

A full-page background image showing a coastal scene at sunset or sunrise. The sky is filled with large, dark clouds that are illuminated from below by the sun, creating a vibrant orange and yellow glow. The sun is partially visible as a bright, glowing orb near the horizon. In the foreground, there is a body of water reflecting the sky's colors. In the middle ground, a coastal town is visible, including a prominent lighthouse on a small island or headland. The overall mood is serene and resilient.

# Resilience in Higher Education

## An updated guide

Spring  
2014



**Resilience in Higher Education Institutions  
An Updated Guide**

**Spring 2014**

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***For further information about the project please contact  
chief-operating-officer@aucso.org.uk***

***Disclaimer***

*The material within in this Guide should be used as information and points of reference. For emergency planning to be truly embedded and effectively implemented each higher education institution will need to follow trained and exercised procedures that should be developed in a style that meets their organisational requirements. The authors of this Guide cannot take responsibility for the actions of any individual institutions*

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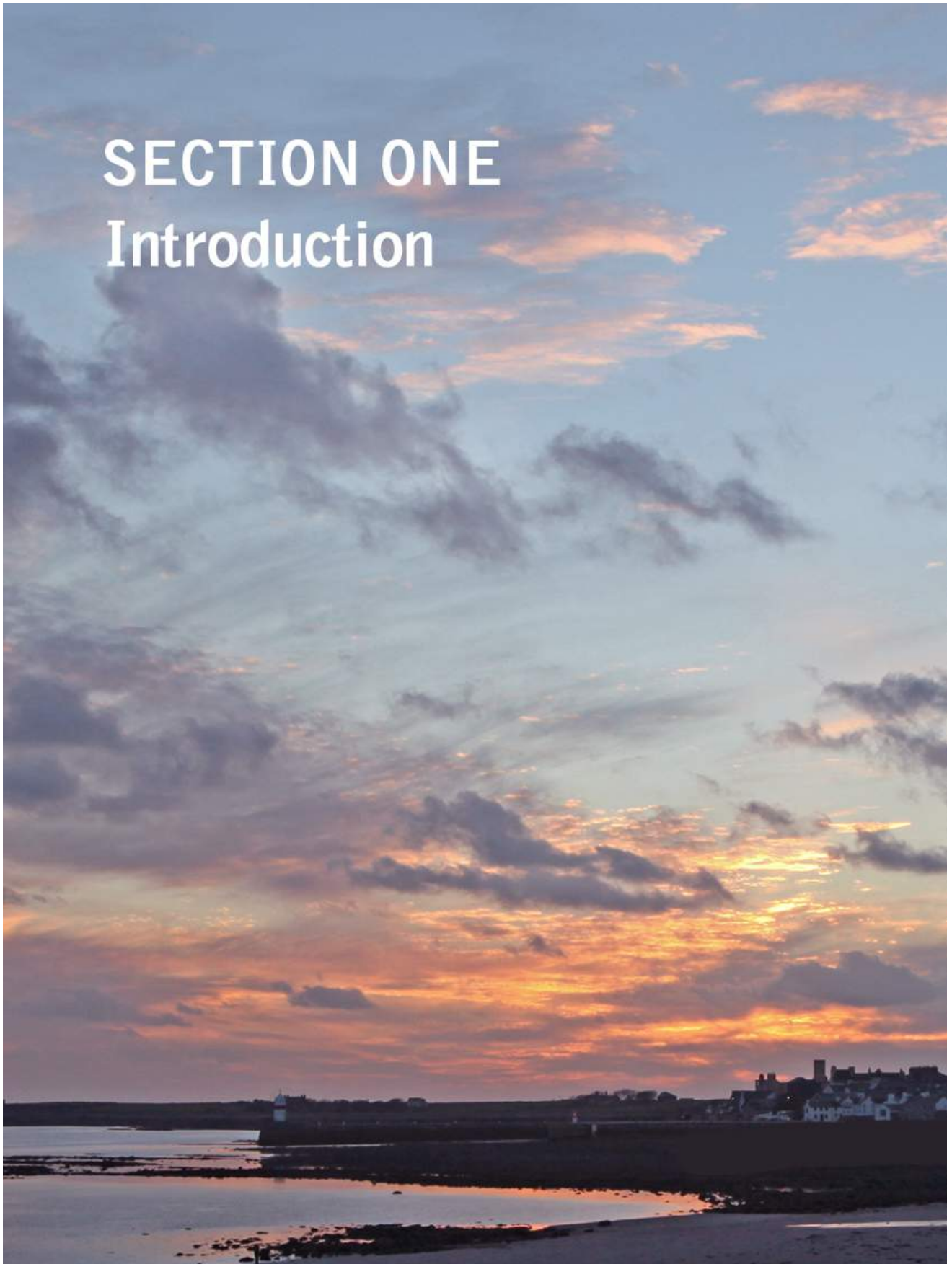
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# SECTION ONE

## Introduction



## Foreword by Professor Julius Weinberg

April 2014



**Professor Julius Weinberg**  
**Vice-Chancellor, Kingston University**

Since this guide was first published the University sector has continued to grow, to become more complex, more resilient and more vulnerable.

In the foreword to the first edition I commented upon how City University London, where I was Deputy Vice-Chancellor, had survived a major fire because of the extraordinary efforts of our staff, by some effective planning and by luck. I am now Vice-Chancellor at Kingston University. Were we to have a similar event now we would also survive, as would the other Universities across the country. Survival would again depend upon the extraordinary efforts of staff and upon effective planning. Luck would play a part, but it would be less than in the past.

