based clinical programs

Consider external reports e.g., CalOSHA, Fed OSHA, NIH

Draft6_Algorithm 6-18-09.vsd
Federal/State/Local EM actions, directives, declarations standards.

UCSF shall comply with the California Standardized Emergency Management System (SEMS) and National Incident Management System (NIMS). The Federal Department of Health and Human Services (HHS) has been designated as the lead federal agency for public health emergencies as per the National Response Framework (NRF).

California State Pandemic Influenza Operations Plan provides a framework for pandemic influenza preparedness, response, and recovery activities to be conducted by California Department of Public Health (CDPH) in coordinating response to a pandemic with Local Health Departments, the healthcare community, other state agencies, the federal government, and other key partners.

CDPH issued a Guidance for Student Dismissals During an Influenza Pandemic (July 2008). While outlining CDPH guidelines for schools, including Colleges and Universities, the Guidance states orders to close schools may not be applicable to all Higher Education institutions if other social distancing strategies may be effective.

UCSF as a statewide, national and global enterprise presents the EOC with unique challenges. Specifically a pandemic or communicable disease outbreak may affect communities, states, and nations differently and at different times. A pandemic may also occur in waves lasting several months, two to three times over a 12 to 18 month period. Because the virulence, morbidity and mortality may be different across the state, nation and world at any point in time, Public Health emergency disease control strategies may vary amongst local, state and national public health agencies where UCSF interests are located.

As a result, health and medical recommendations and strategies recommended by the UCSF Medical Center or TAG may not be applicable to UCSF operations in Fresno, Buenos Ares, Tokyo or other national and international locations.

In such instances, the UCSF EOC, Medical Center and TAG need to confer with Global Health Sciences, and Risk Management defer. CDC and or WHO guidelines may be primary resources when preparing guidelines, instructions, or other communications with UCSF personnel located outside of the county of San Francisco.

Prevention of Spread

The UCSF EOC shall refer to the UCSF Medical Center Infection Control for disease specific recommendations applicable to campus facilities and personnel. The UCSF EOC Operations Section, Health and Medical Branch or it units, and the EH&S unit in the EOC will collaborate to implement infection control recommendations provided by the Medical Center Infection Control.

Working with the UCSF EOC PIO, the Medical Center Infection Control, the EOC Health and Medical Branch and others as appropriate will assist in supporting a
campus-wide public information campaign on disease specific infection control. There may be circumstances in which health and medical recommendations must be adapted for the global enterprise and tailored for specific international UCSF locations.

Examples of Pandemic Influenza Strategies include, but are not limited to those listed in the OSHA Guidance on Preparing the Workplaces for an Influenza Pandemic: (http://www.osha.gov/Publications/influenza_pandemic.html#organizations_protect)

- **Personal Hygiene**: make tissues, hand soap, no-touch trash and towel dispensers, hand sanitizers
- **Practice Cough Etiquette** [http://www.sfcdcp.org/index.cfm?id=97](http://www.sfcdcp.org/index.cfm?id=97)
- **Clean work services, computers, telephones, computer equipment and avoid sharing these work tools**
- **Education and Information**
  - **Seasonal Influenza Vaccine**
    UCSF offer seasonal flu vaccination at no charge to all UCSF staff, faculty, and students. The vaccination program is managed by the UCSF Occupational Health Services program. Vaccine is generally available between October and March, depending on supply. A focused flu vaccine campaign is offered each fall, usually in October and November. Information about seasonal flu vaccine is posted on UCSF Today.
- **Social Distancing**
  Social distancing measures will be recommended or mandated by local, state, or federal public health authorities if necessary. Social distancing strategies may include:
  - Telecommute or modified work schedules
  - Reduce face-to-face meetings and interactions
  - Cancel Public Gatherings
  - Engineering controls such as physical barriers
  - Exclusion from work
  - Return to work clearance
  - Dismissal of school programs (includes university and child care)
- **Quarantine or Isolation**
  Under limited and extenuating circumstances, at the direction of the local public health authority, quarantine or isolation of individuals or groups may be enforced.
Self-Monitoring of Flu-Like Symptoms

The World Health Organization encourages everyone to implement prompt self-monitoring and diagnosis of flu-like symptoms. Staff and Students with fever, upper respiratory symptoms, or diarrhea should follow the UCSF Work Place Guidelines.

Exclusion from Work

Staff and Students who become ill at work should be sent home and referred to their health care provider (private provider for staff or Student Health Services for students). Criteria by which employees or students may return to work will be issued based upon the federal, state and local public health information, in consultation with the TAG.

Environmental Controls & Job Function Actions

Depending upon the causative organism for the pandemic or communicable disease outbreak, there may be environmental control strategies which may reduce or prevent the spread of the disease. UCSF TAG, EH&S, Public Health and Occupation Health SMEs may be asked by the EOC to develop specific procedures and guidelines for the following (Not a comprehensive listing):

Environmental Controls

HVAC – Adjustment of HVAC systems to change, divert or close airflow. Cleaning or replacement filters including addition of HEPA filters.

Surfaces – Pay phones, elevator buttons, and public computer keyboards (i.e.: library, labs, kiosk computers, Etc.)

Vehicles & Shuttle buses – disinfecting (handrails, seat backs), keeping windows open, cleaning steering wheels and instrumentation between drivers, symptomatic passengers, etc.

Housekeeping – Cleaning of doorknobs, handrails, bathrooms, classroom desks, changes in type of cleaning solutions, use of disposable rags, etc.

Rearrangement of worksite, classrooms or cafeterias - Spacing of desks and tables may be implemented.

Job Function

Dental Services – PPE, Vaccinations, and changes in dental area surface cleaning procedures
Childcare Centers – Disinfecting of toys, beds, play areas. Work-status of staff with family members with influenza like illness.

Confined spaces – Some occupation categories may have prolonged exposure to pre-symptomatic infectious persons in confined spaces such as Police (suspects in police cars & interrogation rooms) researchers, utility workers, etc.

**Employee Exposure Risk**

OSHA uses the classification scheme below to categorize employee risk for exposure to pandemic flu:

![Occupational Risk Pyramid for Pandemic Influenza](image)

**Very High Exposure Risk:**
- Healthcare employees (for example, doctors, nurses, dentists) performing aerosol-generating procedures on known or suspected pandemic patients (for example, cough induction procedures, bronchoscopies, some dental procedures, or invasive specimen collection).
- Healthcare or laboratory personnel collecting or handling specimens from known or suspected pandemic patients (for example, manipulating cultures from known or suspected pandemic influenza patients).

**High Exposure Risk:**
- Healthcare delivery and support staff exposed to known or suspected pandemic patients (for example, doctors, nurses, and other hospital staff that must enter patients' rooms).
- Medical transport of known or suspected pandemic patients in enclosed vehicles (for example, emergency medical technicians).
• Performing autopsies on known or suspected pandemic patients (for example, morgue and mortuary employees).

Medium Exposure Risk:
• Employees with high-frequency contact with the general population (such as schools, high population density work environments, and some high volume retail).

Lower Exposure Risk (Caution):
• Employees who have minimal occupational contact with the general public and other coworkers (for example, office employees).

Employers of critical infrastructure and key resource employees (such as law enforcement, emergency response, or public utility employees) may consider upgrading protective measures for these employees beyond what would be suggested by their exposure risk due to the necessity of such services for the functioning of society as well as the potential difficulties in replacing them during a pandemic (for example, due to extensive training or licensing requirements).

Utilizing the Federal Target groups for Vaccination (see Prophylaxis and Immunization: Vaccination Goals and Objectives) the UCSF EOC recognizes UCSF Critical Infrastructure personnel may require or request Personal Protective Equipment. Recommendations will be made by UCSF Occupational Health Program (which includes UCSF Occupational Health Services, UCSF Environmental Health and Safety, UCSF Medical Center Infection Control) to the UCSF Communicable Disease Technical Advisory Committee. The Technical Advisory Group will, in turn, make recommendations to the EOC Director, EOC Safety Officer, or Policy Group as requested to implement a Personal Protective Equipment Plan for critical infrastructure personnel and others. EOC distribution of scarce resources will be based upon local, state, and federal public health and emergency management practices when possible. (Refer to Annex PICI: Pandemic Influenza Occupational Exposure Risk Classification for UCSF Campus Critical Infrastructure Personnel)

Personal Protection Measures.

PPE:

Personal protective equipment (PPE) includes gloves, goggles, face shields, surgical masks and respirators. PPE does not take the place of cough etiquette, hand hygiene, or engineering controls. Types of PPE recommended during a Pandemic will be based on the communicable disease risk while working and the availability of PPE. Since PPE may become a scarce resource during a prolonged epidemic, supplies will be strictly managed and allocated to target employee groups.

Responsibility for identification of PPE is with:

• Medical Center Infection Control is responsible to identify appropriate PPE for Medical Center Employees.
• The EOC Safety Officer is Responsible to identify appropriate PPE for emergency responders.
The UCSF Occupational Health Program is responsible to identify appropriate PPE for campus employees and faculty. The OHP in conjunction with Student Health Services is responsible to identify appropriate PPE for students.

When applicable, occupational exposure based Personal Protective Equipment (PPE) recommendations may be used. Novel strains may require revised exposure based criteria for PPE during the course of a pandemic or communicable disease outbreak. Severe shortages of PPE may require distribution based upon prioritized critical infrastructure and exposure risk (Refer to Critical Infrastructure Annex).

Review of the Critical Infrastructure will help identify critical functions and the personnel who must continue to perform those functions during a pandemic. Daily exposure may vary for some functions based upon location of where work is to be performed and proximity to known or possible infected individuals.

Critical personnel may have increased risk of exposure, or may perceive an increased risk if required to report to work, but must travel by public transit.

Depending upon the virus or bacteria, communicability may be possible prior to onset of symptoms, in which cases, critical personnel may demand personal protective equipment (PPE) or measures (prophylaxis, vaccinations) as a condition of reporting to work.

Vaccination & Prophylaxis

Vaccine & Prophylaxis Recommendations: Disease specific vaccinations, antivirals, and other medical prophylaxis will be identified by Federal, state and local health authorities. The TAG, EH&S, Public Health and Occupation Health SMEs may be tasked with providing strategies for the vaccination and prophylaxis of Critical infrastructure personnel and their families.

Critical infrastructure & Limited Resources: It is beyond the scope of this plan to predict which communicable diseases will result in shortages of vaccines, antivirals or other prophylaxis. In the event there is a scarcity of resources, the UCSF EOC shall collect an updated count of critical resource personnel and prepare a resource request form ready to submit via the San Francisco EOC as soon as State and federal vaccines, antivirals or other prophylaxis resources are made available.

Administration of Vaccine & Prophylaxis: The UCSF EOC shall coordinate with the Medical Center the dispensing or administration of Vaccine & Prophylaxis to critical infrastructure personnel. In the event Medical Center is unable to accommodate the critical infrastructure personnel, UCSF Occupational Health and Student Health clinicians may be requested to assist with vaccination and prophylaxis.

Medical Center: It is assumed the Medical Centers will secure appropriate vaccines and prophylaxis from the San Francisco DPH DOC for essential staff and patients.
UCSF Personnel  Staff, faculty, students, researchers, affiliates who are not critical resources may be directed to local public health and point for distribution for receipt of vaccinations and prophylaxes as mass prophylaxis capabilities my be limited at UCSF.

Vaccination & Prophylaxis Outside of San Francisco: Staff, Students, Researchers, Affiliates residing/studying elsewhere in the Enterprise will be directed to local public health and point for distribution for receipt of vaccinations and prophylaxis. Risk Management and Global Health Sciences, working with the UCSF Travel Health contractor shall coordinate dissemination of accurate health information, recommendations and repatriation assistance as permissible under the global health emergency.

Logistics Coordination: Medical Center HCC and UCSF EOCs logistics shall communicate and coordinate medical supplies and their distribution. HCC & EOC coordination may be required to support cold storage, security, and other receipt, storage and distribution requirements.

Treatment

Employee health insurance and health care providers will be the primary source for medical treatment for pandemic or communicable disease.

Travel Health

The UCSF Risk Management Department hosts a Travel Safety website which provides links to register for Travel Accident Insurance as well as medical evacuation and emergency evacuation. [https://www.rmis.ucsf.edu/RMISDetails.aspx?Panel=9](https://www.rmis.ucsf.edu/RMISDetails.aspx?Panel=9)

That site also includes a link to [https://travelregistration.state.gov/ibrui/](https://travelregistration.state.gov/ibrui/) so that travelers abroad can register with US Embassies and Consulates to receive warnings and announcements from these diplomatic posts.

UCSF staff, faculty or students who travel outside the country may also check for information at CDC Traveler’s Health [http://wwwn.cdc.gov/travel/default.aspx](http://wwwn.cdc.gov/travel/default.aspx)

If a public health emergency overseas is of significant concern, UCSF may recommend travel restrictions by UCSF staff or return to the US by those already traveling in the affected areas.
EOC Activations

Levels of Emergency Operations Center (EOC) Activation
Emergency conditions vary with each incident and activation. As a guide, three levels of emergency are specified, as follows:

**Level 1 (Standby/Alert)** – emergency incident in which normal UCSF emergency response services can handle. While there may be some damage and/or interruption, the conditions are localized and the EOC is usually not needed. One Departmental Operations Center, including the Hospital Command Center may be activated.

**Level 2 (Partial Activation)** – emergency incident is significant and causes damage and/or interruption to UCSF operations. A partial activation of the UCSF EOC is needed. UCSF may be the only affected agency. UCSF notifies the City and County of San Francisco of the incident.

**Level 3 (Full Activation)** – disaster conditions in which UCSF must activate the full EOC in order to address immediate emergency response. Emergency conditions are wide spread and UCSF must be self-sufficient for a period of hours to several days. UCSF may request mutual assistance from the City and County of San Francisco, sister campuses, other Universities, or from State and Federal emergency management agencies.

In the aftermath of the March 2009 H1N1 Influenza A outbreak, EOC activation criteria is no longer based solely upon WHO Pandemic Phases (http://www.who.int/csr/disease/avian_influenza/phase/en/).

**Criteria**
EOC activations will be based upon a number of criteria including:
- HCC activation (EOC activation for support)
- Virulence of the disease, particularly in the Bay Area
- Morbidity & Mortality, particularly in the Bay Area
- Absenteeism impacting UCSF operations.
- Threat or impact to overseas UCSF enterprise interests/personnel.
- Disease of low virulence that causes public fear or panic.
<table>
<thead>
<tr>
<th>WHO Phase</th>
<th>Description</th>
<th>Phase</th>
<th>UCSF Action</th>
</tr>
</thead>
<tbody>
<tr>
<td><strong>Inter-Pandemic</strong></td>
<td>Low risk of human cases</td>
<td>1</td>
<td>Routine Business</td>
</tr>
<tr>
<td>Phase</td>
<td>New virus in animals, no human cases</td>
<td></td>
<td></td>
</tr>
<tr>
<td></td>
<td>Higher risk of human cases</td>
<td>2</td>
<td>EOC Level 0 (not activated)</td>
</tr>
<tr>
<td><strong>Pandemic Alert</strong></td>
<td>No or very limited human-to-human transmission</td>
<td>3</td>
<td>Routine Business</td>
</tr>
<tr>
<td>Phase</td>
<td>New virus causes human cases</td>
<td></td>
<td></td>
</tr>
<tr>
<td></td>
<td>Evidence of increased human-to-human transmission</td>
<td>4</td>
<td>Same as Phase 3 plus:</td>
</tr>
<tr>
<td></td>
<td></td>
<td></td>
<td>Regular communication &amp; coordination between Medical Center and UCSF</td>
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<td></td>
<td></td>
<td></td>
<td>Emergency Management.</td>
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<tr>
<td></td>
<td></td>
<td></td>
<td>Periodic updates and prevention information to UCSF community.</td>
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<td></td>
<td></td>
<td></td>
<td>EOC Level 0-1</td>
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<tr>
<td></td>
<td>Evidence of significant human-to-human transmission</td>
<td>5</td>
<td>Same as Phase 4 or:</td>
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<td></td>
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<td></td>
<td>Based upon Local, State and Federal Health authorities, may initiate</td>
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<td></td>
<td>recommendations or requirements for social distancing, increased public</td>
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<td></td>
<td>health measures, travel advisories, administrative controls.</td>
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<td>EOC Level 0-3</td>
</tr>
<tr>
<td><strong>Pandemic</strong></td>
<td>Efficient and sustained human-to-human transmission</td>
<td>6</td>
<td>Same as Phase 4 or:</td>
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<tr>
<td>Phase</td>
<td></td>
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<td>Based upon Local, State and Federal Health Authorities, may initiate</td>
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<td></td>
<td>more stringent recommendations or requirements for social distancing</td>
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<td></td>
<td></td>
<td>(Cancellation of meetings, conferences, teleconferencing, telecommuting)</td>
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<td></td>
<td></td>
<td></td>
<td>increased public health measures (isolation or quarantine), travel</td>
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<td></td>
<td></td>
<td>restrictions, administrative controls.</td>
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<td></td>
<td></td>
<td></td>
<td>EOC Level 0-3</td>
</tr>
</tbody>
</table>
Pandemic Phase Based UCSF Preparedness & Response Actions

Phase/Alert level 1 (No human infections.) and Phase/Alert Level 2 – (Known to have caused infection in humans, and is therefore considered a potential pandemic threat.).

- Control Points and their Divisions and Department conduct Business Impact Analysis to identify critical functions.
- Ongoing development or updating of Business Continuity Plans
- UCSF identifies its critical infrastructure, services and functions.
- Assess personal protective equipment, vaccine, medical prophylaxis & treatment requirements for Medical Center and enterprise critical infrastructure (and general population as feasible).
- Budget for acquisition and rotation of Public Health Emergency supplies cache.
- Ongoing cache management.
- Review existing UCSF HR workplace flexibility guidelines and update as indicated. (http://ucsfhr.ucsf.edu/index.php/general/article/common-questions-and-answers-to-communicable-disease-emergencies-and-all-ha/)
- Control Points assure their Divisions, Departments, and appropriate Units/Labs are developing and maintaining up-to-date Public Health Emergency Action Plans.
- HR develops system to account for, track, and report staff absenteeism.
- Academic programs develop system to account for, track, and report student and faculty absenteeism.
- UCSF contractors supply staff supporting critical infrastructure, services, functions develop system to account for, track, and report employee absenteeism to UCSF.
- Academic programs develop and update alternate lesson plans/lectures for teaching (Pod-Cast, Web-Cast, Webinar, Tele-conference, etc.).

Phase/Alert level 3 – (Small clusters of disease in people, but has not resulted in human-to-human transmission sufficient to sustain community-level outbreaks. Limited human-to-human transmission may occur under some circumstances.)

- Continue steps from Phase/Alert level 2.
- Advise Control Points to develop contingency plans for telecommuting. (Refer to above HR website)
- Advise Control Points to develop contingency plans for employees to take leave. (Refer to above HR website)
- Advise Control Points to develop contingency plans for cancelling classes.
- Advise Control Points to develop contingency plans for closing administrative offices. (Refer to above HR website)
- Develop criteria and contingency plans for repatriation of overseas staff, faculty & students.
- Develop criteria and contingency plans to cancel staff, faculty, and student travel to affected areas.
### Phase/Alert level 4 (Community-level outbreaks)

Cases **are** reported in US or international locations where UCSF personnel work/study.

If the UCSF Emergency Operations Center recommends social distancing measures, or if host nations where UCSF personnel are located recommend social distancing, examples of steps that may be taken include:

- Advise Control Points to distribute contingency plans for maintaining essential functions during high absenteeism to staff, student and/or faculty.
- Advise Control Points to distribute contingency experimental protocols to identified essential research labs and plans for possible interruptions in research schedules to non-essential research labs.
- Advise Control Points to update departmental websites with service specific information as conditions evolve over time.
- Advise Control Points to update and post/schedule alternate lesson plans/lectures for teaching (Pod-Cast, Web-Cast, Webinar, Tele-conference, etc.).
- Assure that any outstanding emergency supply cache orders were processed or delivered.
- Assure emergency supplies cache has adequate security.
- Advise Control Points to repatriate overseas staff, faculty, students.
- Advise Control Points to allow employees to telecommute.

### Phase/Alert level 4 (Community-level outbreaks.)

Cases **have not** been reported in US or international locations where UCSF personnel work/study.

UCSF Emergency Operations Center has not recommend social distancing measures, examples of steps that may be taken include:

- Continue steps from Phase/Alert level 2.
- Advise Control Points to:
  - Identify, notify and prepare selected employees for the possibility of telecommuting.
  - Identify, notify and prepare selected employees the possibility of taking leave.
  - Identify, notify and prepare selected faculty & Students for possible cancellation of classes.
  - Identify, notify and prepare staff, students, families and Deans of possible closing residence halls.
  - Identify, notify and prepare staff for possible closing administrative offices.
Phase/Alert level 5 (Regional-level breakout in several countries)

Continue steps from Phase/Alert level 4 that may need to be taken in response to EOC Policy Group decisions:

- Distribute Control Point, Division or Departmental contingency plans for staff, student and/or faculty absenteeism
- Distribute contingency experimental protocols to identified essential research labs and plans for possible interruptions in research schedules to non-essential research labs.
- Update departmental websites with service specific information as conditions evolve over time. (Refer to the UCSF Today website for current campus-wide pandemic response activities.)
- Update and post/schedule alternate lesson plans/lectures for teaching (Pod-Cast, Web-Cast, Webinar, Tele-conference, etc.).
- Assure essential supply orders were processed or delivered. (Suppliers will be impacted, and deliveries may be delayed during Pandemics.
- Secure supplies in storage.
- If the UCSF Emergency Operations Center recommends or requires social distancing measures*, examples of steps to be taken include:
  - Allow employees to telecommute.
  - Allow non-essential employees to take leave.
  - Consider cancelling classes.
  - Consider closing UCSF housing.
  - Consider closing administrative buildings.


Phase/Alert Level 6 (Outbreaks within several regions in several countries).

At the direction of the Policy Group, steps to be taken may include:

- Close non-critical facilities.
- Close UCSF housing.
- Cancel classes.
- Suspend unnecessary research.
- Deploy alternate teaching methods.
- Implement protective measures for crucial infrastructure as recommended by TAG, local, state or federal public health authorities as applicable to affected UCSF global enterprise activities.
Other Pandemic Federal Pandemic Response or Severity Indexes Which May Be Used By Federal Agencies or The Media:

**CDC Pandemic Severity Index**

The CDC categorizes flu epidemics as Category 1 through 5 just like hurricanes are categorized. A Cat 5 flu would be far more devastating than a Cat 5 hurricane. It would leave 1.8 million dead and it would shut down major cities for months. The new categories are part of a Pandemic Severity Index released as part of a new comprehensive strategy to deal with a severe influenza outbreak. ([http://www.pandemicflu.gov/plan/community/community_mitigation.pdf](http://www.pandemicflu.gov/plan/community/community_mitigation.pdf))

The CDC PSI uses case-fatality ratio (CFR) as the critical factor for categorizing the severity of the pandemic. The CDC's Director shall designate the category of the emerging pandemic based on the PSI and consideration of other available evidence.

<table>
<thead>
<tr>
<th>Characteristics</th>
<th>Pandemic Severity Index</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td>Category 1</td>
</tr>
<tr>
<td>Case Fatality Ratio (percentage)</td>
<td>≤0.1</td>
</tr>
<tr>
<td>Excess Death Rate (per 100,000)</td>
<td>≤30</td>
</tr>
<tr>
<td>Illness Rate (percentage of the population)</td>
<td>20–40</td>
</tr>
<tr>
<td>Potential Number of Deaths (based on 2010 U.S. population)</td>
<td>&lt;90,000</td>
</tr>
<tr>
<td>Seasonal Influenza (Illness rate ≤20%)</td>
<td>1957,1968 Pandemic</td>
</tr>
</tbody>
</table>

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Public Health Emergencies
PHEP-20
Annex PHEP

Public Health Emergencies
PHEP-20
Annex PHEP_public health emergency plan 01 2010.doc

Adopted March 1, 2010
US Government Pandemic Response Stages

The Federal Implementation Plan details a U.S.-specific matrix for Federal Government Response Stages (see below) for pandemic alerts focused on the domestic situation and our nation’s interests. For the United States, the HHS Secretary recommends to the President the specific U.S. pandemic response stage in coordination with the global alert phase. In practice, the severity, speed, and reach of a pandemic may blur the distinction between the various alert phases, underscoring the need for flexibility from all partners.


