

ANNEX N

**DIRECTION
&
CONTROL**



APPROVAL & IMPLEMENTATION

Annex N

Direction & Control

This emergency management plan is hereby approved. This plan is effective immediately and supersedes all previous editions.

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Date

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ANNEX N

DIRECTION AND CONTROL

I. AUTHORITY

Refer to Section I of the Basic Plan for general authorities

II. PURPOSE

The purpose of this annex is to define the organization, operational concepts, responsibilities, and procedures necessary to accomplish direction and control for the University of Texas at Arlington (UT Arlington). This annex describes UT Arlington's concept of operations and organization for direction and control of such operations and assigns responsibilities for tasks that will be carried out to perform the direction and control function.

III. EXPLANATION OF TERMS

Arlington	City of Arlington
DDC	Disaster District Committee
EOC	Emergency Operations Center
IC	Incident Commander
ICP	Incident Command Post
ICS	Incident Command System
NIMS	National Incident Management System
NRF	National Response Framework
UAC	Unified Area Command
UC	Unified Command
UT Arlington	University of Texas at Arlington
UT System	University of Texas System
VPACO	Vice President for Administration & Campus Operations

IV. SITUATION & ASSUMPTIONS

A. Situation

1. UT Arlington is vulnerable to many hazards, which threaten public health and safety and public or private property. See the general situation statement and hazard summary in Section IV.A of the Basic Plan.
2. UT Arlington direction and control organization will be able to activate quickly at any time day or night, operate around the clock, and deal effectively with emergency situations that will begin with a single response discipline and could expand to multidiscipline requiring effective cross-jurisdictional coordination. These emergency situations include:

- a. Incident. A situation that is limited in scope and potential effects. Characteristics of an incident include:
 1. Involves a limited area and/or limited population.
 2. Evacuation or shelter-in-place is typically limited to the immediate area of the incident.
 3. Warning and public instructions are provided in the immediate area of the incident, not community-wide.
 4. Typically resolved by one or two local response agencies or departments acting under an incident commander (IC).
 5. Requests for resource support are normally handled through agency and/or departmental channels.
 6. Will require limited external assistance from other local response agencies or contractors.
 7. For the purpose of the National Response Framework (NRF), incidents include the full range of occurrences that require an emergency response to protect life or property.
- b. Emergency. A situation larger in scope and more severe in terms of actual or potential effects than an incident. Characteristics include:
 1. Involves a large area, significant population, or important facilities.
 2. Will require implementation of large-scale evacuation or in-place sheltering and implementation of temporary shelter and mass care operations.
 3. Will require community-wide warning and public instructions.
 4. Requires a sizable multi-agency response operating under an IC. The Emergency Operations Center (EOC) will be activated and will require some external assistance from other local response agencies, contractors, and limited assistance from state or federal agencies.
 5. For the purposes of the NRF, an emergency, as defined by the Stafford Act is “any occasion or instance for which, in the determination of the President of the United States, federal assistance is needed to supplement state and local efforts and capabilities to save lives and to protect property and public health and safety, or to lessen or avert the threat of catastrophe in any part of the United States.”
- c. Disaster. Involves the occurrence or threat of significant casualties and/or widespread property damage that is beyond the capability of the local government to handle with its organic resources. Characteristics include:

1. Involves a large area, a sizable population, and/or important facilities.
 2. Will require implementation of large-scale evacuation or in-place sheltering and implementation of temporary shelter and mass care operations.
 3. Requires community-wide warning and public instructions.
 4. Requires a response by most or all local response agencies. The EOC and one or more incident command post (ICP) will be activated.
 5. Requires significant external assistance from other local response agencies, contractors, and extensive state or federal assistance.
 6. For the purposes of the NRF, a *major disaster*, as defined by the Stafford Act is any catastrophe, regardless of the cause, which in the determination of the president causes damage of sufficient severity and magnitude to warrant major disaster federal assistance.
- d. Catastrophic incident. For the purposes of the NRF, this term is used to describe any natural or manmade occurrence that results in extraordinary levels of mass casualties, property damage, or disruptions that severely affect the population, infrastructure, environment, economy, national morale, and/or government functions. An occurrence of this magnitude would result in sustained national impacts over prolonged periods of time, and would immediately overwhelm local and state capabilities.