The diminished role of luck and its partial replacement by planning is a testament to the vision behind this guide. The importance of planning, of considering the possible vulnerabilities and mitigating them is now far better embedded in our institutions. The training that was developed alongside this guide has spread understanding of the approaches that can be taken to mitigate the impact of a fire, flood, or other event.

Universities become more vulnerable as they become more diverse, complex, porous and engaged with multiple constituencies. They become more resilient as they embed learning about risk management and planning for emergencies into their routines.

When the unexpected happens it will be unique, for HEI are all unique. However the Guide will help reduce their dependence on luck. Whatever



happens a successful outcome will depend upon the extraordinary efforts of people on the ground. The guide will help maximise the benefit from that extraordinary effort.

The guide is not a recipe for fulfilment of a management objective by producing an emergency response strategy, that will probably sit (another fire hazard) on a shelf. The guide provides information, advice and resources to help those with responsibilities in developing an emergency response, which should involve the wider institution. It should be used as part of a deliberate programme to shift away from luck to dependence on skilled people with the knowledge of how to develop a robust complex response that may save lives, avoid injury, protect buildings and reputations and enable the institution to carrying on its business. Emergency planning is a concern of everyone, especially senior management teams. The guide supports that wider engagement.

This guide has been strongly influenced by those with an estates, emergency response and security point of view; I found it a privilege to chair the group and get to know these unsung members of the University Community who think deeply about their responsibilities and the challenges of maintaining the core functions of the institution in the face of potential disaster. My admiration is in no way diminished several years and an institution later. Their efforts are well worth reading.

I would not wish a fire, flood or other disaster on any reader. However we know from letters and comments received that the guide has been helpful. Institutions that have used it and then had an untoward event found the preparation paid off. Use of this guide should mean that you are better prepared, if an event befall your institution.

Finally, the guide will continue to be maintained as long as we hear that it has value to the community.

## Foreword by the Association of University Chief Security Officers

As the current Chair of the Association of University Chief Security Officers (AUCSO), I am pleased to introduce our updated Emergency Management Guide for Higher Education Institutions (HEI).

The first edition in 2008 had as its mainspring a major fire at City University London, to which Professor Julius Weinberg referred to then in his foreword, and refers to again in this new edition. Since that first edition the HEI community has grown substantially with increased numbers of students, staff and institutions, and the risks likely to give rise to an emergency incident have similarly increased. Fortunately few institutions experience a major fire or other emergency on the scale of that which struck City University but a number have had emergencies that have had significant impacts on university communities, affecting students, staff, visitors and everyone associated with the respective institutions.

Since 2008 many institutions have taken positive steps to increase their resilience by establishing new processes for both business continuity and emergency management, and by training their staff in this field. AUCSO are proud to have produced the Emergency Management training course specifically for HEIs, which is still being delivered today.

This revised Guide encapsulates experience and lessons learned from institutions around the world and sets out the steps to be considered and actions to be undertaken so that good organisation and planning will minimise any reliance on luck and maximise the benefit to be gained from professional staff rising to an exceptional challenge. The Guide is intended as an asset to university management and I hope it will be seen as such by senior management teams, with its effects reaching into all areas of emergency management and response.

On behalf of AUCSO I am extremely grateful to Dr Lucy Easthope, and Bernadette Duncan, now our Chief Operating Officer, for their revision and updating of the Guide.

**Roger Morgan**  
**AUCSO Chair**  
**Head of Security**  
**University of Sussex**

## Making a Difference: New Zealand 2014

In the Autumn of 2013, as the guide was under review, the editorial team received the most powerful and poignant of letters.

With permission we extract part of this below

*"The purpose of this letter is simply to thank you for the effort you put into the creation of the HEFCE Emergency Planning Guide which was published in 2008.*

*I became aware of the HEFCE document in 2010 and begun dipping into it with the intention of using it as a double check on the systems and processes we had in place which I was finding valuable, By early September I had made it to Section 6, The needs of people, when my attention became diverted by a magnitude 7.1 earthquake which began a rollercoaster ride. Our community will be feeling the effects of this for the next decade or two.*

*The information I had gained from the research I had undertaken, the support and encouragement I had received from my colleagues both within my own institution and from the new friends I had acquired internationally along our journey to preparedness helped me personally, and our institution substantially.*

*For some time I have wanted to thank you for preparing the document.*

*Every major critical incident which has affected a university has had its own unique character and the 11,000 plus quake aftershocks, human threats and severe weather we have had to contend with over the last three years along with millions of NZ Dollars damage to our institution has been no exception. We have had to change many things along our path to recovery and renewal and no doubt the speed of change will not slow for some time, but the fact that we are as far ahead as we are and that we responded as we did is largely due to the value we gained by learning the lessons from others.*

*One might think that this is not rocket science for a higher education institution, however, having now spoken at many universities internationally and delivered training to a number there is still a long way to go.*

*This guide is important and I thank you again"*

Chris Hawker

Director, Centre for Risk, Resilience and Renewal  
Principal Incident Controller, University of Canterbury  
New Zealand

We commend this to readers and users of the guide as a reminder of just how important the emergency planning process is. At times it can seem a rather difficult and challenging process but as the above words illustrate it is work that has value and can make a real difference.

