Incident Management Plan

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1 Introduction

An incident is an event that has an effect on the way any part of the Unitec delivers its services. Every incident will be managed at the lowest possible level and will only be escalated should support be needed.

If a response to an incident requires coordination because of its seriousness, or because it affects more than one site, the Incident Management structure will be used. The role of the structure is to provide leadership and strategic coordination to the Unitec's operational response.

This plan details the operational procedures that are to be carried out for a significant event that requires a response from Unitec's Incident Management structure. It will reflect the Critical Incident Management (CIM's) framework.

This Incident Management Plan:
- provides a description of the Incident Management structure, the appointments and delegations
- details the responsibilities of and outcomes expected from those who fulfil the roles in the Incident Management Structure;
- indicates how and when the Incident Management structure will be activated;
- sets out the structure and role of the Incident Management teams;
- indicates where information regarding those appointed to the various roles in the Incident Management teams and their alternates can be found;
- lists the location of, layout of and equipment required for each of the Incident Management Centres and alternates;
- details how Unitec will communicate in an emergency, the equipment to be used and the protocols to be followed;
- details the responsibilities of and outcomes expected from those who fulfil the roles in the Site Incident Coordinators, and where their contact information can be found;
- and provides procedures and guidelines to support the management of incidents.

Although this plan is comprehensive in nature, the expectation is that individuals and teams will extract the relevant sections from this document to provide a hard-copy file for their role as well as secured in Incident Management center (IMC).

2 Background

The Incident Management structure is the model used by Unitec to manage its response to actual or potential disasters and/or significant business disruptions. The model reflects the **Coordinated Incident Management Systems (CIMS)** model, which is used in New Zealand by emergency services, government departments and agencies, local government and volunteer groups.

2.1 Structure

The organisational chart below shows the Incident Management Structure and the types of decisions and actions that are taken at each level in the process
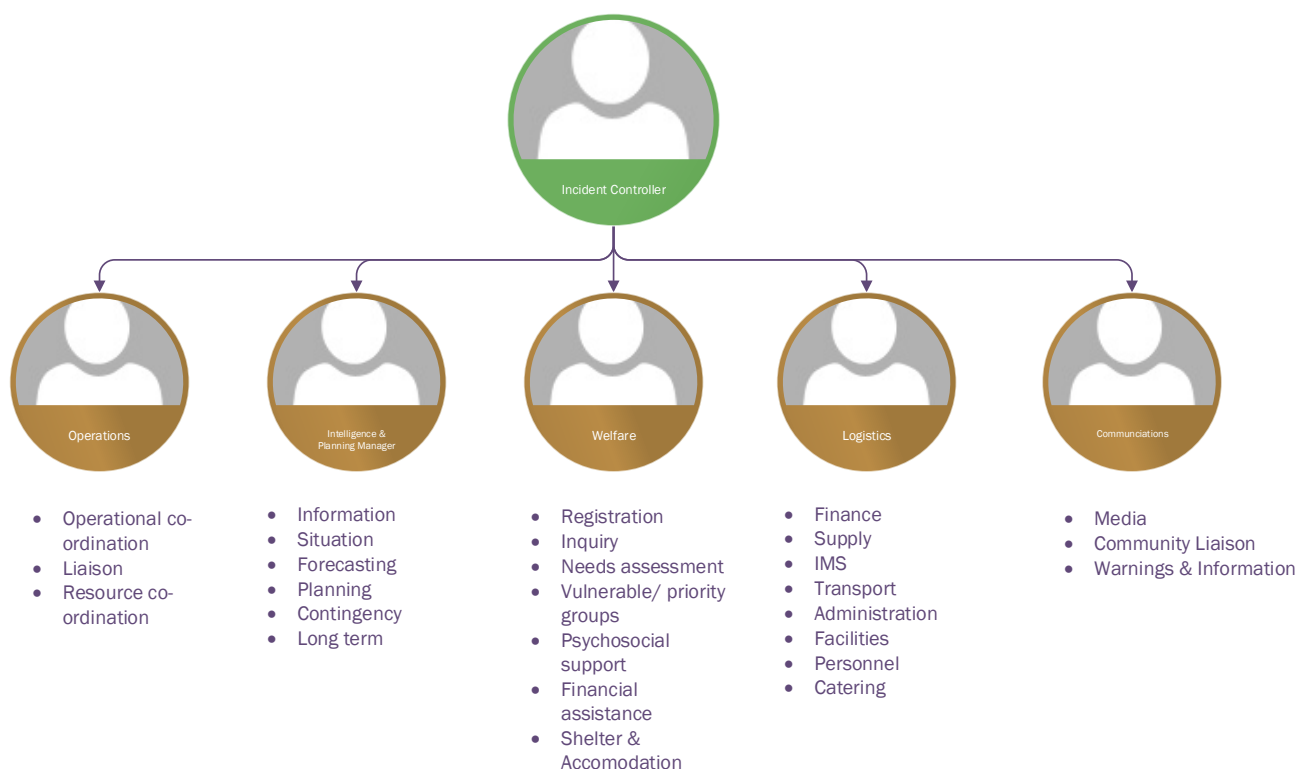
3   Decision making and action levels

3.1 Tactical

- Coordinating the immediate response to an incident.
- Developing the action plans that will implement the strategies.
- Coordinating the implementation of action plans through Groups and business units, and at sites.

3.2 Operational

- Managing the immediate response to an incident.
- Implementation of action plans at Group, business unit and site level

4   Responsibilities

4.1 Incident Controller (Strategic and Tactical)

Responsible to: Chief Executive

Functions:
- ◦ Manage Unitec's response to an incident.
- ◦ Establish the appropriate staffing level for the Incident Management Team and continuously monitor organisational effectiveness to ensure that appropriate modifications occur as required.
- ◦ Coordinate Unitec's response with external agencies.
- ◦ Set priorities for response efforts in the affected area.

◦ Ensure action plans are developed and implemented to ensure the safety of people and the implementation of the Business Continuity Plans.

Supported by: Operations Manager
Incident Management Team

4.2 Operations Manager (Tactical and Operational)

Responsible to: Incident Controller

Functions: ◦ Coordinating the Operations Team with the Information & Planning, Wellness, Communications and Logistics Managers and lead the operational response to the event
◦ Supporting the Incident Controller

Supported by: Incident Management Team

4.3 Incident Management Team (Tactical and Operational)

Responsible to: Incident Controller

Functions: ◦ Coordinating and/or supporting Site Incident Controller/ Coordinator.

◦ Maintaining contact with Henderson Incident Coordinator as applicable

◦ Gather, collate and disseminate information.

◦ Arrange and co-ordinate logistical support to priority functions

◦ Ensure internal and external communications needs are met

◦ Develop an action plan for the Incident Controller

4.4 Henderson Incident Coordinators (Operational)

Responsible to: Incident Control Manager where activated

Functions: ◦ Manage the initial response to an emergency on the site.
◦ Ensure the safety and evacuation of all persons on the site.
◦ Report to the relevant Incident Controller.
◦ Either manage the return to business as usual in a small, single site event, or implement the action plans developed by the Incident Management Team
◦ Keep all staff at the site informed as to actions and decisions.

5   Activation procedures

Activation of the National Incident Management structure will occur for one of five reasons.

1. The spontaneous onset of an emergency or incident such as an earthquake or a building fire.
2. A risk or event from a person or persons with real or potential harm to students or staff
3. The expected onset of an emergency or incident as a result of a warning received (e.g. volcanic activity or tsunami) or information received.
4. The catastrophic failure of systems, such as IT, which has an adverse effect on service delivery.
5. Any incident that may create organisational risk or disrupts normal business, and needs to be managed centrally to ensure a consistent response from the Unitec (e.g. pandemic response).
6. The activation of a CIMS response by another agency that requires a response from Unitec

5.1   Levels of activation

Circumstances will determine the extent to which the Incident Management Teams are activated and staffed. Three levels that define the Incident Management Teams' operational status are:

Standby – an impending situation that may lead to an emergency event or incident. This may be an extreme weather warning, pandemic warning, volcanic eruption alert, tsunami warning or some other unforeseen event that provides some lead time before it has an effect on Unitec's services.