B. Assumptions

1. Many emergencies occur with little or no warning. If warning is available, alerting UT Arlington, recommending suitable protective actions, taking preventative measures, and increasing the readiness of and deploying emergency response forces will lessen the impact of some emergency situations.
2. UT Arlington will use their own resources to respond to emergency situations and request external assistance from City of Arlington (Arlington), Tarrant County, University of Texas System (UT System), Disaster District Committee (DDC), other jurisdictions pursuant to mutual aid agreements, or from the state. Since it takes time to summon external assistance, it is essential for UT Arlington to be prepared to carry out the initial emergency response on an independent basis.
3. Emergency operations will be directed by local officials, except where state or federal law provides that a state or federal agency will take charge or where local responders lack the necessary expertise and equipment to cope with the incident, and agree to permit those with the expertise and resources to take charge.
4. Effective direction and control requires suitable facilities, equipment, procedures, and trained personnel. Direction and control function facilities will be activated and staffed on a graduated basis as needed to respond to the needs of specific situations.

5. UT Arlington has adopted the National Incident Management System (NIMS) and has implemented all of the NIMS procedures and protocols, which will allow to effectively working with mutual aid partners and state and federal agencies during any type of incident response.

V. CONCEPT OF OPERATIONS

A. General

1. UT Arlington direction and control structure for emergency operations is pursuant to the NIMS, which employs two levels of incident management structures.
 - a. The Incident Command System (ICS) includes a core set of concepts, principles, and terminology applicable to single or multiple incidents regardless of their scope.
 - b. Multiagency coordination systems integrate a combination of facilities, equipment, personnel, procedures, and communications into a common framework, which allows for the coordination and support of incident management.
2. An IC using response resources from one or two departments or agencies, will normally handle emergency situations classified as incidents. The EOC will not be activated.
3. During major emergencies, disasters, or catastrophic incidents, a multiagency coordination system will be advisable. Central to this system is the EOC, which is the nucleus of all coordination of information and resources. The IC will manage and direct the on-scene response from the ICP. The EOC will mobilize and deploy resources for use by the IC, coordinate external resource and technical support, research problems, provide information to senior managers, disseminate emergency public information, and perform other tasks to support on-scene operations.
4. For some types of emergency situations, the EOC will be activated without activating an incident command operation. Such situations will include:
 - a. When a threat of hazardous conditions exists but those conditions have not yet impacted UT Arlington. The EOC will accomplish initial response actions, such as mobilizing personnel and equipment and issuing precautionary warning to the UT Arlington community. When the hazard impacts, an ICP will be established, and direction and control of the response transitions to the IC.
 - b. When the emergency situation does not have a specific impact site, but rather affects a wide portion of UT Arlington, such as an ice storm.
5. For operational flexibility, both ICS and EOC operations will be sized according to the anticipated needs of the situation. The structure of ICS is specifically intended to provide a capability to expand and contract with the magnitude of the emergency situation and the resources committed to it. The EOC will also be activated on a graduated basis.

B. IC Operations

1. The first emergency responder (UT Arlington) to arrive at the scene of an emergency situation will implement ICS and serve as the IC until relieved by a more senior or more qualified individual. Support agencies (e.g., Arlington fire and police) will support UT Arlington ICS and therefore ICS will become a unified command (UC) system. The IC will establish an ICP, provide an assessment of the situation to local officials, identify response resources required, and direct the on-scene response from the ICP.
2. The IC is responsible for carrying out the ICS function of command making operational decisions to manage the incident. The four other major management activities that form the basis of ICS are operations, planning, logistics, and finance/administration. For small-scale incidents, the IC and one or two individuals will perform all of these functions. For more serious emergency situations, individuals from various local departments or agencies or from external response organizations will be assigned to separate ICS staff sections charged with those functions. For these serious emergency situations, it is generally desirable to transition to a UC.
3. If the EOC has been activated, the IC will provide periodic situation updates to the EOC.
4. In emergency situations where other jurisdictions or state or federal agencies are providing significant response resources or technical assistance, it is generally desirable to transition from the normal ICS structure to a unified area command (UAC) structure. This arrangement helps to ensure that all participating agencies are involved in developing objectives and strategies to deal with the emergency.

