

**VIRGINIA COMMONWEALTH UNIVERSITY
JOINT MEETING OF THE BOARD OF VISITORS
AND THE
FINANCE, BUDGET AND INVESTMENT COMMITTEE
AGENDA
James Branch Cabell Library, 901 Park Ave, Richmond
Room 303, 11:00 a.m. – 12:30 p.m.**
December 9, 2016**

OPEN SESSION		PDF Page
For Action		
William Ginther	1. Minutes from meeting September 15, 2016	5
Meredith Weiss	2. Capital Amendment: a. Renovations to West Hospital, 8 th Floor	15
Meredith Weiss	3. Resolution: Emergency Preparedness Plan	18
Karol Kain Gray	4. Procurement: a. Request for Proposals for VCU Dental Store Management b. Sole Source Solicitation for Ellucian Banner Software	76
Karol Kain Gray	5. VCIMCO a. Update from Chief Investment Officer b. Resolution: Quasi Endowment for Operating Cash and Reserves funds for VCIMCO	82
Karol Kain Gray	6. Resolution Regarding Fossil Fuels	90
For Information		
Meredith Weiss	7. Master Site Plan Update	91
Karol Kain Gray	8. State Budget: a. 2016-17 Reductions b. 2017-18 Preliminary Reductions	102

**** All start times for Committees and the Board are approximate only. Meetings are sequential in the order appearing. Meetings may begin either before or after the listed approximate start time as committee members are ready to proceed.**

**VIRGINIA COMMONWEALTH UNIVERSITY
JOINT MEETING OF THE BOARD OF VISITORS
AND THE
FINANCE, BUDGET AND INVESTMENT COMMITTEE
AGENDA
James Branch Cabell Library, 901 Park Ave, Richmond
Room 303, 11:00 a.m. – 12:30 p.m.**
December 9, 2016**

OPEN SESSION		PDF Page
Karol Kain Gray	9. New Budget Model Update	104
Karol Kain Gray	10. Annual Report on Debt Management	110
Karol Kain Gray	11. Treasurer’s Report (Operating Pool, Long-Term Investment Portfolio and Glasgow Endowment Fund as of September 30, 2016). Compliance & Asset Allocation Review, and Cash, Debt & Monitoring Report as of November 30, 2016)	125
Karol Kain Gray	12. Efficiency and Effectiveness Improvements: a. Office Supply Contract	138
Susan Carkeek	13. HR Redesign Update	141
William Ginther	14. Miscellaneous Reports are available on BoardVantage: a. Revenue and Expense Summary as of September 30, 2016 b. VCU Health System and Financial Operations as of September 30, 2016 c. Capital Projects Update d. Dashboards	143 149 155 156
CLOSED SESSION ON AUTHORIZED LIMITED MATTERS		
For Action		
Meredith Weiss	15. Resolution : Acquisition of Property	158

**** All start times for Committees and the Board are approximate only. Meetings are sequential in the order appearing. Meetings may begin either before or after the listed approximate start time as committee members are ready to proceed.**

**VIRGINIA COMMONWEALTH UNIVERSITY
 JOINT MEETING OF THE BOARD OF VISITORS
 AND THE
 FINANCE, BUDGET AND INVESTMENT COMMITTEE
 AGENDA
 James Branch Cabell Library, 901 Park Ave, Richmond
 Room 303, 11:00 a.m. – 12:30 p.m.**
 December 9, 2016**

OPEN SESSION		PDF Page
For Action		
Donna Thornburg	16. Resolution of Certification	165

**** All start times for Committees and the Board are approximate only. Meetings are sequential in the order appearing. Meetings may begin either before or after the listed approximate start time as committee members are ready to proceed.**

Minutes from meeting September 15, 2016

DRAFT
Virginia Commonwealth University
Finance, Budget and Investment Committee of the Board of Visitors
Minutes

Date: September 15, 2016
Time: 11:00 a.m. – 12:30 p.m.
Location: James Cabell Library, 909 Park Avenue, Richmond, VA, Room 303
Present: Mr. William M. Ginther, Chair
Ms. Phoebe P. Hall
Mr. Alexander B. McMurtrie, Jr., Vice Chair and Secretary
Mr. Keith Parker
Mr. Shantaram Talegaonkar
Dr. John W. Snow
Mr. Steve L. Worley
Mr. John A. Luke Jr., Rector
Dr. Michael Rao
Ms. Karol Kain Gray
Dr. Meredith Weiss
Staff and students from VCU and VCUHS
Members of the press

Mr. Ginther called the meeting to order at 11:05 a.m.

Mr. Ginther announced we are now in open session. On motion made and seconded, the Finance, Budget and Investment Committee approved the **Minutes from a Meeting held May 13, 2015**

On motion made and seconded, the Finance, Budget and Investment Committee recommended to the full Board the approval of the following action items that were presented:

DRAFT

**Virginia Commonwealth University
Finance, Budget and Investment Committee of the Board of Visitors
Minutes**

- **Committee Charter and Planner**
- **Financial Assumptions in Six-Year Plan**
- **Resolutions:**

Authorizing Certain Officers to Execute Financing Documents

**RESOLUTION OF THE BOARD OF VISITORS OF
VIRGINIA COMMONWEALTH UNIVERSITY**

**AUTHORITY OF CERTAIN OFFICERS
TO EXECUTE FINANCING DOCUMENTS**

WHEREAS, Chapter 6.1, Title 23 of the Code of Virginia of 1950, as amended (the "Virginia Code") establishes a public corporation under the name and style of Virginia Commonwealth University (the "University") which is governed by a Board of Visitors (the "Board") vested with the supervision, management and control of the University;

WHEREAS, Title 23 of the Virginia Code classifies the University as an educational institution of the Commonwealth of Virginia;

WHEREAS, by Chapter 4.10, Title 23 of the Virginia Code (as amended, the "Act"), the University entered into a management agreement with the Commonwealth of Virginia which was enacted as Chapter 594 of the Acts of Assembly of 2008 which, as amended, classifies the University as a public institution of higher education and empowers the University with the authority to undertake and implement the acquisition of any interest in land, including improvements on the acquired land at the time of acquisition, new construction, improvements or renovations and to borrow money and make, issue and sell bonds of the University for such purposes;

WHEREAS, the Act further authorizes the University to provide for the payment of the principal of and the interest on any bonds from any one or more of the following sources: (i) its revenues generally; (ii) income and revenues derived from the operation, sale, or lease of a particular project or projects, whether or not they are financed or refinanced from the proceeds of such bonds, notes, or other obligations; (iii) funds realized from the enforcement of security interests or other liens or obligations securing such bonds, notes, or other obligations; (iv) proceeds from the sale of bonds, notes, or other obligations; (v) payments under letters of credit, policies of municipal bond insurance, guarantees, or other credit enhancements; (vi) any reserve

DRAFT

**Virginia Commonwealth University
Finance, Budget and Investment Committee of the Board of Visitors
Minutes**

or sinking funds created to secure such payment; (vii) accounts receivable of the University; or (viii) other available funds of the University;

WHEREAS, the University's Management Agreement allows the Board, consistent with the its full and ultimate accountability and pursuant to its legally permissible procedures, to specifically delegate by Board resolution the duties and responsibilities pertaining to financial operations and management to a person or persons within the University, who, while continuing to be fully accountable for such duties and responsibilities, may further delegate the implementation of those duties and responsibilities pursuant to the University's usual delegation policies and procedures.

NOW, THEREFORE BE IT RESOLVED BY THE BOARD OF VISITORS OF VIRGINIA COMMONWEALTH UNIVERSITY:

1. The Board directs the President or his designee to continue to bring before the Board any future proposed debt transactions for approval in keeping with historical practice and the terms of the Management Agreement.

2. The President, the Vice President for Finance and Budget, the University Treasurer, or any other individual designated by the President are each hereby authorized to serve as "Authorized Officers" for the purpose of executing any documents related to:

(a) the issuance of bonds, notes, or other obligations for any purpose that is consistent with the University's mission, including, without limitation, to finance or refinance any project (as defined in Virginia Code § 23-38.89),

(b) appropriately managing operational cash flows,

(c) providing for short term financing

(d) refunding bonds, notes or other obligations issued by or on behalf of the University, or otherwise, including bonds, notes, or other obligations or obligations not then subject to redemption, and

(e) any guarantee, assumption or agreement to pay, in whole or in part, indebtedness issued by such institution or any affiliated entity for managing operational cash flows or resulting in the acquisition or construction of facilities for the benefit of such institution, or the refinancing thereof.

DRAFT

**Virginia Commonwealth University
Finance, Budget and Investment Committee of the Board of Visitors
Minutes**

3. The Board's delegation of the authority herein to the President, the Vice President for Finance and Budget, and the University Treasurer extends to any successor to such office, whether holding such title or not, so long as the duties of such office are substantially similar to that of the President, the Vice President for Finance and Budget, and the University Treasurer.

4. The Board hereby ratifies all documents executed by the President, the Vice President for Finance and Budget, and the University Treasurer (or any predecessor to such office, whether holding such title or not), or any individual specifically designated by the President to execute documents related to the financial operations and debt management described herein.

Authorizing Use of the Line of Credit for the Engineering Building

**RESOLUTION OF THE BOARD OF VISITORS OF
VIRGINIA COMMONWEALTH UNIVERSITY**

**CAPITAL PROJECT DETAILED PLANNING AUTHORIZATION AND
CONFIRMATION OF AUTHORIZATION OF THE LINE OF CREDIT FOR THE
SCHOOL OF ENGINEERING RESEARCH EXPANSION PROJECT**

WHEREAS, under the 2008 Management Agreement between the Commonwealth of Virginia (the "Commonwealth") and Virginia Commonwealth University (the "University"), the Board of Visitors (the "Board") is required to authorize the initiation of each major capital project by approving its size, scope, budget, and funding;

WHEREAS, the University desires to develop detailed plans to construct, equip and furnish an approximately 125,000 gross square foot School of Engineering Research Expansion project, (the "Project");

WHEREAS, the cost to develop detailed plans for the Project is approximately \$5,600,000;

WHEREAS, under the 2008 Management Agreement between the Commonwealth and the University, major capital projects may be submitted to the Board for authorization at any time but must include a statement of urgency if not part of the approved Six Year Capital Plan;

WHEREAS, the Project is a part of the Six Year Capital Plan approved by the Board on May 8, 2015;

DRAFT
Virginia Commonwealth University
Finance, Budget and Investment Committee of the Board of Visitors
Minutes

WHEREAS, under the 2008 Management Agreement between the Commonwealth and the University, the University has the authority to issue bonds, notes or other obligations that do not constitute state tax supported debt;

WHEREAS, on March 4, 2014, the Executive Committee of the Board (the "Executive Committee") adopted a resolution (the "Authorizing Resolution") that authorized the entering into of a revolving line of credit (the "Line of Credit") for purposes of providing short term financing for, among other projects, the construction, equipping and furnishing of three initial capital projects (collectively the "Initial Projects");

WHEREAS, in addition to the Initial Projects, the Executive Committee authorized the use of the Line of Credit to provide short term financing for (i) any other capital projects that have been authorized by the Board and (ii) any other capital projects which are below the then threshold (currently \$2,000,000) for requiring Board approval as set forth in the University's "Authority to Execute Contracts and Other Documents" policy;

WHEREAS, the Board desires to confirm that the University is authorized to use proceeds of the Line of Credit for purposes of providing short term financing for the Project;

WHEREAS, the Board will further review and approve a financing resolution prior to securing permanent financing for the University's portion of the debt component of the Project, plus amounts needed to fund issuance costs, reserve funds, and other financing expenses; and,

WHEREAS, the University may address minor cost variances provided sufficient funds are available to support the full project costs;

NOW, THEREFORE BE IT RESOLVED BY THE BOARD OF VISITORS OF VIRGINIA COMMONWEALTH UNIVERSITY:

5. The University is authorized to move forward with a \$5,600,000 detailed planning authorization for the School of Engineering Research Expansion project in an aggregate principal amount not to exceed \$5,600,000, plus related issuance costs and financing expenses.

6. The Board hereby confirms that up to \$5,600,000 of the proceeds of the Line of Credit (or any other borrowing mechanism that prior to such borrowing has been approved by the Board) is authorized pursuant to the Authorizing Resolution to be used for purposes of providing short term financing for the School of Engineering Research Expansion project, plus related issuance costs and financing expenses.

DRAFT

**Virginia Commonwealth University
Finance, Budget and Investment Committee of the Board of Visitors
Minutes**

7. Any Authorized Officer (as defined in the Authorizing Resolution) and any other officers that the University has duly authorized through subsequent resolution of the Board, and their delegates, are each hereby authorized to take such actions and to execute and deliver on behalf of the University any and all agreements, certificates or other documents, which they deem necessary or desirable in order to carry out the foregoing resolutions or the Authorizing Resolution and any and all actions heretofore taken by them consistent with the foregoing resolutions or the Authorizing Resolution are hereby ratified and confirmed.

8. This Resolution shall take effect immediately upon its adoption.

**Authorizing Use of the Line of Credit for the School of Allied Health
Professions Building**

**RESOLUTION OF THE BOARD OF VISITORS OF
VIRGINIA COMMONWEALTH UNIVERSITY**

**CAPITAL PROJECT CONSTRUCTION AUTHORIZATION AND CONFIRMATION
OF AUTHORIZATION OF THE LINE OF CREDIT FOR THE SCHOOL OF ALLIED
HEALTH PROFESSIONS BUILDING PROJECT**

WHEREAS, under the 2008 Management Agreement between the Commonwealth of Virginia (the "Commonwealth") and Virginia Commonwealth University (the "University"), the Board of Visitors (the "Board") is required to authorize the initiation of each major capital project by approving its size, scope, budget, and funding;

WHEREAS, the University has developed detailed plans to construct, equip and furnish an approximately 155,000 gross square foot, \$87,300,000 School of Allied Health Professions Building project (the "Project");

WHEREAS, under the 2008 Management Agreement between the Commonwealth and the University, major capital projects may be submitted to the Board for authorization at any time but must include a statement of urgency if not part of the approved Six Year Capital Plan;

WHEREAS, the Project is a part of the Six Year Capital Plan approved by the Board on May 8, 2015;

DRAFT
Virginia Commonwealth University
Finance, Budget and Investment Committee of the Board of Visitors
Minutes

WHEREAS, under the 2008 Management Agreement between the Commonwealth and the University, major capital projects that are to be funded entirely or in part by a general fund appropriation of the General Assembly or proceeds from state tax supported debt, shall require both Board approval and those pre-appropriation approvals of the state's governmental agencies then applicable, and shall follow the state's process for capital budget requests;

WHEREAS, the Project is to be funded in part with approximately \$76,500,000 of proceeds from state tax supported debt and the Project has followed the state's process for capital budget requests and has obtained all necessary pre-appropriation approvals of the state's governmental agencies;

WHEREAS, the Project, in addition to being funded in part with approximately \$76,500,000 of proceeds from state tax supported debt, is to be funded in part with approximately \$10,800,000 of University bonds, notes or other obligations that do not constitute state tax supported debt (plus related issuance costs and financing expenses);

WHEREAS, under the 2008 Management Agreement between the Commonwealth and the University, the University has the authority to issue bonds, notes or other obligations that do not constitute state tax supported debt;

WHEREAS, on March 4, 2014, the Executive Committee of the Board (the "Executive Committee") adopted a resolution (the "Authorizing Resolution") that authorized the entering into of a revolving line of credit (the "Line of Credit") for purposes of providing short term financing for, among other projects, the construction, equipping and furnishing of three initial capital projects (collectively the "Initial Projects");

WHEREAS, in addition to the Initial Projects, the Executive Committee authorized the use of the Line of Credit to provide short term financing for (i) any other capital projects that have been authorized by the Board and (ii) any other capital projects which are below the then threshold (currently \$2,000,000) for requiring Board approval as set forth in the University's "Authority to Execute Contracts and Other Documents" policy;

WHEREAS, the Board desires to confirm that the University is authorized to use proceeds of the Line of Credit for purposes of providing short term financing for the Project;

WHEREAS, the Board will further review and approve a financing resolution prior to securing permanent financing for the University's portion of the debt component of the Project, plus amounts needed to fund issuance costs, reserve funds, and other financing expenses; and,

DRAFT

**Virginia Commonwealth University
Finance, Budget and Investment Committee of the Board of Visitors
Minutes**

WHEREAS, the University may address minor cost variances provided sufficient funds are available to support the full project costs;

NOW, THEREFORE BE IT RESOLVED BY THE BOARD OF VISITORS OF VIRGINIA COMMONWEALTH UNIVERSITY:

9. The University is authorized to move forward with the construction, equipping, and furnishing of the School of Allied Health Professions Building project in an aggregate principal amount not to exceed \$87,300,000 in total project costs, plus related issuance costs and financing expenses.

10. The Board hereby confirms that up to \$10,800,000 of the proceeds of the Line of Credit (or any other borrowing mechanism that prior to such borrowing has been approved by the Board) is authorized pursuant to the Authorizing Resolution to be used for purposes of providing short term financing for the School of Allied Health Professions Building project, plus related issuance costs and financing expenses.

11. Any Authorized Officer (as defined in the Authorizing Resolution) and any other officers that the University has duly authorized through subsequent resolution of the Board, and their delegates, are each hereby authorized to take such actions and to execute and deliver on behalf of the University any and all agreements, certificates or other documents, which they deem necessary or desirable in order to carry out the foregoing resolutions or the Authorizing Resolution and any and all actions heretofore taken by them consistent with the foregoing resolutions or the Authorizing Resolution are hereby ratified and confirmed.

12. This Resolution shall take effect immediately upon its adoption.

- **Alternative Construction Process**
- **Capital Amendments**
 - West Hospital, 9th Floor
 - Rice Center Lodge
 - Sanger Hall Phase II, Part B

DRAFT
Virginia Commonwealth University
Finance, Budget and Investment Committee of the Board of Visitors
Minutes

The following items were presented for information and after general discussion follow-up requests were made:

- **Capital Projects Update** by Dr. Weiss.
- **June 30, 2016 Preliminary Cash Balance Position** presented by Ms. Kain Gray.
- **New Budget Model Update** by Ms. Kain Gray
- **Finance, Budget and Investment Committee Dashboards** by Ms. Kain Gray
- **Notification of Contract Awards** by Dr. Weiss
 - a) Rhoads Hall Restroom Renovations
 - b) Raleigh Building Renovations
- **Treasurer's Report** Operating Pool, Long-Term Investment Portfolio and Glasgow Endowment Fund as of June 30, 2016, Compliance & Asset Allocation Review, and Cash, Debt & Monitoring Report as of September 9, 2016 by Ms. Kain Gray

The following information was included in the board materials but was not presented in the committee meeting:

- **Update on Agency Risk Management and Internal Controls Standards (ARMICS)**
- **Board of Visitors Fund Annual Report as of June 30, 2016**
- **Revenue and Expense Summary as of June 30, 2016**
- **VCU Health System and Financial Operations as of December 31, 2015**

The meeting was adjourned at 12:05p.m.

Capital Amendment:

**Board of Visitors Executive Summary
December 2016**

PRESENTATION TITLE: Capital Amendment: West Hospital Eight Floor Renovation	
Presenter Name and Title: Meredith Weiss Vice President Administration	
Requestor: School of Medicine Responsible University Division: Facilities Management BOV Committee: Finance, Budget and Investment	
Quest Theme(s) and Goal(s) to be Addressed:	
Request	Amend the University's 2016-2022 Six-Year Capital Plan to include a project to renovate two wings of the 8th Floor of West Hospital at the request of the School of Medicine.
Purpose	This renovation request is to support the recruitment of Dr. Hundley, a world-class expert in the field of non-invasive Cardiovascular Medicine, as the Director of the Pauley Heart Center Non-invasive Cardio-vascular Medicine with the charge of building a world-class, integrated, cardio-vascular medicine program over the next decade. In keeping with the vision to position VCU as a destination medical complex, VCU is continually striving to attract world class physicians and researchers to join our community. In order to achieve that mission, it is incumbent upon the University to provide adequate space for those physicians to work within. The reality is that not only is space very limited on the MCV campus, but the adequacy of the available space is lacking. Locating world class physicians in renovated space within West Hospital is not optimal but is currently the best solution available.
Budget	The projected cost of this project based upon historic renovation cost data is \$2,480,000 with funding being provided by the School of Medicine.
Next Steps for Governance	FBI Committee recommends approval of proposed capital amendment to the Board of Visitors.

**RESOLUTION TO AMEND VIRGINIA COMMONWEALTH UNIVERSITY'S
2016-2022 SIX-YEAR CAPITAL PLAN**

Whereas, the Department of Cardio-Oncology is a new department to Virginia Commonwealth University's School of Medicine and is associated with the Pauley Heart Center; and

Whereas, to allow for the eighth floor of West Hospital to house the Department of Cardio-Oncology's administrative and research offices along with other support space, the west and north wings of the eighth floor require renovations; and

Whereas, said renovation will require an amendment to the Virginia Commonwealth University's 2016-2022 Six-Year Plan;

NOW, THEREFORE, BE IT RESOLVED, that the Board of Visitors hereby approves an amendment to the Virginia Commonwealth University's 2016-2022 Six-Year Plan to include a new project to renovate the eighth floor of West Hospital for the School of Medicine's Department of Cardio-Oncology with a projected budget of \$2,480,000 to be funded by the School of Medicine.

Resolution: Emergency Preparedness Plan

Open Session – For Action

3. Resolution: Emergency Preparedness Plan

Per §23.1-804 (Part 1):

“Every four years, each public institution of higher education shall conduct a comprehensive review and revision of its crisis and emergency management plan to ensure that the plan remains current, and the revised plan shall be adopted formally by the governing board.”

Major changes from 2012 to 2016 for the Comprehensive Emergency Management Plan:

1. **Name Change #1** – The Plan was changed from the Emergency Preparedness Plan to the Comprehensive Emergency Management Plan to be more reflective of the actual contents and aligned with national best practices.
2. **Name Change #2** – The Incident Response Team was renamed the Incident Coordination Team (ICT) to more accurately reflect the purpose of the group and align with national best practices.
3. **Institution of Emergency Support Functions (ESFs)** – The University is broken down into 16 different areas of responsibility, this ensures that both short term and long term recovery is effective and relevant to each of the distinct areas.
4. **Expansion of ICT Membership** – The ICT was formally expanded to include Athletics, Research, Library, and Safety & Risk Management as full-time members of the committee.
5. **Phases of Operations** – The number of operational phases was simplified from five to three (routine, virtual, full) to more accurately reflect the operational status.

**VIRGINIA COMMONWEALTH UNIVERSITY
RESOLUTION REGARDING EMERGENCY PREPAREDNESS PLAN ADOPTION**

WHEREAS, the Board of Visitors of Virginia Commonwealth University is concerned with the health and well-being of its students, faculty and staff, and desires that the best possible emergency services be available to them; and, the President of the University similarly is concerned with the health and well-being of its students, faculty and staff, and desires that the best possible emergency services be available to them; and

WHEREAS, the Code of Virginia, Chapter 8 of Title 23.1, Section 23.1-804, provides that the governing board of each public institution of higher education in Virginia shall develop, adopt, and keep current a written crisis and emergency management plan; that every four years, each public institution of higher education shall conduct a comprehensive review and revision of its crisis and emergency management plan to ensure that the plan remains current, and the revised plan shall be adopted formally by the governing board and that such review shall also be certified in writing to the Virginia Department of Emergency Management; and

WHEREAS, such a plan has been developed by Virginia Commonwealth University staff, in coordination with the Virginia Department of Emergency Management, and with input from, Virginia Commonwealth University Incident Response Team Departments and the City of Richmond Office of Emergency Management;

**NOW, THEREFORE, BE IT RESOLVED BY THE BOARD OF VISITORS OF
VIRGINIA COMMONWEALTH UNIVERSITY**

Section 1. The Board hereby officially adopts the Virginia Commonwealth University Emergency Preparedness Plan, to include plans and procedures for both natural and man-made disasters.

Section 2. This resolution shall take effect immediately upon its adoption.



COMPREHENSIVE EMERGENCY MANAGEMENT PLAN

November 2016

PROMULGATION STATEMENT

Virginia Commonwealth University (VCU) is vulnerable to a variety of natural and human-caused hazards such as tornadoes, hurricanes, winter storms, hazardous materials incidents, terrorism, and violent crime. A planned and coordinated all hazards response can save lives, protect property, and restore essential services. The Comprehensive Emergency Management Plan (CEMP) represents the planning, organization, and resources utilized by VCU to address these hazards. This plan is the official emergency management document for Virginia Commonwealth University and abides by all local, state, and federal regulations therein. The following approval provides authority to the following plan.

APPROVED BY: _____ DATE: _____
President

APPROVED BY: _____ DATE: _____
Vice President, Administration

APPROVED BY: _____ DATE: _____
Assistant Vice President of Public Safety

APPROVED BY: _____ DATE: _____
University Counsel

APPROVED BY: _____ DATE: _____
Director, Emergency Preparedness

PREFACE

Virginia Commonwealth University faces a broad range of hazards from disruptive events, such as flooding, active shooters, event management, IT failures etc. A coordinated and organized response effort can save lives, protect property and ensure an efficient short-term restoration of basic services.

The VCU Comprehensive Emergency Management Plan (CEMP) creates the framework for the coordination of the University's effort in assisting impacted people and facilities on campus. This plan is structured following guidelines from the National Incident Management System and National Response Framework and provides flexibility for interfacing with local and state entities to coordinate a large scale response to multi-jurisdictional disruptive event.

Components of Comprehensive Emergency Management Plan

Basic Plan

Utilizing information gathered from the 2016 VCU Threat Hazard Identification & Risk Assessment (THIRA), the basic plan responds with an all hazard approach to describe the operations of VCU during a disruptive event. This portion comprises all the phases of an emergency and how the various departments in the Incident Coordination Team (ICT) will respond in the various phases. This plan has one appendix which includes the rosters for the ICT.

Emergency Support Functions (ESFs)

These are the various facets of a disruptive event response effort and how they will coordinate with various departments. Each ESF is managed by a single department, or coordinated between certain sections of a department, and works with various related support agencies. There are a total of 16 ESFs with ESF #5 (Emergency Management) managed by the Office of Emergency Preparedness being the lead in activation of the EOC during a disruptive event.

Annexes

In addition to the Basic Plan and Emergency Support Functions, multiple Annexes are placed in the CEMP to detail specific response measures taken for various disruptive events (ex: pandemic flu) that are of specific detail and/or complexity. These scenarios are high probability and potentially maximum devastation events given their severity. As such, they warranted additional frameworks to coordinate the response effort in those instances.

SUMMARY OF CHANGES

Modifications and/or revisions to the Virginia Commonwealth University (VCU) Comprehensive Emergency Management Plan (CEMP) are recorded in the table below. Additionally, the most current version of the CEMP can be found online at.

REFERENCE	DESCRIPTION	CHANGED BY	EFFECTIVE DATE
AC2016.1	Changed Emergency Preparedness Plan (EPP) to Comprehensive Emergency Management Plan (CEMP)	Adam Crowe	2/1/16
AC2016.2	Changed Incident Response Team to Incident Coordination Team (ICT)	Adam Crowe	2/1/16
AC2016.3	Changed Incident Commander to ICT Leader	Adam Crowe	2/1/16
AC2016.4	Changed Vice President – Finance & Administration to Vice President – Administration	Adam Crowe	2/1/16
AC2016.5	Add ESF7 Clause about the temporary reassignment of non-essential personnel during declared emergencies	Adam Crowe	2/1/16
JGR2016.6	Major revisions and updates to ESFs	J. Garrett Roberts	7/1/16

TABLE OF CONTENTS

Contents

PROMULGATION STATEMENT	1
PREFACE	2
Components of Comprehensive Emergency Management Plan	2
SUMMARY OF CHANGES.....	3
RECORD OF DISTRIBUTION	Error! Bookmark not defined.
TABLE OF CONTENTS.....	4
INTRODUCTION.....	6
Purpose	6
Scope & Applicability	6
Goals & Objectives	6
Planning Situation	7
Planning Assumptions.....	7
HAZARD IDENTIFICATION & RISK ASSESSMENT.....	9
ORGANIZATION AND ASSIGNMENT OF RESPONSIBILITIES.....	10
CONCEPT OF OPERATIONS.....	15
Phases of Emergency	16
Declaration of Emergency.....	17
PLAN DEVELOPMENT AND MAINTENANCE	18
LOGISTICS AND RESOURCES.....	19
TRAINING, TESTING, AND EXERCISES.....	19
AUTHORITIES AND REFERENCES	19
Emergency Support Functions	20
EMERGENCY SUPPORT FUNCTION #1 – TRANSPORTATION.....	22
EMERGENCY SUPPORT FUNCTION #2 – COMMUNICATIONS & TECHNOLOGY.....	24
EMERGENCY SUPPORT FUNCTION #3 – FACILITIES & INFRASTRUCTURE.....	26
EMERGENCY SUPPORT FUNCTION #4 – FIRE SAFETY	28
EMERGENCY SUPPORT FUNCTION #5 – EMERGENCY MANAGEMENT.....	30
EMERGENCY SUPPORT FUNCTION #6 – HUMAN SERVICES.....	32
EMERGENCY SUPPORT FUNCTION #7 – RESOURCE MANAGEMENT.....	34
EMERGENCY SUPPORT FUNCTION #8 – HEALTH AND MEDICAL	36
EMERGENCY SUPPORT FUNCTION #10 – HAZARDOUS MATERIALS.....	40
EMERGENCY SUPPORT FUNCTION #11 – ANIMAL SAFETY	42

EMERGENCY SUPPORT FUNCTION #12 – UTILITIES..... 43
EMERGENCY SUPPORT FUNCTION #13 – PUBLIC SAFETY..... 45
EMERGENCY SUPPORT FUNCTION #14 – DAMAGE ASSESSMENT & RECOVERY 47
EMERGENCY SUPPORT FUNCTION #15 – EMERGENCY PUBLIC INFORMATION..... 49
EMERGENCY SUPPORT FUNCTION #16 – EXTERNAL RESOURCES 51
INCIDENT ANNEX – HURRICANES & TROPICAL STORMS 52
INCIDENT ANNEX – PANDEMIC INFLUENZA..... 53
APPENDIX A – INCIDENT COORDINATION TEAM (ICT) REPRESENTATION..... 54

INTRODUCTION

Purpose

The Comprehensive Emergency Management Plan (CEMP) provides for emergency operations in response to any type of disaster or large-scale emergency affecting Virginia Commonwealth University (VCU). A disruptive event may occur with little or no warning, the CEMP is designed through an all-hazards perspective to allow for flexibility and scalability of the response. It assigns duties and responsibilities to departments for disaster mitigation, preparedness, response, and recovery. It also provides the framework within which more detailed emergency plans and procedures can be developed and maintained. Activation of this plan reduces the vulnerability of people and property to disaster and establishes a means to respond effectively to planned or unplanned incidents that have varying degrees of early warning.

