

## Incident Management and Business Resumption Policy

|                  |             |                |                             |
|------------------|-------------|----------------|-----------------------------|
| First Produced:  | 23/06/11    | Authorisation: | Te Kahui Manukura           |
| Current Version: | 19/10/18    | Officer        | DCE Chief Operating Officer |
| Past Revisions:  | 26/10/11    | Responsible:   | Health and Safety Manager   |
| Review Cycle:    | 3 years     |                |                             |
| Applies From:    | Immediately |                |                             |

# 1 Introduction

## 1.1 Purpose

This Incident Management and Business Resumption Policy has been developed to provide a mandate for decisions that need to be taken to most appropriately and expeditiously respond to any significant unforeseen critical incident. The principle objectives of the policy are to facilitate decision making that protects life, limits damage to property, minimises business interruption and facilitates prompt business resumption.

In approving this policy, Ara Institute of Canterbury<sup>1</sup> endorses and adopts the Co-ordinated Incident Management System (CIMS) for the management of significant critical incidents that might arise.

The CIMS approach is used throughout the New Zealand emergency services and provides a flexible framework for the management of serious incidents, allowing a wide range of incidents to be dealt with, rather than attempting to proscriptively handle events which by their very nature are unlikely to be suitable for a scripted approach.

## 1.2 Scope and Application

This Policy applies to all staff, students and visitors of Ara.

## 1.3 Formal Delegations

Incident Management Team (IMT):

- a **The Incident Management Team (IMT)** is activated by the Chief Executive (CE), Ara. The Chief Executive is responsible for making decisions which require the highest level authority in Ara; providing strategic direction for the Incident Controller; ensuring that communications with the wider campus community and the public are managed effectively; ensuring the financial short term and longer term implications are handled; and overseeing the implementation of the Incident Management and Business Resumption Plan (Ara).
- b **Facilities Manager** fulfils the role of Incident Controller in the first instance. In the event that the Facilities Manager is not available, delegated authority to the Incident Controller automatically passes to the DCE Chief Operating Officer. If this person is not available, any other member of the Te Kahui Manukura group will assume delegated authority until one of these persons become available.

---

All policies on InfoWeb are the current version. Please check date of this hard copy before proceeding.

- c On activation, the Incident Management Team will confirm or reassign the role of the Incident Controller.
- d **The Chief Executive** has responsibility under regulation 14 of the H&S at Work (General risk and Workplace Management) Regulations 2016 to prepare, maintain and implement Emergency Plans for dealing with emergencies at work.

## 1.4 Definitions

- a **Co-ordinated Incident Management System [CIMS]:** CIMS provides a model for command, control, and coordination of an emergency response. It is a means of coordinating the efforts of individuals and agencies as they work towards the common goal of stabilising an incident and protecting life, property, and the environment.
- b **Ara Security Services:** The Ara Security Services are active on the City campus 24 hours/7 days therefore security personnel may be the immediate first responders to any event. During any incident on campus which requires activation of the Incident Management Plan, Ara Security will operate under the direction of the Incident Management Team.
- c **Critical Incident:** Any unplanned or unforeseen event that disrupts normal business and may be a threat to life or property, e.g. severe weather, bomb threat, fire, flood, earthquake, tsunami, hostage or violent situation, major technology incident, serious injury or illness involving multiple casualties, search and rescue.
- d **Declared Emergency on Campus:** A declared emergency on campus allows for:
  - i Evacuation of non-essential people
  - ii Suspension of business activity
  - iii Closure of all or part of the (City Campus, Woolston Campus, Campus Connect sites, Ashburton, Timaru, or Oamaru campuses)
  - iv Activation of the Incident Management Plan.
- e **Incident Controller:** The Incident Controller is the person who leads the Incident Management Team and has delegated operational responsibility of any significant incident affecting Ara. The Incident Controller leads a co-ordinated response leading up to, and during an emergency event and operates with the support and assistance of the Incident Management Team
- f **Incident Management Team:** The Incident Management Team is established by the Chief Executive of Ara. The Chief Executive is responsible for making decisions which require the highest level authority in Ara; providing strategic direction for the Incident Controller; ensuring that communications with the wider campus community and the public are managed effectively; ensuring the financial short term and longer term implications are handled; and overseeing the implementation of the Incident Management Plan (Ara).  
  
