

December 30, 2009

Emergency Preparedness, Response & Recovery Program Review - Gap Analysis

Peralta Community College District

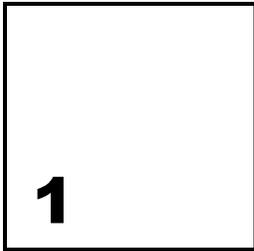
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Introduction

The Peralta Community College District (“District”) has embarked on an initiative to update and improve its Emergency Preparedness, Response and Recovery program. This program comprises of Emergency Response, Crisis Management, Facilities Recovery, Continuity Plans for Recovery and Information Technology Disaster Recovery tasks and activities across the District. While these activities have separate teams, all must work cohesively as a group to recover the District at the time of an event. This report will outline some of the current gaps of the District’s program and suggest activities and improvements that can be implemented over time.

During September and October 2009, Marsh Risk Consulting (Marsh) was chosen to perform a gap analysis of Peralta’s current program so as to determine its capability to respond to emergencies, interruptions and other events that could negatively impact its operations. Marsh conducted individual and group interviews at the District office and each college campus to identify and highlight recovery exposures and areas needing future enhancements. Many of the gaps noted were determined based upon our comparison to Marsh’s best practices database, SEMS/NIMS Emergency Operations Plan assessment and compliance areas, as well as those commonly used through the business continuity profession, which are based on the guidelines set out in the Disaster Recovery Institute International’s (DRII) Professional Practices and the Business Continuity Institute’s Good Practice Guidelines.

This gap analysis with its findings is intended to provide the framework to enable the District to improve upon its existing program. To help the District accomplish this, Marsh has included a prioritized roadmap of future implementation activities (refer Section 4). The roadmap provides a summary of “Next Steps” that are broken down by the tasks needed to mitigate the identified gaps and a list of internal or external resources needed to implement the recommended activities.

1.1. Scope of Review

Our review encompassed the District offices and following college campuses:

- Merritt College
- Berkeley City College
- College of Alameda
- Laney College

1.2. Approach

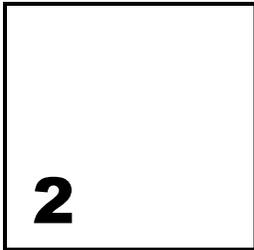
1.2.1. Gap Analysis

In performing our review, Marsh:

- Evaluated the Peralta Community College District Emergency Operations Plan dated June 2009, the college campus Emergency Response and Disaster Plans dated June 2007 and documents setting out ICS, SEMS, NIMS mandatory training requirements
- Conducted a kick-off meeting with the Senior Management Team (SMT) to familiarize them with the project objectives
- Held informational interviews with key executives at the District office and each college campus. During these interviews, participants engaged in strategic discussions regarding emergency response, crisis communications, campus business recovery concerns, status of plan documentation, key exposures to operations, pandemic recovery, information technology (IT), key revenue streams, critical processes, facility concerns, third party issues, key recovery equipment & supplies, security concerns, key personnel, student affairs and vital records in order to identify interdependencies, coordination concerns and communication issues.

Our assessment of the program was facilitated using Marsh's Business Continuity Management best practices database that incorporates portions of the Business Continuity Preparedness Review™ and Disaster Recovery Institute International's (DRII) Professional Practices and the Business Continuity Institute's Good Practice Guidelines. Marsh also reviewed the plans for SEMS/NIMS Emergency Operations Plan compliance.

This process was conducted to help the District in the identification of key enhancements and recovery gaps. Our findings and recommendations are set out in this Report (refer Section 3).



Summary of Findings & Recommendations

2.1 Overall Program Strengths

The District has developed an organization-wide Emergency Preparedness, Response and Recovery Program and is in the process of implementing some management practices and mitigating controls that will reduce exposure to the District Office and the four Colleges within the District.

Overall, Marsh noted the following strengths in Peralta's Emergency Preparedness, Response and Recovery Program:

2.1.1. General

- **Plan Development** – Health & Safety has taken the lead over the last 2-3 years for developing an action-oriented Emergency Response Plan for the Colleges.
- **Senior Management Commitment** – Senior management, plan leaders, and other key stakeholders are very receptive to suggestions and are committed to improvements in addressing the deficiencies of its program. As a result, District Risk Management has commissioned this report specifically to assess the components of the current program developed to date against best practices and to identify gaps that need to be addressed in the future to enhance the program.
- **Planning Resources** – Dedicated Emergency Preparedness teams, supported by each campus meet periodically, but not regularly to oversee the development of a workable plan.

2.1.2. PCCD Emergency Operations Plan

- **SEMS, NIMS and ICS Requirements** – The concepts of the Standardized Emergency Management System (SEMS), National Incident Management System (NIMS) and ICS (Incident Command System) are clearly explained. From a SEMS/NIMS perspective, the plan is acceptable, with adequate information that is applicable to NIMS. From an incident command perspective we found:
 - Plan includes all the necessary components for establishing an incident command structure.
 - Levels of response utilizing SEMS/NIMS are completely addressed throughout various parts and Sections of the Plan. This includes activation levels and inter-coordination between the District Office and governmental agencies.
 - Plan contains oversight provisions for logistical support. The planning checklist contained in Part Two, Management Section is acceptable practice under SEMS/NIMS.
 - Plan contains oversight provisions for logistical support.
 - Overall Plan document is consistent with SEMS/NIMS and contains a Section on Finance/Administration.
- **Threat Assessment** – Specific threats to the District Office and each College campus have been determined.
- **Emergency Operations** – Roles and responsibilities of members of the District’s Emergency Operations Center as well as field-based tactical teams are defined. Some positions have been assigned to named individuals. Due to turnover, many assignments need updating.
- **Communication with External Parties** – Procedures include a number of Government agencies that need to be communicated with at time of incident.

2.1.3. College Emergency Response and Disaster Plan¹

- **Plan Structure** – The plan is task oriented.
- **Contingency Plans** - specific actions to take in response to a variety of defined incidents are clearly defined.

¹ Laney College’s Disaster Preparedness Plan was reviewed as being representative of all the other College Plans.

2.2. Overall Opportunities for Improvement

As a rule, we would expect an Emergency Preparedness, Response & Recovery Program to support all business functions performed at the given site. At a high-level, our review identified the following opportunities for improvement:

2.2.1. District Emergency Operations Plan

- **Overall Observation** – The plan is not practical, or useful from a tactical perspective. It is an amalgamation of several documents. Reference during an actual emergency or disaster to pertinent task-oriented instructions would be difficult.
- **SEMS, NIMS and ICS Requirements** – Areas not identified in the EOP include:
 - Facilitates response and short-term recovery activities.
 - Description of the EOP situation and assumptions.
 - Functional annexes.
 - Need further assignment of personnel to ICS positions.
- **Part Two: Appendix A (Restricted Use)** – Marsh did not evaluate this section as part of the review as District is waiting for receipt of this section from the plan consultant, ASCIP.
- **Part Two: Appendix B** – The plan reviewed by Marsh does not include the policies defined in Appendix B as the District is waiting for receipt of this section from the plan consultant, ASCIP.
- **Threat Assessment** – Information pertaining to threats is split across Part One: Section Six and Section Twelve
- **Communications Protocols** – Marsh did not evaluate this section as part of the review as District is waiting for receipt of this section from the plan consultant, ASCIP.

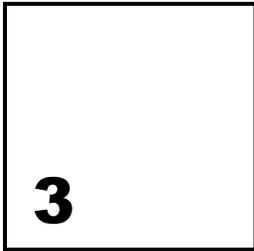
2.2.2. Campus Emergency Response and Disaster Plan

- **Overall Observation** – The Plan is not SEMS, NIMS and ICS compliant. It is still in draft form and from a plan maintenance perspective, the Board of Trustees does not periodically adopt or approve the Plan. Management oversight will ensure that it stays current. Currently, there is minimal awareness by Faculty.

2.2.3. Deficiencies

Through our review process, we noted deficiencies beyond the District Office EOP and the Campus Emergency Response and Disaster Plan, in the following areas:

- Continuity Plans for Recovery have not been developed
- IT Disaster Recovery Plan has not been documented or tested
- An additional internal hire and the support of an external consultant may be needed to remedy the numerous recommendations to become compliant with state and federal recovery reimbursement programs.



Observations and Recommendations

For the purposes of reporting, we have categorized our observations into the following categories:

- Planning
- Incident Management
- Logistics
- HR/Finance/IT
- Facility & Infrastructure.

The tables below describe the key observations noted with each section color coded to describe the risk as follows:

Red Severe Risk = Threat to Life/Safety

Orange High Risk = High Disruption

Yellow Medium Risk = Moderate Disruption

Our recommendations set out in the following pages are intended to help mitigate risks and threats, and to improve the District's ability to bring its program in line with best practices.