C. EOC Operations

1. The EOC will be activated to monitor an incident that has the potential to become an emergency. The EOC will be activated at a level necessary to carry out the tasks that will be performed. The level of activation will range from a situation monitoring operation with minimal staff; to a limited activation involving selected departmental representatives, to a full activation involving all departments, agencies, volunteer organizations, and liaison personnel.
2. The principal functions of the EOC are to:
 - a. Monitor potential threats.
 - b. Support on-scene response operations.
 - c. Receive, compile, display data on the emergency situation and resource status, and commitments as a basis for planning.
 - d. Analyze problems and formulate options for solving them.
 - e. Coordinate among local agencies and between UT Arlington, state and federal agencies, if required.

- f. Develop and disseminate warnings and emergency public information.
- g. Prepare and disseminate periodic reports.
- h. Coordinate damage assessments activities and assess the health, public safety, facilities, and UT Arlington economy.
- i. Request external assistance from Arlington, Tarrant County, DDC, UT System, the state of Texas, other jurisdictions, volunteer organizations, and/or businesses.

D. ICS - EOC INTERFACE

1. When both an ICP and EOC have been activated, it is essential to establish a division of responsibilities between the ICP and EOC. A general division of responsibilities is outlined below. It is essential that a precise division of responsibilities be determined for specific emergency operations.
2. The IC is generally responsible for field operations, including:
 - a. Isolating the scene.
 - b. Directing and controlling the on-scene response to the emergency situation and managing the emergency resources.
 - c. Warning UT Arlington community in the area of the incident and providing emergency instructions to them.
 - d. Determining and implementing protective measures (evacuation or shelter-in-place) for the UT Arlington community in the immediate area of the incident and for emergency responders at the scene.
 - e. Implementing traffic control arrangements in and around the incident scene.
 - f. Requesting additional resources from EOC.
 - g. Keeping the EOC informed of the current situation at the incident site.
3. The EOC is generally responsible for:
 - a. Providing resource support for the incident command operations.
 - b. Issuing instructions, providing information, and community-wide warnings to the UT Arlington community through the public information officer and UT Arlington president.
 - c. Support ICS in implementing large-scale evacuation.

- d. Organizing and implementing shelter and mass care arrangements for evacuees.
 - e. Requesting assistance from Arlington, Tarrant County, DDC, UT System, the state of Texas and other external sources.
4. Transition of responsibilities

Provisions will be made for an orderly transition of responsibilities between the ICP and the EOC.

- a. From EOC to the ICP. In some situations the EOC will monitor a potential hazard and manage certain preparedness activities prior to establishment of an ICP. When an ICP is activated under these circumstances, it is essential that the IC receive a detailed initial situation update from the EOC and be advised of any operational activities that are already in progress, resources available, and resources already committed.
 - b. From the ICP to the EOC. When an incident command operation is concluded and the EOC continues to operate to manage residual response and recovery activities, it is essential that the IC brief the EOC on any on-going tasks or operational issues that require follow-on action by the EOC staff.
5. Extended EOC operations

While an incident command operation is normally deactivated when the response to an emergency situation is complete, it will be necessary to continue activation of EOC into the initial part of the recovery phase of an emergency. In the recovery phase, the EOC will be staffed to compile damage assessments, assess long term needs, manage donations, monitor the restoration of utilities, oversee access control to damaged areas, and other tasks.

6. In some large-scale emergencies or disasters, emergency operations with different objectives will be conducted at geographically separated scenes, in which case it will be necessary to employ a UAC. In such situations, more than one ICP will be established. If this situation occurs, it is particularly important that the allocation of resources to specific field operations be coordinated through the EOC.

E. Activities by Phases of Management

1. Prevention
- a. Establish, equip, and maintain an EOC and an alternate EOC.
 - b. Identify required EOC staffing.
 - c. Prepare maps, displays, databases, reference materials, and other information needed to support ICP and EOC operations.
 - d. Identify and stock supplies needed for ICP and EOC operations.