This Plan is intended to establish organizational structure for responses to emergencies that are of sufficient magnitude to cause a significant disruption of the functioning of all or portions of VCU. This Plan describes the roles and responsibilities of individual units, departments, and personnel during emergency situations.

Scope & Applicability

The Plan covers a range of complex and constantly changing requirements in anticipation of or in response to threats or acts of terrorism, major disasters, and other emergencies within or affecting Virginia Commonwealth University (VCU). Therefore, this Plan is applicable to all departments and individuals within the VCU community, each of which might be requested to provide assistance or emergency action when broad coordination is required to save lives, minimize damage, or otherwise assist in response. Moreover, this plan also provides the foundation for the organization and coordination of recovery and mitigation functions. This Plan focuses on emergency planning functions at the academic and MCV campuses. This Plan functions separately from VCU Health as they have different planning processes and resources. Other campuses not located in downtown Richmond developed site specific annexes, consistent with lines of authority, notification procedures, and other policies outlined within the Plan.

Goals & Objectives

Virginia Commonwealth University will respond to a disruptive situation like an emergency or disaster in a safe, effective, and timely manner. University personnel, resources, and equipment will be utilized to accomplish the following priorities:

1. The protection of human life from natural and human-caused hazards.
2. The maintenance of quality of life conditions and environment during disruptive events.
3. Support the continued operations of critical VCU resources and facilities during disruptive events.
4. The quick and efficient assessment of damage and institutional impact after a disruptive event.
5. The quick and efficient short-term restoration of general campus operations.

Planning Situation

The following situations impact VCU's operational planning efforts:

1. VCU's two primary campuses are located in the urban environment of downtown Richmond, Virginia.
2. The institution has 141 acres of campuses with 204 buildings housing undergraduate, graduate, and professional studies. The 90+ acre Monroe Park Campus is located in Richmond's Fan District and the 52.4 acre MCV Camps is adjacent to the Virginia State Capitol.
3. The population breakdown at VCU is as follows:
 - a. 24,051 undergraduate students
 - b. 5,451 graduate students
 - c. 1,740 first professional students
 - d. 2,264 full-time faculty members
 - e. 21,679 employees (including VCU Health)
4. VCU maintains the capacity to provide residential housing for 6,285 students.
5. Both campuses are located in proximity to Interstates 64 and 95 as well as to railroad tracks, which all carry hazardous materials.
6. Special events occur frequently at VCU and include sporting, entertainment, conference, academic, commemorative, and high-profile political, celebrity, and civil unrest gatherings.
7. VCU maintains \$270 million in sponsored research and direct connectivity to VCU Health operations in and around Richmond.

Planning Assumptions

This Plan is based on the following planning assumptions and considerations presented below:

1. A disruptive event may occur at any time of the day or night, weekend or holiday, with little or no warning.
2. The succession of events in a disruptive event is not predictable; therefore, published plans, such as this one, serve as a framework and may require improvisation to meet the requirements of the emergency.
3. VCU may be impacted by an event which occurs in the community adjacent to the campus or at off-site facilities, necessitating resources and personnel being mobilized to respond.
4. Disasters affecting the University may affect the surrounding community. Therefore, it is necessary for the University to prepare for and carry out disaster response and short-term recovery operations in conjunction with local resources.
5. Based on the event, outside resources may not be readily available to assist VCU.
6. Departments should maintain standard operations plans or guides relevant to their areas and operations and ensure that all personnel are trained and familiar with the Plan and are capable of implementing emergency procedures in a timely and effective manner.
7. Incidents including major emergencies or catastrophic events will require full coordination of operations and resources and may:
 - a. Involve single or multiple geographic areas;
 - b. Require significant resource coordination or assistance;

- c. Result in numerous casualties, fatalities, displaced people, property loss, significant damage to the environment, and disruption of economy and normal life support system such as public services and basic infrastructure;
 - d. Overburden VCU resources and capabilities;
 - e. Require extremely short notice asset coordination and response timelines; and
 - f. Require prolonged, sustained incident management operations and support activities requisite to long-term community recovery and mitigation.
8. Incident management activities will be initiated and conducted using the principles contained in the National Incident Management System (NIMS) and with Incident Command Structure (ICS).

HAZARD IDENTIFICATION & RISK ASSESSMENT

The day-to-day functions of Virginia Commonwealth University (VCU) are complex during normal operations; however, there are a variety of hazards and additional risks which may create additional complexity to VCU’s preparedness and response. The following chart contains those incidents that may occur with or without warning. This plan shall address response to any or all hazards identified in this plan or more comprehensively in the VCU Hazard and Risk Assessment.

Natural	Human-Caused	Infrastructure	Business Impact
Rotational & Straight-line Winds	Bomb Threat	Electrical System Failure	Leadership Redundancy
Infectious Diseases	Hazardous Materials	Phone System Failure	Essential Function redundancy
Communicable Diseases	Terrorism (CBRNE)*	Internal System Failure	Event Management
Flooding	Active Shooter	Cellular Phone System Failure	Supply Shortages
Earthquake	Arson	Internal Fire	VIP Presence
Ice & Heavy Snow	MCI Trauma	IT Failure	
Extreme Temperatures	Cyberterrorism	Internal Flooding	
Lightning	Workplace Violence	Water/Wastewater System Failure	
	Civil Unrest		
Hazard identification attempted to find root causes of these hazards. As such, multi-hazard events such as a tropical storm are not specifically listed.			

The severity of these risks is measured as an analysis of likelihood, impact, dread, and complexity. This concept is expanded upon in the 2016 Threat Hazard Identification & Risk Assessment (THIRA) completed for VCU and VCU Health.

ORGANIZATION AND ASSIGNMENT OF RESPONSIBILITIES

Virginia Commonwealth University (VCU) coordinates emergency preparedness planning efforts with the Virginia Department of Emergency Management (VDEM), City of Richmond, and other regional agencies and organizations to ensure that policies and procedures are consistent with current best practices and to ensure VCU can maintain effective communication and coordination during an emergency or disaster. The following table contains the organizational breakdown and assignment of responsibilities.

Unit	Responsibility
<p><u>President</u></p>	<ul style="list-style-type: none"> • Support VCU’s emergency management program • May declare a campus emergency and if necessary, authorize temporary suspension of university operations and activities. • Provide leadership and plays a key role in communicating to the public, and in helping faculty, staff and students cope with the consequences of any type of incident impacting the institution. • Oversee the coordination of VCU’s Senior Administration • Communicate with the Board of Visitors, Mayor, and Governor should the disaster event dictate.
<p><u>Incident Coordination Team (ICT)</u></p>	<ul style="list-style-type: none"> • Evaluate the institutional effects of the emergency • Determine business recovery and resumption priorities • Overseen by the ICT Leader • Execute the Comprehensive Emergency Management Plan (CEMP) • Consist of senior management from Academic Affairs, Athletics, Business Services, Facilities Management, Finance & Administration, Health Sciences, Human Resources, Health System, Libraries, Police, Research, Risk Management, Student Affairs, Technology Services, and University Relations.
<p><u>Director of Emergency Preparedness</u></p>	<ul style="list-style-type: none"> • Serve as the lead for ESF #5 (Emergency Management) and ESF #16 (External Resources) • Develop and maintains plans and procedures for ESF #5 and ESF #16 • Coordinate resources to address the full spectrum of actions to prevent, prepare for, respond to, and recover from the incidents involving all hazards • Activate and manage the Emergency Operations Center (EOC) to help coordinate response to disasters and ensure the most effective and efficient integration and utilization of activated assets to address the current situation. • Develop standard operating procedures to facilitate the communications and operational interface during all phases of disaster management • Develop and maintain plans and procedures to address the full spectrum of hazards • Request assistance when VCU capabilities have been exceeded or exhausted • Coordinate with local, state, and federal officials after a disaster to implement recovery strategies and programs • Conduct incident and needs assessments during and after a disaster • Develop and implements a training, testing and exercise schedule to assure all parties involved in emergency response and recovery are fully prepared to fulfill their tasks.
<p><u>Building Emergency Coordinators & Floor Monitors</u></p>	<p>The Office of Environmental Health & Safety within the Office of Safety & Risk Management oversees the fire safety program for every building on campus. This program includes plans that address the following issues:</p> <ul style="list-style-type: none"> • Procedures for reporting a fire or other emergency • Procedures for emergency evacuation, including type of evacuation and exit route assignments

	<ul style="list-style-type: none"> • Procedures to be followed by employees who remain to operate critical operations before they evacuate • Procedures to account for all employees and students after evacuation • Procedures to be followed by employees performing rescue or medical duties
<u>Academic Affairs</u>	<ul style="list-style-type: none"> • To promote the protection and preservation of academic integrity before, during, and after a major emergency or disaster. • To ensure the availability and management of academic spaces before, during, and after a disruptive event • To protect the physical and virtual academic records for previous and current VCU students
<u>Athletics</u>	<ul style="list-style-type: none"> • To promote the protection and preservation of the staff and resources involved in official athletic department activities • To support the execution of an activated State Managed Shelter at the Siegel Center (as needed)
<u>Business Services</u>	<ul style="list-style-type: none"> • Serve as a support agency for ESF #6 (Human Services) • Develop and maintain plans and procedures to support ESF #6 • To the extent feasible, continue to provide dining services during disruptive events
<u>Facilities Management</u>	<ul style="list-style-type: none"> • Serve as the lead for ESF #3 (Facilities & Infrastructure), ESF #4 (Fire Safety), ESF #12 (Utilities), and ESF #14 (Damage Assessment & Recovery) • Develop and maintain plans and procedures to support ESF #3, ESF #10, ESF #12, and ESF #14 • Support the implementation of traffic control measures in conjunction with ESF #12 • Coordinate transportation needs for evacuation processes • Support initial and, as necessary, more detailed damage • Provide emergency engineering services • Coordinate and provide debris clearance and removal • Coordinate the conservation of resources (as necessary) • Coordinate with private companies to maintain and restore electrical, water, sewer and natural gas utilities. • Provide available building plans of all facilities (as necessary) to all other ESFs or support agencies • Coordinate all health and safety efforts on campus including, but not limited to on campus laboratories, radiation, regulated waste and hazardous materials
<u>Finance and Budget</u>	<ul style="list-style-type: none"> • Serve as the lead for ESF #7 (Resource Management) • Develop and maintains plans and procedures to support ESF #7 • Coordinate the framework for resource management activities • Activate contracts with internal and external agencies to provide resources • Assist in overseeing and expediting the purchase of disaster-related equipment & services • To ensure that all accurate information is collected and transmitted for insurance and reimbursement purposes
<u>Health Sciences</u>	<ul style="list-style-type: none"> • To promote the protection and preservation of academic integrity within health sciences programing before, during, and after a major emergency or disaster. • To ensure the availability and management of academic spaces for health sciences programs before, during, and after a disruptive event • To protect the physical and virtual academic records for previous and current VCU Health Sciences students
<u>VCU Health</u>	<ul style="list-style-type: none"> • Serve as the lead for ESF #8 (Health & Medical) • Develop and maintain plans and procedures to support ESF #8 • Provide for the prevention of disease to include surveillance and investigation of diseases

	<ul style="list-style-type: none"> • Assist Fatality Management operations and coordination • Provide guidance and technical assistance regarding emergency evacuation of people with functional needs • Coordinate medical support for State Management Shelter (SMS) operations • Oversee the dispensing of life-saving pharmaceuticals and medical supplies (as necessary) • Work closely with relevant state and local health departments, health and mental health community agencies and other medical services (as necessary) • Coordinate release of information pertaining to student, faculty, and staff injuries, including next of kin notification, with ESF #6, ESF #13, ESF #15, and University legal counsel (as needed)
<u>Human Resources</u>	<ul style="list-style-type: none"> • To promote the protection and preservation of VCU’s human resources before, during, and after a major emergency or disaster. • To protect the physical and virtual human resources records for previous and current VCU employees (including staff and faculty)
<u>Libraries</u>	<ul style="list-style-type: none"> • To promote the protection and preservation of library functions, space and material availability before, during, and after a major emergency or disaster.
<u>Police</u>	<ul style="list-style-type: none"> • Serve as the lead for ESF #1 (Transportation), ESF #9 (Search & Rescue) and ESF #13 (Public Safety) • Develop and maintain plans and procedures to support ESF #1, ESF #9 and ESF #13 • Provide for the management and coordination of all public safety and fire safety guidelines and policies • Assist with damage assessment • Assist in evacuating areas at risk in coordination with other law enforcement authorities and emergency support functions. • Implement traffic control actions in and around site • Establish the necessary security and accessibility policies around incident and evacuated areas. • Coordinate the collection and preservation of evidence to support a criminal investigation during the response and recovery phase of the incident • Provide security services at emergency shelters (as necessary) • Coordinate the release of information pertaining to students, staff, and faculty injuries with ESF #6, ESF #8, and ESF #15. • Work closely with the City of Richmond Fire and Police Departments during hazard materials events or other public safety threats.
<u>Research</u>	<ul style="list-style-type: none"> • Serve as the lead for ESF #11 (Animal Safety) • To promote the protection and preservation of VCU’s research resources, functions, and personnel before, during, and after a major emergency or disaster.
<u>Safety & Risk Management</u>	<ul style="list-style-type: none"> • Serve as the lead for ESF #4 (Fire Safety) and ESF #10 (Hazardous Materials) • To promote the protection and preservation of all VCU resources from fire, chemical or other containments.
<u>Student Affairs</u>	<ul style="list-style-type: none"> • Serve as the lead for ESF #6 (Mass Care) • Provide support for ESF #8 (Health and Medical) for communicable health emergencies and disasters as well as mental health care and support • Develop and maintain plans and procedures to establish and maintain shelter operations in a timely manner • Coordinate the development of a plan to promptly establish and manage a Family Assistance Center following a mass casualty event • Determine requirements for temporary housing (as necessary) • Coordinate student accountability and assists with relocation (as necessary)

	<ul style="list-style-type: none"> • Coordinate the release of information pertaining to student injuries, including next of kin notification with ESF #13 & ESF #15
<u>Technology Services</u>	<ul style="list-style-type: none"> • Serve as the lead for ESF #2 (Technology & Communications) • Develop and maintain plans and procedures to support ESF #2 • Ensure the continuation and restoration of information services and telecommunications infrastructure. • Provide support for VCU's computing and networking infrastructure, data networks, and telecommunications infrastructure during emergency or disaster situations
<u>University Counsel</u>	<ul style="list-style-type: none"> • To provide legal awareness, advice, and interpretation related to VCU's emergency capabilities before, during, and after a major emergency or disaster.
<u>University Relations</u>	<ul style="list-style-type: none"> • Serve as the lead for ESF #15 (Emergency Public Information) • Develop and maintain plans and procedures to support ESF #15 • Serve as the Public Information Officer in the Emergency Operations Center (EOC) • Serve as a liaison between the IRT and Executive Management Team • Coordinate the dissemination of information to students, staff, faculty, visitors, and the public during emergencies or disasters • Ensure accurate and factual information concerning an emergency involving VCU and its personnel is provided to the news media • Serve as the only authorized representative to release information to the media • Set up a Joint Information Center (JIC) (as necessary) • Coordinate the release of information pertaining to students, staff, and faculty injuries with ESF #6, ESF #8, and ESF #13.
<u>Students, faculty and staff</u>	<p>Students, faculty, and staff should be familiar with applicable emergency plans and protocols as well as evacuation routes for the buildings they work and reside in on a regular basis. Prepared students, faculty, and staff are a priority of VCU. When available, outreach programs will be used to promote awareness of personnel and community risks and also the principle of individual preparedness. Preparedness information is made available on various VCU safety websites while crisis emergency information is disseminated immediately when a threat or incident occurs via the VCU Alert system.</p>
<u>Non-governmental and volunteer organizations (NGOs)</u>	<p>NGOs collaborate with first responders, governments at all levels, and other agencies and organizations providing relief services to sustain life, reduce physical and emotional distress, and promote recovery of disaster victims. NGOs, such as the American Red Cross, in cooperation with VCU departments, may provide specific disaster relief services during response and recovery efforts.</p> <p>The Virginia Voluntary Organizations Active in Disaster (VA-VOAD) is a statewide consortium of faith-based and non-profit organizations that are active in disaster relief. The VA-VOAD communicates with many voluntary organizations that provide significant capabilities to incident management and response and recovery efforts at all levels. The VCU Office of Emergency Preparedness in partnership with ESF #6 will coordinate VA-VOAD activities to address unmet needs during a declared campus emergency.</p>
<u>Private Sector</u>	<p>The roles, responsibilities, and participation of the private sector during major incidents that impact VCU vary based on the nature of the organization and the type and impact of the incident. They support this plan by sharing information with the University, identifying risks, performing vulnerability assessments, developing emergency response and business continuity plans, enhancing their overall readiness, implementing appropriate prevention and protection programs, and donating or otherwise providing goods and services through contractual arrangement or purchases to assist in response to and recovery from an incident.</p>

CONCEPT OF OPERATIONS

General

This section describes coordinating structures, processes, and protocols employed for incident management by VCU. These coordinating structures and processes are designed to enable execution of the responsibilities of the President through the appropriate departments and to integrate local, state, Federal, non-governmental agencies and organizations, and private-sector efforts into a comprehensive approach to emergency management.

This plan was founded upon the concept that emergency operations begin with VCU and that outside assistance from the City of Richmond will be required when an emergency or disaster exceeds institutional capabilities. Therefore, this plan identifies the role of the University before, during and after a disaster or major emergency. It establishes the concepts and policies under which all elements of VCU will operate during emergencies. Additionally, it provides a basis for the preparation of more detailed plans and procedures and for emergency management training programs. Units with primary emergency duties and responsibilities are also expected to develop and maintain separately published and more detailed standard operating procedures.

In the event an incident exceeds VCU's emergency response capabilities, outside assistance may be available, either through mutual support agreements with nearby jurisdictions, other institutions of higher education, or volunteer organizations. VCU resources must be fully committed before assistance is required from the adjacent jurisdictions.

The following general principles apply to all parts of VCU's operation Plan:

- On-scene coordination of emergency response will be accomplished within the Incident Command System (ICS) framework allowing for the incorporation of local, state, and federal agencies.
- The Emergency Operations Center (EOC) is the central location from which off-scene activities and resource management are coordinated.
- The EOC may be virtually, partially or fully activated.
- All appropriate available forces and resources will be fully committed before requesting assistance.

Overall Incident Management

During normal operations, the Director of Emergency Preparedness develops detailed procedures for EOC operations, manages an ongoing training program and maintains adequate facilities and equipment for EOC operations. Departments assigned responsibilities in the EOC designate staff to respond to the EOC and to participate in training.

In a time of emergency, the Director of Emergency Preparedness manages centralized emergency operations in order to coordinate resources, advice and counsel to the ICT Leader (or designee) to formulate policy, establish priorities, collect and analyze information and disseminate information and communications with the City of Richmond related to conditions or developing situations associated with the emergency.

While the ICT is led by the ICT Leader, the Director of Emergency Preparedness oversees the function of the EOC. The EOC is ultimately supported by members of the Incident Coordination Team. As the situation warrants, local, state and federal agencies may also have representatives in the EOC during emergencies

Incident Coordination Team (ICT) Leader

The ICT Leader directs the activation of this plan. The Vice President of Administration serves as the ICT Leader with the Assistant Vice President of Public Safety (Chief Police) as redundant coverage in the event the primary responsibility is unable to be filled. The implementation of the plan and activation of the EOC may occur simultaneously. The level of EOC and the Plan activation will be based upon the severity and scope of the incident.

The Incident Command System, integrated within the Emergency Support Functions (ESFs) and various annexes established by this plan, may be selectively activated based upon initial or anticipated requirements.

Activation of the Emergency Operations Center (EOC)

The Emergency Operations Center may be activated by the Director of Emergency Preparedness at the direction of the ICT Leader or in proactive readiness for a projected or forecasted event. The EOC will be utilized to manage events that are an imminent threat to public safety or health or as needed to managed an extensive response and coordination to a large emergency or disaster. Additionally, the EOC may also be activated for a planned event. The availability of staff and operational needs may allow or require positions to be expanded or combined to meet event priorities and needs. Upon notification, identified ICT representatives will report to the EOC at the appointed time and be prepared to carry out their roles and responsibilities. The full procedure for activation and support of the EOC is found in the Emergency Operations Center (EOC) Guide maintained separately by the Director of Emergency Preparedness.

National Incident Management System (NIMS)

The National Incident Management System (NIMS) will be applied to operational response to ensure efficient and effective operations. In addition to multi-agency coordination through the Emergency Operations Center (EOC), VCU’s response will utilize NIMS concepts including modular organization, unified command, span of control, common terminology, action-based planning processes, comprehensive resource management, integrated communications, and pre-designated facilities.

Phases of Emergency

There are three levels of or categories of emergency for VCU. These levels are scalable and, as a situation develops, may escalate or de-escalate as necessary. These levels are defined below:

Level:	Description:
1	Normal Operations – Normal operations are occurring without limitation.
2	Virtual Operations – A disruptive event that has a real or potential impact on the overall capability of VCU to fulfill its academic, operational, and research mission, but may not necessitate, justify, or allow for the full operational phase.
3	Full Operations – A large scale, long lasting event that has a negative impact on the overall capability of VCU to fulfill its academic, operational, and research mission.

Declaration of Emergency

An emergency declaration may be based upon reports of an actual event or on the forecast or prediction of disruptive conditions. The ICT Leader has the ultimate authority to declare an emergency and ultimately notify the President.

The Director of Emergency Preparedness is responsible for monitoring incidents and events and providing information and support to the Incident Commander and Vice President of Public Safety. When an emergency is declared, the Director of Emergency Preparedness will immediately notify the City of Richmond Office of Emergency Management.

The ICT Leader, or designee, may re-direct and deploy University resources and assets as necessary to prevent, prepare for, adequately respond to, and quickly recover from an incident. For significant events impacting the University or a neighboring jurisdiction, the EOC may be activated to monitor the situation and coordinate activities among departments to ensure that the University is positioned to rapidly respond in the event of an incident.

In case of any type of campus emergency, the authority to activate emergency notification systems and begin the emergency declaration process is deferred by the Chief of Police to the highest ranking personnel (up to and including the Shift Supervisor) to ensure minimal bureaucratic or logistical delay in addressing emergency or disaster needs that might be impacting campus.

PLAN DEVELOPMENT AND MAINTENANCE

The Virginia Commonwealth University (VCU) Comprehensive Emergency Management Plan (CEMP) provides the structures and processes for coordinating incident management activities for natural and human caused emergencies and disasters. Following the guidance provided by the National Response Framework (NRF), National Incident Management System (NIMS), and other supporting documents, the Plan creates an umbrella configuration for existing department emergency and incident management plans.

This plan complies with the National Incident Management System (NIMS), which facilitates VCU's ability to communicate and coordinate response actions with other jurisdictions and external emergency response agencies. Under NIMS, VCU responds to disruptive events using the Incident Command System (ICS) which is the model tool for command, control, and coordination of response and helps coordinate response toward a common goal of stabilizing an incident and protecting life, property, and the environment.

The Director of Emergency Preparedness maintains the VCU CEMP which is reviewed continually and updated periodically to incorporate policy changes, new directives, legislative changes, and procedures changes based on lessons learned from exercises and actual disruptive events. The Plan will be revised and adopted in its entirety by the President and Board of Visitors every four years in compliance with state law.

LOGISTICS AND RESOURCES

VCU maintains a comprehensive resource management program that helps manage and efficiently maintain all personnel, materials, equipment, and resources that may be leveraged during a disruptive event to address the mission and purpose of this plan. The specific programmatic details for logistics and support are included in the separate Resource Management Guide.

TRAINING, TESTING, AND EXERCISES

Trained and knowledgeable personnel are essential for the prompt and proper execution of VCU's Comprehensive Emergency Management Plan (CEMP). The Director of Emergency Preparedness is responsible for the development, administration, and maintenance of comprehensive training and exercise program. Departments with assigned responsibilities will participate in training and exercises to ensure the Plan may be implemented in accordance with recommended procedures and guidelines.

Training will be based on federal and state guidance as well as professional best practices. Training needs will be identified and records maintained for all personnel assigned emergency response duties in a disaster.

The Director of Emergency Preparedness will conduct no less than one exercise of the Plan each year to improve the overall emergency response organization and capability of the University. The exercise will test not only the Plan but also train the appropriate officials, emergency response personnel and VCU employees. When appropriate, local response organizations, private partners, and NGOs will be encouraged to participate. City of Richmond emergency services personnel from fire, police, and emergency services personnel will also be invited to ensure interoperability and efficient response during shared events.

The specific training and exercise program details are included in a separate Training & Exercise Guide

AUTHORITIES AND REFERENCES

Federal
A. Robert T. Stafford Disaster Relief and Emergency Assistance Act (Public Law 93-288), as amended B. Homeland Security Act of 2002 C. National Response Framework D. National Recovery Framework E. Comprehensive Preparedness Guide 101
State
A. Commonwealth of Virginia Emergency Services and Disaster Law of 2000 (as amended) B. Code of Virginia, Chapter §23.1-804 C. Commonwealth of Virginia Emergency Operations Plan (COVEOP) D. Executive Order 41 (2011)
Local
A. City of Richmond Comprehensive Emergency Management Plan (CEMP)
VCU
A. Building Emergency Action Plans B. Continuity of Operations Plan (2014) C. VCU Hazard Mitigation Plan (2008) D. VCU Recovery Guide (2014)

EMERGENCY SUPPORT FUNCTIONS

VCU will adopt the 16 categories of Emergency Support Functions (ESF) utilized in the National Response Framework as well as one additional ESF to address additional external resources leveraged or utilized during a disruptive event. These ESFs are identified by the various partners in the CEMP planning process as vital functions for the response effort to a disruptive event. Each ESF is managed by the department best suited to manage the needs of that ESF. The following list contains those identified ESFs and responsible VCU departments.

ESF	TITLE	DESCRIPTION	RESPONSIBLE DEPARTMENT
1	Transportation	This ESF focuses on the transportation systems and resources needed during an emergency or disaster.	Police
2	Communications & Technology	This ESF focuses on the management of communication and information technology systems needed during an emergency or disaster.	Technology Services
3	Facilities & Infrastructure	This ESF focuses on the management of facilities and infrastructure needed during emergency or disaster response. There is a particular focus on critical infrastructure and key resources needed or impacted during the disruptive event.	Facilities Management
4	Fire Safety	This ESF focuses on the management of fire suppression, safety, response, and protection activities needed during emergency response.	Risk Management
5	Emergency Management	This ESF focuses on the incident direction, control and coordination during an emergency or disaster. There is a particular focus on the collection, analysis, and dissemination of incident-related information for operational response and protective action statements via emergency alert and warning.	Office of Emergency Preparedness
6	Human Services	This ESF focuses on providing mass care, sheltering and the provision of food, water, and commodities distribution.	Student Affairs
7	Resource Management	This ESF focuses on the management and administration of resources and financial services needed during emergency response.	Finance & Budget
8	Health & Medical	This ESF focuses on providing health and medical services including the oversight of fatality and mortuary services during an emergency or disaster.	VCU Health
9	Search & Rescue	This ESF focuses on providing search and rescue needed for emergency or disaster response.	VCU Police
10	Hazardous Materials	This ESF focuses on providing operational response to hazardous materials spills and exposure during an emergency or disaster.	Risk Management
11	Animal Safety	This ESF provides emergency response services and resources needed to address research animal safety and well-being during an emergency or disaster. This ESF does not address agriculture and natural resources as these issues are not pertinent to VCU.	Office of Research
12	Utilities	This ESF provides coordination for the restoration and recovery of energy and utility management services disrupted or impacted during emergencies or disasters.	Facilities Management
13	Law Enforcement	This ESF provides coordination for public safety and law enforcement activities during emergencies or disaster.	Police
14	Damage Assessment & Recovery	This ESF provides coordination for damage assessment, debris removal and short-term recovery services and activities immediately following an emergency or disaster.	Facilities Management

15	Emergency Public Information	This ESF provides coordination for emergency public information needed during an emergency or disaster.	University Relations
16	External Resources	This ESF provides coordination for the receipt and management of external resources include mutual aid, private sector coordination, volunteer management, and donations management.	Office of Emergency Preparedness

EMERGENCY SUPPORT FUNCTION #1 – TRANSPORTATION

Introduction

The Emergency Support Function #1 (Transportation) is designed to provide support for VCU emergency and disaster operations by providing management of transportation systems and resources needed or impacted during a disruptive event.

