SECURITY SERVICES

CRITICAL INCIDENT MANAGEMENT STRATEGIC FRAMEWORK

Version 1.1                                      30 August 2012
Authority

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<tr>
<th>Version</th>
<th>Authorisation</th>
<th>Approval Date</th>
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<td>1.0</td>
<td>Vice - President, Finance &amp; Operations</td>
<td>25 June 2012</td>
<td>01 July 2012</td>
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</table>

Document Control

Review and History
The content of this framework document is managed and controlled by Security Services who will ensure that this document is reviewed when any significant structural or operational changes necessitate it, and at least annually. Any suggestions for improvement or amendments to this document should be forwarded to emergency@unsw.edu.au.

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<td>1.0</td>
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<td>24 June 2012</td>
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<tr>
<td>1.1</td>
<td>Critical Incident Response Team</td>
<td>30 August 2012</td>
<td>Appendix 2 - Key critical incident responsibilities by position – Inclusion of 3rd tier contacts for the Critical Incident Response team.</td>
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Distribution and storage

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This document is publicly available on the UNSW website, which will contain the current version. The electronic version is stored in TRIM file no. 2012/02605. Printed versions, with the exceptions above, should be considered uncontrolled copies.

Acknowledgements

The support and assistance of the University of Canterbury and the University of Technology Sydney in developing this documentation is gratefully acknowledged.
1. Introduction

1.1 Purpose
This strategic framework is the overarching document that provides a ‘roadmap’ to the entire critical incident (encompassing emergency and business continuity) management system at UNSW. This document:

- defines the various terms in use;
- articulates the broad approach to, and principles for, management of critical incidents/emergencies and business continuity at UNSW;
- outlines the processes in place to support the efficient management of the various phases of a critical incident, including related documents;
- defines the roles and responsibilities relevant to critical incident/emergency management and business continuity planning, including roles of committees and key individuals;
- clarifies the interrelationship between various units within UNSW with responsibilities relating to critical incident/emergency management and business continuity planning and response, particularly Security Services, the Risk Management Unit, Health & Safety Unit and Media and Communications Unit; and
- outlines the training which supports critical incident/emergency management and business continuity initiatives.

1.2 Principles
In the event of an emergency or critical incident at UNSW, the following principles should guide all actions:

- Ensure the safety & wellbeing of students, employees and the general public (including following the cessation of the emergency). This principle overrides all others;
- Ensure assets are protected and prevent harm to the environment;
- Ensure that normal operations are maintained or resumed as quickly as possible;
- Ensure that internal and public confidence is enhanced through a visible and professional response;
- Ensure legislative compliance;
- Optimise the financial implications; and
- Undertake action to prevent reoccurrence, and to improve future responses.

Critical incident management arrangements must be flexible enough to adapt to any type of incident, and provide sufficient support to allow for sound and rapid decision-making, particularly during the response phase.

1.3 Scope
The scope of this strategic framework extends to all Faculties, Divisions, Business Units, Research Centres, Controlled Entities and Affiliated Organisations located on a UNSW Campus.
UNSW ADFA (Canberra) has site specific plans and procedures for Emergency Management & Business Continuity.

1.4 Glossary
Definitions of key terms used throughout this document are provided in Appendix 1.

2. Background
2.1 Definitions

A number of different terms are used in emergency management and business continuity documentation. To avoid potential for confusion the various terms are clearly defined below as they are used at UNSW. (For ease of reference, these definitions, and a number of others, are also included in the Glossary in Appendix 1).

<table>
<thead>
<tr>
<th>Term</th>
<th>Definition</th>
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<tbody>
<tr>
<td>Incident</td>
<td>A localised event at UNSW, either accidental or deliberately caused, which may result in or have potential for injury, ill health, death, damage or other loss, and for which the response resources of UNSW are sufficient to cope, with no or minimal support from external agencies. The impact to University operations is minimal.</td>
</tr>
<tr>
<td>Emergency</td>
<td>An unplanned event that arises internally or externally, which may adversely affect persons or the UNSW Campus generally, and which requires an immediate and highly structured response from the University and Emergency Services to prevent or mitigate injury or death to persons, harm to the environment or damage to property. The impact on University operations can range from moderate to severe.</td>
</tr>
</tbody>
</table>
| Critical incident (OR crisis)      | An incident with sufficient impact to potentially overwhelm the usual coping skills of UNSW, and with potential to significantly harm the university during and after the immediate incident. A critical incident has a crucial or decisive aspect requiring a considered, coordinated and immediate response from senior management to prevent the situation from significantly worsening and to minimise the future ramifications. Critical incidents may be physical, such as major fires or chemical incidents, or they may be less tangible such as a political issue with potential to significantly damage the university’s reputation. The latter category is managed by the Vice-Chancellor and the Executive Team and is outside the scope of this framework. A critical incident may cause or have potential to cause any of the following:  
  - A fatality, serious injury or other serious harm to staff, students or visitors  
  - A significant impact on business operations and continuity  
  - A threat to UNSW’s operations  
  - A threat to the financial viability of UNSW  
  - Adverse attention by national media and government agencies or  
  - Significant litigation to be threatened or initiated against UNSW |
| Disaster (OR catastrophe)          | An occurrence causing widespread destruction and distress, often irremediable. A disaster is likely to be beyond the capacity of the prescribed statutory authorities and requires special mobilisation and organisation of resources other than those normally available to those authorities. |
| Disruption event                  | An event that causes or is likely to cause a change from normal management processes and operations by necessitating recovery processes and consequent direction of resources and management activity to achieve the recovery. |

‘Incidents’ occur at UNSW virtually on a daily basis and are managed in-house with minimal assistance from external organisations if required. Examples include theft, a minor water leak, minor fire or false alarm, minor injury, assault or power loss to a non-critical building. Incidents are commonly managed by staff or Security Services with minimal involvement from senior management. An incident becomes an emergency when the University response resources are insufficient to deal with the incident and additional external resources are required to manage and
coordinate the response. (This does not include incidents where emergency services attend as standard practice, such as attending false alarms).