3.1. Peralta Community College District Office Emergency Operations Plan-Specific Observations

Listed below are the key observations from the review of the District Office Emergency Operations Plan:

Categorization	
1. Planning	2. Incident Management
1.1 General Observations	2.1 Emergency Operations Centers (EOC)
1.2 SEMS/NIMS Planning Compliance – Planning Elements	2.2 Protective Actions – Assembly Areas

#	Description of Gap - Peralta Community College District Office Emergency Operations Plan (PCCD EOP)	Risk Rating	Recommendations for Risk Mitigation	Entity Impacted
1.	PLANNING			
1.1	<p><u>General Observations</u></p> <ul style="list-style-type: none"> ▪ Plan is in DRAFT form ▪ Since District is waiting for receipt of the following sections from the plan consultant, ASCIP, Marsh was unable to form an opinion: <ul style="list-style-type: none"> – Part Two, EOC Appendices and Annexes – Part Three, Other Annexes – Part Four, Forms – Part Five, Acronyms and Glossary <p><u>Impact:</u></p> <p>Plan is missing some key components.</p> <p>Due to the complex and cumbersome nature of the plan, it is not easy to find pertinent information at the time of an incident and could cause errors and miscommunication among team members.</p>	Severe	<p>Make Plan revisions:</p> <ul style="list-style-type: none"> ▪ Include <ul style="list-style-type: none"> – Updated Table of Contents – Endorsed Department/Agency signature page. – Endorsed Letter of Promulgation page. – Distribution and revision pages. – Evacuation routes and Assembly Areas. – EOC locations. 	District Office

#	Description of Gap - Peralta Community College District Office Emergency Operations Plan (PCCD EOP)	Risk Rating	Recommendations for Risk Mitigation	Entity Impacted
1.2	<p><u>SEMS/NIMS Planning Compliance: Planning Elements</u></p> <p>Plan identifies the major components of both SEMS/NIMS in the following manner:</p> <ul style="list-style-type: none"> ▪ Describes the organizational structure. ▪ Coordination and communication between governmental entities in detail. <p>Included within Plan is hazard-specific information that addresses planning considerations, common to these hazards. Plan does not include either pre-incident or post-incident public awareness and education.</p> <p>A recognized authority has not approved Plan.</p> <p><u>Potential Impact:</u></p> <p>The PCCD EOP may not have Board of Trustees full support. Familiarization with the planning process may be an issue with responders.</p>	Severe	<p>An EOP is designed as an operational document; the PCCD EOP contains unnecessary verbiage and content, and is not suitable for practical application during times of emergency.</p> <p>Plan contains planning elements that must be removed from what is supposed to be an operational plan, e.g. Continuity of Operations, temporary district seat and district council meeting location, disaster animal care considerations for local government, etc.</p> <p>End user of this document may have difficulties finding procedural steps unless a consistent training and exercise program is in place.</p> <p>Such items may be included as Standard Operating Procedures (SOP's) and be maintained in the EOC and available during emergency activation. In addition, hazard mitigation should be removed and relocated to an appendix.</p> <p>Plan needs modification and revision to segregate content that is required at time of incident.</p>	District Office

Gap Analysis

#	Description of Gap - Peralta Community College District Office Emergency Operations Plan (PCCD EOP)	Risk Rating	Recommendations for Risk Mitigation	Entity Impacted
2.	INCIDENT COMMAND			
2.1	<p><u>Emergency Operations Centers (EOC)</u></p> <p>Plan defines the role of the EOC. In previous versions of the EOP plan, the EOC locations were designated as the Board Room at the College Administration Center (Primary) and the General Services Offices (First Alternate). In the current version, Appendix A should include a list of EOC locations but Marsh was advised by interviewees that it does not (Note: Since District is waiting for receipt of the following sections from the plan consultant, ASCIP, Marsh could not review this information for these sections of the Plan).</p> <p><u>Potential Impact:</u></p> <p>Key decision-makers will not know where to congregate at time of incident thereby prolonging recovery operations.</p>		Update PCCD EOP to include EOC locations once the District receives this section.	District Office
2.2	<p><u>Protective Actions</u></p> <p>Evacuation procedures and Assembly Areas appear not to have been assigned in the Plan.</p> <p><u>Potential Impact:</u></p> <p>Life safety issues.</p>		Update PCCD EOP to include evacuation routes and Assembly Areas once the District receives this section.	District Office

3.2. College Emergency Response and Disaster Plan-Specific Observations

.Listed below are the key observations from the review of the College Emergency Response and Disaster Plan-Specific Observations, together with our recommendations:

Categorization	
1. Planning	2. Incident Management
1.1 General Observations	2.1 Protective Actions
1.2 SEMS/NIMS Planning Compliance	2.2 Internal Communications – Emergency Notifications
1.3 Hazard Assessment	2,3 Internal Communications – Incident Escalation Process
1.4 Direction & Control	2.4 Internal Communications – Call Trees
1.5 Emergency Operations Centers (EOC)	2.5 Liaison to External Agencies – Community & Stakeholders

#	Description of Gap – College Emergency Response and Disaster Plan	Risk Rating	Recommendations for Risk Mitigation	Campus Impacted
1.	PLANNING			
1.1	<p><u>General Observations</u></p> <ul style="list-style-type: none"> ▪ Plan is in DRAFT form ▪ Table of Contents does not match-up with the actual pages. ▪ Plan does not contain an endorsement signature page. ▪ Both distribution and revision pages should be included. ▪ Terminology is not consistent with PCCD EOP. Include: <ul style="list-style-type: none"> – PCCD EOP refers to Department Operations Center (DOC) ; College Plan refers to both Campus Incident Command Post (ICP) or Command Center. – PCCD EOP refers to District Office; College Plan refers to District Service Center Offices. – PCCD EOP refers to Staff and faculty; College Plan refers to District and college employees. – Key roles and responsibilities differ slightly from the PCCD EOP to the College Plan. ▪ Plan includes references to Hazardous Mitigation. Such provisions should be included in a comprehensive campus mitigation plan, not an operational Plan. ▪ Plan is missing description of EOC management. <p><u>Impact:</u></p> <p>Plan is missing some key components. Ineffective and inefficient execution of plan objectives during an emergency. Inconsistent terminology could cause confusion, delays and errors in responding to an event.</p>	Severe	<p>Make Plan revisions:</p> <ul style="list-style-type: none"> ▪ Include <ul style="list-style-type: none"> – Table of Contents. – Endorsement signature page. – Distribution and revision pages. – Consistent terminology – Acronyms and Glossary of Terms – EOC management (i.e. the people/staff positions that are assigned to the Emergency Operations Center) e.g. executive policy group, communication group, operations group, etc. ▪ Align roles and responsibilities and update checklists (PCCD EOP Section M; College Plan Section III). ▪ Relocate Hazardous Mitigation section to the appendix. ▪ Remove names throughout Plan; instead simply list the position and responsibilities. 	All

Gap Analysis

#	Description of Gap – College Emergency Response and Disaster Plan	Risk Rating	Recommendations for Risk Mitigation	Campus Impacted
1.2	<p><u>SEMS/NIMS Planning Compliance</u></p> <p>Plan mentions compliance with SEMS/NIMS, but key components are missing.</p> <p><u>Impact:</u></p> <p>State and Federal authorities may not reimburse for or bear direct costs of recovery.</p>	Severe	<p>To be in SEMS/NIMS compliance, Plan needs to :</p> <ul style="list-style-type: none"> ▪ Define the scope of preparedness and incident management activities necessary for the jurisdiction. ▪ Describe organizational structures, roles and responsibilities, policies, and protocols for providing emergency support. ▪ Be flexible enough to use in all emergencies. ▪ Describe the EOP purpose. ▪ Describe the EOP concept of operations. ▪ Describe the EOP organization and assignment of responsibilities. ▪ Describe the administration and logistics of the EOP. ▪ Describe EOP development and maintenance. ▪ Describe the EOP authorities and references. ▪ Contain hazard-specific appendices. ▪ Contain a glossary. ▪ Include pre-designated jurisdictional and/or functional area representatives to the Incident Commander (IC) or Unified Command (UC) whenever possible. ▪ Include pre-incident and post-incident public awareness, education, and communications plans and protocols. 	All

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#	Description of Gap – College Emergency Response and Disaster Plan	Risk Rating	Recommendations for Risk Mitigation	Campus Impacted
1.3	<p><u>Hazard Assessment</u></p> <p>Plan contains a hazard vulnerability assessment that addresses all-hazards planning. It describes various hazards followed by either procedural action steps, or checklist.</p> <p>Plan considers special needs population for rapid protective action and addresses provisions for special population</p> <p>Plan does not include procedures for chemical, biological, radiological, nuclear, and explosion (CBRNE) agents or materials.</p> <p><u>Potential Impact:</u></p> <p>Life safety issues.</p>	Severe	<p>Plan must be revised to include chemical, biological, radiological, nuclear, and explosion (CBRNE) emergency provisions.</p>	All
1.4	<p><u>Direction and Control</u></p> <p>Plan describes the command structure, specifying who will be in charge (including lines of succession) during emergency response operations. Provisions are included for incident command post operations, however, the plan should specify the authorities and limitations of authority of key personnel.</p> <p>Plan identifies roles and responsibilities for key personnel during the initial stages of a terrorist threat or incident. Provisions exist within the Plan pertaining to roles and responsibilities as part of the incident command system.</p> <p><u>Potential Impact:</u></p> <p>Command and control inefficiency and or errors.</p>	Severe	<p>Plan must include provisions that detail line of succession. All lines of responsibilities must be at least three levels throughout the plan.</p> <p>Plan should include detailed description for emergency activation response levels, e.g. level one, level two, level three.</p>	All

