Introduction

Emergencies can occur at any time, without warning. In the event of an emergency, taking all reasonable and appropriate steps to protect people, property, and the university’s interests is essential. The university’s emergency management procedures are implemented first and go into effect when an emergency or crisis situation occurs.

All emergency or crisis events will require some degree of recovery before resumption of normal activity. The extent of recovery activity required depends on the consequences of a particular crisis. Soon after an emergency situation is stabilized, planning for recovery should begin. The purpose of this plan is to define the emergency management, recovery and continuity processes developed to restore American University’s critical functions. The plan components detail the university’s procedures for responding to a crisis situation that affects its ability to provide services to the students, faculty, and staff or its ability to meet legal or regulatory requirements.

Three levels of emergency events have been identified, relative to the magnitude of the emergency.

Level 1—the emergency involves a localized department or building incident that can be quickly resolved with internal resources or limited help. A Level 1 emergency has little or no impact on personnel or normal operations outside the locally affected area. Impacted personnel or departments coordinate directly with operational department personnel from the University Police Department, risk management, facilities or other units to resolve Level 1 conditions.

Level 2—a mid-level emergency that disrupts sizable portions of the campus community and can no longer be managed using normal procedures. Level 2 emergencies may require assistance from external organizations. These events may escalate quickly, and may have serious consequences for mission-critical functions and/or life safety.

Level 3—a major incident that adversely affects the entire campus, and may also affect the surrounding community. During a Level 3 emergency, normal university operations could be suspended. The effect of the emergency is wide-ranging and complex and a timely resolution of disaster conditions requires broad cooperation and extensive coordination.
**Mission Statement**

It is the mission of American University to respond to an emergency situation in a safe, effective, and timely manner. University personnel and equipment will be utilized to accomplish the following:

- Protect lives and reduce chances of injury or death
- Protect university assets and minimize loss of data
- Maintain public image and reputation
- Minimize the critical decisions to be made in a time of crisis
- Restore general campus operations

To the greatest extent possible, regulations regarding the protection of the environment will be complied with during disaster response activities.

**Purpose of the Plan**

The purpose of the American University **Emergency Management and Continuity of Operations Plan** is to establish an organizational structure and procedures for response to major emergencies that disrupt normal campus operations such as, but not limited to, fires, storms, hazardous materials incidents, and terrorist threats.
Emergency Management and Continuity of Operations Plan

**Policy Statement**

The purpose of this policy is to formalize American University’s emergency management and continuity of operations planning process and provide guidelines for the developing, maintaining, and exercising its Plan. This policy provides for:

- The response to emergency scenarios and disasters
- The recovery of time-sensitive processes in accordance with pre-established recovery time objectives
- The restoration and ultimate return to a permanent operating environment

**Emergency Management and Continuity of Operations Process Governance**

1. The American University Vice President for Finance and Treasurer is responsible for and owns the enterprise-wide emergency management and continuity of operations planning program.
2. The American University Assistant Vice President of Risk, Safety, and Transportation Services is responsible for establishing the scope of emergency and continuity planning, providing guidance to the enterprise-wide emergency planning team, reviewing analyses, approving strategy selection, determining funding needed for continuity-related programs, and ensuring compliance with this policy.
3. Departmental management is responsible and accountable for developing and implementing their department/unit’s crisis management and continuity plans. Although the execution of the plan may be delegated, the ultimate responsibility for continuity solution design, implementation, and maintenance resides solely with these senior managers.

**Management Policy**

1. The University’s emergency planning workgroup will identify applicable risks, assess operations, processes, and functions, and as economically justified, formally develop strategies and plans to manage those risks in an emergency management and continuity of operations plan.
2. The University will systematically address risk mitigation, crisis management, crisis communication, technology recovery, business process recovery and restoration, plan exercising, personnel training and awareness, and plan maintenance.

   - **Risk Assessment**
     a. The emergency planning workgroup will periodically conduct risk assessments to understand the risks related to the university, with an emphasis on estimating risk likelihood and vulnerability.
     b. Environmental, man-made (intentional and unintentional), business process, and information technology-related risks impacting emergency management and continuity of operations will be assessed annually. Focus will be placed on risk likelihood and vulnerability.
     c. The Director of Business Compliance will retain risk assessment documentation for the current year plus five
Emergency Management and Continuity of Operations Plan
years.