## How to use this Guide

The updated version is available on the AUCSO website in two versions:

Full Colour for review on tablets etc

Grey Scale version with larger images removed for printing

It can be printed and placed in the original 2008 binder if required.

The original mix of top tips, examples, guidance and case studies are maintained. New case studies and examples supplied during this review have been clearly marked as a '2014 update'. However please note that all sections have been thoroughly reviewed to ensure accuracy and relevance.

The new document has been designed with pdf usage in mind so rather than a checklist at the end of each section we have supplied an action checklist on the next page, which can be reproduced multiple times.

The key resources to accompany this guide are now available to download from the AUCSO website and are regularly updated and added to.

The term 'HEI' is used to refer to Higher Education Institutions throughout.

Questions about the guide can be addressed to  
***chief-operating-officer@aucso.org.uk***

## SECTION ACTION PLAN

**Completed by:**  
**Date:**

**Section Number:**

| <b>What we need to do</b> | <b>Who is leading</b> | <b>Timescale</b> | <b>Confirmed: Date of Completion</b> |
|---------------------------|-----------------------|------------------|--------------------------------------|
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## Aim of the Guide

This Guide provides information and advice on good practice in emergency management with specific reference to Higher Education Institutions (HEIs) in the UK. The first version was published in 2008 so this second version provides the very latest updates, legislative changes and contemporary case studies. This reviewed guidance honours a promise made by the 2008 steering group to ensure that five years on from the original project we would undertake a detailed review and republication. It is also a chance to celebrate the many examples of new good practice that have been developed since 2008 and have been shared with the project team since the review began in September 2013.

Much work has been undertaken in the HEI community since 2008 and so the updated aim of this guide is to further assist HEIs in developing their ability to respond to emergencies and allow them to take their planning to the next stages. There are new updates throughout including information on social media, recovery planning, training and exercising and evacuation and sheltering.

This guide seeks to:

- Assist those involved in emergency management activities within HEIs in developing and reviewing their emergency plans
- Provide those tasked with developing and reviewing plans with further information and access to resources, including research, local networks and additional guidance in this field
- Consolidate understanding among Higher Education (HE) managers and those working with them of the nature of risks and threats to HEIs and how to conduct risk assessments within their own institutions
- Illustrate the nature and impact of emergencies in the 21<sup>st</sup> century and key principles in emergency planning and response, and



- Link emergency planning within HEIs into national emergency planning frameworks.

## Who this Guide is for

The Guide offers practical guidance for anyone directly tasked with writing or revising emergency plans. Since 2008 we have also demonstrated that it will also have much broader appeal to anyone with an interest and involvement in emergency planning and response activities and be disseminated widely to those contributing to strategic and operational emergency planning processes within a HE environment.

The main impetus for the development of the Guide came from a security and estates-based focus. However the key messages and implications presented here are relevant to everyone within an HEI, from Vice Chancellors and senior management through to operational staff at departmental level.

Indeed, in the event of an emergency, the effective implementation of any plan will depend on the extent to which the activities promoted here have been considered, consulted over and communicated holistically across the organisation.

Within any particular HEI emergency management roles and responsibilities may not have been explicitly identified and defined. Many HEIs do not employ full time emergency planning officers. However there are often implicit expectations that HEIs will have arrangements in place and that staff and students should respond to an emergency should one occur, knowing what to do, how to do it and when. Readers of this Guide may assist staff, students and others coming into contact with the HEI environment in understanding what they need to know and their roles and responsibilities in meeting institutional expectations and arrangements.

Emergency planning activities clearly overlap and interlink with various existing processes such as health and safety, risk management and business continuity functions.

Research for this Guide has shown that the ways in which all these activities are conducted, organised and managed varies very widely across institutions, as do levels of organisational resilience and vulnerability. But there are significant distinctions between each of these, which need to be understood by all involved if emergencies are to be dealt with efficiently and effectively. Those tasked with developing associated plans and protocols will have particular contributions to make to emergency planning processes and will thus also find this Guide of interest.

For these reasons this Guide has shown itself to have broader appeal to all those interested in developing preparedness and maintaining resilience within the work and study environment of the HEI. Beyond HEIs, the information contained here may also benefit those from external organisations in working with HEIs to develop local and regional resilience.

### **The Definition of ‘Emergency’ used in this Guide**

In this Guide the term ‘emergency’ is used to refer to:

‘An event or situation that threatens serious damage to staff and student welfare or to the HEI environment. To constitute an emergency this situation must require the implementation of special arrangements by the HEI.’

## **2014 Update: ‘Resilience’ in HEIs**

The new title of Resilience in Higher Education Institutions reflects the growing use of the term resilience to describe an organisation’s ability to ‘bounce back’ from disruptive challenges. Resilience also encompasses an ethos of preparedness and strength through planning, training and teamwork.

### **HEIs, Emergencies and the Law**

Although HEIs do not have statutory duties under the Civil Contingencies Act 2004, there are many reasons why they should consider their legal position in relation to Emergency Management. These Include:

A duty to all people using or visiting their premises under Section 3 of the Health and Safety at Work Act 1974 and a specific duty of care to all staff under Section 2 of the Health and Safety Act 1974 (see [www.hse.gov.uk](http://www.hse.gov.uk) for further information.)