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#	Description of Gap – College Emergency Response and Disaster Plan	Risk Rating	Recommendations for Risk Mitigation	Campus Impacted
1.5	<p><u>Emergency Operations Centers (EOC)</u></p> <p>There is nothing noted in the Plan that addresses a campus EOC nor specific methods for communicating between the campus and local EOC, field forces, news media, hospitals, etc.</p> <p>The PCCD EOP refers to Department Operations Centers at the Colleges.</p> <p>Some provisions applicable to EOC are addressed, but limited. Nothing could be found pertaining to the activation of the District EOC.</p> <p><u>Potential Impact</u></p> <p>Interfacing between field operations and other response agencies may be hampered at time of incident.</p> <p>Plan must be consistent with “best practices” for incident management.</p> <p>Inconsistent terminology may result in confusion at time of incident.</p>	Severe	<p>Note: An Incident Command Post (ICP) is not an Emergency Operations Center (EOC). An EOC/DOC must be established for potential campus-wide emergencies and potential long-term recovery.</p> <p>Replace reference to Incident Command Post (ICP) or Command Center with Department Operations Center (DOC) to fall in line with PCCD EOP. Update College Plans to include DOC locations.</p> <p>Change terminology for Incident Command Post (ICP) as Command Center to Command Post (CP). If another authority is responsible for District EOC activation it should be detailed in the plan.</p> <p>Emergency response procedures are usually handled by an Emergency Operations Center (EOC). SOPs, contact lists, and other resource manuals are stored and made available for EOC personnel.</p>	All
2.	INCIDENT COMMAND			
2.1	<p><u>Protective Actions</u></p> <p>Only evacuation noted in the Plan.</p> <p>Assembly Areas appear not to have been assigned at the College.</p> <p><u>Potential Impact</u></p> <p>Life safety issues.</p>	Severe	<p>Protective actions should be described in detail e.g. shelter-in-place, lockdown, etc.</p> <p>Post notices with the evacuation routes and Assembly Areas throughout the College campus; include in College Plan.</p>	All

Gap Analysis

#	Description of Gap – College Emergency Response and Disaster Plan	Risk Rating	Recommendations for Risk Mitigation	Campus Impacted
2.2	<p><u>Internal Communications – Emergency Notifications</u></p> <p>There is nothing within the Plan that addresses campus-wide emergency notifications.</p> <p>Key personnel are listed in multiple places throughout the Plan documentation.</p> <p><u>Potential Impact:</u></p> <p>Life safety concerns.</p>	Severe	Update Plan to include a current alert list, notification table, or cascade notification system; current telephone numbers for key personnel; where personnel should report and similar detailed information.	All
2.3	<p><u>Internal Communications - Incident Escalation Process</u></p> <p>Telephone contacts are listed in Plan.</p> <p>Marsh is led to believe that escalation criteria is understood from the time of new hire orientation, but is not documented.</p> <p>Alternates (First Backups) have not been identified for all key positions.</p> <p>There is a good working relationship between the College and Sherriff but the College is short staffed.</p> <p><u>Potential Impact:</u></p> <p>Life safety issues as escalation and response time may be longer than wanted / required.</p>	Severe	<p>Document the communication and escalation process. Include Alternates from across the District.</p> <p>Make sure the escalation process is communicated during awareness, training and testing programs.</p> <p>Equip all classrooms with telephone with speaker functionality.</p>	All

Gap Analysis

#	Description of Gap – College Emergency Response and Disaster Plan	Risk Rating	Recommendations for Risk Mitigation	Campus Impacted
2.4	<p><u>Internal Communications – Call Trees</u></p> <p>There is no formal process in place to communicate between one faculty or staff member and another. No call trees are in place.</p> <p><u>Potential Impact</u></p> <p>Emergency communications may be severely hampered at time of incident.</p>	Severe	<p>Establish call trees to be used for communications with faculty and staff at time of incident within the District Office and each College as well as across the District.</p> <p>Consideration may be given to list positions, not individuals. Remove names throughout the Plan.</p> <p>Call tree lists should be updated annually, at a minimum.</p> <p>Call trees should be tested regularly during drills and exercises.</p>	All
2.5	<p><u>Liaison to External Agencies – Community & Stakeholders</u></p> <p>Plan includes provisions for coordinating and communicating among public response agencies. Certain provisions do exist within the Plan for coordinating community partners, local law enforcement, county emergency management officials, and Red Cross but relationships with external parties may not have been formalized.</p> <p><u>Potential Impact:</u></p> <p>Community and external relationships may be too loose to help at time of incident which may cause command and control issues.</p>	High	<p>Determine expectations of the community and other external stakeholders.</p> <p>Formalize and document arrangements for working with the local community and other external resources (e.g. Red Cross, local hospital, local High Schools, Chancellor's office).</p> <p>Include external stakeholders in awareness sessions, drills.</p> <p>Be prepared to deploy faculty and staff, if required.</p>	All

3.3. General Emergency Preparedness, Response and Recovery Program Observations

Listed below are the general observations from the review:

Categorization				
1. Planning	2. Incident Management	3. Logistics	4. HR/Finance/IT	5. Facility & Infrastructure
1.1 Crisis Communications Plan	2.1 Protective Actions – Assembly Areas	3.1 Student Communications – Emergency Communications	4.1 Human Resources - Job Classification	5.1 Panic Buttons
1.2 Continuity Plans for Recovery	2.2 Protective Actions – Alameda College Cut Off From Mainland	3.2 Student Communications – Emergency Hotline	4.2 Human Resources – New Hire Orientation	5.2 Security Staffing
1.3 IT Disaster Recovery Plan	2.3 Internal Communications – Emergency Communications	3.3 Student Communications – Emergency Notification System	4.3 Human Resources – Union Contracts	5.3 Risk Vulnerability Assessment
1.4 Risk Register	2.4 Internal Communications – Emergency Hotline	3.4 Student Communications – Emergency Communications	4.4 Finance Operations – Financial Aid	5.4 Non-Structural Bracing
	2.5 Internal Communications – District-wide MOU	3.5 Faculty & Staff Support – Family Preparedness Plan	4.5 Finance Operations – Federal & State Requirements	5.5 Backup Power
	2.6 Liaison to External Agencies – Community & Stakeholders	3.6 Student Support – Awareness & Training	4.6 Information Technology – Data Backups	5.6 Emergency Lighting
	2.7 Drills & Exercises – Faculty and Staff Awareness & Training	3.7 Student Assistance Program	4.7 Information Technology – Data Protection	5.7 Power EOC
		3/8 Supplies – General		5.8 Storage of Supplies
		3.9 Supplies – Food & Water		5.9 Building Occupancy Resumption
				5.10 Business Resumption
			5.11 Engineering Support	

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#	Description of Gap – Emergency Preparedness, Response and Recovery Program	Risk Rating	Recommendations for Risk Mitigation	Entity Impacted
1.	PLANNING			
1.1	<p><u>Crisis Communications Plan</u> The crisis communications plan should include event triggers linked to the PCCD EOP, College Plan and Continuity Plans for Recovery and include a communications framework that includes scope, frequency, mode and medium for crisis messaging. Pre-scripted messages need to be developed.</p> <p><u>Potential Impact:</u> Delays in developing the messaging could negatively impact the District.</p>	Severe	It is important for the District Office and Colleges to be able to communicate promptly and effectively at time of incident. Develop a comprehensive set of messages that can be adapted at time of incident.	All

Gap Analysis

#	Description of Gap – Emergency Preparedness, Response and Recovery Program	Risk Rating	Recommendations for Risk Mitigation	Entity Impacted
1.2	<p><u>Continuity Recovery Plan</u></p> <p>There are no documented recovery procedures in place for restoration of classes and other campus activities.</p> <p><u>Potential Impact:</u></p> <p>Inability to perform critical business functions.</p> <p>All business functions will be vying for resources at the same time, irrespective of the importance of each of business process.</p>	<p>High</p>	<p>District Risk Manager has the experience to manage the strategic oversight of Emergency Preparedness process and the ability to provide the vision for the program but needs additional resources to execute the tactical development. This will require that the District hire a project manager with proven Business Continuity skill-sets to facilitate the development of response & recovery plans and implementation testing & maintenance. Due to the number of recommendations across the District and urgency in being able to respond to an event and urgency of becoming compliant, we recommend a concentrated development effort across all fronts during 2010 & 2011. This will require that the district hire an external resource to assist with plan development implementation and initial testing.</p> <p>Key activities and components include:</p> <ul style="list-style-type: none"> ▪ Identify key business processes by department and determine their recovery time objectives. ▪ Determine, select and implement a recovery strategy based on cost/benefit analysis. ▪ Develop discrete Plans for each department which include the documentation of manual workarounds. ▪ Develop awareness and training for Primary and Alternate Plan owners. ▪ Develop awareness, training and testing program. 	All