Primary Agencies

Parking & Transportation (Supervised by Chief of Police)

Support Agencies & Organizations

Groome Transportation
 Greater Richmond Transit Company (GRTC) (Plans)
 Uber/Lyft
 ZipCar

Purpose

Emergency Support Function #1 coordinates Virginia Commonwealth University’s transportation resources during the response and recovery phase of a disruptive event.

Scope

The scope of ESF 1 provides transportation support to assist in incident management with specific, but not limited, support for the following:

- Reporting damage to transportation infrastructure as a result of the incident.
- Coordinating alternate transportation services
- Coordinating the restoration and recovery of transportation infrastructure.
- Assisting ESF #13 with evacuation and traffic control measures.

Concept of Operations

- a. Any parts of the transportation network or any facilities not fully operational due to the emergency or disaster situation should be reported. Any existing or potential factors or conditions impairing efficient operations should be identified.
- b. Departments shall advise ESF #1 of all transportation movements independently arranged.
- c. Access routes should remain clear to permit a sustained flow of emergency relief and the steady flow of evacuation processes.
- d. All requests for transportation support will be submitted to the Emergency Operations Center (EOC) for coordination, validation, and/or action.
- e. For purposes of coordination, Groome Transportation, GRTC and/or other support organizations may need to be integrated into ESF 1 response to fully coordinate activities and responsibilities.

Organization & Assignment of Responsibilities

The primary agency will provide the following services as appropriate. They will perform tasks as requested by the EOC and under their own initiative and authorities as applicable:

- a. Development, maintenance, and updates to plans and procedures for use during an emergency.
- b. Maintaining education and training for personnel to ensure a safe and efficient response to an incident
- c. Following emergency policies and procedures for evacuation, including the identification of pre-designated transportation sites.
- d. Identifying viable transportation routes to, from and within the emergency or disaster area.

ACTION CHECKLIST
ESF 1 – TRANSPORTATION

ROUTINE OPERATIONS		
1.	Develop and maintain this planning guide in coordination with all primary and support agencies.	
2.	Prepare and maintain resource listings.	
3.	Develop and maintain plans, policies, and procedures.	
4.	Educate drivers, staff and the public on pre-planned and emergent evacuation routes.	
5.	Maintain and update GIS maps.	
INCREASED READINESS		
1.	Review plans, resource listings, and procedures. Update as needed.	
2.	Review all applicable codes and regulations.	
3.	Assure that personnel and equipment are operationally ready and available.	
RESPONSE OPERATIONS		
Mobilization Phase		
1.	Procure needed supplies and arrange for logistical support.	
2.	Designate potential staging areas for materiel.	
3.	Encourage mitigation efforts (ex: movement of essential equipment to high ground)	
4.	Begin tracking all disaster-related expenditures and continue to do so for the duration of the event.	
5.	Institute all contracts or agreements needed to supplement response activities.	
Emergency Phase		
1.	Dispatch personnel to the impacted area as needed and as requested by the EOC.	
2.	Maintain communications and operational control.	
3.	Coordinate and provide for the placement of traffic control signs and barricades.	
4.	Analyze needs assessment and initial damage assessment to determine the extent of damage to transportation infrastructure and equipment.	
RECOVERY OPERATIONS		
1.	Determine re-entry routes.	
2.	Provide traffic control support on re-entry routes.	
3.	Facilitate contract agreements.	

EMERGENCY SUPPORT FUNCTION #2 – COMMUNICATIONS & TECHNOLOGY

Introduction

The Emergency Support Function #2 (Communications & Technology) is designed to provide support for VCU emergency and disaster operations by providing management of communication and information technology systems needed or impacted during an disruptive event..

Primary Agencies

VCU Technology Services
VCU Police – Emergency Communications

Support Agencies & Organizations

Commercial Mobile Phone Providers Verizon (Police)
Possible for other groups? (Possible backup, RFP)

Purpose

Emergency Support Function #2 organizes, establishes, and maintains the telecommunications, information systems, and resource capabilities necessary to meet the operational requirements of VCU to respond, recovery, and sustain essential functions during disruptive events.

Scope

The scope of ESF 2 provides information technology systems involved with the representation, transfer, interpretation and processing of data among persons, places and machines. Likewise, the scope of communication includes transmission, emission, or reception of signs, signals, writing, images, and sounds or intelligence of any nature.

Concept of Operations

- a. Communication is dependent upon the availability of resources and assets, including personnel. Communications at a high level within VCU are dependent upon Information Technology and Emergency Communication assets, users, commercial telephone lines, internet service providers, broadband providers, and technology networks.
- b. The VCU Police Emergency Communications Center, which operates 24/7 is VCU’s warning point (point of contact for receipt of all warnings and notification of actual or impending disruptive events).
- c. To support interoperable communications with the City of Richmond, VCU uses a shared CAD system with City Emergency Communications (9-1-1 operations).
- d. In the event of a campus-wide emergency, VCU has a comprehensive emergency notification system in place (VCU Alert) to send emergency messages via text, email, digital signage, indoor alert beacon, and social media to the VCU community
- e. VCU maintains an Outdoor Warning Siren System that consists of six sirens on the Monroe Park Campus and four sirens on the MCV Campus that are all capable of playing audible tones to alert the public. These sirens are tested at regular intervals.

Organization & Assignment of Responsibilities

The primary agencies will provide the following services as appropriate. They will perform tasks as requested by the EOC and under their own initiative and authorities as applicable:

- a. Maintain the technical capacity of the emergency notification and warning system
- b. Support VCU with the restoration of Information Technology and telecommunication equipment.
- c. Integrate the communications capabilities of available federal, state, and private organization capabilities into a viable communication system to support disaster response & recovery.
- d. Work with commercial communication companies to restore communications capabilities and services
- e. Identify critical communications equipment and personnel to ensure primary duties are met.
- f. Identify non-critical communications assets that could be re-purposed for response operations.

ACTION CHECKLIST
ESF 2 – COMMUNICATIONS

ROUTINE OPERATIONS		
1.	Develop and maintain this annex in coordination with all primary and support agencies.	
2.	Prepare and maintain resource listings.	
3.	Participate in mitigation and preparedness activities.	
4.	Develop and maintain an emergency communications program and plan.	
5.	Encourage and promote interoperability among VCU departments.	
6.	Conduct regularly scheduled communications tests and drills to ensure operational readiness and procedural familiarity.	
7.	Prepare and maintain resource listings including equipment types and common frequencies.	
8.	Develop mutual aid agreements with surrounding localities.	
INCREASED READINESS		
1.	Review plans, resource listings, and procedures. Update as required.	
2.	Assure that personnel and equipment are operationally ready and available.	
3.	Check equipment and systems in critical communication areas.	
RESPONSE OPERATIONS		
Mobilization Phase		
1.	Procure needed supplies and arrange for logistical support.	
2.	Encourage mitigation efforts	
3.	Coordinate communication support to all VCU units and departments as required.	
4.	Prioritize the deployment of services and equipment based on available resources and critical needs.	
Emergency Phase		
1.	Assign additional staff and resources as needed	
2.	Provide technical advice and resource coordination	
3.	Support the EOC with communication needs, as necessary	
4.	Coordinate the acquisition and deployment of communications equipment, personnel, and resources to establish temporarily communications capabilities within the affected areas.	
5.	Identify the actual and planning actions of commercial communications companies to restore services.	
6.	Compile information about communications system damage.	
7.	Assess the need for and obtain communications industry support, as required.	
RECOVERY OPERATIONS		
1.	As needed, plan for long-term recovery and restoration of services to pre-disaster levels.	
2.	Continue to provide technical support in the recovery of facilities and services.	
3.	Fully document all recovery actions.	
MITIGATION ACTIVITIES		
1.	Identify areas where mutual aid agreements and local support may assist in University communications during a disruptive event.	
2.	Enhance communication systems interoperability, redundancy and long-term backup power capability in VCU's communication systems.	

EMERGENCY SUPPORT FUNCTION #3 – FACILITIES & INFRASTRUCTURE

Introduction

The Emergency Support Function #3 (Facilities & Infrastructure) is designed to provide support for VCU emergency and disaster operations by providing management of facilities and infrastructure needed or impacted during a disruptive event.

Primary Agencies

VCU Facilities Management

Support Agencies & Organizations

City of Richmond Public Utilities

Purpose

Emergency Support Function (ESF) #3 – Facilities & Infrastructure coordinates and organizes the capabilities and resources of VCU to facilitate the delivery of essential services, technical assistance, engineering expertise, construction management and operation of the Physical Plant to prevent, prepare for, respond to, and/or recovery from a disruptive event.

Scope

ESF #3 is structured to provide support for the changing requirements of all-hazards incident management. Activities include, but are not limited to, conducting pre and post incident assessments of facilities and infrastructure; executing emergency contract support for life-saving and life-sustaining services; activating shelters for state operation if disruptive event requires temporary sheltering; providing technical assistance (ex: engineering expertise, construction, real estate, repair to damage, etc.); monitoring critical infrastructure and key resource restoration.

Concept of Operations

- a. Any disruptive event may cause severe property damage. Buildings and other facilities may have to be reinforced or demolished to ensure safety.
- b. VCU resources may not be sufficient to meet emergency requirements. VCU may need assistance with damage assessments, structural evaluations, emergency repairs, and the stabilizing or demolishing of damaged structures.
- c. The EOC will organize and deploy damage and/or needs assessment teams through ESF #3.
- d. Professional engineering, architectural and preservation organizations may be available to assist. Statewide Mutual Aid (SMA), Emergency Management Assistance Compact (EMAC) and Virginia Water/Wastewater Agency Response Network (WARN) will be used to require additional assistance.
- e. Debris clearance will be given top priority to ensure access to impacted areas.

Organization & Assignment of Responsibilities

The primary agencies will provide the following services as appropriate. They will perform tasks as requested by the EOC and under their own initiative and authorities as applicable:

- a. Provide the necessary equipment and resources needed to address the incident.
- b. Identify and prioritize debris removal.
- c. Post appropriate signage to address road closures and closed buildings.
- d. Provide technical assistance in the identification, evaluation, stabilization, rehabilitation and/or demolition of buildings and facilities.
- e. Assist the management and coordination of emergency contracting services.
- f. Ensure that all construction and redevelopment complies with the appropriate building codes, zoning and land use regulations, as well as the University's Master Plan.

ACTION CHECKLIST
ESF 3 – FACILITIES & INFRASTRUCTURE

ROUTINE OPERATIONS		
1.	Prepare and maintain resource listings.	
2.	Designate individuals to serve on needs assessment teams and damage assessment teams	
3.	Pre-identify critical facilities	
4.	Ensure that field personnel have training, proper protection and equipment necessary for response to an emergency or disaster.	
5.	Maintain liaison with the City of Richmond Public Works.	
6.	Establish pre-designated sites for debris removal.	
INCREASED READINESS		
1.	Review plans, resource listings, and procedures. Update as needed and review applicable codes and regulations.	
2.	Establish liaison with the EOC.	
3.	When requested, provide persons to staff needs assessment teams and damage assessment teams.	
4.	Assure that personnel and equipment are operationally ready and available	
RESPONSE OPERATIONS		
Mobilization Phase		
1.	Assemble teams and prepare for deployment	
2.	Prioritize the deployment of personnel and equipment based on available resources and critical needs	
3.	Procure needed supplies and arrange for logistical support and designate potential staging areas	
4.	Encourage mitigation efforts such as the movement of essential equipment to high ground.	
Emergency Phase		
1.	Dispatch team to the disaster area(s) as needed and as required by the EOC.	
2.	Maintain communications and operational control.	
3.	Analyze needs assessment and initial damage assessment to determine the extent of damage to facilities and equipment.	
4.	Clear debris from roads and other essential facilities	
5.	Coordinate with state and federal officials to provide additional manpower and equipment as needed	
6.	Provide debris clearance, emergency protective measures, emergency and temporary repairs and /or construction on VCU property, roads, drainage, wastewater and water systems.	
RECOVERY OPERATIONS		
1.	Provide appropriate oversight to emergency repairs to critical infrastructure and to debris clearance and management.	
2.	Assist in clearing debris and restoring public works facilities and equipment.	
3.	Facilitate contract arrangements	
4.	Assure the implementation of codes and regulations as required.	
5.	Make permanent repairs to damaged facilities, implementing improvements and mitigation measures, if appropriate.	

EMERGENCY SUPPORT FUNCTION #4 – FIRE SAFETY

Introduction

The Emergency Support Function #4 (Fire Safety) is designed to provide support for VCU emergency and disaster operations by providing management of fire protection, suppression and safety activities needed or impacted during disaster disruptive event.

Primary Agencies

Fire Safety/Risk Management & Safety

Support Agencies & Organizations

VCU Police
City of Richmond Fire Department

Purpose

Emergency Support Function (ESF) #4 identifies VCU's interaction with and need for emergency support such as firefighting, fire suppression, search & rescue and other technical services like water rescue from adjacent localities.

Scope

ESF #4 provides logistical support to the firefighting and fire protection, suppression, and safety operations provided by the City of Richmond and the Office of Fire Safety at VCU.

Concept of Operations

- a. The City of Richmond Fire Department provides firefighting equipment, personnel, resources and technical expertise to prevent, control and suppress structure fires on VCU campuses.
- b. The Incident Commander in coordination with primary and support agencies will determine the need to evacuate and/or issue orders of evacuation as needed.
- c. The primary agency will maintain planning, procedures, equipment, resources, and personnel in a manner to mitigate the impact of risk on residential, academic, and support buildings on campus.

Organization & Assignment of Responsibilities

The primary agencies will provide the following services as appropriate. They will perform tasks as requested by the EOC and under their own initiative and authorities as applicable:

- a. Coordinate with City of Richmond Fire Department when they respond to a VCU campus.
- b. Assist with any needed evacuations.
- c. Follow established procedures in responding to fire incidents.

ACTION CHECKLIST
ESF 4 – FIRE SAFETY

ROUTINE OPERATIONS		
1.	Develop and maintain Emergency Action Plans for each building on campus.	
2.	Test fire-warning systems at regular intervals	
3.	Develop and deliver a fire safety program to faculty, students, and staff.	
4.	Inspect fire suppression equipment for serviceability.	
INCREASED READINESS		
1.	Identify key personnel for assignment to response and assessment duties.	
2.	Review Emergency Actions Plans.	
3.	Contact Building Emergency Coordinators and Floor Monitors.	
RESPONSE OPERATIONS		
Mobilization Phase		
1.	Begin tracking all disaster-related expenditures and continue to do so for the duration of the event.	
Emergency Phase		
1.	Assist in the identification of potential fire hazards, such as damaged gas lines.	
2.	Support damage and needs assessment.	
3.	Assist the EOC in obtaining appropriate resources to restore services.	
RECOVERY OPERATIONS		
1.	Continue to provide technical support in the recovery of facilities and services.	
2.	Provide decontamination functions, as needed.	
3.	Fully document all recovery actions.	

EMERGENCY SUPPORT FUNCTION #5 – EMERGENCY MANAGEMENT

Introduction

The Emergency Support Function #5 (Emergency Management) is designed to provide support for VCU emergency and disaster operations by providing incident and information management needed or impacted during a disruptive event.

Primary Agencies

Office of Emergency Preparedness

Support Agencies & Organizations

VCU Incident Response Team
 City of Richmond Office of Emergency Management
 Virginia Department of Emergency Management

Purpose

Emergency Support Function (ESF) #5 directs, controls, and manages emergency operations to include coordinating with neighboring or superior jurisdictions as needed and facilitating information collection, analysis, and dissemination.

Scope

ESF #5 coordinates the response of all departments within VCU and the use of University resources to provide emergency response. Coordination can include the following:

- a. Identifying actions to be taken in the pre-incident prevention phase
- b. Communication with additional internal and outside agencies and organizations when capabilities are exceeded.
- c. Identifying post-incident response phase activities.
- d. Facilitating information management and requests for assistance.
- e. Identify methods for the distribution of protection action directives through emergency alerting and notification.

Concept of Operations

- a. VCU must be prepared to bear the initial impact of a disaster on its own. Help may not be immediately available from local, state, or federal governments after a disruptive event.
- b. ESF #5 will act as the liaison for VCU between local, state, and federal emergency management agencies.
- c. In the event of a disaster at VCU where incident management is no longer capable of manage the incident, ESF #5 will support the overall coordination of resources through the activation and support of the Emergency Operations Center (EOC)
- d. All reasonable attempts will be made to use any available warnings to prepare the community, property and supplies from the effects of an impending disruptive event.
- e. Day to day functions that do not contribute directly to the response to or recovery from the emergency may be suspended for the duration of the event.
- f. Requests for assistance will be made through the Emergency Operations Center (EOC).

Organization & Assignment of Responsibilities

The primary agencies will provide the following services as appropriate. They will perform tasks as requested by the EOC and under their own initiative and authorities as applicable:

- a. Maintain a notification roster of EOC personnel and their alternates.
- b. Establish a system and procedures for notifying EOC personnel.
- c. Coordinate mutual aid agreements with neighboring jurisdictions, organizations, or state EOC.
- d. Test and exercise the Plan and associated procedures.
- e. Conduct outreach and mitigation programs for the University.

ACTION CHECKLIST
ESF 5 – EMERGENCY MANAGEMENT

ROUTINE OPERATIONS		
1.	Mange training and disaster preparedness activities.	
2.	Develop mutual support agreements with adjacent jurisdictions and with relief organizations (ex: non-governmental organizations or state EOC).	
3.	In collaboration with ESF #15, develop plans and procedures for providing timely information and guidance to the public in time of emergency.	
4.	Test and exercise plans and procedures with periodic exercises and drills. Review plans and provide training as indicated by test or exercise results.	
INCREASED READINESS		
1.	Brief the Incident Commander and Incident Coordination Team (ICT).	
2.	Setup EOC as necessary	
3.	Review emergency plans and procedures and update if necessary	
4.	Ensure the operational capability of the EOC facility and alert on-duty personnel.	
5.	Alert appropriate department heads and/or designated department representatives of the situation and assure that appropriate mitigation and preparedness measures are being taken.	
6.	Begin to provide periodic reports internal and external via conference calls and emails.	
RESPONSE OPERATIONS		
Mobilization Phase		
1.	Brief the Incident Commander and Incident Coordination Team	
2.	Activate the EOC and staff it as necessary	
3.	Provide logistical support to on-site emergency response personnel.	
4.	Conduct a meeting of the Incident Coordination Team (ICT) to review actions already taken and expedite those necessary to conduct in-the-field mitigation and preparedness activities.	
5.	Establish and maintain communication with the Virginia EOC and neighboring jurisdictions and as necessary provide daily situation reports to the Virginia EOC.	
6.	If situation warrants, assist with emergency declaration.	
Emergency Phase		
1.	Support the coordination of emergency operations.	
2.	Provide situational awareness to the Incident Coordination Team (ICT)	
3.	Provide situation reports and requests for assistance to neighboring jurisdictions and the Virginia EOC as the situation requires.	
4.	Ensure that an accurate record of expenses and assisting resources is maintained.	
5.	As appropriate, ensure that an initial damage assessment is completed and forwarded to the Virginia EOC within established timelines.	
RECOVERY OPERATIONS		
1.	Continue to provide situational awareness to Incident Commander and ICT.	
2.	Coordinate the restoration of essential facilities and services.	
3.	Identify needs of the community and provide assistance as required.	
4.	Continue to maintain a record of disaster-related expenditures.	
5.	Coordinate activities with Virginia EOC. Provide supplementary damage assessment information as required. Request post-disaster assistance as necessary.	

EMERGENCY SUPPORT FUNCTION #6 – HUMAN SERVICES

Introduction

The Emergency Support Function #6 (Human Services) is designed to provide support for VCU emergency and disaster operations by providing mass care, sheltering, and commodities distribution needed or impacted during an emergency or disaster.

Primary Agencies

VCU Student Affairs – Residence Life
Business Services – Dining Services

Support Agencies & Organizations

VCU Police
Office of Emergency Preparedness
VCU Student Affairs – Student Health
American Red Cross
Virginia Voluntary Organizations Active in Disaster

Purpose

Emergency Support Function (ESF) #6 – Human Services addresses the non-medical mass care, housing, and human services needs of individuals impacted by natural and/or technological incidents.

Scope

ESF #6 promotes the delivery of services and the implementation of programs to assist individuals impacted by potential or actual incidents. This service delivery includes immediate relief, short-term housing, relocation assistance, and other basic human commodities. The three primary components of ESF #6 are mass care, housing, and human services.

Concept of Operations

- a. Residence Life maintains an overview of activities related to mass care and sheltering.
- b. Dining Services maintains an overview of activities related to mass feeding.
- c. VCU may request assistance from non-governmental organizations or neighboring jurisdictions or entities when resources are exceeded.
- d. Recovery efforts are initiated concurrently with response activities. Close coordination is required among those agencies responsible for response operations and recovery activities, and other non-governmental organizations providing assistance.
- e. Initial response activities focus on meeting urgent mass care needs of victims.
- f. Recovery activities are initiated concurrently with response activities. Close coordination is required among those agencies responsible for response operations and recovery activities and other non-governmental organizations providing assistance.

Organization & Assignment of Responsibilities

The primary agencies will provide the following services as appropriate. They will perform tasks as requested by the EOC and under their own initiative and authorities as applicable:

- a. Residence Life will develop, maintain, and update plans and procedures for use
 1. Develop, maintain and update plans and procedures for use in an emergency
 2. Maintaining education and training for personnel assigned to staff shelters
- b. Dining Services
 1. Maintaining education and training for personnel
 2. Support food and water distribution throughout campus
- c. VCU Police
 1. Provide security to shelter sites to restrict and control access
 2. Maintain education and training for personnel

ACTION CHECKLIST
ESF 6 – HUMAN SERVICES

ROUTINE OPERATIONS		
1.	Develop plans and procedures to receive and care for evacuees.	
2.	Designate shelter(s). Determine maximum capacities for each.	
3.	Designate and shelter manager(s) and other key personnel.	
4.	Review and update plans and procedures.	
INCREASED READINESS		
1.	Confirm task assignment and alert key personnel to stand-by status	
2.	Prepare the necessary forms.	
3.	Anticipate and resolve problems to include identifying which shelter(s) will be open and/or which buildings will shelter-in-place.	
4.	Begin record keeping of disaster related expenses and continue for the duration of the event.	
RESPONSE OPERATIONS		
Mobilization Phase		
1.	Activate the shelter or advice individuals to shelter-in-place, as required.	
2.	Receive and care for displaced persons.	
3.	Register and maintain accurate records on their status.	
4.	Provide mass feeding (as needed)	
5.	Provide status reports to the EOC	
Emergency Phase		
1.	Continue to receive and care for displaced persons until re-entry to the impacted area(s) is granted.	
2.	Provide mass feeding as needed.	
RECOVERY OPERATIONS		
1.	Provide long-term housing and care as needed.	
2.	Consolidate and report disaster-related expenses.	

EMERGENCY SUPPORT FUNCTION #7 – RESOURCE MANAGEMENT

Introduction

The Emergency Support Function #7 (Resource Management) is designed to provide support for VCU emergency and disaster operations by providing resource management and financial services needed or impacted during an emergency or disaster.

Primary Agencies

Finance & Budget

Support Agencies & Organizations

VCU Office of Emergency Preparedness
City of Richmond Office of Emergency Management

Purpose

Emergency Support Function (ESF) #7 – Resource Management assists in the procurement of necessary resources, to include the contracting of specialized services and the hiring of additional personnel, to effectively respond to and recover from an emergency.

Scope

Resource management consists of the administration and financial support of emergency relief supplies, facility space, office equipment, office supplies, telecommunications, contracting services, transportation services, security service, and personnel required to support immediate response activities. ESF #7 provides response to resource needs by looking to the resources of neighboring jurisdictions, institutions the State and then commercial providers. Additionally, ESF #7 describes how finances are managed during and following emergencies or disasters.

Concept of Operations

- a. The lead and support departments for ESF #7 act as a team to address the resource needs of disaster victims and responders following an emergency on campus.
- b. VCU will use its own resources and equipment during incidents and will maintain control over the management of the resources as needed as needed to respond to the situation. If additional assistance is required, the University will request assistance from neighboring jurisdictions through the City of Richmond Office of Emergency Management.
- c. Each department with an emergency function is responsible for identifying its resources, including human resources that could be used in an emergency and conducting activities based on VCU policies and guidelines.
- d. Individuals involved in distributing and/or obtaining resources will be aware of emergency procurement policies and have the authority to do so in an emergency situation.
- e. Priorities will be set regarding the allocation and use of available resources.
- f. The temporary utilization and re-assignment of any non-essential employees will be allowed during emergency activation.

Organization & Assignment of Responsibilities

The primary agencies will provide the following services as appropriate. They will perform tasks as requested by the EOC and under their own initiative and authorities as applicable:

- a. Coordinate the framework for University resource management activities that includes logistics planning, preparedness, implementation and evaluation in support of disaster operations.
- b. Develop standard operating procedures (SOPs) to manage the processing, use, inspection and return of resources coming to the University.
- c. Identify actual or potential facilities and ensure they are ready and available to receive, store, and distribute resources (government, private, donated, etc.)
- d. Develop internal training and exercises to test the plan and to ensure maximum use of available resources and understanding of policies to obtain resources from outside the University.
- e. Develop and maintain a detailed list of available community resources.
- f. Identify policies and personnel responsible for obtaining resources.

ACTION CHECKLIST
ESF 7 – RESOURCE MANAGEMENT

ROUTINE OPERATIONS		
1.	Identify actual or potential facilities and ensure they are ready and available to receive, store, and distribute resources.	
2.	Identify common resources the University maintains on hand.	
3.	Develop processes and procedures for emergency procurement.	
4.	Obtain pre-disaster contracts for on campus services (as appropriate).	
INCREASED READINESS		
1.	Confirm task assignments and alert key personnel.	
2.	Anticipate initial requirements based on hazard analysis, historical data and forecasted intelligence.	
RESPONSE OPERATIONS		
Mobilization Phase		
1.	Transition to the EOC for ESF #7 operations	
2.	Expedite administrative procedures to allow rapid deployment of personnel and resources when needed.	
3.	Begin tracking all disaster-related expenditures and continue to do so for the duration of the event.	
Emergency Phase		
1.	Logistics providers are formally activated. The field infrastructure for receiving personnel and goods will be developed, with distribution and staging area centers being identified or established and property management personnel identified and notified if needed.	
2.	Assign additional staff and resources as needed.	
3.	All departments should exhaust their own channels of support before turning to the resource management function.	
4.	Ensure that the essential information is extracted from those who report a need. This information uses the SALT principle (Size, Amount, Location, Type needed, Time needed) to determine what is needed and why.	
5.	If emergency procurement is needed, the process, justification, and documentation will follow all internal protocols.	
RECOVERY OPERATIONS		
1.	Upon standing down, the resource requester and provider are responsible for coordination of the demobilization of the resource.	
2.	Fully document all recovery actions and costs.	

EMERGENCY SUPPORT FUNCTION #8 – HEALTH AND MEDICAL

Introduction

The Emergency Support Function #8 (Health & Medical) is designed to provide support for VCU emergency and disaster operations by providing health and medical services and resources needed or impacted during an emergency or disaster.

Primary Agencies

VCU Health
VCU Student Affairs – University Counseling

Support Agencies & Organizations

Richmond Ambulance Authority
Richmond City Health District
VCU Student Affairs -- Student Health Services

Purpose

Emergency Support Function #8 – Health and Medical – provides the mechanism for coordinated assistance in response to public health, mental health, more medical care needs. Coordination of fatality and mortuary management operations is included, when appropriate.

Scope

ESF #8 provides guidance on comprehensive public health and medical response following an emergency/disaster ensures the continuance of medical care services, continued availability of medical supplies, support for emergency medical treatment for disaster casualties and detects mental health issues in the University population.

Concept of Operations

- a. Student Affairs provides direction and coordination for public and mental health activities performed under ESF #8.
- b. VCU Health provides direction and coordination for all medical activities performed under ESF #8
- c. During a threatened or actual emergency, public health and medical care needs will be coordinated through the EOC with local assistance being requested when emergency or disaster needs exceed VCU’s capabilities.
- d. The VCU Health in conjunction with the Richmond City Health District and Richmond Ambulance Authority will address medical surge as a product of a disaster or emergency resulting in a large number of casualties.
- e. The VCU Health will coordinate fatality management operations as needed.

Organization & Assignment of Responsibilities

The primary agencies will provide the following services as appropriate. They will perform tasks as requested by the EOC and under their own initiative and authorities as applicable:

- a. VCU Health
 1. Prevention of disease, to include surveillance and investigation of diseases and other conditions, and implementation of intervention measures.
 2. Coordinate the provision of medical supplies, equipment and dispensing of life-saving pharmaceuticals
 3. Mass patient care and coordination of medical control for pre-hospital emergency medical services.
 4. Provide guidance and technical assistance regarding the evacuation of people with special needs.
- b. VCU University Counseling
 1. Provide personnel, equipment, supplies and other resources necessary to coordinate plans and programs for mental health activities during an incident.
 2. Coordinate behavioral health activities among emergency responders.
 3. Provider crisis counseling as needed.