The Incident Management Team includes personnel carrying out the functions of incident control, operations, planning and intelligence, and logistics (including welfare) are under the direction of the Incident Controller.
- g **Incident Control Point [Ara ICP]:** The Ara location where the Incident Management Team gathers to manage the response to a critical incident/planned event. Note: The primary venue is identified as the City Campus Facilities Management building (FM block) however it may alternatively be a temporary location, or an office, or a local site (eg TC block in Timaru) depending on the nature/severity/location of the incident.
- h **Lead Agency:** In the event of a critical incident on any Ara campus which requires the response of a statutory agency of the NZ Government (such as the NZ Police or Fire Emergency NZ), that agency has primacy of control and the emergency response structure of Ara will act in support and by the direction of the relevant statutory agency.

All policies on InfoWeb are the current version. Please check date of this hard copy before proceeding.

- i     **Business Continuity:** For the purposes of the Incident Management Plan, Business Continuity is defined in 3 levels:
- i        The day to day monitoring and preventative action to ensure business continues as normal.
  - ii       Management actions to ensure that business continues as much as is possible during an incident. (Refer Incident Management Plan)
  - iii      Business resumption after a significant incident (Refer to the Business Resumption Plan).

|  |  |
|--|--|
| <p><b>Related Ara Procedures</b>(indicate if attached to policy or where they can be found)</p> <ul style="list-style-type: none"> <li>• Incident Management Plan</li> <li>• Business Resumption Plan</li> <li>• Lockdown procedures</li> <li>• Lockdown initiation and communication procedures</li> <li>• Earthquake response and evacuation procedures</li> <li>• International student critical incident plan</li> <li>• Physical records disaster response plan</li> </ul> <p>[Available under the Emergency Management Section of Infoweb: <a href="https://infoweb.ara.ac.nz/our-teams/corporate-services/facilities-management/health-and-safety/incident-management-and-business-resumption">https://infoweb.ara.ac.nz/our-teams/corporate-services/facilities-management/health-and-safety/incident-management-and-business-resumption</a> and <a href="https://infoweb.ara.ac.nz/our-teams/corporate-services/facilities-management/health-and-safety/emergency-earthquake-procedures">https://infoweb.ara.ac.nz/our-teams/corporate-services/facilities-management/health-and-safety/emergency-earthquake-procedures</a></p> | <p><b>Related Ara Policies</b></p> <ul style="list-style-type: none"> <li>• CPP502 Property Closure</li> </ul>   |
| <p><b>Related Legislation or Other Documentation</b></p> <ul style="list-style-type: none"> <li>• Civil Defence Emergency Management Act 2002</li> <li>• Fire Safety and Evacuation of Buildings Regulations 1992</li> <li>• Health &amp; Safety at Work Act 2015</li> <li>• H&amp;S at Work (general risk &amp; workplace management) Regs 2016</li> </ul>  | <p><b>Good Practice Guidelines</b>(indicate if attached to policy or where they can be found)</p> <ul style="list-style-type: none"> <li>• Post-Earthquake building assessment process.</li> <li>• CIMS Video Training</li> </ul> <p>[See Infoweb:<br/><a href="https://infoweb.ara.ac.nz/our-teams/corporate-services/facilities-management/health-and-safety">https://infoweb.ara.ac.nz/our-teams/corporate-services/facilities-management/health-and-safety</a></p> |
| <p><b>References</b></p> <ul style="list-style-type: none"> <li>• The New Zealand Coordinated Incident Management System: Teamwork in Emergency Management</li> <li>• The University of Canterbury Emergency Management Policy.</li> </ul>   |  |
| <p><b>Notes:</b> Refer Ara Incident Management Plan. This policy has been created with the amalgamation of CPP502 Business Continuity Planning Policy and CPP504 Incident Management Policy.</p>   |  |