- **Business Impact Analysis (BIA)**
  a. A Business Impact Analysis (BIA) will be conducted periodically for each department, critical processes, and support functions in order to develop realistic priorities and recovery time objectives for each. The BIA will be conducted whenever significant business process change occurs and the emergency planning workgroup will approve the BIA results. BIA documentation will be submitted to the Director of Business Compliance.
  b. The impact associated with business interruptions will be quantified, if possible. Emphasis will be placed on service requirements and expectations, as well as regulatory impact.

- **Plan Storage**
  a. A copy of the Emergency Management and Continuity of Operations Plan and technology recovery plans will be stored securely off-site with other reserve supplies. Plans will be maintained at each command center.
  b. Personnel who leave American University and have a copy of the Emergency Management and Continuity of Operations Plan must return the copy and all attachments as part of the exit process.
  c. Each Emergency Response Team member will maintain a current copy of the Emergency Management and Continuity of Operations Plan, which must be immediately accessible at home or work.

- **Exercising and Maintaining the Plan**
  a. The Emergency Management and Continuity of Operations Plan will be exercised annually, resulting in a review and, if necessary, revision of the Plan.
  b. The Assistant Vice President of Risk, Safety, and Transportation Services is jointly responsible for exercise script development, execution, monitoring and reporting.

- **Training and Awareness**
  a. Emergency management and continuity training will focus on preparing the emergency response team and the recovery teams to execute the Plan and to recover critical processes within the stated objective.
  b. Awareness programs will focus on educating the American University community and all other concerned parties of what they should expect if the Plan is executed.
Emergency Management and Continuity of Operations Plan

Emergency Response Leadership Structure

Cabinet Executives

President
Provost
Vice President of Finance and Treasurer
Vice President and General Counsel
Vice President of Campus Life
Vice President of Development
Vice President of University Communications and Marketing
Chief-of-Staff

The Cabinet functions as the university-wide strategic decision making body focusing on assessment, not implementation.

Emergency Response Team*

Assistant Vice President of Risk, Safety, and Transportation Services
Assistant Vice President of University Police and Emergency Management

* Others added based on specific incident needs.

The Emergency Response Team fulfills many operational functions during an emergency, and is the primary vehicle for managing emergency response from an implementation standpoint.
**Scope of the Plan**

This Plan is a university-level plan that guides the response of appropriate American University (AU) personnel and resources during and after an emergency or crisis event. It is the official Emergency Management and Continuity of Operations Plan for AU and supersedes previous plans. Nothing in this Plan shall be construed as limiting the use of good judgment and common sense in matters not foreseen or covered by components of the Plan or its appendices.

The Plan and organizational structure shall be subordinate to Federal or District plans during a disaster declared by those authorities.
Plan Terminology

Alternate Worksite — A work location, other than the primary location, to be used when the primary location is not accessible.

Business Continuity — A comprehensive managed effort to prioritize key business processes, identify significant threats to normal operation, and plan mitigation strategies to ensure effective and efficient organizational response to the challenges that surface during and after a crisis.

Contact List — A list of team members and key players in a crisis. The list includes home phone numbers, cell phone numbers, etc.

Crisis — Any global, regional, or local natural or human-caused event or business interruption that runs the risk of (1) escalating in intensity, (2) adversely impacting the university’s financial position, (3) causing harm to people or damage to property or the environment, (4) falling under close media or government scrutiny, (5) interfering with normal operations and wasting significant management time and or financial resources, (6) adversely affecting employee morale, or (7) jeopardizing the university’s reputation, products, or officers, and therefore negatively impacting its future.

Crisis Management — Intervention and coordination by individuals or teams before, during, and after an event to resolve the crisis, minimize loss, and otherwise protect the university. Crisis management is a component of business continuity planning.

Command Center(s) — Specific room(s) or facilities staffed by personnel charged with commanding, controlling, and coordinating the use of resources and personnel in response to a crisis.

Critical Function — Activity or process that cannot be interrupted or unavailable for several days without having a significant negative impact on the university.

Critical Records — Records or documents that, if damaged, destroyed, or lost, would cause considerable inconvenience to the university and or would require replacement or recreation at a considerable expense to the university.

Damage Assessment — The process used to appraise or determine the number of injuries and human loss, damage to public and private property, and the status of key facilities and services resulting from a natural or human-caused disaster or emergency.