Critical incidents, which are considered to be equivalent to a crisis but will be referred to as ‘critical incidents’ throughout this document, are those requiring a timely and coordinated response from senior management. Many events would be classed both as an emergency and a critical incident, such as major fires or explosions, natural disasters affecting campus, validated bomb threats, terrorist attack, shooter on campus or major hazardous material spills or leaks. However, an emergency does not necessarily become a critical incident. For example, a staff member having a heart attack is a medical emergency but is unlikely to become a critical incident unless there are spin-off effects (for example they are operating critical equipment at the time which causes some significant failure). Traffic accidents will often be defined as an incident if minor, or an emergency if someone is seriously hurt or killed, but is unlikely to become a critical incident.

A critical incident will be officially declared as such by the Manager, Security Services or in their absence, their second in command or delegate. If an incident is escalated to a critical incident, the persons managing the event internally will also increase in seniority. If an incident is declared a critical incident, an Incident Controller will be established for the duration of the immediate incident, supported by a Critical Incident Response Team (CIRT) and the Management Recovery Team (MRT), which are invoked until such time as the response and recovery activities respectively are substantially completed. These teams will be discussed further under Section 3.2.

2.2 Critical incident phases
UNSW considers that there are six phases of a critical incident or emergency:

1. **Risk identification & assessment** – where risks are considered, based on site inspections and experiences both on and off campus; and then prioritised based on their potential consequence and likelihood.
2. **Reduction** – measures are put in place to reduce the likelihood of adverse consequences from risks, either by reducing their potential magnitude of impact or their likelihood. (These measures may be enough to prevent an incident from escalating into a critical incident, for example).
3. **Readiness** (or preparedness) – putting in place contingency measures, including resources and services, to ensure that if a risk does eventuate that it can be managed efficiently, or at least coped with (for example, ensuring that adequate, functioning alarms and fire-fighting equipment is held).
4. **Response** – the actions taken in anticipation of, during and immediately after an emergency or critical incident to ensure that its effects are minimised and that people affected are given immediate relief and support.
5. **Recovery** (and continuity) – the coordinated process of supporting the reconstruction of physical infrastructure and restoration of emotional, social, economic and physical wellbeing.
6. **Review** – a systematic and periodic process of evaluation by top management of the effectiveness, adequacy and ongoing suitability of the critical incident management system. This should take into account stakeholder feedback and the learnings from drills or critical incidents which have occurred at UNSW or comparable organisations, and should entail the allocation of additional resources if required.

A critical incident management system encompasses risk management, emergency management and business continuity processes, which will overlap to varying degrees.
3. UNSW critical incident management system

Given the wide-ranging nature of operations at UNSW, the large number of staff, students and visitors and the geographic spread of our facilities, the critical incident/emergency management and business continuity framework is complex and involves a number of stakeholders in its development and implementation.

In broad terms, the key elements of the management system are as follows:

- **Planning** – encompassing the identification of risks and legislative requirements and development of strategic plans to minimise risk and improve processes
- **Implementation** – encompassing the allocation of roles and responsibilities; allocation of resources; development of communication processes; training; documentation and development of operational control processes
- **Checking and review** – by top management to ensure that this framework is adequate and effective. This should occur at least annually, and more often if required after each critical incident as part of the debriefing process.

These are discussed in more detail below.

3.1 Planning

Planning for emergencies and subsequent business continuity processes requires an understanding of key risks and strategies for mitigation, as well as relevant legislative and other key requirements, to inform the development of relevant plans.

**Risk identification**

Key areas of risk relating to emergency management are identified by individual faculties and divisions/business units in the development of Business Impact Assessments, which are updated each year. The process for establishing these documents is outlined in the Business Continuity Management Handbook.

A high-level business risk register is maintained by the Risk Management Unit and a risk register covering OHS risks for the whole of UNSW is under development by the Health and Safety Unit.

**Identification of legal and other requirements**

The Emergency Coordinator in Security Services, Director of Risk Management and Manager Health and Safety Unit periodically review relevant legislative requirements and update UNSW documentation and processes as required to ensure compliance.

Key legislation which informs the development of UNSW documents and processes include:

- *Work Health and Safety Act 2011 (NSW)*
- *Work Health and Safety Regulation 2011 (NSW)*
Particularly relevant Australian Standards include:

- **AS/NZS ISO 31000:2009 Risk management - Principles and guidelines**
- **AS/NZS 4801:2001 Occupational health and safety management systems – Specification with guidance for use**
- **AS 3745:2010 Planning for emergencies in facilities**
- **AS 1851:2005 Maintenance of fire protection systems and equipment**
- **AS5050:2010 Business Continuity – managing disruption related risk**

3.2 Implementation

**Roles and Responsibilities**

A number of groups and individuals play key roles relating to management of critical incidents. These are described in more detail below.