Gap Analysis

#	Description of Gap – Emergency Preparedness, Response and Recovery Program	Risk Rating	Recommendations for Risk Mitigation	Entity Impacted
1.3	<p><u>IT Disaster Recovery Plan</u></p> <p>The District is mainly server based. There are no documented or tested IT Disaster Recovery Plans in place in the event of loss of the data center and no equipment is immediately available.</p> <p>There are no automated recovery procedures in place for the Financial Aid mainframe system.</p> <p>All campuses, labs, etc. work independently.</p> <p><u>Potential Impact:</u></p> <p>Inability to perform critical business functions within recovery time objectives identified by the business owners.</p> <p>eLearning environment might be comprised. Faculty unable to post coursework online; students' inability to submit homework on time.</p> <p>Delays and increased cost to implement manual procedures.</p>	<p>High</p>	<p>The current Vice Chancellor has an awareness of needs and is in the process of exploring alternatives and determining exact IT environment/recovery capabilities District-wide.</p> <p>As appropriate, IT should work with business owners to determine their recovery time objectives in order to determine requirements for applications that need to be up and running.</p> <p>Integrate the IT Disaster Recovery Plan with the Continuity Plans for Recovery. Review results of the identification of Critical Processes.</p> <p>Select and implement a recovery strategy based on cost/benefit analysis e.g. consolidation of servers, prioritization of needs, funding requirements.</p> <p>Complete recovery tests to identify actual capabilities. Include end users in recovery tests.</p> <p>Establish cross-training procedures for staff at the District Office and each College who can assist in any IT Disaster Recovery initiatives.</p> <p>Provide training and awareness around recovery capabilities.</p>	<p>All</p>

Gap Analysis

#	Description of Gap – Emergency Preparedness, Response and Recovery Program	Risk Rating	Recommendations for Risk Mitigation	Entity Impacted
1.4	<p><u>Risk Register</u></p> <p>Mitigation and corrected actions for known risks are not complete.</p> <p><u>Potential Impact:</u></p> <p>May take longer to respond to an incident than envisaged which may negatively impact the District’s reputation.</p>	Moderate	Develop Risk Register or matrix to help list all known issues, the recommended risk mitigation steps that need to be taken, person(s) assigned to resolve the issue, and progress toward getting it done.	All
2. INCIDENT COMMAND				
2.1	<p><u>Protective Actions – Assembly Areas</u></p> <p>Assembly Areas appear not to have been assigned at the College.</p> <p><u>Potential Impact</u></p> <p>Life safety issues.</p>	Severe	Post notices with the evacuation routes and Assembly Areas throughout the College campus; include in College Plan.	All

Gap Analysis

#	Description of Gap – Emergency Preparedness, Response and Recovery Program	Risk Rating	Recommendations for Risk Mitigation	Entity Impacted
2.2	<p><u>Protective Actions – College Cut off from Mainland</u></p> <p>It is anticipated a region-wide event could cause bridges and roads onto the island to become impassable.</p> <p><u>Potential Impact:</u></p> <p>Faculty, staff and students may be marooned on the island of Alameda and compelled to remain on the College campus until such time as roads are passable once more.</p> <p>Faculty, staff and students will expect the College to provide shelter, food, water and other emergency supplies at time of incident.</p>	High	<p>Identify requirements for the Coast Guard and Alameda Police and integrate with COA capabilities to create an evacuation plan to move students off the island if it is cut off from the mainland.</p>	College of Alameda
2.3	<p><u>Internal Communications – Emergency Communications</u></p> <p>There are no/few pay phones for emergency use.</p> <p>There are no phones in College classrooms.</p> <p>Key faculty and staff members have not been issued Government Emergency Telecommunication System (GETS) cards.</p> <p>Satellite phones are not provided.</p> <p>Ham radios are not provided. Ham radio operators have not been trained. However, Ham operator clubs are in existence.</p> <p><u>Potential Impact</u></p> <p>Emergency communications may be severely hampered at time of incident.</p>	Severe	<p>The District Office and each College should acquire the following tools:</p> <ul style="list-style-type: none"> ▪ Install pay phones in strategic places throughout the District Office and Colleges. ▪ Equip key classrooms with phone lines. Document their locations and extensions in the PCCD EOP and College Plan documents. ▪ Explore capabilities of external antenna required for ham radio operation at the District Office and each College. Train at least 2 people (faculty and/or staff) on the operation of Ham equipment. ▪ Use satellite phone capabilities at each college for use by the EOC Director or IC. ▪ Obtain Government Emergency Telephone Service (GETS) cards (no cost) for key managers, PBX operator, and the EOC Director or IC. 	All

Gap Analysis

#	Description of Gap – Emergency Preparedness, Response and Recovery Program	Risk Rating	Recommendations for Risk Mitigation	Entity Impacted
2.4	<p><u>Internal Communications – Emergency Hotline</u></p> <p>A toll-free hotline has not been established for communicating with off-duty faculty and staff.</p> <p><u>Potential Impact</u></p> <p>Faculty and staff may not fully understand the extent of the incident and whether they need to report to work.</p>	High	<p>A toll-free hotline, hosted outside the local area code, can provide a mechanism for communicating to faculty and staff about conditions at the District Office and/or Colleges, when to report to work, etc.</p>	All
2.5	<p><u>Internal Communications – District-wide Memorandum of Understanding</u></p> <p>The District Office and Colleges have no formal agreement in place to support one another at time of incident.</p> <p><u>Potential Impact:</u></p> <p>Faculty and staff at the scene of the incident don't have the requisite skill-sets to manage the incident.</p> <p>It could take longer to contain the incident than hoped for or expected.</p>	Moderate	<p>Investigate synergies across the District so that the District Office and/or a College can support one another at time of incident e.g. identify faculty and staff with specialized skills (security, public safety, Public Information Officer), leverage pre-scripted messages.</p> <p>Establish District Response Team and develop Memorandum of Understanding.</p> <p>Be prepared to deploy faculty and staff with specialized skill-sets at time of incident.</p> <p>Explore use of students as ambassadors in supporting any District Response Team.</p>	All

Gap Analysis

#	Description of Gap – Emergency Preparedness, Response and Recovery Program	Risk Rating	Recommendations for Risk Mitigation	Entity Impacted
2.6	<p><u>Liaison to External Agencies – State Chancellor’s Office</u></p> <p>If the District needs to close one or more Colleges or to extend the number of instructional days, it is required to advise the Vice Chancellor for Fiscal Services of closure or change to semester. At this time, there is no documented process in place to do so.</p> <p><u>Potential Impact:</u></p> <p>Per the Executive Vice Chancellor & General Counsel of the Community College Chancellor’s Office, closure of the College or extending the number of instructional days would be at the discretion of the District. The District is not required to make up lost instructional days due to an emergency, to be eligible for state funding.</p>	Moderate	Update PCCD EOP to include procedures for notifying Vice Chancellor for Fiscal Services should the District close a College or wish to extend the number of instructional days. Emails should be sent to Eric Skinner at eskinner@cccoco.edu.	
2.7	<p><u>Liaison to External Agencies – Community & Stakeholders</u></p> <p>Relationships with external parties have been established but are not formalized.</p> <p><u>Potential Impact:</u></p> <p>Community and external relationships may be too loose to help at time of incident.</p>	High	<p>Risk Management is exploring the expectations of the community and other stakeholders (e.g. Red Cross).</p> <p>Formalize and document arrangements for working with the local community and other external resources (e.g. local hospital, local High Schools, Chancellor’s office).</p> <p>Assign General Counsel as the communication liaison to the SMT and Board.</p> <p>Be prepared to deploy faculty and staff, if required.</p>	All

Gap Analysis

#	Description of Gap – Emergency Preparedness, Response and Recovery Program	Risk Rating	Recommendations for Risk Mitigation	Entity Impacted
3.	Logistics			
3.1	<p><u>Student Communications – Emergency Communications</u></p> <p>The Colleges are not equipped with internal/external notification system.</p> <p>There are no/few pay phones throughout the College campus.</p>	Severe	<p>General Services is actively planning to install campus wide (internal/external) communication systems.</p> <p>Install pay phones in strategic places throughout the District Office and Colleges. Document their locations and numbers in the PCCD EOP and College Plan documents.</p>	All
3.2	<p><u>Student Communications – Emergency Hotline</u></p> <p>A toll-free hotline has not been established for communicating with students.</p> <p><u>Potential Impact</u></p> <p>Students may not fully understand the extent of the incident and whether they need to return to College.</p> <p>The District Office may be overwhelmed with calls for advice on what students should be doing at time of incident.</p>	High	<p>A toll-free hotline, hosted outside the local area code, can provide a mechanism for communicating to students about conditions at the colleges, when to report to College, etc.</p>	All Colleges
3.3	<p><u>Student Communications – Individual Emergency Notification System</u></p> <p>There are no procedures in place to disseminate a single message to students both on and off campus at time of incident.</p> <p><u>Potential Impact:</u></p> <p>Students do not know what they should be doing either at time of incident or after.</p>	High	<p>Expand the use and practice of the current “Alertify” system to notify students via phone, fax, email and text.</p>	All Colleges