In the Civil Courts the University could be found negligent in regard to its emergency planning arrangements and a breach of their duty of care.

They could be held vicariously liable (responsible) for the actions of their staff. There could also be criminal charges brought against a university in the event of deaths using corporate manslaughter legislation (April 2008).

Students may have a case for breach of contract especially as many universities now state explicitly (e.g. in student charters) that they will provide particular safeguards.

Potentially allowing disruption to interfere with studies could lead to contractual claims relating to tuition fees paid

There is legislation allowing greater disclosure of information so Universities may be asked to provide examples of their emergency plans.

The Human Rights Act 1998 could be used as the University is a public body. This would be relevant if the University had not acted in accordance with a number of enshrined rights identified in the European Convention for the Protection of Human Rights and Fundamental Freedoms.

*AUCSO are available to provide training on this specific aspect*

## **What is Emergency Planning?**

### **Key Principles in Emergency Planning**

*‘Emergency Planning involves the development and maintenance of agreed procedures to prevent, reduce, control, mitigate and take other actions in the event of an emergency’*

[Extracted from HM Government, Emergency Preparedness, available on [www.gov.uk](http://www.gov.uk)]

A key concept within emergency planning is resilience – the ability to recover quickly from disruptions affecting organisations and individuals within such communities.

HEIs are not alone in seeking to develop plans to enhance their resilience and preparedness for dealing with emergencies and can learn much from other organisations engaged in similar kinds of activities.

### **Aims & Objectives of Emergency Planning**

Every individual emergency plan will have a particular aim and set of objectives, but some common general aims underline most emergency plans and planning processes. These are:

- where possible to prevent emergencies occurring
- when they do occur, to reduce, control or mitigate the effects of the emergency, thus minimising their impact on people
- to put appropriate arrangements and procedures in place that will enable organisations to respond and manage an emergency
- to enable organisations such as HEIs to liaise effectively with the Emergency Services, Voluntary Agencies, and other groups or organisations in responding to an emergency
- to enable organisations to continue to provide normal services as far as is possible (this refers to the link to business continuity)
- to put in place processes for systematic and ongoing review which will allow for lessons to be learnt and arrangements updated and reviewed as circumstances change.

### **Continuing to embed Emergency Management within HEIs**

*‘Firefighters tackle campus blaze’*

*‘Meningitis alert at university’*

*‘Counselling brought in after student deaths’*

*‘Animal rights website publishes addresses of University staff’*

*‘Tragedy and tears after university violence’*

These kinds of headlines show that HEIs are not immune from the risks, impacts and aftermath of various types of emergencies, both small and large scale. Such events highlight the importance of being prepared, particularly for those critical events, which may occur without warning and for which the costs of inaction or failing to plan can be very high.

### **Top Tips for bringing colleagues on board:**

- Tackle resistance head on; if possible table a discussion on meeting agendas which asks people to identify the pros and cons of engaging in emergency planning within their department/school/institution. It is easier to promote the arguments *for* and tackle the arguments *against* once these have been named and made explicit.
- Seek to harness dedicated staff, advisers and champions within and across different departments who can endorse and support your efforts.
- Cite this project and examples of experiences detailed in this Guide to illustrate the sort of experiences, initiatives and proactive measures other institutions are putting in place in this area.
- Work with internal auditors who may include emergency planning and business continuity in their auditing processes
- Remind them that one of the most common lessons shared by those with first hand experience of emergencies is the realisation that emergency plans are essential for preparedness in dealing with the physical, psychological, social and business impacts of emergencies. In the aftermath of emergencies many people regret not having given this area fuller attention before.
- Examine legal responsibilities of HEIs in an emergency, which will highlight the importance of this area of planning. AUCSO can arrange specialist training in this area.

## Distinguishing between Emergency Planning & Business Continuity

[Research](#) for this Guide has shown that there is often confusion over the distinction between **Emergency Planning & Business Continuity** activities within HEIs. Although this is a common problem, especially as plans may be activated simultaneously, it is important that these two differing spheres of activity are clearly distinguished and function as complementary processes within any institution's planning and response procedures.

Our research has suggested that the most common approach adopted by HEIs is to have one central "major incident" approach, which encompasses a pool of resources and skilled personnel. The requirements of the emergency will be assessed and separate business continuity and emergency planning functions will be assigned to different teams.

### Why is this distinction important?

- The two response streams have different priorities and require different resources:
- **Emergency Planning** can be described as having an external focus which responds to community based events (in this case, the HEI is the community). Emergency Planning and Management will involve a focus on an initial response, liaison with many agencies and responding to the requirements of those affected by the emergency. (This Guide is focussed on emergency planning scenarios.)
- **Business Continuity** is concerned with maintaining internal operations in an organisation. There will be some crossover but the two work streams have very different priorities and are designed to deliver results. Examples of business continuity priorities include liaising with insurers and loss adjusters and returning IT networks and other core services. Further links on Business Continuity can be found in the Resources section.



*These definitions are adapted from Zurich Municipal Guidance, News and Views, Autumn 2006*

Key Questions: Working this distinction through

- **Identify some key business continuity functions that your team may need to perform in the event that you lose power and all IT services due to a flood**
- **What will be the emergency management functions running at the same time**

### **The Emergency Planning Cycle**

*‘The emergency planning cycle involves a continuous process of assessing the risk of and preparing for emergencies supported by procedures to keep staff in readiness and validate plans. Plans should also be reviewed and, if necessary, revised when they have been activated in response to an emergency’ [Emergency Preparedness, Chapter 5 available at [www.gov.uk](http://www.gov.uk)]*

Using a cyclical approach emphasises the importance of planning as part of the preparedness stage before emergencies strike in order to be able to mitigate their impacts and facilitate recovery post-event.

