

UMA ACTIVE SHOOTER / HOSTILE EVENT RESPONSE (ASHER) PLAN

I. Introduction

- A) Effective response to an ASHER requires effective planning and role reinforcement through training for personnel caught in the event, as well as for leaders and managers coordinating the response to the event. Personnel in the vicinity of an ASHER may need to evacuate (Avoid), shelter in place (Barricade) or take a self-defense role (Counter) depending upon circumstances unique to that event. Organization leadership and managers coordinating an ASHER need to be able to provide effective direction to personnel in the vicinity of the ASHER, provide clear situation information to first responders, and inform the public.

II. Purpose

- A) It is the policy of Uchiyama Manufacturing America LLC to provide this ASHER plan to alert employees that an active shooter/hostile event appears to be actively engaged in killing or attempting to kill people at the workplace.
- B) This ASHER Plan provides instructions and guidance to effectively address the response of UMA associates to an ASHER incident. The ASHER Plan provides guidance for implementing procedures to an ASHER incident.
- C) This document was provided to the following organizations along with the Letters of Arrangements, though hold these agencies to no liability:

*Wayne County Sheriff Department
Goldsboro Chief of Police
Arrington Fire Department
Goldsboro Fire Department*

*Dudley Fire Department
Mar Mac Fire Department
Wayne UNC Hospital
Local Emergency Planning Committee*

III. Preparedness

- A) An Active Shooter is an individual actively engaged in killing or attempting to kill people in a confined and populated place; in most cases, active shooters use firearms and there is no pattern or method to their selection of victims. In some cases, active shooters use other weapons and/or improvised explosive devices to cause additional victims and act as an impediment to police and emergency responders. ASHER situations are unpredictable and evolve quickly. Typically, the immediate deployment of law enforcement is required to stop the shooting and mitigate harm to victims. Because ASHER situations are often over within 10-15 minutes, before law enforcement arrives on the scene, individuals must be prepared both mentally and physically to deal with an ASHER situation.

IV. Relevant Documents

- A) The following documents are relevant and applicable to Uchiyama MFG America LLC.
- 1) UMA Emergency Response and Contingency Plan EN04-001
 - 2) Associated documents identified in the EN04-001 (Extended Shutdown/Mass Notification Flow #FC09-015)

V. Pre-Incident Planning

- A) ASHER incidents often begin and conclude quickly, leaving facility management and security officers little to no time to coordinate response procedures with law enforcement and employees. Facility readiness requires that managers develop and exercise response plans that apply general preparedness and response protocols to specific types of emergencies and facility capabilities (including security resources). Training and exercising the plan was a key finding of experts and facility managers who participated in ASHER exercises, allowing them to identify gaps, correct weaknesses, and validate their plan.

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B) Response Plans and Procedures

- 1) As this plan could be part of the Emergency Response and Contingency Plan EN04-001; we developed this as a separate plan as an extension of the ERP. This plan shall be developed and reviewed in coordination with above agencies prior to implementation.
- 2) Human Resources is the primary communication outlet if an associate identifies someone that demonstrates signs, flags and/or threats of workplace violence. All communication with HR concerning workplace violence shall only be passed along to persons having a need to know. There shall be zero retribution to those who identify potential workplace violence situations or incidents that may lead to workplace violence.
- 3) Alternate methods of communication with employees during an incident—include e-mail, phone, cell phone, text message, and loudspeaker announcements using codeword ***SILVER*** and location, if possible. Specifics as to how information shall be communicated throughout the plant during any incident is identified below.
- 4) Determine the impact of the incident on facility operations and communicate that to customers as outlined in Emergency Response and Contingency Plan EN04-001, the public, and law enforcement.
- 5) Communicate with emergency responders to manage facility expectations of response capabilities.

C) Employee Training and Awareness

- 1) Train all employees on this ASHER plan during newcomer's orientation and annually.
- 2) Train ERT personnel in providing guidance to employees in each scenario.