Disaster — An unanticipated incident or event, including natural catastrophes, technological accidents, or human-caused events, causing widespread destruction, loss, or distress to an organization that may result in significant property damage, multiple injuries, or deaths.
Emergency Management and Continuity of Operations Plan

Disaster Recovery — An ongoing process supported by senior management and funded to ensure that the necessary steps are taken to identify the impact of potential losses, define the university’s immediate intervention to minimize further loss from a disaster and to begin recovery, maintain viable recovery strategies and plans, and ensure the continuity of operations through personnel training, plan testing, and maintenance.

Emergency — An unforeseen incident or event that happens unexpectedly and demands immediate action and intervention to minimize potential losses to people, property, or revenue.

Emergency Response Team — A group of individuals with responsibility to oversee the recovery and restoration process being executed by the response teams.

Evaluation and Maintenance — Process by which a Disaster Recovery and Continuity of Operations Plan is reviewed in accordance with a predetermined schedule and modified in light of such factors as new legal or regulatory requirements, changes to external environments, technological changes, test/exercise results.

Exercise — An activity performed for the purpose of training and conditioning team members and personnel in appropriate crisis responses with the goal of achieving maximum performance.

Incident Commander — Member of the AU University Police Department staff who will remain at the incident scene to manage, coordinate, schedule and deploy appropriate personnel and equipment.

Mutual Aid Agreement — A pre-arranged agreement developed between two or more entities to render assistance to the parties of the agreement.

Prevention — Plans and processes that will allow an organization to avoid, preclude, or limit the impact of a crisis occurring. The tasks included in prevention should incorporate compliance with university policy, mitigation strategies, and behavior and programs to support avoidance, deterrence and detection.

Recovery/Resumption — Plans and processes to bring the university out of a crisis that resulted in an interruption. Recovery/resumption steps should include damage and impact assessments, prioritization of critical processes to be resumed, and the return to normal operations or to reconstitute operations to a new location.

Response Team — A group directed by the emergency response team to lead incident response comprised of personnel from functions like human resources, facilities, information technology, risk management, media relations, finance, etc.

Risk Assessment — Process of identifying internal and external threats and vulnerabilities, identifying the likelihood of a crisis arising from such threats or vulnerabilities, defining the
Emergency Management and Continuity of Operations Plan

critical functions necessary to continue university operations, defining the controls in place or necessary to reduce exposure, and evaluating the cost for such controls.

**Simulation Exercise.** — A test in which participants perform some or all of the actions they would take in the event of plan activation. Simulation exercises are performed under conditions as close as practicable to the “real world” conditions.

**Tabletop Exercise.** — A test method that presents a limited simulation of a crisis scenario in a narrative format in which participants review and discuss, not perform, the policy, methods procedures, coordination, and resource assignments associated with plan activation.

**Technology Recovery Planning.** — Recovery of IT systems, applications, databases and network assets, independent of the business environment. Technology recovery planning is a component of business continuity planning.

**Vital Records.** — Records or documents, for legal, regulatory, or operational purposes, that if irretrievably damaged, destroyed, or lost, would materially impair the university’s ability to continue business operations.
Assumptions

This section identifies assumptions made by American University’s Emergency Management and Continuity of Operations Plan.

1. The type of disaster (fire, civil unrest, natural disaster, terrorist attack, chemical spill) and the impact of the disaster will vary significantly.

2. Alternate administrative office sites will be available to the university at the time of need.

3. That adequate training is given in the use of the plan and that all faculty and staff are made aware of its existence and their roles, if appropriate, within the plan.

4. The plan is tested and reviewed on a regular basis.

5. That this document, related procedures and all vital records are stored in a secure offsite location and not only survive the disaster but are accessible immediately following a disaster.

6. Some level of technical resources will not be available for at least 1 week in the affected building(s).
**Plan Activation**

1. The president will be notified immediately and apprised of any university emergency situation. The president has the final authority for emergency decisions and directives; in the absence of the president, the provost or the vice president of finance and treasurer has this authority.
2. With an emergency level at a stage 2 or 3, the president can convene the Cabinet at an off-campus Executive Command Center (ECC). As needed during the emergency, these individuals will plan and direct activities of the ECC.
3. Once the ECC is activated, the Emergency Response team leader will convene the appropriate members of the Emergency Response Team (ERT) at an off-campus Operations Command Center (OCC). They have responsibility for overseeing the emergency management procedures being executed in the field.
4. The ERT are responsible for communicating the status of operations to the Cabinet and making the necessary management decisions to support the recovery efforts. The ERT leader has overall responsibility for the team and direct communications with the Cabinet.