The better the prepared a HEI is for dealing with emergencies, the more effective and cost effective a response is likely to be. This is one of the key reasons why it is important for HEIs to engage in emergency planning activities. Training and exercising is a key part of the planning process, encouraging effective evaluation, review and updating of plans as part of the cycle of continuous improvement, awareness and readiness to respond.

### Example: One HEI's Emergency Planning Cycle

#### ***Example: One HEI's planning, training and exercise timetable***

Once the plans are agreed all the key staff identified in the plans will be sent copies and talked through their role.

All Heads of Department will be sent the plans and asked to review and/or develop their own departmental arrangements by the end of (date). To date approximately 50% of departments have completed Departmental Plan Risk Assessments.

Two Lunchtime Seminars have been arranged for Semester 2. They will be led by the xxx Manager and the Health & Safety Adviser.

In the Spring (date), a Desktop Exercise "Talk Through" will be run as identified in the Plan and in the summer recess a Full Exercise "Walk Through" will be run involving all key strategic and operational staff.

Both Exercises will be regularly run - the "Talk Through" half yearly and the "Walk Through" annually. All Exercises will be thoroughly reviewed and the Plans will be amended accordingly.

The Emergency Management Team will also attend a Local Resilience Forum event in the summer.

Both Plans, as well as Departmental arrangements, will be fully reviewed annually.

### Your partners in Emergency Planning

Partners in an emergency response include police, fire, ambulance, local authority, utilities companies and many more. Further guidance on working with these partners is included in the planning section with more detailed explanation of roles in Section 9. Your private sector partners (such as companies managing contracts for the HEI or working in collaboration with research) may refer to their responses as crisis management.

In 2014 the British Standards Institute produced  
*Crisis Management – Guidance and Good Practice*

*BS 11200: 2014*, which provides further insight into this area of work. The publication to accompany this is available for a fee from the BSI.

## Glossary, Lexicon and Acronyms

Emergency planning uses a number of specific phrases and acronyms, which can be confusing. The government produces a list of these, which is regularly updated and can be found at

<https://www.gov.uk/government/publications/emergency-responder-interoperability-lexicon>

**2014 Update: LRF Engagement**

Five years ago we advised that HEIs should consider forging closer links to Local Resilience Forums. During the review it has been heartening to see how many HEI representatives are now working closely with their LRFs. They have been advising on HEI specific issues, participating in multi-agency exercises and attending meetings and workshops. Contacts for your local LRF should be available online.

## 2014 Update: Recent activations

Since 2008 a number of HEIs have sent us their own recent examples of having to activate an emergency plan.

A sample case study of a 2014 incident is below:

### 2014 Update

**Aberystwyth University were caught up in this dramatic emergency response in January 2014. We are very grateful for them for providing this insight to update the review:**



### What was the incident?

Major storms and exceptionally high tides caused risk of flooding to sea-front properties including student halls of residence.

### Can you tell us about the early stages of the response?

- What/how did you hear about the incident?
- What steps were taken?
- Were any plans activated?
- Who was involved in the response?

On Thursday 2<sup>nd</sup> January 2014 members of the Campus Services Team received text alerts from Natural Resources Wales regarding the risk of high tides and flooding on the following day. The major news outlets and the Met Office were also covering the possibility of storms.

The Campus Services Team contacted members of the University Executive as soon as it became clear that some emergency measures might need to be

taken. The Pro Vice Chancellor for Welsh Language and Culture and External Engagement was initially contact by telephone and the Pro Vice Chancellor for Student and Staff Services was contacted by social media. Both of them came into the office to assist in the response.

The Campus Service team gathered at the sea-front offices to consider options for securing the sea-front properties and evacuating residence if necessary. A response team was set up including dedicated staff to deal with communications to staff and students.



### **What happened next?**

On the evening of Friday 3<sup>rd</sup> January notification was received from the local police that there would be a mandatory evacuation of all sea-front properties during high tide.

The decision was taken to evacuate students from the sea-front halls of residence via mini-bus and bring them to a respite area in one of the campus restaurants. An email was sent to all students notifying them of the evacuation. Those students who had not yet returned from their Christmas holidays were advised not to return to Aberystwyth until further notice. Members of staff were brought in to help with the evacuation (qualified minibus drivers etc.). Around 200 students were evacuated. Students remained in the respite area for a few hours until the University was advised that it was safe for them to return to their homes.

It was decided that the exams, which had been scheduled for the following week, should be postponed. It was unclear at the time when the bad weather would ease up enough for students to be able to return to the University, therefore it was decided that the entire exam schedule should be moved forward



by a week (making use of the 'marking week' at the end of January). This decision was communicated to all students via email and social media.

A template response plan was developed to deal with upcoming high tides. Further work was carried out on Saturday 4<sup>th</sup> January to secure the building including blocking up the sea-facing entrances to the residences. On Sunday evening an alert was put out that residents should stay away from sea-facing rooms. Students were notified of this and given the option to return to the respite area but only a few chose to do so.