- The People & Infrastructure team are connected to public information issuance of risks.
  If knowledge of the possibility of any other incident is received by some other person within Unitec it will be passed to the Director of Health & Saftey, Director of Enrolments & Academic Operations or Executive Director – People & Infrastructure who will assess the situation and decide a course of action.
- The Incident Controller will keep the CE and ELT informed of developments and possible outcomes.
- Incident Controller places the Incident Management Team on standby, calls any necessary planning meetings that the circumstances may require and keeps the wider team informed.

Partial – an impending situation that may lead to an incident has developed to the stage where it is starting to affect the delivery of Unitec students, staff or service delivery. The Incident Management Team is activated and starts monitoring the situation.

- ELT meet and are briefed by the Incident Controller
- Incident Controller notifies IMT and the Incident Management Centre is set up.
- Incident Management Centre is manned to the level required to monitor events and implement action plans that may be required. Information & Planning Team starts developing information as required and identifying the information sources.
- Communication systems available are set up and sites at risk notified of status and are required to remain in contact.

Full Activation – a sudden onset incident, such as an armed assailant, bomb threat or earthquake has occurred without warning **OR** the situation above has worsened. The Incident Management Centre is activated and all facilities and personnel are set up and in place to respond.

- ELT are briefed by Incident Controller
- The Incident Management teams is set up and are briefed on current situation.

- Information & Planning Team starts developing information as required and identifying the information sources if not already under way.
- Operations Team meets as soon as possible and start developing options for responding to the event.

5.1.1   Stand down

When the incident has terminated or is at such a level where full staffing of the Incident Management Centre(s) is not needed, personnel will be stood down accordingly.

- Incident Management team is reduced or stood down depending on the state of the incident and requirements.
- Hot debrief is undertaken when Teams are stood down.
- A formal handover to the ELT will be conducted by the Incident Controller
- A post event debrief is undertaken to review the conduct of the event and to either validate structures, procedures and processes or identify where improvements can be made.

5.1.2   Contact of Incident Management Team staff for activation

During Office Activation - if activation is required during office hours an activation email is sent to all IMT staff advising them of the activation and asking them to attend an initial briefing. This will be followed by a text to ensure everyone receives the message in a timely manner.

Out of Office Activation - if activation is required out of hours all contact to IMT Staff will begin with a text message to warn staff of activation and either advising them to expect a telephone call or asking them to report to the Incident Management Centre.

If the former, IMT Staff will then be called by the Incident Controller or their delegate, briefed and advised if they will be required at the Incident Management Centre. If phone calls by either mobile or landline are not possible, then information will be sent by text to advise IMT staff to report to the Incident Management Centre, and where this may be if the primary location is compromised.

Where an event has obviously occurred that will affect Unitec, and IMT members are not contacted soon after, they are to assume that contact is not possible and make their way to the Incident Management Centre in the first instance.

Contact Details - staff contact details are held and maintained by the Executive Assistant to the CE and include during and out of office contact information. Regular updates will be issued to Incident Controllers and Operations Managers to ensure contact details are uploaded on their mobile phones.

5.2   Contact of staff and the passing of warnings & messages

It is the strategy of the ELT that all affected Unitec staff will be passed information about an incident, and kept informed as an incident develops, by their immediate manager. General information will come from a central source

Contact tree

It is the responsibility of each Group to maintain a contact tree that is regularly updated. The contact tree will operate in the following way:

- each person that has responsibility for staff will maintain a contact list that has the name, work number, mobile numbers and home numbers of all staff members that report to them
- There will be a person within the Group nominated to keep the contact system up to date
- each person that has responsibility to pass messages on will have a listed alternate

- messages will be passed face to face where possible, or by text or phone if after hours or people are off site
- messages passed on in this way need to be consistent with that received

Despite best efforts, it is not expected that all staff will be able to be contacted using the contact tree system. To allow staff that cannot be reached to be able to access information regarding their workplace, regular updates will be placed on the Nest, the internal website. If staff members are aware that an event has occurred and have not been contacted by their manager, they should visit the website if possible. Students will be contacted via outbound txt messages, intranet and IVR Messaging via inbound phone lines

6   Incident Management Teams' functions

The Incident Controller team consists of five distinct functions.

6.1   Operations

The Operations Team will:

- set the broad strategies that will guide the development of the Action Plan
- facilitate a 2-way flow of information between their business units and the planning and intelligence section
- coordinate the implementation of the Action Plan
- forecast resource usage to Support Section and request resources as needed.
- align groups and business units and adjust the Action Plan as the situation changes.
- provide business unit staff to support the development of Action Plan detail.

6.2   Information & Planning

In minor incidents, the Incident Controller and Operations Manager will undertake the analysis of information. More complex incidents require an Information and Planning section to be established to:

- Identify information required to make good decisions
- gather required information from external and internal sources
- liaise with other agencies
- record activity and, most importantly, decisions and actions
- prepare briefs and reports required of the Incident Management Team
- provide planning and research support to the Operations Team.

The size of this team will be scaled according to the task. Core staff will be provided from Administrative teams, supplemented from business units as required to develop Action Plan detail.

6.3   Logistics

Managers or senior staff of the key support functions of Back office functions – namely IT, Property, Procurement and Finance, will constitute the Logistics Team. Their role will be to meet the logistical needs of the IMT in implementing responses and plans.

6.4   Communications

The Communications Manager will provide both internal and external communications in respect of Unitec's response to an emergency.

6.5 Welfare

The Director Student Success will lead a team supporting the wellbeing of students. They will be supported by the Director of HR Operations to support staff, & Infrastructure Operations Manager to support/ lead contractors.

6.6 Responsibilities of all team members

As well as their responsibilities to the Incident Management Team, all Team members have a responsibility to ensure they are personally prepared to fulfil their function within the Team.

6.6.1 Readiness (prior to an event)

- Maintain knowledge of Unitec's plans, processes and standard operating procedures for managing an event
- Ensure they have personal and family disaster preparedness plans in place
- Take part in regular training and exercises and maintain preparedness for activation and response
- Ensure their contact details held by the Executive Assistant to the CE

6.6.2 Activation

- Look after their own immediate health and safety needs and the needs of staff in their vicinity, or if at home, the needs of their household and neighbours
- If required, respond to the Incident Management Centre

6.6.3 Response

- Monitor any personal family issues that may have an effect on their availability and bring to the attention of the Incident Controller or Operations Manager if these require their attention

6.6.4 Post event

- Participate in debriefs to evaluate the response and capture lessons learnt
- Assist in the update of plans and procedures to improve future response capability.

7 Incident Management Procedures

7.1 Information sources

Information coming into the Incident Management Team will come from a variety of sources and in different formats.

The majority of information will be received electronically by the normal systems of email, text and phone. Where these sources are inoperative, or usage is restricted, alternative systems such as VHF/ UHF radio will need to be utilised where available.

The media is a good source of information, and within the Communications Team a person or persons should be assigned to monitoring media and summarising information for the Information & Planning Team.

7.2 Communications

There must be a dedicated effort to ensure that telecommunications systems, planning and information flow are being managed in an effective manner. Normal Unitec communications systems and procedures will be utilised where possible, and standard Unitec terminology used.

For the incident management structure, telecommunications methods will be used according to the following priorities:

- Telephone (land line or mobile) for immediate conversations
- Text for activations and short messages
- E-mail for information transfer
- Audio or video conferencing

7.3 Information Management Procedures

Having standard procedures that are used in all Unitec Incident Management Centres will mean that communications and reports follow the same format, that there will be a consistent approach to recording information and events, duplication will be reduced and the quality of decisions made enhanced.

Procedures in detail can be found at Appendix 3.

7.4 Action Plans

Action Plans (APs) shall be created to provide a formal structure to progress Unitec's response to an event. The AP can be a single action in a small event, or can be subdivided into sections according to sites, functions or activity. APs can also be developed within time frames, for example, an AP for the first 24 hours, followed by a new AP for the next 48 hours, next week, etc.