ACTION CHECKLIST

ESF 8 – HEALTH AND MEDICAL

ROUTINE OPERATIONS		
1.	Develop and maintain procedures for providing coordinated response.	
2.	Maintain a roster of key officials in each health and medical support area.	
3.	Establish a working relationship and review emergency roles with the local hospital and emergency medical services providers.	
INCREASED READINESS		
1.	Start documenting all actions	
2.	Review and update emergency response plans.	
RESPONSE OPERATIONS		
Mobilization Phase		
1.	Alert personnel.	
2.	Implement mutual aid agreements, if necessary.	
3.	Aid in the development of the Incident Action Plan by providing timely information to ESF #5.	
4.	Begin tracking all disaster-related expenditures and continue to do so for the duration of the event.	
Emergency Phase		
1.	Coordinate medical, health, mental health, and emergency medical services with the EOC.	
2.	Provide mental health crisis intervention for students, faculty, and staff as needed.	
3.	Assist the EOC in obtaining appropriate resources to restore services.	
4.	Provide health services, as needed.	
RECOVERY OPERATIONS		
1.	Maintain records and monitor the status of persons injured during the emergency.	
2.	Assist the State Medical Examiner’s Office in the identification and disposition of the deceased.	
3.	Determine short-term and long-term mental health and medical needs for VCU.	
4.	Continue to provide technical support in the recovery of facilities and services.	
5.	Fully document all recovery actions.	
6.	Continue mental health crisis intervention for students, faculty, and staff.	

EMERGENCY SUPPORT FUNCTION #9 – SEARCH AND RESCUE

Introduction

The Emergency Support Function #9 (Search & Rescue) is designed to provide support for VCU emergency and disaster operations by providing search and rescue resources needed emergency or disaster.

Primary Agencies

VCU Police

Support Agencies & Organizations

City of Richmond Police
Virginia State Police

Purpose

Emergency Support Function #9 – Search and Rescue provides rapid deployment of search and rescue capabilities for lifesaving assistance.

Scope

ESF #9 provides support for support agencies using capabilities or resources to support structural collapse search and rescue, waterborne search and rescue or land search and rescue. Specific services include distress monitoring, incident communications, locating distressed personnel, coordination, and execution of rescue operations including extrication and/or evacuation.

Concept of Operations

- a. Coordinate planning and operations between primary and support agencies.
- b. Coordinate resolution of conflicting operational demands for search and rescue response resources.
- c. Coordinate logistical support for search and rescue resources
- d. Coordinate the provisioning of additional resources as needed.
- e. Provide incident reports, assessments, and situation reports as required.

Organization & Assignment of Responsibilities

The primary agencies will provide the following services as appropriate. They will perform tasks as requested by the EOC and under their own initiative and authorities as applicable:

- a. Identify location or event needing search and rescue resources and request immediate deployment.
- b. Liaise with search and rescue command officer(s) to facilitate support and resource allocation.
- c. Facilitate area support for crowd and vehicular control to search and rescue operations.
- d. Report to Incident Response Team and other public safety entities regarding focus and progress of search and rescue operations.

ACTION CHECKLIST
ESF 9 – SEARCH AND RESCUE (Communicate with VCU Police)

ROUTINE OPERATIONS		
1.	Train and exercise with local search & rescue capabilities.	
2.	Identify third-party resource suppliers (ex: weather forecasting) to utilize when responding to an event.	
3.		
INCREASED READINESS		
1.		
2.		
RESPONSE OPERATIONS		
Mobilization Phase		
1.	Formally request local search and rescue resources.	
2.	Secure area for search and rescue resource deployment.	
3.		
4.		
Emergency Phase		
1.	Deploy search and rescue resources.	
2.	Continue to maintain control area to maximize impact of search and rescue operations.	
3.		
4.		
RECOVERY OPERATIONS		
1.	Work with ESF #14 (Recovery) to facilitate the removal of debris in areas impacted by the disaster that may have human remains and/or other evidence related to the event.	
2.		
3.		
4.		
5.		
6.		

EMERGENCY SUPPORT FUNCTION #10 – HAZARDOUS MATERIALS

Introduction

The Emergency Support Function #9 (Hazardous Materials) is designed to provide support for VCU emergency and disaster operations by providing hazardous materials response services and resources needed during an emergency or disaster.

Primary Agencies

Risk Management & Safety

Support Agencies & Organizations

VCU Police
City of Richmond HAZMAT Team

Purpose

Emergency Support Function #10 – Hazardous Materials provides for coordinated and directed support in response to an actual or potential discharge and/or uncontrolled release of hazardous materials as or during an incident.

Scope

ESF #10 includes the appropriate response and recovery actions to prepare for, prevent, minimize or mitigate a threat to public health, welfare, or the environment caused by actual or potential hazardous materials incidents. Appropriate response and recovery actions can include efforts to detect, identify, contain, clean-up or dispose of related hazardous materials.

Concept of Operations

- a. Under Virginia Law (Title 44-146.34), hazardous materials are defined as substances or materials which may pose unreasonable risks to health, safety, property, or the environment when used, transported, stored or disposed of, which may include materials which are solid, liquid, or gas. Hazardous materials may also include toxic substances, flammable and ignitable materials, explosives, corrosive materials and radioactive materials.
- b. The Office of Environment Health & Safety provides the guidance for managing a hazardous materials incident on campus.
- c. The Superfund Amendments and Reauthorization Act of 1986 (SARA Title III) requires the development of detailed procedures for identifying facilities with extremely hazardous materials and for assuring an adequate emergency response capability by these facilities and local emergency services.
- d. All hazardous materials released will be report to local, state, and federal authorities in compliance with all applicable laws and regulations.
- e. Should an evacuation become necessary, warning and directions for evacuation and/or shelter-in-place is disseminated via all appropriate means.

Organization & Assignment of Responsibilities

The primary agencies will provide the following services as appropriate. They will perform tasks as requested by the EOC and under their own initiative and authorities as applicable:

- a. Compile hazardous chemicals list, obtaining appropriate Material Safety Data Sheets (MSDS), ensuring containers are labeled, and providing training to employees.
- b. Provide personnel, equipment, supplies and other resources necessary to coordinate hazardous materials plans and procedures.
- c. Develop procedures aimed at minimizing the impact of an unplanned release of a hazardous material to protect life and property.
- d. Conduct training for personnel in hazardous materials response and mitigation.
- e. Follow established procedures in responding to hazardous materials incidents.
- f. Provide technical information as needed.
- g. Coordinate control and mitigation efforts with local, state, and federal agencies.

ACTION CHECKLIST
ESF 10 – HAZARDOUS MATERIALS

ROUTINE OPERATIONS		
1.	Develop and maintain plans and procedures to implement HAZMAT response in a time of emergency.	
2.	Train personnel to quickly coordinate a HAZMAT response.	
INCREASED READINESS		
1.	Review and update plans and procedures.	
2.	Alert personnel to stand-by status.	
RESPONSE OPERATIONS		
Mobilization Phase		
1.	Contact and coordinate with outside agencies for assistance if needed.	
2.	Begin tracking all disaster-related expenditures and continue to do so for the duration of the event.	
Emergency Phase		
1.	Follow established procedures in coordinating HAZMAT response.	
2.	Continue to assist with warning and alerting, evacuation, communications as well as any other emergency response operations, as needed.	
RECOVERY OPERATIONS		
1.	Determine short-term and long-term effects of the hazardous materials incident for VCU.	
2.	Assist with the inspection of damaged facilities, if needed.	
3.	Compile and submit records of incurred disaster related expenses.	

EMERGENCY SUPPORT FUNCTION #11 – ANIMAL SAFETY

Introduction

The Emergency Support Function #11 (Animal Safety) is designed to provide support for VCU emergency and disaster operations by providing emergency response services and resources needed during an emergency or disaster to address research animal safety and well-being.

Primary Agencies

VCU Office of Research (Communicate Research)

Support Agencies & Organizations

VCU Police
VCU Office of Emergency Preparedness

Purpose

Emergency Support Function #11 – Animal Safety supports the activities necessary to protect and preserve research animals housed in VCU buildings.

Scope

ESF #11 will focus on the preparedness, response, and recovery of facilities and services necessary to protect research animals housed in VCU buildings. This does not apply to domestic or agricultural animals.

Concept of Operations

- a. Identify primary and secondary locations for the housing of research animals that might be impacted by an emergency or disaster.
- b. Depending on threat and impact conditions, move housed animals from primary to secondary location to preserve and protect the health of the animals.
- c. Act as subject matter experts for animal related incidents that are sourced from or relate to VCU Research projects.

Organization & Assignment of Responsibilities

The primary agencies will provide the following services as appropriate. They will perform tasks as requested by the EOC and under their own initiative and authorities as applicable:

- a. Office of Research
 1. Identify locations of all housed animals and identify secondary housing if needed for displacement.
 2. Identify resources needed to move types and collectives of animals housed in research areas.
 3. Identify resources needed to maintain displaced research animals.
- b. VCU Police
 1. Oversee the protection of primary and secondary research animal housing facilities that are impacted by disaster.
- c. Office of Emergency Preparedness
 1. Help identify external resources needed to support the movement and protection of research animals.

EMERGENCY SUPPORT FUNCTION #12 – UTILITIES

Introduction

The Emergency Support Function #12 (Utilities) is designed to provide support for VCU emergency and disaster operations by providing energy and utility management services and resources needed during an emergency or disaster.

Primary Agencies

VCU Facilities Management

Support Agencies & Organizations

City of Richmond Public Utilities
 Dominion Power
 Office of Emergency Preparedness
 Other Public Utilities

Purpose

Emergency Support Function #12 – Utilities supports the restoration of damaged energy and utilities systems and components during potential or actual emergencies.

Scope

ESF #12 collects, evaluates and shares information on energy and utility system outages on the VCU campuses. Additionally, ESF #12 provides information concerning the energy restoration process such as projected schedules, percent completion of restoration, geographic information on the restoration, and other information as appropriate.

Concept of Operations

- a. VCU Facilities Management maintains a list of critical facilities and continuously monitors those resources to identify vulnerabilities.
- b. Restoration of normal operations at critical facilities will be a priority.
- c. The supply of electric power may be cut off due to either generation capacity shortages and/or transmission/distribution limitations.
- d. Other energy shortages, such as interruptions in the supply of natural gas or other petroleum products may result from extreme weather, strikes, international embargoes, disruption of pipeline systems, or terrorism.
- e. The suddenness and devastation of a catastrophic disaster or other significant event can sever key energy lifelines, constraining supply in impacted areas, or in areas with supply links to impacted areas, and can also affect transportation, communication, and other critical functions.

Organization & Assignment of Responsibilities

The primary agencies will provide the following services as appropriate. They will perform tasks as requested by the EOC and under their own initiative and authorities as applicable:

- a. Comply with local and state actions to conserve fuel and power, if needed.
- b. Coordinate with ESF #15 to provide energy and utility emergency information, education and conservation guidance to the community as needed.
- c. Coordinate with local, state, and federal officials and energy suppliers about available utility and energy supply assistance.
- d. Provide utility companies with a restoration priority list for utilities prior to and/or following a major disaster.
- e. Work with utility companies to restore all affected utility capabilities and services.
- f. Relay information regarding impacted customers and restoration timelines to ESF #5.

ACTION CHECKLIST
ESF 12 – UTILITIES

ROUTINE OPERATIONS		
1.	Plan for emergency operations.	
2.	Train personnel to quickly coordinate the repair of damages to VCU's systems.	
3.	Participate in mitigation and preparedness activities.	
INCREASED READINESS		
1.	Start documenting all actions.	
2.	Identify key personnel for assignment to response and assessment duties.	
3.	Provide technical advice as requested for the protection of the utility system(s).	
4.	Review emergency response plans.	
RESPONSE OPERATIONS		
Mobilization Phase		
1.	Place personnel on emergency shifts.	
2.	Check equipment and supplies.	
Emergency Phase		
1.	Respond to utility calls.	
2.	Bring damaged facilities back on line as soon as possible.	
3.	Assist with clean-up operations when possible.	
RECOVERY OPERATIONS		
1.	As needed, plan for long-term recovery and restoration of services to pre-disaster levels.	
2.	Continue to provide technical support in the recovery of facilities and services.	
3.	Fully document all recovery actions.	

EMERGENCY SUPPORT FUNCTION #13 – PUBLIC SAFETY

Introduction

The Emergency Support Function #13 (Public Safety) is designed to provide support for VCU emergency and disaster operations by providing public safety services and resources needed during an emergency or disaster.

Primary Agencies

VCU Police

Support Agencies & Organizations

Office of Environmental Health & Safety
 City of Richmond Police
 Richmond Ambulance Authority

Purpose

Emergency Support Function (ESF) #13 – Public Safety provides public safety capabilities as well as necessary resources to support the full range of incident management associated with potential or actual events.

Scope

ESF #13 coordinates and provides law enforcement, public safety, and emergency services capabilities and resources during potential or actual disruptive events. ESF #13 supports incident management requirements including personnel and critical infrastructure protection, security planning and technical assistance in pre and post event situations.

Concept of Operations

- a. State or federal law enforcement resources – when needed or required – are integrated into the incident command structure using the National Incident Management System (NIMS).
- b. There is sufficient latitude to allow the on-site supervisor to tailor the emergency operational plan to a specific operation. If needed, other law enforcement agencies will supplement personnel and resources.
- c. Mutual aid agreements will be recognized and utilized to the utmost of their capabilities.
- d. ESF #13 uses several existing procedures to provide the basis of response.

Organization & Assignment of Responsibilities

The primary agencies will provide the following services as appropriate. They will perform tasks as requested by the EOC and under their own initiative and authorities as applicable:

- a. Maintain police intelligence capability to alert the community to potential threats.
- b. Develop strategies to effectively address special emergency situations that may require distinct law enforcement procedures, such as civil disorders, hostage taking, weapons of mass destruction, terrorist situations, and bomb threats/detonations.
- c. Test primary communications systems and arrange for alternate systems, if needed.
- d. Assist with the implementation of the evacuation procedures for the threatened areas, if needed
- e. Provide traffic and crowd control as required.
- f. Provide security to critical facilities and supplies as well as the Emergency Operations Center, evacuated areas and shelters.
- g. Implement existing mutual aid agreements with neighboring jurisdictions, if necessary.
- h. Document expenses during and after response.
- i. Evacuation and access control of threatened areas.
- j. Assist with identification of the dead.

ACTION CHECKLIST
ESF 13 – PUBLIC SAFETY

ROUTINE OPERATIONS		
1.	Develop and maintain plans and procedures to provide for effective law enforcement, prompt warning and evacuation, traffic and crowd control, and the security of vital facilities and supplies.	
2.	Develop procedures for promptly warning the community of an emergency, using any means necessary and available.	
3.	Identify potential evacuation routes in the event of a major emergency situation.	
INCREASED READINESS		
1.	Assign emergency duties and provide specialized training as needed.	
2.	Delineate the specific areas which may need to be evacuated and designated evacuation routes.	
3.	Alert personnel to standby status.	
RESPONSE OPERATIONS		
Mobilization Phase		
1.	Alert all personnel and special facilities as required.	
2.	Test primary communication systems and arrange for alternate systems if needed.	
3.	Implement evacuation procedures for the threatened areas, if necessary.	
4.	Provide traffic and crowd control, as required.	
5.	Implement necessary security.	
6.	Begin tracking all disaster-related expenditures and continue to do so for the duration of the event.	
Emergency Phase		
1.	Dispatch teams to the disaster area as needed and as requested by the EOC. Maintain communications and operational control.	
2.	Secure all response sites.	
3.	Implement mutual aid agreements if necessary.	
4.	Provide traffic and crowd control.	
5.	Assist with providing protective action guidance.	
RECOVERY OPERATIONS		
1.	Complete necessary post-event investigations.	
2.	Support clean up and recovery operations as required.	
3.	Assist with identification of the dead if necessary.	
4.	Complete disaster related expense records for services provided.	

EMERGENCY SUPPORT FUNCTION #14 – DAMAGE ASSESSMENT & RECOVERY

Introduction

The Emergency Support Function #14 (Damage Assessment & Recovery) is designed to provide support for VCU damage assessment, debris removal and short-term recovery services and resources needed during an emergency or disaster.

Primary Agencies

VCU Facilities Management

Support Agencies & Organizations

City of Richmond Public Works
 VCU Police
 Virginia Volunteer Organizations Active in Disaster

Purpose

Emergency Support Function (ESF) #14 – Damage Assessment & Recovery provides a framework to facilitate damage assessment and short-term recovery from a disaster. The recovery process begins with an impact analysis and damage assessment of the incident and support for available programs and resources.

Scope

ESF #14 support will vary depending on the magnitude and type of incident and the potential for long-term and severe consequences. VCU may collect damage assessment for public buildings and utilities, but will primarily focus on damage and recovery to VCU controlled assets, resources, and facilities. A separate plan exists to address Long-term recovery efforts.

Concept of Operations

- a. The President, in collaboration with the Incident Response Team, will direct short and long-term recovery efforts for the University.
- b. ESF #14 will begin the recovery process for any disaster with the implementation of short term disaster relief programs.
- c. The strategy for long-term recovery should encompass, but not be limited to, land use, public safety, housing, transportation services, education, natural and cultural resources, and financial continuity and accountability.
- d. Long-term recovery and mitigation efforts are forward-looking and market-based, focusing on permanent restoration of infrastructure, housing, and the local economy and are addressed in separate plans.
- e. Partnership with local, state, and federal agencies will be based on the type, extent, and duration of the event and recovery period.
- f. Federal agencies may be requested to continue to provide recovery assistance under independent authorities to the state and local governments; the private sector; and individuals, while coordinating activities and assessments of need for additional assistance.

Organization & Assignment of Responsibilities

The primary agencies will provide the following services as appropriate. They will perform tasks as requested by the EOC and under their own initiative and authorities as applicable:

- a. Assess the social and economic consequences and coordinate local, state, and Federal efforts to address damage assessment and recovery efforts.
- b. Partner with disaster assistance agencies to implement short-term recovery programs.
- c. Advise on recovery implications of response activities and coordinate the transition from response to recovery.
- d. Work with non-governmental organizations and private sector organizations to conduct comprehensive community impact assessments.
- e. Identify appropriate programs and agencies to support implementation of recovery, ensure coordination and identify gaps in resources.
- f. Determine and identify responsibilities for recovery activities.

ACTION CHECKLIST

ESF 14 – DAMAGE ASSESSMENT & RECOVERY

ROUTINE OPERATIONS		
1.	Participate in related training and exercises to assist in the development and maintenance of disaster response capabilities.	
INCREASED READINESS		
1.	Alert key personnel.	
2.	Anticipate initial requirements based on hazard analysis, historical data and forecasted intelligence.	
RESPONSE OPERATIONS		
Mobilization Phase		
1.	Transition to Emergency Operations Center for ESF #14 operations.	
2.	Expedite administrative procedures to allow rapid deployment of personnel and resources when needed.	
3.	Begin tracking all disaster-related expenditures and continue to do so for the duration of the event.	
Emergency Phase		
1.	Assign additional staff and resources as needed.	
RECOVERY OPERATIONS		
1.	As needed, plan for transition to long-term recovery strategies	
2.	Fully document all recovery actions.	
DAMAGE ASSESSMENT CLASSIFICATIONS – RESIDENTIAL		
A.	Residential/Personal Property – Damage to residence halls, faculty/staff offices	
DAMAGE ASSESSMENT CLASSIFICATIONS – UNIVERSITY PROPERTY		
A.	Debris Clearance – Debris on roads and streets, on University property, and structure demolition.	
B.	Protective Measures – Public safety costs as well as barricading, sandbagging, and rodent/insect control.	
C.	Road Systems – Damage to roads, streets, bridges, culverts, sidewalks, and traffic control systems.	
D.	Water Control Facilities – Damage to water drainage or retention systems.	
E.	Public Buildings and Equipment – Damage to buildings, inventory, vehicles and equipment.	
F.	Utility Systems – Damage to water process, sewage systems, and/or storm drainage systems.	
G.	Recreational Facilities – Damage to recreational areas, outdoor lighting, and equipment.	

EMERGENCY SUPPORT FUNCTION #15 – EMERGENCY PUBLIC INFORMATION

Introduction

The Emergency Support Function #15 (Emergency Public Information) is designed to provide support for VCU emergency public information needed during an emergency or disaster.

Primary Agencies

VCU University Relations

Support Agencies & Organizations

Virginia Department of Emergency Management
Office of Emergency Preparedness
VCU Provost Office
Other Decentralized VCU Communication Functions

Purpose

Emergency Support Function (ESF) #15 – Emergency Public Information provides accurate, coordinated, and timely information to affected stakeholders including media and all members of the VCU community.

Scope

ESF #15 coordinates actions to provide emergency public information support to incident management prior to, during, and following an emergency or disaster.

Concept of Operations

- a. As the primary agency, University Relations is the lead for emergency public information.
- b. During normal operations, University Relations in conjunction with the Director of Emergency Preparedness will coordinate the release of information to promote emergency preparedness.
- c. In time of emergency, University Relations will coordinate the release of information on emergencies and disasters with oversight from the Incident Commander.
- d. When a disaster is impending or occurs, the augmented University Relations staff will be positioned in the University Relations operations center while a representative will be placed in the Emergency Operations Center.
- e. All agencies and organizations are responsible for providing University Relations with appropriate timely information about the incident and actions needed to save lives and protect property.
- f. A Joint Information Center (JIC) may be activated if the situation warrants. Agencies involved with staff telephones and coordinate media activities under the supervision of University Relations.

Organization & Assignment of Responsibilities

The primary agencies will provide the following services as appropriate. They will perform tasks as requested by the EOC and under their own initiative and authorities as applicable:

- a. Develop and conduct public information programs for community awareness of potential disasters, as well as personal protection measures for each hazard.
- b. Develop rumor control processes.
- c. Prepare advance copies of emergency information packages for release through news agencies.
- d. Maintain current list of traditional media contacts.
- e. Maintain arrangements to provide a briefing room for the media in the vicinity of the EOC or disaster location.
- f. Disseminate news releases and social media information
- g. Monitor the media, to include social media, ensuring accuracy of information and correcting misinformation as quickly as possible.
- h. Establish a phone number(s) and personnel to handle student, staff, faculty, and parent requests for information.

ACTION CHECKLIST
ESF 15 – EMERGENCY PUBLIC INFORMATION

ROUTINE OPERATIONS		
1.	Establish a working arrangement with local radio and TV stations and the newspapers.	
2.	Prepare and provide general information as appropriate to special needs groups.	
3.	Develop and review pre-scripted emergency alert messages.	
4.	Regularly post emergency preparedness information on VCU website(s).	
5.	Distribute emergency information via VCU’s social media site(s).	
INCREASED READINESS		
1.	If applicable, monitor national and state level news coverage of the situation.	
2.	Prepare locally unique, supplementary published informational news releases and keep them updated to reflect the current emergency situation.	
3.	Evaluate the situation and release additional information when it is determined the community as a “need to know”.	
RESPONSE OPERATIONS		
Mobilization Phase		
1.	Disseminate emergency public information to the local news media.	
2.	Confirm activation of the designated phone number and personnel to handle the inquiries.	
3.	Begin tracking all disaster-related expenditures and continue to do so for the duration of the event.	
Emergency Phase		
1.	Develop accurate and complete information regarding incident cause, size, current situation and resources committed.	
2.	Continue to keep the community information and recommend protective actions.	
3.	Handle rumor control if necessary.	
RECOVERY OPERATIONS		
1.	Keep the community informed about local recovery operations.	
2.	Assist in the dissemination of public health notices (if necessary)	
3.	Assist state and federal officials in disseminating information concerning relief assistance.	
AVAILABLE COMMUNICATON SYSTEMS		
Audio (Outside)	Outdoor Siren System	
Audio (Inside)	Indoor Alert Beacons (Alertus)	
Digital Imagery	Digital Signage	
Website	Alert.vcu.edu	
Email	Blast email to “@vcu.edu” accounts	
SMS Text Messages	Distributed to all individuals who have signed up for an account	
Hotline	VCU may use 828-1171 as an emergency hotline number	
Social Media	Facebook and Twitter accounts	

EMERGENCY SUPPORT FUNCTION #16 – EXTERNAL RESOURCES

Introduction

The Emergency Support Function #16 (External Resources) is designed to provide support for the management of external resources available and needed during an emergency or disaster.

Primary Agencies

Office of Emergency Preparedness

Support Agencies & Organizations

Student Affairs
 Police
 Finance & Budget
 Virginia Volunteer Organizations Active in Disaster

Purpose

Emergency Support Function (ESF) #16 – External Resources provides oversight, management, and processing of external resources used during an emergency or disaster.

Scope

ESF #16 coordinates actions to provide the management of external resources to include mutual aid and private sector coordination as well as solicited and unsolicited volunteers and donations during an emergency or disaster.

Concept of Operations

- a. The utilization of mutual aid will be accomplished through pre-event planning agreements, a disaster request for support, demobilization of the materials, and financial processing of all materials and related agreements.
- b. Private sector coordination may or may not be accomplished through pre-event relationships, but can be processed during and after disruptive events to provide operational, communication, or financial support in a manner that integrates into components of this plan and overall policies and laws that govern VCU's operation.
- c. Volunteers may be solicited by VCU for support during an emergency or disaster in a variety of capacities that will support overall efforts to lessen the impacts of the event. These volunteers will be vetted prior to an event to ensure their skillset is appropriate and there are no personal or legal limitations to their involvement.
- d. Unsolicited volunteers may also arrive at VCU to provide support to disaster response and recovery. These individuals will be vetted prior to deployment by VCU and/or may be assigned tasks or responsibilities in low risk areas.
- e. In some circumstances, donations will be collection in response to a VCU emergency or disaster with or without the knowledge of local administration. Managing these donations will ensure they are handled efficiently and effectively and do not become a burden on response and recovery efforts.

Organization & Assignment of Responsibilities

The primary agencies will provide the following services as appropriate. They will perform tasks as requested by the EOC and under their own initiative and authorities as applicable:

- a. Mutual aid agreements will be established with other public or non-governmental organizations by the Director of Emergency Preparedness to address specifically identified preparedness gaps.
- b. Private sector coordination will occur as needed and may be identified by any senior VCU administrator and executed through legal and planning agreements.
- c. The Director of Emergency Preparedness will work with voluntary organizations to ensure expectations are set and clear before a disaster.
- d. The Director of Emergency Preparedness in conjunction with University Relations will monitor the establishment of emergency volunteerism and donations management groups during an event to respond accordingly.

INCIDENT ANNEX – HURRICANES & TROPICAL STORMS

Purpose

The Hurricane Incident Annex is a hazard-specific incident plan to VCU’s Emergency Operations Plan. This plan establishes, within the general guidance of the EOP, the hurricane-specific concepts and policies under which all elements of VCU will operate. It was developed to provide for the safety and welfare of the community by minimizing the loss of life and impact to property following a tropical storm or hurricane.

Situation

- a. There will be an immediate and continuous demand for information needed for the decision-making process
- b. There may be delays in acquiring and assimilating the information.
- c. Communication problems, damage, weather, flooding and other environmental factors may restrict situation assessment.

Assumptions

- a. Pre-disaster warning time will vary; however, the National Weather Service will detect and track and hurricane in time for effective action to be taken in accordance to this plan.
- b. There may be delays in acquiring and assimilating the information.
- c. A declaration of emergency will be considered in advance of actual hurricane conditions.
- d. Help may not be immediately available from neighboring jurisdictions or state government. VCU is prepared to bear the initial responsibility for hurricane response and relief as well as the arrival of the hurricane.
- e. The EOC will continue to be operable despite the effects of a hurricane.

Concept of Operations

- a. An effective response to a hurricane is dependent on the development of plans, programs, and procedures, which will provide for rapid mobilization and effective use of the resources, capabilities and support from the adjacent localities.
- b. The University’s response to the event will be under the direction of the Incident Commander in collaboration with the Incident Coordination Team (ICT).
- c. The Office of Emergency Preparedness will monitor the situation, disseminate appropriate weather information on a continuous basis and augment the Emergency Operations Center as needed. The EOC will be staffed to collect information, review status of pre- and post-landfall protective actions, produce the required reports and coordinate requests for assistance.
- d. Non-tasked departments may be called upon to provide assistance where needed.

Organization & Assignment of Responsibilities

General organization and assignment of responsibilities are detailed in the VCU EOP and more specifically within the ESF Annexes. Responsibilities specific to a hurricane are provided below:

- a. The Office of Emergency Preparedness will participate in VDEM-sponsored conference calls with the National Weather Services and localities within the region.
- b. As necessary, the Office of Emergency Preparedness will conduct conference calls with the Incident Response Team to discuss storm arrival, potential impact and operational issues to include evacuation and sheltering.
- c. If VCU is impacted by a tropical storm, the Director of Emergency Preparedness will submit situation reports, as needed, to the adjacent localities and the Virginia Emergency Operations Center.

INCIDENT ANNEX – PANDEMIC INFLUENZA

Purpose

The Pandemic Influenza Incident Annex addresses VCU’s response to and recovery from an outbreak of influenza that results in a pandemic which may last as long as 18-24 months. It is designed to establish strategies and/or measures that may contain and control influenza outbreaks; limit the number of illnesses and deaths, and minimize social disruption and economic losses.