On Monday 6<sup>th</sup> January further stormy weather and even higher tides were predicted and the decision was taken that all students should be evacuated from the sea-front residences and provided with alternative overnight accommodation. This decision was taken prior to the local Council notifying the University of further evacuation. Alternative accommodation was provided in student residences, which were well away from the sea front. Students were allowed to return home the following day after safety inspections had been carried out.



### **What went well?**

Overall the evacuation went very smoothly. There were no health and safety issues and minimal business disruption. Feedback from the students affected has been very positive.

For the start of the exercise the team who were dealing with the response functioned exceptionally well. In particular, the decision to provide dedicated staff to deal with the communications activities meant that those on the 'front line' could deal with the evacuation without worrying about sending emails or answering queries. The involvement of members of staff with wide skill-sets meant that there was no over-reliance on any individual.



One of the major keys to the success of the exercise was the approach to communication. Early on a decision was taken that all communications should come from a single source to avoid any mixed messages getting out. There was a close working relationship with the Students Union to ensure that there was a consistent approach to communication. Whilst the main form of communication was email, a variety of media were used to get messages out, including Twitter, Facebook, the University website and YouTube videos.

The decision to defer exams was taken at an early stage and had a significant impact. Those students who had not yet returned to University were able to stay away for a few more days, freeing up bed-space for the evacuated students. Longer-term, it minimised the number of 'special circumstances' for students who might not have been able to attend if the exam schedule had not been changed.



### What would you do differently in the future?

Closer communication with local authorities might have meant that the University had more advanced notice of when the evacuations were likely to take place. The University has been in touch with local authorities to request more direct communication in future.

Options will be looked at for providing a greater variety of contact details for key staff as there were some issues about mobile phone coverage in the area. There were also some problems getting contact details for external organisations (public transport etc.). These details are now in place but need to be kept up to date.

Staff were able to see all the emails which were sent out to students but direct communication with those staff not involved in the response team was limited. Whilst this did not cause any major problems but options for more direct communication will be considered in future.

The decision, which was made to reschedule exams is considered to have been absolutely correct for that particular set of circumstances. However, some additional planning around the rescheduling of the timetable might be beneficial for incidents where quick decisions need to be made, for instance, in the middle of a normal teaching period.

Not all students were aware that the 'marking week' in January still constitutes part of term time. Some students had made plans for that which needed to be changed when the exams were rescheduled. In the future, it will be made clearer to students that they are expected to be in attendance during such periods.



### **How did you meet the needs of your students, staff and other relevant stakeholders?**

- **Students**  
Those students directly affected by the evacuation were provided with alternative shelter, transport to and from campus, free food and alternative overnight accommodation when required. All students were provided with regular updates on the situation via a variety of media. The alternative exam timetable was made available very quickly to allow students to plan around the new schedule.

- Staff  
Staff were included in all the emails which were sent to students and informed of any specific issues which would affect them.
- Other stakeholders  
The other stakeholders affected by the incident were mainly the friends and family of the students. There was a large amount of media coverage of the storms and therefore it was considered important to provide reassurance that all students were safe and being looked after. This was done via a variety of media including web-based communication, YouTube videos, TV and radio. Staff on the University's 24/4 phone number were provided with detailed FAQs to deal with any telephone queries.

**How has the incident positively impacted on your planning?**

The University is currently reviewing its business continuity arrangements and the incident has provided valuable experience for this process.

**If applicable, what is the single most important lesson to have been learned from this incident?**

Having a well-coordinated team, which were able to work dynamically in a quickly changing situation was the key element to a successful response.

*Photographs reproduced from [www.bbc.co.uk](http://www.bbc.co.uk)*

## 10 Reasons Why HEIs should Engage in Emergency Planning

It is sometimes difficult for those within HEIs to appreciate why it is important for them also to develop such plans. In the aftermath of events such as those referred to above, the social, moral, financial and reputational reasons for pre-planning become all too obvious, but as many have found to their peril, this can be too late.

Those tasked with developing plans may also encounter resistance and challenges from colleagues who suggest that "it won't happen here" or cite other pressures and priorities as reasons for being unwilling or unable to engage in emergency planning processes.

A number of arguments may be useful to bear in mind in addressing such misconceptions and concerns and reflect the following reasons why it is important for HEIs to engage in emergency planning:

1. Routine arrangements for dealing with smaller scale or less complex incidents are unlikely to be sufficient to deal with emergencies, which require additional measures and protocols to be put in place ahead of time.
2. Having plans and procedures in place means people are or likely to know what to do in an emergency, hence mitigating negative impacts such as multiple death and injury as well as other costs, including financial, social and reputational losses.
3. Having information and procedures in place may mean people feel less stressed in dealing with emergency situations. People make better judgments and decisions when they are less stressed which can aid response during an emergency and may reduce the risks associated with longer-term emotional impacts and recovery.