<table>
<thead>
<tr>
<th>WHO Phases</th>
<th>Federal Government Response Stages</th>
</tr>
</thead>
<tbody>
<tr>
<td><strong>INTER-PANDEMIC PERIOD</strong></td>
<td></td>
</tr>
<tr>
<td>1</td>
<td>No new influenza virus subtypes have been detected in humans. An influenza virus subtype that has caused human infection may be present in animals. If present in animals, the risk of human disease is considered to be low.</td>
</tr>
<tr>
<td>2</td>
<td>No new influenza virus subtypes have been detected in humans. However, a circulating animal influenza virus subtype poses a substantial risk of human disease.</td>
</tr>
<tr>
<td><strong>PANDEMIC ALERT PERIOD</strong></td>
<td></td>
</tr>
<tr>
<td>3</td>
<td>Human infection(s) with a new subtype, but no human-to-human spread, or at most rare instances of spread to a close contact.</td>
</tr>
<tr>
<td>4</td>
<td>Small clusters with limited human-to-human transmission but spread is highly localized, suggesting that the virus is not well adapted to humans.</td>
</tr>
<tr>
<td>5</td>
<td>Larger clusters but human-to-human spread still localized, suggesting that the virus is becoming increasingly better adapted to humans, but may not yet be fully transmissible (substantial pandemic risks).</td>
</tr>
<tr>
<td><strong>PANDEMIC PERIOD</strong></td>
<td></td>
</tr>
<tr>
<td>6</td>
<td>Pandemic phase: increased and sustained transmission in general population.</td>
</tr>
<tr>
<td>4</td>
<td>First human case in North America</td>
</tr>
<tr>
<td>5</td>
<td>Spread throughout United States</td>
</tr>
<tr>
<td>6</td>
<td>Recovery and preparation for subsequent waves</td>
</tr>
</tbody>
</table>
AUTHORITIES

California:

California Emergency Service Act (Government Code Title 2, Division, Chapter 7, Section 8550 et seq.): Confers emergency powers upon the Governor and chief executives of political subdivisions of the state to provide for state assistance in organization and maintenance of emergency programs; establishes the Governor's Office of Emergency Services; assigns functions to state agencies to be performed during an emergency and provides for coordination and direction of emergency actions of those agencies; and establishes mutual aid procedures. Authority for the creation of standby orders exists in Government Code section 8567. Authority to suspend statutes and agency rules exists in Government Code section 8671.

California Health and Safety Code Sections Pertaining to State Authorities:

- Sections 100170-100180: Establishes the authority of CDHS to enforce regulations to address threats to the public health.
- Sections 120125-120140: Establishes the authority of CDHS to investigate and control communicable disease within the state.
- Sections 120145-120150: Establishes the authority of CDHS to take actions related to persons, animals, or property to control threats to public health, including quarantine, isolation, inspection, disinfection, and destruction of property.

California Health and Safety Code Sections Pertaining to Local Authorities:

- Sections 101000, 101025, 101030: Establishes the authority of county health officers to preserve and protect the public health by enforcing county orders, ordinances, and statutes pertaining to public health.
- Sections 101375, 101400, 101405, 101415, 101450, 101460, and 101470:
  Establishes authority of cities to consent or contract with the county to provide performance of public health functions and statute enforcement. In the absence of consents or contracts with the county, authorizes cities to appoint a health officer to enforce and observe all orders, ordinances, quarantines, regulations, and statues relating to public health.
- Sections 101040, 101475: Authorizes county and city health officers to take preventive measures during emergency.
- Section 120175: Authorizes the local health officer to take measures necessary to control the spread of communicable diseases.

California Food and Agriculture Code 9562: Establishes provisions for the state veterinarian to quarantine animals or animal products and to take appropriate disease control action to control or eliminate diseases from animal populations.
California Government Code 8549.10 and 8549.11: Establishes the Emergency Response Team for State Operations of eight specific Directors including the CDHS Director, and allows CDHS to enhance the continuity of government during major events, such as a pandemic influenza outbreak.

Executive Order No. W-9-91: Mandates that each state agency and department (e.g., CDHS) is responsible to prepare for and respond to emergencies. It mandates emergency preparedness and response assignments for all state agencies and departments under the coordination of OES.

Executive Order No. S-04-06: Directs state agency and department heads to meet on a regular basis to establish common strategies and actions for continued and enhanced emergency preparedness, response, recovery and mitigation efforts.

Administrative Order No. 79-22: Details the emergency preparedness and response functions of each department (e.g., CDHS). This Administrative Order guides OES and all departments in coordinating priority tasks and programs related to emergency preparedness, response, and recovery in accordance with the OES State Emergency Plan.

REFERENCES


Memorandum of Understanding, Department of Health Services and Emergency Medical Services Authority, July 1988: Details the relationship between CDHS and EMSA in planning for and responding to a catastrophic disaster and describes the specific responsibilities of each department.

Governor’s Office of Emergency Services, State Emergency Plan, May 1998: Defines the emergency management system used for all emergencies in California. The plan describes the state government’s response to disasters, including the response of all levels of government and certain private-sector organizations to all natural and human-made emergencies that threaten life, property, and the resources of California. It focuses on the basic requirements for disaster management and coordination under SEMS. It is intended to be used in conjunction with city, county, operational areas, and state agency plans and associated standard operating procedures. The State Emergency Plan recognizes and designates CDHS as the lead State department for public health response.

Federal Emergency Management Agency, National Response Plan, December 2004: An all-discipline, all-hazards plan that provides a single, comprehensive framework for managing domestic incidents. It provides the structure and the
mechanisms for coordinating delivery of federal assistance and resources to augment efforts of state, local, and tribal governments overwhelmed by a major disaster or emergency. It includes 32 signatory partners, including numerous federal departments, the American Red Cross, the National Voluntary Organizations Active in Disaster, and other organizations. It supports implementation of the Robert T. Stafford Disaster Relief and Emergency Assistance Act and for exercising direct federal authorities and responsibilities. For events that rise to the level of an Incident of National Significance, it provides operational or resource coordination for federal support to on-scene incident command structures.

**Regional Disaster Medical and Health Coordinator Emergency Plans:** These plans are prepared by each Regional Disaster Medical/Health Coordinator to describe their local disaster response roles.

**Health Officer Practice Guide for Communicable Disease Control in California, December 12, 2005:** A compilation of statutes, examples, and interpretations by local public health officials, county counsels, and others to provide a guide for local planning and actions during a public health emergency. The document can be found on the California Department of Health Services website at [www.dhs.ca.gov/EPO](http://www.dhs.ca.gov/EPO).

**National Strategy for Pandemic Influenza, November 2005 Homeland Security Council:** Establishes the national perspectives on planning and preparedness for addressing a pandemic influenza outbreak on the national, state, and local levels.

**Implementation Plan for the National Strategy for Pandemic Influenza, May 2006, Homeland Security Council:** Clarifies the roles and responsibilities of governmental and non-governmental entities and provides preparedness guidance for all segments of society.

**Pandemic & Public Health Emergency Plans**

**Federal**


HHS Pandemic Influenza Implementation Plan

HHS Pandemic Influenza Plan, November 2005

HHS/CDC Interim Pre-pandemic Planning Guidance: Community Strategy for Pandemic Influenza Mitigation in the United States— Early, Targeted, Layered Use of Non-pharmaceutical Interventions
OSHA Guidance on Preparing Workplaces for an Influenza Pandemic
http://www.osha.gov/Publications/influenza_pandemic.html#organizations_protect

State
CDHS Pandemic Influenza Preparedness and Response Plan – September 8, 2006

San Francisco
SFDPH Infectious Disease Emergency Response Plan (Draft) October 2007
http://www.sfcdcp.org/iderplan.html

Public Health Agency Websites
Local
San Francisco Department of Public Health Communicable Disease Control and Prevention
http://www.sfcdcp.org/

State
California Department of Health Services
http://www.dhs.ca.gov/ps/dcdc/izgroup/diseases/pandemic_flu.htm

Federal
Centers for Disease Control
http://www.cdc.gov/flu/avian/

US Department of Health and Human Services
http://www.pandemicflu.gov/

International
World Health Organization
http://www.who.int/csr/disease/avian_influenza/en/
ANNEX PHIR

Public Health Emergency Impact Report

During a Public health Emergency, such as a pandemic influenza, student, staff and contractor illness may adversely impact a University’s organizational unit such as a School, Research Laboratory, Administrative Department, or critical infrastructure such as a hospital or power plant. The following procedure outlines a reporting process by which Directors, Deans, and Chancellors may maintain awareness of the impact upon the University as absenteeism due to the pandemic affect essential or critical functions.

For the purposes of this report, “Staff” shall encompass employees, faculty, and affiliates.

The administrator for each organizational level with the University’s system should report up according to the flowing criteria as soon as absenteeism appears impacting operations:

1. Unit/Lab Lead to report to the Department Head when the number of staff/students out ill, has begun to or is at risk of affecting the Unit’s ability to perform its essential or critical functions.

2. Department Head to report to their Division Head when the number of Units or labs reporting they are unable to perform their functions due to staff absenteeism has begun to or is at risk of affecting the Departments ability to perform its functions.

3. Division Head to report to their Control Point when the number of Departments reporting they are unable to perform their functions due to staff absenteeism has begun to or is at risk of affecting the Divisions ability to perform its functions.

4. Control Point to report to UCSF Emergency Operations Center (EOC) at emerg.mgt@police.ucsf.edu:
   - Names of the Department’s affected,
   - Essential or Critical Functions threatened or impacted by staff absenteeism.
   - State if there is a continuity of operations plan (Business Continuity Plan) they can implement to continue critical functions or
   - List resources needed to continue critical functions or
• State if they are recommending functions be discontinued pending return of adequate staffing.

5. EOC Director of Emergency Management to provide EOC Director a report of UCSF departments by Control Point and their critical functions threatened or impacted by H1N1 absenteeism.

6. EOC Director to brief EOC Policy Group (Chancellor's Executive Committee) of H1N1 impact upon UCSF essential or critical functions.

7. Policy Group to provide Chancellor and EOC Director recommended priorities for sustaining essential/critical functions and emergency assistance requests from UCOP, or applicable State or Federal disaster assistance
## H1N1 Influenza Pandemic Impact Reporting Form  (Page 1 of 2)

<table>
<thead>
<tr>
<th>UCSF Organizational Level(s) Covered by report:</th>
<th>Estimated* Number of personnel currently absent due to H1N1:</th>
</tr>
</thead>
<tbody>
<tr>
<td>Unit/Lab:</td>
<td>Students:</td>
</tr>
<tr>
<td>Department:</td>
<td>Staff:</td>
</tr>
<tr>
<td>Division:</td>
<td>Faculty:</td>
</tr>
<tr>
<td>Control Point:</td>
<td>Affiliates:</td>
</tr>
</tbody>
</table>

* Due to medical confidentiality, it is understood the reasons for absenteeism may only be assumed to be a result of the current pandemic.

List the essential or critical function, service, facility or mission threatened or impacted which the Unit/Lab, department, Division or Control Point may not be able to sustain due to staff absences. Indicate level of Impact:

<table>
<thead>
<tr>
<th>Function</th>
<th>Absences increasing but no significant impact</th>
<th>Absences beginning to cause negative impact</th>
<th>Absences causing some interruptions or failures</th>
<th>Absences forcing closure - cessation of functions</th>
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</tbody>
</table>

Does the Unit/Lab, Department, Division or Control Point have a Business Continuity Plan for sustaining essential functions?

Yes: No:

Please complete page two if you are trying to hire temporary workers to back-fill absent staff. If you are not submitting page 2 please indicate here: _____ Page 2 not submitted.
H1N1 Influenza Pandemic Impact Reporting Form  (Page 2 of 2)

What human resource knowledge, skills, abilities, license/certification (KSA) do you need to augment staff currently working in order to sustain essential functions? List by position, state the minimum number of individuals needed to sustain essential/critical functions and how soon they are needed. If available, list UCSF Position Description Number to aid in search for temporary assistance. Understand that pandemics generally affect all labor markets therefore available labor pools may be very limited.

<table>
<thead>
<tr>
<th>Position</th>
<th>List any specific KSA required.</th>
<th># Needed</th>
<th>Need By</th>
<th>Point of Contact (Name, Phone, E-mail)</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td></td>
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<td>Ph: EM</td>
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<td>Ph: EM</td>
</tr>
<tr>
<td></td>
<td></td>
<td></td>
<td></td>
<td>Ph: EM</td>
</tr>
</tbody>
</table>

Send form to emer.mgt@police.ucsf.edu or fax to Director Emergency Management @ 476-8205
ANNEX PICI

Pandemic Influenza Occupational Exposure Risk Classification for UCSF
Campus Critical Infrastructure Personnel

<table>
<thead>
<tr>
<th>Function</th>
<th>Page</th>
</tr>
</thead>
<tbody>
<tr>
<td>Purpose</td>
<td>PI/CI-1</td>
</tr>
<tr>
<td>Risk Classification Based on DHS Guidelines</td>
<td>PI/CI-3</td>
</tr>
<tr>
<td>Tier 1 (severe pandemic)</td>
<td>PI/CI-3</td>
</tr>
<tr>
<td>Tier 2 (severe pandemic)</td>
<td>PI/CI-4</td>
</tr>
<tr>
<td>Tier 3 (severe pandemic)</td>
<td>PI/CI-5</td>
</tr>
<tr>
<td>Risk Classification based on OSHA Guidelines</td>
<td>PI/CI-6</td>
</tr>
<tr>
<td>Summary</td>
<td>PI/CI-8</td>
</tr>
</tbody>
</table>

Purpose

This annex reviews the various pandemic influenza protection guidelines and categories of campus critical infrastructure occupational groups at UCSF. Pandemic Influenza exposure risks associated with these occupational groups are analyzed using the Department of Homeland Security (DHS) and the Federal Occupational Safety and Health Administration (OSHA) pandemic flu guidelines as well as UCSF Occupational Health Services guidelines. Recommendations related to occupational risk are not fixed and may vary depending on actual assignments and duties. This Annex serves to augment the UCSF Emergency Response Management Plan’s Public Health Emergency Plan Annex (Annex PHEP) and the Critical infrastructure Annex (Annex CI).

Annex CI of the UCSF Emergency Response Management Plan identifies critical infrastructure, services and functions needed to achieve nine UCSF emergency management priorities for both campus and Medical Center. In this Annex, over twenty occupational categories have been identified as the critical infrastructure for the UCSF campus. (See Table 1 following page).
Table 1: Emergency Response Priorities for UCSF Campus Critical Infrastructure Occupational Groups

<table>
<thead>
<tr>
<th>Occupational Group</th>
<th>Department</th>
<th>Emergency Response Management Plan Priorities</th>
</tr>
</thead>
<tbody>
<tr>
<td>Clinical Faculty, Fellows, Staff and GME from Schools of Medicine, Pharmacy, Nursing and Dentistry</td>
<td>Various</td>
<td>Patient Care</td>
</tr>
<tr>
<td>Student Health Services</td>
<td>SHS</td>
<td>Patient Care, Life Safety</td>
</tr>
<tr>
<td>Emergency Response Team (ERT)</td>
<td>EH&amp;S</td>
<td>Life Safety, Protection of the Environment, Hazard Containment</td>
</tr>
<tr>
<td>Police Department including Emergency Communications Center (ECC)</td>
<td>UCPD</td>
<td>Life Safety, Protection of Property</td>
</tr>
<tr>
<td>Fire Marshal</td>
<td>EH&amp;S</td>
<td>Protection of Property</td>
</tr>
<tr>
<td>Facilities Fire and Life Safety</td>
<td>CPFM</td>
<td>Life Safety</td>
</tr>
<tr>
<td>EH&amp;S Radiation Safety</td>
<td>EH&amp;S</td>
<td>Patient Care</td>
</tr>
<tr>
<td>Facilities*</td>
<td>CPFM</td>
<td>Patient Care, Protection of Critical Research, and Property, Restoration of Networks and Information Systems</td>
</tr>
<tr>
<td>EH&amp;S Fit Testing Staff</td>
<td>EH&amp;S</td>
<td>Patient Care</td>
</tr>
<tr>
<td>IT and Data Network Staff</td>
<td>OAASIS</td>
<td>Protection of Critical Research, Restoration of Networks and Information Systems</td>
</tr>
<tr>
<td>Emergency Operations Center (EOC)</td>
<td>Various</td>
<td>Life Safety, Animal Care, Protection of Critical Research, Protection of the Environment</td>
</tr>
<tr>
<td>Central Utility Plant (CUP) Staff</td>
<td>CPFM</td>
<td>Life Safety, Patient Care, Animal Care, Protection of Critical Research</td>
</tr>
<tr>
<td>Disaster Mental Health Team</td>
<td>Various</td>
<td>Patient Care</td>
</tr>
<tr>
<td>Shuttle Bus Drivers</td>
<td>CLS</td>
<td>Life Safety, Patient Care, Protection of Critical Research</td>
</tr>
<tr>
<td>Public Affairs</td>
<td>Public Affairs</td>
<td>Life Safety, Patient Care</td>
</tr>
<tr>
<td>Essential LARC and IACUC Staff</td>
<td>LARC/IACUC</td>
<td>Animal Care, Protection of Critical Research</td>
</tr>
<tr>
<td>Essential Research Staff</td>
<td>Various</td>
<td>Protection of Research &amp; Academic Records, Protection of Critical Research</td>
</tr>
<tr>
<td>Custodial Services</td>
<td>CPFM</td>
<td>Patient Care, Animal Care, Hazard Containment, Protection of Critical Research</td>
</tr>
<tr>
<td>Contracts and Grants</td>
<td>OSR</td>
<td>Protection of Research &amp; Academic Records</td>
</tr>
<tr>
<td>Essential Human Resources (HR) Staff – includes payroll, purchasing</td>
<td>HR</td>
<td>Patient Care, Animal Care, Protection of Critical Research</td>
</tr>
<tr>
<td>EH&amp;S Bio-safety Staff</td>
<td>EH&amp;S</td>
<td>Hazard Containment, Protection of Critical Research</td>
</tr>
<tr>
<td>OAASIS Staff</td>
<td>OAASIS</td>
<td>Protection of Critical Research, Restoration of Networks and Information Systems</td>
</tr>
<tr>
<td>Mail Services</td>
<td>CLS</td>
<td>Patient Care, Protection of Critical Research</td>
</tr>
</tbody>
</table>

* Includes Lock Shop, Engineering and Technical Services, Electricians, Plumbers, and Mechanics
Risk Classification Based on DHS Guidelines

The Department of Homeland Security has developed guidelines for vaccine allocation during a pandemic flu outbreak. www.pandemicflu.gov/vaccine/allocationguidance.pdf. Categories of critical infrastructure occupational groups are identified and placed into tiers according to the severity of the pandemic. Occupational groups in tier one are at the highest priority for receiving vaccine, tier two the second highest priority and so on. Tiers four and five apply to members of the general population.

Risk classifications for UCSF campus critical infrastructure occupational groups have been assigned using the tier definitions from the DHS for a severe pandemic.

Tier 1 (severe pandemic)

**Group:** Inpatient Health Care Providers
**Definition/ Rationale:** Includes two-thirds of personnel at acute care hospitals who would be identified by their institution as critical to provision of inpatient health care services; primarily will include persons providing care with direct patient exposure but also will include persons essential to maintaining hospital infrastructure

**UCSF CI Occupational Groups:** School of Medicine (SOM) (includes faculty and staff), School of Nursing (SON), EH&S Radiation Safety, School of Pharmacy (SOP), School of Dentistry (SOD)

**Group:** Emergency Services Personnel – EMS, Fire, Law Enforcement and Corrections
**Definition/ Rationale:** Includes groups supporting emergency response and public safety. EMS personnel include those who are fire department-based, hospital-based or private; fire fighters include professionals and volunteers; law enforcement includes local police, sheriff’s officers, and State troopers; and correction officers include those at prisons and jails

**UCSF CI Occupational Groups:** Emergency Response Team, Hazards and Material Management, UCPD, Fire Marshall, Facilities Fire and Life Services,

**Group:** Public Health Personnel
**Definition/ Rationale:** Public health responders at Federal, State and Local Levels
**UCSF CI Occupational Groups:** None

**Group:** Outpatient and Home Health Care Providers
**UCSF CI Occupational Groups:** Student Health Services

**Group:** Health Care Personnel in Long Term Care Facilities
**UCSF CI Occupational Groups:** None
Tier 2 (severe pandemic)

**Group:** Community Support Service Personnel (Emergency Management and Community and Faith Based Support Occupations)

**Definition/ Rationale:** Personnel from community organizations including the Red Cross who will provide essential support and have direct contact with persons and families affected during community pandemic outbreaks, and emergency management personnel who coordinate pandemic response and support activities.

**UCSF CI Occupational Groups:** Medical Center HCC and Campus EOC Incident Management Team, Disaster Mental Health Team (DMHT), Emergency Communications Team (ECT).

**Group:** Communications/IT, Electricity, Nuclear Oil &Gas, and Water Sector Personnel and Financial Clearing and Settlement Personnel

**Definition/ Rationale:** Personnel who are support to essential services provided by the defined sectors. These sectors provide products and services that generally cannot be stored, are required for community health and safety, and are essential to the functioning of other critical infrastructure sectors.

**UCSF CI Occupational Groups:** IT and Data Networks Staff, CUP Staff, Facilities (Lock shop; Engineering and Technical Services, Electricians, Plumbers, Mechanics), EH&S IH/Fit Testing Staff, Emergency Communications Center Staff, Central Utilities Plant Staff

**Group:** Mortuary Services Personnel

**UCSF CI Occupational Groups:** Mass Fatality Personnel (to be developed)

**Group:** Pharmacists

**UCSF CI Occupational Groups:** See Tier 1

**Group:** Critical Government Personnel

**UCSF CI Occupational Groups:** Chancellor, Policy Group, Recovery Team
Tier 3 (severe pandemic)

**Group:** Other Important Health Care Personnel  
**Definition/ Rationale:** Includes groups that provide important health care services but are at less occupational risk, such as laboratory personnel. Personnel provide important health care services but are not in close contact with ill persons and are at less risk of occupational infection.  
**UCSF CI Occupational Groups:** Custodial Services

**Group:** Banking & Finance, Chemical, Food & Agriculture, Pharmaceutical, Postal & Shipping, and Transportation Sector Personnel  
**Definition/ Rationale:** Personnel who are critical to support essential services provided by the defined sectors. These sectors provide essential products and services; however compared with Tier 2 sectors, products can more likely be stored, facilities and personnel are more fungible and better able to maintain essential functions with high absenteeism, and other strategies can be implemented to protect workers.  
**UCSF CI Occupational Groups:** Shuttle Bus Drivers, Mail Services, Public Affairs, Essential LARC and IACUC staff, OAASIS Staff, Essential Research Staff, Contracts and Grants, Human Resources, EH&S Bio-safety Staff, Purchasing, Payroll

**Group:** Other Critical Government Personnel  
**UCSF CI Occupational Groups:** None
Risk Classification based on OSHA Guidelines

The Federal Occupational Safety and Health Administration (OSHA) developed guidelines for respirator allocation during a pandemic flu outbreak. OSHA has divided workplace operations into four risk zones, according to the likelihood of employee’s occupational exposure to influenza. For the full OSHA document visit http://www.osha.gov/Publications/influenza_pandemic.html

Employee risks of occupational exposure to influenza during a pandemic may vary from very high to high, medium, or lower (caution) risk. The level of risk depends in part on whether or not jobs require close proximity to people potentially infected with the pandemic influenza virus, or whether they are required to have either repeated or extended contact with known or suspected sources of communicable diseases.

Employers of critical infrastructure and key resource employees (such as law enforcement, emergency response, or public utility employees) may consider upgrading protective measures for these employees beyond what would be suggested by their exposure risk due to the necessity of such services for the functioning of society as well as the potential difficulties in replacing them during a pandemic (for example, due to extensive training or licensing requirements).

Figure 1: Occupational Risk Pyramid for Pandemic Influenza

Very High Exposure Risk:
- Healthcare employees performing aerosol-generating procedures on known or suspected pandemic patients.
- Healthcare or laboratory personnel collecting or handling specimens from known or suspected pandemic patients.

High Exposure Risk:
- Healthcare delivery and support staff exposed to known or suspected pandemic patients.
- Medical transport of known or suspected pandemic patients in enclosed vehicles.
- Performing autopsies on known or suspected pandemic patients.

Medium Exposure Risk:
- Employees with high-frequency contact with the general population.

Lower Exposure Risk (Caution):
- Employees who have minimal occupational contact with the general public and other coworkers.
Risk classifications for UCSF campus critical infrastructure occupational groups have been assigned using the risk zone definitions from OSHA pandemic guidelines. See Figure 2 below.

**Figure 2:** UCSF Risk Pyramid for Pandemic Influenza for Campus Critical Infrastructure Occupational Groups using OSHA Risk Zones
Summary

Risk classifications for the campus critical infrastructure occupational groups using OSHA, DHS and OHS guidelines are summarized in the table below. In the majority of occupational groups the risk classifications using the different guidelines coincide. For example, all occupational groups in the OSHA high risk zone belong to DHS tier one. Discrepancies using the two classification systems are noted only for a few groups belonging to the lower risk categories/tiers. ECC, EOC, EH&S Fit Testing Staff, IT, CUP, Emergency Communications Team, Disaster Mental Health Team and Shuttle Bus drivers are the only occupational categories that are classified differently using the DHS and OSHA guidelines. The OHS risk categories (UCSF Communicable Disease Surveillance and Vaccination Policy) correspond with the OSHA risk zone classification. In general, the DHS guidelines are more conservative than the OSHA guidelines, with more occupational groups belonging to the medium and high risk categories.