Responsible Parties

VCU Office of Emergency Preparedness, VCU Police, VCU Health and VCU University Relations in conjunction with the City of Richmond Public Health District.

Situation

Pandemic influenza occurs when a novel virus emerges that has the ability to infect and be transmitted between humans. The disease spreads rapidly as humans have little or no immunity to the new strain of virus. The virus has the ability to mutate which makes the development of an effective medical response more challenging. The virus spreads primarily by virus-laden droplets which are distributed as infected people cough, sneeze, or speak.

Assumptions

Symptoms begin to appear 1-2 days following exposure. The rapid spread of the disease and the high level of absenteeism will have a significant impact on the social and economic fabric of the University, and essential services across all sectors will be compromised.

Concept of Operations

- a. Sustained human-to-human transmission (WHO Phase 6) will trigger the implementation of plans and mobilization of resources in an attempt to contain and mitigate the effects of the events on the world community.
- b. The basis of VCU’s response is the preservation of health, safety, and the well-being of the campus community. It is paramount that VCU tends to the campus community to foster a healthy environment during an influenza pandemic.
- c. All employees may be tasked to perform other essential duties because of an influenza pandemic response.
- d. Additional state and federal resources may be utilized depending on the spectrum and severity of the event.

Organization & Assignment of Responsibilities

General organization and assignment of responsibilities are detailed in the VCU EOP and more specifically within the ESF Annexes. Responsibilities specific to a hurricane are provided below:

- a. The Incident Response Team (IRT) will develop the response, coordination, and decision-making structure for a pandemic that incorporates the combined social/health services and VCU response agencies.
- b. University Relations will develop a communication strategy and maintain a list of systems for both internal and external sources to communication information to VCU officials and departments, public health partners, and other constituents.
- c. Additional preparedness activities will be utilized before a full pandemic occurs to enhance the effectiveness of response.
- d. The VCU Police department will provide security for the transportation and/or storage of vaccine, antivirals, and other medical supplies (as needed).
- e. Prevent and respond to civil disturbances associated with the pandemic.

APPENDIX A – INCIDENT COORDINATION TEAM (ICT) REPRESENTATION

DEPARTMENT	ICT REPRESENTATIVE POSITION (PRIMARY)
Academic Affairs	Vice Provost – Academic Affairs
Athletics	Director of Siegel Center Operations
Business Services	AVP – Business Services
Facilities Management	AVP – Facilities Management
Finance & Budget	VP – Finance
Health Services	AVP – Health Sciences/Academic Affairs
VCU Health	VP – Support Services
Libraries	Associate University Library
Police	Chief of Police
Research	VP – Research & Innovation
Student Affairs	VP – Student Affairs
Technology Services	Chief Information Officer
University Counsel (Ex Officio Capacity)	University Counsel
University Relations	VP – University Relations

*Note: A full list of all primary and secondary contacts is maintained by the Office of Emergency Preparedness

Procurement:

**Board of Visitors Executive Summary
December 2016**

PRESENTATION TITLE: Request for Approval of Dental Store RFP	
Presenter Name and Title: Diane Reynolds, Associate Vice President Business Services	
Responsible University Division: Business Services BOV Committee: Finance, Budget and Investment	
Quest Theme(s) and Goal(s) to be Addressed:	
Key Presentation Messages [Limit presentation to 5 min]	<p>The university seeks BOV approval to issue an RFP for the VCU Dental Store Management Services Contract.</p> <ul style="list-style-type: none"> • Current contract expires June 30, 2017 • Anticipated annual contract amount: \$3 million • Term of the contract will not exceed fifteen years with initial contract and renewal terms based upon mutual agreement of the parties.
Governance Implications	Due to anticipated contract costs or revenues, BOV approval is required.
Governance Discussion Questions	None.
Enterprise Risk Management	Enterprise risks are minimal.
Next Steps for Management (Responsible Division Head; Timeframe for Action)	Issue RFP, negotiate and award contract which meets the university's needs.
Next Steps for Governance (Responsible Board Member; Timeframe for Action)	None.
Meeting Notes	

APPROVAL TO ISSUE REQUEST FOR PROPOSALS
VCU Dental Store Management Services Contract

Item

On behalf of the VCU School of Dentistry, VCU Business Services seeks to solicit proposals for the management and operation of the dental supply store located in the Lyons Building on the MCV Campus.

Background

Henry Schein, Inc., currently provides management, labor, merchandise, and materials for the operation of the VCU Dental Store. The University is currently operating under a 5-year contract with Henry Schein, Inc. for the period of July 1, 2012 through June 30, 2017.

Purpose

The intent is to solicit proposals through competitive negotiations to establish a contract for dental store management services effective with the conclusion of the current agreement.

Procurement

A Request for Proposals will be issued in compliance with all State and University procurement regulations. Based on proposal responses, a contract for the operation of the dental supply store will be recommended for approval by the RFP committee. The term of the contract will not exceed fifteen years with initial contract and renewal terms based upon mutual agreement of the parties.

Recommendation

Approve the competitive solicitation of proposals to secure a viable and quality dental store operation. The anticipated sales value of the contract is approximately \$3 million per fiscal year.

**Board of Visitors Executive Summary
December 2016**

PRESENTATION TITLE: Request for Approval of Sole Source Acquisition	
Presenter Name and Title: Alex Henson, Chief Information Officer	
Responsible University Division: Technology Services BOV Committee: Finance, Budget and Investment	
Quest Theme(s) and Goal(s) to be Addressed:	
Key Presentation Messages [Limit presentation to 5 min]	The university seeks BOV approval to re-procure services and software maintenance from Ellucian, publisher of Banner Enterprise Requirements Planning software suite for Higher Education Banner -Current contract expires June 30, 2017 -Anticipated annual contract amount: \$625,000 -Term of five years with additional five-year renewal options, upon mutual agreement
Governance Implications	Due to anticipated contract costs or revenues, BOV approval is required.
Governance Discussion Questions	None.
Enterprise Risk Management	Enterprise risks are minimal.
Next Steps for Management (Responsible Division Head; Timeframe for Action)	Renegotiate and award master contract and software maintenance agreement which meets the university's needs.
Next Steps for Governance (Responsible Board Member; Timeframe for Action)	None.
Meeting Notes	

**APPROVAL for Sole Source Acquisition
Ellucian Banner Software Maintenance and Services
Term Contract**

Item

The University seeks BOV approval to renegotiate the terms and conditions of and award master agreement terms with Ellucian, publisher of the Banner Enterprise Requirements Planning software suite for Higher Education. As part of the resulting master agreement, VCU will re-procure services and software maintenance from Ellucian. The anticipated annual contract amount is \$625,000 with an anticipated term of five years.

Background

The sole source Ellucian Commonwealth of Virginia Master Agreement for Banner and third party products used with Banner was initially awarded in 2002. Ellucian contract terms are for five (5) years with the Master Agreement terms as follows:

July 1, 2002 - June 30, 2007

July 1, 2007 - June 30, 2012

July 1, 2012 - June 30, 2017

Banner continues to be a market leader and viable platform, and the software meets VCU's requirements for managing the financial, HR, and student-related functions of VCU. It has been determined that renewing the agreement for another five years is preferable to considering implementing alternate software at this time.

Purpose

To renew current Ellucian Commonwealth of Virginia Master Agreement and Banner software maintenance agreement and to renegotiate terms and conditions for any additional procurements of software and/or services from Ellucian.

Procurement

VCU is non-competitively negotiating the new Ellucian Commonwealth of Virginia Master Agreement because there are not any remaining renewal options on the current Master Agreement. The initial term of the new Master Agreement is planned for July 1, 2017 to June 30, 2022.

Recommendation

Approve the renegotiation and award of master contract and software maintenance agreement with Ellucian which meets the university's needs.

VCIMCO

Investment Risk Discussion

Finance and Budget, Karol Kain Gray, December 9, 2016

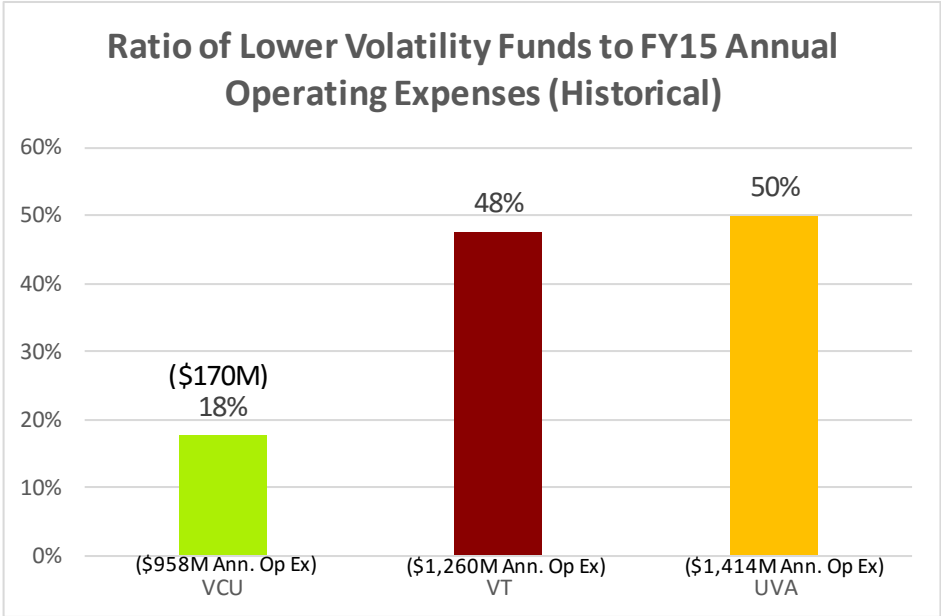
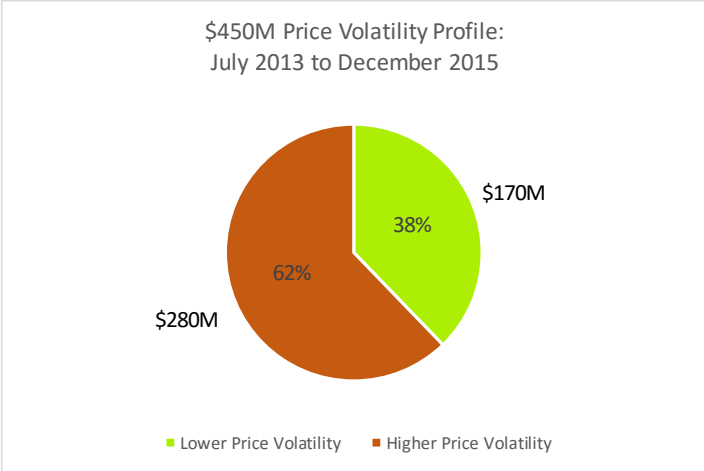
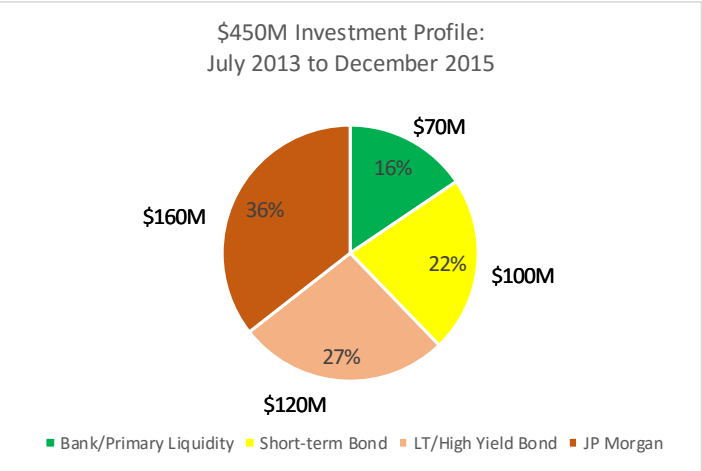


VCU

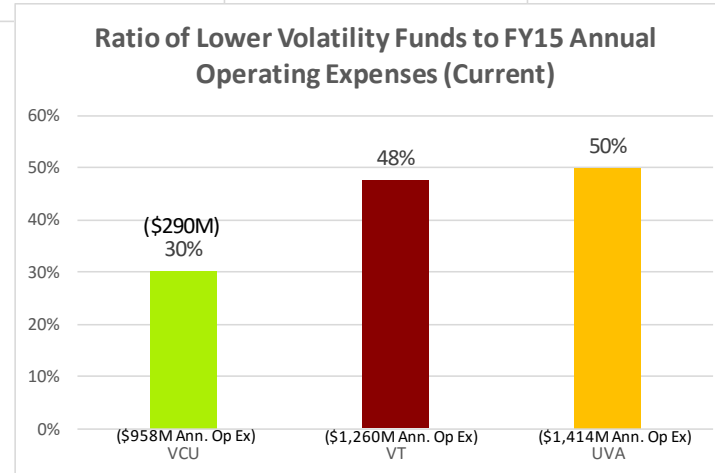
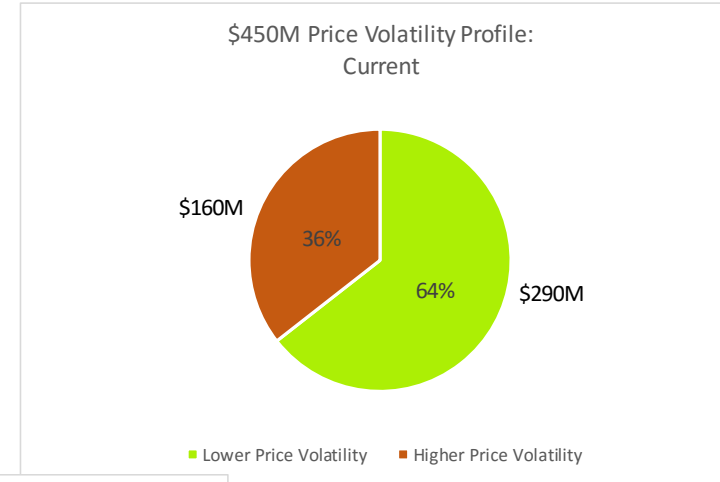
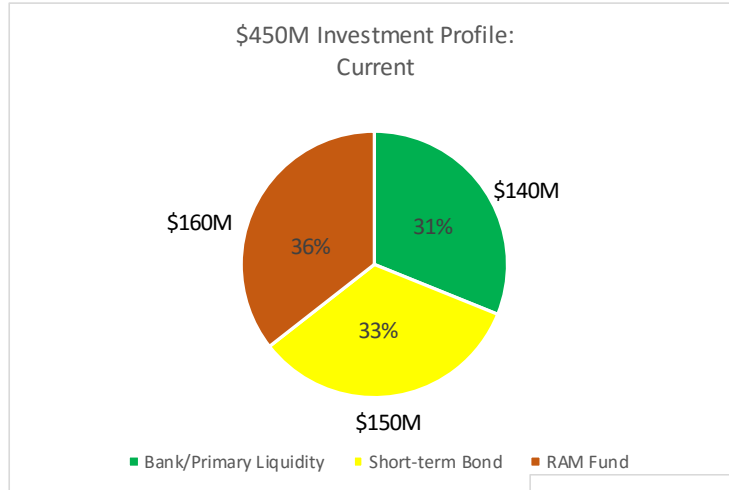
Background: VCU's Cash & Investments

- As reported at the September FBI meeting, VCU had approximately **\$500M** of total cash & investments.
- Of this **\$500M**, about **\$50M** is endowed funds (i.e. the Glasgow Endowment).
- The remaining **\$450M** includes all the funds that the University uses to operate itself in a given year, plus departmental deposits, local funds, reserves, and auxiliary funds.
- The University also counts on interest/income earned on this **\$450M** to fund approximately **\$4.3M** in departmental budgets for FY17. This includes approximately \$1.8M for Development and Alumni Relations, and approximately \$1.2M for various Presidential initiatives, including the Presidential Scholars.
- The purpose of this presentation is to seek the FBI Committee's direction as to the appropriate portion of the University's non-endowed cash and investments to be treated as endowment ("quasi-endowment") and placed in long-term investment vehicles.

Historical Non-Endowed Cash & Investments



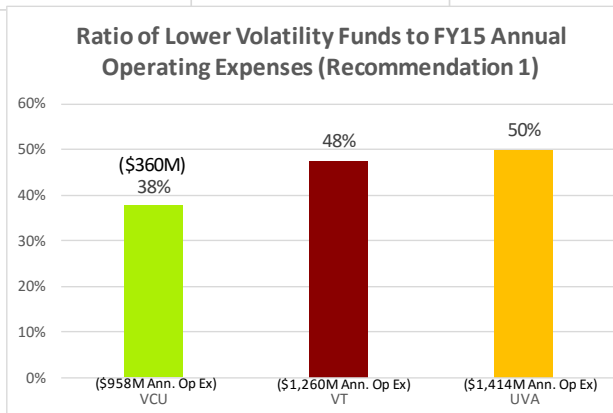
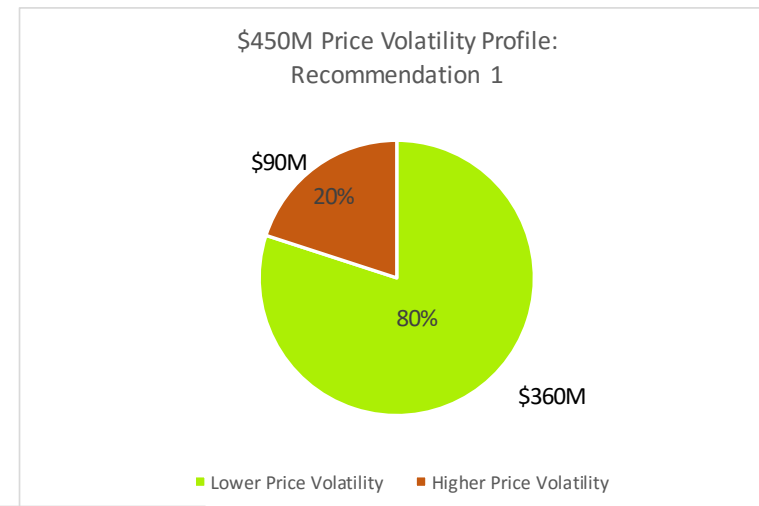
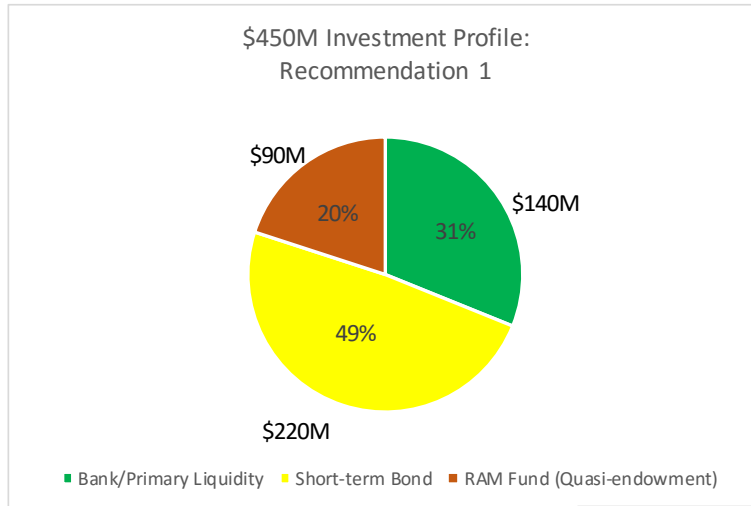
Current Non-Endowed Cash & Investments



Risk/Return Profile

	Bank/Primary Liquidity	Short-Term Bond	Ram Fund	Total
Expected Return: Real	-2.1%	-0.8%	4.0%	0.5%
Nominal	0.3%	1.5%	6.3%	2.8%
Volatility	0.0%	1.5%	10.0%	4.1%
Downside	0.0%	-3.0%	-18.4%	-7.6%
Allocation	31%	33%	36%	100%

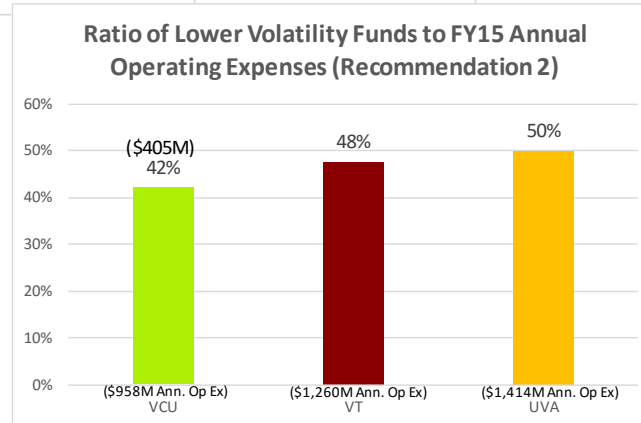
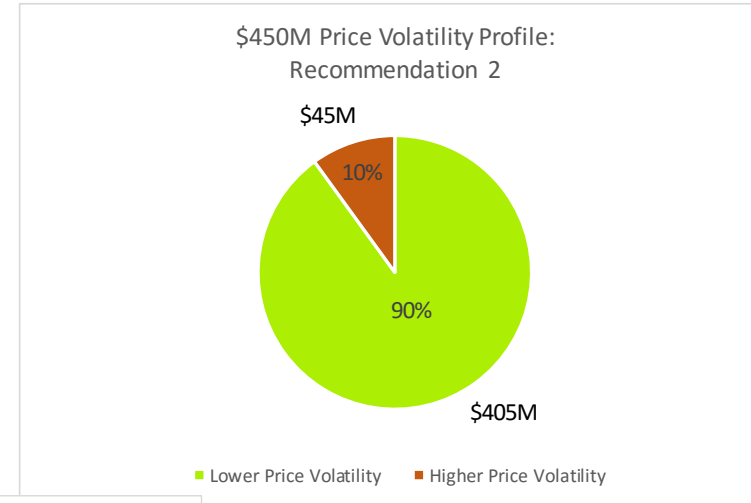
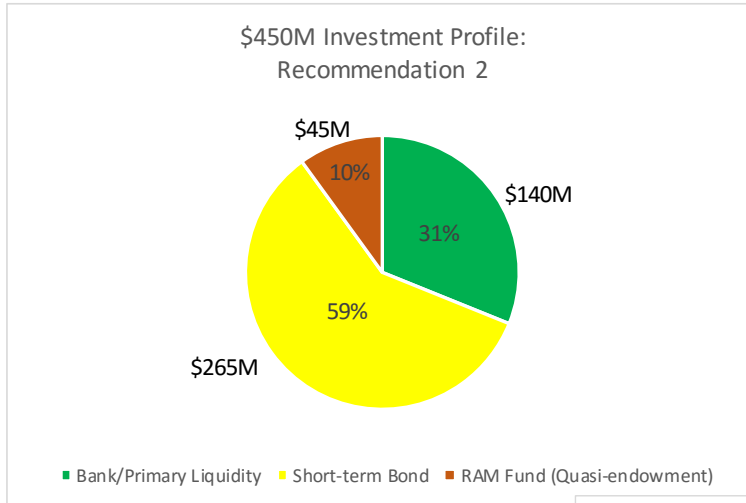
Recommendation 1:



Risk/Return Profile

	Bank/Primary Liquidity	Short-Term Bond	Ram Fund	Total
Expected Return: Real	-2.1%	-0.8%	4.0%	-0.2%
Nominal	0.3%	1.5%	6.3%	2.1%
Volatility	0.0%	1.5%	10.0%	2.7%
Downside	0.0%	-3.0%	-18.4%	-5.2%
Allocation	31%	49%	20%	100%

Recommendation 2:



Risk/Return Profile

	Bank/Primary Liquidity	Short-Term Bond	Ram Fund	Total
Expected Return: Real	-2.1%	-0.8%	4.0%	-0.7%
Nominal	0.3%	1.5%	6.3%	1.6%
Volatility	0.0%	1.5%	10.0%	1.9%
Downside	0.0%	-3.0%	-18.4%	-3.6%
Allocation	31%	59%	10%	100%

Recommendation

- The Vice President for Finance and Budget recommends that \$90 million of VCU's Non-General Fund Reserves and Balances (currently approximately 20% of VCU's non-endowed cash and investments) be invested in long-term investment vehicles, to be treated as endowment ("quasi-endowment").
- If the FBI committee adopts this recommendation, two actions must be approved:
 1. Designation of \$90 million as quasi-endowment for long term investment.
 2. Direct the administration to work with VCIMCO to place funds that are not designated as quasi-endowment into short-term investments as defined in the VCU Investment Policy.

RESOLUTION OF THE BOARD OF VISITORS OF
VIRGINIA COMMONWEALTH UNIVERSITY

APPROVAL OF DESIGNATION OF FUNDS AS QUASI-ENDOWMENT AND
REBALANCING OF FUNDS INVESTED BY VCU INVESTMENT MANAGEMENT
COMPANY

WHEREAS, on December 11, 2015, the Board approved the deposit of funds with the VCU Investment Management Company (“VCIMCO”) and delegation to VCIMCO of management and investment of the funds deposited with VCIMCO;

WHEREAS, pursuant to the VCU Interim Investment Policy, the Office of the Vice President for Finance and Budget must perform ongoing analysis and monitoring to recommend to the Board a prudent split between the Short-Term and Long-Term investments; and

WHEREAS, the Vice President for Finance and Budget has recommended certain modifications regarding the University’s Long-Term investments, and the Board now desires to designate certain funds to be treated as endowment (quasi-endowment) for long-term investment and rebalance any funds not deemed quasi-endowment that are invested in long-term investments.

NOW, THEREFORE BE IT RESOLVED BY THE BOARD OF VISITORS OF VIRGINIA COMMONWEALTH UNIVERSITY:

1. The Board hereby designates \$90 million of the University’s Non-General Fund Reserves and Balances (currently approximately 20% of the University’s total non-endowed cash and investments) to be treated as endowment (“quasi-endowment”) and invested in long-term investment vehicles.
2. The Board directs the Vice President of Finance and Budget to work with VCIMCO on placement of funds that are not designated as quasi-endowment into investment vehicles consistent with the short-term tier as defined in the VCU Investment Policy.
3. This Resolution shall take effect immediately upon its adoption and remain consistent with the VCU Investment Policy.

Resolution Regarding Fossil Fuels

**RESOLUTION OF THE BOARD OF VISITORS OF
VIRGINIA COMMONWEALTH UNIVERSITY
Fossil Fuels Investments
December 2016**

WHEREAS Students concerned about sustainability and the environment, through their various elected representative councils at Virginia Commonwealth University, have endorsed ultimate divestment by the University in fossil fuels and reinvestment in alternative and renewable energy sources; and

WHEREAS Students have asked the Board of Visitors (“Board”) to establish a policy of no new direct investments in fossil fuels with an ultimate goal of complete direct divestment from fossil fuel industries; and

WHEREAS The Board created VCIMCO as the University’s investment management company to prudently and expertly manage university resources for the benefit of the University and its students, faculty, and staff; and

WHEREAS VCIMCO has already embarked on a course of careful investments in alternative energy and related companies as a matter of prudent investment strategy and has no current plans for new direct investments of assets in fossil fuel industries, and

WHEREAS Review of decisions made by other university governing boards regarding divestment policy requests makes clear that important policy goals can be achieved through investment actions of both divestment and intentional investment/engagement; and

WHEREAS The Board believes it is critically important that VCIMCO employs its investment expertise and sound professional judgment for the good of the University.