4. Public, media and political expectations are high when it comes to managing emergencies. A shifting culture in favour of the development of systematic and well rehearsed emergency procedures means HEIs failing to take emergency planning seriously will fall short of such expectations, with significant reputation and other consequences.
5. Communicating emergency plans promotes risk and safety awareness across the institution, thereby contributing to a more proactive safety culture in general. Emergency planning processes can overlap with health and safety, business continuity and risk management processes, bringing mutual benefit to all of these functions in terms of related plans and protocols becoming integrated, complementary, reinforced and well communicated.
6. The process of developing emergency plans may highlight unrecognised hazardous conditions that would aggravate an emergency situation, enabling measures to be taken to eliminate or control them. The planning process may bring to light deficiencies such as the lack of resources (equipment, trained personnel, supplies), or items that can be rectified before an emergency occurs.
7. Adopting emergency plans and procedures may lead to lower insurance premiums for the institution. Also HEIs are often centres of specific scientific and historic interest containing irreplaceable items that no insurance can protect.
8. Developing and communicating emergency plans demonstrates the institution's commitment to the safety of staff, students and other personnel and shows that the HEI is tasking its legal and moral responsibilities seriously.



**9.** The correct management of H&S, incidents and emergencies has become more important to prevent damage claims against the HE sector and pressure to identify and manage risks through emergency plans is likely to increase rather than decrease in future. The institution has a duty of care to its users.

**10.** Developing emergency plans makes good business sense.

Emergencies can disrupt the business of the HEI, affecting critical operations. This is bad for all the institution's stakeholders - employees, customers and communities. Robust plans for managing emergencies make a difference in helping to ensure that the impact of these emergencies is minimized and the good reputation of the institution is maintained.

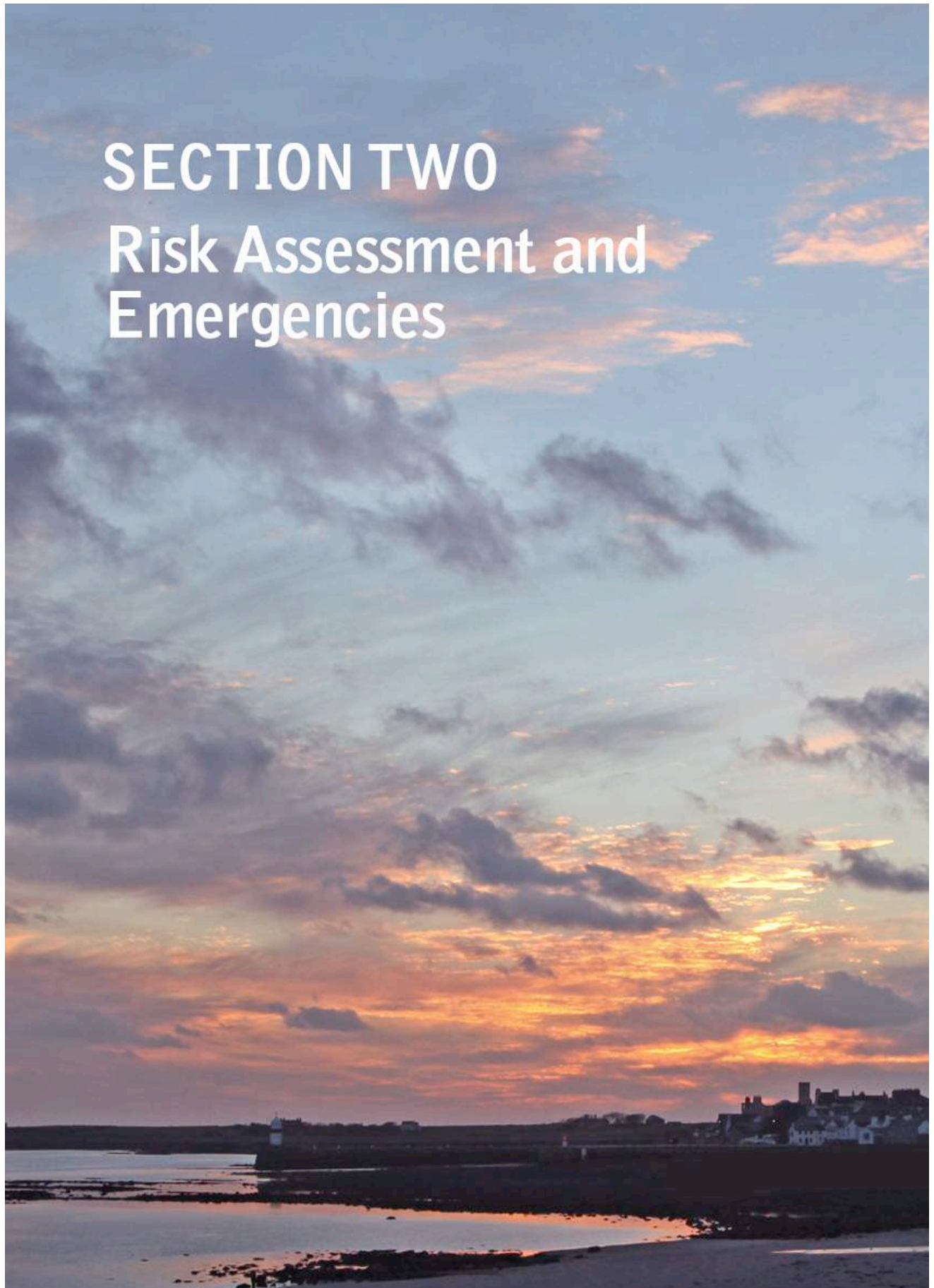
## In Summary ...