APs will be developed in two stages:
- The Incident Controller and the operations team will develop an outline of action plan
- The outline will be passed to the IM&P team, who will develop the AP in detail.

The final AP will be signed off by the Incident Controller. The AP will include provisions for regular review and update to keep abreast of changing circumstances.

A guideline for the development of an AP is at Appendix 4.

8 Appendices

8.1 Appendix 1

8.1.1 Managers and Teams

8.1.1.1 *Incident Controller*

RESPONSIBLE FOR:

- Leading Unitec's operational response to the event.
- Maintaining an overview of response activities.
- Approving any outputs of the Incident Management Team.
- Keeping the CE and ELT informed of progress and Incident Management Team activities.

ACTIVATION AND SET UP:

- Obtain initial briefing/situation report from the first responder(s) to the event.
- Assess the scope and impact of the event;
    - Verify the details of the event
    - Consider what priority functions and locations may be impacted
    - Consider how the situation might develop
    - Consider the impact on the resources required to maintain the priority functions.
- Brief the CE and ELT;
    - Discuss and agree on initial objectives and critical success factors for the Incident Management Team.
- Activate, appoint and task the Incident Management Team according to the size and complexity of the event.
- Brief and advise the Incident Management Team;
    - Current situation, including status of the event
    - Ensure the Incident Management Team members understand their roles, task duties
    - Advise the Operations Manager the timetable for regular briefing/coordination meetings and location.
- Ensure the Operations function initiates contact with the business units to inform them of the event and the activation of Unitec's Incident Management Team, and to obtain an initial situation summary.
- Ensure I&P Team is informed of the immediate reporting requirements and timeframes.

ONGOING:

- Provide Incident Management Team oversight and management and ensure the core role of the Incident Management Team is being delivered appropriately.
- Brief the CE and ELT as the situation develops.
- Approve all Incident Management Team products and media/public information statements.
- Ensure an action plan is developed and maintain oversight of progress.
- Monitor the response coordination;
    - Confirm critical success factors for the Incident Management Team
    - Determine the key tasks required and assign them
    - Request status reports and monitor progress.
- Authorise resources as required / requested by the Incident Management Team.

STAND-DOWN:

- Determine stand down of the Incident Management Team and its activities.
- Lead event review/debriefing activities and modification/update of Unitec's plans as appropriate.
- Provide final report to CE and ELT.

8.1.1.2 Henderson Incident Controller

RESPONSIBLE FOR:

- Acting as the Incident Controller in an event where the Incident Controller and the Incident Management Team cannot function.
- Act as delegated by the Incident Controller where a significant event at Mt Albert requires coordination.

ACTIVATION AND SET UP:

- Obtain initial briefing/situation report from the site or Incident Controller.
- Assess the scope and impact of the event;
  - Verify the details of the event
  - Consider what priority functions and locations may be impacted
  - Consider how the situation might develop
  - Consider the impact on the resources required to maintain the priority functions.
- Activate, appoint and task their Incident Management Team according to the size and complexity of the event.
- Brief and advise their Incident Management Team;
  - Current situation, including status of the event
  - Ensure their Incident Management Team members understand their roles, task duties
  - Advise their Operations Manager the timetable for regular briefing/coordination meetings and location.
- Ensure their Operations function initiates contact with the business units to inform them of the event and the activation of their Incident Management Team, and to obtain an initial situation summary.
- Ensure I&P Team is informed of the immediate reporting requirements and timeframes.
- Advise Incident Controller when operational.

ONGOING:

- Provide their Incident Management Team oversight and management and ensure the core role of their Incident Management Team is being delivered appropriately.
- Approve all Incident Management Team products.
- Ensure an action plan is developed and maintain oversight of progress. Liaise with the Incident Controller regarding outcomes.
- Monitor the response coordination;
  - Confirm critical success factors for their Incident Management Team
  - Determine the key tasks required and assign them
  - Request status reports and monitor progress.
- Authorise resources as required / requested by their Incident Management Team.
- Keep the National Incident Controller informed with regular situation reports.

STAND-DOWN:

- Lead event review/debriefing activities in their location and participate in any national review/debriefing, including the review of Unitec's plans and procedures.
- Provide final report to Incident Controller.

8.1.1.3 *Operations Manager*

RESPONSIBLE FOR:

- The day to day project management of the event.
- Supporting the Incident Controller to lead the operational response to the event.
- Understudying the Incident Controller in his/her absence. This includes signing documents and decision-making.

ACTIVATION AND SET UP:

- Attend initial briefing by the Incident Controller on current event status.
- Determine, with the Incident Controller, whether the Incident Management Team (or part of the Incident Management Team) will work as a virtual team or the Incident Management Centre established.
- Identify, appoint and task the Information Management and Planning and Logistics teams, with the Incident Controller, according to the size and complexity of the event.
- Convene a meeting of the Operations team as early as possible, confirm the information gathered to date and what parts of Unitec's services are affected
- Confirm communication channels (E.g. how and who in the Incident Management Team will communicate with the affected site/s).
- Establish Incident Management Team tempo – duration of daily activity, timing of key daily meetings and outputs, shifts etc.

ONGOING:

- Run the Operations Team meetings and planning.
- Coordinate the activity between the Operations Team and the I&P Team, ensuring that all actions are scoped, planned and completed.
- In the absence of the Incident Controller, approve all Incident Management Team products and media/ public information statements.
- Monitor progress with the action plan.

STAND-DOWN

- Convene "hot debriefing" session within 24 hours of the end of the incident
- Conduct a debrief and lessons learned workshop within 10 working days of the incident ending
- Prepare final report regarding the incident, its conduct and lessons learned for the Incident Controller to sign off within 20 working days of the end of the incident.

8.1.1.4 *Information and Planning Manager*

RESPONSIBLE FOR:

- Intelligence. Oversee the gathering, analysis and dissemination of event information;
    - Gather, assess all information on the event
    - distribute relevant information on the event to the Incident Management Team;
    - Develop the Incident Management Team reports (Eg: Situation reports, CE/ ELT briefings).
- Planning. Oversee the planning activities for the response;
    - Develop and maintain the event action plan, with the assistance and input of other members of the Incident Management Team
    - Based on current information and advice, develop contingency plans addressing probable next stages of the response.

ACTIVATION AND SET UP:

- Attend initial briefing by the Incident Controller on current event status.
- Gather and assess the current information – complete the initial Situation Report .
- Confirm reporting schedule with Operations Manager.
- Initiate and establish the Incident Management Team processes;
    - Incident log
    - Incident Management Team meetings: frequency, timing and location
    - Handover (if running shifts)
    - Reporting structures.
- Identify information sources relevant to the event (internally within the team, externally) and establish links.
- Source, collate and analyse information as it becomes available; monitor sources as the situation progresses.

ONGOING:

- Maintain a liaison function with the key information sources.
- Continuously collate, clarify and assess all information received.
- Prepare and present reports as per the Incident Controller requirements, including status reports to the Incident Management Team, Situation reports, briefings.
- Monitor the response and update action plan accordingly – brief the Incident Management Team on changes once approved by the Incident Controller.
- Maintain an appropriate level of understanding about what is happening in each area of the Incident Management Team and other key groups.
- Ensure key issues, decisions, actions and activities are appropriately recorded and managed, escalate any issues to the Operations Manager.

STAND-DOWN

- At the end of the incident ensure the complete Incident Log is available to the Operations Manager and Incident Controller
- Participate in hot debrief and subsequent debriefing meetings.
- Assist Operations Manager with the preparation of the post incident report.