**Command Centers**

Command Centers are set up at central locations for university communications and decision-making during a crisis situation. Command Centers will be set up in response to a crisis and will be equipped with copies of the Emergency Management and Continuity of Operations Plan documents and other resources that may be needed in a disaster. A full supply of standard university forms (e.g., purchase requisitions, workers’ comp reporting forms, disbursement requests, human resources forms, standard contracts, etc.) should also be on hand in the Operations Command Center.

**Emergency Management**

1. During the initial response, the Assistant Vice President of University Police and Emergency Management or designee will review the situation and will choose appropriate actions such as evacuating the campus or specific buildings. The Assistant Vice President of University Police and Emergency Management or designee will be responsible for coordinating the initial response to an on-campus emergency to include notifying and coordinating with external resources such as MPD or DCFEMS and for sending emergency notifications to the university campus community through the AU Alerts or other approved mass notification system.
2. For situations requiring an extended or campus wide response, the president and Cabinet will review the situation and the president will
choose appropriate follow up actions, such as canceling classes, closing the university, communicating with the campus and the media, and securing emergency provisions. Communications regarding emergencies situations requiring an extended response will be handled through the Vice President of Communication in accordance with the Communications Plan contained herein.

3. Police, fire, rescue, or medical officials from the District of Columbia, or the U.S. Government may be on campus to assist. University emergency personnel and the campus community will rely upon the expertise of these professionals during an emergency.

4. During the damage assessment phase, the ERT will identify specifically who and what has been affected by the disaster. The Team leaders will evaluate the event that has occurred and determine which response teams will be required to respond to the situation.

5. The decision to activate disaster recovery activities for the affected areas will be made after notification and review with the Cabinet.

6. The Team leaders will notify the members of their response teams using the Notification Script

**Family Issues**

The university recognizes that responding to American University’s needs in a disaster situation places hardships on the families of its Response Team members. To be able to give the best to the university at a time when it is needed most, employees need to have a level of comfort that their family members are safe and that the employee’s absence during the recovery effort will not place undue hardship on them.

The level of support to team members will clearly be defined by the nature of the disaster itself. In the case of natural disaster where the employee’s family may be at risk, the university may provide for temporary relocation of family members or allow the family to accompany the employee to the university. It may range from facilitating dependent care services to providing cash advances to provide for family needs.

Family issues should be brought to the attention of the Human Resources representative in the Operations Command Center as soon as it is feasible.
Determining Levels of Emergencies

Level 1 Standby/Alert
- localized
- can be resolved quickly
- internal resources used
- little impact on university operations

Level 2 Partial Activation
- mid-level emergency
- sizable portions of the campus disrupted
- events may escalate quickly
- may require outside resources

Level 3 Full Activation
- major incident
- involves entire campus
- normal operations could be suspended
- effects are wide-ranging and complex
- ECC is activated

- Declare a campus emergency and activate the ECC
- Direct communication with the BOT
- Determine appropriate recipients and types of communications
- Approve public information statements and releases
- Set schedule to receive updates from the ERT leader
- Authorize funding for emergency-related expenses
- Continue to provide strategic policy and direction for recovery efforts
- Close communication loops when recovery is complete

- Determine appropriate recipients and types of communications
- Approve public information statements and releases
- Set schedule to receive updates from the ERT leader
- Close communication loops when the emergency ends

- Establish communication with appropriate Cabinet members
- Establish ECC, if desired
- Consider whether or not to consult with subject matter experts
- Determine appropriate recipients and types of communications
- Approve public information statements and releases
- Set schedule to receive updates from the ERT leader
- Continue to provide strategic policy and direction of recovery efforts
- Close communication loops when the emergency ends

- Initial response (AUPD) and information on emergency gathered by the University Police Department ERT leader
- Status of emergency situation given to the President
- President confers with one or more Cabinet members and determines Level of emergency

- Emergency Response Team Leader will confer with appropriate members of the response teams
- OCC will be established, if appropriate
- ERT leader will make a preliminary assessment of the damage and prepare an Incident Action Plan and consider whether or not to consult with subject matter experts
- ERT leader will notify the President and appropriate Cabinet members of the current situational status, impact to university operations and plan of action
- ERT leader will direct Mutual Aid activities, as appropriate
- ERT leader will provide regularly scheduled and/or immediate updates to the President as activities take place
Recovery Strategies

This section describes the recovery strategies identified for American University equipment and services.