**Management Recovery Team**

Governance of, and strategic input to, critical incident/emergency management and business continuity is provided by the Management Recovery Team, comprised primarily of university executive. This team is officially invoked whenever a critical incident is declared, but also will meet periodically, nominally six-monthly, to discuss the planning arrangements in place, the adequacy of the existing system and resources, and to undertake relevant professional development as required. This group is chaired by the Vice-President Finance and Operations, and in their absence, the Vice-President University Services. Other team members are listed in Appendix 2.

**Critical Incident Response Team**

In the event of a critical incident, a Critical Incident Response Team will be established to manage the immediate incident response and limit loss of life, harm and property damage. Leading this team will be the Incident Controller, supported closely by several senior staff from key operational areas. The Incident Controller will typically be the Director, Facilities Management, and in their absence, the Associate Director Campus Services. Other members are listed in Appendix 2. The Incident Controller is delegated with the authority to issue instructions to all other staff during the critical incident period. However, if external emergency services attend they will assume overall management responsibility for the incident and their instructions would override the Incident Controller if there were conflicting instructions.

The Critical Incident Response Team and Management Recovery Team will work closely together in the event of a critical incident. A schematic showing the different focus of each group is included in Figure 1 on the following page.
Figure 1 – UNSW Critical Incident Response Organisation Structure*

**Emergency Control Organisation/s**
- Immediate response to critical incident (eg managing evacuations, first aid etc) until additional support arrives
- Provide information to CIRT as required

**Critical Incident Response Team (CIRT)**
Focus on immediate incident response to limit loss of life, harm and property damage

**Incident Controller**
(Director Facilities Management; alternate A/D Campus Services)
- Assess incident and manage the response
- Manage Critical Incident Response Team
- Inform Management Recovery Team (primary briefings)

**Security/Intelligence**
(Manager Security, alternate 2IC or delegate)
- Liaison with Emergency Services and other agencies
- Liaison with ECOs
- Manage and supervise ground resources (security)
- Analyse information received and project event scenarios
- Maintain incident log
- Follow up information requests and personnel as required
- CIRT administration functions
- Inform MRT (secondary briefings)
- Inform the Incident Controller

**Building Operations/Logistics**
(A/D Asset Mgt; alternate Manager Maintenance)
- Determine and request additional required resources
- Manage and supervise ground resources (FM maintenance)
- Service and support incident response locations and facilities
- Inform the Incident Controller

**Health & Safety**
(Manager Health & Safety, alternate delegate Health & Safety Unit)
- Monitor events & flag issues
- Feed information to Security/Intelligence
- Inform the Incident Controller

**Vice Chancellor**
- Provide public assurances as advised by MRT

**Management Recovery Team (MRT)**
Chair: Vice - President Finance & Operations, alternate Vice - President University Services
Focus on communications and recovery by:
- Reviewing the current status of the critical incident as briefed by the Incident Controller
- Supporting response needs as requested by the Incident Controller
- Coordinating and preparing communications (includes internal and external advisories and bulletins, media releases)
- Overseeing the transfer of responsibility for the recovery phase of the incident and ensuring the allocation of any resources required (physical or human)
- Ensuring the appropriate level of ongoing care, counselling and medical support is provided.
- Considering public and any family implications in relation to the incident
- Addressing any legal, financial, insurance, accountability or compliance issues in relation to the incident
- Enabling and contributing to a review process and determining any subsequent change in policy, procedures or physical structures
- Advise Vice-Chancellor

* Refer to Appendix 2 for additional detail about group composition and alternate membership
Emergency Control Organisations

In addition, across the University there are a number of Emergency Control Organisations (ECOs), which comprises volunteers from faculties, business units and affiliated organisations unique to a building. Each ECO is responsible for managing the initial response to an emergency, particularly evacuations if required or administration of first aid, until other support arrives, including Security Services and external emergency services. ECOs typically meet on a six monthly basis to discuss relevant matters and undertake training as required.

There are currently almost 60 separate ECOs across the campus. Details can be found at the following site (zpass required):


An individual staff member/s may assume different roles during and following a critical incident/emergency, depending on the nature of the event. More detailed information about roles and responsibilities is included in Appendix 2.

Emergency Services (external agencies)

The role that will be assumed by the various emergency agencies is outlined in Appendix 2.

Resources

In the event of an emergency where it is required, the Emergency Operations Centre (EOC), a central command centre for UNSW and external agencies to control and coordinate an emergency operation will be used. The primary location on campus which has been established is Committee Room 4 (G04) of the Chancellery (C22).

The secondary location on campus is the Basement, Red Centre Building Security Office.

Should a critical incident extend across the whole UNSW Kensington Campus the University would establish it’s EOC at the Randwick SES Headquarters which has an active Emergency Operations Centre.

The EOC contains supplies and equipment which will be of use in the event of a critical incident. Security Services also maintain equipment which can be used in the event of an emergency.

The Management Recovery Team will ensure that adequate resources can be obtained in the event of a critical incident.

For major events which place significant stress upon the university’s resources, support may be sought from other universities either within Sydney or elsewhere.
**Training, Awareness & Competency**

UNSW will conduct at least one emergency drill in each building per year to assess staff and student awareness in emergencies. These drills are managed by Security Services with coordination by the Emergency Coordinator.