D) Prepare for an Incident

- 1) Management: Shall learn how to recognize potential workplace violence and suspicious behavior.
- 2) Most people think of violence as a physical assault. However, workplace violence is a much broader problem. It is any act in which a person is abused, threatened, intimidated or assaulted in his or her employment. While exact definitions may vary in legislation, workplace violence includes:
 - **Threatening behavior** – such as shaking fists, destroying property or throwing objects.
 - **Verbal or written threats** – any expression of an intent to inflict harm.
 - **Harassment** – any behavior that demeans, embarrasses, humiliates, annoys, alarms or verbally abuses a person and that is known or would be expected to be unwelcome. This includes words, gestures, intimidation, bullying, or other inappropriate activities.
 - **Verbal abuse** – swearing, insults or condescending language.
 - **Physical attacks** – hitting, shoving, pushing or kicking.
- 3) Rumors, swearing, verbal abuse, pranks, arguments, property damage, vandalism, sabotage, pushing, theft, physical assaults, psychological trauma, anger-related incidents, rape, arson and murder are all examples of workplace violence.
- 4) Workplace violence is not limited to incidents that occur within a traditional workplace. Work-related violence can occur at off-site business-related functions (conferences, trade shows), at social events related to work, in your homes or away from work but resulting from work (a threatening telephone call to your home from an employee, contractor or vendor).
 - Refer to the Plant Layout to identify the location of the nearest exits, emergency phone #s, potential safe harbors, and first aid kits.
 - Employees:
 - Become familiar with emergency procedures and regularly review checklists or materials provided on emergency procedures.
 - Identify who to call to report an incident and what information to provide about the situation.

E) Exercise Emergency Action Plans Regularly and Repeatedly

- 1) Schedule regular drills, tabletop and functional exercises.
- 2) Assess gaps in plans, exercises and training.

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F) Establish a Relationship with Emergency Responders

- 1) UMA shall involve emergency service responders from multiple agencies in facility training and exercises,
- 2) Jointly map out incident management procedures and pre-identify a common, secure radio communication channel. The emergency channel at UMA is Channel 1 on our radios.
- 3) Invite all emergency services responders to tour your site and provide details about the facility that will help responders to adjust their protocols if necessary.
- 4) Gain a better understanding and awareness of the complexities involved in an integrated response to an incident, including law enforcement procedures and capabilities and the steps to preserving a crime scene.
- 5) Educate law enforcement on the impact of a crime scene on business operations and restoration.

VI. A) Incident Response

- 1) ASHER incidents often begin and conclude quickly, and the incident may be at any location in the organization or facility. This leaves facility management and security officers no time to coordinate response procedures with law enforcement and employees. The response to a specific incident will depend on the circumstances unique to that incident. However, there are general procedures that apply to all ASHER incidents.
- 2) The first employee to identify an ASHER situation: As soon as possible, should call "911" (with the location of the incident) and a physical description of the person(s) with the weapon, and type of weapon, if known.
- 3) Any employee who is at a location distant from the ASHER, such as in a different area or floor, will contact 911.
- 4) The phone call to 911 (from the area where the caller is safely concealed) should provide the following information to the police:
 - Description of suspect and possible location.
 - Number and types of weapons.
 - Suspect's direction of travel.
 - Location and condition of any victims.

B) POTENTIAL RESPONSES

- 1) In response to an ASHER event, there will be three potential courses of action that follow the ABCs to respond to a threat: The following guidelines identify these courses of action:

NOTE:

Although the logical process is to avoid, when possible, or barricade and counter last, depending on the situation one may have to go directly to counter skipping all other guidelines.

- 2) **A) Avoid** - Have an exit plan, evacuate the area as quickly as possible and take as many people that will follow you. If an individual refuses to follow, leave them behind. Leave belongings behind as well. Distance and time from the immediate threat is your greatest response to that threat. This action is about immediate survival, there is no time to engage a person that does not want to comply to avoid the threat. Move quickly to a safe place far from the shooter and take cover. Remain there until police arrive and give instructions. Keep hands free and visible to police. "Concealment" is better than nothing, but you should get "Cover". Cover protects you, Concealment just hides you. Do not attempt to move wounded people. DO NOT pull the Fire Alarm and when you are safe call 911. Notify others of your position. NOTE: If you have a concealed carry permit and have a weapon DO NOT take it out; you will be shot. Inform police, they may take you to the ground though you will be alive.