Gap Analysis

#	Description of Gap – Emergency Preparedness, Response and Recovery Program	Risk Rating	Recommendations for Risk Mitigation	Entity Impacted
3.4	<p><u>Drills & Exercises – Faculty and Staff Awareness & Training</u></p> <p>Faculty and staff lack awareness and training in SEMS/NIMS/ICS. None have participated in drills. However, training classes have begun and training dates have been scheduled.</p> <p><u>Potential Impact:</u></p> <p>Faculty and staff do not know what is expected of them at time of incident.</p> <p>Confusion during an incident about the activities that need to take place and who is responsible for those activities.</p> <p>Delay in implementing appropriate response to the event.</p> <p>Lack of participation for all key stakeholders during the incident.</p> <p>Inconsistent messages or negative media scrutiny.</p> <p>Stakeholders and third parties talk disparagingly of how the District is handling situation.</p>	Severe	<p>In order to diffuse any potential issues among faculty/staff and take into account any cultural issues that might impact awareness, training sessions and campus drills need to be periodically performed.</p> <p>All campus drills and exercises <u>must</u> include procedural action steps for SEMS/NIMS.</p> <p>Training and testing programs need to develop clear guidance and deliver a formal awareness process. The training and testing program needs to include:</p> <ul style="list-style-type: none"> ▪ New hire orientation ▪ Intranet ▪ Ham operator training ▪ Table-Top exercises ▪ Functional exercises ▪ Full-scale exercises ▪ Wallet cards ▪ Plan maintenance instructions <p>Develop a multi-phase/multi-year test schedule that includes faculty, staff, students and local agencies in drills across Peralta’s District Office and Colleges.</p>	All

Gap Analysis

#	Description of Gap – Emergency Preparedness, Response and Recovery Program	Risk Rating	Recommendations for Risk Mitigation	Entity Impacted
3.5	<p><u>Faculty and Staff Support - Family Preparedness Plan</u></p> <p>Faculty and staff have received no guidance on how to prepare their families for an incident.</p> <p><u>Potential Impact:</u></p> <p>Faculty and staff may be unprepared to protect themselves at time of incident and therefore less likely to be in a position to help the IC and/or continue operations.</p>	<p>Moderate</p>	<p>Encourage faculty and staff to prepare themselves and their families for a disaster by developing their own Family Disaster Plan e.g.</p> <ul style="list-style-type: none"> ▪ Know what local and regional events may occur in their area ▪ Create their own family disaster plan and raise awareness among family members as to what to do to implement the plan ▪ Prepare 3-5 day emergency supplies kit ▪ Maintain and practice the plan <p>Circulate and post posters with advice on how to prepare. Include links to resources for personal and family preparedness</p> <p>Post personal and family preparedness guidelines on website.</p>	<p>All</p>

Gap Analysis

#	Description of Gap – Emergency Preparedness, Response and Recovery Program	Risk Rating	Recommendations for Risk Mitigation	Entity Impacted
3.6	<p><u>Student Support – Awareness & Training</u></p> <p>Students do not know what is expected of them at time of incident. Students have not participated in drills.</p> <p><u>Potential Impact:</u></p> <p>Confusion during an incident about the activities that need to take place and who is responsible for those activities. Lack of participation during the incident. Rumors at time of incident.</p>	Severe	<p>Identify students in each College through student Government body, EMT, Association of Nursing, Radiotechnology, Nutrition, Microbiology, who have specialized skills(e.g. swim instructors at Laney College, EMT team at Merritt College) that could assist at time of incident either for a single College or supporting a District-wide Response Team initiative.</p> <p>In order to diffuse any potential issues among the student body take into account any cultural issues that might impact the awareness, training and testing program and ultimately their ability to respond to the incident</p> <p>Develop clear guidance and multiple methods to deliver a formal awareness, training and testing program.</p> <ul style="list-style-type: none"> ▪ New student orientation ▪ Website ▪ Student Volunteer Agreement ▪ District Safety Groups ▪ Table-Top, Functional and Full-Scale exercises <p>Include students in drills and exercises.</p>	Colleges
3.7	<p><u>Student Support – Student Assistance Program</u></p> <p>There is no standard crisis intervention program within the District</p> <p><u>Potential Impact:</u></p> <p>Confusion during an incident about the activities that need to take place and who is available to assist students.</p>	Moderate	<p>It is encouraged that the District develop a crisis intervention program that faculty and staff can implement at the time of an event. Staff with past experiences with crisis intervention teams can be encouraged to assist with this planning process.</p>	All

Gap Analysis

#	Description of Gap – Emergency Preparedness, Response and Recovery Program	Risk Rating	Recommendations for Risk Mitigation	Entity Impacted
3.8	<p><u>Supplies - General</u></p> <p>Quantity and availability of emergency supplies (first aid kits, cots, blankets, flashlights, ponchos) is unknown.</p> <p><u>Potential Impact</u></p> <p>Supplies may be inadequate to support faculty, staff and students at time of incident.</p>	<p>Moderate</p>	<p>Perform surge studies to determine the population that would have to be supported during a region-wide emergency. Calculations should include, at a minimum, faculty, staff and student capacity for which the District would need to provide assistance at time of incident.</p> <p>The District Office and each College should maintain at least 3-5 days of all critical supplies (first aid kits, cots, blankets, flashlights, ponchos).</p> <p>Management should identify alternative routes and/or methods for distributing supplies to the College of Alameda if cut-off from the mainland.</p> <p>Critical equipment and supplies located below grade should be elevated at least 4 inches above floor level.</p>	<p>All</p>

Gap Analysis

#	Description of Gap – Emergency Preparedness, Response and Recovery Program	Risk Rating	Recommendations for Risk Mitigation	Entity Impacted
3.9	<p><u>Supplies – Food & Water</u></p> <p>Supplies and availability of food and water at time of incident in the District Office and at each College is unknown.</p> <p><u>Potential Impact</u></p> <p>Supplies may be inadequate to support faculty, staff and students at time of incident.</p>	Moderate	<p>Perform studies to determine the population that would have to be supported during a region-wide emergency. Calculations should include, at a minimum, faculty, staff and student capacity for which the District would need to provide assistance at time of incident.</p> <p>Emergency drinking water supply should be based on one gallon per person per day, for 3-5 days.²</p> <p>Each College should develop and document water conservation procedures (e.g. “Code Dry”) to ensure that water contained in pipes, tanks, etc. can be rapidly secured in an emergency. The “Code Dry” procedures should be exercised in the course of drills.</p>	
4.	Human Resources/Finance/Information Technology			
4.1	<p><u>Human Resources - Job Classification</u></p> <p>The actual job classifications for the staff does not correspond to current job duties and requirements. Stenographers are still employed</p> <p><u>Potential Impact:</u></p> <p>It makes finding and replacing staff members difficult.</p> <p>It keeps the market salaries and competitive wages out of reach of the District.</p>	Moderate	Review and revise the employee classification criteria.	Laney

² American Red Cross recommends one gallon per person per day for drinking, cooking, and basic sanitation. The World Health Organization recommends one gallon per day per person for drinking and cooking.

Gap Analysis

#	Description of Gap – Emergency Preparedness, Response and Recovery Program	Risk Rating	Recommendations for Risk Mitigation	Entity Impacted
4.2	<p><u>Human Resources – New Hire Orientation</u></p> <p>Orientation does not include “Agent of the State” training.</p> <p><u>Potential Impacts:</u></p> <p>Faculty and Staff may not realize that as a state employee they are expected to represent the state during an emergency and therefore not agree to fulfill a critical role at time of incident.</p>	Moderate	<p>Include “Agent of the State” training in the new hire orientation training process.</p>	All
4.3	<p><u>Human Resources - Union Contracts</u></p> <p>The Union contract, which includes force majeure clause requiring Union members to report to and perform work, has expired.</p> <p>There is no formal process in place to communicate with Unions at time of incident.</p> <p><u>Potential Impacts:</u></p> <p>Union members may initiate grievance process, although it is anticipated they will report to work.</p>	Moderate	<p>Review contracts under the context of an emergency and resolve needs and conflicts through pre-disaster negotiations.</p>	All
4.4	<p><u>Finance Operations - Financial Aid</u></p> <p>The District has \$150M in reserves.</p> <p>If an incident necessitates reimbursement of funds spent following an incident or additional funding, there is no documented procedure in place.</p> <p><u>Potential Impact:</u></p> <p>Access to funds may be hampered, thereby preventing the District from responding promptly to the incident.</p> <p>The District may not be reimbursed for incident-related expenses if it does not know the correct SEMS/NIMS protocols.</p>	High	<p>Work with the Legal team to establish rapid response financial disbursement process. Define appropriate decision-making authorities.</p> <p>Ensure compliance with SEMS/NIMS.</p> <ul style="list-style-type: none"> ▪ Note: State funding is provided based on the number of full-time faculty and staff and registered students. 	All