## 2 Principles

In the event of a critical incident at Ara:

- 2.1     The first responders on the scene have delegated authority from the Chief Executive to take any necessary steps to safeguard life and secure property. The first will control the situation

**All policies on InfoWeb are the current version. Please check date of this hard copy before proceeding.**

until responsibility is assumed by Ara Security, Incident Management Team member or external agencies (Fire, Police, and Ambulance).

- 2.2 The Incident Controller in the Incident Management team has delegated authority from the Chief Executive to make immediate operational decisions necessary to preserve the safety and security of Ara. This may include the secondment of facilities, equipment, other resources, and expertise to expedite the response from both within and outside ARA. The Incident Controller has authority to assign tasks and delegate responsibilities within both the IMT and the wider ARA community.
- 2.3 The Incident Management Team will make an “activation level” decision and if necessary establish an Ara Incident Operations Centre (Ara IOC). See Associated Procedure 3.1 (below) for activation levels and notifications.
- 2.4 The Chief Executive approves the suspension of core responsibilities and/or duties during the response and recovery phases for any employees or students who are part of the Ara Incident Management or Business Resumption team structures.
- 2.5 Where it is considered necessary to “declare a localised emergency” at Ara, the Incident Management Team will, as soon as it is feasible to do so, make a formal declaration to the Ara community. Such a declaration will include as relevant:
  - a Communication as to the nature of the incident.
  - b Closure of part or all of the campus.
  - c Evacuation of non-essential personnel.
  - d Suspension of business activity.
  - e Activation of the Business Resumption Plan.
- 2.6 The Business Resumption Plan has been prepared to follow on from the incident management plan and to assist the organisation to resume business after a serious disruptive crisis in a controlled and structured manner.

Each Department or Division is responsible for updating and maintaining their section(s) of the Business Resumption Plan.
- 2.7 The only person (or persons) authorised to speak to the media on behalf of Ara in a planned event or critical incident are the Chief Executive and the Communications Manager (or designate). While the Incident Controller must not be distracted from his/her main duties, he/she is also permitted to speak publicly if it is deemed necessary by the Chief Executive or the Communications Manager.
- 2.8 In the event of a major emergency Ara acknowledges the need for non-critical staff to attend to the safety and well-being of their own families.
  - a Critical staff should consider contingency plans in advance for both themselves and for their families.
  - b Always ensure your own safety in the first instance.

**All policies on InfoWeb are the current version. Please check date of this hard copy before proceeding.**

### 3 Associated procedures for

## Ara Corporate Policy on: Incident Management and Business Resumption

---

|                  |     |  |
|------------------|-----|--|
| <b>Contents:</b> | 3.1 | Incident Management Plan                               |
|                  | 3.2 | Activation and Notification Levels for an Ara Incident |
|                  | 3.3 | Incident Management Team                               |
|                  | 3.4 | Business Resumption Plan                               |

### 3.1 Incident Management Plan

The Incident Management Plan describes the associated procedures for a range of incidents and includes:

- a Fire
- b Infrastructure failure
- c Hazardous substances emergency
- d Severe weather event
- e Earthquake
- f Building evaluations for re-occupancy - post earthquake events
- g Tsunami
- h Terrorism/violent act
- i Bomb threat/suspicious package
- j Pandemic
- k Emergency services
- l Major technology incident such as a widespread cyber attack.

### Activation and Notification Levels for an Ara Incident

| Level 1  |
|--|
| Full Activation of Ara Incident Management Plan  |
| High impact event<br>Life and/or property at risk<br>Large area affected (City/Province)<br>Business interruption<br>Longer term (longer than one day) |

#### Activate

- a Incident Management Team
- b Incident Operations Centre

#### Notify

- a Emergency Services
- b Chief Executive

All policies on InfoWeb are the current version. Please check date of this hard copy before proceeding.