8.1.1.5 Operations Team Members

RESPONSIBLE FOR:

- Liaison with their business unit to ensure a coordinated response.
- Management of requests to and from their business unit.
- Coordination of operational activities across business units to maintain priority functions.
- Escalation of risks to maintaining priority functions to the Incident Controller

ACTIVATION AND SET UP:

- Attend initial briefing by the Incident Controller on current event status.
- Establish contact with their business unit representatives in the affected area, identify a single point of contact.
- Identify the status of their business unit and any immediate priorities;
    ◦ which priority functions have been affected
    ◦ Impact on the priority function
    ◦ how long it is likely to take to get them back
    ◦ Upcoming critical times/ priorities.
- Provide an initial situation summary to the I&P Team for inclusion in the initial reports.
- Report business unit status to Incident Controller
- Begin implementation of the operational response activities, as directed by Incident Controller

ONGOING:

- Ensure all activities are recorded.
- Manage and direct any requests to and from their business unit.
- Coordinate operational activities across business units to maintain priority functions.
- Collect and maintain up-to-date information of the wider Unitec actions and capabilities.
- Be part of strategic planning that will determine the outline action plan.
- Assist Planning and Intelligence to develop detailed action and contingency plans for the next phase of the response.
- Oversee the implementation of the action plan in their business unit.
- Identify operational problems and conflicts affecting their business unit, and either resolve in accordance with the priorities set by the Incident Controller or escalate as required.
- Report significant events and progress to the Incident Controller or Operations Manager.
- Ensure key issues, decisions, actions and activities are appropriately recorded and managed and the information is passed to the I&P Team.
- Review incoming information for significant issues related to the emergency and flag for relevant Incident Management Team members.

STAND-DOWN:

- Participate in hot debrief and subsequent debriefing meetings.
- Ensure debriefing information from Groups and Business Units are collated and presented at debriefings.

8.1.1.6 *Communications Manager*

RESPONSIBLE FOR:

The effective and efficient functioning of specialised communications from Unitec including:

- **Planning input** - providing input and specialist advice into the Unitec's planning and response management.
- **Leadership communications** - ensuring consistent, timely and appropriate communications to the Minister/s and some other specific key stakeholders.
- **Staff & Student Communications** - ensuring consistent, timely and appropriate communications to staff and students.
- **Communication strategy** – developing and implementing a workable plan to deliver key messages and media responses.
- **Specialised channels** - coordinate the release of information to public and media using appropriate communications channels and media (spokespeople, web, social media, press releases, publications, flyers, 0800 numbers, etc).
- **Staff & students** - ensuring consistent, timely and appropriate communications is provided to all Unitec staff & students about the event and response activities.

ACTIVATION AND SET UP:

- **Briefings** – attend initial briefing by the Incident Controller on current event status.
- **Streamlined communications approval process** – agree with the Incident Controller the streamlined process for sign off of communications including any content restrictions.
- **Communications Strategy** – Prepare a communications strategy and an implementation plan appropriate for the event including developing key messages and how the Incident Management Team will communicate with its various audiences.
- **Government spokespeople links** – establish and maintain liaison with the Government spokesperson.
- **Spokespeople support** – ensure a Unitec spokesperson is available when required.

ONGOING:

- Ensure the smooth running of the specialised communications function of the Incident Management Team including;
  - **Teamwork** – liaise with other members of the Incident Management Team concerning stakeholder communications
  - **Communications plan alignment** – regularly review and assess the communications plan and advise Incident Controller on communication strategies
  - **Key messages** – produce relevant, timely communications to stakeholders including key messages, media releases, etc
  - **Briefings** – contribute to briefings from the Incident Controller on current event status
  - **Leadership messages** – monitor and oversee specialised communications to key stakeholders including staff, the public and the Minister's office
  - **Monitoring** – monitor media sources and other channels for relevant information
  - **Agency consistency** – coordinate with other incident supporting organisations communications staff to ensure consistent messages to the media, where required
  - **Quality, timely web and phone information** – ensure Unitec's website information and information provided by the Contact Centre is maintained and up-to-date
  - **Media updates** – organise media briefings and conferences.
  - **Keep track** – ensure key issues, decisions, actions and activities are appropriately recorded and managed.

- Staff informed – work with the Operations Team to provide timely, consistent and appropriate communications to Unitec's staff and students, particularly those directly affected, throughout the event, and monitor staff & student feedback to ensure needs are met.

STAND-DOWN:

- Ensure smooth transition to business as usual.
- Take part in debriefing and modification of Unitec's plans as appropriate.
- Update and handover any key documentation.

8.1.1.7 Welfare Manager

RESPONSIBLE FOR

- Providing advice on the human resource impacts of an event.
- Providing support to impacted managers and their staff.
- Providing input and specialist advice into Unitec's planning for response management.

ACTIVATION AND SET UP

- Attend initial briefing by the Incident Controller on current event status.
- Agree the sign off process for key HR decisions with the appropriate Unitec leaders including the Incident Management Team's authority e.g. special leave.
- Assess the initial situation and likely impact on staff and ensure key decisions are made in a timely manner. This may include;
    - What are the necessary leave considerations .e.g. special leave, annual leave, etc
    - Will staff pay be affected and is there anything Unitec can do to help
    - What offices/locations are closed and for how long? Consider short term and longer term impacts
- Are any statutory powers affected and do the powers need to be delegated.
- Liaise with Finance to establish impact on staff pay, etc.
- Make initial contact with the Employee Assistance Programme (EAP) to establish assistance programmes for managers, staff & students.
- Liaise with the Communications Manager to ensure initial communication by appropriate communication channels to managers and all staff is done and meet the needs of staff.

ONGOING

- Ensure key issues, decisions, actions and activities are appropriately recorded and managed.
- Arrange EAP services as determined.
- Work with Communications functions and the Operations Manager to provide timely, consistent and appropriate communications for staff.

STAND-DOWN

- Ensure smooth transition to business as usual.
- Take part in debriefing and modification of Unitec's plans as appropriate.
- Update and handover any key documentation.

8.1.1.8 *Logistics Manager*

RESPONSIBLE FOR:

- Liaison between Unitec's Incident Management Team and teams responsible for support functions to ensure coordination and progression of response activities.

ACTIVATION AND SET UP:

- Attend initial briefing by the Incident Controller on current event status.
- Support the initial setup of the Incident Management Centre.
- Establish initial needs and possible longer term needs. Establish Logistics team with skills and specialisations to meet needs, which may include:
    - Facilities Management
    - procurement
    - IT
    - Finance
- Establish status of the affected site(s) including:
    - Building status – consider whether there is an immediate need for short term/long term relocation
    - Staff & student safety
    - telephones
    - IT
    - Initial security needs
- Establish immediate and ongoing information needs of the I&P Team that the Logistics Team can provide and establish information flow
- Make initial contact with property manager(s) or landlord(s) of leased buildings affected.
- Initiate ICT Disaster Recovery Plan if necessary

ONGOING:

- Determine the level of ongoing response required
- If required, locate and secure short term/long term lease agreements with new properties
- Support the relocation of staff and facilities to any new locations
- Work with IT to ensure all the technology needs are appropriately considered and managed during a building refit or relocation.
- Ensure key issues, decisions, actions and activities are appropriately recorded and managed

STAND DOWN:

- Ensure smooth transition to business as usual
- Take part in debriefing and modification of Unitec's plans as appropriate
- Update and handover any key documentation

8.1.2 Initial assessment of an incident

Activity	Action	Resources
Ensure staff & student safety	• Ensure immediate health and safety of staff and students	• Emergency procedures
Incident Controller meets with key members of IMT.	• As soon as possible after the event, the Incident Controller should meet with: 　◦ Operations Manager 　◦ I&P Manager • Undertake initial assessment as below.	
Initial Assessment of scope and impact	• Verify as much detail of the event as possible • Assess whether the event has – or has the potential to - disrupt our ability to maintain priority functions. Areas to consider include: 　◦ People: any possible loss of capability/ capacity? 　◦ Facilities: any loss of access to a facility or facilities, infrastructure damage? 　◦ Technology: any failure in IT infrastructure or telecommunications? 　◦ Information: any loss of access to critical information? 　◦ Suppliers and contractors: any failure of a critical external provider? • Assess scope: is the impact localised to one site, one geographic location, one business unit, or Unitec-wide? • Assess impact: 　◦ What priority functions are/have the potential to be affected, and to what extent? 　◦ What is the likely duration of the event? 　◦ Extent of impact on people and resources? 　◦ Upcoming critical times?	
Decide scale of response	• Consult with CE if available, and other ELT members if necessary. • Activate IMT to the required level and advise all necessary of the activation. • Commence setting up Incident Management Centre if required. • Task I&P Team with: 　◦ Gathering information – establishing facts 　◦ Establishing the details of the incident and other pertinent information, confirm conflicting information 　◦ Establishing the status of staff, students and facilities, e.g. are there any injuries or damage	