Gap Analysis

#	Description of Gap – Emergency Preparedness, Response and Recovery Program	Risk Rating	Recommendations for Risk Mitigation	Entity Impacted
4.5	<p><u>Finance Operations - Federal & State Requirements</u></p> <p>It is costly to comply with federal and state requirements.</p> <p><u>Potential Impact:</u></p> <p>It may not be possible to comply with federal and state requirements as risk mitigation measures are deemed too costly to implement.</p>	High	Determine sources of additional funding for the Continuity Plans for Recovery program.	All
4.6	<p><u>Information Technology – Data Backups</u></p> <p>The District is predominantly a server –based environment. At present all data is sent to cloud every evening and also to tape.</p> <p>It is unclear if data stored on campuses, labs, etc. is backed up.</p> <p><u>Potential Impacts:</u></p> <p>Faculty and Staff may not have access to information needed at time of incident.</p> <p>Loss of data could result in the inability to conduct critical business processes.</p> <p>Time to re-key data.</p> <p>Potential costs to recover data.</p>	High	<p>Develop a centralized District-wide backup strategy for storage of data, recovery plans, call trees, etc.</p> <p>Ensure storage at off-site location.</p>	All

Gap Analysis

#	Description of Gap – Emergency Preparedness, Response and Recovery Program	Risk Rating	Recommendations for Risk Mitigation	Entity Impacted
4.7	<p><u>Information Technology - Data Protection</u></p> <p>It can take several hours before computer systems are brought up following a power outage.</p> <p>It is unclear how often tests to recovery data are performed, if ever.</p> <p><u>Potential Impacts:</u></p> <p>Faculty and Staff may not have access to information needed at time of incident.</p> <p>Loss of data could result in the inability to conduct critical business processes.</p> <p>Time to re-key data.</p> <p>Potential costs to recover data.</p>	Moderate	<ul style="list-style-type: none"> ▪ Determine cause of power “glitches” and rectify, if possible. ▪ Ensure access to Plan documentation is accessible at alternate Emergency Operations Centers. ▪ Develop and implement a policy that requires key faculty and staff to retain a hard copy of all pertinent plan documentation off-site. ▪ Periodically perform exercise to recovery data ▪ Add local server UPS units to smooth and maintain consistent power to the computers. The UPS units do not need to be very large and can help keep systems operational through momentary or several minute outages that currently cause significant issues. 	All
5. Facility / Infrastructure				
5.1	<p><u>Liaison to External Agencies - Panic Buttons</u></p> <p>There are no panic buttons placed at strategic points in the Laney College Administration building.</p> <p><u>Potential Impact:</u></p> <p>The flow of people through Laney College’s Administration building is not conducive to providing a protected workplace.</p>	Moderate	<p>Reengineer the flow of people through the Administration building.</p> <p>Provide better information and assistance to students, yet still protect the College’s leadership.</p> <p>Install panic buttons by personal computers.</p>	Laney

Gap Analysis

#	Description of Gap – Emergency Preparedness, Response and Recovery Program	Risk Rating	Recommendations for Risk Mitigation	Entity Impacted
5.2	<p><u>Facility – Security Staff</u></p> <p>There is no formal procedure in place to secure additional security staff at time of incident.</p> <p><u>Potential Impact:</u></p> <p>Supplemental security staff may not be available at time of local or regional disaster.</p>	Severe	Develop Memorandum of Understanding with security services. District is actively pursuing development of an internal police department that will be active for 2010/2011 year.	All
5.3	<p><u>Facility - Risk Vulnerability Assessment</u></p> <p>The PCCD EOP includes the findings of a Threat Assessment however a Risk Vulnerability study has not been performed at the District Office and each College. It is unclear what risk mitigation measures are in place at this time nor whether there are any significant gaps that require planning.</p> <p><u>Potential Impact:</u></p> <p>Business resumption issues.</p>	High	<p>Conduct Risk Vulnerability Assessment at the District Office and each College to probe more deeply into threats previously identified in the Threat Assessment. Determine buildings that need to be seismically retrofitted.</p> <p>Develop plans that enable the District Office and each College to remain self-sufficient for at least 3-5 days.</p>	All
5.4	<p><u>Facility – Nonstructural Seismic Bracing</u></p> <p>It is understood that heavy equipment has not been braced for an earthquake.</p> <p><u>Potential Impact:</u></p> <p>Equipment that falls or breaks could cause severe injuries to faculty and staff and students.</p> <p>Negative media if an employee or student is injured as a result of falling equipment.</p>	High	Nonstructural seismic bracing should be provided for all equipment that is higher than wide, heavy and elevated or heavy and fragile. Investigate bracing for expensive and fragile equipment (e.g. lab equipment, computers, server, etc.)	All

Gap Analysis

#	Description of Gap – Emergency Preparedness, Response and Recovery Program	Risk Rating	Recommendations for Risk Mitigation	Entity Impacted
5.5	<p><u>Facility – Power</u></p> <p>It is unclear how long backup generators, if any, can support the District Office and each College campus. (Currently, it can take several hours before computer systems are brought up following a power outage.</p> <p><u>Potential Impact:</u></p> <p>It is anticipated a region-wide event will significantly impact power. Prolonged loss of power could result in the District Office and/or one or more Colleges being unable to continue operations e.g. admin office operations, class instruction, provide cooked meals, maintain systems including eLearning environment.</p>	High	<p>Document size, make/model, fuel capacity and what they are supporting e.g. emergency lighting, data centers, labs. Include frequency of testing and frequency of testing for all emergency generators.</p> <p>Procure additional generators as operationally required.</p> <p>Determine fuel supplies for emergency generators starting from the normal reorder level, and considering all emergency equipment connected to each fuel supply.</p> <p>Develop formal agreements with fuel suppliers for refueling purposes.</p> <p>Investigate contracts for quick delivery of emergency generators, and connections to ensure quick installation of generators at time of incident.</p> <p>Develop manual workarounds that enable the District Office and each College to remain self-sufficient for at least 3-5 days.</p>	All
5.6	<p><u>Emergency Lighting & Alarms</u></p> <p>It is unclear if all emergency lighting and alarms are adequately powered by backup generation.</p> <p><u>Potential Impact:</u></p> <p>It is anticipated a region-wide event will significantly impact power. Uncertainty on the adequacy of emergency lighting and alarms could impact the safety of faculty, staff and students.</p>	Severe	Same as recommendation for 5.5	All
5.7	<p><u>Power Emergency Operations</u></p> <p>It is unclear if all emergency lighting and alarms are adequately powered by backup generation.</p>	Moderate	Same as recommendation for 5.5	All

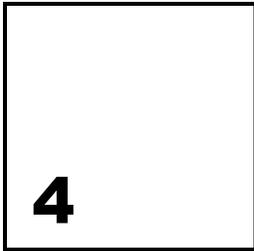
Gap Analysis

#	Description of Gap – Emergency Preparedness, Response and Recovery Program	Risk Rating	Recommendations for Risk Mitigation	Entity Impacted
5.8	<p><u>Facility – Storage of Supplies</u></p> <p>Some storage exists for supplies and equipment but it is unclear what is currently being stored and whether the space allocated is sufficient.</p> <p><u>Potential Impact:</u></p> <p>District Office and College campuses may not have made provisions to store adequate supplies and equipment to support faculty, staff, students and visitors at time of incident.</p>	Moderate	Update assessment of needs at the District Office and each college campus and earmark or acquire additional storage, as needed.	All
5.9	<p><u>Facility - Building Occupancy Resumption</u></p> <p>If a District building is “red-tagged” as being unfit for occupation, there are no procedures in place for building inspection.</p> <p><u>Potential Impact:</u></p> <p>Once a building is red-tagged it cannot be occupied until an inspector has certified that it is safe for re-occupation. This could result in the building(s) being unusable for a prolonged period of time, especially during a region-wide event.</p>	Severe	Identify licensed engineers and/or architects on staff. Arrange for licensed engineers and/or architects to attend training through the Cal EMA’s Post Disaster Safety Assessment Program. More details can be found at: http://www.oes.ca.gov/WebPage/oeswebsite.nsf/ClientOESFileLibrary/Recovery%20-%20TAP%20-%20Safety%20Assessment%20Program/\$file/SAPguideline%5B1%5D.pdf	All
5.10	<p><u>Facility – Business Resumption</u></p> <p>The District has not identified alternate facilities where business operations could be maintained following an incident.</p> <p><u>Potential Impact:</u></p> <p>Business resumption issues.</p>	High	Identify and document available space in which business operations could continue (e.g. within the District, local High Schools).	All

Gap Analysis

Peralta Community College District

#	Description of Gap – Emergency Preparedness, Response and Recovery Program	Risk Rating	Recommendations for Risk Mitigation	Entity Impacted
5.11	<p><u>Facility– Engineering Support</u></p> <p>It is unclear whether there are sufficient engineers on site to support the District office and one or more College campuses at time of incident.</p> <p><u>Potential Impact:</u></p> <p>Business resumption issues.</p>	<p>Moderate</p>	<p>Formulate list of engineers at the District Office and College campuses.</p> <p>Compile list of local engineering companies. Enter into Memorandum of Understanding.</p>	<p>All</p>



Recommended Next Steps

Our review of Peralta's Emergency Preparedness, Response & Recovery Program revealed exposures and opportunities for improvement that if left unaddressed could potentially hamper the District's recovery efforts at time of disaster. In an effort to develop an effective program, we have developed a prioritized checklist of recommended remedial steps for the District to implement. This list of next steps will assist the District in transitioning its Emergency Response practices from a collection of compartmentalized initiatives to a comprehensive, fully integrated, and operational-driven program. These next steps have been developed considering the information collected during our review compared to best-practice methodology.