- e. Develop and maintain procedures for activating, and operating the EOC.
2. Preparedness
- a. Identify groups/departments as representatives who will serve on the EOC staff and are qualified to serve in various ICP positions.
 - b. Pursuant to NIMS protocol, conduct NIMS training for groups/departments representatives who will staff the EOC and ICP.
 - c. Maintain maps, displays, databases, reference materials, and other information needed to support ICP and EOC operations.
 - d. Test and maintain EOC equipment to ensure operational readiness.
 - e. Exercise the EOC at least once a year.
 - f. Conduct EOC and ICS training for groups/departments representatives who will staff the EOC and ICP.
3. Response
- a. Activate an ICP and the EOC if necessary.
 - b. Conduct response operations.
 - c. Deactivate ICP and EOC when they are no longer needed.
4. Recovery
- a. If necessary, continue EOC activation to support recovery operations.
 - b. Deactivate EOC when situation permits.
 - c. Restock ICP and EOC supplies if necessary.
 - d. For major emergencies and disasters, conduct a review of emergency operations as a basis for updating plans, procedures, and training requirements.

VI. ORGANIZATION & ASSIGNMENT OF RESPONSIBILITIES

A. Organization

- 1. UT Arlington's emergency organization, described in Section VI.A of the Basic Plan, will carry out the direction and control function during emergency situations.

2. The organization of incident command operations will be pursuant to NIMS organizational principles. The specific organizational elements to be activated for an emergency will be determined by the IC based on the tasks that will be performed and the resources available for those tasks.
3. The organization of the EOC is described in Support Document 2 UT Arlington EOC Organizational Chart. The EOC will be activated on a graduated basis. EOC staffing requirements will be determined by the Executive Policy Group based on the needs of the situation. Emergency services group includes IC and those departments, agencies, and groups with primary emergency response actions. Volunteer and other services include organized volunteer groups and businesses that have agreed to provide certain support for emergency operations.

Executive Group

University President	Vice President for Administration & Campus Operations (VPACO)
Provost, Vice President for Academic Affairs	Vice President for Business Affairs & Controller
Vice President for Human Resources	Vice President for Communications

Emergency Services Group

IC (Individual activated during an emergency)	UT Arlington Police Department
Environmental Health & Safety	Office of Facilities Management
Media Relations	Student Health Services
Counseling Services	

Volunteer and Other Services

UT Arlington Department Safety Liaisons	Community Emergency Response Team
Medical Reserve Corps	American Red Cross

B. Assignment of Responsibilities

All personnel assigned responsibilities in this plan are trained on NIMS concepts, procedures, and protocols.

Executive Policy Group

- a. Establish general policy guidance for emergency operations
- b. With the assistance of the vice president for communications, keep the UT Arlington community informed during emergency situations
- c. With the assistance of UT System, declare a “University State of Emergency”
- d. Direct activation of the EOC (partial or full)

- e. When appropriate, terminate EOC operations

Emergency management coordinator

- a. Serve as a staff advisor to UT Arlington Executive Policy Group on emergency management matters.
- b. Keep UT Arlington administration informed of UT Arlington's preparedness status, and emergency management needs.
- c. Maintain the EOC staff roster and EOC operating procedures.
- d. Activate the EOC when requested or when the situation warrants.
- e. Coordinate resource and information support for emergency operations.
- f. Coordinate emergency planning and impact assessment.
- g. Coordinate analysis of emergency response and recovery problems and development of appropriate courses of action.
- h. Coordinate periodic emergency exercises with UT Arlington Police Department, Environmental Health & Safety, and other appropriate departments to test UT Arlington's plans, training levels, and capabilities.
- i. Perform day-to-day liaison duties with the state emergency management staff and other local emergency management personnel.
- j. Coordinate with organized volunteer groups and businesses regarding emergency operations.
- k. Identify and train personnel to carry out required emergency functions at the ICP and the EOC.

IC

- a. Establish an ICP, direct and control emergency operations at the scene.
- b. Determine the need for and implement public warning and protective actions at and in the vicinity of the incident site.
- c. Provide periodic situation updates to the EOC if that facility is activated.
- d. Identify resource requirements to the EOC if that facility is activated.