	◦ Confirm who was at work at the time of the incident and ensure that all staff are accounted for ◦ Ensure that staff & students are congregated in a central location(s) and have been given access to telephones to advise family that they are safe.	
Initial operations team meeting	• Convene a meeting of the Operations Team. The agenda could include: ◦ Assess the Business Impact ◦ Brainstorm required action for urgent and critical issues ◦ Develop an outline Action Plan (AP) ◦ Prioritise and assign tasks to the I&P team and other staff as necessary to develop detail of AP ◦ Establish timeline for reporting back as information is gathered and tasks are completed ◦ Ensure that staff actions and priorities within business units are consistent with overall business recovery strategy ◦ Ensure that where possible manual workarounds are implemented for critical processes ◦ Minimise the disruption to customers and stakeholders ◦ Communication priorities and processes ◦ Establish what communication systems/methods are available ◦ Identify who is to be communicated with, what information they require, how communication will be made, frequency of communication ◦ Confirm who is the direct contact for Media enquiries ◦ Confirm time, date, and location of next meeting	

8.1.3 Incident Controller - Guidelines

The Incident Controller's function is to exercise command and control over Unitec's response to an extreme event, and has the overall responsibility for staff & student safety, wellbeing and ensuring critical functions continue.

Task	Description
Assess the incident	Ask yourself these questions: • What is the problem? • How is the situation likely to develop? • How might the situation be improved? • What resources will be needed?
Assume control	Assume control and identify yourself to everyone involved. This reduces confusion about who is in charge when circumstances demand dispensing with the usual lines of authority. Establish an Incident Management Centre and inform those involved of its existence and how to communicate with it.
Appoint staff	Appoint staff according to the size and complexity of the incident. Anticipate management needs, and appoint the necessary staff early on.
Establish liaison	Establish links with Police, MCDEM and local CDEM structure as situation demands. Appoint a person to maintain contact and liaison if required.
Ensure Initial Response strategies are developed and implemented	This should focus on immediate life-saving and response actions, mobilisation of resources and information gathering. Brief this verbally if possible.
Ensure Action Plan is developed	Follow the process outlined in this Plan to develop an Action Plan. If the IMT prepares the Plan, you need to provide initial guidance, oversee development (to ensure it meets your intent) and approve it.
Brief CE, ELT, subordinate Incident Controllers and IMT of the Action Plan	Once completed, the Action Plan must be briefed. Ensure everyone understands the mission, concept of operations and coordinating measures. Indicate clear expectations and time restraints, and use sufficient resources. Ask questions to ensure understanding. This might be done in person, over radio or by teleconference.
Liaise with other agencies	Ensure that other agencies that need to be aware of the Action Plan are informed.
Observe response activities	See what resources are needed at lower levels, check progress and ensure compliance with the Action Plan.
Report to the CE/ELT	Use Sitreps and briefings as a basis for regular reports to the CE and ELT. Keep them well informed and consult where needed.

Task	Description
Conduct IMT Meetings	Conduct meetings with the Incident Management Team. Determine the frequency, location, and duration of each meeting. The meeting should focus on the; • development of the event and its impacts • the progress of the response • resource issues • public, media and governance reactions • future operations. These meetings should not inhibit or replace normal communication and discussion with the Operations Team members at any time.
Keep a log of activities	Keep a record of all activities, issues, and decisions. If necessary, utilise an assistant to assist with this. Make sure all information is passed to the I&P Team to add to the master file.

8.1.4 Information Management and Planning - Guidelines

Complex incidents demand high levels of hazard and environmental analysis. The I&P Manager needs to consider the key tasks described below.

Task	Description
Get a briefing from the Incident Controller	Familiarise yourself with the 'big picture' and your role in the initial stages. Ensure copies of all information gathered in the early stages is pulled together onto the Incident Log. Either start the Incident Log yourself, or delegate. Obtain a copy of any situation reports prepared or received to date, initial response strategies approved by the Incident Controller, Logs, and a summary of the resources available. Get clear direction on the initial activities to be undertaken.
Familiarise yourself with the requirements of the IM&P function	Take the time to understand what will be required of the I&P Team, where it will be located, what personnel and equipment it will require, what its responsibilities will be and what the current tasks are. Determine the sub-functions needed within the I&P Team; this will determine the staff and resources required. Activate and brief the required staff. Familiarise yourself with the location, personnel and equipment of other functions, particularly the Operations Team. Make yourself known, and be clear with them of the requirement for information they gather from their business units to be passed to the I&P Team.
Development of the Action Plan	You are responsible to develop the Action Plan detail. Ideally this will be based on an outline plan developed by the Operations Team, which you should be involved in to provide continuity. If you require specialist staff from business units to help develop the detail, request them from the relevant Operations Team members.
Develop Action Plan Updates	The Action Plan may require modification while it is active. Work with the other IMT members to modify the plan as needed to ensure it matches current and developing circumstances. The Incident Controller will approve any updates. Operations will issue these updates. Ensure version numbering is clear and consistent to reduce confusion.
Process information about current and predicted hazard impacts	Use the available information about the hazard(s) to help forecast how it will develop and the resulting impacts on Unitec's response. Utilise other agency input and knowledge as well as technical experts for this.
Process information about current and predicted environmental effects	Use available information about the environment (demographics, terrain, weather etc) to help forecast how these will impact on Unitec's response. Utilise other agency input and knowledge as well as technical experts for this.

Task	Description
Develop Contingency Plans	Once the Action Plan is complete and the hazard and environmental information processed, make time or delegate a person or team to develop any contingency plans that may be required. This can be resource intensive, so weigh up the benefits of creating these plans versus the staff time needed. Focus on those scenarios that are either highly probable and/or have the potential for high damage. Consult with the Incident Controller and Operations Manager on the need for these.
Disseminate plans on completion	Following the completion of each plan, ensure they are disseminated as required. The Operations Team will disseminate the Action Plan or any contingency plan that is about to be activated to their business units.
Collate response information	Collect information about the incident, including response activities, situation reports, maps, and estimates of losses. Not all information will be needed or useful, so some guidance on what is required will be needed. Collate this response information into situation reports, maps and briefings.
Disseminate response information	Disseminate situation reports, maps and briefings to agreed recipients on an agreed basis. Establish a schedule for when these products are to be disseminated.
Keep a log of activities	Keep a log of all activities, issues, and decisions.

8.1.5 Logistics Manager - Guidelines

The Logistics Manager is responsible for providing facilities, services, and materials to support incident management and business continuity in line with the course of action decided by the Incident Controller and wider team.

Task	Description
Get a briefing from the Incident Controller	Familiarise yourself with the 'big picture' and your role. Obtain a copy of the situation report and any logs. Get clear direction on the initial activities to be undertaken. To be successful, the Logistics Manager needs information from the Incident Management Team about: • which facilities are involved and their status • what ICT services have been affected • what resources will be needed to resume services
Appoint Logistics team	Appoint Logistics team members as required. Brief them on their duties. Team may include: • ICT Manager and staff • Procurement manager and staff • Property Manager and staff • CFO and staff
Assist in the development of the Action Plan	Help to develop the Action Plan. Ideally this will be the Logistics Manager, who will subsequently assist with the implementation of the plan. In particular, provide input on the likely availability of resources, and whether planning options are logistically supportable.
Plan how the Support function will be organised	Arrange resources needed to implement the Action Plan. This may comprise: • Procurement—organising additional personnel, equipment and supplies • IT – recovery of systems • Facilities—preparing and managing locations for work, including temporary locations • Transport and travel—providing transport and travel for personnel and supplies • Catering—providing food and refreshments to response personnel • Finance—organising accounts for supply purchases, temporary premises, equipment hire, etc.
Plan for resource location and deployment	Develop a system to ensure resources assigned to the incident or procured are moved efficiently to the required location, and ensure this information is passed to the I&P Team to form part of the master records.
Keep a log of activities	Keep a log of all activities, issues, and decisions, and ensure a copy is provided to the I&P team.