The risk classifications provided in Table 3 (page PI/CI-9) represent the highest level of risk an employee in the specified occupational group would be subject to. Not all individuals from a particular occupational group will be at the same level of risk. In some occupational groups, only a subset of employees may be identified as being in the risk group specified in this document. Recommendations related to occupational risk vary depending on actual assignments and duties.

This document is intended to be a guideline for identification and risk classification of campus critical infrastructure groups at UCSF. Provision of vaccine, personal protective equipment and other scarce resources to UCSF campus staff will be determined using the recommendations and guidelines provided by the San Francisco Department of Public Health, UCSF Infection Control and UCSF Occupational Health Services.
### Table 3: Emergency Response Priorities for UCSF Campus Critical Infrastructure Occupational Groups

<table>
<thead>
<tr>
<th>Occupational Group</th>
<th>DHS Tier</th>
<th>OSHA Risk Zone</th>
<th>OHS Risk Category</th>
</tr>
</thead>
<tbody>
<tr>
<td>SOM, SON, SOP, SOD</td>
<td>1</td>
<td>Very High*</td>
<td>1</td>
</tr>
<tr>
<td>Student Health Services</td>
<td>1</td>
<td>High*</td>
<td>2</td>
</tr>
<tr>
<td>ERT</td>
<td>1</td>
<td>High*</td>
<td>2</td>
</tr>
<tr>
<td>UCPD Sworn Officers</td>
<td>1</td>
<td>High*</td>
<td>2</td>
</tr>
<tr>
<td>Fire Marshall</td>
<td></td>
<td>High*</td>
<td>2</td>
</tr>
<tr>
<td>Facilities Fire and Life Safety</td>
<td>1</td>
<td>High*</td>
<td>2</td>
</tr>
<tr>
<td>EH&amp;S Radiation Safety</td>
<td>1</td>
<td>High*</td>
<td>2</td>
</tr>
<tr>
<td>HMM</td>
<td>1</td>
<td>High*</td>
<td>2</td>
</tr>
<tr>
<td>Facilities**</td>
<td>2</td>
<td>Medium</td>
<td>3</td>
</tr>
<tr>
<td>EH&amp;S Fit Testing Staff</td>
<td>2</td>
<td>Medium</td>
<td>3</td>
</tr>
<tr>
<td>IT and Data Networks Staff</td>
<td>2</td>
<td>Low</td>
<td>4</td>
</tr>
<tr>
<td>ECC</td>
<td>2</td>
<td>Low</td>
<td>4</td>
</tr>
<tr>
<td>EOC</td>
<td>2</td>
<td>Low</td>
<td>4</td>
</tr>
<tr>
<td>CUP Staff</td>
<td>2</td>
<td>Low</td>
<td>4</td>
</tr>
<tr>
<td>Emergency Communications Team</td>
<td>2</td>
<td>Low</td>
<td>4</td>
</tr>
<tr>
<td>Disaster Mental Health Team</td>
<td>2</td>
<td>Low</td>
<td>4</td>
</tr>
<tr>
<td>Shuttle Bus Drivers</td>
<td>3</td>
<td>Medium</td>
<td>3</td>
</tr>
<tr>
<td>Public Affairs</td>
<td>3</td>
<td>Low</td>
<td>4</td>
</tr>
<tr>
<td>Essential LARC and IACUC Staff</td>
<td>3</td>
<td>Low</td>
<td>4</td>
</tr>
<tr>
<td>Essential Research Staff</td>
<td>3</td>
<td>Low</td>
<td>4</td>
</tr>
<tr>
<td>Custodial Services</td>
<td>3</td>
<td>Low</td>
<td>4</td>
</tr>
<tr>
<td>Contracts and Grants</td>
<td>3</td>
<td>Low</td>
<td>4</td>
</tr>
<tr>
<td>Essential Human Resources Staff</td>
<td>3</td>
<td>Low</td>
<td>4</td>
</tr>
<tr>
<td>EH&amp;S Bio-safety Staff</td>
<td>3</td>
<td>Low</td>
<td>4</td>
</tr>
<tr>
<td>OAASIS Staff</td>
<td>3</td>
<td>Low</td>
<td>4</td>
</tr>
<tr>
<td>Mail Services</td>
<td>3</td>
<td>Low</td>
<td>4</td>
</tr>
</tbody>
</table>

*These groups qualify as high risk when their work brings them into contact with patients with communicable disease

** Includes Lock Shop, Engineering and Technical Services, Electricians, Plumbers, and Mechanics
ANNEX REC

RECOVERY

Purpose

The purpose of the Recovery Annex is to describe the actions that must be taken to bring the University back to normal operations. Recovery can take weeks to years. Complete and current continuity plans may enable a more effective, efficient and shorter recovery period. Recovery activities include:
1. Identifying critical functions that have been impacted.
2. Ensuring the appropriate UC Ready plans are activated.
3. Prioritizing recovery efforts such as rebuilding facilities, replacing property, resuming critical work functions, etc.
4. Overseeing the recovery efforts and reimbursement from Insurance Companies and FEMA.
5. Assessing, prioritizing and implementing requests and directives from the Governor and/or FEMA concerning mitigation and/or re-development activities.
6. Coordinating recovery planning with sound risk reduction practices and mitigation to encourage a more viable recovery.
7. Strategically apply subject-matter expertise to help UCSF Control Point/Division/Departments to recover from disasters.

Concept of Operations:

Immediately after any emergency event, response activities to save lives and protect property will have the highest priority. However, recovery activities can be conducted concurrently with response activities and should commence as
soon as possible. Gradually, as the requirement for emergency response diminishes, the need for recovery activities will become the focal point.

The majority of recovery actions following any emergency event will be determined by the specific event. Overall Recovery plans are based on:

1. The priorities of the University.
2. The physical and operational damage assessments.
3. Analysis of the UC Ready continuity plan information such as resource needs and criticality.
5. The UC and local/regional/state resources available for rebuilding.

Strategic recovery planning and decisions may be based upon information obtained from the UC Ready on-line continuity tool assuming there is network and internet availability. (Refer to Part II)

In the event network and internet systems are non-functional due to the event, hardcopies of Continuity Plans and UC Ready reports archived prior to the event will need to be utilized.

For those Divisions and Departments that had not created Continuity Plans, the Recovery Team will need to rapidly form working groups of key stakeholders from Division/Departments with critical functions to identify essential information, systems, procedures and their upstream and downstream dependencies. (Refer to Part III)

**Identify UCSF Resources, Procedures**

The following resources and procedures are relied upon for a successful implementation of this plan:

1. The coordination mechanisms (ICS, EOC, etc.) and requirements for post incident assessments, plans, and activities that can be scaled to incidents of varying types and magnitudes.
2. Current, complete and exercised continuity plans for critical functions within the UC Ready Application.
3. Current, complete and exercised Emergency Response Management Plan including the procedures to document costs for potential reimbursement.
4. Identification and training of personnel to perform damage assessments.

**Recovery Team Purpose, Activation and Membership**

The Recovery Team advises the EOC Director and Command Staff. The Recovery Team is comprised of the Policy Group who are senior UCSF executives and their alternates from each Control Point. The Recovery team is responsible for recovery and resumption of business operations, University
education programs, research activities, major reconstruction/capital improvement programs and FEMA Disaster Relief Application process.

The Recovery Team is activated by the EOC Director or Chancellor to strategically plan and coordinate the University’s to recovery and resumption of normal administrative, health care, academic and research programs. The team is comprised of the following individuals or their alternates:

1. Executive Vice Chancellor and Provost (EVCP)
2. Senior Vice Chancellor FAS
3. Vice Chancellor Development & Alumni Relations
4. CEO Medical Center
5. Dean of the School of Medicine
6. Dean of the School of Pharmacy
7. Dean of the School of Nursing
8. Dean of the School of Dentistry

Once the crisis is under control, responsibility for recovery will belong to this team. Other Command Staff may migrate to this team as necessary. This transition usually happens after:
1. Public safety functions are no longer conducting widespread life-safety missions
2. Mutual aid resources return to their respective jurisdictions
3. Displaced individuals have been sheltered.
4. Command Staff and the Policy Group have situational awareness of the scope, impact and consequences of the event.

**The Continuity & Recovery Unit Purpose, Activation and Membership**

The Continuity and Recovery Unit within the Planning and Intelligence Section (Checklist 7-E) supports the Planning Section Chief with the identification essential and critical services & programs from UC Ready Business Continuity Plans. This unit is activated if information within the UC Ready Planning Tool needs to be extracted and/or analyzed prior to the activation of the Recovery Team. This information may help the EOC Director and the Policy Group identify which Recovery Team positions need to be activated by defining Enterprise Business Continuity Priorities amongst and within emergency/disaster impacted departments and divisions as well as assists in the development of recovery plans, priorities and strategies once the Recovery Team is activated.
The Recovery within Each Control Point/Division/Department/Unit

Each Control Point/Department/Unit should refer to its UC Ready Continuity Plan(s) for their Critical Functions contacts as well as steps required for continuity if key resources such as facilities, people or information technology are not available. Each unit is assigned a plan coordinator who also acts as the plan contact. The individual department/unit’s recovery status can be obtained from this person. Conversely, this person would pass information coming from the incident command on to the other people on their recovery team and department.

In the absence of a complete continuity plan(s), each Control Point/Division/Department/Unit will need to use the UC Ready on-line planning tool in order to identify critical functions and develop and implement a continuity plan. After an event has occurred, this may be difficult if not impossible to complete.

If the UC Ready on-line tool is not accessible due to damage to the network or internet infrastructure, the critical components of Continuity planning will have to be accomplished utilizing alternative templates (Refer to Part III).

UC Ready Continuity Planning Tool

The UC Ready on-line planning tool contains many reports that can be useful in a disaster (see table below). Only system administrators can access UC Ready Reports. Currently, the UCSF Continuity Program Manager and the Director of Homeland Security Emergency Management are setup as Administrators on the System. In addition, the overall system administrator at UC Berkeley can also access UCSF’s Database and run reports. Lastly, the continuity coordinators for each plan have the ability to access their unit’s plan.
Running Reports from UC Ready

To run reports in UC Ready, first go to UC Ready Application. It is available wherever the Internet is up and available. The following is the link to the UC Ready Application:

https://ucready.berkeley.edu/login

Once in the Application, select UCSF from the Location drop down menu

Then enter your user ID and password and click the “Logon” button.

This takes you to the “Begin” Screen:
Click on the “Begin” button. This will take you to the “Welcome” Screen:

Once on the welcome screen, select “Administrators Main Control Screen” from the “Handy Links” dropdown menu.

This takes you to the “Administrators Main Control Screen”: 
Once on the "Administrator's Main Control Screen", click on the "View and Print Reports" button to go to the “View & Print Report” screen:

To run a report, click on its name in the table. For example, if you click the “Location of Departments “ report link, it takes you to the following screen:
Every Report has a screen like the one above where parameters can be selected for the report. For example, for the “Location of Departments” report you can select a location and the report will show you all of the departments/units at that location.

Once the Report is created, you can choose to download it to an Excel or Word document to add additional formatting, sorting selections or information.
List of UC Ready Reports and How to Use them

The following table lists the Reports in UC Ready with their descriptions and examples of potential uses during a Crisis. Reports marked with a red asterisk (*) may be particularly useful to the Command Staff, Policy Group and other EOC groups during an event.

<table>
<thead>
<tr>
<th>#</th>
<th>Name of Report</th>
<th>Description</th>
<th>Recovery Uses</th>
</tr>
</thead>
<tbody>
<tr>
<td>1.</td>
<td>Status of Continuity Plan</td>
<td>This report lists, plan–by–plan, the completion status, date of last access, date of leadership review.</td>
<td>Report indicates if the individual department continuity/recovery plan is complete and/or current. It can also help determine if a department has a plan.</td>
</tr>
<tr>
<td>2.</td>
<td>Contact Persons*</td>
<td>This report lists, plan–by–plan, the contact persons for the plan.</td>
<td>The contact person for each plan is also the continuity coordinator. This report can be used to contact the coordinators to activate their plans, receive resource requests and status of their recovery.</td>
</tr>
<tr>
<td>3.</td>
<td>Location of Departments *</td>
<td>This report associates departments with buildings.</td>
<td>This report can be run by building or all buildings. It can be used to determine the functions that reside in an impacted location.</td>
</tr>
<tr>
<td>4.</td>
<td>Evacuation Plans</td>
<td>This report lists, for each department, the status of building evacuation plans.</td>
<td>This report should not be used prior to ensure all departments have an evacuation plan.</td>
</tr>
<tr>
<td>5.</td>
<td>Critical Functions *</td>
<td>Listing of critical functions by department and by criticality level</td>
<td>This report can be used to help prioritize the response and recovery efforts and distribution of resources.</td>
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<tr>
<td>#</td>
<td>Name of Report</td>
<td>Description</td>
<td>Recovery Uses</td>
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<tr>
<td>6.</td>
<td>Dependencies – Upstream*</td>
<td>This report lists each department’s upstream dependencies: the other departments, people, or organizations that the subject department depends on (needs to be functional).</td>
<td>This report can be used to determine the prerequisites for recovering a function. For example, the payroll function needs Information Technology (IT) to pay people. So, IT is an upstream dependency to the payroll function. Conversely, all employees are a downstream dependency of the payroll function.</td>
</tr>
<tr>
<td>7.</td>
<td>Dependencies – Downstream*</td>
<td>This report lists each department’s downstream dependencies: the other departments, people, or organizations that depend on the subject department (need the subject department to be functional).</td>
<td>This report lists the other departments, people, or organizations that will be impacted by a disruption of a function. For example, employees depend on the payroll function to get paid so they are a downstream dependency of the payroll function.</td>
</tr>
<tr>
<td>8.</td>
<td>Documents</td>
<td>This report lists all external documents that are named within each plan, indicating which documents have been uploaded into the plan’s database.</td>
<td>Documents are attached within each department/unit’s plan. They usually include information that would be helpful to that department/unit’s recovery. An example would be a detailed employee contact list. The documents could be used to assist a department with its recovery.</td>
</tr>
<tr>
<td>9.</td>
<td>Action Items</td>
<td>This report lists action items, with several ways to sort.</td>
<td>Action Items are tasks that can improve the recoverability of a department/unit. They can be reviewed for known vulnerabilities.</td>
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<tr>
<td>10.</td>
<td>Workstation Backup</td>
<td>This report lists, for each department, the percent utilization of various backup arrangements for desktop computers.</td>
<td>This report can be used to determine the best strategy for data recovery.</td>
</tr>
<tr>
<td>11.</td>
<td>Workstation Support</td>
<td>This report lists, for each department, who provides tech support.</td>
<td>This report can be used to identify departments that rely completely on central IT for recovery as well as departments that have internal support.</td>
</tr>
<tr>
<td>12.</td>
<td>Centrally-Owned IT Applications*</td>
<td>This report lists the central IT applications used by each department, along with the department’s ranking of each application for criticality.</td>
<td>This report can be used to prioritize the recovery of centrally managed applications as well as access to those applications.</td>
</tr>
<tr>
<td>13.</td>
<td>Skills</td>
<td>This report lists, for each department, some skills, licenses, or certifications that may be needed post-disaster.</td>
<td>This report can be used to determine the skill sets needed to replace staff that is unavailable following a disaster.</td>
</tr>
<tr>
<td>14.</td>
<td>Vendors</td>
<td>This report lists vendors identified in plans.</td>
<td>This report can be used to determine the volume of departments needing particular vendors in case overall coordination with the vendors needs to take place. For example, if many of the impacted departments/units list a particular vendor as critical, there may be a need to consolidate the communications.</td>
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<td>Name of Report</td>
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<tr>
<td>15.</td>
<td>Other Stakeholders</td>
<td>This report lists stakeholders identified in plans (excluding vendors). Several sorting options are offered.</td>
<td>This report can be used to determine the volume of departments needing to contact particular stakeholders in case overall coordination with the stakeholder needs to take place. For example, if many of the impacted departments/units list a particular Corporation or Donor as critical, there may be a need to consolidate the communications.</td>
</tr>
<tr>
<td>16.</td>
<td>Strategies if Normal Workspace is Unavailable*</td>
<td>This report lists strategies identified by departments for carrying on critical functions if the normal workspace is not available.</td>
<td>This report can be used for coming up with overall location recovery strategies. For example, if the strategy of all of the impacted departments is to work form home using VPN, some triage may need to be performed to ensure the critical individuals have the capabilities they need.</td>
</tr>
<tr>
<td>17.</td>
<td>Personnel Available for Reassignment*</td>
<td>This report lists, by department, various categories and numbers of personnel who may be “not-needed” for carrying on critical functions post-disaster, hence available for temporary reassignment elsewhere.</td>
<td>The use of this report is self explanatory. An example of a department that might have extra staff during a crisis would be accounting. Generally critical accounting functions can be performed with fewer staff during crisis.</td>
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</table>
### # Name of Report

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<th>Name of Report</th>
<th>Description</th>
<th>Recovery Uses</th>
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<tr>
<td>18.</td>
<td>Staffing Requirements During Crisis*</td>
<td>This report displays, for certain types of staff, the number of staff required during crisis versus the number required under normal circumstances.</td>
<td>The use of this report is also self explanatory. An example of a department that might need extra staff during a disaster would be the police department. Generally during a crisis, additional police resources are needed to maintain security and respond to the incident.</td>
</tr>
</tbody>
</table>

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**Identifying & Prioritizing Critical Functions for Recovery in the Absence of Continuity Plans**

Timely, efficient and effective recovery will be impeded or prevented by the lack of complete and comprehensive Continuity Plans in the UC Ready tool by departments or units with critical functions. Recovery planning however will have to proceed in order to return to effective enterprise functioning and full employability of the displaced staff. Tools and procedures for recovery planning in the absence of Continuity Plans are outlined in the section.

### Identifying Critical Functions

Once it is known what has been impacted, Control Points must identify critical functions and the essential resources required to carryout those critical functions. A function is critical if a disruption to it could potentially cause irreparable or material impact to the UCSF's ability to provide security to its constituents, public service, education, health care, animal care or any other of its other core objectives or mission.

Critical functions may include, but are not limited to:
- Academic Programs
- Administrative Functions:
  - Payroll
  - Benefits
  - Registrar
  - Records
  - Purchasing,
  - Accounts Payable, etc
- Animal Care
- Child Care
- Data & Network Services
- Facilities: Engineering, Maintenance & Housekeeping.
- Food Services
It will also be necessary to define and identify essential resources such as facilities, staff, information technology, etc. necessary to carry out the critical functions during an emergency when normal campus operations have ceased.

It is important to note that essential staff is not identified by title, pay grade, or educational credentials. The University of Maryland provides an excellent definition of essential staff:

An essential employee is one who is "an employee of a facility who has been designated as vital to the operation of the facility, whose presence is required regardless of the existence of an emergency condition, and whose absence from duty could endanger the safety and well-being of the campus population and/or physical plant. Examples of such employees are police, IT and facility engineers, other plant and maintenance personnel, payroll, procurement, warehouse, animal care employees, food service staff, hospital staff, etc. Employees may be designated as essential on a situational basis, e.g., in the event of a utility failure, or in the event of a public health crisis.


Performing a Business Impact Analyses
One approach to further prioritize functions is to perform a Business Impact Analyses (BIA). Note that performing the BIA that looks at the entire organization prior to an incident is a better practice but one can be performed at the time of the incident.

A BIA summarizes the qualitative and quantitative impacts of disruptions and identifies the minimum resource requirements to recover the operations of an organization to an acceptable level within an acceptable time-frame. The general steps to perform a BIA after the incident has occurred are to:

1. Determine the Control Points/Divisions/Departments/Units that have been materially impacted.
2. Break the impacted areas into logical manageable areas such as departments, units or functions.
3. Develop a list of impacts that UCSF would need to mitigate to ensure the continuity of its mission\(^1\). Generally these impacts include disruptions of mission critical activities. Examples of impacts that would need to be mitigated include:

- Disruptions of patient care
- Disruption of Animal Care
- Impaired Security
- Loss of Reputation
- Etc.

Each area (department/unit/function) should be reviewed to determine if its disruption would cause any or all of the impacts and when they will occur. It may also be necessary to break the impacts into high, medium and low based on agreed upon criteria to allow for even further prioritization. For example, disruption of inpatient care that includes life support may be considered a “high” impact versus plastic surgery which might be considered “low”.

4. Assign point values to the answers based on the criticality of the impacts to UCSF.

5. Calculate the total points for each area and prioritize the areas based on total points.

6. Validate the list of prioritized areas with the Chancellor, Chancellor’s designee or the EOC Director.

7. For those areas deemed critical, prepare recovery/continuity plans to address the loss or damage of critical resources such as\(^2\):

- Staff
- Skill sets
- Facilities
- Equipment such as laptops, refrigerators, spectrometers, etc.
- Transportation
- Procedures
- Information Technology
- Information (data), documents and reports

8. Summarize the overall resource needs.

9. Compare needs to existing resources. Support functions such as Real Estate Services, Facilities, Information Technology Services, etc. should be able to provide information on resource availability.

10. For resource needs that cannot be met by existing resources, follow the Emergency Response Management Plan procedures for obtaining additional resources. Ensure contracts and procurement for recovery

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\(^1\) NFPA 1600 section 5.5.2 The BIA shall evaluate the potential impacts resulting from interruption or disruption of individual functions, processes, and applications.

\(^2\) NFPA 1600, Section 6.7 Business Continuity and Recovery. 6.7.1* The continuity plan shall identify stakeholders that need to be notified; critical and time-sensitive applications; alternative work sites; vital records, contact lists, processes, and functions that must be maintained; and personnel, procedures, and resources that are needed while the entity is recovering. 6.7.2 The recovery plan shall provide for restoration of functions, services, resources, facilities, programs, and infrastructure.
follow proper documentation for potential insurance or FEMA reimbursement. Refer to the Emergency Operations Center Finance and Administration Section for guidance, if necessary.

A sample BIA worksheet is maintained in the “BIA” folder within the “EOC Activation Files and References” folder located on the restricted access network shared drive.
ANNEX SCP
Strike Contingency and Response Plan

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Strike Contingency Planning Core Group Functions

Human Resources

Chief of Police or Captain Field Services Division

Homeland Security Emergency Management Director or Mission Continuity Program Manager

Financial & Administrative Services SVC or senior level designee

Campus Life Services Vice Chancellor, or senior level designee

Strategic Communications & University Relations Vice Chancellor, Executive Director Public Affairs or other senior level designee

Medical Center Chief Operating Officer or senior level designee

Campus Counsel

Office of the Chancellor

Strike Contingency Planning Group Ad Hoc Representatives

Strike Contingency Planning Group Ad Hoc Representative Functions

LARC Director

Facilities Management

Parking & Transportation

Distribution & Storage/Mail Services

Advisors to the Strike Contingency Planning Group

Strike Contingency Planning Group Advisor Functions

Campus Housing

Capital Programs

Development & Alumni Relations

Diversity & Outreach

EH&S

Employee & Labor Relations

Executive Vice Chancellor & Provost’s Office

Fresno Campus

Government Relations

Information Technology Services

Insurance and Risk Services
UC STRIKE POLICY

In the event employees withhold their labor and strike, the University will take necessary and reasonable actions to continue its mission of patient care, education, research and public service. The University respects the free speech rights of all, which includes the right of employees to engage in a lawful work stoppage. The right of employees to withhold their labor and strike is balanced with the right of the University to maintain its operations and the rights of students and other recipients of University services to pursue their activities without hindrance. The University will adopt consistent and fair measures in responding to strike activities and will ensure, to the degree possible, the delivery of University services during strikes.

The campus shall enforce Regent's Order 103.1, Service Obligations, which states that no compensation shall be paid to any officer, faculty member, or other employee unless actively engaged in the service of the University.

UC STRIKE RESPONSE OBJECTIVES

1. Provide for the health, safety and security of all members of the campus community.

2. Continue the performance of the patient care, research, teaching, and public service elements of the mission of the University.

3. Maintain all critical operational functions of the University.
4. Implement consistent procedures for withholding pay from employees who strike.

5. Facilitate lawfully protected activities.

6. Utilize the Incident Command System, including the Campus Management Emergency Response Plan protocol to manage activities.

UC POLICY ON FREE SPEECH AND ASSEMBLY
(Draft under review per UC Civil Disobedience Initiatives)

In the United States all people have the right of free speech and assembly guaranteed by the First Amendment of the Constitution. The First Amendment states “Congress shall make no law respecting an establishment of religion, or prohibiting the free exercise thereof; or abridging the freedom of speech, or of the press; or the right of the people peaceably to assemble, and to petition the Government for a redress of grievances.”