An annual tabletop exercise relating to the Business Impact Assessments and Business Unit Recovery Plan is also conducted with Faculty/Divisional units where emergency procedures are practised. In addition, all staff and students are encouraged to review the Emergency Procedure Flipcharts which are distributed across campus buildings. This training is coordinated and run by the Risk Management Unit.

The University provides training to all members of the Emergency Control Organisations as they assume their roles. Chief Wardens and deputies undertake a one day face-to-face training program while other wardens undertake a three hour training session which includes an online component and practical fire extinguisher training. Refresher training is available to wardens upon request. First Aid officers undertake formal first aid training with a refresher required every three years. This training is arranged and coordinated by the Emergency Coordinator.

It is also planned that training of ECOs in building-specific aspects and requirements will commence rollout in 2012.

**Communication**

In the event that a critical incident is declared, all internal communications and notifications shall be coordinated by the Incident Controller. Until that point, the Manager Security or their delegate is responsible for coordinating all internal communications. Where possible, and if time allows, the UNSW Incident Controller and Manager Security Services will liaise with Director Media and Communications before staff and student communications are sent. A communications tree has been developed to minimise the risk of key stakeholders not receiving notification, and this is included in Appendix 3.

All external communications (other than with Emergency Services) and particularly dealings with the Media will be managed by the Director, Media & Communications or their delegate. Updates on the University website and emails to all staff (if necessary) shall also be via this Unit.

In addition, there is an SMS service (UNSWalert) to notify registered subscribers of an emergency. All staff and students may register to receive these alerts via their myUNSW accounts (under Personal Details – Phone, with the option to OPT IN for the Emergency SMS Service). There are currently approximately 5,500 subscribers who receive one test SMS each year as well as any actual emergency SMS’s.

**Documentation and operational control**

A number of documents articulating the controls in place, including plans and procedures, support this strategic framework. The interrelationships between these documents are illustrated in Figure 2 on the following page.
Figure 2 – UNSW emergency management and business continuity documentation (grouped by target audience) (current as at 10 April 2012)

Legend: Responsibility for production

- Facilities Mgt
- Health & Safety Unit
- UNSW Health Services
- Risk Mgt
- IT
- Health & Safety Management System
- Risk Management Policy

Critical Incident Management Strategic Framework

Emergency Management Plan

Business Continuity Mgt Handbook

UNSW Business Impact Analysis

Management Recovery Plan

Management Recovery Team

IT Recovery Plan

IT

Faculty/Business Unit Business Impact Analyses

Business Unit Recovery Plans

Faculty/Business Unit Reps

Campus Community

Security Services

Security Control Room Emergency Action Guide

Code Black Lockdown Procedures – Building Emergency

Emergency Contacts Register

Security Services Standing Instructions & Procedures

Emergency Control Organisation Handbook

Building-specific Response Plans (under development)

Emergency procedures (flipcharts)

Emergency website

UNSW Emergency Control Organisation/s

Management Recovery Team

Emergency Action Guide

Code Black Lockdown Procedures – Building Emergency

Emergency Contacts Register

Campus Community

Health & Safety Management System

Risk Management Policy

Campus Community
3.3 Checking and review

Upon the cessation of the response component of a critical incident, and after the recovery activities are substantially underway, a debrief will be held to discuss the successes and weaknesses in the preparedness and response. Lessons learnt will inform actions to continuously improve this strategic framework and its various components.

Executive management, via the Management Recovery Team, meet periodically as required but at least every six months, to review the effectiveness, adequacy and suitability of the critical incident management system.
### Appendix 1 - Glossary