8.1.6 Communications Manager - Guidelines

The Communications Manager and Team will prepare, disseminate, and monitor information to Unitec staff and students, CE and ELT, stakeholders and the public. The Communications Manager should consider the key tasks described below.

Task	Description
Obtain a briefing from the Incident Controller	Familiarise yourself with the 'big picture' and your role. Obtain a copy of situation reports, Action Plan (when completed), Logs, and a summary of the resources available. Get clear direction on the initial activities to be undertaken.
Familiarise yourself with the Comms function	Take the time to understand where the Comms function needs to be located, what personnel and equipment are required to meet the projected demand, what its responsibilities will be. Determine the sub-functions needed within the Comms Team, and appoint such staff as necessary. Delegate - don't try to do everything. Familiarise yourself with the location, personnel and equipment of other functions
Liaise with other facilities and agencies	Liaise with counterparts in organisations and Government agencies as circumstances dictate;
Coordinate media releases	Develop all media releases for Unitec, and coordinate media releases with Communications Manager. Make sure the public within the affected area receive complete, accurate, and consistent information about the provision of Unitec's services affected by the event.
Develop format for dealing with media	Develop the format for press conferences/briefings with the Incident Controller and Communications Manager.
Update external and internal information.	Utilise Nest, the external website and the Concentrix to disseminate information. Ensure that there are regular updates provided to keep information current. Set up an appropriate schedule to ensure this happens. Allocate staff to this function, and create the links with other business units within Unitec where necessary to achieve this.
Look after media relations	Keep an effective and positive relationship with the media, and monitor broadcasts and written articles for accuracy. Advise the Incident Controller of relevant media responses to the incident.
Keep a log of activities	Keep a log of all activities, issues, and decisions.

8.2 Appendix 2

8.2.1 Unitec - Communications Plan Template

Disaster event related communications are focussed on three areas:

1. Staff & student welfare information and engagement – for staff and managers in the affected area.
2. Information for the public – to provide information about justice services and how to access them
3. Organisation-wide information and updates – to keep all Unitec staff and managers informed

To ensure all Unitec communications are accurate and contain the same information they will be based on the information updates sent to Ministers and key stakeholders at the end of each day.

1.   Staff & student welfare information and engagement
The Incident Management Team is the key channel for communications with and between affected staff. Information for affected managers and staff should be provided through direct communications, usually verbal. Managers receive formal messaging and updates prepared following decisions from the Incident Controller. Managers contact staff directly, using a phone tree to relay messages to staff and help with staff welfare. This 'face-to-face' approach is backed up by information on Nest (https://thenest.unitec.ac.nz/TheNestWP/), and for staff with internet access but no intranet access, on Unitec website https://www.unitec.ac.nz/

A Facebook page or Yammer thread to help connect staff with each other should be considered. This will provide another channel for key Unitec messaging and allow affected staff in particular to communicate with each other. The page would be updated daily – unless there is no information to share. This is a supplementary channel to the main communications channels as it requires the staff member to have both an internet connection and Facebook account.

2.   Information for the public
Unitec's main channels to provide information are:
- Unitec's website https://www.unitec.ac.nz/ The homepage will have an event specific section added as a quick link. This will include information on justice services, a media update and information for affected staff. The website should be updated at least daily; more often if new information is important.
- Concentrix – calls will be redirected to an IVR (Integrated Voice Response) announcement. The CNX call centre will need to be kept up to date with the current situation and how the public in the affected area can access Unitec's services.
- Media - A media update with factual information about the state of services and information for users of Unitec's services should be sent out daily. The information should be provided in a format that can be replicated as factual information on media websites and in general news coverage of the event. It would also be published on the media page of https://www.unitec.ac.nz/

     Reactive media inquiries would be managed on a case-by-case basis by the communications Team.

     Media support may be required by specific business units that have a significant function in the wider response to the event, such as coronial services.

3.   Organisation-wide information

Nest is the channel to reach all staff across the organisation. Regular updates should be provided – unless there is no relevant or new information to communicate. The components are:

- **Nest** stories providing news and updates
- A **Yammer Message Board** that provides staff with the opportunity to comment about the event
- A **Nest HR Event Support page** that will provide Employee Assistance Programme information and HR related guidance to affected staff

Implementation of Communications

The Communications Manager has overarching responsibility for all communications and will form part of the Incident Management Team, reporting to the Incident Controller.

The Communications Manager will assist the CE and ELT to communicate with Minister's offices and the key stakeholders.

The Incident Controller is responsible for approval of communications material, including information to the CE and ELT.

8.3 Appendix 3

8.3.1 Information Management Procedures

8.3.1.1 *Information Flow*

It is essential that early on in any event all possible sources of information are identified and tapped into. These will be a mixture of internal sources and external. All parts of the Incident Management Team need to be proactive in seeking information, and continually contact or access sources to refresh and update the information.

It is particularly important that internal information is directed to the Information & Planning Team. The diagrams below indicate the main sources of information for inwards information, and the primary recipients of information from the Information& Planning Team.
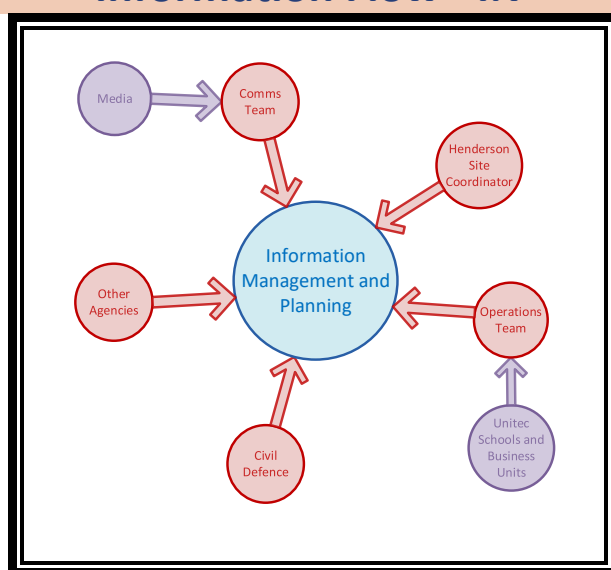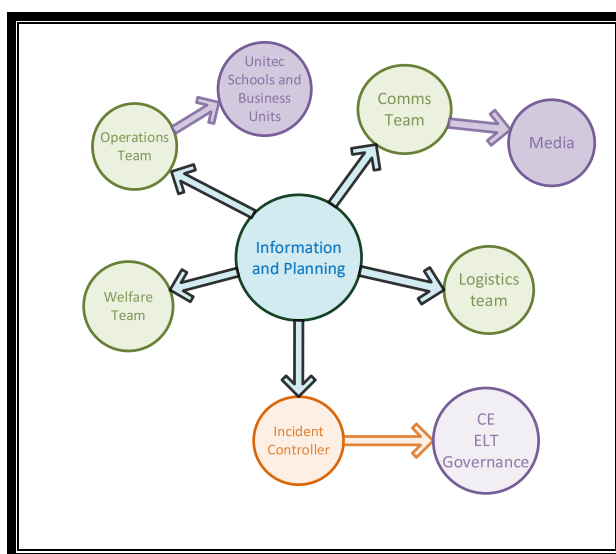

Diagram 1

Diagram 2

8.3.1.2 Recording Information

It is important that all communications are recorded, and the information, whether considered relevant or not, is passed to a common point within the Information and Planning (I&P) Team where it is recorded in what is called the **Incident Log**.   The incident log records each item of information sequentially, and what action has been taken with each piece of information. A standard format is used, a copy of which is at Appendix 6. The log may be kept in a written form, but it is desirable that it is kept electronically.