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- 3) **B) Barricade** – Don't just hide under a desk, you must take an approach that again provides time and distance. Be inconspicuous, and out of view of the shooter. If it takes an active shooter time to get to you, they will more than likely not waste time, therefore, you must barricade an entrance to your location. Lock the Door behind you. Create time barriers, doors are preferred to open inwards vs outwards. Turn off lights, close blinds and cover windows. Again, look for secondary exits to get distance and AVOID the threat. Disregard fire alarms. This may be an attempt to lure folks from hiding. Take a proactive position. Be ready to take the next action - "Counter". Make it as difficult as possible for the shooter to access your location. Place heavy objects against a door or wherever you are hiding. Use your foot to wedge the door closed. Do whatever you need to keep separation from the shooter.
- 4) **C) Counter** – If the shooter does access the room you are in, be ready to counter their actions. Remain calm and take immediate action. Do Not Hesitate and do not give in. Fight as if your life depends on it, because it does. Get moving and get loud. Get objects you can use as weapons, throw items at them. Grab the gun and fight for your life. If there are more than one of you then everyone needs to attack the intruder. Safety is in numbers.

C) LAW ENFORCEMENT RESPONSE

- 1) The police will arrive to respond to the emergency, follow these recommendations:
- 2) Comply with the police instructions. The first responding officers will be focused on stopping the AS/HE and creating a safe environment for medical assistance to be brought in to aid the injured. Note that these officers will not tend to the injured or wounded.
- 3) When the police arrive at your location:
 - Remain calm, and follow officers' instructions
 - Put down any items in your hands (i.e., bags, jackets)
 - Immediately raise your hands and spread your fingers
 - Keep your hands visible at all times
 - Avoid making quick movements toward officers such as attempting to hold on to them for safety
 - Avoid pointing, screaming and/or yelling
 - Do not stop to ask officers for help or direction when evacuating, just proceed in the direction from which officers are entering the area or to an area to which they direct you
 - Notify Company representatives that you have evacuated the premises
 - For your own safety, do not get upset or argue if an officer questions whether you are a shooter or a victim. Do not resist, even if you are handcuffed and searched.
- 4) When the police arrive the following information should be available:
 - Number of shooters
 - Number of individual victims and any hostages
 - The type of problem causing the situation
 - Type and number of weapons possibly in the possession of the shooter
 - All necessary Company representatives still in the area as part of the Company's emergency management response
 - Identity and description of participants, if possible
 - Keys to all involved areas as well as floor plans
 - Locations and phone numbers in the affected area

D) POST-INCIDENT ACTION

- 1) When the police have determined that the ASHER emergency is under control, the EHS Manager / Environmental Compliance will provide a facility announcement that the emergency is over by using the prearranged "All Clear".

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E) POLICE INVESTIGATION

- 1) After the police have secured the premises, UMA will arrange to have Management representatives participate in the law enforcement investigation of the incident, including identifying witnesses and providing requested documents.

F) MEDICAL ASSISTANCE

- 1) UMA designates the Emergency Response Team members and appropriate Management representatives who will engage with emergency responders and who will provide medical assistance to injured employees. HR will ensure that all required medical benefit and insurance documentation is provided, as needed.

G) NOTIFICATION OF RELATIVES

- 1) In the event that there is a fatality, or one employee is hospitalized for treatment, the EHS Manager shall notify OSHA. If there is a fatality, OSHA shall be notified within eight (8) hours. In the event of a hospitalization of one employee for treatment, OSHA must be notified within twenty-four (24) hours. In addition, if the fatality or injury is work-related, UMA may have to record the incident on its OSHA 300 Log within seven (7) calendar days.