<table>
<thead>
<tr>
<th>Term</th>
<th>Definition</th>
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<tbody>
<tr>
<td><strong>Business continuity management (BCM)</strong></td>
<td>Business continuity management provides for the availability of processes and resources in order to ensure the continued achievement of critical objectives and business processes. Business continuity management (BCM) describes a whole of business approach to ensure critical business processes (functions) can be maintained, or restored in a timely fashion, in the event of material disruptions arising from internal or external events. Its purpose is to minimise the financial, legal, reputational and other material consequences arising from the disruption.</td>
</tr>
<tr>
<td><strong>Business continuity plan (BCP)</strong></td>
<td>A collection of validated written procedures and information that is developed, compiled and maintained in readiness for use to recover critical business processes within defined timeframes in the event of a disruptive event. Business continuity planning is a term typically used to refer to those activities associated with preparing documentation to assist in the continuing availability of property, people and assets.</td>
</tr>
<tr>
<td><strong>Control</strong></td>
<td>The overall direction of the activities, agencies, organisations or individuals concerned.</td>
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</tbody>
</table>
| **Critical Incident (OR Crisis)** | An *incident* with sufficient impact to potentially overwhelm the usual coping skills of UNSW, and with potential to significantly harm the university during and after the immediate incident. A *critical incident* has a crucial or decisive aspect requiring a considered, coordinated and immediate response from senior management to prevent the situation from significantly worsening and to minimise the future ramifications. *Critical incidents* may be physical, such as major fires or chemical incidents, or they may be less tangible such as a political issue with potential to significantly damage the university’s reputation. A *critical incident* may cause or have potential to cause any of the following:  
- A fatality, serious injury or other serious harm to staff, students or visitors  
- A significant impact on business operations and continuity  
- A significant impact on the image or reputation of UNSW  
- A threat to UNSW’s operations;  
- A threat to the financial viability of UNSW  
- Adverse attention by national media and government agencies; or  
- Significant litigation to be threatened or initiated against UNSW |
<p>| <strong>Critical Incident Response Team (CIRT)</strong> | The team responsible for overall management of the response phase of a <em>critical incident</em>, as well as providing operational and technical support and advice for the risk identification, reduction, readiness, recovery and review phases. This team closely supports the Incident Controller, who leads this team, during the response phase. |
| <strong>Disaster</strong> | An occurrence causing widespread destruction and distress, often irremediable. A disaster is likely to be beyond the capacity of the prescribed statutory authorities and requires special mobilisation and organisation of resources other than those normally available to those authorities. |
| <strong>District Emergency Operations Controller (DEOCON)</strong> | The District Emergency Operations Controller (DEOCON), who is to be a police officer holding the position of Region Commander, is appointed by the Commissioner of Police. |</p>
<table>
<thead>
<tr>
<th>Term</th>
<th>Definition</th>
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<tbody>
<tr>
<td>Disruption event</td>
<td>An event that causes or is likely to cause a change from normal management processes and operations by necessitating recovery processes and consequent direction of resources and management activity to achieve the recovery.</td>
</tr>
<tr>
<td>Duty Operations Inspector (DOI)</td>
<td>Duty Operations Inspector which is the Senior Police officer on duty at time of an incident at the Sydney Police Centre VKG. Goulburn St Darlinghurst.</td>
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</tbody>
</table>
| Emergency                                 | An unplanned event that arises internally or externally, which may adversely affect persons or the UNSW Campus generally, and which requires an immediate and highly structured response from the University and Emergency Services to prevent or mitigate injury or death to persons, harm to the environment or damage to property. The impact on University operations can range from moderate to severe.  
An event, actual or imminent, which endangers or threatens to endanger life, property or the environment and which requires an urgent, significant and coordinated response, typically involving the use of external Emergency Services. The event may arise internally or from external sources. The ultimate impact to the University can range from moderate to severe. |
<p>| Emergency Control Organisation (ECO)      | A location-specific team of volunteer staff who will initially manage the response to emergency situations, including evacuations and first aid, until additional support arrives on the scene |
| Emergency Management Plan                 | A plan that describes the arrangements for the conduct of emergency management operations and response at UNSW, and listing agreed roles, responsibilities and actions of agencies which have response and recovery functions for emergencies within the area covered by this framework. |
| Emergency Operations Centre – (EOC)       | The designated centre of communication established within UNSW, from which the emergency controller can control and coordinate operations during an emergency, and where liaison officers from combat agencies and participating organisations are located. |
| Emergency Services                        | Emergency Services include, but are not limited to; the NSW Police, Fire &amp; Rescue NSW, NSW Ambulance Service and State Emergency Services. |
| Evacuation                                | The planned relocation of persons from dangerous or potentially dangerous areas to safer areas and eventual return.                                                                                       |
| Incident                                  | A localised event at UNSW, either accidental or deliberately caused, which may result in or have potential for injury, ill health, death, damage or other loss, and for which the response resources of UNSW are sufficient to cope, with no or minimal support from external agencies. The impact to University operations is minimal. |
| Incident Controller                       | The person assuming overall responsibility for the response phase of a critical incident. This person has the authority to direct others, including senior staff, once a critical incident has been declared. Control of the situation may be assumed by external Emergency Services in some instances, in which case the Incident Controller will assume primarily a coordination and liaison role. |
| Local Emergency Operations Controller (LEOCON) | The Local Emergency Operations Controller (LEOCON) is appointed for a local government area by the District Emergency Operations Controller (DEOCON). The person appointed must be a police officer stationed within the district in which the local government area is located and, in the opinion of the DEOCON, must have experience in emergency management. |</p>
<table>
<thead>
<tr>
<th><strong>Management Recovery Team (MRT)</strong></th>
<th>The University’s Management Recovery Team (MRT) serves as the central body for coordinating University-wide business continuity efforts in the event of a critical incident.</th>
</tr>
</thead>
<tbody>
<tr>
<td><strong>Readiness (OR preparedness)</strong></td>
<td>Putting in place contingency measures, including resources and services, to ensure that if a risk does eventuate that it can be managed efficiently, or at least coped with (for example, ensuring that adequate, functioning alarms and firefighting equipment is held)</td>
</tr>
<tr>
<td><strong>Recovery</strong></td>
<td>The coordinated process of supporting the reconstruction of physical infrastructure and restoration of emotional, social, economic and physical wellbeing</td>
</tr>
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<td><strong>Reduction (of risk)</strong></td>
<td>Measures put in place to reduce the likelihood of adverse consequences from risks, either by reducing their potential magnitude of impact or their likelihood.</td>
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<tr>
<td><strong>Response</strong></td>
<td>Actions taken in anticipation of, during, and immediately after an emergency or critical incident to ensure that its impact and consequences are minimised, and that people affected are promptly provided appropriate relief and support.</td>
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<td><strong>Review</strong></td>
<td>A systematic and periodic process of evaluation by top management of the effectiveness, adequacy and ongoing suitability of the critical incident management system. This should take into account stakeholder feedback and the learnings from drills or critical incidents which have occurred at UNSW or comparable organisations, and should entail the allocation of additional resources if required.</td>
</tr>
<tr>
<td><strong>Risk</strong></td>
<td>A concept used to describe the likelihood and degree of adverse consequences arising from the interaction of hazards, communities and the environment.</td>
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<tr>
<td><strong>Risk identification and assessment</strong></td>
<td>Where risks are considered, based on site inspections and experiences both on and off campus; and then prioritised based on their potential consequence and likelihood</td>
</tr>
<tr>
<td><strong>Tabletop exercises</strong></td>
<td>An activity simulating an emergency event through activation of alarms and deployment of personnel, in order to — (a) review/test the planning process and procedures; (b) Identify needs and planning inadequacies; (c) demonstrate capabilities and communication; and (d) foster working together as a team.</td>
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## Appendix 2 – Roles & Responsibilities for Critical Incidents