As such, freedom of thought, inquiry, speech and lawful assembly are fundamental rights of all persons. These rights include the freedom to express opinions; to hear, express, debate and support various views, no matter how unpopular; and to voice criticism. Free speech is uniquely important to the University as it brings about a free interchange of ideas integral to the University’s fundamental mission of teaching, research and public service.

Protests and civil disobedience have played an historic role on the University campuses, in bringing important and beneficial changes within society, and in the development of our democracy. However, civil disobedience is not protected speech under the Constitution. The Constitution does not guarantee any right to engage in civil disobedience – which, by its very definition, involves the violation of laws or regulations – without incurring consequences. Civil disobedience may have a negative effect on the protected interests of others and may interfere with University business, threaten public safety or University assets in ways that require the University to act to protect those interests.

The University’s actions and responses to protests and civil disobedience incidents will not be affected by the content of the opinions being expressed nor by the race, gender, sexual orientation, physical disabilities, appearances, religion, or political affiliation of anyone exercising their lawful First Amendment rights.

INCIDENT COMMAND STRUCTURE AND EMERGENCY CAMPUS MANAGEMENT RESPONSE PROTOCOL

During the contingency planning phase for a threatened labor action, members of the Emergency Operations Center staff and University departments likely to be impacted by the strike will form a Strike Contingency Planning Group.

During the response to an active labor action, the University will utilize the standard operating
procedures for Incident Command\(^1\) by following the Emergency Response Management Plan, including the activation of the Emergency Operations Center and if indicated activating the Campus Management Response Team\(^2\), for the coordination and response to campus labor strike activities.

**STRIKE CONTINGENCY PLANNING GROUP**

A Strike Contingency Planning Group is comprised of key staff from the Human Resources Department, EOC Command Staff, Medical Center HCC Command Staff (if impacted) and other affected key departments/divisions. It will coordinate and manage the University’s planning and response to a labor strike, work stoppage or job action and implement this UCSF Strike Contingency and Response Plan to ensure minimal disruption to the institution’s mission during the strike.

University Police assume incident command for the field management of campus labor strikes.

The Strike Contingency Planning Group shall ensure that appropriate steps are taken to maintain the delivery of services without undue disruption. Delivery of services includes:

- Physical security and health and safety of employees, students and the general public are maintained.
- Patient care, academic and research programs continue.
- Access to the campus by employees, student and the public to the degree possible, facilities are open and operational.
- Essential services such as transportation, public safety, utilities, or services and functions which cannot be interrupted continue.
- Construction and other contractor work continue.

**Strike Contingency Planning Core Group**

The following personnel or designees are recommended for initial threat assessment and contingency planning. Core group will identify other ad hoc representatives.

- Vice Chancellor Human Resources or Director Human Resources\(^3\)
- Chief of Police\(^4\) or Captain
- Director Homeland Security Emergency Management or Mission Continuity Program

\(^1\) ERMP Part 3, ICS Purpose
\(^2\) Annex CMRT: Campus Management Response Team
\(^3\) May be EOC Logistics Section/HR Unit member
\(^4\) Also serves as EOC Director
Manager

- SVC Financial & Administrative Services or senior level designee
- Vice Chancellor, Campus Life Services or senior level designee\(^5\)
- Vice Chancellor, Strategic Communications & University Relations or senior level designee
- Medical Center Chief Operating Officer or senior level designee
- Campus Counsel\(^6\)
- Office of the Chancellor

(See Strike Contingency Planning Core Group Functions)

**Strike Contingency Planning Group Chair**

The Chairperson will be a Core Group member. Selection may be based upon Core Group members association with the organizational element of the enterprise most at risk by the threatened labor action. The Chairperson should be someone who is trained and qualified in the Incident Command System.

**Strike Contingency Planning Group Ad Hoc Representatives**

Ad Hoc members represent departments with employees of the bargaining unit(s) involved in the strike whose absence may threaten continuity of essential services/operations impacting other UCSF departments (see Advisors to the Strike Contingency Planning Group below). Ad Hoc members may include Directors or senior level designees of the following offices:

- Director LARC or EOC Animal Care Unit alternate.
- Director Facilities Management or EOC Building & facilities Branch Director alternate.
- Director Parking & Transportation or EOC Transportation Unit alternate.
- Manager Distribution & Storage/Mail Services or senior level alternate.

(See Strike Contingency Planning Group Ad Hoc Representative Functions)

**Advisors to the Strike Contingency Planning Group**

Advisors vary depending upon the bargaining unit(s) involved in the strike. Advisors may include Department/Division Emergency Coordinators or senior management representatives who may advise the Strike Contingency Planning Group of potential impact of labor action upon their

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\(^5\) Also serves as EOC Alt Director

\(^6\) Also Serves as EOC Legal Counsel
respective departments and UCSF operations and services. Advisors may come from the following offices/departments:

- Campus Housing
- Capital Programs
- Development & Alumni Relations
- Diversity & Outreach
- EH&S
- Employee & Labor Relations
- Executive Vice Chancellor & Provost’s Office
- Fresno Campus
- Government Relations
- Information Technology Services
- Insurance and Risk Services
- LPPI
- Office of Research
- Procurement and Business Contracts
- QB3
- SF VAMC
- SFGH (SOM Dean’s Office representative)
- SOD Dean’s Office
- SOM Dean’s Office
- SON Dean’s Office
- SOP Dean’s Office
- Student Health & Counseling Services
- Other administrative offices as needed

**Strike Contingency Planning Group Advisor Functions**

Roles and responsibilities are listed below for Core Group, Ad-Hoc and Advisory members of the
Strike Contingency Planning Group. Common functions for all planning group members are listed under Table 1. Specific functions to a particular Strike Contingency Planning Group member are listed separately. These are general functional reminders and are not intended to serve a comprehensive protocol.

(See Strike Contingency Planning Group Advisor Functions)

STRIKE CONTINGENCY PLANNING GROUP MEETINGS AND INTERNAL COMMUNICATIONS

Pre-Strike. The Strike Contingency Planning Group, including key advisory staff, will meet by conference call prior to an announced labor strike to review and confirm policy decisions and action plans to enable the campus to continue its mission of education, research and public service. Frequency of recurring conference calls will be scheduled based on need.

Participation on Strike Contingency Planning Group conference calls is limited to members of the Core Group, activated Ad Hoc members, and invited Advisory members. Limited participation is necessary to enable timely and efficient planning and decision making by those charged with Strike Contingency planning.

Control Points and their respective Department and Division should implement Appendix ESR: Emergency Status Assessment and Reporting in order to communicate plans and priorities on need-to-know basis to appropriate faculty and staff. Strike information for the general consumption by students, faculty, staff, affiliates and the public will be provided by Public Affairs through the PIO or Crisis Communication Team.

During a Strike. The EOC Director will schedule conference calls with the Strike Contingency Planning Group on a daily basis or as necessary to update the Planning Group of strike activities and facilities assessment of strike impact on campus delivery of services. The Strike Contingency Planning Group, through the EOC Director, SVC Finance and Administrative Services, or Director Human Services, will provide ongoing briefings for key members of campus management staff to ensure broad communication out from the Strike Contingency Planning Group and to ensure the collection of information from campus wide operations. WebEOC will be activated for ongoing communication to key members of campus management staff (Cabinet, Associate/Assistant Deans, and Associate/Assistant Vice Chancellors).

The Strike Contingency Planning Group Chair may have the Emergency Operations Center placed on standby. The Emergency Operations Center may be activated at any time to support the field Incident Command and/or general campus operations. Only the Incident Commander or Strike Contingency Planning Group Chair can issue notice to activate the Emergency Operations Center.

The Strike Contingency Planning Group should provide, at the minimum, daily updates via email, text message or telephone communications to the campus community during a strike. The Employee & Labor Relations Manager and other managers as appropriate shall attend daily
telephone conferences initiated by the Office of the President, the Campus Provost/Executive Vice Chancellor, or the Vice Chancellor for Business and Administrative Services to provide input to the Strike Contingency Planning Group.

To Strike Contingency Planning Group: The emergency management conference call line will be utilized for Strike Contingency Planning Group meetings and manager briefings.

If activated, the Emergency Operations Center Coordinator shall ensure that EOC Policy Group, Campus Emergency Management Group, or other members of the Chancellor’s Executive Cabinet have access to WebEOC for ongoing communications.

Communications to the broader UCSF community will be coordinated through Public Affairs. If indicated the Crisis Communication Annex will be activated. Communications tools include but are not limited to: WarnMe for emergency notification purposes. HR Listservs, Public Safety Bulletins and the campus home page maybe used for broad blast messaging to the community. The UCSF hotline may also be used for message updates.

ESSENTIAL SERVICES

Principal Officers and Staffing Requirements. Principal Officers shall be responsible for identifying staffing requirements and developing options to provide staffing for their respective areas in the event of a strike. Staffing options for needs may include:

- Assignment of overtime to non-striking employees.
- Temporary reassignment of non-striking employees within or outside the department.
- Temporary reassignment of qualified policy-covered employees (confidential, managerial or supervisory staff).
- Use of temporary employment services.
- Temporary relocation of non-striking employees.

Assignment of overtime, temporary reassignment, and temporary relocation of employees should be implemented in accordance with University policy and applicable labor agreements. If that is impossible, the action should be discussed with Employee & Labor Relations in advance of implementation. If that is not operationally feasible, clearly document in writing the action and reasons for the action and provide to Employee & Labor Relations as soon as possible.

Departments are responsible for maintaining records on staffing actions during a labor strike and providing reports of staffing actions to the Employee & Labor Relations office.

Maintaining Staff and Academic Employment Services. During a labor strike, steps should be taken to ensure that any and all postings for positions open to outside applicant comply with applicable law and University policy. Employee & Labor Relations and the Office of General Counsel shall be consulted in this regard.
The Staff Human Resources Employment Manager and Academic Personnel Office shall be responsible for including any required statements in all postings and job advertisements for the duration of the strike, including for those openings that were posted prior to the strike.

SECURITY PLAN


Activities During a Labor Strike. During a labor strike, the campus Police Chief or designee shall handle communications and coordinate law enforcement responses as appropriate with campus police and local law enforcement agencies. If there has been no advance notice of a labor strike, or if meetings with local union officials prior to an announced strike have not been possible, the Police Chief or designee and Employee & Labor Relations Manager shall meet with union officials to discuss time, place and manner restrictions, security needs and designate appropriate areas for picketing to ensure that access to facilities are not blocked and that the safety of faculty, staff, students, and visitors is maintained.

Campus personnel may be assigned to monitor picketing, secondary gates and other key areas as needed and provide a daily activity report to the Strike Contingency Planning Group. Witnesses who report disruptive incidents will be requested to document them by completing incident reports. The Employee & Labor Relations office shall be responsible for providing daily reports to the Office of the President, Labor Relations.

Picketing and Public Access. The Police Chief should attempt, whenever possible, to meet with local union officials (as identified by the Employee & Labor Relations Manager) in advance of an announced strike to build rapport and discuss means to facilitate lawful and safe picketing practices. Information and education will be provided regarding campus policies including time, place and manner restrictions, as well as the consequences of actions that may have a negative effect on the protected interests of others, may interfere with University business, or threaten public safety or University assets.

Limited-Access Gates (Secondary or Contractor Gates). In consultation with the Police Chief and Employee & Labor Relations Manager, the Associate Vice Chancellors for Planning and Capital Programs may communicate options for contractors to access the campus if the Police Chief deems a roadway/gate safe for access.

COMMUNICATIONS

Pre-Strike

In accordance with University and campus policy and practice, the Campus Provost/Executive Vice Chancellor shall coordinate communications to department chairs, deans, and staff managers and supervisors, in writing, of their responsibility to ensure the continued operation of University functions, their role in the monitoring and reporting of employee absences, and their role in the pay withholding process.
With respect to maintaining essential services, department chairs, deans, managers and supervisors shall be directed to ensure that all critical departmental operations, including but not limited to services to students, are available during the period of the strike. Specific strike plans for these essential services shall be provided to the Employee & Labor Relations office.

Pre-strike communications will be developed as appropriate for each of the following target audiences:

- Office of the President
- Campus community
- General public and surrounding community
- Faculty (senate and non-senate)
- Managers and Supervisors (academic and staff)
- Administrators (Provosts, Deans, Department Chairs, Chief Officers)
- Employees
- Unions
- Essential and ancillary services (vendors, contractors, police, parking, payroll, etc.)
- Government agencies
- Replacement workers
- Building and Unit Coordinators

Methods of communication may include letters, memoranda, press releases, and electronic communications such as email, text messages and website postings, Question & Answer fact sheets, voice mail messages, phone hotlines and campus media (e.g., information announcements on campus radio station KZSC).

**System-wide.** The Office of the President will manage all communications with system-wide unions regarding a labor strike notice or threat of a labor strike.

**Local Unions.** In consultation with the Office of the President, the campus Employee & Labor Relations Manager will manage communications with the local unions regarding a labor strike notice or threat of a labor strike.

**External.** All external communications, including communications with the media, will be delivered through the Public Affairs - Public Information Officers (Campus and Medical Center), Crisis Communications Team if activated, and in coordination with the Office of the President, University Affairs-Communications.

**Campus.** Communications with faculty, staff and students will be coordinated by the Public Affairs - Public Information Officers (Campus and Medical Center), Crisis Communications Team if activated, and in coordination with Office of the President, University Affairs-Communications.

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7 Annex CC: Crisis Communications
8 Annex CC: Crisis Communications
Managers and Supervisors. Campus Employee & Labor Relations will provide guides for managers and supervisors to keep them apprised of the University's position and for responding to employee questions.

Striking and Non-Striking Employees. The Office of the President will provide system wide information, such as employee bulletins and Frequently Asked Questions sheets for employees. Campus Employee & Labor Relations in consultation with the campus Public Information Office will coordinate local communications to employees concerning the potential strike and the University's position. Communications shall be by letter, memo, email, voice mail message, text message and/or website and may inform employees of the University's expectation that they will report for duty on the days of the strike and any special instructions concerning access routes, shuttle services, etc. Employees will also be informed that unscheduled illness-related absences on the day(s) of a strike will be treated in accordance with University policy and applicable labor agreements, and that this may require the employee to provide medical or other verification for the unscheduled absence. Employees will be further informed that all requests for vacation leave that coincide with a labor strike as well as all unscheduled vacation leave taken during a strike must be in accordance with University policy, departmental protocols regarding vacation leave and applicable labor agreements.

Construction Managers. The Associate Vice Chancellor Capital Programs shall contact the campus construction managers to determine any campus construction projects that may be impacted by strike activity and any special needs, such as pre-delivery of equipment that may be too large for delivery through a secondary gate. Contractors and vendors should be surveyed to determine who will and will not cross a picket line. As appropriate, the Associate Vice Chancellor will inform contractors of options for safe access following consultation with the Police Chief.

Vendors. The Director of Procurement and Business Services shall contact vendors concerning access issues in the event of a strike. This should include surveying vendors involved in the delivery of goods to determine who will and will not cross a picket line. As appropriate, inform vendors of arrangements for alternative delivery sites.

Transportation. The Director of Parking & Transportation Services shall coordinate with Public Affairs - Public Information Officers communication of changes to the University's transportation system schedules.

During a Labor Strike

Communications between the Office of the President and Affected Campuses. The Office of the President will conduct regular conference calls with the affected University locations in order to coordinate action at the local and system-wide levels. Campus participants shall include the campus Assistant Vice Chancellor for Staff Human Resources, Employee & Labor Relations Manager and one or more members of the Strike Contingency Planning Group. Other campus managers may be included as appropriate.

Communications with Managers and Supervisors
Office of the President will provide "model communications" for managers and supervisors to the campus Employee & Labor Relations Manager.

During the strike, campus Employee & Labor Relations, in consultation with the campus Public Information Office, will manage strike-related information and instructions sent to campus managers and supervisors. Information will be posted on a campus strike web page and/or disseminated through the Principal Officers and Administrators email list, as appropriate.

Managers and supervisors shall contact the campus Employee & Labor Relations office to report any strike-related incidents or developments.

Departments shall be responsible for maintaining time and attendance records consistent with their customary attendance records practices, and shall provide attendance reports to the Employee & Labor Relations office, as requested.

**Communications with Employees.** The campus may use any public communications developed by the Office of the President, University Affairs-Communications as information to be directed to employees. Campus Employee & Labor Relations, in consultation with the campus Public Information Office, will coordinate distribution of strike-related notices to employees.

**Communications with the Campus Community, Surrounding Community and Public.** The campus Public Information Office shall be responsible for outside communications, including communications with the media, in coordination with the Office of the President, University Affairs-Communications and campus Governmental Relations.

**Post-Strike**

After a labor strike, the following communications may take place, as determined by the Vice Chancellor for Business and Administrative Services in consultation with the Strike Contingency Planning Group:

- Employee communication thanking those students, staff, faculty, managers and supervisors who gave their best efforts during the strike to keep the University running and providing services to the campus community. This communication shall be coordinated by campus Employee & Labor Relations in consultation with the campus Public Information Office and Office of the President, University Affairs-Communications and Labor Relations.

- Employee communication welcoming returning employees and focusing on going forward. This communication shall be coordinated by campus Employee & Labor Relations in consultation with the campus Public Information Office and Office of the President, University Affairs-Communications and Labor Relations.

- Communications to vendors thanking them for their cooperation. These communications
shall be coordinated by the Director of Procurement and Business Contracts.

- Communications with outside media, students, parents and/or other recipients of University services to announce that access is open and regular services have resumed. These communications shall be coordinated by the campus Public Information Office in coordination with the Office of the President, University Affairs-Communications.

In addition, the Employee & Labor Relations office shall be responsible for reporting costs, reductions in service, and other strike impacts to the Office of the President, Labor Relations.

**POST STRIKE ACTIVITY**

For time-limited strikes (e.g., a one to three day strike announced in advance by the union), striking employees will usually return to work as announced by the union. In such cases, there will be no need for a special recall of striking employees. However, if the strike goes on for a substantial period, provisions may need to be made for the recall of strikers, release of replacement employees and related issues. These provisions will be coordinated by the campus Employee & Labor Relations office in consultation with the Office of the President, Labor Relations and the Office of the General Counsel.

**POST-STRIKE DEBRIEFING**

A post-strike debriefing of managers, supervisors and administrators, through written communication and/or meetings may be requested by the Strike Contingency Planning Group lead. The Strike Contingency Planning Group lead in conjunction with the VC Human Resources (or Director Human Resources or Employee & Labor Relations Manager) shall be responsible for convening and conducting the debriefing. Debriefing materials should be provided to the Office of the President, Labor Relations.

**LABOR STRIKE RECORDS**

The Strike Contingency Planning Group, department managers and supervisors will be asked to provide the Employee & Labor Relations office electronic copies of strike-related records that should be stored electronically for future reference. The records could include communications, strike financial records, news articles, strike webpage, and strike debriefing notes. The labor strike records will be stored on the Employee & Labor Relations secure server. (Note to Chief: Will need to be agreed to by LR.)
STRIKE CONTINGENCY PLANNING GROUP STANDARD OPERATING PROCEDURE

STRIKE CONTINGENCY PLANNING GROUP

A Strike Contingency Planning Group is comprised of key staff from the Human Resources Department, EOC Command Staff, Medical Center HCC Command Staff (if impacted) and other affected key departments/divisions. It will coordinate and manage the University's planning and response to a labor strike, work stoppage or job action and implement this UCSF Strike Contingency and Response Plan to ensure minimal disruption to the institution’s mission during the strike.

University Police assume incident command for the field management of campus labor strikes.

The Strike Contingency Planning Group shall ensure that appropriate steps are taken to maintain the delivery of services without undue disruption. Delivery of services includes:

- Physical security and health and safety of employees, students and the general public are maintained.
- Patient care, academic and research programs continue.
- Access to the campus by employees, student and the public to the degree possible, facilities are open and operational.
- Essential services such as transportation, public safety, utilities, or services and functions which cannot be interrupted continue.
- Construction and other contractor work continue.

Roles and responsibilities are listed below for Core Group, Ad-Hoc and Advisory members of the Strike Contingency Planning Group. Common functions for all planning group members are listed under Table 1. Specific functions to a particular Strike Contingency Planning Group member are listed separately. These are general functional reminders and are not intended to serve a comprehensive protocol.
Table 1: General Functions for Strike Contingency Planning Group Members (Core, Ad-Hoc and Advisory)

<table>
<thead>
<tr>
<th>Preparedness Phase:</th>
</tr>
</thead>
<tbody>
<tr>
<td>Activates or appoints Emergency Coordinators (EC) per Appendix ESR: Emergency</td>
</tr>
<tr>
<td>Status Assessment &amp; Reporting.⁹</td>
</tr>
<tr>
<td>Identifies representative to serve on Strike Contingency Planning Core Group (I.e.:</td>
</tr>
<tr>
<td>self, Control Point EC or other senior level designee)</td>
</tr>
<tr>
<td>Receives initial situation briefing &amp; identifies potential impact to services,</td>
</tr>
<tr>
<td>operations and functions.</td>
</tr>
<tr>
<td>Communicates essential information to appropriate staff (I.e.: Department and</td>
</tr>
<tr>
<td>Division level ECs) and requests identification of potential threats to respective,</td>
</tr>
<tr>
<td>Departmental and Division services, operations and functions.</td>
</tr>
<tr>
<td>Requests impacted Departments/Divisions to identify contingency plans, resource</td>
</tr>
<tr>
<td>needs, available resources to meet needs, and resource gaps.</td>
</tr>
<tr>
<td>Reports status of contingency plans and resource needs/gaps on Strike Contingency</td>
</tr>
<tr>
<td>Planning Group calls/meetings.</td>
</tr>
<tr>
<td>Assures essential strike contingency planning information is communicated to</td>
</tr>
<tr>
<td>appropriate staff for contingency planning purposes.</td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th>Response Phase:</th>
</tr>
</thead>
<tbody>
<tr>
<td>Participates in strike response coordination calls to receive briefings/updates,</td>
</tr>
<tr>
<td>communicate impact upon services, operations and functions. Report out on</td>
</tr>
<tr>
<td>effectiveness of contingency plans and any unmet resource, safety or information</td>
</tr>
<tr>
<td>needs.</td>
</tr>
<tr>
<td>Emphasis is on information sharing, needs identification, problem resolution and</td>
</tr>
<tr>
<td>communications to students, faculty, staff and affiliates.</td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th>Deactivation/Recovery Phase:</th>
</tr>
</thead>
<tbody>
<tr>
<td>Prepares after action items/lessons learned for submission to Director HSEM.</td>
</tr>
<tr>
<td>Participates in Hot-Wash if invited.</td>
</tr>
</tbody>
</table>

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³⁹ UCSF Medical Center & LPPI may have separate internal emergency coordination structure based on Joint Commission Requirements.
Strike Contingency Planning Core Group

The following personnel or designees are recommended for initial threat assessment and contingency planning. Core group will identify other ad hoc representatives.

- Vice Chancellor Human Resources or Director Human Resources
- Chief of Police or Captain
- Director Homeland Security Emergency Management or Mission Continuity Program Manager
- SVC Financial & Administrative Services or senior level designee
- Vice Chancellor, Campus Life Services or senior level designee
- Vice Chancellor, Strategic Communications & University Relations or senior level designee
- Medical Center Chief Operating Officer or senior level designee
- Campus Counsel
- Office of the Chancellor

Strike Contingency Planning Group Chair

The Chairperson will be a Core Group member. Selection may be based upon Core Group members association with the organizational element of the enterprise most at risk by the threatened labor action. The Chair person should be someone who is trained and qualified in the Incident Command System.

Strike Contingency Planning Core Group Functions

Human Resources

- In collaboration with Employee and Labor Relations (see “Advisors to the Strike Contingency Planning Group”, identify labor unions threatening labor action & list represented employee groups in each union.
- Identify Departments and Division with represented employees.
- Convene a meeting/conference call of the Strike Contingency Planning Core Group to brief

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10 May be EOC Logistics Section/HR Unit member
11 Also serves as EOC Director
12 Also serves as EOC Alt Director
13 Also Serves as EOC Legal Counsel
them on the threatened labor action (scope, duration, impacted employee types, and anticipated dates)

- Advises the Strike Contingency Planning Group on personnel policy implications of strike-related activity (e.g., time and attendance, staffing, etc.) and on communications to policy-covered staff employees. (see APPENDIX 1: ADMINISTRATIVE GUIDELINES)

- Prepares On-line Absentee Reporting tools and issues reminders/instructions on use if indicated (see APPENDIX 2: Instructions for Using the Attendance Reporting Tool)


- Collaborate with UCOP, Public Affairs and Labor Relations to develop FAQs & manager scripts (see APPENDIX 4: Example Script for Use by Managers and APPENDIX 5: Example UC FAQs)

- Refer to Table 1: General Functions

### Chief of Police or Captain Field Services Division

- Identify and assess threats and risks to University students, personnel, patients, visitors, property, critical infrastructure

- Responsible for the physical safety of staff, faculty, students, and public. Provides physical security of buildings and property.