General Recovery Strategies

- University operations will be recovered in priority sequence based upon the classification of the function as agreed upon with senior management.
- Communications concerning the recovery status will be coordinated through the Operations Command Center so that those executing the recovery will not be interrupted repeatedly for status.
- Purchase and acquisition of equipment and supplies needed for the recovery effort will be coordinated through the Operations Command Center as per the instructions in this document.
- The contingency planning infrastructure, which is described in this document, will provide for coordination of travel arrangements, food and accommodations for individuals supporting the recovery effort.
- Non-critical American University functions will be temporarily discontinued as necessary to support the recovery efforts.
- American University personnel may be called in during non-standard business hours to support the recovery efforts.

Recovery Management

Cabinet

The Cabinet consists of the President of American University, the Provost, the Vice Presidents, the Executive Director of University Communications and Marketing, and the Chief-of-Staff who have an overall responsibility for the recovery and continuity of the University’s operations and services. As needed during the crisis, these individuals will plan and direct activities of the Executive Command Center (ECC) established for the recovery efforts. The President or his designee has overall responsibility for communications with the University’s Emergency Response Team.

<table>
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<tr>
<th>Title</th>
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<tbody>
<tr>
<td>President</td>
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<tr>
<td>Provost</td>
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<tr>
<td>Vice President, University Comm. &amp; Marketing</td>
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<tr>
<td>Vice President of Campus Life</td>
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<tr>
<td>Vice President and General Counsel</td>
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<tr>
<td>Vice President of Development and Alumni Relations</td>
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<tr>
<td>Vice President of Finance and Treasurer</td>
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<tr>
<td>Chief of Staff</td>
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</table>
Emergency Response Team

These team members would report directly to the Operations Command Center (OCC) and have responsibility for overseeing the recovery and continuity processes being executed by the Response Teams in the field. They are responsible for communicating the recovery status to the Cabinet and making the necessary management decisions to support the recovery efforts. The Emergency Response Team Leader has overall responsibility for the team and communications with the Cabinet.

The objectives and the functions of this team are:
2. Notify the Cabinet of current status, impact to university operations and plan of action.
3. Initiate the plan after a crisis has been declared.
4. Organize and manage the OCC as a central point of control for the recovery efforts.
5. Organize and provide administrative support to the recovery effort.
6. Administer and direct the problem management function.

Conference Call Bridge

Two conference call bridges have been created to enhance our emergency communications. The first call bridge is for the Cabinet and the second is for the Emergency Response Team.

These conference call bridges should be used in the event of an emergency when the entire group cannot assemble at one location, but needs to be informed and contribute to the decision making process.

The Cabinet and ERT leaders will be the Conference Call Chairpersons. They are responsible for setting up the conference call and for informing all call bridge participants what time they should call in.
Academic Response Team

The Academic Response Team leader will contact the team members and communicate the situation. At that time, the damage will be assessed and an estimate of impact on academic programs will be given. The team leader will work with the deans and registrar to make a decision on how to resume classes and other programs and will communicate the information to all units and affected departments. Using a grid chart of classes and buildings, they will work with Facilities to identify alternate classrooms on and off campus. The Academic Response team will ensure Center for Teaching, Research, and Learning and the Office of Information Technology work together to assist faculty in Blackboard support for distance learning classes.

The deans will be responsible for contacting all faculty and academic staff to inform them on where and when to resume classes. In turn, the faculty will communicate with the students to ensure that they are advised as to when and where to report for class or if the class may continue online. The Academic Response team will monitor the level of recovery and the classes held and make necessary adjustments.