### Membership of Critical Incident Response Team

<table>
<thead>
<tr>
<th>Principal Member</th>
<th>Alternate Member</th>
<th>Third Tier Member</th>
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<tbody>
<tr>
<td>Director, Facilities Management</td>
<td>Associate Director, Campus Services, Facilities Management</td>
<td>Associate Director, Planning &amp; Development</td>
</tr>
<tr>
<td>Associate Director, Asset Management</td>
<td>Manager, Maintenance</td>
<td>Senior Client Facilities Managers</td>
</tr>
<tr>
<td>Manager, Security Services</td>
<td>Deputy Manager, Security Services</td>
<td>Emergency Coordinator</td>
</tr>
<tr>
<td>Manager, Health &amp; Safety</td>
<td>Director, HR</td>
<td>Health &amp; Safety Coordinator, Faculty of Science</td>
</tr>
</tbody>
</table>

Additional resources, such as but not limited to Faculty Deans, General Managers or Heads of Schools will be drawn upon on a case-by-case basis.

### Membership of Management Recovery Team

<table>
<thead>
<tr>
<th>Principal Member</th>
<th>Alternate Member (if principal member unavailable)</th>
</tr>
</thead>
<tbody>
<tr>
<td>Vice - President, Finance &amp; Operations (Chair)</td>
<td>Vice - President, University Services</td>
</tr>
<tr>
<td>Director, Facilities Management</td>
<td>Associate Director, Campus Services, Facilities Management</td>
</tr>
<tr>
<td>Director, IT at UNSW</td>
<td>Director, IT Customer Services</td>
</tr>
<tr>
<td>PVC Students</td>
<td>Director, Student Life and Learning</td>
</tr>
<tr>
<td>Director, HR</td>
<td>Manager, Health &amp; Safety</td>
</tr>
<tr>
<td>Director, Communications</td>
<td>Deputy Director Communications/ Executive Producer UNSWTV</td>
</tr>
<tr>
<td>Manager, Security Services</td>
<td>Deputy Manager, Security Services (or delegate of Manager, Security)</td>
</tr>
<tr>
<td>Director, Risk Management</td>
<td>TBA</td>
</tr>
<tr>
<td>Director UNSW Health Service (UNSW Primary Flu Manager)</td>
<td>TBA</td>
</tr>
<tr>
<td>Position title</td>
<td>Critical incident role</td>
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<tr>
<td>--------------------------------------------</td>
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</tr>
</tbody>
</table>
| Associate Director, Asset Management       | Advisor, CIRT                | Y              | N              | • Maintain building/infrastructure assets efficiently to minimise risk  
• Maintain relevant contingency equipment (eg fire systems, signage)  
• Providing technical advice on building/infrastructure assets  
• Organising immediate responses as required  
• Managing building/infrastructure asset recovery processes |
| Associate Director, Campus Services        | Alternate Incident Controller| Y (alternate)  | Y (alternate)  | • Support Director Facilities Management as required; act as alternate for Director Facilities Management when they are unavailable  
• Oversee the operations of Security Services; ensure that appropriate contingency measures are in place and KPTs are achieved |
| Associate Director, Planning & Development | Backup Incident Controller  | Y (alternate)  | N              | • Support Director Facilities Management as required; act as backup for Director Facilities Management or Associate Director, Campus Services when they are unavailable. |
| Business Continuity Management Coordinator | -                            | N              | N              | • Development of processes supporting business continuity planning  
• Support faculties/business units with the maintenance of plans  
• Facilitate tabletop exercises  
• Providing technical advice as required to the MRT  
• Providing technical advice as required to the MRT |
<p>| Deputy Director Communications              | -                            | N              | Y (alternate)  | • Support Director Communications as required; act as alternate for Director Communications when they are unavailable |</p>
<table>
<thead>
<tr>
<th>Deputy Manager Security Services</th>
<th>Alternate advisor to CIRT</th>
<th></th>
<th>Y (alternate)</th>
<th>Y (alternate)</th>
<th>• Support Manager, Security Services as required; act as alternate for Manager, Security Services when they are unavailable</th>
</tr>
</thead>
<tbody>
<tr>
<td>Director, Communication</td>
<td>-</td>
<td>N</td>
<td>Y</td>
<td></td>
<td>• Develop relevant strategy/plan outlining the approach to guide Critical Incident communication • Oversight of all external communications; point of contact for external media enquiries; advising others on internal communication requirements • Oversight of all external communications; point of contact for external media enquiries; advising others on internal communication requirements</td>
</tr>
<tr>
<td>Director, Facilities Management</td>
<td>Incident Controller</td>
<td>Y (Incident Controller)</td>
<td>Y</td>
<td></td>
<td>• Oversight of building/infrastructure contingency measures • Incident Controller, has authority to issue directions to all staff during response phase (noting that Emergency Services may assume overall control) • Coordinate all services for restoration of infrastructure and FM services • Assess damage and prognosis of occupancy of affected structure. • Coordinate all services for restoration of infrastructure and FM services</td>
</tr>
<tr>
<td>Director, IT</td>
<td>-</td>
<td>N</td>
<td>Y</td>
<td></td>
<td>• Liaise with the University IT Recovery Team. • Coordinate support and recovery of data processing &amp; communication facilities and the designated IT/Network Communications recovery sites</td>
</tr>
<tr>
<td>Role</td>
<td>Contact Details</td>
<td>Responsibilities</td>
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<tr>