- Assures access to campus and public areas, staff and faculty access to facilities, and provides extra security measures to protect vital functions and facilities, as appropriate. (See SECURITY PLAN)

- Coordinates with mutual aid and regional law enforcement partners as needed.

- Consults with Director Homeland Security Emergency Management on EOC activation level, staffing, location and notification/activation notices to EOC staff.

- Assists in the facilitation of constitutionally protected activities by balancing the First Amendment rights and other civil liberties of individuals with the interventions required to protect public safety and property.

- Supports the University community’s rights to pursue the business of the university and other normal activities.

- Works with Associate Vice Chancellor for Risk and Safety Services and Employee & Labor Relations Manager in coordination with the Incident Command post or EOC to monitor picketing and strike activity, including communicating with local union officials to seek cooperation in keeping picketing peaceful and allowing open public access.

### Homeland Security Emergency Management Director or Mission Continuity Program Manager

- Coordinates activation and facilities meetings of the Strike Contingency Planning Group
with the Chief of Police and Director Human Resources.

• Serves as advisory to the Strike Contingency Planning Group
• Consults with Chief of Police and coordinates notification and activation of EOC staff and EOC facility.
• May assist UCPD in coordination of ICP set-up and staffing.
• Coordinate EOC operations during response phase
• Facilitates hot-wash, after action reporting and corrective action planning.

Financial & Administrative Services SVC or senior level designee

• Based upon labor groups and FAS departments/divisions with represented employees, consults with VC CLS to identify appropriate FAS representation on Strike Contingency Planning Core Group, Ad-Hoc and Advisory Group. Not all possible members may be needed.

• Convenes the Campus Management Response Team if indicted
• Refer to Table 1: General Functions

Campus Life Services Vice Chancellor, or senior level designee

• Based upon labor groups and CLS departments/divisions with represented employees, consults with CLS Department heads to identify appropriate CLS representation on Strike Contingency Planning Core Group, Ad-Hoc and Advisory Group. Not all listed members may be needed.

• Assures appropriate CLS departments prepare schedules for distribution for adjusted or cancelled services (i.e.: bus schedules, mail delivery, food services, child care etc.)

• Refer to Table 1: General Functions

Strategic Communications & University Relations Vice Chancellor, Executive Director

• Liaison with local, state and municipal government officials during the labor strike.
• Liaison with local communities, alumni and other key constituencies.
• Consult with the PIO\textsuperscript{14} and Crisis Communications Team Director\textsuperscript{15} to establish lines of authority for public information releases
• In consultation with the Strike Contingency Planning Group, Office of the President, University Relations, and campus Employee & Labor Relations Manager,

\textsuperscript{14} ERMP Part 5: Public Information & Media
\textsuperscript{15} Annex CC: Crisis Communications
responsible for liaison with media.

- Responsible for communications to the campus, surrounding community, client groups and other outside communications¹⁶
- Collaborate with UCOP, HR and Labor Relations to develop FAQs & manager scripts (see APPENDIX 4: Example Script for Use by Managers and APPENDIX 5: Example UC FAQs)
- Refer to Table 1: General Functions

Medical Center Chief Operating Officer or senior level designee

- Based upon labor groups and Medical Center departments/divisions with represented employees, consults with designated HCC Incident Commander, Medical Center Emergency Preparedness Manager, Director Security Services or other appropriate staff to identify potential impact on Hospital and ambulatory care operations.
- Identify appropriate represented to Strike Contingency Planning Group based upon above consultations.
- Refer to Table 1: General Functions

Campus Counsel

- Advises Strike Contingency Planning Group on legal issues related to any proposed contingency plans which is of concern or threatened labor actions.
- Refer to Table 1: General Functions

Office of the Chancellor

- Provides final decision making and approvals as delegated under University of California Regental policies for campus management.

Strike Contingency Planning Group Ad Hoc Representatives

Ad Hoc members represent departments with employees of the bargaining unit(s) involved in the strike whose absence may threaten continuity of essential services/operations impacting other UCSF departments (see Advisors to the Strike Contingency Planning Group below). Ad Hoc members may include Directors or senior level designees of the following offices:

- Director LARC or EOC Animal Care Unit alternate.
- Director Facilities Management or EOC Building & facilities Brach Director alternate.
- Director Parking & Transportation or EOC Transportation Unit alternate.
- Manager Distribution & Storage/Mail Services or senior level alternate.

¹⁶ Annex CC: Crisis Communications
Strike Contingency Planning Group Ad Hoc Representative Functions

LARC Director

- Responsible for assuring safety and health of research animals.
- Activates LARC Departmental Operations Center if necessary.
- If DOC to be activated, reviews and clarifies emergency status reporting and resource request procedures through EOC with Director Homeland Security Emergency Management.
- Refer to Table 1: General Functions

Facilities Management

- Responsible for coordinating essential building and facilities services and support during the labor strike (i.e.: Management of life safety systems, utilities, custodial services, emergency repairs, etc.)
- Coordinates with Business Contracts and Procurement to establish service contracts for essential services if necessary.
- Coordinates information and planning with CLS Strike Contingency Planning Core Group representative.
- Refer to Table 1: General Functions

Parking & Transportation

- Responsible for coordinating public and campus transportation during the labor strike, including providing additional shuttle service and/or alternative parking and transportation to the campus for faculty and staff.
- Liaison to local Transit District management.
- Delivers essential services internal to the campus for students with disabilities.
- Coordinates information and planning with CLS Strike Contingency Planning Core Group representative.
- Refer to Table 1: General Functions

Distribution & Storage/Mail Services

- Responsible for assuring minimum level of essential delivery, storage and mail services are maintained during labor strike.
- Coordinates access and security needs for loading dock deliveries with UCPD and Medical Center HCC or Security.
Communicates and coordinates regularly scheduled deliveries with prime vendor during labor strike as necessary.

Coordinates information and planning with CLS Strike Contingency Planning Core Group representative.

Refer to Table 1: General Functions

Advisors to the Strike Contingency Planning Group

Advisors vary depending upon the bargaining unit(s) involved in the strike. Advisors may include Department/Division Emergency Coordinators or senior management representatives who may advise the Strike Contingency Planning Group of potential impact of labor action upon their respective departments and UCSF operations and services.

Strike Contingency Planning Group Advisor Functions

Campus Housing

- Maintains essential services for residential communities including student housing, employee housing and child care services.
- Ensures delivery of other essential student services including residential security and safety. Serves as on-site lead for Strike Contingency Planning Group.
- Coordinates information and planning with CLS Strike Contingency Planning Core Group representative.
- Refer to Table 1: General Functions

Capital Programs

- Liaison with contractors to maintain construction during a labor strike, including responsibility for establishing a secondary gate, if possible, for contractor access.
- Coordinates information and planning with SVC FAS Strike Contingency Planning Core Group representative.
- Refer to Table 1: General Functions

Development & Alumni Relations

- Establishes public information messaging through Public Affairs
- Liaisons with Donors and Alumni as necessary regarding University’s planning and response to labor action
- Refer to Table 1: General Functions
Diversity & Outreach

- Advises on relevant issues when labor actions may be taken in support of minority, LGBT or other diverse represented members.
- Refer to Table 1: General Functions

EH&S

- Advises on potential, emerging or actual risks to environmental health and safety resulting from the labor actions or implementation of contingency plans, particularly in higher hazard areas such as wet labs and radiological labs, animal care, engineering areas or in the field conducting crowd control or perimeter security.
- Refer to Table 1: General Functions

Employee & Labor Relations

- In consultation with OP Labor Relations, the Public Information Officer, and Associate Vice Chancellor for Human Resources coordinates strike related communications to unions, employees, managers and supervisors. (See COMMUNICATIONS)
- Maintains coordination with Director for Insurance & Risk Services during the strike as needed.
- Coordinates monitoring of picketing and strike activity and coordinates with Strike Contingency Planning Group and or UCPD.
- Provides advice and assistance to the Strike Contingency Planning Group on attendance tracking, communicating with absent employees, documentation, taking disciplinary or any other employment action related to the strike.
- Advises the Strike Contingency Planning Group on the implications of labor agreements and Higher Education Employer Employee Relations Act requirements in determining management responses to strike actions. Liaison with unions, Office of the President, Labor Relations and Office of the General Counsel
- Collaborate with UCOP, Public Affairs and HR to develop FAQs & manager scripts (see APPENDIX 4: Example Script for Use by Managers and APPENDIX 5: Example UC FAQs)
- Refer to Table 1: General Functions

Executive Vice Chancellor & Provost’s Office

- May advise on behalf of all Deans on effects of labor action upon academic programs.
- If serving in capacity of Campus Management Response Team lead, may provide overall decision making and direction in consultation with the Strike Contingency Planning Group.
- Responsible for ensuring that the campus labor strike plan is implemented by respective departments.
- Refer to Table 1: General Functions

**Fresno Campus**
- Reports on Departments with represented employees and potential impact UCSF Fresno services, operations or functions and contingency planning efforts.
- Refer to Table 1: General Functions

**Government Relations**
- Liaison with local, state and municipal government officials during the labor strike.
- Refer to Table 1: General Functions

**Information Technology Services**
- Responsible for maintaining the integrity of central campus computer networks, systems, software and equipment.
- Implements actions to prevent hacking or other forms of electronic vandalism.
- Works with campus administration and campus Police Department to identify facilities or equipment requiring extra security measures.
- Refer to Table 1: General Functions

**Insurance and Risk Services**
- Provides guidance in insurance coverage, gaps and liabilities in relation to labor actions and University strike response operations.
- Identifies risks and risk mitigations in relation to effects of labor actions and University strike response operations.
- Refer to Table 1: General Functions

**LPPI**
- Based upon labor groups and LPPI departments/divisions with represented employees, consults with designated LPPI HCC Incident Commander or other appropriate staff to identify potential impact on Hospital and ambulatory care operations.
- Identify appropriate represented to Strike Contingency Planning Group based upon above consultations.
- Refer to Table 1: General Functions
Office of Research

- Working with Principal Investigators or Lab Managers with represented employees, identify research projects at risk of data/specimen loss/damage or at risk of delay in meeting Grantor deliverables.
- Identify labs with additional security needs.
- Identify lab with scheduled deliveries which cannot be postponed.
- Collaborate/coordinate reporting to Strike Contingency planning Group with the Reference source not found.
- Refer to Table 1: General Functions

Procurement and Business Contracts

- Liaison with vendors to maintain services during a labor strike.
- Arranges for alternate delivery and transportation of goods.
- Coordinates vendor delivery routes and loading dock access with UC PD and Medical Center Security.
- Refer to Table 1: General Functions

QB3

- Working with Principal Investigators or Lab Managers with represented employees, identify research projects at risk of data/specimen loss/damage or at risk of delay in meeting partner, donor or investor timelines/deliverables.
- Identify labs with additional security needs.
- Identify lab with scheduled deliveries which cannot be postponed.
- Refer to Table 1: General Functions

SF VAMC

- Communicates relevant UCSF plans and operations to SF VAMC administration.
- Advisees on potential effects upon UCSF personnel or services provided at VAMC
- Refer to Table 1: General Functions

SFGH (SOM Dean’s Office representative)

- Communicates relevant UCSF plans and operations to SFGH administration.
- Advisees on potential effects upon UCSF personnel or services provided at SFGH
• Refer to Table 1: General Functions

Dean’s Offices (SOD, SOM, SON, SOP)

• Advises management on academic personnel policy implications of strike-related activity (i.e., time and attendance, staffing, leaves) and on communications to policy-covered academic employees.

• Responsible for coordinating the delivery of instruction and continuity of research activities.

• Reschedules or changes the location of classes in accordance with departmental practice.

• Refer to Table 1: General Functions

Student Health & Counseling Services

• Maintains essential student services

• Refer to Table 1: General Functions
APPENDIX 1: ADMINISTRATIVE GUIDELINES

Staff or academic personnel who engage in a labor strike, refuse to cross picket lines or otherwise withhold their labor during a strike are subject to administrative action. In these cases pay will be docked for the period the employee did not work. This is not a disciplinary action but in accordance with Regents Order 103.1, Service Obligations, which states that officers, faculty members and employees shall not be paid for activity that is not in the service of the University. Formal discipline may be taken in cases of misconduct that arise during a strike.

**Pay Docking.** Any employee who engages in a labor strike, refuses to cross picket lines or otherwise withholds their labor will not be paid for the absence from work. Except in extraordinary circumstances, this will not be considered a disciplinary matter but a time and attendance issue.

- [ ] Deductions for Fair Labor Standards Act (FLSA) non-exempt employees shall be calculated on the number of hours absent from work.
- [ ] Deductions for FLSA exempt employees will be made on the basis of one day of pay for each full day not worked.
- [ ] Academic appointees who cancel instructional activities due to a strike without rescheduling in accordance with departmental practice, and who perform no other duties on behalf of the University that day, will be docked a full day's pay.

Pay docking must be reflected in the paycheck for the pay period during which the employee was absent. If that is not feasible, the University will attempt to obtain a written agreement from the employee or the employee’s union representative to dock the pay in a future paycheck.

**Class Scheduling.** Department Chairs are delegated the responsibility for scheduling times and places of class meetings. Chairs have the flexibility of rescheduling class meetings in response to urgent situations when such changes are needed to effectively deliver the academic program. It is the responsibility of the instructor to submit a rescheduling request in accordance with departmental practice. It is the responsibility of the Chair to ensure that each rescheduling approval ensures effective delivery of the academic program, meets the scheduling needs of all students, and is consistent with University policy. Faculty and instructors who cancel classes not in accordance with departmental practice may be subject to discipline, consistent with applicable rules and policy.

**Monitoring.** The Campus Provost/Executive Vice Chancellor will advise Department Chairs and Deans of their responsibility to assure that academic commitments are met.

**Benefits Coverage.** If a labor strike is a few days in duration, regular deductions will be made for health plan and other benefit coverage. Longer strikes could have an effect on benefits coverage. In such event the Strike Contingency Planning Group will consult with the campus Benefits Manager.
Unemployment Compensation. Some employees may attempt to apply for unemployment compensation. California law does not allow unemployment compensation for people who are on strike. Campus communication to striking employees should state that work is available to them and we encourage them to return to work.

Absenteeism

• **Sick Leave.** Employees calling in sick during a strike may be required to provide medical verification of illness, in accordance with University policy and applicable labor agreements. The Employee & Labor Relations office must be consulted prior to taking disciplinary action related to absence during a strike.

• **Vacation Leave.** Employees who request either vacation leave that coincides with a labor strike or who take unscheduled vacation leave during a strike must do so in accordance with University policy, departmental protocols regarding vacation leave and applicable labor agreements.

• **Misconduct.** Employees who engage in misconduct such as illegal behavior (vandalism, assault, or other violent behavior), or harass, intimidate or otherwise obstruct access, disrupt classes or work, are subject to discipline in the same manner as if they were not on strike. Certain behaviors may also be violations of the law and employees who engage in violations of the law may be subject to arrest.

• **Discipline for Striking.** Participating in an illegal labor strike may or may not be misconduct, and it is the responsibility of the Public Employment Relations Board to make that determination. Therefore, initiating disciplinary action against striking employees based on their participation in an illegal strike on the assumption that the Public Employment Relations Board will ultimately rule against the union is not advised. Disciplinary action should be taken only under extraordinary circumstances and in close consultation with the campus Employee & Labor Relations office.

• **Administrative Leave.** The Campus Provost/Executive Vice Chancellor may approve administrative leave during a strike in cases where safety and access is a concern. Such leave may be granted to employees scheduled to report to work during a specific time period. Administrative leave will not be granted to employees on sick leave, vacation leave, or who failed to report to work outside of the designated period.

• **Action against the Union.** Unions that lead, promote or engage in illegal strikes may be subject to administrative action through the Public Employment Relations Board or the courts, including restraining orders. If such action is deemed warranted, as determined by the Campus Provost/Executive Vice Chancellor, the campus Employee & Labor Relations office shall provide the Office of the President, Labor Relations and the Office of the General Counsel with evidence of disruption and damage to the campus's operations in order to provide the evidence for potential legal action as appropriate. Such evidence can be physical, documentary and/or testimonial, including empirical evidence. Employee & Labor Relations shall request departments provide documentation on:
- Classes cancelled and/or disrupted.
- Impact on construction work.
- Destruction of property, vandalism.
- Impact on delivery of goods and services.
- Interference with health services.
- Numbers and cost of replacement workers.
- Overtime costs related to the strike.
- Costs of strike preparation and mitigation.
- Transportation costs associated with the strike.
- Other notable cost impacts.

The campus Employee & Labor Relations office shall forward all such documentation to the Office of the President, Labor Relations and the Office of the General Counsel for review and potential action.
APPENDIX 2: Instructions for Using the Attendance Reporting Tool


2. NOTE: The attendance log is set to be used to report today’s attendance.

3. Enter your name in the lookup field. When you see your name in the dropdown list, select it from the dropdown.

4. When your name is selected your phone number will appear. If your phone number is not on record in the system, enter it where you see the message “Please Enter Your Phone Number”.

5. Enter the department name or code of the department you are reporting on.

6. A message will appear: “Do you have absences to report for [today’s date]?"
   a. If you answer “No”, submit your log.
   b. If you answer “Yes”, a threat level question will appear. Please read the three different threat levels and chose the one that fits this departments case.

7. Below the threat level question is the roster for the department you selected.
   a. Select an employee’s record by checking the checkbox.
   b. Select the correct answer for:
      i. Classification – Full or Part Time
      ii. Shift – Evening, Night, A.M., and P.M.
      iii. Reason for Absence
      iv. Replace – Have you replaced the absent employee with a contingent worker?

8. Leave a comment – Leave a twitter-length comment about this absence. NOTE: In Internet Explorer it may be difficult to select the comment box for entry. A workaround is to write the comment in MS Word and paste into the comment box.

9. **At the bottom of the roster is the submit button.** When you have submitted your log, you will see a copy of the log that has been entered in the system.

Any technical questions? Please contact Luke Hones, luke.hones@ucsf.edu, 415-476-9931
APPENDIX 3: Example Manager Responsibilities Notice

In order to determine whether UCSF will need to implement Sick out Notifications Procedures during the dates of the planned strike, managers should follow the process outlined below for assessment and reporting of employee sick calls. All absences from work during the declared strike period (absent pre-approval or medical certification) will be treated as unexcused, unauthorized absences.

<table>
<thead>
<tr>
<th>Item</th>
<th>Required Action</th>
</tr>
</thead>
</table>
| Assessment of Threat Level | - Identify level of risk based on absentees, census and resource.  
- **Green**: Low Risk (Absences increasing but no significant operational impact)  
- **Yellow**: Elevated Risk (Absences causing some operational interruptions or failures)  
- **Red**: Severe Risk (Absences forcing closure - cessation of operations.)  
- Notify Manager, Emergency Operations Center HR Desk (336-0008) and Director of Labor and Employee Relations of substantial increases in sick calls. Otherwise please report absences for [UNION NAME] Patient Care and Service and UPTE Health Care workers by 1100 and again at 1900 each day. |
| Completion of Daily Attendance Log | - Supervisors of represented striking employee’s should prepare a Daily Attendance Log for each day of the strike, utilizing the online tool at [http://ucsfhr.ucsf.edu/index.php/attendance/](http://ucsfhr.ucsf.edu/index.php/attendance/)  
- Below the threat level question is the roster for the department you selected.  
  - Select an employee’s record by checking the checkbox.  
  - Select the correct answer for:  
    - Classification – Full or Part Time  
    - Shift – Days, Evening, Night, A.M., and P.M. |
Communicating With Employees Reporting Sick Leave

- Employees who call in sick should be read the following statement by a Supervisor or other non-bargaining unit employee:

  "There is a declared strike today and tomorrow. Therefore, if you are unable to report to work due to illness, you will be required to provide proof of illness for today’s absence upon your return to work. Without such proof of illness, your absence will be considered an unauthorized absence without pay."

- Maintain a log of employees who were informed of the requirement to provide verification which includes:
  1) Time and date of the notification;
  2) Name of the person who gave the notification;
  3) Number called;
  4) Any particular comments made with the notice (i.e., "union said I have to call in sick").

Handling Other Types of Absence Calls

- **Jury Duty** – Employees should be advised to provide verification of their jury service upon their return to work.

- **Intermittent Family/Medical Leave** – Employees with approved FML leaves should be permitted to take time consistent with their approved leave without the need for additional verification.

- **CTO and Vacation** – Employees may only use banked comp time or vacation if requested and approved in advance.

Instructions for [Dates of Strike listed here]
1: Employees who do not come to work.

- If an employee who does not have a pre-arranged absence does not work their scheduled shift during the strike the time should be recorded as “Unauthorized Unpaid Leave.”
- If an employee claims that they were sick then appropriate medical certification must be provided to the department manager before sick leave can be used.
- CTO and Vacation can only be used if the absence was preapproved.

2: Employees assigned to cover striking employees

- Time spent covering for striking employees should be documented on the timesheet.
- The enterprise disaster program code “2MY13” should be assigned to these hours for tracking and costing purposes.

IN THE EVENT OF NOTIFICATION OF SICK OUT FROM THE HICS COMMAND CENTER

Communicating With Employees Reporting Sick Leave

- Employees who call in sick should be read the following statement by a Supervisor or other non-bargaining unit employee:

  “There has been a pattern of unplanned absent calls that UCSF believes may be related to the [UNION NAME] labor actions. Upon your return to work, you will be required to provide proof of illness for today’s absence. Without such proof of illness, your absence will be considered an unauthorized absence without pay.”

- Maintain a log of employees who were informed of the requirement to provide verification which includes:
5) Time and date of the notification;
6) Name of the person who gave the notification;
7) Number called;
8) Any particular comments made with the notice (i.e., “union said I have to call in sick”).

Contact EOC 415-336-0008 or Labor and Employee Relations 415.353.4107 for any questions and/or concerns.
APPENDIX 4: Example Script for Use by Managers

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Script for Use by Managers

Re: Those Scheduled to Work on or after [Date/time], and/or before [Date/Time]

Manager to Employee:
You are scheduled to work on [date] at ____ time and or [date] at ____ time, or [date] before [time], do you plan to come to work on that day?

Employee to Manager:
No.

Manager to Employee:
It is my expectation that you will report to work as scheduled on [date(s)]. Please be aware that if you fail to report to work, your absence will be considered unauthorized and you will not be paid for the day.

Employee to Manager:
What if I am sick?

Manager to Employee:
Any employee calling in sick for their shift on [date(s)] will be required to provide medical certification; if medical certification is not provided, the absence will be considered unauthorized and you will not be paid.

Employee to Manager:
What if I want to use my CTO (comp time), vacation time or am taking educational leave?

Manager to Employee:
It is my expectation that you will report to work as scheduled on [date(s)]. Please be aware that unless you have obtained pre-approval for the use of vacation, comp time or educational leave, it will not be allowed or approved due to staffing requirements for [date(s)]. If you fail to report to work, your absence will be considered unauthorized and you will not be paid for the day.

Reminder:
Managers should not survey or communicate with employees concerning their intention to participate or not participate in a strike. Such communication could be found to violate employee rights under labor law. Employees should be referred to their union about specific questions regarding union membership, union activities and potential strike activity.
APPENDIX 5: Example UC FAQs

[Date]

Important information for UC employees about an [Union] strike

[Union Name], the union representing [labor group] employees, has announced it will ask its members to strike at [Campuses and dates]. It is very important that [Union Name]-represented employees understand the implications of a strike, and make an informed choice about whether or not to support a strike.

Legality of an [UNION NAME] strike

Q. Is it legal for [UNION NAME] to strike?
A. Striking is a serious matter, especially when it affects vital public services like patient care. State law requires that strikes should be considered only as a last resort after all other options have been exhausted. Strikes that pose a substantial and imminent threat to public health or safety are illegal under state law. Even if a strike is legal, it may be an unfair practice under state labor law. UC believes a strike targeting patient care employees at UC medical centers would pose an imminent threat to public health and safety and improperly withhold health care from members of the public. UC also believes [UNION NAME] has not, in good faith, explored all options through the bargaining process. Further, UC considers it highly inappropriate for [UNION NAME] to threaten patient care as a tactic in contract negotiations.

Q. Has [UNION NAME] ever been legally prohibited from striking?
A. Yes. In 2008, [UNION NAME] leaders called on UC patient care employees to strike at all five UC medical centers. UC petitioned the Public Employment Relations Board, the state agency that oversees public sector collective bargaining, to request a restraining order against the strike on UC's behalf. PERB issued a complaint against [UNION NAME] for bad-faith bargaining and for encouraging employees to strike even though their absence from work would clearly endanger the public's safety. The Superior Court of San Francisco issued a restraining order prohibiting the union's strike. See [New; from press release] www.universityofcalifornia.edu/news/article/18206

Q. Is it legal for other UC unions to join in the [UNION NAME] strike?
A. If [UNION NAME]'s strike is deemed illegal or unprotected, then any other union joining in the strike would also be engaging in illegal or unprotected activity. Also, many of UC's labor contracts contain “No Strikes” provisions so any union with such a contract who joins [UNION NAME]'s strike would be in violation of its contract.