In most events, a member of the I&P Team should be dedicated to keeping the incident log and master file.

The function of the incident log is to provide the Incident Controller and the Incident Management Team with a record of information received and disseminated, activities notified, underway and completed and an auditable record of actions and decisions made during an event.

A hard copy of each piece of information is placed sequentially on a master file with the corresponding log entry number marked on the front page. Where, for example, a phone conversation is reported verbally, a word document note or handwritten note should be passed to the I&P team member.

Similarly, minutes of all meeting should be kept, and the minutes should include a record of actions agreed to, who they have been delegated to and any time frames agreed. A copy of any such minutes should be included in the incident log.

Information in the format of reports, action plans, instructions, requests or media releases that are sent from the Incident Management Team is also recorded in the incident log in the same manner, with hard copies placed on the master file.

8.3.1.3 Information Management Cycle

The I&P Team will collect, evaluate and analyse all incoming information for currency and correctness, aimed at producing information that is accurate, up to date and can be used by the Operations Team and Incident Controller to decide on the necessary actions. The Team will also use the information to produce forecasts on how the hazard and environment may affect the response and how the incident can be expected to develop.

The diagram below provides a guide as to how the information management process can be implemented.
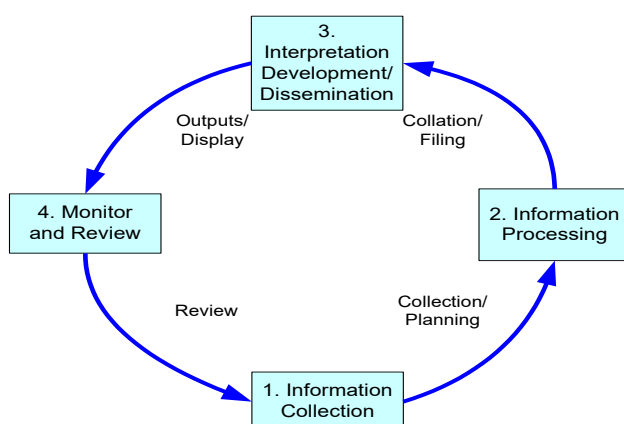
Step	Description
1. Information Collection	• Collection involves the systematic planning and acquisition of relevant information from all available sources and agencies.

Step	Description
	• Data needed for the development of information is collected before, during, and after an incident. It is essential to have business as usual information (eg info about buildings, street maps) that will assist in the collection process identified prior to an event.
2. Information Processing	• Evaluation is the appraisal of an item of information in terms of its credibility, reliability, relevance and accuracy. • Collation involves the systematic and planned management of the collected information, so that it is assembled into meaningful groupings and stored in ways that make the information easy to access and use. This can be done in a variety of ways, but the most useful will be by site, by function or by location.
3. Interpretation, Development and Dissemination	• Interpretation is the analysis of all collected and collated information in order to draw conclusions. Interpretation involves working out the significance of information. • Development and dissemination is the step where the outputs of the information management process are produced in a way that can be utilised by the Incident Controller, Operations Team and other parts of the Incident Management Team. This can be in the form of Action Plans, Situation Reports (SITREP) or briefings. • The display of processed information in a manner that can assist decision making and the monitoring of the implementation of action plans within the coordination facility is the responsibility of the Intelligence function.
4. Monitor and Review	• The effective function of the intelligence cycle requires the monitoring and review of the information collected and the intelligence product delivered. Monitoring and review ensures that the collection and processing steps are focussed on key information gaps and that the intelligence product being disseminated meets the needs of the recipients.

8.3.1.4 *Reports*

Situation Reports (SITREPS) should be created on a regular basis to bring together and provide an overall picture of the impact and Unitec's response. These reports will form the basis for internal briefings, forward planning and dissemination of information to staff, stakeholders and external agencies. Each event will be different, and will require different aspects to be reported on. A template that can be adjusted to meet the demands of each event is at Appendix 5.

Situation reports should be done at least twice a day:

- once in the morning between 9am and 10am that gives the current situation, any changes that have occurred overnight and the proposed activity for the day;
- and once late afternoon or early evening, between 4pm and 7pm, that gives an update on the current situation, what was achieved during the day, any activities proposed for overnight and issues that will be planned for in preparation for the next day.

Early on in an event the Incident Controller and Operations Manager need to confer and decide the frequency and timing of reports, bearing in mind the needs of the recipients. Depending on circumstance recipients may include:

- CE and ELT.
- Students
- Unitec staff.
- Commissioner
- Minister of Tertiary Education, Ministry of Civil Defence and Emergency Management,
- Other Departments and Agencies.
- Public.

8.3.1.5 Information Display

Within the Incident Management Centre there may be the need to display information for quick reference. Early on in an event the I&P Team will decide what needs to be displayed and in what format. Displays may include:

- Maps showing damage areas, transport status
- Information on status of IT, phone and mobile systems
- Lists of key contacts
- Building status
- Weather
- Resources available and allocation

8.3.1.6 Information Technology

The Incident Management Centres at the Mt Albert campus and the alternate location has not been permanently set up with IT equipment, so upon activation, members need to bring their IT equipment

If Unitec's internal systems cannot be accessed it is possible to gain access to the Outlook email addresses and contacts through **Office 365** as long as there is an internet connection.

8.3.1.7 Network Logon and Emails

Procedures for emails, logons to the network and the circumstances under which communications using the network can be maintained are being developed by the IT Business Group.

8.4 Appendix 4

8.4.1 Guidelines for developing Action Plans

This Appendix provides a guideline to the development of an Action Plan (AP) which details the desired outcome of the management of an event, and how it will be achieved. An effective AP will:
- Integrate all Groups and business units within Unitec into a cohesive response
- Increase situational awareness across business units and groups
- Coordinate activities towards a common goal, and
- Reduce risk, duplication and conflicting actions

The AP is owned by the Incident Controller it will be developed in two stages:
- After an event has been assessed, and its effect on Unitec's services and people quantified, the Incident Controller, Operations Manager and the Operations Team will meet to develop the outline response. This outline AP will be high level, and state the problem and what needs to be achieved. If necessary, this could be taken to the CE and/or ELT for consideration before moving to the next stage.
- Once the outline plan has been signed off, it will be passed to the Information and Planning Team (I&P Team) to further develop the details. including:

8.4.1.1   *Action Planning Model*

The planning process shown below in Diagram 3, and described in this section is based on the "Operational Planning P' process that has been used and proven worldwide. It is used by the New Zealand Defence Force and New Zealand Police, and is being adopted by Emergency Management organisations as part of a revamp of the CIMS structure.
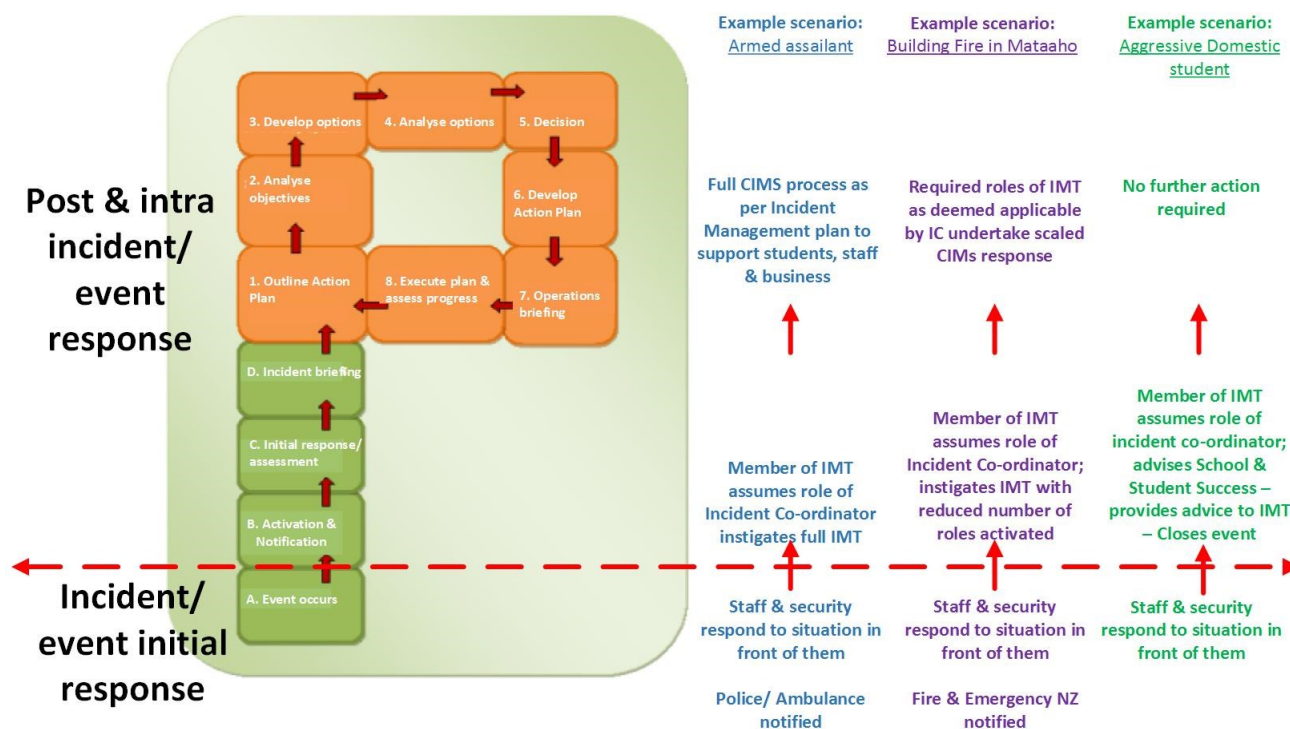
Reactive incident response & CIMS initiation