<td>Director, IT Customer Services - N Y</td>
<td></td>
<td>- Support Director IT as required; act as alternate for Director IT when they are unavailable</td>
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<tr>
<td>Director, HR - N Y</td>
<td></td>
<td>- Ensure that accurate staff records are maintained to assist communications</td>
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<td></td>
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<td>- Deal with staff issues</td>
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<td></td>
<td></td>
<td>- Promote/coordinate counselling as required</td>
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<tr>
<td>Director, Risk Management - N Y</td>
<td></td>
<td>- Ensure University meets its requirements under the self-insurers guidelines.</td>
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<td></td>
<td></td>
<td>- Initial liaison with Insurance Provider</td>
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<td></td>
<td></td>
<td>- Liaise with Insurance provider</td>
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<td></td>
<td></td>
<td>- Liaise with Finance to capture costs.</td>
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<tr>
<td>Director, Student Life &amp; Learning - N Y</td>
<td></td>
<td>- Act as alternate for PVC Students when they are unavailable</td>
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<td></td>
<td></td>
<td>- Advise the MRT on issues relating to student notifications and well-being</td>
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<tr>
<td>Emergency Coordinator - N Y</td>
<td>Advisor, CIRT</td>
<td>- Maintain and update emergency management documentation</td>
<td></td>
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<td></td>
<td>(3rd tier support)</td>
<td>- Liaison with Manager, Security Services to coordinate internal resources via secondary notifications</td>
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<td></td>
<td></td>
<td>- Notification if required to District Emergency Management</td>
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<td></td>
<td></td>
<td>- Assisting with recordkeeping</td>
<td></td>
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<td></td>
<td>Secretariat services to MRT</td>
<td>- Facilitate debrief with ECO’s involved</td>
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<td></td>
<td></td>
<td>- Coordinate reports of all stakeholders</td>
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<td>- Update plans if required</td>
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<tr>
<td></td>
<td>Secretariat services to MRT</td>
<td>- Provide recommendations to Director for improvements.</td>
<td></td>
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</tr>
<tr>
<td>Health &amp; Safety Coordinator, Faculty of Science - N Y</td>
<td>Advisor, CIRT</td>
<td>- Support Manager, Health &amp; Safety as required; act as alternate for Manager, Health &amp; Safety when they are unavailable.</td>
<td></td>
<td></td>
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</tr>
<tr>
<td>Manager, Health &amp; Safety - N Y</td>
<td>Advisor, CIRT</td>
<td>- Development of processes and tools supporting risk management</td>
<td></td>
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<tr>
<td></td>
<td>(alternate)</td>
<td>- Liaison with H&amp;S Unit and allocating resources and specialist assistance.</td>
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<tr>
<td></td>
<td></td>
<td>- WorkCover Notifications</td>
<td></td>
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</tr>
<tr>
<td></td>
<td></td>
<td>- Liaison with H&amp;S Unit and allocating resources and specialist assistance.</td>
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<tr>
<td></td>
<td></td>
<td>- WorkCover Notifications</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Role</td>
<td>Alternate Position</td>
<td>Support Required</td>
<td>Associate Director Support</td>
<td>Senior Manager Support</td>
<td></td>
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</tr>
<tr>
<td>Manager, Maintenance</td>
<td>Alternate advisor, CIRT</td>
<td>Y (alternate)</td>
<td>N</td>
<td>• Maintain building/ infrastructure assets efficiently to minimise risk • Maintain relevant contingency equipment (eg fire systems, signage)</td>
<td>• Support, coordinate and advise on any immediate maintenance/ building needs or issues • Manage contractors as required • Member of the CIRT in the absence of the Associate Director Asset Management</td>
</tr>
<tr>
<td>Manager, Security Services</td>
<td>Advisor, CIRT</td>
<td>Y</td>
<td>Y</td>
<td>• Manage the operations of Security Services; • Ensure that appropriate systems/documentation and contingency measures (including training) are in place</td>
<td>• Declares an incident is a Critical Incident (invoking CIRT and MRT) • Primary liaison with Emergency Services • Allocation of security resources</td>
</tr>
<tr>
<td>Pro Vice Chancellor, Students</td>
<td>-</td>
<td>N</td>
<td>Y</td>
<td>-</td>
<td>• Make decisions about matters relating to the student body including the suspension of classes and deferral of exams.</td>
</tr>
<tr>
<td>Senior Client Facilities Managers</td>
<td>3rd tier support</td>
<td>Y</td>
<td>N</td>
<td>-</td>
<td>- Manage the ramifications of any changes made</td>
</tr>
<tr>
<td>Senior Manager, Property Services</td>
<td>-</td>
<td>N</td>
<td>N</td>
<td>-</td>
<td>• Support Associate Director, Asset Management &amp; Manager, Maintenance as required; act as alternate for Manager, Maintenance when they are unavailable. • Ensure compliance and advice to tenancies on Emergency Management procedures</td>
</tr>
</tbody>
</table>