NOW, THEREFORE BE IT RESOLVED BY THE BOARD OF VISITORS OF VIRGINIA COMMONWEALTH UNIVERSITY:

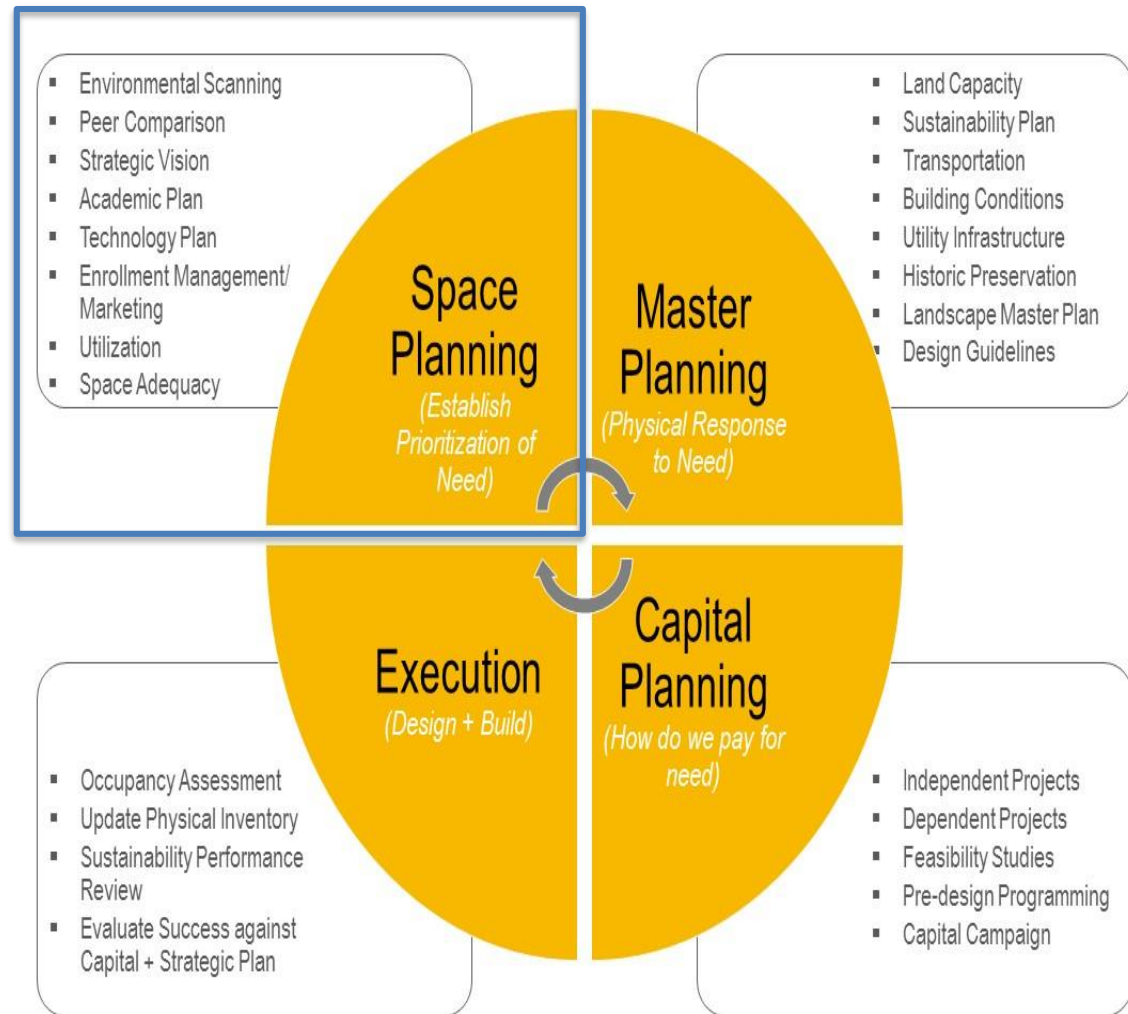
1. The Board hereby expresses its appreciation for the thoughtful work of student advocates and representatives who have taken the time to outline concerns about sustainability and the environment.
2. The Board supports VCIMCO’s consideration of alternative energy resources and companies as part of its development of sound investment strategies for the benefit of the University.
3. The Board expects VCIMCO to consider the broad impact of its investment of University resources and will assess VCIMCO’s performance in light of such factors.

Master Site Plan Update

Open Session – For Information

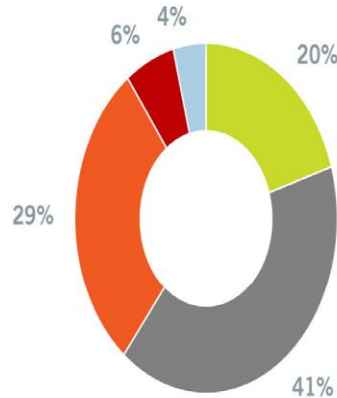
7. Master Site Plan Update

Continuous Cycle of Planning and Execution

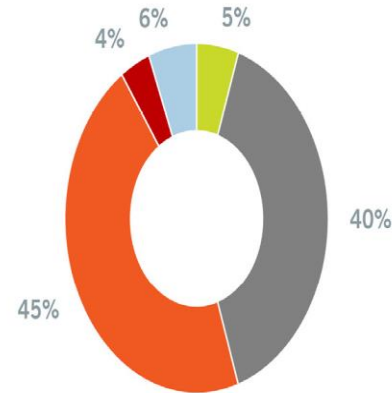


Space Adequacy by Space Summary

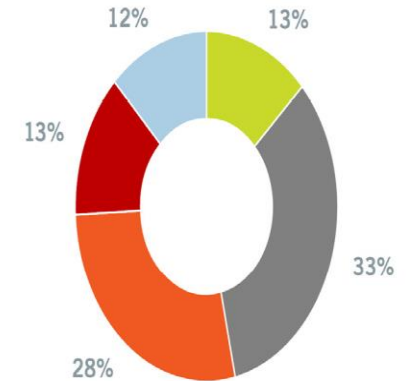
- 35% of space assess is Below Average or Poor – 1,000,000 NASF
- Life Sciences, Dentistry, Government + Public Affairs, Humanities + Sciences had 75% of their space rated as Below Average or Poor
- Academic Units are in worse shape than Administrative Units



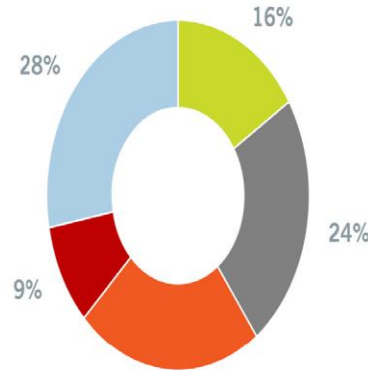
Instructional Space



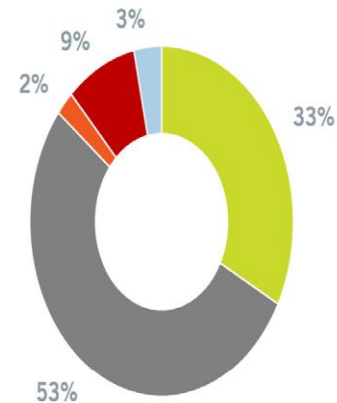
Research Labs



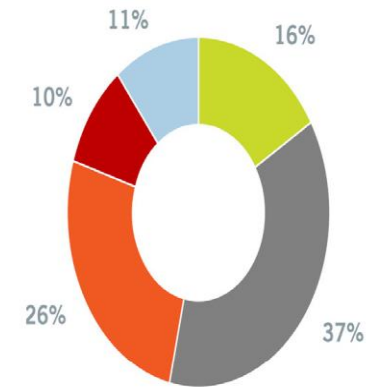
Other Academic Space



Support Space



Student Space Inc Athletics



TOTAL

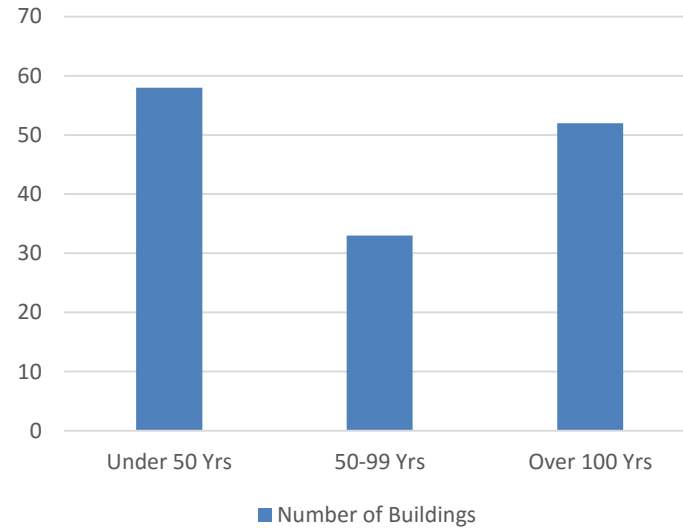
Space Needs Assessment Observations

- Many classrooms feel undersized due to the number of seats in the rooms. Many classrooms need to be modernized.
- The class laboratories for the basic sciences are utilized very well. The STEM building is much needed, especially if the student population continues to grow but it won't meet all the need.
- Maker spaces are lacking at VCU in many of the disciplines including Engineering, Medicine, and the Arts. Maker space could be incredible opportunities for interdisciplinary collaboration.
- The performance spaces do not match the quality of the Arts programs, especially in the Singleton Center.
- Exhibition space is a significant need.
- There is a need for additional recreational space. Current demand is stressing existing space particularly during peak times.
- Quality of space is a major issue, especially on Franklin Street and at the MCV campus.
- There is potential to transition to open-office environments in some units.
- Additional space will be needed in: Research Laboratory Space; Student Centered Space; and Office Conference Room Space

of Buildings & Percent of Gross Square Footage by Age

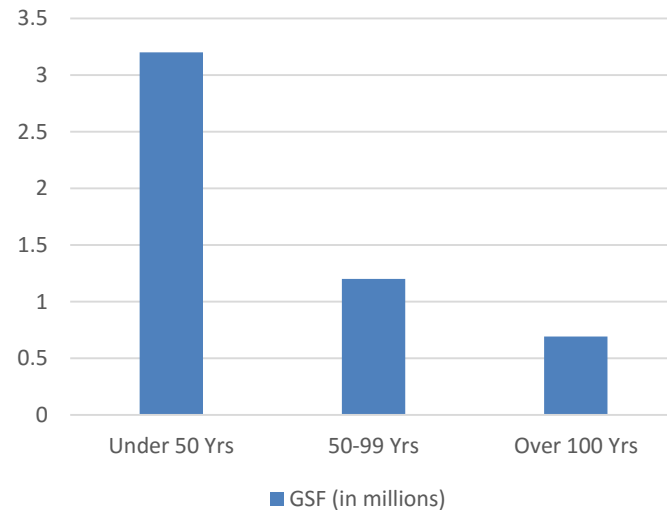
60% Buildings over 50 years

Number of Buildings

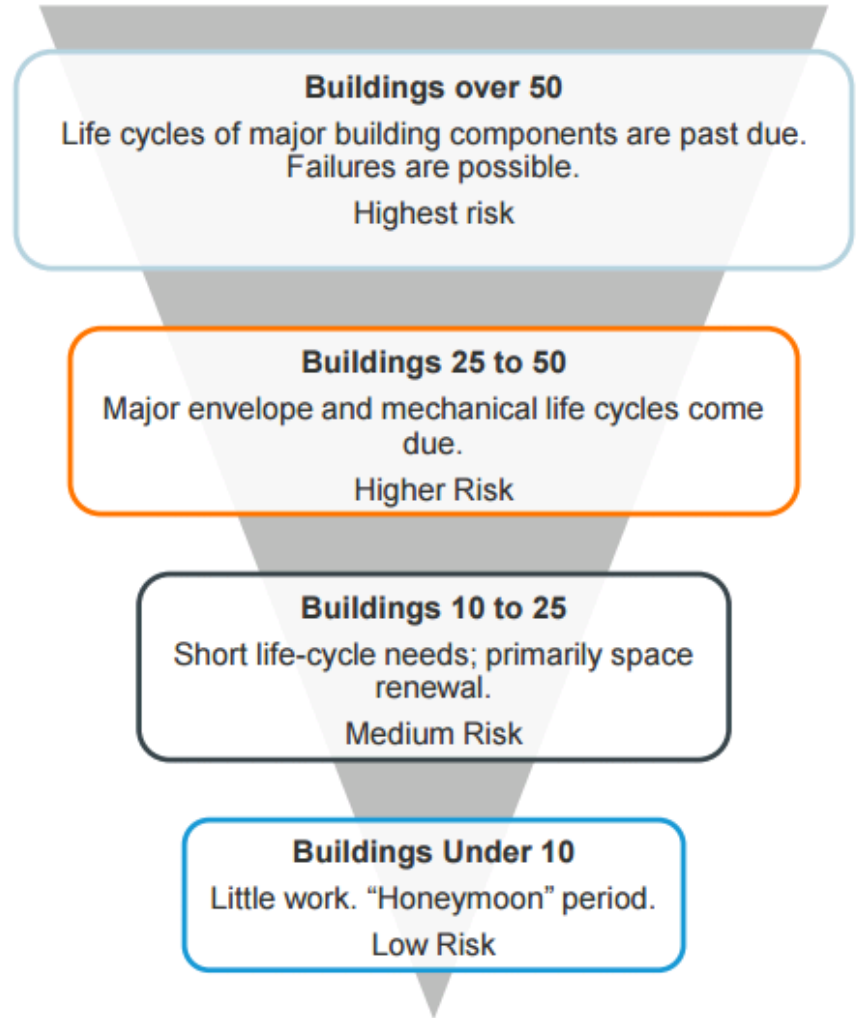
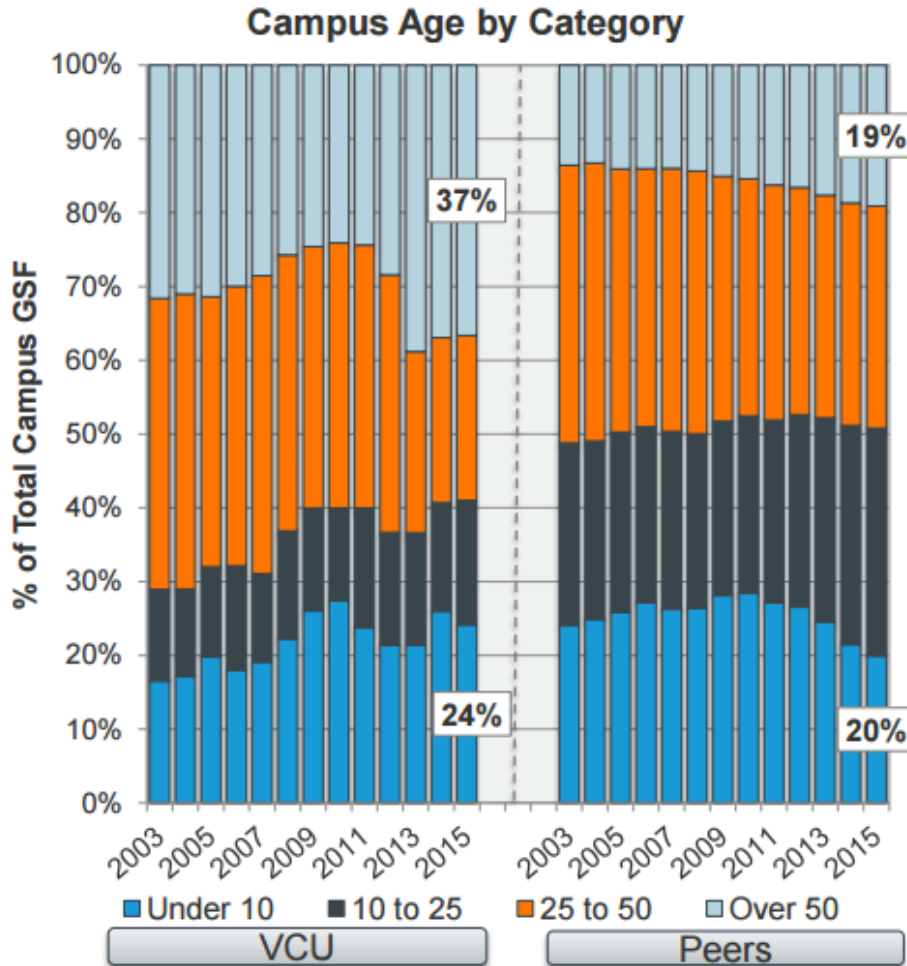


38% of GSF over 50 years

Gross Square Footage (in millions)



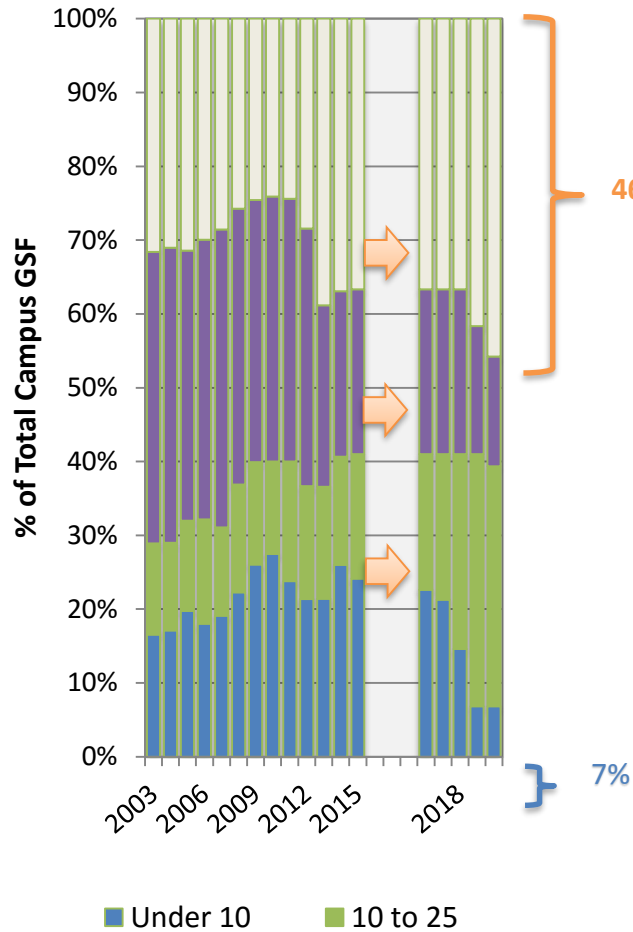
Campus Age Profile



Projecting Campus Age

Rapid polarization over the course of just 5 years

Campus Age by Category

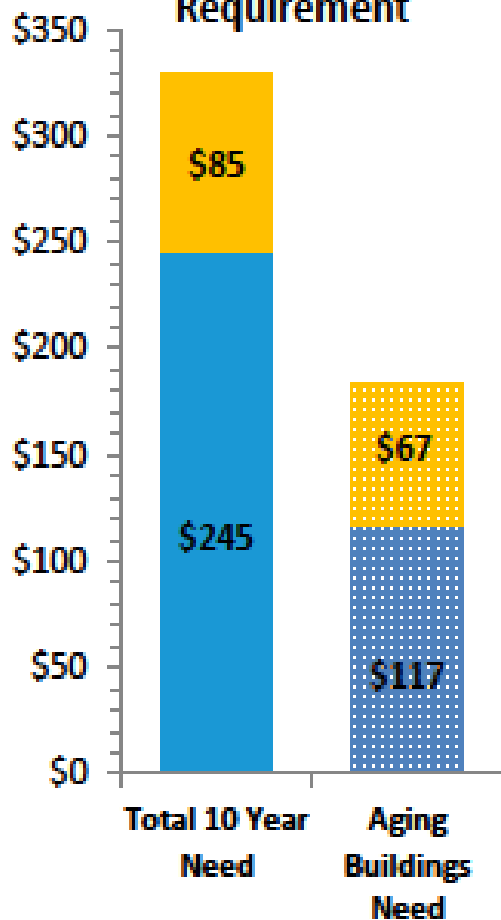


Largest Buildings on Campus at Risk of System Failure

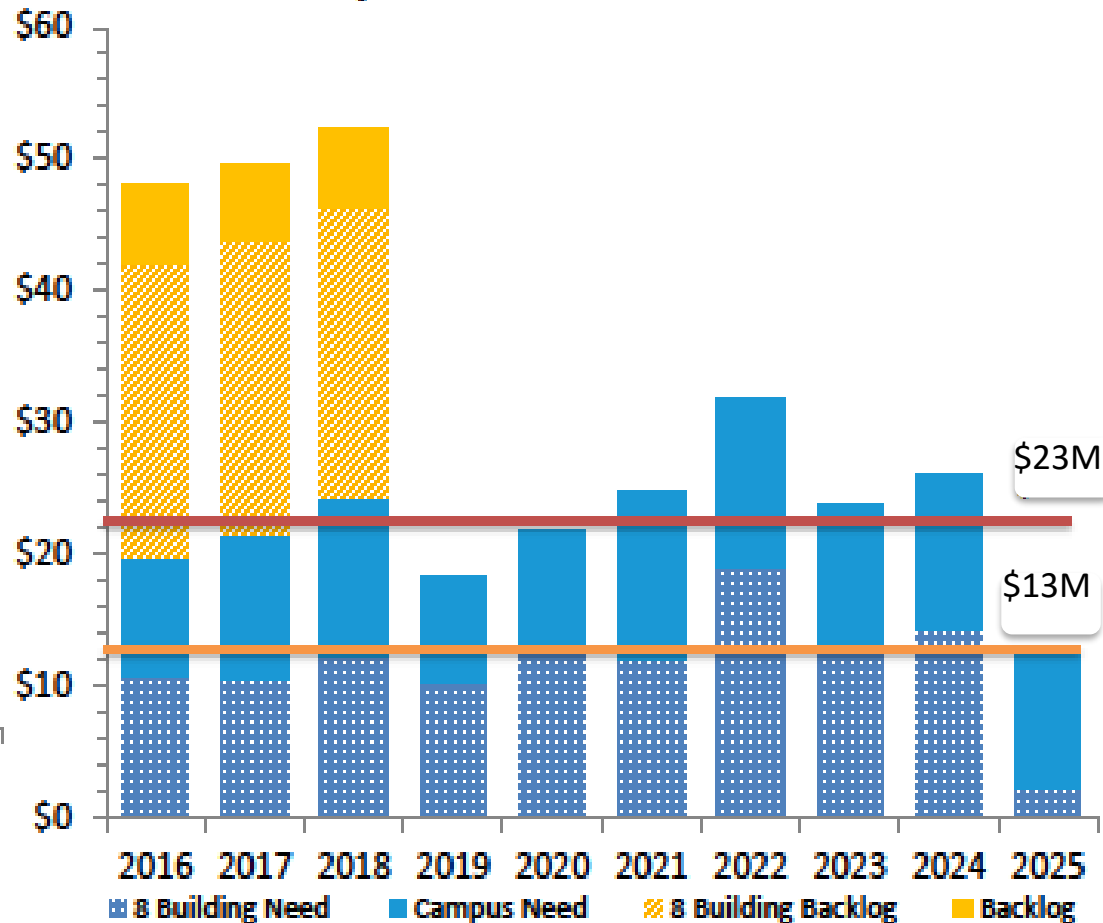
Building	GSF	Age
Sanger Hall	512,517	57
West Hospital	316,719	80
James Branch Cabell Library	210,432	50
Franklin Street Gymnasium	127,971	51
Lyons Dental Building	121,415	51
McGuire Hall & Annex	101,067	108
Wood Memorial Building	94,641	67
Tompkins-McCaw Library	86,949	88

Total 10 Year Capital Needs: \$330M (2016-2025)

10 Year Total Capital Requirement

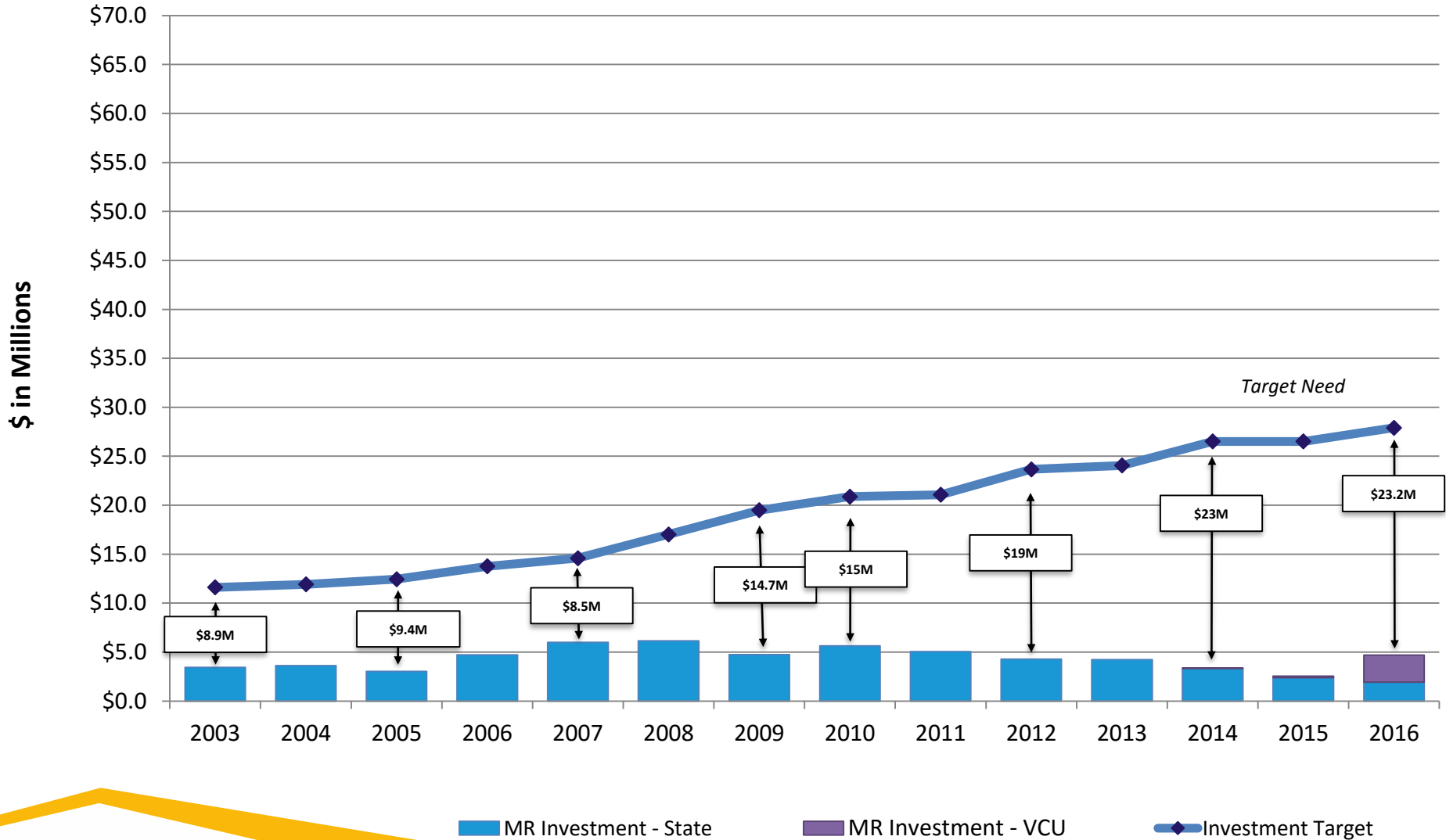


Total Projected Need FY16-FY25



Growth in Deferred Maintenance a Result of Reduced MR Spending

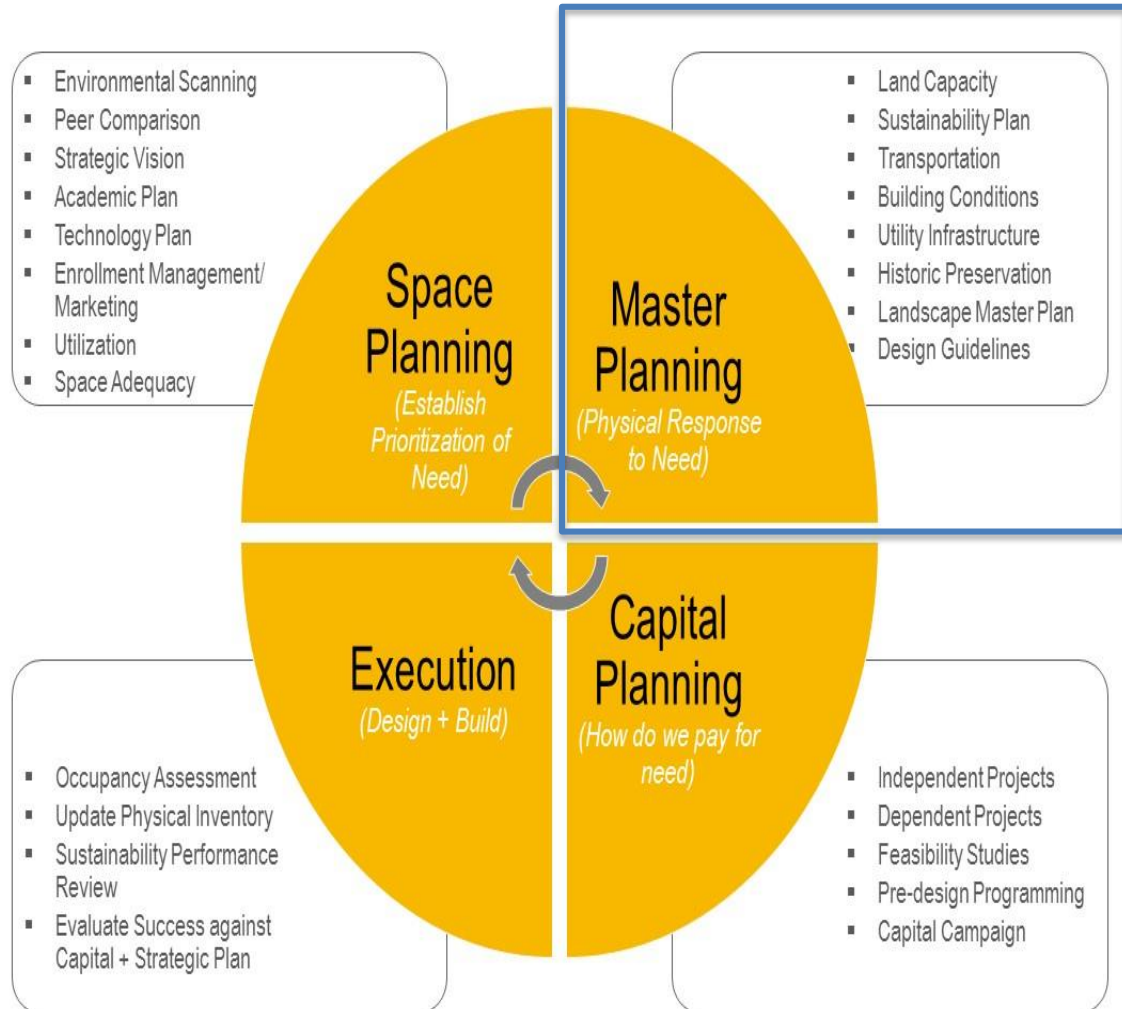
MR Spending Versus Annual Stewardship Funding Target