H) MEDIA

- 1) UMA has designated the president as the only representative who will respond to any media requests for information. Such representatives will carefully consider the nature of any such requests in order to avoid disclosing information about any person that is confidential and protected by Federal and state privacy and medical information laws and regulations and interfering with any ongoing police or internal Company investigation.

I) Facility Management and Security

- 1) Control Access and Account for Personnel
 - All unaccounted-for access cards are deactivated on a continuous basis as soon as they are identified as missing, lost, or stolen.
 - HR will notify off-duty employees of the situation and status through Phone, social media and other means deemed necessary at the given time.
 - A member of the ERT will open gates and provide access to responders if at all capable. Another means is that the police department and fire department have access to the Knox Box with all information and access cards to the facility.
 - Account for full-time, part-time, and contract employees using the Paycom Status report; the receptionist prints one out every 2 hours.
 - Obtain the visitor log
 - Identify employees and visitors who are onsite
 - Identify employees and visitor locations
 - Assist Emergency Responders
 - If possible, there are three locations that security cameras are accessible for view by law enforcement to assist in locating the victims and shooter(s). These can be found at the reception area, in the tower and in the HR office. Additionally, for the AAR these may be used to assist in reviewing for improvements and actual footage of the incident as needed.
 - Site and building maps are in the Knox box.
 - The ERT, if possible, and available management personnel shall direct emergency personnel to the site of the active shooter. Security shall, upon arrival, give access to all emergency personnel; Police, Wayne County Sheriff, SBI etc., as necessary.
 - Security personnel shall clear all lines and keep them open for emergency use only, if possible.

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- Any available radios shall be distributed to Emergency Response Team as necessary. Extra radios may be given to any other emergency responders.
- ERT members, to the best of their ability, shall direct Emergency Response Personnel to the most updated location of the shooter and they shall determine their staging location.
 - ❑ ERT members shall Ensure emergency responders are aware of any safety concerns as they enter process areas such as the MEK Glue room, highly flammable.
- Manage the Perimeter
 - ERT and Management shall assist law enforcement in establishing a secure perimeter to include but not limited to traffic control and diverting media relations. If requested by the law enforcement, control or prevent the entrance of the media.
 - ❑ Responding law enforcement shall establish a media center per local emergency planning.
 - ❑ Responding law enforcement shall establish a safe location to stage evacuees per local emergency planning
 - Identifying Secondary Impacts
 - ❑ Identify additional shooters or other threats
 - ❑ Determine if the shooter has knowledge of the facility or its operations
 - ❑ If necessary, execute safe shutdown procedures

J) Communication Information

- 1) This section outlines the communication equipment, systems, and terminology used at the Uchiyama MFG America LLC for communication among all personnel (i.e., local law enforcement, fire department, Emergency Management Agency, media, facility security, etc.).
 - We will use the Public Announcement System to communicate emergency messages to all plant personnel as the situation warrants. In addition, communication may go through as text messages if possible.
 - The ERT shall use their radios for communication if it is safe to do so. Situations where it may be unsafe to communicate through radios are; but not limited to, when the shooter has control of, or access to, a radio or broadcasting notifications. Also, if the situation may bring notice to your safe location if the shooter hears from your radio, or hears you talking.
 - UMA shall notify Local authorities through use of the home system by dialing "911" or by use of a convenient cell phone .
 - ❑ *The ERT shall broadcast from channel "1".*
 - ❑ *Midland and Motorola radios shall be used for the ERT communication.*
 - ❑ *Each radio shall be Identified by safety and the number on that radio.*

K) Warnings, Messages and Signage

- 1) In order to notify employees and visitors of ASHER events happening at Uchiyama Mfg America LLC, Emergency Notification Messages are pre-scripted. This section includes information related to how messages will reach the employees and visitors, including sample Emergency Notifications, location and method of communicating warnings and messages.
 - Emergency Notifications shall be broadcasted and identified as: An ASHER event.
 - If there is an ASHER taking place, for those workers not at the plant, HR shall provide messaging on Facebook and through text messaging (if possible) that "We have received information that precludes anyone from coming to work or visiting the plant for any reason." This is for your safety. As soon as we conclude our investigation, we will notify all employees as to when it is safe to return to their work sections.
 - Please follow directions of your immediate supervisors for personnel at the plant.