### Academic Response Team

<table>
<thead>
<tr>
<th>Title</th>
<th>Title</th>
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<tbody>
<tr>
<td>Vice Provost for Academic Administration</td>
<td>Senior Vice Provost and Dean of Academic Affairs</td>
</tr>
<tr>
<td>Biology, Department Chair</td>
<td>Associate Dean, Academic Affairs School of Communication</td>
</tr>
<tr>
<td>University Registrar</td>
<td>Associate University Librarian</td>
</tr>
<tr>
<td>Assistant Dean, Student Services Washington Semester</td>
<td>Vice Provost for Graduate Studies and Research</td>
</tr>
<tr>
<td>Associate Dean, Faculty Affairs &amp; Graduate Education School of International Service</td>
<td>Associate Dean, Academic Affairs School of Public Affairs</td>
</tr>
<tr>
<td>Associate Dean, Undergraduate Education School of International Service</td>
<td>Associate Dean, Graduate Studies College of Arts and Sciences</td>
</tr>
<tr>
<td>Associate Dean, Faculty and Academic Affairs Washington College of Law</td>
<td>Associate Dean, Undergraduate Studies College of Arts and Sciences</td>
</tr>
<tr>
<td>Associate Dean of Academic Affairs Washington College of Law</td>
<td>Interim Vice Provost for Undergraduate Studies</td>
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<tr>
<td>Senior Associate Dean Kogod School of Business</td>
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</table>
University Police Department

The University Police Department will serve as the initial response team to any emergency situation on campus. The on-duty supervisor (watch commander) or designee will serve as the incident commander for an emergency situation and will be responsible for assessing the situation, taking the necessary steps to mitigate the effects of the situation (i.e. conducting building evacuations, obtaining the assistance of outside resources to include AU departments including Facilities Management or external resources including MPD and DCFEMS, etc.), and upon the approval of the Assistant Vice President of University Police and Emergency Management, notifying the campus community through AU Alerts, of any immediate threats to the campus community and the procedures to follow.

Assistant Vice President of University Police and Emergency Management will be in constant contact with the on-duty police supervisor so periodic updates on recovery operations can be provided to the Cabinet and Emergency Response team.

In the event more assistance is needed, the Metropolitan Police Department (MPD) is the primary agency to provide immediate back up. If there are multiple public emergencies, MPD’s law enforcement resources may be directly impacted and potentially degraded. In the event the District cannot effectively control the situation, the Mayor can request federal assistance through proper channels.

Technology Response Team

Technology Response Team leader will contact the team members and communicate the situation. OIT disaster response protocols will be activated, as appropriate. Team leader will report to the Operations Command Center. Staff will be dispatched to complete an inventory of IT functions within the affected buildings and to determine the extent of infrastructure damage. A determination will be made of the steps necessary to restore IT services, and baseline services will be provided in an alternate location for affected staff.

In the event that a disaster affects the data center facility at 4200 Wisconsin Avenue, IT staff will implement contingency plans for conducting operations at another site. The recovery strategy is based on automatically duplicating the most critical data at an off-site location. Sufficient processing resources should be available at the off-site location to conduct essential business at a reduced performance/capacity level; additional processing resources would be added at the time of need in response to the severity of the disaster.

University Communications Response Team

The University Communications Response Team will coordinate communications during a university emergency. They will utilize all emergency communication methods available as the situation warrants.
The ECC will be activated upon information and advice received from the Emergency Response Team (ERT) leader to facilitate the University’s response and subsequent recovery from any emergency. Generally, the ECC is activated during two types of events: an immediate, unforeseen and ongoing incident, or a pending event for which there was some forewarning.

**ACTIVATION AUTHORITY**

The decision to activate the ECC rests with the President, and in his absence, the decision rests with the Provost or the Vice President of Finance and Treasurer. The President or his designee may decide to convene an ad-hoc advisory group to assist in this determination.

**EMERGENCY LEVELS**

Three levels of emergency operation have been identified, relative to the magnitude of the emergency. The decision to activate the ECC takes into account what level emergency the campus is experiencing:

- **Level 1 (“Standby/Alert”)** — the emergency involves a localized department or building incident that can be quickly resolved with internal resources or limited help. A Level 1 emergency has little or no impact on personnel or normal operations outside the locally affected area. Impacted personnel or departments coordinate directly with operational department personnel from public safety the University Police Department, risk management, facilities or other units to resolve Level 1 conditions. The ECC is not activated, but appropriate ECC personnel are informed and placed on alert status.

- **Level 2 (“Partial Activation”)** — a mid-level emergency that disrupts sizable portions of the campus community and can no longer be managed using normal procedures. Level 2 emergencies may require assistance from external organizations. These events may escalate quickly, and may have serious consequences for mission-critical functions and/or life safety. The ECC is partially activated (i.e., some, but not all Cabinet members are convened) to coordinate and support the response to the incident. One or more ERT members may be contacted, depending on the nature of the incident. ECC staffing decisions are made by the President and depend in part by the scope of the incident and the extent of coordination needed to respond to the incident.