Impacts of a strike on patient care

Q. Will a strike impact patients?
A. There is no question a strike will impact patients. UC will do its utmost to continue to provide care and services to patients who are most in need. However, when a union threatens to strike our medical centers, UC must begin to take steps such as suspending services in areas where patient needs are less acute. The hospitals may also decrease patient levels prior to the strike and then gradually increase them back to normal after the strike. This could mean denying critical and elective patient care for approximately two weeks and reducing staff in those units with reduced patient levels. Patient referrals from outlying communities may be lost, damaging the public trust in our medical facilities. Critical trauma patients may need to be diverted to non-level I facilities, potentially reducing their quality of patient care.

Impacts of striking on employee pay, benefits and/or work

Q. If I strike, will I lose pay and benefits? May I use compensatory or vacation time for the time I miss?
A. You will not be paid for time lost due to participating in a strike. Employees who participate in a strike will not be allowed to use compensatory time or vacation leave to make up for the pay they lose because of striking. Benefits that are affected by the percentage of time worked during the month may be affected.
Q. Will I lose pay if I'm simply absent from work during the strike?
A. If any employee does not report to work as assigned, UC will presume—absent prior authorization or medical certification—that her/his work absence during a strike period is strike related. Employees who are absent from work without authorization during a strike will not be paid for the absence. As is always the case, authorization for an absence from work (e.g., vacation leave) may or may not be granted, depending on operational necessity and without regard to the employee's reason for the requested leave.

Coming to work during a strike

Q. Will [UNION NAME]-represented employees be barred from coming to work during a strike?
A. No. Under the law, you're free to cross a picket line and come to work.

Q. If I come to work during a strike, what pay and benefits will I receive?
A. If you come to work, you will receive the same pay and benefits as you normally do.

Q. If I'm in the union, am I obligated to strike? Can the union penalize me for not striking?
A. No employee is ever obligated to strike. Unions are legally prohibited from threatening or coercing members in other ways to keep them from coming to work. Some unions can fine dues-paying members (but not nonmembers) for working during a strike. A union member who does not want to strike may contact her/his local union representative to confirm there will not be fines. UC won’t deduct fines from employees’ paychecks.

Q. What if I want to work but I’m being blocked or confronted by picketers or striking workers?
A. Pickets are lawful so long as they are peaceful, conducted only on public property (i.e., sidewalks), do not block access, do not interfere with the normal course of business, and do not prohibit non-striking employees from working. UC will assist employees who want to work by providing security or transportation across picket lines. Non-striking employees should avoid confrontations, and need not respond to comments from picketers. Non-striking employees should not invite or engage in any exchanges, which might inflame the situation. If an employee feels s/he is being harassed or prevented from working by picketers or striking employees, the employee should notify their supervisor or campus labor relations office immediately.

Contract negotiations – key issues

Q. What is this dispute about – what’s blocking an agreement?
A. In UC’s view, the key issue blocking a deal is [UNION NAME]’s objections to UC’s pension reforms, which include:
  • Increased contributions toward the cost of pension benefits from both UC and employees (currently XX and X percent respectively, increasing to XX and X percent respectively [date])
  • A new category (“tier”) of pension benefits for employees hired on or after [date].
  • Revised eligibility rules for retiree health benefits Like many employers, including the State of California, UC is enacting pension reforms to help address a $24 billion unfunded liability to its retirement programs, and enable UC to continue to offer pension benefits that adequately recognize employees’ service and also are financially sustainable.

UC’s reforms apply to tenure-track faculty and staff hired on or after [date]. Eight UC unions representing 14 bargaining units have agreed to these reforms. UC’s pension reforms are also similar to what has been implemented for state employees, some of whom are represented by [UNION NAME]. [UNION NAME] has not accepted any of UC’s proposals, and is demanding its members pay less than other UC employees for the same benefits which UC believes is unfair to other employees.

Q. What is UC currently offering [represented] employees?
A. UC is offering a competitive total economic package for [represented] employees that include:
• Up to xx percent annual wage increases for the next four years – increases that are on top of the xx percent wage increases [UNION NAME] members received in each of the last two years, a time when many other UC employees received smaller increases or no increases
• Excellent health care benefits
• Quality pension and retiree health benefits that few public or private organizations nationwide offer

Q. Is UC refusing to negotiate with [UNION NAME]?
A. As the bargaining record shows (http://ucal.us/PatientCareTechs), UC has been bargaining in good faith with [UNION NAME] for nearly a year. Negotiations have included help from a state mediator and a neutral fact-finder. UC remains open to compromise and committed to reaching a fair and financially responsible contract for employees, but UC cannot do it alone. [UNION NAME] leaders must engage in a substantive way.

Talking to supervisors
Q. Am I permitted to talk to my supervisor or unit manager about any of this?
A. Absolutely. Your manager is another resource for answers and information.

1 Adapted from UCSC Labor Strike Plan 2013
Purpose

Many UCSF personnel travel as individuals or small groups throughout the world for UCSF business, research, academic and healthcare matters. Travelers include staff,
faculty, house-staff, fellows, and graduate and professional students. Destinations include developing nations and locations at risk of natural, technological and civil disturbance emergencies. Risks include public health emergencies, earthquakes, civil/political unrest and acts of terrorism, among others.

There exists a need at any given point of time to:
- Identify if UCSF personnel are located in an area in which an emergency has occurred or a credible threat exists.
- Provide just-in-time information regarding potential natural, health, and sociopolitical emergencies to travelers and their schools/departments.
- Communicate information essential to the protection of traveler health, and safety.
- Facilitate the evacuation of UCSF students/trainees, staff and faculty.
- Provide information on traveler location, safety, and status to responsible Departments, families and Public Safety/Emergency Management when appropriate.

**Departmental Responsibilities**

UCOP provides travel accident insurance and travel emergency notification for all UCSF travelers registering their overseas travel on the UCTrips website (see below). Registration is strongly advised for all international travelers as it provides UCSF Risk Management real time information on the identity, locations dates and itineraries of students/trainees, staff and faculty thereby providing Deans, supervisors and others critical information about those who may be affected by or at risk of emergencies while traveling. It is also recommended that Control Points identify responsible officials to participate on the Travel Emergency Advisory Group, if needed (see Travel Emergency Advisory Group- below).

Control Points or their Divisions and Departments with students/trainees, staff and faculty engaged in activities requiring foreign travel, should develop internal procedures to assure that all travelers utilize the UCTrips registration portal and to address travel emergencies.

**Travel Emergency Resources**

**Business Travel Accident Insurance.**  [https://www.uctrips-insurance.org/](https://www.uctrips-insurance.org/)

This insurance protects the Regents, Faculty, Staff, or any person designated as a travel companion by UC while traveling on UC business. Coverage includes emergency medical care and evacuation, loss of personal property (of UC employees), emergency extraction, and more. (Table 1)
Table 1: UC Travel Accident Insurance

<table>
<thead>
<tr>
<th>Pre-Trip</th>
<th>Transport</th>
<th>Medical</th>
<th>Non-Medical</th>
</tr>
</thead>
<tbody>
<tr>
<td>Cultural Information</td>
<td>Child Return</td>
<td>Advance Medical Expense</td>
<td>Bail Bond</td>
</tr>
<tr>
<td>Embassy Referral</td>
<td>Companion Return</td>
<td>Claims Assistance</td>
<td>Cash Advance</td>
</tr>
<tr>
<td>Exchange Rates</td>
<td>Evacuation</td>
<td>Dispatch of Doctor/ Specialist</td>
<td>Emergency Message Relay</td>
</tr>
<tr>
<td>Inoculation Info</td>
<td>Personal Effects Shipping</td>
<td>Hospital Admission Guarantee</td>
<td>Lost Luggage/ Item Assistance</td>
</tr>
<tr>
<td>Travel Advisories</td>
<td>Repatriation</td>
<td>Medical Coverage/Guarantee</td>
<td>Phone Interpretation</td>
</tr>
<tr>
<td>Visa and Passport</td>
<td>Repatriation of Remains</td>
<td>Medical Monitoring</td>
<td>Travel Agency Benefits</td>
</tr>
<tr>
<td>Weather</td>
<td>Visit of Family Member/Friend</td>
<td>Medical Referral</td>
<td>Vehicle Return</td>
</tr>
<tr>
<td></td>
<td>&quot;More see policy*&quot;</td>
<td>Prescription Transfer</td>
<td>Personal Effects Shipping</td>
</tr>
<tr>
<td></td>
<td></td>
<td></td>
<td>Transport Escort Benefit</td>
</tr>
</tbody>
</table>

Student Off-Campus Travel Accident Benefit. [https://www.uctrips-insurance.org/](https://www.uctrips-insurance.org/)

Essentially the same scope of travel emergency services coverage as Business Travel Accident Insurance (See Table 1). Lower coverage caps on medical and Accidental Death & Dismemberment coverage.

JET [https://www.rmis.ucsf.edu/Files/iJet%20Worldcue%20Intro%202010-16-08.pdf](https://www.rmis.ucsf.edu/Files/iJet%20Worldcue%20Intro%202010-16-08.pdf)

I-JET service is part of the Business and Student Travel Accident Insurance service. iJET provides cell phone, e-mail and text alerts related to weather, health, natural disaster, or civil unrest to registered UCSF travelers. iJET is linked to the Business and Student Travel Accident Insurance registration process. Travelers register their trip itineraries and emergency contacts which are accessible to UCSF Risk Management.


An Online Field Safety Planner is under development by UCOP to document emergency plans for undergraduate field trips. It is being modified to accommodate long-term overseas projects. Once complete and ready for use, this annex will incorporate how the Field Safety Plan may be utilized during emergencies.


UCSF and UCOP Risk Management are copied by email when an alert is sent to a traveler. Additionally, Risk Management has access to the iJET database, can search it by traveler name, date, travel location, and can initiate contact if necessary. Risk Management has administrative access to and manages the iJET registration process for UCSF.

UCSF Global Health Sciences [http://www.globalhealthsciences.ucsf.edu/intl_travel](http://www.globalhealthsciences.ucsf.edu/intl_travel)
Global Health Sciences (GHS) provides information on safety and health and the practicalities of studying and conducting research abroad through websites, a checklist and safety guide, and a sample liability form from the University.

GHS maintains a database of international locations where UCSF faculty and staff have experience (Table 4 or www.medschool.ucsf.edu/ghsprojects) as well as local contact information.

UCSF Occupational Health
http://www.occupationalhealthprogram.ucsf.edu/ohpClin.asp#Travel

UCSF Occupational Health Services does not provide emergency assistance to those traveling; however they provide guidance and specific post-travel services to UCSF faculty, staff, and trainees who travel for UCSF business.

- **UCSF Occupational Health Services Working-Training Abroad - Returning to UCSF Guidance**
- **Return to UCSF - Screening and Clearance:**
  - Review symptoms of infectious disease during or ten days post-travel
  - Tuberculosis surveillance (skin testing or symptom review) for UCSF business travelers at high risk for exposure to tuberculosis as a result of their research or project;
  - Follow-up for any Blood Borne Pathogen Exposure;
  - Workers Compensation Services for injury or accident incurred in the course of business travel.

**Notification to UCSF of Events Affecting Travelers Overseas**

UCSF and UCOP Risk Management are copied when a registered traveler receives an alert from iJET. Alerts range from storm warnings, to emerging health threats, to potential civil unrest, typically spanning a moderate to imminent danger range.

iJET alerts are received by UCSF Risk Management and emergency notifications are passed along to UCSF emergency stakeholders based on the level of criticality (see Figure 1).

**Activating the Travel Emergency Plan**

UCSF Risk Management and/or OP Risk Services will assess alert threat levels and make initial determination of which iJET notifications are potentially life-threatening, and issue emergency warnings per the iJET Alert Algorithm (Figure 1).

Risk Management will forward only the potentially life-threatening to "need to know" personnel who may include UCSF PD, Deans of Schools, Global Health Sciences,
Chancellor, Family, Public Affairs, Supervisor, Graduate Division, and Campus Counsel (Figure 1).

Travel Emergency Advisory Group

If an alert warrants activation of this Travel Emergency Plan, an Advisory Group may be formed to address the decisions outlined below. The Advisory Group may include representatives from the following: The Dean, VC, CEO or their delegate from involved School/Control Point, UCSF PD, Global Health Sciences, Occupational Health, Faculty & Staff Assistance Program, Human Resources, Risk Management, Campus Counsel, Public Affairs, and others as warranted by the situation. The decision to form the Travel Emergency Advisory Group will be made by the Chief of Police or designee, in consultation with the Director UCSF Risk Management and Insurance Services or designee.

Notification to Families of Emergencies Affecting Travelers Overseas

Risk Management alerts traveler’s School or Department which will determine who will communicate with family. Depending upon the circumstances, the School/Department may request participation by a member from UCSF Medical Center Pastoral Care Services or the Faculty and Staff Assistance Program (FSAP) when speaking with the family.

Restricting UCSF Travel to Areas that Pose Life/Safety Risks

In most instances, UCOP Risk Services in consultation with iJET will issue recommendations to restrict travel to all UC System campuses. In the absence of system-wide travel restriction recommendations, if a specific situation poses a high probability of risk to the life or safety of UCSF travelers in a geographic area, UCSF may issue temporary travel restriction recommendations for areas with known hazards.

Based upon information and intelligence provided by UCOP Risk Services, iJET, the US State Department, CDC, WHO, media, etc, the Travel Emergency Advisory Group may be convened to determine if a travel restriction is warranted and the scope and period of that restriction.

If a recommendation to restrict travel is made, details shall be conveyed to UCOP Risk management, UCSF Leadership, students, staff, faculty and families of those affected according to the Communications algorithm (Figure 1).

Evacuating Travelers from Areas that Pose Life/Safety Risks

If civil unrest, public health emergency, kidnapping/terrorism, or natural disaster pose risks to the life or safety of multiple UC travelers in a geographic area, UCOP Risk Services will, in consultation with all UC locations with travelers in harm’s way, initiate evacuation procedures for all UC System personnel (staff, faculty and students) in the
affected region. In the absence of a broad-based emergency UCSF may request evacuation of UCSF personnel from an area of risk through the travel accident insurer/iJET. Examples of such situations might include individual health crises, localized civil unrest, or localized natural disasters, etc.

Evacuations are coordinated by the UC Business and/or Student Travel Accident insurer and iJET. iJET will initiate activities to contact travelers and coordinate their extraction. Additionally, each registered traveler is provided with a worldwide toll free emergency phone number to be used to initiate emergency evacuations. The UCSF Travel Emergency Advisory Group will coordinate with UCOP Risk Services and the insurer to ensure timely and appropriate evacuation or relocation, geographic scope of evacuation, etc. The advisory group may also consider actions to be taken if personnel/students refuse to evacuate.

If a decision to evacuate personnel is made, a travel restriction shall become effective. Details concerning evacuation plans and travel restrictions shall be conveyed to UCSF leadership, students, staff, faculty and families of those affected according to the Communications algorithm (Figure 1).

Additional Procedure and Policy Decisions

The UCSF Travel Emergency Advisory Group may consider the following:

- Recognizing not all travelers register with the UC Business and/or Student Travel Accident insurer and iJET, issue an emergency alert via a UCSF-wide Listserv or other means requesting the identification and travel information of any students/trainees, staff and faculty currently traveling in the specified location of concern be reported to the Travel Emergency Advisory Group (provide phone and e-mail to contact).
- Initiate Unregistered Traveler Travel Emergency Procedures if appropriate (see below).
- Assess the need for, and if indicated, make preparations for medical screenings, mental health or other support/services; family support services to be offered families of returning or relocated personnel; other benefits issues (paid time off, sick leave, FMLA, Workers’ Comp, etc.).

Unregistered Traveler Travel Emergencies Procedures

Upon identification of any unregistered traveler(s) in an area which UCOP, iJET or UCSF has ordered evacuations the Travel Emergencies Advisory Group may consider any or all of the following depending on the circumstances:

- Attempt direct contact with traveler(s) to ascertain location, safety and health status, and evacuation arrangements/plans made.
• Contact a local resource at traveler’s destination to ascertain the above information or request traveler contact UCSF.

• Contact family/next of kin (if known) to ascertain the above information or request traveler contact UCSF.

• Notify UCOP of names, affiliation, location, purpose of travel, contact status, and status of traveler if known.

• Determine through iJET if there is information on local emergency assistance or evacuation resources that can be shared with unregistered travelers.

• Contact State Department’s Bureau of Consular Affairs at 1-888-407-4747. Provide list of names of UCSF student/personnel in affected region and obtain local emergency assistance information and resources to provide to affected UCSF travelers.

• Maintain communications with traveler’s School or Department via the Travel Emergency Advisory Group to coordinate and provide updates regarding traveler’s whereabouts.

• Post emergency information on UCSF website for UCSF student/personnel in affected area that may have access to the internet.

• Post emergency contact information on UCSF Twitter and Facebook accounts.
Figure 1: UCSF Communications for Critical iJet Alerts for International Travelers

UCSF Communications for Critical iJet Alerts for International Travelers

1. UET alert notification is received by Risk Management*

2. Risk Mgmt Alert Review:
   - 1) Life Threatening
   - 2) Critical but not LT
   - 3) Non-Critical

3. If Life Threatening:
   - Critical but not LT: Consider additional guidance to traveler
   - Non-Critical: No further action

4. Occupational Health * - (If a Public Health Emergency)

5. Public Affairs

6. Emergency Comm. Ctr. UCSF PD *

7. Campus Counsel *

8. Dept/Dean Manager * Or Global Health *

9. Consulting Group:
   - Campus Exec Vice Chancellor
   - Campus AVG admin
   - Chancellor
   - Messaging and Family Notification: Risk Management, Campus Counsel, Public Affairs

10. Campus Emergency Hotline Notice

* Advisory Group:
    - Dean or designee of affected School
    - VC or Designee of Affiliated Control Point
    - UCSF PD
    - Global Health Services
    - Occupational Health Services
    - Faculty & Staff Assistance Program
    - Human Resources
    - Risk Management
    - Campus Counsel

Adopted: March 2011
Updated: Sept 23, 2013
Table 2: Annual Summary of UCSF Business Travel Characteristics

<table>
<thead>
<tr>
<th>UCSF Business Travel Summary</th>
<th>Totals</th>
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<tbody>
<tr>
<td><strong>July 1, 2009 through June 30, 2010</strong></td>
<td></td>
</tr>
<tr>
<td>Longer than 2 Weeks</td>
<td>436</td>
</tr>
<tr>
<td>Shorter than 2 Weeks</td>
<td>1636</td>
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<tr>
<td>Traveler - Employee</td>
<td>1950</td>
</tr>
<tr>
<td>Traveler - Student</td>
<td>124</td>
</tr>
<tr>
<td>Traveler - Others</td>
<td>29</td>
</tr>
<tr>
<td>w/ Additional Traveler</td>
<td>369</td>
</tr>
<tr>
<td>Visit Foreign Country</td>
<td>1021</td>
</tr>
<tr>
<td>*Purpose : Academic Instruction</td>
<td>439</td>
</tr>
<tr>
<td>*Purpose : Administrative Duties</td>
<td>207</td>
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<tr>
<td>*Purpose : Clinical Service</td>
<td>119</td>
</tr>
<tr>
<td>*Purpose : Organized Recreation</td>
<td>8</td>
</tr>
<tr>
<td>*Purpose : Other</td>
<td>461</td>
</tr>
<tr>
<td>*Purpose : Public Service</td>
<td>259</td>
</tr>
<tr>
<td>*Purpose : Research</td>
<td>952</td>
</tr>
<tr>
<td>*Purpose : Training</td>
<td>417</td>
</tr>
<tr>
<td><strong>Total Travels</strong></td>
<td>2103</td>
</tr>
</tbody>
</table>

*Travels may have more than one purpose

Figure 2: UCSF Travel Purpose

![Purpose of Trip chart]

- Research
- Academic Instruction
- Training
- Public Service
- Clinical Service
- Organized Recreation
- Other
- Administrative Duties

*Each trip may have more than one purpose*
Figure 3: UCSF Business Travel Destinations

Countries and Number of Trips to Foreign Locations July 1, 2009-June 30, 2010
Figure 4: UCSF Traveler Categories

UCSF Business Travel 7/1/2009 to 6/30/2010 Traveler Categories

- Associate of the President or Chancellor: 6
- Faculty or Staff Employee: 1658
- Faculty or Staff Employee - Clinical Fellow: 31
- Faculty or Staff Employee - Medical Resident: 41
- Faculty or Staff Employee - Post-Doctoral Scholar: 81
- Faculty or Staff Employee - Senior Management: 133
- Graduate Student: 124
- Regent or Regents Designates: 1
- Undergraduate Student: 7
- Volunteer: 21
Table 3: UCSF International Project Locations (1995-2010)

http://globalhealthsciences.ucsf.edu/about-us/where-we-work

The information listed below are locations derived from historical information collected by Global Health Sciences regarding ongoing research projects overseas. Other than the Business and Student Travel Accident Insurance programs there are no other centralized resources to determine where UCSF students and personnel may be. For emergency notification, the iJet system is the only reliable method of locating and alerting registered travelers to emerging threats that may affect them or their teams. Locating unregistered travelers may not be feasible on an emergency basis.

* Indicated countries traveled to ten or more times annually (See Figure 3).

<table>
<thead>
<tr>
<th>Country</th>
<th>Country</th>
<th>Country</th>
</tr>
</thead>
<tbody>
<tr>
<td>Afghanistan</td>
<td>Ghana</td>
<td>Puerto Rico</td>
</tr>
<tr>
<td>Albania</td>
<td>Greece*</td>
<td>Republic of Korea</td>
</tr>
<tr>
<td>American Samoa</td>
<td>Guam</td>
<td>Russian Federation</td>
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<tr>
<td>Angola</td>
<td>Guatemala*</td>
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The following plan serves as an operational working draft pending completion by HR.

I: Emergency Operations Center Standard Operating Procedure (SOP)

Purpose

This Annex provides plans and guidance on the resources and procedures UCSF may
utilize to request, receive process, organize and manage Disaster Service Workers
(DSW)/Volunteers responding to emergencies and disasters which affect UCSF.

Concept of Operations

UCSF staff and faculty are Disaster Service Workers (DSW)\(^1\). UCSF staff and faculty may
be directed to fulfill emergency response functions as DSWs or may volunteer.

\(^1\) State Oath of Allegiance required of all UC employees cites California Government Code Section 3100-3109
Students and affiliates who possess UCSF IDs may also volunteer their services to UCSF during disasters.

The UCSF Human Resources Department will have lead responsibility as the UCSF Emergency Operations Center’s Logistics Section - Human Resources Unit for coordinating human resources requests. The Human Resources Unit will focus on the use of UCSF staff, faculty, students and affiliates who possess active UCSF IDs as disaster response DSW/Volunteers.

UCSF will refer non-UCSF ID holders to San Francisco Operational Area DSW/Volunteer centers. If human resource request exceed UCSF capacity to fill the needs, the Human Resources Unit will coordinate request for DSW/Volunteers with the San Francisco EOC. All reference to DSW/Volunteers and DSWs in this Annex will refer to UCSF ID holders unless otherwise specified.

Potential DSW/Volunteer Functions

The following listing is an example of the functional areas DSW/Volunteers may fulfill in an emergency:

- Assisting UCSF Victims with Special Needs
- Assisting UCSF Victims with Immediate Needs
- Clerical Work
- Construction
- Crowd Control Assistance
- Damage Assessment
- Data Entry
- Debris Clean Up
- Donations Coordination
- EOC Support
- Equipment Operating
- First Aid
- Food Preparation
- HAM Radio Operator
- Labor
- Mental Health Counseling/Psychological First Aid
- Phone Receptionist
- Shelter Assistance
- Traffic Control Assistance
- Transportation
- Translating Services

DSW/Volunteer Functions Not Covered Under This Annex
Due to the need for specific professional or technical credential or licensure requirements, including verification, or due to the requirement for background clearances the following DSW/Volunteers will not be recruited or managed by the EOC Human Resources Unit:

<table>
<thead>
<tr>
<th>Volunteer Function</th>
<th>Responsible UCSF Department</th>
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<tbody>
<tr>
<td>Animal Care</td>
<td>LARC</td>
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<td>Child care</td>
<td>Child Care Centers</td>
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<td>Health and Medical</td>
<td>Medical Center</td>
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<td>Security</td>
<td>Police Department</td>
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</table>

**UCSF DSW/Volunteer Management**

UCSF Human Resources (HR) has primary responsibility for DSW/Volunteer management. UCSF HR coordinates DSW/Volunteer management at the Human Resources Disaster Recovery Center (HRDRC) via the EOC Logistics Section, Human Resources Unit.