Chief of police

- a. Implement policies and decisions of the governing body related to emergency management.
- b. Coordinate with emergency management coordinator to organize the emergency management program, identify personnel, equipment, and facility needs.
- c. Coordinate the operation response of local emergency services.
- d. Coordinate activation of the EOC and supervise its operation.
- e. Maintain law and order, traffic control, and warning support.

Emergency services group

- a. Provide personnel, equipment, and supplies to support the ICP and the EOC when those facilities are activated.
- b. Ensure that personnel participating in ICP and EOC operations are provided with the equipment, resource data, reference materials, and other work aids needed to accomplish their emergency functions.
- c. Develop and maintain best practice guidelines as defined by industry standards (Federal Emergency Management Agency), other's experience in the field, and current publications for emergency tasks.
- d. Report information regarding emergency situations and damage to facilities and equipment to the IC or EOC.

VII. DIRECTION & CONTROL

A. General

The Executive Policy Group will provide general guidance for the direction and control function, pursuant to NIMS protocols.

1. The UT Arlington president and Executive Policy Group are responsible for establishing objectives and policies for emergency management and providing general guidance for disaster response and recovery operations, all in compliance with NIMS. During disasters, UT Arlington president and Executive Policy Group will carry out those responsibilities through the EOC.
2. UT Arlington president will provide overall direction of the response activities of all campus departments. During major emergencies and disaster, he/she will normally carry out those responsibilities through the EOC.
3. The IC, assisted by a staff for the tasks to be performed, will manage the emergency response at the incident site.

4. During emergency operations, department managers retain administrative and policy control over their employees and equipment. Each department and office is responsible for having its own operating procedures to be followed during response operations, but inter-department procedures, such a common communication protocol, will be adopted to facilitate coordinated effort. If an incident occurs, the objectives of ICS will reflect operating procedures.
5. If UT Arlington's own resources are insufficient or inappropriate to deal with an emergency situation, we will request assistance from Arlington, Tarrant County, DDC, UT System or the state of Texas.

B. IC operations

The first responder on the scene will take charge and serve as the IC until relieved by a more senior or qualified individual or an individual designated by the Executive Policy Group. An ICP will normally be established at the incident scene; the IC will direct and control response forces from that command post, to UT Arlington Basic Plan provides a detailed description of NIMS.

C. EOC operations

1. UT Arlington president, VPACO, chief of police, director of environmental health & safety, and/or emergency management coordinator will request that the EOC be activated. A decision to activate the EOC is typically made on the basis of staff recommendations.
2. Any department or office head dealing with a significant health or safety issue that requires inter-department coordination will request that the VPACO, chief of police, director of environmental health & safety or emergency management coordinator activate the EOC to provide a suitable facility to work the issue.

VIII. READINESS LEVELS

A. Level 4 - Normal Conditions

See the prevention and preparedness activities in sections V.E.1 and V.E.2

B. Level 3 - Increased Readiness

1. Check status of EOC equipment, repair or replace as needed.
2. Check status of EOC supplies, and restock as needed.
3. Update EOC resource data.
4. Alert staffs, determine personnel availability, and update EOC staff call lists.
5. Consider limited activation of EOC to monitor situation.

6. Consider situation briefings for senior staff.

C. Level 2 - High Readiness

1. Update EOC staffing requirements based on threat.
2. Determine specific EOC staff assignments and alert staff.
3. Monitor potential emergency situation and determine possible impact areas.
4. Update maps, charts, displays, and resource data.
5. Consider situation briefings for EOC staff.
6. Consider partial activation of EOC if this has not already been accomplished.
7. Check status of alternate EOC, and mobile command post.

D. Level 1 - Maximum Readiness

1. Summon EOC staff, and activate the EOC.
2. Monitor situation.
3. Update maps, charts, displays, and resource lists.
4. Arrange for food service if needed.
5. Determine possible hazard impact areas and potential hazard effects.
6. Conduct briefings for senior staff and EOC staff.
7. Formulate and implement precautionary measures to protect the public.
8. Coordinate with adjacent jurisdictions that will be affected.

IX. ADMINISTRATION & SUPPORT

A. Facilities & Equipment

1. EOC
 - a. UT Arlington's EOC is located on campus and is maintained by emergency management coordinator, VPACO, assistant director for network services, chief of police, and university president.