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- If the AS/HE is located outside, the same type message can be disseminated over the loud speaker using the code word and location of the event. ie. "Attention, there is an ASHER in the SW corner of the facility, behind maintenance. Please carefully make your way to the nearest safe exit."

L) Physical Resources

- 1) In the event of an AS/HE resources provided are outlined in the "Wayne County Emergency Response Plan.

M) Activation, Staging, and Mobilization

- 1) The Wayne County Emergency Response Plan contains guidance and procedures for the activation and mobilization of staging areas associated with an emergency. There should be separate staging areas for emergency responders and evacuees or victims of the active shooter incident.

N) Mass Care and Family Assistance

- 1) Wayne County Emergency Response Plan contains guidance and procedures for Mass Care/Family Assistance (a scalable Emergency Support Function) once the evacuees or victims have been transported to staging area(s).

O) Health and Medical Support

- 1) The Wayne County Emergency Response Plan contains guidance and procedures to address health and medical support needed at the staging areas during an emergency incident.

P) Incident Recovery Considerations

- 1) The Wayne County Emergency Response Plan contains guidance and procedures to address victims and families, establish a family hotline, victim identification and:
 - Notify the family members
 - Use personnel who are specifically trained for this responsibility
 - Procure counselors for employees and families
 - Develop an action plan to handle concerns about returning to work
- 2) The gathering of information related to victim identities, extent of injuries, and what hospitals are being utilized.
 - Notify the family members
 - Use personnel who are specifically trained for this responsibility
 - Procure counselors for employees and families
 - Develop an action plan to handle concerns about returning to work
- 3) Communicate Internally
 - Coordinate instructions for management to give to employees
 - Coordinate a plan for communicating the information
 - Consider if employees should return to their homes, remain onsite at a specified location, go to another site, etc.
 - Determine how facility personnel will communicate with families
- 4) Communicate Externally
 - The President is responsible for responding to media inquiries.
- 5) Continue Business Operations
 - Implement UMA Emergency Response and Contingency Plan EN04-001 for business recovery and continuity.
 - Make re-entry decisions after site is released by law enforcement
 - Provide safety and security debriefings
 - Fill positions of deceased and injured employees
 - Take actions to ensure employees feel safe
 - Determine how the facility will continue operating with limited production or
 - Determine how the stage of the facility—shutdown, idle, restoration - affects protocols.

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VII. Post Incident Review/After Action Review Process

- A) This section provides an overview of the After Action Review (AAR) Process. An AAR should be conducted immediately following an exercise/event and should involve representatives from each participating agency. This should include information on major events, all lessons learned, and review any new initiatives developed or identified during the exercise/event. The AAR should also include a discussion of all techniques, tactics, and procedures utilized during the exercise/event to include what went right and wrong. It should identify any issues and consequences resulting from the potential outcomes of those issues. Following the AAR meetings and discussion, an After Action Report/Improvement Plan (AAR/IP) should be written which identifies areas that require improvements, actions required, timelines for implementing the improvements, and the organization and party responsible for this action. The AAR/IP should be shared with all stakeholders, and used to further define the plans and procedures related to events.

VIII. Program and Plan Maintenance

- A) The ASHER Plan will be maintained, reviewed, and updated following the UMA Emergency Response and Contingency Plan EN04-001 cycle that includes planning, training, exercising/responding, evaluating and mitigating. All stakeholders should participate in each phase of this cycle to ensure that the plan reflects the current operational strategies, organizational structures, and methodologies utilized by response personnel. Following each event, training, or incident, an evaluation of all response actions and in-place mitigation measures should be performed. This will allow for the identification of areas to be sustained, improved, or added to enhance the organization or facility overall preparedness.
- B) Program and Maintenance
 - 1) This plan shall be reviewed annually for changes and new information.
- C) Plan Maintenance and Revision
 - 1) This ASHER Plan shall be controlled through normal document control procedures.