Based on our review, we recommend the following strategic next steps for the Emergency Preparedness, Response & Recovery Program at Peralta:

1. Implement **integrated District-wide Policy and Program Structure**.
2. Simplify **PCCD EOP** to ensure ease of use; it needs to be a true operational plan. Ensure missing elements of SEMS/NIMS/ICS are addressed.
3. Update **College Plan** to be SEMS/NIMS/ICS compliant.
4. Develop **Crisis Communications Plan**. The crisis communications plan should include event triggers linked to the PCCD EOP, College Plan and Continuity Plans for Recovery and include a communications framework that includes scope, frequency, mode and medium for crisis messaging. Pre-scripted messages need to be developed.
5. Review **Critical Processes** to identify time-sensitive business processes, associated financial, operational and reputational impacts, recovery time objectives, internal and external dependencies, and necessary recovery resources that support the processes so that effective recovery strategies and departmental Continuity Plans can be developed.

6. Develop **Recovery Strategies** so as to plan for the relocation of key business processes and campus activities at time of incident, taking into account the resources required to support each of those processes e.g. facilities, people, equipment, systems.
7. Build **Continuity Plans**. These written actions plans include the organizational model needed for infrastructure recovery and business continuance/relocation. They are intended to be used as “grab & go” documents to help guide departments/business units with the resumption of their operations.
8. Build **IT Disaster Recovery Plan**. This plan provides the technological tenets of a recovery plan in support of Business Continuity. The focus is on restoration of data center services and computer processing capabilities, possibly at an alternate location.
9. **Exercise / test** the Continuity Plans. Through testing and training the District will determine how prepared it is to handle real emergencies. By exercising, one can ascertain whether a given department/business unit’s Continuity Plan provides the information, structure and guidelines necessary to make recovery decisions in the event of an incident.
10. Hire **internal Staff and external consultant** to complete recommendations to become compliant with state and federal recovery reimbursement programs.
11. Develop an **Awareness program** to ensure that Peralta employees are knowledgeable of the District’s continuity plans and strategies. The program will also help faculty and staff to understand their roles and responsibilities related to continuity and the program overall.
12. Determine potential **Facility vulnerabilities** and take appropriate measures to mitigate risks.
13. Ensure **Human Resources** adheres to Union contract terms and conditions.
14. Ascertain measures for securing **Funding** for the program overall and at time of incident.
15. Maintain **Status Tracking Report**. This will provide a central point to determine the preparedness of the District and what actions need have yet to be taken to mitigate risks.

4.1. Program Roadmap

The milestones listed in the Program Roadmap can be broken down into various activities that form a project plan. For Peralta’s reference, we have included some key activities below that would need to be performed to execute the Roadmap. Note that Peralta can customize its execution based on available resources and time constraints.

The cost to complete each activity will vary significantly depending on the approach taken by Peralta and the types of strategies that are implemented for workspace recovery. Costs include both initial/capital costs and on-going costs for equipment purchases, vendor contract fees and employee expenses.

The following cost scale provides a high-level estimate for external consultant costs for each activity. Using internal resources, a project plan for Peralta would consist of the following activities and tasks. Note: Duration refers to the number of business days (M-F) to complete the task or activity. For example, 30 business days equals six calendar weeks.

Activity	Duration	Owner / Resource (Hours)	Supervisor / Approver	High-level Cost (external)
1. Implement the Policy and Program Structure				
Create policy statement including requirement for faculty and staff to maintain a copy of all pertinent plan documents off-site	6 days	RM Project Manager (24-48 hrs)	Risk Manager (8-12hrs)	\$5,000
Obtain approval of the Policy Statement from District Management	4 days	External Consultant (20 hrs)	SMT (1-2 hrs each)	External Consultant
Communicate Policy Statement to stakeholders, key vendors and suppliers, including roles and responsibilities to all parties	20 days			
Total	2 Months			
2. Revise PCCD EOP				
Re-write Plan document to create operational plan. Encompass missing SEMS/NIMS/ICS elements: <ul style="list-style-type: none"> • Facilities response and short-term recovery activities • Describe EOP situation and assumptions • Functional annexes Include procedures for communicating with State Chancellor’s Office at time of incident	30 days	External Consultant (60-100 hrs)	RISK MANAGER (10-20 hrs) SMT (1-3 hrs each)	\$12,500 - \$20,000 External Consultant

Activity	Duration	Owner / Resource (Hours)	Supervisor / Approver	High-level Cost (external)
Seek endorsement of Plan	20 days			
Finalize Plan	5 days			
Distribute Plan	5 days			
Communicate Plan	10 days			
Total	2.5 Months			
3. Revise College Plan				
Revise Plan to become SEMS/NIMS/ICS compliant. Update Plan to include: <ul style="list-style-type: none"> • CBRNE emergency provisions • lines of responsibility 3 levels deep throughout Plan • EOC role and responsibility • Assembly Areas • emergency notification, escalation and call tree mechanisms • arrangements for liaising with external agencies 	60 days	RM Project Manager (160-240 hrs) External Consultant (120-160 hrs)	RISK MANAGER (30 - 40 hrs) SMT (2- 8 hrs each)	\$25,000 - \$33,600 External Consultant
Seek endorsement of Plan	20 days			
Finalize Plan	5 days			
Distribute Plan	5 Days			
Communicate Plan	10 days			
Total	3.5 Months			
4. Crisis Communications Plan				
Prepare Crisis Management decision framework and messaging	10 days	RM Project Manager (160-240 hrs)	RISK MANAGER (10-30 hrs)	\$15,000 - \$25,000
Define scope, frequency, mode and medium for crisis messages	10 days			
Define escalation and crisis triggers that link to Continuity Plan	6 days	External Consultant (60 – 120 hrs)	SMT (2-8 hrs each)	External Consultant
Revise/update PCCD EOP	10 days			
Prepare exercise materials; conduct Table-Top exercise of Crisis Communications Plan	10 days	FTE Facilities (4-12 hrs)		

Activity	Duration	Owner / Resource (Hours)	Supervisor / Approver	High-level Cost (external)
Communicate new structure and timeline to all stakeholders	2 days			
Total	2 Months			
5. Identify Critical Processes				
Prepare questionnaire	10 days	RM Project Manager (80-160 hrs) External Consultant (160 - 200 hrs) One representatives from each BU (2-6 hrs)	RISK MANAGER (20-40 hrs) SMT (1- 3 hrs each)	\$32,500 - \$40,000 External Consultant
Determine assumptions based on potential disaster scenarios	10 days			
Conduct interviews to determine key business processes, recovery time objectives and resource requirements	20 days			
Validate data gathered with senior management	10 days			
Prepare gap analysis matrix and report	25 days			
Total	2.5 Months			
6. Develop Recovery Strategies				
Prepare resource requirements for recovery	10 days	RM Project Manager (120-160 hrs) External Consultant (120-160 hrs) FTE Facilities (40-120 hrs) FTE IT (24- 80 hrs) FTE Purchasing (8-10 hrs)	RISK MANAGER (10-20 hrs) SMT (1-3 hrs each)	\$25,000 - \$33,600 External Consultant \$100,000 + Costs to purchase/ reserve equipment / workspace
Gather resource requirements for critical business units: <ul style="list-style-type: none"> Number of staff, computers, phones, printers, copies, fax machines and specialized equipment required at alternate staff Staff who are able to work from home Ability to shift workload to alternate business unit or location 	30 days			
Consolidate and evaluate data gathered	10 days			
Prepare for Recovery Strategy workshop	20 days			
Conduct Recovery Strategy workshop to assess possible internal and external options.	4 days			
Determine cost of recovery strategy options	40 days			
Compare, select and finalize strategies	30 days			
Implement Recovery Strategy	60 days			