- **Level 3 (“Full Activation”)** — a major incident that adversely affects the entire campus, and may also affect the surrounding community. During a Level 3 emergency, normal university operations could be suspended. The effect of the emergency is wide-ranging and complex and a timely resolution of disaster conditions requires broad cooperation and extensive coordination. The ECC is activated in either its primary or secondary location. All or most ECC members and ERT are activated. All emergency personnel should report for duty.
Incident Action Plan (IAP)

An IAP formally documents incident goals, operational objectives, and the response strategy defined by the Emergency Response Team leader. It contains general tactics to achieve goals and objectives within the overall strategy, while providing important information on event and response parameters. Equally important, the IAP facilitates dissemination of critical information about the status of response resources. Because incident parameters evolve, action plans must be revised on a regular basis to maintain consistent, up-to-date guidance.

The following should be considered for inclusion in an IAP:

- Incident goals (what the response teams want to achieve at the end of the response)
- Operational objectives (major areas that must be addressed in a specified operational period to achieve the goals)
- Response strategies (priorities and the general approach to accomplish the objectives)
- Response tactics (methods developed to achieve the objectives)
- Assignment lists with specific tasks
- Critical situation updates and assessments
- Resource status updates
- Health and safety plan (to prevent responder injury or illness)
- Communications plan (how functional areas can exchange information)
- Logistics plan (e.g., procedures to support operations with equipment, supplies, etc.)
- Additional component plans, as indicated by the incident.
The default evacuation sites for campus-wide evacuations are: Metropolitan Memorial Methodist Church at Nebraska and New Mexico Avenue, National Presbyterian Church at 4101 Nebraska Avenue, St. Anne Church at 4001 Yuma Street.

<table>
<thead>
<tr>
<th>AU Building</th>
<th>Evacuation Site</th>
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<tbody>
<tr>
<td>3201 New Mexico Ave.</td>
<td>Bender Library</td>
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<tr>
<td>4200 Wisconsin Ave.</td>
<td>WCL Warren Building</td>
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<tr>
<td>Anderson Hall</td>
<td>Mary Graydon Center</td>
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<td>Asbury</td>
<td>Mary Graydon Center</td>
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<td>Battelle-Tompkins</td>
<td>Mary Graydon Center</td>
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<td>Beeghly</td>
<td>Mary Graydon Center</td>
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<td>Bender Library</td>
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<td>Butler Pavilion</td>
<td>Mary Graydon Center</td>
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<td>Centennial Hall</td>
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<td>East Campus Congressional</td>
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<td>East Campus Constitution</td>
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<td>East Campus Federal</td>
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<td>East Campus - DMTIB</td>
<td>Mary Graydon Center</td>
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<td>Financial Aid</td>
<td>Bender Library</td>
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<td>Gray</td>
<td>Bender Library</td>
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<tr>
<td>Hamilton</td>
<td>Bender Library</td>
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<td>Hughes Hall</td>
<td>Mary Graydon Center</td>
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<td>Hurst</td>
<td>Mary Graydon Center</td>
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<td>Katzen</td>
<td>Ward Circle Building</td>
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<td>Kay Spiritual Life Center</td>
<td>Mary Graydon Center</td>
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<td>Kogod</td>
<td>Mary Graydon Center</td>
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<td>Leonard Hall</td>
<td>Mary Graydon Center</td>
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<td>Letts Hall</td>
<td>Mary Graydon Center</td>
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<td>Mary Graydon Center</td>
<td>Sports Center</td>
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<td>McCabe</td>
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<td>McDowell Hall</td>
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<td>McKinley</td>
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<td>Media Production Center</td>
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<tr>
<td>Nebraska Hall</td>
<td>Katzen Art Center</td>
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<tr>
<td>Osborn</td>
<td>Mary Graydon Center</td>
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<td>President’s Office Building</td>
<td>Mary Graydon Center</td>
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<tr>
<td>Public Safety Building</td>
<td>3201 New Mexico</td>
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<tr>
<td>Rockwood</td>
<td>Mary Graydon Center</td>
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<tr>
<td>Roper</td>
<td>Bender Library</td>
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<tr>
<td>School of International Service</td>
<td>Mary Graydon Center</td>
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<tr>
<td>Sports Center</td>
<td>Mary Graydon Center</td>
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<tr>
<td>Sports Center Annex</td>
<td>Mary Graydon Center</td>
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</table>
### Evacuation Sites (Continued)