Open Session – For Information

7. Master Site Plan Update

Continuous Cycle of Planning and Execution



Open Session – For Information

7. Master Site Plan Update Next Steps

- Create an open, thoughtful, transparent and inclusive process
- Establish Governance
- Prepare and begin implementing communications plan
- Issue Master Plan RFP
- Align timeline with University Strategic Plan
- Engage VCU and external stakeholders
- Process will continue over the next two years

State Budget:

State Budget Reductions FY 2017 & FY 2018

	FY 2017 one - time	FY 2018 permanent	FY 2018 one - time	FY 2018 total
<u>Total State Reduction</u>	<u>\$ 4,160,143</u>	<u>\$ 15,354,558</u>	<u>\$ 2,140,631</u>	<u>\$ 17,495,189</u>
University E&G from 7.5%	-	12,823,872	-	12,823,872
State restricted funds 7.5%	-	1,581,489	-	1,581,489
University E&G from VRS	2,702,539	-	1,801,693	1,801,693
Other Funds from VRS	508,408	-	338,939	338,939
subtotal General Funds reduction	<u>3,210,947</u>	<u>14,405,362</u>	<u>2,140,631</u>	<u>16,545,993</u>
Credit card income loss of rebate	200,000	200,000	-	200,000
Tuition & Fees interest income loss	749,196	749,196	-	749,196
Total State Reduction	<u>4,160,143</u>	<u>15,354,558</u>	<u>2,140,631</u>	<u>17,495,189</u>
<u>Impact on University</u>				
University E&G*	2,702,539	12,823,872	1,801,693	14,625,565
% reduction General Fund support	1.6%	7.5%	1.1%	8.6%
% reduction of University E&G	0.49%	2.34%	0.33%	2.67%

*Excludes financial aid, VCUQ and funding for items restricted by state (e.g., Massey funding) and VRS monies on other funds;

New Budget Model Update

Draft Dec NBM update to bov 11-3-16

New Budget Model Update: Winter 2016

Finance & Budget, Karol Kain Gray, December 9, 2016



VCU

New Budget Model Progress

Model development on target for FY 2018

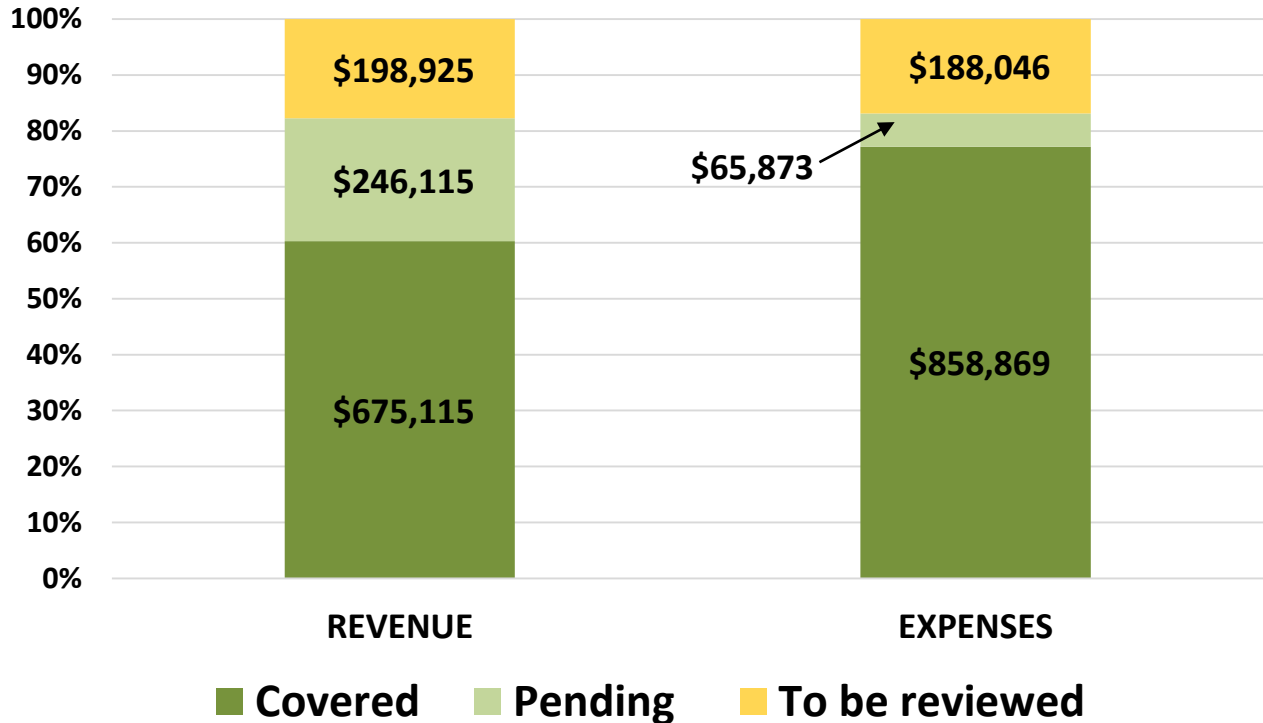
Working Group recommendations completed

Modeling started covering 60% of revenue, 75% of expenses:

- ✓ Tuition
- ✓ Financial Aid
- ✓ Research Expense and Overhead
- ✓ Central Cost Allocation

New Budget Model Progress

Scope and Status of Recommendations



(Based on FY2017 budget plan)

Progress on the Budget Redesign

- Communication plan on target for December 2016 launch
Website – www.budgetupdate.vcu.edu
- Model infrastructure and execution on target for July completion

New Budget Model Progress

Next Steps:

- Steering Committee will review task force recommendations
- Funds analysis
 - auxiliary funds by February
 - restricted funds by June
- Scenario testing and report development by April
- System software development by April
- Stakeholder meetings will continue for communication and input

Annual Report on Debt Management

**Board of Visitors Executive Summary
December 9, 2016**

PRESENTATION TITLE: Report on Debt Management	
Presenter Name and Title: Karol Gray, Vice President for Finance and Budget	
Responsible University Division: Treasury Services BOV Committee: FBI Committee	
Quest Theme(s) and Goal(s) to be Addressed: Themes I and II	
Key Presentation Messages [Limit presentation to 5 min]	<ol style="list-style-type: none"> 1. The enclosed report provides an overview of the university's outstanding debt as of June 30, 2016, (\$470.8 million) and summarizes new debt issuances and refinancing during FY 2016. 2. The report includes a required annual review of the university's debt burden ratio and an analysis of various risk elements pertaining to the oversight of debt as required in the university's Debt Management Policy. 3. There are no material debt compliance matters or debt risk exposure requiring the immediate attention of the Board of Visitors.
Governance Implications	The Board of Visitors has a fiduciary responsibility with regard to the issuance and management of University debt.
Governance Discussion Questions	None
Enterprise Risk Management	The report is aimed at the Enterprise Risk Academic Funding "Risk that the university funding profile does not change to meet an evolving environment (state appropriations, tuition and fees, etc.). The prudent management of debt is a key factor in the University's financial health.
Next Steps for Management (Responsible Division Head; Timeframe for Action)	Continue to monitor risks associated with debt.
Next Steps for Governance (Responsible Board Member; Timeframe for Action)	None
Meeting Notes	[Leave Blank]

Report on Debt Management As of June 30, 2016

Finance and Budget, Karol Gray, December 9, 2016



VCU

Executive Summary

The Debt Management Policy was last approved by the Board of Visitors on September 19, 2013. The policy requires the University to annually report the following:

- Outstanding Debt (pages 3-4) - **No Concerns**
- FY2016 Debt Issuances and Refinancing (pages 5-7) – **No Concerns**
- Debt Burden Ratio, Future Debt Issuance, and Maximum Allowable Debt Issuance (page 8) – **No Concerns**
- Concentration Risk Matrix (page 9) – **No Concerns**
- Committed Debt (page 10) – **No Immediate Concerns**
- Evaluation of Interest Rate Swap Agreements (pages 11-13) – **No Immediate Concerns**
- Tax-Exempt Debt Compliance (page 13) – **No Concerns**
- Financial Ratios (to be presented prior to the issuance of additional long-term bonds) – **No Concerns**

Outstanding Debt

(As of June 30, 2016 - in millions)

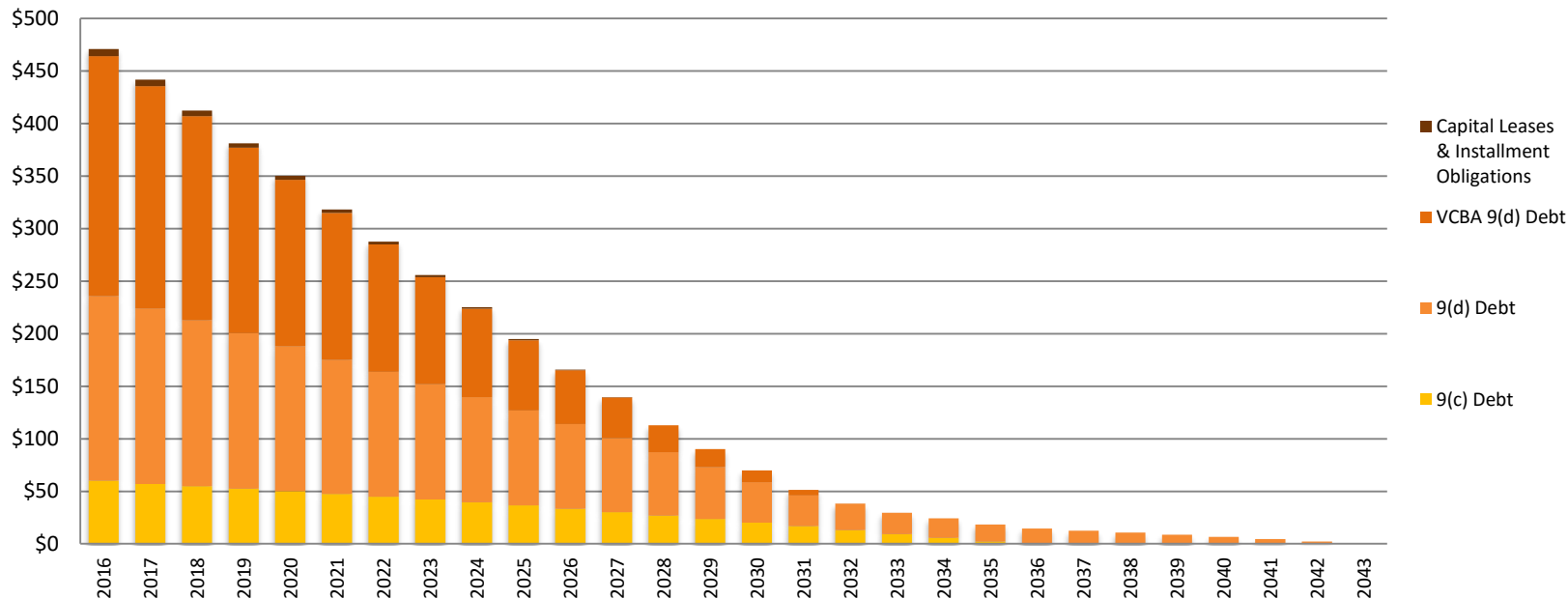
	<u>FY 2016</u>	<u>FY 2015</u>
Virginia College Building Authority Pooled Bonds 9(d) (State)	\$ 228.2	\$ 244.0
Commonwealth of Virginia G.O. Bonds 9(c) (State)	60.2	63.6
VCU General Revenue Pledge Bonds 9(d)	175.5 ¹	171.9
Capital Leases & Installment Obligations	6.9	8.3
Total	<u>\$ 470.8</u>	<u>\$ 487.8</u>
Fixed Rate Debt	\$ 413.0	\$ 427.3
Synthetically Fixed Rate Debt	57.8	60.5
Total	<u>\$ 470.8</u>	<u>\$ 487.8</u>

¹ Increase due to the issuance of Series 2015B bonds.

Outstanding Bond Principal Repayment

Bond Principal Outstanding as of June 30, 2016

(\$ in millions)



- Amortization of bond principal over time, assuming no additional debt is issued
- Approximately \$30 million per year of bond principal retired
- During the next 5 years, over \$152 million will be retired (32%)
- During the next 10 years, over \$305 million will be retired (65%)

FY2016 Debt Issuance Summary

Series 2015B

As approved by the Board of Visitors, the University issued the \$12,879,000 Series 2015B bonds on December 18, 2015 as a direct placement with TD Bank at a tax-exempt rate of 2.254%.

Projects Financed	Par Amount	Rate	Amortization Period	Type
AdCenter, Former Commonwealth Cancer Building, Cathedral Properties, TAB, Media General, Sahara	\$12,879,000 (\$6.193M re-fi, \$6.686M new money)	2.254%	20	9d

FY 2016 Line of Credit Usage

- On June 17, 2014, the University entered into a \$60 million taxable line of credit with PNC Bank to provide short-term financing for capital projects authorized by the Board.
 - Rate : 1-month LIBOR plus 55 basis points
 - Quarterly Unused fees : 10 basis points
 - Expiration date : July 17, 2019
- The outstanding balance on the line is currently \$8.6 million (consisting of construction expenses for the Basketball Training Facility) leaving a total available balance of \$51.4 million.
- The University plans to draw down approximately \$25.5 million more for three additional capital projects, as previously authorized by the Board:
 - ICA (\$9.1 million)
 - School of Allied Health Professions (\$10.8 million)
 - Engineering Research Building Expansion – detailed planning - (\$5.6 million)
- In addition, once the state gives construction authorization for the Engineering Research Building Expansion project, the University intends to bring a subsequent resolution to the Board to authorizing additional use of the line for construction expenses for this project.

FY2016 Debt Refinancing Summary

Series 2015B – VCBA Refunding Bonds Series 2009A

On December 3, 2015, the VCBA sold the Series 2015B Education Facilities Revenue Refunding Bonds, a portion of which was used to refinance the University's Series 2009A bonds. Pricing resulted in a present value savings of \$724,614, with an old interest rate of 4.21% and a new interest rate of 2.71%

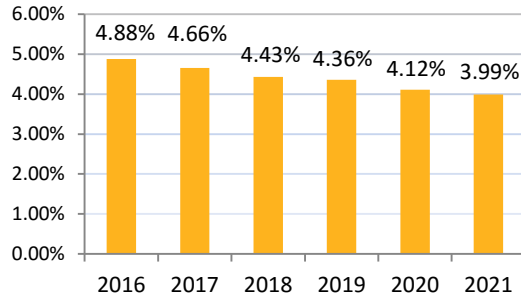
Debt Refinanced	Original Series	Par Amount of Refunding Bonds	Total PV Savings for VCU	Type
Medical Science Building Phase II (MMRB – Molecular Medicine Research Building)	2009A	\$7,700,000	\$204,772	VCBA 9d
Construct Monroe Park & MCV Campus Recreation Facilities (Cary Street Gym & Larrick Center)	2009A	\$16,550,000	\$519,842	VCBA 9d

Debt Burden Ratio, Future Issuances, & Maximum Issuance

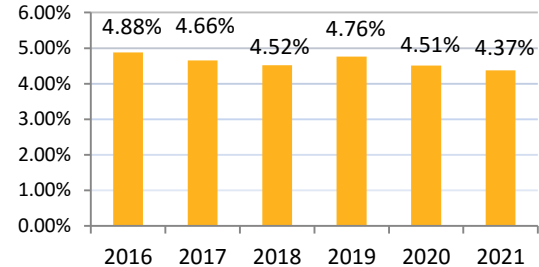
(Current Debt Service as a % of Projected Operating Expenses)

Annual Debt Service must not exceed 6% of operating expenses

Current Issuances Only



Current Issuances + Allied Health and Engineering



	Maximum Ratio	Projected Debt Burden Ratio (Current Issuances Only)	Max Allowed Additional Issuance (Current Issuances Only)	Projected Debt Burden Ratio (Current Issuances + Allied Health and Engineering)	Max Allowed Additional Issuance (Current Issuances + Allied Health and Engineering)
FY2016	6.0%	4.88%	\$172,490,096	4.88%	\$172,490,096
FY2017	6.0%	4.66%	\$212,567,400	4.66%	\$212,567,400
FY2018	6.0%	4.43%	\$254,809,137	4.52%	\$241,220,623
FY2019	6.0%	4.36%	\$274,138,940	4.76%	\$206,448,009

Assumptions: 2016 operating expenses taken from the Draft FY2016 Financial Statements. Per the Office of Budget and Resource Analysis, projected operating expenses for subsequent years assume an average 2.71% growth rate.

Annual debt service for the \$10.8 million School of Allied Health Professions project is expected to begin in FY18 and the \$43 million School of Engineering Research Expansion project is expected to begin in FY19 (assumed interest rate of 5% , 20-year term, 2% cost of issuance).

Concentration Risk Matrix

As of June 30, 2016

The University has diversified its concentration risk on financial institutions providing banking, credit and swap counterparty services.

	State Pooled Issuances	US Bank	Deutsche Bank	Capital One	Davenport & Company	PNC Bank	TD Bank/ Securities	Wells Fargo	VCIMCO/ Northern Trust	JP Morgan	Mercer
Private Placement Debt		2012 A&B: 12.3% of debt		2013 B&C: 3.5% of debt		2014 B: 1.9% of debt	2015A&B: 8.1% of debt				
Public Placement Debt	Multiple: 62.6% of debt				2014A: 7.9% of debt		2013A: 3.7% of debt				
Line of Credit						Taxable Note					
Swap (Debt) Counterparty			2012 A&B								
Investment Advisory									\$199M held for Glasgow & Operating Pool	\$15M held for Glasgow & Operating Pool	\$196M under advisement
Custodian		\$196M for Operating Pool									
General Banking								~ \$150K in annual fees			

Committed Debt

- Committed debt is defined as debt that is either committed to maturity (without a put) or has a put that is exercisable more than two years from now.
- Per the Debt Management Policy, committed debt must be greater than 70% of total debt
- 100% of the University's debt is currently considered committed.
- In November 2012, VCU refinanced its 2006A&B Bonds. The Refunding Bonds Series 2012A&B were:
 - School of Engineering, \$40,185,000 Series 2012A
 - School of Business, \$25,480,000 Series 2012B
- The 2012A&B Bonds have a put date of 5/20/2019, with a potential redemption amount of \$51,915,000, should the University be unable to refinance these bonds.
- Although these bonds are currently considered "committed debt" (because the put date is more than two years from now), on 5/20/17, this will become uncommitted debt.

Swap Agreements, Performance, and Termination Values

- In 2006, VCU issued its Series 2006A&B Bonds and also entered into two floating-to-fixed interest rate swap agreements with Deutsche Bank:
 - School of Engineering, \$45,800,000 Series 2006A (current notional \$35,510,000)
 - School of Business, \$29,000,000 Series 2006B (current notional \$22,275,000)
- The School of Engineering and School of Business Foundations pay VCU for all debt service costs on the bonds and the swaps.

Variable Rate Paid to Bondholders (75% of LIBOR + 64 bp)	1.035%
Less Floating Rate Received from DB (67% of LIBOR)	(0.353%)
Plus Fixed Rate paid to DB	<u>3.436%</u>
All-in Rate	<u>4.118%</u>
Termination Value:	
Value of Swap (09/30/16): Series 2012A	\$ (6,800,660)
Value of Swap (09/30/16): Series 2012B	<u>\$ (4,262,939)</u>
Total Termination Value	<u>\$ (11,063,599)</u>

Swap Compliance and Counterparty Risk Exposure

- VCU can terminate the swaps with Deutsche Bank with foundation approval at any time provided the foundations pay the costs to unwind the swaps, approximately \$11.1 million as of September 30, 2016.
- Deutsche Bank can terminate the swaps if VCU's credit rating falls below "BBB" or "Baa2". VCU is currently rated Aa2 by Moody's and AA- by Standard & Poor's.
- At the time the swap contracts began, Deutsche Bank met VCU's policy requirement that counterparties hold a minimum rating of "Aa3" or "AA-" by one of the nationally recognized rating agencies and not rated lower than "A2" or "A" by any nationally recognized rating agencies. Deutsche Bank was subsequently downgraded and is currently rated "Baa2" by Moody's and "BBB+" by Standard & Poor's.
- Per the Debt Management Policy, total interest rate swaps must not exceed 50% of total outstanding debt. As of June 30, 2016, interest rate swaps totaled 12.3% of total outstanding debt.
- There are no collateral postings required.

Tax-Exempt Debt Compliance

- The Tax-Exempt Debt Compliance Policy was adopted by the Board of Visitors on February 9, 2012.
- The policy provides a framework for complying with federal laws relating to the issuance and post issuance monitoring of tax-exempt bonds, addressing the following compliance areas:
 - Expenditure and allocation of bond proceeds
 - Spending requirements and arbitrage rebates
 - Private Business Use
 - Continuing disclosure and other filings
 - Record retention
 - Training
- To monitor Private Business Use, the policy requires the following:
 - Annual distribution of a Private Use Questionnaire to responsible departments to determine whether Private Business Use above allowable thresholds exists (currently underway)
 - Active monitoring of Private Business Use by a Bond Compliance Committee consisting of the individuals from Treasury Services, Facilities Management Division, Controller's Office, Office of the General Counsel and Office of Research (training classes currently underway)
 - University has engaged KPMG to conduct training classes and to improve its process for monitoring private use compliance
- There are no material tax-exempt debt compliance issues that require the attention of the Board of Visitors.

11. Treasurer's Report (Operating Pool, Long-Term Investment Portfolio and Glasgow Endowment Fund as of September 30, 2016). Compliance & Asset Allocation Review, and Cash, Debt & Monitoring Report as of November 30, 2016)

**Board of Visitors Executive Summary
December 9, 2016**

PRESENTATION TITLE: Treasurer's Report	
Presenter Name and Title: Karol Gray, Vice President for Finance and Budget	
Responsible University Division: Treasury Services BOV Committee: FBI Committee	
Quest Theme(s) and Goal(s) to be Addressed: Implement an investment management process that optimizes and leverages returns on institutional assets.	
Key Presentation Messages	<ol style="list-style-type: none"> 1. The Treasurer's Report provides a performance and asset allocation review of the University's investments as of September 30, 2016. 2. Short-Term Tier returned 0.99% compared to its benchmark of 0.66% for the year ending September 30, 2016. 3. Long-Term Tier returned 5.03% compared to its benchmark of 5.04% for the year ending September 30, 2016. The transition of assets to VCIMCO has continued. As of September 30, 2016, VCIMCO has transferred \$199.09 (93%) of \$214.25 million total funds from JP Morgan, with \$15.16 million (7%) remaining to be transferred. JP Morgan hedge fund investments are expected to be fully redeemed by May 2017.
Governance Implications	The Board of Visitors has a fiduciary responsibility with regard to the investment and management of the University's investments.
Governance Discussion Questions	None
Enterprise Risk Management	The agenda item addresses Enterprise Risk: Academic Funding - Risk that the University's funding profile and models do not change to meet an evolving environment (state appropriations, tuition and fees, other sources of revenue). The prudent investment of funds provides additional resources to the University.
Next Steps for Management (Responsible Division Head; Timeframe for Action)	Continue to evaluate university investment asset allocations and performance.

Next Steps for Governance (Responsible Board Member; Timeframe for Action)	None
Meeting Notes	[Leave Blank]

Treasurer's Report As of September 30, 2016

Finance and Budget, Karol Gray, December 9, 2016



VCU

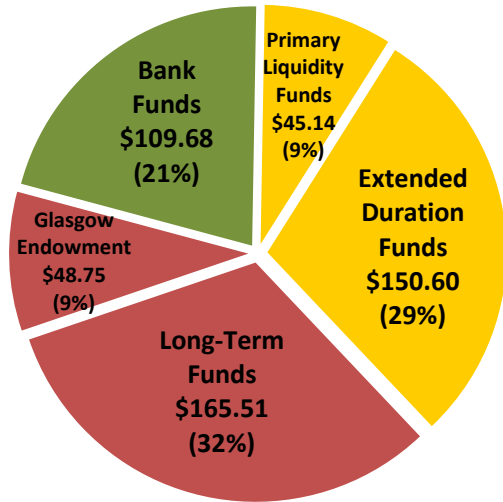
Table of Contents

- Total University Funds Overview 3
- Short-Term Tier Overview 5
- Long-Term Tier Overview 7
- Cash, Investments & Debt Weekly Monitoring Report 10

TOTAL UNIVERSITY FUNDS OVERVIEW

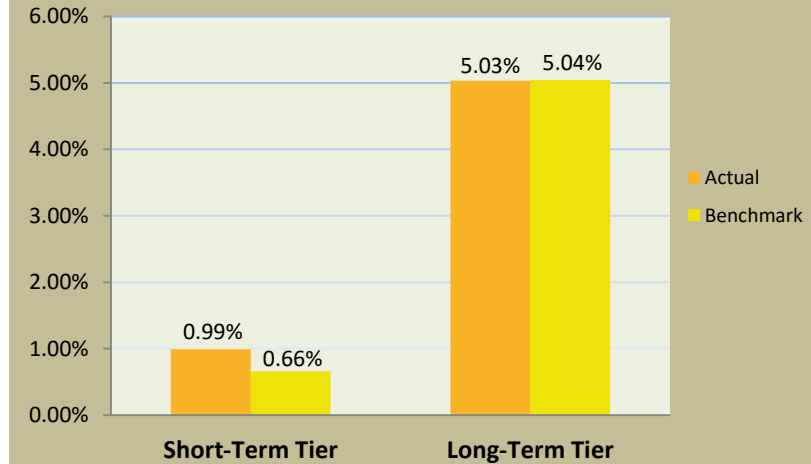
Total University Funds Overview for the Period Ending September 30, 2016

University Funds
Market Value (Millions)



Total University Funds
\$519.67M

1-Year Investment Funds Performance



SHORT-TERM TIER OVERVIEW

Short-Term Tier Performance (net of fees) for the Period Ending September 30, 2016

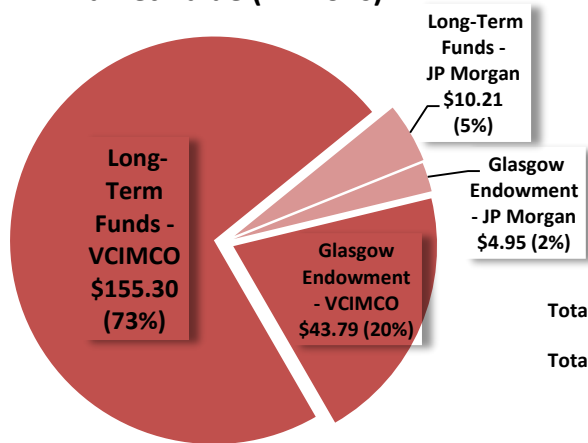
	<u>Market Value</u>	<u>Allocation</u>	<u>3 Mo</u>	<u>YTD</u>	<u>1 Yr</u>	<u>3 Yrs</u>	<u>5 Yrs</u>	<u>Return</u>	<u>Since</u>
Total Operating Funds	\$195,733,208	100.00%	0.18%	1.21%	0.99%	0.90%	0.94%	1.03%	9-Jun
<i>Floating Operating Funds Index</i>			-0.13%	0.90%	0.66%	0.69%	0.67%	--	9-Jun
Payden & Rygel	\$45,135,430	23.06%	0.16%	0.44%	0.39%	0.13%	0.18%	0.18%	9-Jun
<i>iMoneyNet MM All Taxable</i>			0.01%	0.06%	0.07%	0.03%	0.03%	0.03%	9-Jun
Extended Duration Fund (Merganser)	\$150,597,779	76.94%	0.18%	1.71%	1.40%	1.21%	1.30%	1.53%	9-Jun
<i>Blended Index</i>			-0.18%	1.68%	1.31%	1.08%	1.01%	1.13%	9-Jun
<i>BofA Merrill Lynch US Treasuries 1-5 Yrs</i>			-0.19%	2.20%	1.52%	1.43%	1.11%	1.81%	9-Jun

- *Floating Operating Funds Index = Weighted Average of iMoney Net MM All Taxable / Blended Index*
- *Blended Index = Weighted Average Blend of BofA Merrill Lynch US Treasury 1-5 Yr Index (Current Benchmark) and previous benchmarks prior to recalibration of Short-Term Tier*

LONG-TERM TIER OVERVIEW

Long-Term Tier Summary Observations for the Period Ending September 30, 2016 (est.)

Long-Term Tier
Market Value (Millions)

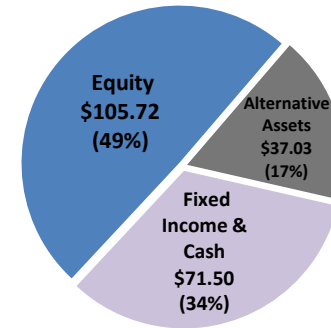


**Total Long-Term Tier
\$214.25M**

Total Long-Term Funds \$165.51M

Total Glasgow Endowment \$48.74M

Long-Term Tier
Asset Allocation



Asset Class	Current Balance	Current Allocation	Strategic Allocation	Approved Policy Range
Equity	\$ 105.72	49%	30%	15-45%
Alternative Assets	\$ 37.03	17%	50%	35-65%
Fixed Income & Cash	\$ 71.50	34%	20%	5-35%
Total	\$ 214.25	100%	100%	

- \$199.09 (93%) of \$214.25 million total Long-Term Tier transferred to VCIMCO, with \$15.16 million (7%) remaining to be transferred.