- c Incident Controller
- d Incident Management Team
- e Affected Staff
- f Insurance Broker

#### **Examples**

- a Severe weather event
- b Major earthquake
- c Violent event/Active shooter on campus
- d Major fire
- e Pandemic

## **Level 2**

### **Partial Activation of Ara Incident Management Plan**

Medium impact event  
 Life and/or property at risk  
 Campus only affected  
 Some outside services involved  
 Some disruption to normal Ara operations  
 Medium term (typically within one day)

#### **Activate**

- a Key Incident Management Team members

#### **Notify**

- a Emergency Services
- b Chief Executive
- c Affected Staff
- d Insurance Broker

#### **Examples**

- a Marginal weather event predicted
- b Minor/medium earthquake
- c Off/on campus accident involving staff or students
- d Hazardous substance alert
- e Significant Fire
- f Flooding
- g Bomb threat
- h Planned protest event of large scale
- i Pandemic pre-notification
- j A major technology incident such as a widespread cyber attack.

**All policies on InfoWeb are the current version. Please check date of this hard copy before proceeding.**

## Level 3

### Normal Day-to-Day Operations (on-going monitoring)

Small impact incidents  
Part of campus only affected  
Short term (less than five hours)

#### Activate

- a Ara Staff involved only
- b Ara Security (possibly)

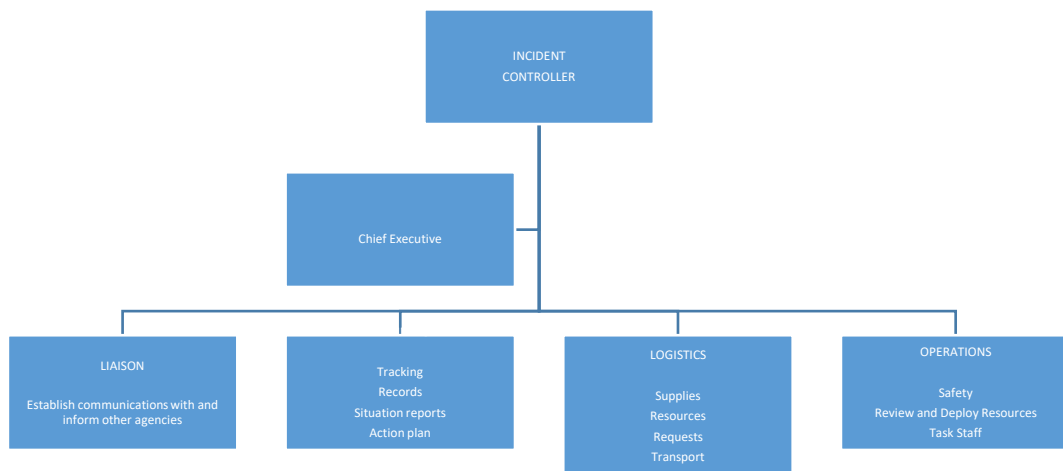
#### Notify

- a Incident Controller
- b Chief Executive
- c Any affected staff

#### Examples

- a Minor accidents/incidents on campus
- b Traffic disruptions
- c Infrastructure Failure

### 3.2 Incident Management Team



### 3.3 Business Resumption Plan

The Business Resumption Plan details:

- a Responsibilities
- b Establishment of a Business Resumption team
- c Communications
- d Premise/Facilities

All policies on InfoWeb are the current version. Please check date of this hard copy before proceeding.

- e Disestablishment of Business Resumption team and debrief
- f The plan contains the individual Business Resumption Plans of the Departments and Divisions.

**Acknowledgement:** This Policy was developed using the University of Canterbury Emergency Management Policy as a framework document (with the permission of UC).

**All policies on InfoWeb are the current version. Please check date of this hard copy before proceeding.**