Activity	Duration	Owner / Resource (Hours)	Supervisor / Approver	High-level Cost (external)
Total	6 Months			
7. Build Continuity Plans				
Develop baseline tools and templates	20 days	RM Project Manager (160-240 hrs) External Consultant (160-240 hrs) Plan Owner and Alternate (4-6 hrs each) IT FTE (20 hrs)	RISK MANAGER (10-20 hrs) SMT (2- 4 hrs each)	\$32,500 - \$50,000 External Consultant
Design document repository <ul style="list-style-type: none"> • Develop plan template • Establish security protocols for department folders 	60 days			
Designate Plan Owners for participating department	10 days			
Provide training to Plan Owners in plan development and maintenance	30 days			
Conduct workshops with Plan Owners to develop Continuity Plans	30 days			
Plan Owners document workaround tasks	30 days			
Develop a plan maintenance schedule and distribute to Plan Owners	10 days			
Total	5 Months			
8. Training & Testing				
Develop exercise requirements and scope in compliance of SEMS/NIMS/ICS (Operations, Planning, Logistics, Finance)	10 days	RM Project Manager (280-320 hrs) External Consultant (200-300 hrs) Plan Owner and Alternate (2-6 hrs each) SMT (2 hrs each)	RISK MANAGER (10-20 hrs) SMT (2- 4 hrs each)	\$40,000 - \$60,000 External Consultant
Create exercise scenarios and questions	20 days			
Conduct table-top, functional and full-scale exercises	60 days			
Compile list of action items and assign owners to complete	6 days			
Include faculty, staff, students, local community and external resources (e.g. Red Cross, local hospitals, local High Schools).	40 days			
Prepare and present results to SMT	10 days			
Amend recovery strategies and plans based on exercise findings and action items	20 days			
Total	4 Months			
9. Develop Faculty, Staff & Student Awareness Program				

Activity	Duration	Owner / Resource (Hours)	Supervisor / Approver	High-level Cost (external)
Create an internal publication or website to foster awareness	30 days	RM Project Manager (100-160 hrs) External Consultants (80-160 hrs)	RISK MANAGER (10-20 hrs) SMT (1- 3 hrs each)	\$15,000 - \$30,000 External Consultant \$15,000 Costs could include training materials.
Incorporate Emergency Response, Continuity Plans for Recovery information in to new hire orientation	20 days			
Publicize and distribute terms and definitions	10 days			
Coordinate training for similar disciplines i.e. emergency response, safety, security	Varies			
Develop wallet cards	20 days			
Provide faculty, staff and students with information to enable them to develop a family preparedness plan	10 days			
Create posters to educate faculty, staff and students	20 days			
Total	4 Months			
10. Develop IT Disaster Recovery Plan				
Determine current IT environment / recovery capabilities	30 days	RM Project Manager (160-240 hrs) External Consultants (200-300 hrs) FTE IT (500-750 hrs)	RISK MANAGER (10-20 hrs) SMT (1-3 hrs each)	\$40,000 - \$60,000 External Consultant
Review requirements of the business gleaned through identification of key business processes and determine gaps based on current IT environment / recovery capabilities	20 days			
Identify system recovery time and recovery point objectives e.g. Tier 1, Tier 2	30 days			
Develop strategies for recovery of IT systems and applications to meet business objectives through cost/benefit analysis	45 days			
Build out IT infrastructure with failover to alternate campuses	90 days			
Develop District-wide data backup strategy	90 days			
Identify and train staff at District Office and each campus to assist with recovery of IT functionality	30 days			
Conduct functional exercises	30 days			
Amend recovery strategies and plans based on exercise findings and action items	30 days			
Total	9 Months			

Activity	Duration	Owner / Resource (Hours)	Supervisor / Approver	High-level Cost (external)
11. Determine Facility Requirements				
Perform risk vulnerability assessment at District Office and College campuses	30 days	RM Project Manager (160-240 hrs) External Consultants (100 - 160 hrs) FTE Facilities (500-750 hrs)	RISK MANAGER (10-20 hrs) SMT (1- 3) hrs each	\$20,000 - \$33,000 External Consultant
Develop earthquake strapping program; brace equipment	30 days			
Post evacuation notices throughout District Office and College campuses	15 days			
Evaluate emergency supplies on hand. Determine adequacy for surge. Expand number of storage units as required.	30 days			
Install pay phones throughout College campuses	60 days			
Investigate use and purchase of satellite phones	20 days			
Arrange GETS cards for faculty and staff	10 days			
Train HAM radio operators	20 days			
Develop telephone call trees	30 days			
Establish emergency hotlines for faculty and staff; and another for students	30 days			
Investigate cost of installing overhead paging system throughout District Office and College campuses	30 days			
Obtain roster of building captains and floor monitors (including night/weekend representatives)	5 days			
Develop MOU for District Office and College campuses to support one another	30 days			
Formalize agreements for working with local community and external resources in vicinity of District Office and College campuses	60 days			
Investigate cost of installing emergency notification system	45 days			
Determine number of generators at District Office and College campuses. Negotiate refueling contract with vendor. Determine cause of power glitches at Laney College. Develop manual workarounds.	60 days			
Fit out EOCs and ensure Plans are securely stored	30 days			

Activity	Duration	Owner / Resource (Hours)	Supervisor / Approver	High-level Cost (external)
Investigate install of "panic" buttons at Laney College Administrative Building	30 days			
Formulate MOU with security guard service	30 days			
Identify and document available space in which business operations could continue	20 days			
Identify licensed engineers/architects on-site and off-site; encourage them to sign up for Post Disaster Safety Assessment Program	30 days			
Total	9 Months			
12. Human Resources				
Include "Agent of the State" in new hire orientation	15 days	RM Project Manager (20-40 hrs) FTE HR Staff (120-240 hrs)	RISK MANAGER (10-20 hrs) SMT (1-3 hrs each)	
Confirm contract with Federation of Teachers has been extended	30 days			
Work with Unions to ensure PCCD EOP and College Plans meet Union contract terms and conditions	30 days			
Total	1.5 Months			
13. Finance Operations				
Work with Legal team to determine rapid response financial disbursement process	15 days	RM Project Manager (40-80 hrs) FTE Finance (40-80 hrs) FTE Lawyer (40-60 hrs)	RISK MANAGER (10-20 hrs) SMT (1-3 hrs each)	
Determine sources for additional funding for the program	30 days			
Determine sources for additional funding for the program	45 days			
Review contracts for force majeure clauses	15 days			
Total	3 Months			
14. Miscellaneous				
Create risk register	5 days	RM Project Manager (20-40 hrs)	RISK MANAGER (10-20 hrs)	\$5,000 - \$10,000
Track open tasks against risk register	Varies			
Report to SMT	Varies	External Consultants (20-40 hrs)	SMT (1-3 hrs each)	External Consultant

Gap Analysis

Peralta Community College District

Activity	Duration	Owner / Resource (Hours)	Supervisor / Approver	High-level Cost (external)
Total	10 Days			

Multi-phase, Multi-year Estimated Cost Summary

Estimated Cost Summary – Emergency Preparedness Phase (Duration 18–24 months)		
1. Implement the Policy and Program Structure	\$5,000	Consultant
2. Revise PCCD EOP	\$12,500 - \$20,000	Consultant
3. Revise College Plan	\$25,000 - \$33,600	Consultant
4. Crisis Communications Plan	\$15,000 - \$25,000	Consultant
5. Training & Testing	\$40,000 - \$60,000	Consultant
6. Develop Faculty, Staff & Student Awareness Program	\$15,000 - \$30,000	Consultant
7. Determine Facility Requirements	\$20,000 - \$33,000	Consultant
Total	\$132,500 – \$206,000	

Estimated Cost Summary – Business Continuity and Recovery Phase (Duration 20-24 months)		
1. Identify Critical Processes	\$32,500 - \$40,000	Consultant
2. Develop Recovery Strategies	\$25,000 - \$33,600	Consultant
3. Build Continuity Plans	\$32,500 - \$50,000	Consultant
4. Develop IT Disaster Recovery Plan	\$40,000 - \$60,000	Consultant
5. Miscellaneous	\$5,000 - \$10,000	Consultant
Total	\$135,000 – \$193,600	

Resource Requirements

Risk Management Project Manager – 1/2 FTE/year for 2 years)

- I. Emergency Preparedness Phase Total Hours = 1408 (8.8 months)**
- II. Business Continuity and Recovery Phase Total Hours = 960 (6 Months)**

Interviewees

During our review, Marsh met with the following people:

Location	Interviewee	Position
Merritt College	Bobby Adams	President/ Lead
	Karen Bougae	Alternate Lead
	Jacque Bell	Lead
	Brenda Hampton	
	Robert Smith	
	Eric Gravenberg	
	Horace Graham	
	Doris Hankins	
	Linda Berry	
	Steve Pantell	
	Lee Perry	
	Margaret Howell	
	Rebecca Kenney	
	Dera Williams	
	Stephanie Harding	
	Jane Fung	
	Judy Bryson	
Berkeley City College	Betty Inclan	President
	Brenda Johnson	Dean
	Krista Johns	Vice President of Instruction
	Shirley Slaughter	Business and Administrative Services Manager
	May Chen	Student Services
College of Alameda	Teodora Washington	
	George Herring	
	Connie Willis	

Location	Interviewee	Position
	Joe Camara	
	Bala Sampathraj	
	Willard Barksdale	
	Ave Lee-Pang	
	Lynn Torres	
	Min Wu	
	Maurice Jones	
	Kerry Compton	
	Jannett Jackson	
	Michelle Custino	
	Shirleen Schermerhorn	
Laney College	Marco Menendez	Dean of Humanity & Arts
	Elnora Web	Vice President of Instruction
	Mayasha Jamison	Executive Assistant to the President
IT	Minh Lam	Associate Vice Chancellor of IT

MARSH



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GUY CARPENTER OLIVER WYMAN

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