Long-Term Tier Performance Summary for the Period Ending September 30, 2016 (est.)

VCU Finance Long-Term Tier Asset Allocation for the Period Ending: 9/30/2016							
Asset Class	Total	VCU Strategic		Q3'16	1 Yr	3 Yr	Since 6/30/2013
		\$	%				
Total	\$ 214,250,983	100.0%	100.0%	1.97%	5.03%	3.58%	3.30%
<i>Composite Benchmark</i>				2.38%	5.04%	1.85%	2.65%
VCIMCO Total	\$ 199,092,054	92.9%					
JP Morgan Total	\$ 15,158,929	7.1%					
Equity	\$ 105,718,865	49.3%	30.0%	3.94%	8.04%	5.10%	4.70%
<i>MSCI World Index</i>				4.87%	11.36%	5.85%	7.96%
VCIMCO Equity	\$ 105,718,865	49.3%					
JP Morgan Equity	\$ -	0.0%					
Alternative Assets	\$ 37,033,540	17.3%	50.0%	0.87%	2.29%	3.88%	3.57%
Hedge Funds							
VCIMCO Hedge Funds	\$ 20,269,746	9.5%					
JP Morgan Hedge Funds	\$ 11,501,787	5.4%					
Total Hedge Funds	\$ 31,771,533	14.8%	25.0%	1.57%	-0.99%	3.20%	2.95%
<i>HFRI FOF Index</i>				2.39%	0.47%	2.20%	2.50%
Private Equity	\$ -	0.0%	12.0%	0.00%	0.00%	0.00%	0.00%
Real Estate and Infrastructure							
VCIMCO Real Estate	\$ 4,062,557	1.9%					
JP Morgan Real Estate	\$ 1,199,450	0.6%					
Total Real Estate	\$ 5,262,007	2.5%	8.0%	-2.07%	14.50%	13.43%	12.34%
<i>NCREIF Property Index</i>				1.77%	9.23%	11.29%	11.23%
Hard Assets	\$ -	0.0%	5.0%	0.00%	15.61%	-7.22%	-6.69%
<i>Goldman Sachs Commodity Index</i>				-4.2%	-12.2%	-22.1%	-19.44%
Fixed Income and Cash	\$ 71,498,578	33.4%	20.0%	-0.57%	2.05%	1.22%	1.13%
<i>Barclays Aggregate Index</i>				0.46%	5.19%	4.02%	3.88%
VCIMCO Fixed Income and Cash	\$ 69,040,886	32.2%					
JP Morgan Fixed Income and Cash	\$ 2,457,692	1.1%					

- Composite Benchmark: 30% MSCI World Index, 40% HFRX Global Hedge Fund, 5% Bloomberg Commodities Index, 25% Barclays Capital US Aggregate Index
- Note: The performance displayed in the table above are estimates, calculated by (1) blending the Glasgow and Long-Term portfolios on a dollar-weighted basis (as managed by JP Morgan historically) from 6/30/15 to 4/30/16, and (2) then blending these with the Ram Fund performance during the May-September transition period. These returns represent our best-efforts estimate of the total blended returns at the aggregate and asset class levels, but they are not official or audited performance values. Return for periods over 1 year are annualized.

Cash, Investments & Debt Weekly Monitoring Report As of November 30, 2016

To be distributed

Efficiency and Effectiveness Improvements:

Efficiency and Effectiveness Improvements

VP Finance and Budget, Karol Kain Gray
December 9, 2016



Procurement Services

Office Supply Contract

- The new mandatory university-wide contract for office supplies was awarded to The Supply Room Company, a Small Women and Minority business located in Ashland, VA.
- The contract was effective June 1, 2016, for an initial term of five years with an option to renew for another five years.
- Favorable terms of the contract included:
 - First year cost savings on VCU's most commonly purchased office supplies that is estimated to be \$101,000
 - A rebate of 3.5% that is expected to generate approximately \$70,000 annually
 - A \$150,000 implementation payment

Procurement Services

Office Supply Contract

- This contract provides for Virginia Association of State College and University Purchasing Professionals (VASCUPP) to access the contract for their university's use and is a "cooperative procurement."

HR Redesign Update

HR Redesign Project

Using authority granted under Tier III restructuring to align VCU's human capital with the University's mission, core values, and strategic direction to hire and keep highly qualified talent in a very competitive market by being a Great Place to Work.

PROGRAMATIC

Respond to the employee feedback from the Great Place Initiative survey and the University's needs to modernize HR practices

- Career and professional development, mentoring and networking
- Career advancement, promotional opportunities, and career paths
- Meaningful performance evaluation, reward and recognition
- Leadership development
- Market and merit based pay/Leave/Benefit

STRATEGIC

Align the University's workforce with its strategic priorities and build connections to strengthen the University community

- Cascade goals and shared values from organization to school/unit to individual; create "line of sight" connecting employees to University vision and mission; align competencies and behaviors; provide meaningful feedback; reward and recognize through pay for performance
- Create "career communities" across the University bringing together practitioners to share knowledge, promote innovation, increase competence, enhance networking, mentoring, and leadership opportunities

Great Place to Work where faculty and staff can do meaningful work, a place of opportunity, where success is supported and careers thrive.

Start up
3/1/16-
3/30/16

Research and Design
4/1/16-2/28/17

University Review
3/1/17-
4/31/17

Board
Approval
May 2017

Finalize Policies
and Procedures
6/1/17-
12/31/17

Enroll
1/1/18-
3/31/18

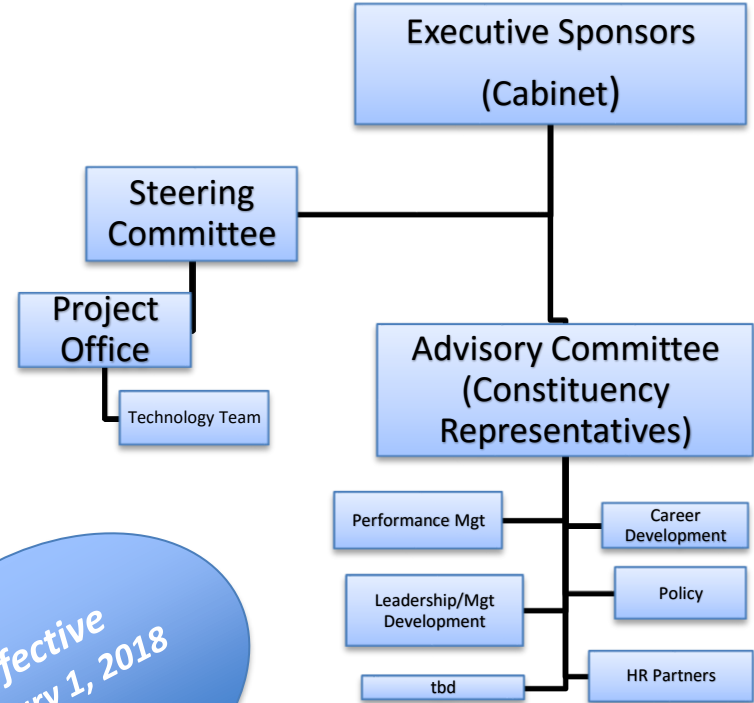
Review
Revise
Refine
4/1/18-

Plan, Communicate, Engage 4/1/16-3/31/18

HR Redesign Project

Who is impacted and who is involved

Current State		Future State
Classified Staff	A&P Faculty	VCU
<ul style="list-style-type: none"> The State of Virginia HR system, derived from Federal Civil Service System of 1883 Inflexible, rules-based Legislatively Controlled Rigid 	<ul style="list-style-type: none"> Category stretched, often force-fit, around Teaching & Research Faculty policies Individually determined Policy vacuum Inconsistent 	<ul style="list-style-type: none"> A customized plan aligned to the University's strategic vision Flexible Responsive to Higher Ed State-of-the-art



Effective January 1, 2018

Revenue and Expense Summary as of September 30, 2016

**Board of Visitors Executive Summary
December 2016**

PRESENTATION TITLE: Revenue and Expense Summary	
Presenter Name and Title: Karol Kain Gray, VP Finance & Budget	
Responsible University Division: Office of Budget & Resource Analysis	
BOV Committee: Finance, Budget and Investment Committee	
Quest Theme(s) and Goal(s) to be Addressed:	
Key Presentation Messages	<ol style="list-style-type: none"> 1. The University’s revenues through first quarter increased 2.8% over last year, very slightly higher than budget largely due to timing. This gain will be offset in part by anticipated reductions in state funds (\$3.2M) which are not currently reflected pending allocation of reductions by unit. <ol style="list-style-type: none"> a. The University’s tuition and fee revenues reflect planned growth over last year and are forecast currently within 1% of budget. b. Other growth in externally funded areas such as sponsored programs and timing of federal aid. 2. First quarter University expenses reflect a higher pace of spending than prior year although all units will remain on budget. The most significant increases include externally funded research, expenditures funded by grant overhead (FACR) and planned increases in financial aid. 3. Note that total annual estimated expenses are higher than total annual estimated revenue due to planned use of fund balances.
Governance Implications	<ol style="list-style-type: none"> 1. The Board of Visitors has responsibility for “generally directing the affairs and business of the University.” 2. The FBI Committee periodically reviews and compares financial operating results with appropriate budgets.
Governance Discussion Questions	The FBI Committee adopted the FY 2016 budget in May 2015. Are the revenues and expenditures generally in keeping with the adopted budget?
Enterprise Risk Management	The Revenue and Expense Summary examines the Enterprise Risk 11a: Academic Funding “Risk that the University funding profile does not evolve to meet an evolving environment (state appropriations, tuition and fees, etc.). The Summary provides the Board with a quarterly snapshot of whether the University has sufficient resources to adequately fund academic programs. If revenues or expenditures in any of the

	categories (or overall) are not at appropriate levels, the Board has the opportunity to review with staff.
Next Steps for Management (Responsible Division Head; Timeframe for Action)	Monitor revenues from tuition and fees and enrollment patterns to ensure that the FY 2016 budget plan assumptions regarding receipts continue to stay on course through the spring semester.
Next Steps for Governance (Responsible Board Member; Timeframe for Action)	N/A
Meeting Notes	[Leave Blank]

Virginia Commonwealth University - Revenue & Expenses

September FY2017

Line #	Revenues	FY2017 Adjusted Budget	FY2017 Q1 Actual	FY2016 Q1 Actual	Q1 % Change FY16 to FY17	FY2016 June Act	% Change FY16 Jun to FY17 Bud
1	State General Funds	221,151	\$ 66,380	\$ 60,493	10%	203,978	8.4%
2	Nongeneral Funds:						
3	Educational and General Tuition and Fees	402,256	198,059	191,661	3%	394,620	1.9%
4	Grants and Contracts:						
5	Sponsored Programs	201,203	52,832	52,109	1%	196,501	2.4%
6	Financial Aid	30,769	13,128	10,746	22%	30,181	1.9%
7	Auxiliary Enterprises:	135,398	63,600	65,520	-3%	139,721	-3.1%
8	VCUQ	39,880	10,900	11,449	-5%	40,437	-1.4%
9	Gifts and Investment Income	43,296	7,099	8,129	-13%	40,972	5.7%
10	Sales and Services, Other Revenues	40,856	10,357	10,667	-3%	48,807	-16.3%
11	Total Revenues	\$ 1,114,808	\$ 422,355	\$ 410,774	2.8%	\$ 1,095,217	1.8%
	Expenses						
12	Educational and General Expenses	597,103	161,503	148,422	9%	579,444	3.0%
13	VCUQ	39,880	10,900	11,449	-5%	40,437	-1.4%
14	Sponsored Programs	176,615	51,116	44,246	16%	168,230	5.0%
15	FACR	30,379	13,353	9,480	41%	25,916	17.2%
16	Auxiliary Enterprises	146,377	41,266	40,077	3%	130,770	11.9%
17	University Funds	41,790	15,296	14,560	5%	50,012	-16.4%
18	Student Financial Assistance	60,669	27,485	23,493	17%	54,686	10.9%
19	Hospital Services	25,801	6,107	6,528	-6%	24,515	5.2%
20	Total Expenses	\$ 1,118,614	\$ 327,026	\$ 298,256	9.6%	\$ 1,074,009	4.2%

**b. VCU Health System and Financial Operations as of September 30,
2016**

VCUHS Performance

September 30, 2016 Year-to-Date (3 months)

Volumes:			FY 2017	FY 2017	Var	FY 2016	Var
	<u>Statistic</u>		<u>Actual</u>	<u>Budget</u>	<u>to Bud</u>	<u>Actual</u>	<u>to Pr Yr</u>
MCV Hospital & Clinics	Adjusted Discharges		16,225	16,300	(75)	15,746	479
MCV Physicians	Work RVUs		699,336	722,507	(23,171)	655,948	43,388
Community Memorial Hospital	Adjusted Discharges		2,281	2,391	(110)	2,181	100
CHoR - Brook Road	Therapy Visits		20,037	22,684	(2,647)	20,906	(869)
VA Premier Health Plan	Member Months		581,021	585,024	(4,003)	582,200	(1,179)
Revenue:							
MCV Hospital & Clinics	Revenue/Adj. Discharge	\$	23,278	\$ 23,109	\$ 169	\$ 22,384	\$ 894
MCV Physicians	Revenue/WRVU	\$	86	\$ 83	\$ 3	\$ 84	\$ 2
Community Memorial Hospital	Revenue/Adj. Discharge	\$	8,794	\$ 8,466	\$ 328	\$ 8,935	\$ (141)
CHoR - Brook Road	Revenue/Visits	\$	330	\$ 318	\$ 11	\$ 341	\$ (12)
VA Premier Health Plan	Revenue/Member Month	\$	455	\$ 434	\$ 21	\$ 438	\$ 17
Expenses:							
MCV Hospital & Clinics	Expense/Adj. Discharge	\$	20,446	\$ 20,376	\$ (70)	\$ 19,889	\$ (557)
MCV Physicians	Expense/WRVU	\$	110	\$ 102	\$ (8)	\$ 95	\$ (14)
Community Memorial Hospital	Expense/Adj. Discharge	\$	9,848	\$ 10,151	\$ 303	\$ 9,857	\$ 9
CHoR - Brook Road	Expense/Visits	\$	388	\$ 392	\$ 3	\$ 404	\$ 16
VA Premier Health Plan	Expense/Member Month	\$	468	\$ 437	\$ (31)	\$ 441	\$ (27)
Operating Margin:							
	<i>Oper. Excess /Tot Op Rev (%)</i>						
MCV Hospital & Clinics			12.2%	11.8%	0.4%	11.1%	1.1%
MCV Physicians			-19.9%	-17.3%	-2.6%	-9.9%	-10.0%
Community Memorial Hospital			-12.0%	-19.9%	7.9%	-10.3%	-1.7%
CHoR - Brook Road			-17.8%	-23.1%	5.3%	-18.4%	0.6%
VA Premier Health Plan			-2.8%	-6.0%	3.2%	-6.0%	3.2%

VCUHS Consolidated Income Statement (\$ in thousands)

September 30, 2016 Year to Date (3 months)

Operating Excess of \$17.5M is (\$6.0M) under budget

	<i>Percent</i>	<i>Variance Projected</i>	FY 2017 Actual	FY 2017 Budget	FY 2016 Actual	<i>Variance Prior Year</i>	<i>Percent</i>
Operating Revenues							
Net patient service revenue	0.2%	\$ 896	\$ 389,986	\$ 389,090	\$ 367,229	\$ 22,757	6.2%
Supplemental earned	6.8%	656	10,353	9,697	-	10,353	
Contract revenue	5.4%	219	4,250	4,031	-	4,250	
Premiums earned	4.0%	10,040	263,613	253,573	253,101	\$ 10,512	4.2%
Other operating revenue	46.1%	1,823	5,776	3,953	10,940	(5,164)	-47.2%
Total Operating Revenues	2.1%	\$ 13,634	\$ 673,978	\$ 660,344	\$ 631,270	\$ 42,708	6.8%
Operating Expenses							
Salaries and wages	-2.6%	\$ (5,452)	\$ 219,152	\$ 213,700	\$ 202,623	\$ (16,529)	-8.2%
Benefits	-0.6%	(365)	62,037	61,672	59,712	(2,325)	-3.9%
Medical claims expense	-6.7%	(14,431)	231,346	216,915	219,810	(11,536)	-5.2%
Purchased services	-2.3%	(689)	31,020	30,331	29,121	(1,899)	-6.5%
Supplies	0.8%	745	95,318	96,063	85,356	(9,962)	-11.7%
Interest expense	-12.8%	(715)	6,303	5,588	5,519	(784)	-14.2%
Other expenses	10.1%	3,818	34,160	37,978	31,232	(2,928)	-9.4%
Provision for depreciation / amortization	1.8%	383	20,785	21,168	19,294	(1,491)	-7.7%
Total Operating Expenses	-2.4%	\$ (16,706)	\$ 700,121	\$ 683,415	\$ 652,667	\$ (47,454)	-7.3%
Operating Excess/(Loss) w/o Quality of Earn./ Supplemental Revenue		\$ (3,072)	\$ (26,143)	\$ (23,071)	\$ (21,397)	\$ (4,746)	
Quality of Earnings/Supplemental Revenue	-6.4%	\$ (2,965)	\$ 43,685	\$ 46,650	\$ 46,966	\$ 3,281	7.0%
Total Operating Excess/(Loss)		\$ (6,037)	\$ 17,542	\$ 23,579	\$ 25,569	\$ (1,465)	
<i>Operating Margin (%)</i>			<i>2.4%</i>	<i>3.3%</i>	<i>3.8%</i>		
Nonoperating revenues and expenses:							
Investment income	187.3%	\$ 21,634	\$ 33,187	\$ 11,553	\$ (51,530)	\$ 84,717	-164.4%
Other non-operating income(expense)	-61.0%	4,500	(2,876)	(7,376)	49	2,925	5969.4%
Donations and gifts		189	917	1,106	823	(94)	
Total Non-Operating Revenues and Expense		\$ 25,945	\$ 31,228	\$ 5,283	\$ (50,658)	\$ 87,548	
Total Excess / (Loss)		\$ 19,908	\$ 48,770	\$ 28,862	\$ (25,089)	\$ 73,859	
<i>Total Margin (%)</i>			<i>6.5%</i>	<i>4.1%</i>	<i>-4.0%</i>		

VCUHS Statistical Indicators

September 30, 2016 Year-to-Date (3 months)

Volume trending closer to budget. Clinic Visits and Inpatient Surgeries exceeding targets.

	<u>FY17 Act</u>	<u>FY17 Bud</u>	<u>FY17A v FY17B</u>		<u>FY16 Act</u>	<u>FY17A v FY16A</u>	
Total Hospital Discharges	10,067	10,148	(81)	-0.8%	9,846	221	2.2%
<i>MCV Hospital</i>	9,313	9,341	(28)	-0.3%	9,079	234	2.6%
<i>CMH</i>	754	807	(53)	-6.6%	767	(13)	-1.7%
Total Hospital Adjusted Discharges	18,506	18,691	(185)	-1.0%	17,927	579	3.2%
<i>MCV Hospital</i>	16,225	16,300	(75)	-0.5%	15,746	479	3.0%
<i>CMH</i>	2,281	2,391	(110)	-4.6%	2,181	100	4.6%
Case Mix Index -Total excl. newborns (MCV)	1.91	2.07	(0.16)	-7.7%	1.84	0	3.8%
Case Mix Index - Medicare excl newborns (MCV)	2.15	2.19	(0.04)	-1.8%	2.09	0	2.9%
Patient Days (MCVH)	59,255	58,930	325	0.6%	57,239	2,016	3.5%
MCVH ALOS	6.4	6.3	0.1	1.6%	6.3	0	1.6%
Ambulatory clinic visits (MCV, MCVP)	171,736	167,763	3,973	2.4%	158,587	13,149	8.3%
Observation Stays (MCV)	2,736	2,740	(4)	-0.1%	2,658	78	2.9%
Surgeries - Total (MCV)	5,926	5,939	(13)	-0.2%	5,716	210	3.7%
<i>Surgeries-Inpatient</i>	2,962	2,753	209	7.6%	2,801	161	5.7%
<i>Surgeries-Outpatient</i>	2,964	3,186	(222)	-7.0%	2,915	49	1.7%
System FTEs (Excludes Contract)	10,213	10,464	251	2.4%	9,841	(372)	-3.8%
WRVUs (MCVP)	699,336	722,507	(23,171)	-3.2%	655,948	43,388	6.6%
ChoR - Brook Rd. -							
IP TCU Patient Days	3,746	3,680	66	1.8%	3,583	163	4.5%
OP Therapy Visits	20,037	22,684	(2,647)	-11.7%	20,906	(869)	-4.2%
VPHP member months	581,021	585,024	(4,003)	-0.7%	582,200	(1,179)	-0.2%

VCUHS Balance Sheet (\$ in thousands)

September 30, 2016 Year To Date (3 months)

	<u>FY 2016 Audit</u>	<u>FY 2017 (3mo)</u>
ASSETS & DEFERRED OUTFLOWS		
CURRENT ASSETS		
Cash and cash equivalents	\$ 263,816	\$ 291,884
Patient accounts receivable, less allowances for doubtful accounts and contractual adjustments	264,986	237,882
Other current assets	<u>159,198</u>	<u>161,666</u>
TOTAL CURRENT ASSETS	688,000	691,432
Assets whose use is limited, less current portion	1,437,901	1,422,569
TOTAL CAPITAL ASSETS	792,499	810,867
TOTAL OTHER ASSETS	62,085	77,373
TOTAL ASSETS & DEFERRED OUTFLOWS	<u><u>\$ 2,980,485</u></u>	<u><u>\$ 3,002,241</u></u>
LIABILITIES AND EQUITY		
CURRENT LIABILITIES		
Current portion of long-term debt and capital leases	\$ 7,913	\$ 7,825
Trade accounts payable	176,395	152,869
Accrued salaries, wages, and fringe benefits, leave	117,023	108,001
Other current liabilities	<u>30,560</u>	<u>44,658</u>
TOTAL CURRENT LIABILITIES	331,891	313,353
OTHER LIABILITIES		
Long-term debt and capital leases, less current portion	518,909	512,981
Other liabilities	<u>- 171,124</u>	<u>173,122</u>
TOTAL LIABILITIES	1,021,924	999,456
TOTAL NET ASSETS	1,948,094	1,992,319
TOTAL LIABILITIES & NET ASSETS	<u><u>\$ 2,970,018</u></u>	<u><u>\$ 3,002,241</u></u>

VCUHS Key Ratios

September 30, 2016 Year-to-Date (3 months)

	<u>Actual</u> <u>FY 2017</u>	<u>Audited</u> <u>FY 2016</u>	<u>S & P Median</u> <u>Benchmark</u>	<u>Trend</u>
LIQUIDITY RATIOS:				
Current	2.2	2.1	1.9	Favorable
Days in A/R	56.1	56.3	47.4	Unfavorable
Days Cash on Hand	216.5	235.6	289.4	Unfavorable
LEVERAGE RATIOS:				
Debt Service Coverage	9.0	9.1	5.9	Favorable
Long-Term Debt to Capitalization	23.4%	26.2%	27.2%	Favorable
Interest Coverage	8.7	7.9	4.9	Favorable
PROFITABILITY RATIOS:				
Operating Margin	2.4%	6.5%	>4.0%	Unfavorable
Total Margin	6.5%	5.0%	>7.2%	Unfavorable

Capital Projects Update

Virginia Commonwealth University
December 2016 Summary of Major Capital Projects

Project	Funding			Comments
	Amount	Source	Completion	
Completed Projects:				
Police Headquarters Relocation	\$5,714,500	Total	Sep 2016	Upfit of leased space at 224 E. Broad St for complete relocation. Grant secured for
Construction Underway:				
Parking Deck D Restoration	\$8,000,000 \$200,000 \$8,200,000	University Debt Supported by Parking Auxiliary Parking Auxiliary Reserve Total	Jan 2017	Project addresses lifesafety issues requirements.
Institute for Contemporary Art	\$33,805,718 \$7,392,810 \$41,198,528	Private Funding University Reserves Total	Jun 2017	A 40,890 SF facility located at the corner of Broad and Belvidere Streets. Project behind schedule but continues to track an opening in October
Sanger Hall Phase II Renovations	\$17,214,620 \$7,040,600 \$1,366,919 \$1,795,000 \$27,417,139	General Funds University-supported debt University Funds State-Supported Debt Total	Oct 2015 (Part A only) Jul 2017 (all remaining phases)	The second phase of the floor by floor wet lab renovation of Sanger Hall. This phase will complete an additional 2 floors to the 4 already completed.
Rice Rivers Center - Inger Rice Lodge	\$1,768,440 \$546,346 \$2,314,786	Private Funding University Funds Total	Summer 2016 May 2017	A 4,800 SF facilities located on John Tyler Memorial Highway (State Route 5).
Raleigh Building Renovation	\$7,673,292 \$750,000 \$8,423,292	General Funds State-Supported Debt Total	Aug 2017	Total renovation of the building to house the Wilder School.
Rhoads Hall Restroom Renovation	\$4,615,300	University Housing	Summer 2016 - Ph I Summer 2017 - Ph II	Building core toilet and shower renovations to floors 2-18. Phase I - Floors 2-5; and Phase II - Floors 6-18 scheduled to be completed in 2017
Allied Health Professions Building	\$76,500,000 \$10,800,000 \$87,300,000	State Appropriation request University-supported debt Total	To be determined	Consolidation of eleven Allied Health Programs in one building. Demolition to begin in December
Planning Underway:				
Other Projects of Interest:				
Virginia Treatment Center for Children	\$58,495,717 \$5,067,283 \$63,563,000	State Appropriation VCU Health Funds Total	Sep 2017	Replacement facility for the current VTCC located on the MCV Campus. Location on Brook Road campus.
Perioperative Suite Renovation	\$81,000,000	VCU Health Debt	Feb 2018	Renovation of 5th floor of Main Hospital and portions of adjacent buildings to provide 18 state of the art operating rooms and support areas. Phased for continuous operation.
Community Memorial Hospital (South Hill)	\$75,000,000	VCU Health Funds	Nov 2017	Program of 70 patient rooms and 4 operating rooms.
Stoney Point V Medical Office Building	\$28,000,000	MCV Physicians Funds	Nov 2016	A 63,000 SF medical office building.
On Schedule	Delay			

Dashboards



Key Performance Measures and Projects

Report of VCU Finance and Budget Performance Indicators – Fiscal Year-to-Date as of September 30, 2016

Measure	Metrics/Performance as of September 30, 2016	Comments
Investments	Investment Balances	<ul style="list-style-type: none"> See 9/30/16 Treasurer’s Report
	Investment Returns	<ul style="list-style-type: none"> See 9/30/16 Treasurer’s Report
Debt	Bond ratings	<ul style="list-style-type: none"> AA-/Aa2 (within Tier III requirement)
	Debt Ratio	<ul style="list-style-type: none"> 4.88% (below 6.0% debt policy requirement and 7.0% Tier III requirement)
	Maximum Additional Debt Issuance:	<ul style="list-style-type: none"> \$172.5 million (at a 6.0% debt ratio)
Revenues and Expenses	Performance vs. Budget	<ul style="list-style-type: none"> Budgeted revenue: \$1,098M Actual Results: \$1,095M - 3.9% over last year Variance revenue: \$2.8M or .26%
		<ul style="list-style-type: none"> Budgeted expense: \$1,097M Actual Results: \$1,074M - 3.3% over last year Variance expense: \$23.3M or 2.1%
Major Projects/Initiatives		Next Steps/Comments
VCIMCO		<ul style="list-style-type: none"> VCIMCO providing an update at today’s BOV meeting
New Budget Model		<ul style="list-style-type: none"> Central Cost allocation largely complete; tuition and financial aid modeling underway

Dashboard Measures: Reporting for the First Quarter FY17

Report of VCU Administration Performance
Indicators for the Quarter Ended September 30,
2016.

Target Key	
<input checked="" type="checkbox"/>	Meets or exceeds expectations
<input type="checkbox"/>	Challenge(s) encountered; corrective action is planned or underway
<input type="checkbox"/>	Significant challenge(s) encountered
<input type="checkbox"/>	N/A

Facilities

1 st Qtr	2 nd Qtr	3 rd Qtr	4 th Qtr	YTD	Measure	Note
<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	Utility Costs	FY 2017, utilities budgets are \$17M for E&G facilities and \$7M for Auxiliary facilities. First quarter expenditures are tracking within forecast levels.
<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	Deferred Maintenance	The deferred maintenance backlog continues to grow. Sightlines Consultant's most recent update using FY16 data reflects a funding deficiency of approximately \$23 M per year with a total backlog of \$310M. 8 buildings account for \$184M of the backlog. VCU has authorized an additional \$2M annually of University funds beginning in FY2016 for deferred maintenance to augment the maintenance reserve funding from the Commonwealth.

Resolution of Certification

RESOLUTION OF CERTIFICATION

The Chair of the Finance, Budget, and Investment Committee of the Board of Visitors of Virginia Commonwealth University will entertain a motion of certification that Virginia Commonwealth University hereby certifies that, to the best of each member's knowledge, (i) only public business matters lawfully exempted from open meeting requirements by Virginia law were discussed in the closed session meeting to which this certification resolution applies, and (ii) only such public business matters as were identified in the motion convening the closed session meeting were heard, discussed or considered by the Finance, Budget and Investment Committee of the Board of Visitors of Virginia Commonwealth University.