Diagram 3

The **initial response** is triggered by the event (steps A-D in Diagram 3, shown in green) and is carried out at the start of the response to the event.

The **planning process** itself is shown in brown (steps 1-7). Once the planning process has been completed and an AP issued, the process continues in a loop around steps 1-7.

8.4.1.2 Initial Response

A. Incident
   The process begins when an event occurs, or with recognition or warning that an event is about to occur (for example, pandemic, tsunami warning).

B. Notifications
   Incident Management staff and Unitec leadership are alerted to the event.

C. Initial response and assessment
   This step covers the immediate actions of the persons affected, whether the event is confined to Unitec staff, it's students or it is community wide. It includes the evacuation of affected buildings, establishment of Unitec's incident management structure and the initial gathering of information and passing it through the incident management system to the I&P Team. This step may take minutes, hours or stretch into days depending on the complexity of the event.

D. Incident briefing
   The I&P Team brief the Incident Controller, Operations Manager and Operations Team on the scope and scale of the event, and it's probable and possible effects on Unitec's people and services.

8.4.1.3 Action Plan Process

1. **Outline Action Plan**

   The Operations Team meets and develops the outline AP, which initiates the action planning process.

   The outline AP is a broad statement of what the event is and what needs to be done. It will address:

   - Priorities. What are the priority issues?
   - Goal(s). This should be a clear, concise, time bound statement on what needs to be completed to achieve the goal or goals.
   - Location. Can existing sites be used? If existing facility cannot be used, what is the alternate location?

2. **Objective analysis**

   This is where the detailed development of the AP commences – where the Incident Controller and the IM&P Team determine the steps that need to be taken to achieve the goals set in the outline AP. It consists of the following steps:

   Reviewing the situation, confirming:

   - the resources available and required
   - actions to date
   - initial impacts and ongoing impacts (for example, aftershocks after a major earthquake)
   - geographical and functional areas of Unitec affected
   - timeline for the response, how long is available to complete the AP.

   Determining the intentions of the wider Government, and leadership of Unitec

   Determining the tasks. These will be based on the outline AP. Which elements will be in the overall AP, and which will be developed as a separate AP (such as wellness).

   Determining freedoms and constraints. Freedoms are issues that the Team can determine for themselves, and constraints are restrictions that are imposed on the Team. For example, if Government or the CE has determined a time for a particular action to be completed, that is a constraint; if there is no specified time frame this is a freedom. The Government may determine, for example, that all education providers are to close, this is a constraint. Considering freedom and constraints gives the team a clear understanding of their options and the operational boundaries.

   Identifying critical facts and assumptions. Facts are statements of known data (for example resources available at the time planning commences). Assumptions are substitutes for fact used to allow planning to proceed (for example, resources that may be made available during the response). Assumptions need to be made to allow planning to proceed, and the lack of data about a particular problem should not delay the process. However, assumptions need to be recorded as such in the planning, and verified as soon as possible. There is real danger in assumptions continuing until they become facts.

3. **Options development**

   During this step, the Team develops options that will achieve the goals. If the event is straight forward or limited in scope, options may not be required. If options are to be developed, they:

   - should be different from each other
   - must achieve the goals

- should have acceptable levels of risk
- must be feasible
- reflect the impact analysis, in particular the most dangerous/worst case scenarios for the event to develop
- take into account available resources and time.

If two or more options need to be developed, the Team may be split to work separately.

4. **Options analysis**

   If options have been developed, this step analyses the options against the most likely and the worst case event scenarios to determine the most acceptable option. This step should include meeting with and consulting the Operations Team, to ensure they fully understand the options and can have all the required information for the next step.

5. **Decision**

   The options are presented to the Incident Controller and Operations Team, with a recommendation. After discussion and consultation with CE and ELT if appropriate, the Incident Controller will confirm the option.

6. **Action Plan development**

   In this step, the detailed AP is written. If time is short, it may be written as a briefing to be delivered verbally, and followed up with a fully worked up plan as time allows. Specialist plans that have been developed need to be included as appendices. Details should include:

   - Sub plans for each activity if necessary
   - Detailed actions that are required to achieve each goal. For each action within the AP, there needs to be clearly defined who is responsible for implementation and the timeframe that it will be achieved by.
   - Limiting factors that may have an effect on achieving the goal.
   - What resources will be required or work need to be done to provide a fit for purpose facility? What needs to be done to make it fit for purpose?
   - Personnel required, their capability, specialists & present location. Accommodation, travel and support for staff or students that have to be relocated in support of the response.
   - IT needs
   - Health and Safety to ensure safe practices
   - Wellness of affected staff and students. This can be included in the primary AP in a small event, but in a larger event will need to be the focus of a separate plan prepared by the Wellness Team. If the latter approach is utilised, it needs to be referenced within the primary AP to ensure everyone involved knows how the Wellness function is being delivered.
   - Communications. This also can be included in the primary AP, or a separate AP in a larger event. It must also be referenced in the primary AP.
   - Supplies required in support of the AP
   - Reporting regime. Who by, to whom and how often. Key information required so progress can be monitored.

7. **Operations briefing**

All members of the Incident Management team are briefed by the Incident Controller, and written copies of the AP or brief are handed out. The Incident Controller also will brief the CE and ELT.

8. **Executing the Action Plan and assessing progress**
    Once the AP has been issued, it is the responsibility of the IM&P Team to monitor the implementation. They are assisted by the Operations Team who will continually feed information back from business units regarding progress and inform of any changed circumstances that may require the AP to be adjusted or amended. Any major change may require the Incident Controller to work through the process again and reissue the AP as an updated version.

8.5 Appendix 5

8.5.1 Situation Report – Sitrep template

Emergency Management

Situation Report

REPORT NO:		# of pages :	DATE & TIME:
PREPARED BY (Name):			LOCATION:
CONTACT DETAILS:			VALID UNTIL:
			NEXT REPORT DUE:
Incident Summary:			
Incident Impact Assessment (people, processes, systems):			

Action Taken:

Resources (In place)

Resources (That may be required)

Factors (Weather and other factors or limitations should be noted)

Predicted incident development (Note how this situation is anticipated to evolve)

General Comments:

8.6 Appendix 6

8.6.1 Incident log - template

**IMT Operations
Event Log
(IMT Checklist 5)**

Date:			Recorded by:	
Sheet number:			Event:	
Time	To/From	Name	Description	Action