<table>
<thead>
<tr>
<th>AU Building</th>
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<tbody>
<tr>
<td>Spring Valley Building</td>
<td>Mary Graydon Center</td>
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<tr>
<td>Tenley Campus – Dunblaine</td>
<td>WCL – Warren Building</td>
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<tr>
<td>Ward Circle Building</td>
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<td>Watkins</td>
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<tr>
<td>WCL – Capital Hall</td>
<td>Spring Valley Building</td>
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<tr>
<td>WCL – Warren Building</td>
<td>Spring Valley Building</td>
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<tr>
<td>WCL - Yuma Building</td>
<td>Spring Valley Building</td>
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</tbody>
</table>
Mass Care Procedures

Mass care services include, but are not limited to, providing shelter, food, and emergency first aid assistance to members of the AU community—and possibly some of our neighbors—following a disaster severe enough that temporary shelter is necessary. This assumes that the disaster would be of such magnitude that roads may be impassable, communications systems limited or unavailable and emergency assistance delayed, fording the University community to implement and manage mass care procedures independently for a short period of time, not exceeding 72 hours.

Implementation
The President will implement mass care procedures when shelter is necessary for longer than 12 hours. Emergency Response Team (ERT) members will help open and operate the shelter. Other emergency response operations will be taking place simultaneously, requiring close coordination and communication between the ERT and other who may be assisting with this type of disaster.

The ERT will be responsible for establishing contact with local emergency responders, American Red Cross, Sibley Hospital and any other necessary agencies to alert them of the situation and request assistance as soon as possible. The assigned ERT leader will be responsible for communicating to the President and his Cabinet on the status of the crisis.

Shelter Location and Operation
The nature of the disaster and number of people needing shelter will dictate where shelter facilities will be set up and how much outside support the University will have available from agencies such as the American Red Cross. If the disaster affects more than just American University, there will be fewer resources available from outside sources.

Faculty and staff may choose to stay in their offices; however, everyone will be required to check in at a central location, to be designated at the time of the emergency.

If necessary, alternate campus locations, other than residence halls, will be prepared as shelter facilities.

The shelter will operate on a 24-hour basis, with three eight-hour shifts to be covered by shift supervisors. Shift supervisors will assist the shelter manager with shelter operations. Initial assessment by members of the ERT will include an estimate of the number of people requiring services, and staffing and support requirements for the next 48 hours.
Campus-Wide Shelter-In-Place Procedures

In certain emergency situations, the campus community may be advised to shelter-in-place to avoid or minimize exposure to outside risks. Risks could include chemical or radioactive releases and some weather-related emergencies.

Once shelter-in-place instructions have been communicated, students, faculty and staff should either stay in the building they are in when they get the message or if outside, go to the nearest building and await further instructions.

While it may be advisable to shelter-in-place in certain situations, no one can be forced to do so. Campus community members who choose not to shelter-in-place should vacate the premises immediately so the building can be secured as soon as possible.

The Emergency Response Team (ERT) will be responsible for keeping building marshals informed of the situation as it unfolds. Building marshals should put on the appropriate items from their orange backpacks (hats, armbands, ID display) so that they will be readily identifiable. In addition, building marshals will:

- communicate information to occupants in their building;
- shut and lock all windows and doors;
- limit egress to one door or area of the building;
- put orange tape up on all doorways;
- instruct occupants to gather in the center of the room, away from doors and windows;
- account for employees in the building;
- contact employees who are absent to alert them of the shelter-in-place status;
- communicate when the all clear message is received.

The director of facilities management or other member of the ERT will communicate the appropriate message (based on information provided from DC emergency officials to the President and Cabinet) to facilities management staff about shutting down heating, ventilating and air conditioning systems in all buildings.

Typically, emergencies that require sheltering-in, will not last more than three to five hours. However, departments may wish to keep extra water and small amounts of non-perishable food on hand, and individuals may want to keep an extra supply of prescription medicine, eyeglasses, or other essentials on hand in the event the emergency goes beyond 12 hours.

If the President is informed by the DC Homeland Security and Emergency Management Agency or other civil authority that the campus community is advised to stay for an extended period of time (longer than 12 hours) mass care procedures will be implemented.