Primary DSW/Volunteer management functions include:
1. Staff and manage the Human Resources Disaster Recovery Center
2. Refer non-UCSF spontaneous volunteers to the appropriate City/County San Francisco (CCSF) and American Red Cross (ARC) Volunteer Coordination Centers.
3. Refer UCSF DSW/Volunteers with health care skills to the UCSF Medical Center volunteer coordinator.
4. Register, process, and provide orientation for UCSF personnel seeking to volunteer or have responded to UCSF calls for volunteers.
5. Assign DSW/Volunteers to the UCSF EOC, UCSF Emergency Response Teams, or Departments in need of volunteer support based upon their skills and abilities.
6. Provide Volunteer Utilization Guidelines\(^2\) (maximum hours per shift, Check in Check out, medical aid, feeding, safety, etc.) to any UCSF entity receiving a volunteers.
7. Monitor the schedule of DSW/Volunteers to assure individual DSW/Volunteers have adequate time between shifts, and do not exceed 40 hours per week.
8. Maintain accurate DSW/Volunteer records for accounting, insurance, workers compensation etc.
9. Assure DSW/Volunteers are out-processed after DSW/Volunteer duties and referred for disaster mental health services if indicated.

Refer to the Human Resources Checklist in the Emergency Response Management Plan (Part 8, page 8-19) for additional functions.

\(^2\) HR to develop
Plan Activation

The EOC Director or Logistics Section Chief may activate the Human Resources Unit.

The Human Resources Unit Lead can activate the Human Resources Disaster Recovery Center (HRDRC) Coordinator when the human resource needs in emergency response are expected to exceed available resources. The HRDRC is located at Laurel Heights or alternate location if the UCSF Laurel Heights complex is closed due to damage.

Objectives

When activated the EOC Human Resources Unit objectives are:
1. Identify what DSW/Volunteer skills are needed in the situation.
2. Identify what DSW/Volunteer resources are currently available.
3. Connect needs with resources.
4. Identify gaps between what is needed and what is available.
5. Fill the gaps via recruitment, training and mobilizing DSW/Volunteers.
6. Monitor the situation and make modifications as necessary.
7. Account for all DSW/Volunteers.
8. Promote the safe and appropriate utilization of DSW/Volunteers by UCSF during emergency operations.

Requesting Human Resources for Emergency Operations

Needs Identification
EOC units, particularly Operations Section Units may need additional personnel to support EOC operations or support emergency response and recovery operations in any affected area UCSF (or in response to mutual aid assistance from other UC campuses).

UCSF emergency response teams (i.e.: CERT, Care & Shelter) Departmental Operations Centers, or departments engaged in response and recovery may request additional personnel via the EOC.

Requesting Resources
EOC Units are to submit request for human resources to Logistics using the UCSF Resource Request Form.

If receiving request from Emergency Response Teams, DOC or campus departments, EOC Unit receiving request is responsible for coordinating extension of resource requirement if indicated, increasing or decreasing requirement and demobilization of resource with the requestor.

Define Resource Requirements
- Special skills needed (Excel and MS Word proficiency, Class B driver’s License, Carpentry).
- Functions to be filled (see Potential DSW/Volunteer Functions)
• Number of personnel required per skill or function
• Number of days needed
• Shifts per day to be filled
• Shift duration (8-10-12 hrs)
• Contact information for requestor

**Logistics HR Unit Functions**
The Logistics Section HR Unit will determine if the resource type or functions needed can be filled by UCSF personnel or if the request will need to be submitted to the San Francisco Department of Emergency Management EOC for filling by local, state or federal disaster response resources.

If to be fulfilled using UCSF personnel (Disaster Service Workers/Volunteers), the HR Unit will transcribe the resource request onto a Human Resources Disaster Recovery Staff Request Form (HRDRSR02) and route to the HRDRC.

The Logistics Section HR Unit will keep the Planning Section -Documentation Unit informed of the status of fulfilling human resource requests.

**Accounting for DSW/Volunteers**
EOC Unit, emergency response teams, Departmental Operations Centers, or departments receiving DSW/Volunteers are to complete and submit a Disaster Field Form-Labor to the Finance Section on all DSW/Volunteers.³

The HRDRC will coordinate the accounting of all DSW/Volunteers with the receiving EOC Unit, emergency Team DOC or department, and provide daily DSW/Volunteer deployment data to the Planning Section – Document Unit.

---

³ Appendix F: Forms – Disaster Field Forms
II: Human Resources Disaster Recovery Center Standard Operating Procedure (SOP)

In case of a serious emergency affecting the San Francisco Bay Area or the University of California San Francisco, our HR Department will play an important role in supporting UCSF's recovery effort. All UCSF Human Resources staff should adhere to the following procedures.

HR Crisis Center

In the event of a UCSF emergency, the UCSF Human Resources office at Laurel Heights will be designated the HR Crisis Center (HRCC). It is located at the 3333 California Street, Suite 305, (415) 476-0800.

The HR Crisis Center's (HRCC) primary functions during crisis will be to:
- coordinate communication with UCSF sites regarding the need for physical on-site assistance
- Triage personnel and DSW/Volunteers to UCSF sites throughout San Francisco to assist with basic emergency-related (non-medical and non-criminal) needs.

HR Staff Procedures

1. Listen to the radio for UCSF announcements
   - Tune to KCBS – 740 AM; KNBR – 680 AM or KGO – 810 AM and listen for UCSF specific announcements.

2. Call HR for Reporting Instructions: (415) 476-0800
   - HR personnel are assigned either to a Green, Blue, or Purple team. Each team will be scheduled for a 12 hour shift and will report to work in that sequence after the previous team completes its shift.
   - If a state of emergency is called for UCSF, Green Team members report first.
   - Call the HR Crisis Center Hot line at: (415) 476-0800 for reporting instructions. If the line is busy, keep calling until you get through.

   Blue and Purple team member--Call the HRCC Hot Line two hours before you're due to report to check the status of the emergency and report time.

   If you cannot report to the HRCC, call the HRC Hot Line to report in.

3. Report to Work
   - Green Team members report for first shift.
   - Members of each team should:
A. Secure your homes and families first.

B. Report to the HR Front Desk of the HR Crisis Center (HRCC) on the Laurel Street side of the building at the main HR entrance or with the HRCC Coordinator for your assignment (3333 California Street, Ste. 305).

C. Depending upon the type of emergency, HRCC teams should consider the possibility of an overnight stay. It is recommended that you bring the following items when reporting for duty:

- Sleeping bag, change of clothes (1 day), water and snacks enough for the first couple of hours, needed medication (inhalers, aspirin, etc.), warm jacket, cell phone and sense of humor.
- Beyond the first few hours, food and supplies will be provided by the Care & Shelter Facilities, being organized at each site.
- If you have children that need to accompany you to the HRCC, Child Care will be provided by the two UCSF Child Care Centers at Laurel Heights and Parnassus Campus.

4. Assist the HR Crisis Center

Green Team

Green Team assists the HRCC Coordinator set up the Crisis Center:

- Pull Emergency Bins from storage
- Distribute HR Crisis Binders to each Crisis Center Station
- Set up emergency lights (if needed) at each station and HR Entrance way.

All Teams

HRCC Coordinator will assign all team members to specific duties when they arrive. Duties may entail:

- retrieving messages from the HR Crisis Hot Line
- taking job orders from HR Director at EOC
- calling DSW/Volunteers/Filling Job Orders
- checking in DSW/Volunteers at HR Staging Area (Front Desk)
- Runner to relay messages & info between HRCC and Staging Area.

More specific instructions will be provided according to job duties assigned by the HRCC Coordinator.

Rev: 1/31/05
DSW/Volunteer Management Forms and Uses

**Volunteer ID** (HRDREB06): Temporary Identification

**UCSF DSW/Volunteer Application** (HRDRVA05): Matching DSW and Volunteers with emergency skill and functional needs.

**Staff Request Form** HRDRSR02): Requestor identifies type of DSW/Volunteers needed. Completed by HR Unit in EOC based upon Resource Request Form and contact with requestor.

**Staff Absence Report** HRDRSA03)

**Information Request Form** (HRDRIR04): Request for information on students, faculty or staff from family.

**Staff Assignment Sheet** (HRDRAS07): Provided to DSW or volunteer upon assignment

**UCSF Disaster Recovery Job Order Log** (HRDRJO01): EOC Logistics HR Unit uses to keep track of requests and status of filling requests.

**UCSF Disaster Volunteer Log** HRDRV08: HRDRC accounting of DSW and volunteers.
### Volunteer ID

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<th>Authorization:</th>
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HRDREB06
# UCSF DSW/Volunteer Application

## Personal Information

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## Employment Information (Title, Place of Employment):

## Emergency Contact Information

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Describe any restrictions on your activities (physical, medical, mental):

Date of last tetanus shot (if known):

Are you currently charged with or have you ever been convicted of a felony?

Yes | No

If yes, please explain:

Do you have personal transportation?

Yes | No

Are you willing/able to do manual labor?

Yes | No

## General Availability:

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<th>Sun</th>
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<th>Fri</th>
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<td>10 pm–6 am</td>
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## Skills & Qualifications:

Fluency in language(s) other than English:

Licenses/Professional Certifications:
Professional Background:

Education Background:

Computer Skills:

Prior or Current Volunteer Experience:

Prior Disaster Relief Experience:

### Skills (Place x in box to left):

<table>
<thead>
<tr>
<th>Administrative/Secretarial</th>
<th>Human Resources (interviewing, recruiting, etc.)</th>
</tr>
</thead>
<tbody>
<tr>
<td>Accounting/Finance/Bookkeeping</td>
<td>Law Enforcement,</td>
</tr>
<tr>
<td>Animal Care</td>
<td>Mental Health Counselor/Social Worker</td>
</tr>
<tr>
<td>Firefighter</td>
<td>Management</td>
</tr>
<tr>
<td>Child Care</td>
<td>Security</td>
</tr>
<tr>
<td>Customer Service</td>
<td>Technical (IT professional, etc.)</td>
</tr>
<tr>
<td>Equipment Operator</td>
<td>Trade:</td>
</tr>
<tr>
<td>Food Service (help prepare &amp; serve meals)</td>
<td>Translator: Languages:</td>
</tr>
<tr>
<td>Health Services (Doctor, Nurse, EMT)</td>
<td>Transportation (Professional Truck/Bus Driver)</td>
</tr>
<tr>
<td>Other:</td>
<td></td>
</tr>
</tbody>
</table>

### Volunteer Functions you are willing and capable to provide (Place x in box to left):

<table>
<thead>
<tr>
<th>Animal Care</th>
<th>(Unable to accept due to background investigation requirements)</th>
</tr>
</thead>
<tbody>
<tr>
<td>Child Care &amp; Support</td>
<td>(Unable to accept due to background investigation requirements)</td>
</tr>
<tr>
<td>Clerical Work</td>
<td></td>
</tr>
<tr>
<td>Construction</td>
<td>Medical Team for Prophylaxis / Vaccination (Go to UCSF Medical Center Volunteer Center)</td>
</tr>
<tr>
<td>Food Preparation</td>
<td></td>
</tr>
<tr>
<td>HAM Radio Operator</td>
<td></td>
</tr>
<tr>
<td>Labor</td>
<td></td>
</tr>
<tr>
<td>Volunteer Functions you are willing and capable to provide: (Continued)</td>
<td></td>
</tr>
<tr>
<td>------------------------------------------------</td>
<td></td>
</tr>
<tr>
<td>Crowd Control Assistance</td>
<td>Mental Health Counseling (Go to UCSF Medical Center Volunteer Center)</td>
</tr>
<tr>
<td>Damage Assessment</td>
<td>Psychological First Aid</td>
</tr>
<tr>
<td>Data Entry</td>
<td>Pharmacy Team for Prophylaxis / Vaccination (Go to UCSF Medical Center Volunteer Center)</td>
</tr>
<tr>
<td>Debris Clean Up</td>
<td>Phone Receptionist</td>
</tr>
<tr>
<td>Donations Coordination</td>
<td>Security Assistance (Unable to accept due to background investigation requirements)</td>
</tr>
<tr>
<td>Emergency Operations Center Staff Support</td>
<td>Shelter Assistance</td>
</tr>
<tr>
<td>Equipment Operating (type):</td>
<td>Traffic Control Assistance</td>
</tr>
<tr>
<td>First Aid</td>
<td>Translating Services</td>
</tr>
<tr>
<td>Other:</td>
<td></td>
</tr>
</tbody>
</table>

**HRDRC Staff Use Only:**

**Volunteer Screening**

Document any screening results/reference checks:
Volunteer Agreement

1. The information provided is complete and true. If information given on this application is incomplete or untrue, I understand my assignment may be terminated.

2. I have disclosed any felony convictions. I agree to a background check, verification of the statements contained herein and additional screening procedures.

3. By completing the Disaster Service Worker Training, and performing disaster related work as directed by UCSF, I will report any disaster response work related illnesses or injuries to my assigned supervisor, or to the HR Disaster Resource Center for recording as a potential OWCP claim.

4. I understand that my own insurance will be used as coverage for illnesses and injuries not covered under the Disaster Service Worker’s Workers Compensation Program, and that I am ultimately responsible for any costs incurred.

5. I agree to respect the rights, property and confidentiality of emergency worker and individuals affected by disaster.

6. I agree to adhere to the rules/instructions of my job assignment(s) so as not to jeopardize relief operations or procedures.

Signature: _______________________________ Date: ____________________
Waiver of Liability, Assumption of Risk, and Indemnity Agreement

Waiver: In consideration of being permitted to participate in any way in (Description of volunteer activity including start and end date(s)) hereinafter called "The Activity", I, for myself, my heirs, personal representatives or assigns, do hereby release, waive, discharge, and covenant not to sue The Regents of the University of California, its officers, employees, and agents from liability from any and all claims including the negligence of The Regents of the University of California, its officers, employees and agents, resulting in personal injury, accidents or illnesses (including death), and property loss arising from, but not limited to, participation in The Activity.

Signature of Parent/Guardian of Minor Date Signature of Participant Date

Assumption of Risks: Participation in The Activity carries with it certain inherent risks that cannot be eliminated regardless of the care taken to avoid injuries. The specific risks vary from one activity to another, but the risks range from 1) minor injuries such as scratches, bruises, and sprains 2) major injuries such as eye injury or loss of sight, joint or back injuries, heart attacks, and concussions to 3) catastrophic injuries including paralysis and death.

I have read the previous paragraphs and I know, understand, and appreciate these and other risks that are inherent in The Activity. I hereby assert that my participation is voluntary and that I knowingly assume all such risks.

Indemnification and Hold Harmless: I also agree to INDEMNIFY AND HOLD The Regents of the University of California HARMLESS from any and all claims, actions, suits, procedures, costs, expenses, damages and liabilities, including attorney’s fees brought as a result of my involvement in The Activity and to reimburse them for any such expenses incurred.

Severability: The undersigned further expressly agrees that the foregoing waiver and assumption of risks agreement is intended to be as broad and inclusive as is permitted by the law of the State of California and that if any portion thereof is held invalid, it is agreed that the balance shall, notwithstanding, continue in full legal force and effect.

Acknowledgment of Understanding: I have read this waiver of liability, assumption of risk, and indemnity agreement, fully understand its terms, and understand that I am giving up substantial rights, including my right to sue. I acknowledge that I am signing the agreement freely and voluntarily, and intend by my signature to be a complete and unconditional release of all liability to the greatest extent allowed by law.

Signature of Parent/Guardian of Minor Date Signature of Participant Date

Participant’s Age (If minor)____ Vol Waiver 7/01

HRDRVA05
UCSF Human Resources Disaster Recovery
Staff Request Form

UCSF Disaster #: ______________________

Date: ______________________  Job Order #: ____________

Requesters Name: ___________________________ Phone #: ___________________

Report To: _________________________________ Phone #:___________________

Address: ___________________________________ Room #: ___________________

Number of Staff Needed: ______________________

Location: ________________________________________________________________
(If other than building)

Job Title: ______________________  Job Title Code:____________________

Job Description:
______________________________________________________________________________
______________________________________________________________________________
______________________________________________________________________________
______________________________________________________________________________
______________________________________________________________________________

Special Skills/Documents:

Driver's License: _________ Lifting:________CPR:_______ First Aid: ________

______________________________________________________________________________

UCSF Human Resources Use Only:

_____ of _____

Employee Name: __________________________

Pay Rate: ___________ Step: __________

HRDRSR02
UCSF Human Resources Disaster Recovery: Staff Absence Report

UCSF Disaster #: ______________________
Date: ______________________ Time Received: ____________

Employee Name:_____________________________ Home Phone #: _______________

Supervisors Name: ____________________________ Supv. Phone #: _______________

Employee Department & Location:________________________________________________

Information to forward:
_____________________________________________________________________________
_____________________________________________________________________________
_____________________________________________________________________________
_____________________________________________________________________________
_____________________________________________________________________________

HR Rep: _______________________

UCSF Human Resources Use Only:

Call Date: ________________ Time: __________________

Information Given to: Name: ______________________________________

HR Rep: ___________

HRDRSA03
UCSF Human Resources Disaster Recovery
Information Request Form

UCSF Disaster #: ______________________

Date: ______________________         Time Received: ___________

Requesters Name: ______________________ Phone #: __________________

Employee Name: ______________________ Relationship: ___________________

Employee Department Name: _____________________________________________

Location: _____________________________________________________________
   (If known)

Supervisor’s Name: ______________________________________________________

Information Requested:
_____________________________________________________________________
_____________________________________________________________________
_____________________________________________________________________
_____________________________________________________________________

UCSF   Human Resources Use Only:

Return Call Date: ________________   Time: __________________

Information Given:
_____________________________________________________________________
_____________________________________________________________________
_____________________________________________________________________

HR Rep: __________

HRDRIR04
UCSF Human Resources Disaster Recovery
Staff Assignment Sheet

UCSF Disaster #: ________________________
Date: ______________________            Job Order #: EMER100____________________
Requesters Name: ________________________ Phone #: _______________________
Report To: ______________________________ Phone #: ______________________
Address: ________________________________ Room #: _______________________

Location: __________________________________________
(If other than building)
Job Title: ________________________________ Job Title Code: _______________________

Special Skills/Documents:
Driver’s License: _______Lifting:_______ CPR:_______First Aid:________

Employee Name: ________________________________________________
Pay Rate: ___________  Step: _________

(HRDRAS07)
<table>
<thead>
<tr>
<th>Date</th>
<th>Time</th>
<th>JO#</th>
<th>Requester</th>
<th>Telephone Number</th>
<th>Job Title</th>
<th>Called to HR</th>
<th>Number Employees requested</th>
<th>Filled</th>
</tr>
</thead>
<tbody>
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</tbody>
</table>

UCSF Disaster Recovery Job Order Log
# UCSF Disaster Volunteer Log

For: ________________ (Date or Operational Period)  
UCSF Disaster #: 

<table>
<thead>
<tr>
<th>UCSF ID or Volunteer #</th>
<th>Name</th>
<th>Contact Information (Cell, Home/Work phone, SMS, Email, Pgr, etc)</th>
<th>Time Contacted or Attempted</th>
<th>Payroll Title (if applicable)</th>
<th>Volunteer Category</th>
<th>Staying At</th>
<th>Assigned to Job Order #</th>
<th>Shift Hours</th>
<th># Hours Worked</th>
</tr>
</thead>
<tbody>
<tr>
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</tbody>
</table>

HRDRVL08
III: UCSF Disaster Service Worker & Volunteer Management & Preparedness Guidelines

Assumptions

- UCSF’s Emergency Operations Center may identify the need for DSW/Volunteers or Disaster Service Workers (DSW) to support UCSF’s emergency response and recovery operations.

- UCSF Staff and Faculty instructed to report to campus to provide emergency or essential services by their Department or the UCSF Emergency Operations Center (EOC) will be functioning as paid Disaster Service Workers.

- UCSF Staff and Faculty may spontaneously seek to volunteer to assist in UCSF emergency response and recovery operations. As UCSF staff or faculty, they will be functioning as paid Disaster Service Workers.

- UCSF Students and affiliates may spontaneously seek to volunteer to assist in UCSF emergency response and recovery operations.

- The UCSF Medical Center has a volunteer registration and management plan in place. The UCSF EOC will refer UCSF campus personnel with health care licenses or community health care volunteers to the UCSF Medical Center volunteer center.

- The City and County of San Francisco (CCSF) Department of Emergency Management (DEM) and American Red Cross Bay Area (ARC) have volunteer registration and management plans in place. The UCSF EOC will refer non UCSF volunteers to the appropriate volunteer center.

DSW and Volunteer Types Defined

**UCSF Staff and faculty**
Staff and faulty who have been dismissed or displaced from their regular work duties due to the emergency, may volunteer or be directed by UCSF to provide emergency support functions as a Disaster Service Worker (DSW). UCSF Staff and Faculty DSWs will be paid according to UC pay and benefit policies.
### UCSF Students

<table>
<thead>
<tr>
<th>Unpaid Volunteer Status</th>
<th>Non Volunteer Status</th>
</tr>
</thead>
<tbody>
<tr>
<td>Students over 18 years of age who have been dismissed or displaced from studies due to the emergency, may on their own volition seek to volunteer in an unpaid status.</td>
<td>Students who have been dismissed or displaced from their clinical studies due to the emergency, may be called upon by UCSF to provide emergency clinical support functions as part of their clinical experiences, under the direction of a faculty member. They are not considered volunteers in this case.</td>
</tr>
</tbody>
</table>

### UCSF Affiliates

Affiliates include personnel issued UCSF ID Cards such as employees of affiliated organizations on campus, alumnus/alumna, personal services contractors, post-doctoral fellows, community preceptors, retirees, travelling nurses, employees of a contracting firm doing business on campus, and volunteers.

<table>
<thead>
<tr>
<th>Unpaid Volunteer Status</th>
<th>Non Volunteer Status</th>
</tr>
</thead>
<tbody>
<tr>
<td>UCSF unpaid Affiliates (i.e.: unpaid faculty appointees, volunteers) who have been dismissed or displaced from work due to the emergency, may on their own volition seek to volunteer in an unpaid status.</td>
<td>Affiliates who have been dismissed or displaced from their regular work duties due to the emergency, may be called upon by their employer to provide emergency support functions. Under such circumstances the affiliate and their employer are responsible for determining paid status. Affiliates are not considered volunteers in this case.</td>
</tr>
</tbody>
</table>

### UCSF Emergency DSW/Volunteer Teams

DSW/Volunteer groups organized under the UCSF Police Department, Homeland Security Emergency Management Division (i.e.: Emergency Action Plan Floor Wardens and Emergency Coordinators, Campus Emergency Response Teams, Emergency Communications Teams, Disaster Mental Health Teams, Care and Shelter Teams)

<table>
<thead>
<tr>
<th>Unpaid Volunteer Status</th>
<th>Paid Volunteer Status</th>
</tr>
</thead>
<tbody>
<tr>
<td>Staff and faulty team members who are voluntarily participating in training, exercises or special events outside of the employee's regularly scheduled hours.</td>
<td>Staff and faulty who have been dismissed or displaced from their regular work duties due to the emergency, may be activated by the UCSF EOC to provide emergency</td>
</tr>
</tbody>
</table>
support functions as a Disaster Service Worker (DSW). UCSF DSWs are not volunteers.

<table>
<thead>
<tr>
<th>Student team members.</th>
<th>See “UCSF Students” above</th>
</tr>
</thead>
<tbody>
<tr>
<td>Affiliate team members who are voluntarily participating in training, exercises or special events outside of their employer's regularly scheduled hours.</td>
<td></td>
</tr>
</tbody>
</table>

**Non UCSF Spontaneous Volunteers**
Non UCSF spontaneous volunteers include the following groups:

Individuals from the surrounding communities, California, or elsewhere, seeking to volunteer at the time of the disaster who do not possess an active UCSF ID.

Family/household members of UCSF Staff, Faculty, Students, Affiliates, seeking to volunteer at the time of the disaster who do not possess an active UCSF ID.

**Non UCSF Volunteer Organizations:**
Organizations such as the American Red Cross, Salvation Army, San Francisco Neighborhood Emergency Response Teams (NERT), Medical Reserve Corps (MRC), etc.

**When DSW/Volunteers May be Needed**
Not all emergencies are likely to result in spontaneous volunteers showing up on campus or the need for volunteers being identified by the UCSF EOC. The likelihood that an emergency may generate a need for volunteers and the types of volunteers is listed in Table 1. The types of emergencies listed are those which are included in the UCSF Hazard Vulnerability Assessments (see Appendix HVA for further information on UCSF Hazard Vulnerability Assessments).