- CIRT: Critical Incident Response Team
- MRT: Multi-Risk Team
- Y: Yes
- N: No
<table>
<thead>
<tr>
<th>UNSW Primary Flu Manager</th>
<th>-</th>
<th>N</th>
<th>Y</th>
<th>• Ensure relevant plans and contingency measures are in place</th>
<th>• Advise MRT</th>
<th>• Primary liaison with health agencies</th>
<th>• Advise MRT</th>
<th>• Primary liaison with health agencies</th>
</tr>
</thead>
<tbody>
<tr>
<td>Vice Chancellor</td>
<td>-</td>
<td>N</td>
<td>N</td>
<td>• Ensure that appropriate strategic oversight, governance and resourcing for the critical incident management system is in place</td>
<td>• Deliver internal and external communications in consultation with the Director Communications</td>
<td>• Deliver internal and external communications in consultation with the Director Communications</td>
<td></td>
<td></td>
</tr>
</tbody>
</table>
| Vice - President, Finance & Operations | Chair, MRT | N | Y (Chair) | • Endorse key critical incident, emergency and business continuity documentation  
• Chair MRT to ensure there is a sound strategic framework in place and governance  
• Approve allocation of required resources as appropriate | • Chair MRT and direct overall responses  
• Liaise closely with Chair of CIRT to coordinate response and recovery actions  
• Brief Vice Chancellor, Executive Team and Management Recovery Team (MRT) as required  
• Ensures necessary financial resources are available to efficiently respond to the critical incident  
• Strategic advice to MRT on current and future financial issues. | • Ensures necessary financial resources are available for recovery activities |
| Vice - President, University Services | Alternate Chair MRT (if DFO unavailable) | N | Y (alternate Chair) | Support Vice-President Finance & Operations as required; act as alternate for DFO when they are unavailable | | | | |
Responsibilities of external Emergency Services

**Site Controller (Police)**

The Site Controller is a senior member of the NSW Police (usually the Duty Officer) from the Local Area Command, who is responsible to the Local Emergency Controller (LEOCON) for the City/Georges River District, for control and coordination of multi-agency response to an emergency.

That officer:

- may activate and open the UNSW Emergency Operations Centre (EOC), located in the Chancellery (C22) Committee Room 4
- may activate and open the Emergency Operations Centre for Randwick located at 293 Storey St Maroubra
- will alert the Duty Operations Inspector (DOI) Sydney Police Centre VKG;
- in consultation with the UNSW Incident Controller and Chief Emergency Management Officer), monitor operations controlled by combat agencies
- maintain liaison with combat agencies and support organisations
- ensure the LEOCON and the DOI are briefed on the situation, and appoint a Police Command at the site.

“The Site Controller for Kensington, Randwick, Coogee Campuses will be from the LAC Eastern Beaches
The Site Controller for COFA, Paddington Campus will be from the LAC of Sydney City, Surry Hills."

**NSW Police**

The role of the police is to:

- coordinate emergency response operations where there is no designated Combat Agency
- conduct initial reconnaissance of the area affected by the emergency
- enforce traffic and crowd control
- arrange evacuation if not already underway
- recover and identify the dead and injured and notify next of kin
- disaster victim registration (DVR)
- maintain security of evacuated areas and personal property of the deceased and injured
- coordinate rescue operations except where vested in law in another authority;
- establish temporary mortuaries and
- provide as necessary a Police Liaison Officer (PLO) to the Site Controller.
**NSW Fire Brigade**

The role of the Fire Brigade is to act as Combat agency for fire and hazardous materials, incidents, emergencies and provide fire control services by:

- dealing with outbreaks of fire and the rescue of persons in fire endangered areas
- taking measures as may be practicable to prevent the outbreak of fire
- dealing with hazardous materials or a situation which involves the imminent danger of such an escape
- assist in any other response or recovery operations for which the Fire Brigades training and equipment is suitable and
- provide as necessary a Fire Brigade Liaison Officer (FLO) to the Site Controller.

**NSW Ambulance Service**

The role of the ambulance service is to:

- provide Ambulance transport and pre-hospital care for all injured persons, as detailed in the Ambulance Service’s Major Incident/Disaster Plan
- transport designated medical teams and their equipment to sites of emergencies as detailed in the HEALTH PLAN
- provide coordinated communications for all health services involved in emergency management response and recovery activities, as detailed in HEALTH PLAN and
- provide an Ambulance Liaison Officer (ALO) to the Site Controller.
Appendix 3 – Communications Tree – CRITICAL INCIDENT DECLARED

- Emergency Services
  - Campus Security
    - ECO – Chief Warden
  - Security Manager
    - Deputy Security Manager
  - Vice – President Finance & Operations
    - Vice – President University Services
  - Vice Chancellor
    - DVC
- Security Manager
  - Emergency Coordinator
  - Director FM
    - Associate Director, Campus Services
  - Director Risk & Insurance
    - TBA
  - Director Media & Communications
    - Deputy Director Communications
  - Manager Health & Safety
    - Director Human Resources
- Specialist OHS Coordinators
- BURT
- Media Organisations
- MRT
- Service Units Required
- Service Units Required