- b. The EOC is equipped with communication equipment necessary for conducting emergency operations; Annex B Communications explains details about communications connectivity.
2. Alternate EOC

Will the primary EOC become unusable, an alternate EOC will be identified by the VPACO or chief of police.

3. Mobile command post

The IC will request that the mobile command post, operated by UT Arlington police department, be used as an ICP.

B. Records

1. Activity logs

The ICP and the EOC will maintain accurate logs recording key response activities, including:

- a. Activation or deactivation of emergency facilities.
- b. Emergency notifications to other local governments and to state and federal agencies.
- c. Significant changes in the emergency situation.
- d. Major commitments of resources or requests for additional resources from external sources.
- e. Issuance of protective action recommendations to the public.
- f. Evacuations.
- g. Casualties.
- h. Containment or termination of the incident.

The EOC shall utilize the EOC log to record EOC activities. The ICP shall use the unit log ICS form 214, or an equivalent.

2. Communications & message logs

Communications facilities will maintain a communications log. The EOC will maintain a record of messages sent and received using the EOC message log, an example is noted in Support Document 12 Emergency Operations Center Message Log.

3. Cost information

- a. Incident costs. All department and agencies will maintain records summarizing the use of personnel, equipment, and supplies during the response to day-to-day incidents to obtain an estimate of annual emergency response costs that can be used in preparing future department or office budgets.
- b. Emergency or disaster costs. For major emergencies or disasters, all departments and agencies participating in the emergency response will maintain detailed costs for emergency operations to include:
 1. Personnel costs, especially overtime costs;
 2. Operation costs;
 3. Costs for leased or rented equipment;
 4. Costs for contract services to support emergency operations;
 5. Costs of specialized supplies expended for emergency operations;

These records will be used to recover costs from the responsible party or insurers or as a basis for requesting reimbursement for certain allowable response and recovery costs from the state and/or federal government.

C. Reports

1. Initial emergency report

An initial emergency report will be prepared and disseminated for major emergencies and disasters where state assistance will be required. This short report is designed to provide basic information about an emergency situation, see Support Document 15 for the report format.

2. Situation report

For major emergencies and disasters where emergency response operations continue for more than 2 operational periods, a situation report will be prepared and disseminated daily. This report is designed to keep the DDC, other jurisdictions providing resource support for emergency operations, and jurisdictions that will be affected by the emergency situation informed about the current status of operations, see Support Document 17 Elements of a Situation Report for the report format.

Note: Operational period is the period of time for completion of the objectives which is established by the IC or EOC.

D. Agreements & Contracts

Will UT Arlington's resources prove to be inadequate during an emergency, requests will be made for assistance from Arlington, Tarrant County, DDC, UT System, the state of Texas, other agencies, and/or industry in accordance with existing mutual aid agreements and contracts.

E. EOC Security

1. Access to the EOC will be limited during activation. All staff members will sign in upon entry and wear UT Arlington EOC staff badge.
2. Individuals who are not members of the EOC staff will be identified and their reason for entering the EOC determined. EOC administrative staff will issue an EOC visitor badge to those visitors with a valid need to enter, which will be surrendered upon departure.

F. Media

Media relations will be conducted pursuant to the NIMS, as identified in Annex I, Public Information.

X. DEVELOPMENT & MAINTENANCE

A. Development

1. The Office of Emergency Management is responsible for the development and maintenance of this annex.
2. The university VPACO is responsible for approving and promulgating this plan.
3. The emergency services group is responsible for the development and maintenance of EOC best practice guidelines.

B. Maintenance

This annex will be reviewed every two years and updated in accordance with the schedule outlined in Section X of the Basic Plan.

C. Update

This plan will be updated based upon deficiencies identified during actual emergency situations and exercises and when changes in threat hazards, resources, and capabilities, or government structure occur.

XI. REFERENCES

- A. Governor's Division of Emergency Management , *Local Emergency Management Planning Guide* (DEM-10)
- B. Federal Emergency Management Agency, *Guide for All-Hazard Emergency Operations Planning* (SLG-101)

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