---

4 State Oath of Allegiance required of all UC employees cites California Government Code Section 3100-3109
# Table 1: DSW/Volunteer Need and Type Probability

<table>
<thead>
<tr>
<th>Probability of need for DSW/Volunteers</th>
<th>Emergency Type (Based on UCSF HVA)</th>
<th>Administrative</th>
<th>Animal Care</th>
<th>Labor</th>
<th>Medical</th>
<th>Technical</th>
<th>Victim Services</th>
</tr>
</thead>
<tbody>
<tr>
<td>High</td>
<td>Catastrophic Earthquake</td>
<td>EOC Support</td>
<td>X</td>
<td>Debris Repair</td>
<td>X</td>
<td>Radio IT</td>
<td>Shelters Mental Health Feeding</td>
</tr>
<tr>
<td>Unlikely</td>
<td>Communications failure &gt; 4 hours</td>
<td>Victim Registration</td>
<td></td>
<td>IT</td>
<td>Radio IT</td>
<td></td>
<td></td>
</tr>
<tr>
<td>Unlikely</td>
<td>Accidental Hazmat Release</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Unlikely</td>
<td>Civil Disturbance/Public Disturbance/Animal Rights Disturbance</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Low (If large scale fire with large displaced population and injuries)</td>
<td>Fire, Internal</td>
<td>Victim Registration</td>
<td>X</td>
<td></td>
<td></td>
<td></td>
<td>Mental Health Feeding</td>
</tr>
<tr>
<td>Unlikely</td>
<td>Information Technology Infrastructure Disruption</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td>Radio IT</td>
<td></td>
</tr>
<tr>
<td>Unlikely</td>
<td>Electrical Failure</td>
<td></td>
<td></td>
<td></td>
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<td></td>
</tr>
<tr>
<td>Low (If resulted in deaths and injuries)</td>
<td>Workplace Violence/Active Shooter/Barricaded Suspect or Hostage</td>
<td></td>
<td>X</td>
<td></td>
<td></td>
<td></td>
<td>Mental Health</td>
</tr>
<tr>
<td>Unlikely</td>
<td>High Winds</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td>Radio IT</td>
<td></td>
</tr>
<tr>
<td>Unlikely</td>
<td>Generator Failure</td>
<td></td>
<td></td>
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<tr>
<td>Unlikely</td>
<td>Bomb Threat all types</td>
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<tr>
<td>Unlikely</td>
<td>HVAC Failure 2 or more hours</td>
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</tr>
<tr>
<td>Moderate</td>
<td>Epidemic</td>
<td>EOC Support Victim Registration</td>
<td>X</td>
<td></td>
<td></td>
<td>Subject Matter Experts</td>
<td>Mental Health</td>
</tr>
<tr>
<td>Unlikely</td>
<td>Flood, internal</td>
<td></td>
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<tr>
<td>Unlikely</td>
<td>Steam Failure</td>
<td></td>
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<tr>
<td>Unlikely</td>
<td>Water supply disruption</td>
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<tr>
<td>Moderate</td>
<td>Intentional Biological, Radiological, or Chemical Agent Release</td>
<td>EOC Support Victim Registration</td>
<td>X</td>
<td></td>
<td></td>
<td>Subject Matter Experts</td>
<td>Mental Health</td>
</tr>
<tr>
<td>Unlikely</td>
<td>Fire Alarm Failure</td>
<td></td>
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<tr>
<td>Unlikely</td>
<td>Infant/Child Abduction</td>
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<tr>
<td>Unlikely</td>
<td>Landslide - Mudslide</td>
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<tr>
<td>High</td>
<td>Mass Casualty Event</td>
<td>EOC Support Victim Registration</td>
<td>X</td>
<td></td>
<td></td>
<td></td>
<td>Mental Health</td>
</tr>
<tr>
<td>Unlikely</td>
<td>Medical Gas Failure</td>
<td></td>
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<tr>
<td>Unlikely</td>
<td>Natural Gas Failure</td>
<td></td>
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<tr>
<td>Unlikely</td>
<td>Wildfire</td>
<td></td>
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<tr>
<td>Low (If resulted in deaths and injuries)</td>
<td>Truck Bomb and Mail/package Bomb</td>
<td></td>
<td>X</td>
<td></td>
<td></td>
<td></td>
<td>Mental Health</td>
</tr>
<tr>
<td>Low (If resulted in deaths and injuries)</td>
<td>Explosion</td>
<td></td>
<td>X</td>
<td></td>
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<td>Mental Health</td>
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<tr>
<td>Unlikely</td>
<td>Tsunami - Coastal</td>
<td></td>
<td>X</td>
<td></td>
<td></td>
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<td>Mental Health</td>
</tr>
</tbody>
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Annex VM Volunteer_DSW Management Plan 07 22 2013.docx
DSW/Volunteer Recruitment

The Human Services Unit Lead will contact the HRDRC Coordinator requesting DSW/Volunteers by type and number utilizing the *Staff Request Form.*

### Sources of DSW/Volunteers

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<th>Within UCSF</th>
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<td>Affiliates</td>
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### Recruiting Message

The Human Resources Unit will work with the EOC PIO to publicize UCSF’s need for DSW/Volunteers including what types of DSW/Volunteers are needed and where and how to volunteer.

### DSW/Volunteer Recruitment Outreach

- UCSF Today website. Contact EOC Public Information/Media
- UCSF Hotline. Contact EOC Support Staff
- List Serves. Contact ListServ Owner
- UCSF Mass Notification System. Contact EOC MNS Coordinator
- CCSF DEM Community Services Branch
- CCSF Human Resources Volunteer Office
- Local Radio & TV Contact EOC Public Information/Media
- Other UC Campuses. Contact EOC Liaison Officer

### DSW/Volunteer Processing

The HRDRC staff will manage DSW/Volunteer processing according to the HRDRC Standard Operation Procedure. (see [II: Human Resources Disaster Recovery Center Standard Operating Procedure (SOP)].

**If infrastructure is intact, and the volume of DSW/Volunteers to be processed and time allows, UCSF Risk Management's Volunteer Guidelines forms and procedures may be incorporated by the HRDRC.**

**Under austere disaster circumstances the following procedures may be used:**

Spontaneous DSW/Volunteers should either view or read the UCSF Disaster Service Worker training program before leaving or being assigned to a DSW/Volunteer position.

The *Staff Request Form* is to be completed by the UCSF operation requesting DSW/Volunteers.

---

5 To be developed as of 7/22/2013

Volunteer Management V-27 Revised July 22, 2013
Annex VM Volunteer_DSW Management Plan 07 22 2013.docx

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To be developed as of 7/22/2013
The HRDRC Coordinator will contact registered DSW/Volunteers. The *UCSF Disaster Volunteer Log (HRDRVL08)* should be used to record calls made.

**Application**

Volunteer applicants complete the *UCSF DSW/Volunteer Application*.

**Screening Process:**

HRDRC Staff to Review *UCSF DSW/Volunteer Application*.

**Interview:**

HRCC Staff conduct an interview to determine if the DSW/Volunteer is likely to successfully perform the DSW/Volunteer functions under austere emergency conditions (expectations, adaptability, physical or emotional ability to work within the emergency environment, etc.)

**Reference Checks**

Phone, fax, e-mail and internet may be severely limited or unavailable during a disaster making reference checks difficult.

Once phone and or email services are operational the HRDRC Staff may attempt to contact references if the volunteer is still providing services.

**Staff or Faculty volunteers with active UCSF ID cards:** Reference Checks are not required.

**Former Staff or Faculty volunteers (inactive UCSF ID cards):** HRDRC Staff may check employee HR records for disciplinary actions, or obtain a verbal reference from UCSF staff involved disaster response operations.

**Student or Affiliate volunteers with active UCSF ID cards:** HRDRC Staff may check with the Registrar’s Office for students or the affiliate’s employer or obtain a verbal reference.

**License Verification:** Attach to *UCSF DSW/Volunteer Application* photocopies of driver’s license, trade, professional or other certifications the volunteer is able to provide applicable to the volunteer function for which they are applying. If internet, e-mail, fax and phone services are functioning, HRDRC staff may verify licenses/credentials with issuing authority if appropriate.

**Privacy and Liability Waivers**

**Volunteers from CCSF DEM or HR.**

Volunteers provided by CCSF DEM or CCSF HR are active Disaster Service Workers (DSW) who have competed screening and DSW training. These
volunteer may be provided on an individual basis, to be integrated by UCSF into its volunteer management operations. Due to the Emergency Declaration, the UCSF EOC may waive the requirement for the following volunteer forms\(^6\) and procedures:

- Confidentiality Statement
- Privacy Training
- HIPAA: May be waived during emergencies if volunteer will not have access to medical centers, clinics, UCSF IT/network, HR or financial/procurement records/systems.
- Waiver of Liability, Assumption of Risk, and Indemnity Agreement

**Documentation of Screening Process**

HRDRC staff are to document screening on the *UCSF DSW/Volunteer Application*

**Assign DSW/Volunteer Functions**

Indicate the functions which the DSW/Volunteer may be assigned on the *UCSF Disaster Volunteer Log*

**DSW/Volunteer Orientation (HRDRC)**

HRDRC to brief DSW/Volunteers on

- Checking in/out for DSW/Volunteer assignment
- Time cards
- Meals
- Maximum allowable hours per day/week
- Billeting
- Transportation to DSW/Volunteer assignment
- Reporting of injury/illness
- Emergency Medical Aid
- Disaster Mental Health Aid
- Maintaining communications with the HRDRC for assignments updates, or release.

The HRDRC may augment the above orientation with a DSW/Volunteer information sheet, booklet, or recorded presentation.

**On-Site DSW/Volunteer Supervision**

- The HRCC/HRDRC Coordinator will notify the UCSF EOC, Emergency Response Team or Department that requested a DSW/Volunteer of the DSW/Volunteers name and reporting date and time.
- The UCSF employee in charge of the operation to which the DSW/Volunteer has been assigned shall supervise the DSW/Volunteer

\(^6\) Volunteering at UCSF: Campus Department Guidelines
• The HRCC/HRDRC Coordinator shall provide to DSW/Volunteer supervisor a form with current DSW/Volunteer Unit contact information, DSW/Volunteer usage guidelines, and instruction on how to give feedback to the HRDRC as to the DSW/Volunteer’s suitable or unsuitability for further DSW/Volunteer assignments.7

On-Site DSW/Volunteer Orientation

The UCSF EOC Section/Unit, Emergency Response Team, or Department receiving the DSW/Volunteer is to initially brief each DSW/Volunteer upon arrival on:

• Checking in/out procedure on site
• Time cards
• Meals
• Work Schedule
• Billeting
• Transportation to DSW/Volunteer assignment
• DSW/Volunteer Supervisor or Team Leader
• Worksite Emergency Action Plan
• Current situation and emergency objectives.

Record Keeping

Necessary Records and Reports

• The Human Resources Unit shall on a daily basis, provide the EOC Admin Finance Section the total number of hours worked by DSW/Volunteers.
• The Human Resources Unit shall record expenses incurred to mobilize DSW/Volunteers and submit those records to the EOC Admin Finance Section.8

Records and Reports Management

DSW/Volunteer Management Forms are to be kept for seven years beyond the date of the incident. They will be kept by UCSF HR.

DSW/Volunteer Accounting System

• On a daily and historical basis, the HRDRC will be able to account for:
  • DSW/Volunteer’s work assignment location.
  • DSW/Volunteer’s shift hours
  • DSW/Volunteer contact information while on assignment.
  • Hours worked
  • Location DSW/Volunteer is residing or sheltering.
  • Transportation requirements for the DSW/Volunteer.

---

7 To be developed as of 7/22/2013
8 Appendix F: Forms – Disaster Field Forms
Identification Badges

DSW/Volunteers will be issued an Emergency Credential. Emergency Credentials serve the following purposes:

- To control access to restricted areas.
- Visual identification as registered
- Visual identification of credentials
- Facilitate DSW/Volunteer access to Bay Area transportation systems for Disaster Service Workers

The HRDRC may issue their Volunteer ID as a temporary badge until a UCSF Emergency Credential can be created (Refer to Appendix ECI: Emergency Credential Instructions) Emergency credentials will be made and issued as DSW/Volunteers complete orientation.

DSW/Volunteer Functions Requiring Background Checks

During an emergency (i.e. Earthquake) conducting background clearances may not be possible. Any UCSF Division or Department anticipating the need for DSW/Volunteers requiring a background clearance (refer to following section) are to recruit DSW/Volunteers prior to an emergency and complete background clearances (May request through the UCSF Police Department as a reimbursable service). Those Divisions or Departments will maintain a current DSW/Volunteer call back list, submitting quarterly updates to the UCSF EOC HR Unit Lead for use during EOC activations.

A background check will be required by any DSW/Volunteer who will:

- Work with Children
- Work with research animals
- Perform security functions
- Provide transportation as a part of their DSW/Volunteer responsibility
- Have direct patient care
- Be assigned to a job whose job description specifies the need for a background check

DSW/Volunteer Support

Transportation
Coordinate transportation of DSW/Volunteers from the HRCC/HRDRC or DSW/Volunteer staging area(s) to assigned locations and back through the Logistics Section Transportation Unit.

Child Care
If UCSF Child Care facilities are operating during the emergency, contact the Child Care center to determine if the center has space for children of DSW/Volunteers.
Care & Shelter
DSW/Volunteers are to be included under UCSF emergency responder feeding plans while on duty. Provide the Logistics Section, Care and Shelter Unit with the number of DSW/Volunteers in need of feeding.

If DSW/Volunteers must remain overnight at UCSF due to transportation/infrastructure disruptions, DSW/Volunteers are to be placed in available shelters. Provide the Logistics Section, Care and Shelter Unit with the number of DSW/Volunteers in need of sheltering.

Safety
DSW/Volunteers shall fall under the EOC medical plan, and be eligible for exposure based prophylaxis and PPE as identified in the EOC medical plan and or safety plan for the current activation.
### Table 2: DSW/Volunteer Types & Processing Considerations

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<th>Unpaid Volunteer Status</th>
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<th>Requires Waiver, Confidentiality Statement, Health Screening Forms</th>
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Table 3: DSW/Volunteer Types & Forms Processing
ANNEX Wx
Severe Weather Annex

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PURPOSE

This Annex is to provide protocols and guidance to UCSF emergency response and management officials to assure efficient and effective response, communication, coordination, during periods of Severe Weather.

SCOPE

This Annex may be activated for any single severe weather event or long term severe weather forecast period affecting UCSF campuses and facilities owned or leased by UCSF.

Severe Weather events may include, but are not limited to damaging winds, extreme heat with high humidity, heavy rainfall, snow, damaging hail, and tornados.

DEFINITION OF TERMS USED IN THIS ANNEX

Excessive Heat: defined as a period of at least two or more days of excessively hot and humid weather 10 degrees or more above the average high temperature for the region.
Extreme Cold: defined as temperatures at or below freezing for an extended period (12 hours or more) of time.

Heavy Rain: defined as rain that falls at a rate of 1.00 inch per hour or more.
High Wind: defined as 1-minute average surface winds of 35 kt (40 mph or 64 km/hr) or greater lasting for 1 hour or longer, or winds gusting to 50 kt (58 mph or 93 km/hr) or greater regardless of duration that are either expected or observed over land.

Advisory: Highlights special weather conditions that are less serious than a warning. They are for events that may cause significant inconvenience, and if caution is not exercised, it could lead to situations that may threaten life and/or property.

Watch: A watch is used when the risk of a hazardous weather or hydrologic event has increased significantly, but its occurrence, location, and/or timing is still uncertain. It is intended to provide enough lead time so that those who need to set their plans in motion can do so.

Warning: A warning is issued when a hazardous weather or hydrologic event is occurring, is imminent, or has a very high probability of occurring. A warning is used for conditions posing a threat to life or property.

Storm Spotter: A volunteer weather spotter who reports to and has been trained by the National Weather Service. Storm spotters report many forms of significant or severe weather such as Severe Thunderstorms, Tornadoes, Hail, Heavy Snow, or Flooding.

NWS: National Weather Service

EMERGENCY NOTIFICATION AND COMMUNICATION

This incident communication protocol is intended to document procedures for notifying UCSF stakeholders of an imminent and/or occurring severe weather event that impacts life safety and/or mission continuity of the UCSF Campus.

Communication Flow

- NOAA National Weather Service Monterey Office issues a Severe Weather Warning/Watch/Advisory via:
  - NOAA All Hazards Radio (Wx Radio)
  - Interactive National Weather Service (iNWS)
  - Emergency Digital Information System (EDIS)
  - Emergency Alert System (EAS)
- UCSF Police Department Emergency Communications Center (ECC) notifies the UCSF Director of Homeland Security Emergency
Management (415-933-7483) that a Severe Weather Warning or Watch has been issued for the City/County of San Francisco.

- UCSF Director of Homeland Security Emergency Management (UCSF-HSEM) will inform the Chief of Police (or designee) of the Severe Weather Warning/Watch/Advisory and advise on threats and protective measures which may be warranted as well as identifying additional UCSF stakeholders who should be alerted.
- If the NOAA Severe Weather Warning/Watch/Advisory warrants UCSF protective measures or Campus warnings, communications will follow the following protocols.

**ALERTING UCSF CRITICAL INFRASTRUCTURE/SERVICE/FUNCTION PROVIDERS**

The following departments may warrant notification of a severe weather warning:

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<td>✓</td>
<td>✓</td>
</tr>
<tr>
<td>Transportation</td>
<td>✓</td>
<td>✓</td>
<td>✓</td>
<td>✓</td>
</tr>
</tbody>
</table>

**DEPARTMENT SEVERE WEATHER PREPAREDNESS CONSIDERATIONS**

<table>
<thead>
<tr>
<th>UCSF Department</th>
<th>Excessive Heat Concerns or Preparations</th>
<th>Extreme Cold Concerns or Preparations</th>
<th>Heavy Rain Concerns or Preparations</th>
<th>High Wind Concerns or Preparations</th>
</tr>
</thead>
<tbody>
<tr>
<td>Childcare Centers</td>
<td>Child Health &amp; Safety</td>
<td>Child Health &amp; Safety</td>
<td>Secure playgrounds</td>
<td></td>
</tr>
<tr>
<td>Emergency</td>
<td>Prepare for</td>
<td>Prepare for</td>
<td>Prepare for</td>
<td></td>
</tr>
<tr>
<td>UCSF Department</td>
<td>Excessive Heat Concerns or Preparations</td>
<td>Extreme Cold Concerns or Preparations</td>
<td>Heavy Rain Concerns or Preparations</td>
<td>High Wind Concerns or Preparations</td>
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</tr>
<tr>
<td>Communications Center</td>
<td>increase in medical emergency calls</td>
<td>flooding emergency calls</td>
<td>damage, fallen tree, power line emergency calls</td>
<td></td>
</tr>
<tr>
<td>Facilities Management</td>
<td>Power HVAC</td>
<td>Power Steam HVAC</td>
<td>Storm Drains Sand bags Pumps</td>
<td>Secure windows, dumpsters, exterior tools and supplies</td>
</tr>
<tr>
<td>ITS</td>
<td>Server Rooms</td>
<td>Power outages</td>
<td>Power outages</td>
<td>Power outages</td>
</tr>
<tr>
<td>LARC</td>
<td>Animal health &amp; safety</td>
<td>Animal health &amp; safety</td>
<td>Power outages</td>
<td>Power outages</td>
</tr>
<tr>
<td>Medical Centers</td>
<td>Power HVAC</td>
<td>Power Steam HVAC</td>
<td>Storm Drains Sand bags Pumps</td>
<td>Secure windows, dumpsters, exterior tools and supplies</td>
</tr>
<tr>
<td>Office of Research</td>
<td>Power outages</td>
<td>Power outages</td>
<td>Power outages</td>
<td>Power outages</td>
</tr>
<tr>
<td>Police</td>
<td>Prepare for increase in heat related medical emergency calls. Provide traffic control and other law enforcement related duties in areas experiencing power outages due to extreme heat as needed</td>
<td>Prepare for increase in medical emergency calls. Exposure concerns for homeless population.</td>
<td>Prepare for increase in medical emergency calls. Provide traffic control and other law enforcement related duties due to street flooding.</td>
<td>Prepare for increase in medical emergency calls. Provide traffic control and other law enforcement related duties due to debris and power lines.</td>
</tr>
<tr>
<td>Student Housing</td>
<td>Residents with medical conditions</td>
<td>Storm Drains Sand bags Pumps</td>
<td>Secure windows, dumpsters, tools/supplies</td>
<td></td>
</tr>
<tr>
<td>Transportation</td>
<td>While on routes, drivers will be vigilant to people experiencing heat related problems and provide assistance or summon medical attention as necessary.</td>
<td>Driver Safety Icy Roads</td>
<td>Driver safety Route planning</td>
<td>Driver safety</td>
</tr>
</tbody>
</table>
EOC

**Activation:** The EOC may be activated virtually via conference calls and webinar, at the one of the EOCs, or in the UCPD Chief’s Conference Room at 654 Minnesota Street, Suite 180; Presidio Room.

EOC Staff will be activated via the WarnMe emergency notification system.

Other EOC functions may be activated as needed.

**EOC Hotline:** UCSF PD may place a recorded message on the EOC Hotline (476-9999) for EOC staff if warranted.

**CRISIS COMMUNICATIONS**

**Crisis Communications:** For power failures exceeding four hours, the EOC will be responsible for ongoing communications to the campus leadership and community augmenting the updates supplied by the FM Customer Service Center.

If directed by the EOC Director, the PIO will coordinate UCSF Website emergency update with the Building & Facilities Branch Director to assure messages are consistent with the FM Customer Service Center messages and the Medical Center Media Relations or CMO. The PIO will advise FM on Customer Service Center outgoing messages for enhanced crisis communications content.

Public Affairs, in consultation with the EOC Director or senior administrators from the affected programs may issue closure announcements via the UCSF Website and local radio stations.

**E-mail:** FM Customer Service Center will be the primary source for e-mail updates via the CPFM Emergency/Electrical Alert Group distribution list and the Urgent Notice ListServ.

**FM Hotline:** The recorded message on the Facilities Management Information Hotline (514-1212) should be updated as information changes.

**Conference Calls:** The EOC Director may establish conference calls with representatives from the impacted building and departments or the Policy Group and their designated emergency coordinators to identify impact upon patient care (medical, dental, psychiatric) animal safety & health, research, academic programs, and critical infrastructure (Refer
to Tables 1 and 2 and Annex CI: Critical Infrastructure). WarnMe may be used to notify the Policy Group of the conference calls.

**WarnMe:** In the event the UCSF e-mail network is unable to distribute and deliver messages to the Urgent Notice ListServ to all recipients without significant delivery delays, UCSF PD may utilize WarnMe to deliver brief text messages and voice mail updates.

**UCPD EMERGENCY RESPONSE**

- UCPD shall dispatch a Sergeant and/or Watch Commander to the affected campus to establish a Command Post if indicated.
- UCPD will inform ECC of the UCPD Command Post Location.
- UCPD Security may be notified to support PD operations.
- UCPD may utilize WarnMe to activate CERTs or communicate with EAP Emergency Coordinators and Floor Wardens to assist with evacuations, securing entrances, communicating to Emergency Assembly Areas, etc. (Refer to ERMP Annex CERT)
- UCPD HSEM staff may be dispatched to the affected campus to assist in coordination of EAP and CERT volunteers.

**COORDINATION WITH UCSF COMMUNITY**

The EOC Director and Building & Facilities Branch Director may coordinate conference calls with representatives from the impacted building(s) and department(s) to identify and define the impact of the severe weather event and develop strategic planning and decisions to address the impact.

Representatives from the impacted department(s) should identify by location how the severe weather event has impacted their critical and essential services, facilities and infrastructure. Representatives will be asked to provide information on time frames before there may be:

- Risk to animal health/safety
- Losses or damage to biospecimens/research
- Cancellation of clinics
- Cancellation of classes
- Cancellation of public services/events
- Closure of offices
- Identification of **biospecimens or animals in need of relocation** and department/unit plans and resources or gaps available to effectuate the relocation within the time frame needed to protect health/safety or research.
The EOC Director may work with the representatives from the impacted building(s) and department(s) or EOC Policy Group

- Identification of prioritization plan and time line.
- Identification of affected public service functions to be closed.
- Strategies to communicate closures, relocations, UCSF plans to UCSF students, staff, faculty, affiliates and visitors, and to public.
- Strategies to coordinate and communicate reopening or continued closure of affected programs.
- Determination if losses are likely to result from severe weather event and activation of EOC Insurance/Risk Management Unit.

CAMPUS EOC DEACTIVATION

The EOC Director will determine when to deactivate the EOC. Deactivation may be based upon:

Although ongoing, the impact upon the operations and services with the affected building(s) or campuses is determined not to be significant.

STORM SPOTTER ACTIVATION AND REPORTING

Self-Activation* is indicated by a Spotter Information Statement at the end of each NWS Hazardous Weather Outlook. See example below:

.SPOTTER INFORMATION STATEMENT...

SPOTTERS ARE ENCOURAGED TO REPORT FLASH FLOODING.//

* Storm Spotters should follow the reporting guidance outlined in the NWS Spotter Information Statement. Any report sent to NWS should also be sent to the UCSF Response Teams Coordinator at emer.mgt@police.ucsf.edu