- Emergency Planning involves the development and maintenance of agreed procedures to prevent, reduce, control, mitigate and take other actions in the event of an emergency.
- Business Continuity is concerned with maintaining internal operations in an organisation; such activities should complement but be clearly distinguished from emergency planning activities within the HEI.
- Local Resilience Forums should provide a useful focal point for HEIs wishing to engage with local responders in developing and testing emergency plans.
- Emergency plans should be integrated internally, across all responding agencies and across all phases of emergencies.
- There are a number of reasons why HEIs should engage in emergency planning. Resistance by colleagues should be actively addressed in seeking buy-in as this is crucial.



# SECTION TWO

## Risk Assessment and Emergencies



## What is Risk Assessment?

The terminology relating to risk assessment can vary between institutions so this Guide uses the definitions that accompany the Civil Contingencies Act 2004. It relates to risk assessment specifically in the context of emergency preparedness.

The HEI sector has a range of other guidance documents relating to governance, financial risk management and managing specific health and safety risks, and these should be consulted by responders who require particular advice.

## What is Risk?

The Cabinet Office offers the following definition of risk:

*'In the context of emergency preparedness, risks are those hazards (i.e. non-malicious events such as flooding) or threats (i.e. malicious events such as terrorist attacks) which could adversely affect an organisation and its ability to carry out its functions. Risk is a function of the likelihood and impact of a given hazard or threat. This reflects, on the one hand the possibility of an emergency occurring, which could adversely affect the organisation (e.g. flooding or nuclear accident). And on the other hand, the extent to which the event impacts upon the organisation (e.g. lack of staff, disruption to power supply, damage to facilities).'*

Further information on risk assessment is also available in the guidance document Emergency Planning and Preparedness which is available on [www.gov.uk](http://www.gov.uk)

*Please note that risk assessing an emergency from a Health and Safety perspective is covered in other parts of this Guide (see "When the call comes in.")*

## The Risk Management Process

Your risk management process should incorporate the following steps:-

- Context – understand your risks e.g. in the context of Higher Education
- Identify risks in relation to your local context and area
- Describe risks, e.g. through producing an internal risk register
- Evaluation/Score – Score your risk, e.g. using a matrix approach
- Management Strategy – decide how you will manage your risks

## Understanding your Risks

It is important that you use your local and national risk profile to build a picture that informs your emergency planning.

Your institution is likely to have produced strategic risk registers in line with guidance from organisations such as HEFCE. If this is an area that you have not been involved in it may be worth establishing links with colleagues who are preparing these. Another useful contact will be your institution's insurance officer who may be able to provide specific information about the points raised below.

## The National Risk Register

The National Risk Register produced by the Cabinet Office and available on [www.gov.uk](http://www.gov.uk) is an important starting position for HEI emergency responders. This includes a matrix and discussion of the top risks currently being planned for nationally. Please note that this does not include detail on malicious threats etc and so for guidance on this aspect see later in the section. Using the National Risk Register also adds weight to training scenarios and exercises as it enables management to see the way in which the government have scored risks such as extreme weather and pandemic which are both considered serious and possible risks,

## Community Risk Registers (CRR)

The requirement for Community Risk Registers (CRR) to be produced is set out under the Civil Contingencies Act 2004. They are developed by Local Resilience Forums and will provide you with an assessment of the risks in your local area. This is another good reason to make contact with your LRF but be aware that they are also published for public access (this is usually an edited version for security and data protection reasons.) CRRs can be downloaded from council and police authority websites.

## Producing Internal Risk Registers

Producing an internal risk register is the first phase of your emergency planning process. If this has not been done it can be worth capturing as part of your emergency planning project objectives (see Section Two: Getting Started) Internal risk registers are relatively easy to produce and there is guidance available to support you. Often a good way to get the session started is through a workshop with your emergency management team (and possibly other key staff such as Safety and/or Fire Officer, HR, Legal).

A risk register should be manageable and realistic. In developing an internal risk register consider factors such as:

- *Your Geographical Location* – e.g. Urban, Campus, City, Flood Plain?
- *Your Research Areas* – e.g. hazardous activities, radiation? (You may also want to look at areas of specific scientific and cultural interest so that contingency plans can be in place).

- *Your Student Populations* - Halls of residence-based or commuting? Postgraduate or brand new 'freshers'?
- *Riskier times of year* – e.g. during clearing or exams periods? (You might want to think about additional support in your plans to deal with these.)
- *Critical Functions* - This helps you to establish which functions can be high, medium and low priority in an emergency; link into your business continuity planning here.

***A Reminder: Beware of cutting and pasting from a neighbour's risk register. One public sector organisation did this and produced a risk register including reference to a coastline they did not have!***

## Scoring your Risks

Risks will then be scored and prioritised within an organisation and are often displayed within a matrix. The 'appetite' for planning for these risks can then be discussed.

## Managing Your Risks

Once you have identified and evaluated your risks, you will need to develop strategies and plans for managing those risks.

Having an up to date risk register will mean that your emergency planning is more accurate and informed.

However it is important that your planning is also *consequence*-dependent rather than *scenario*-dependent so that you can manage any type of event.

The Cabinet Office gives the following guidance on **generic** plans and **specific** plans:-

**'Generic plans'** are the core plan which enables the organisation to respond to, and recover from a wide range of possible emergencies. They should hence include procedures, which would be used in all instances for e.g. ensuring the welfare of staff and the provision of sufficient resources for responding to the emergency.

**Specific plans** relate either to a particular emergency or kind of emergency, or to a specific site or location. Specific plans are a detailed set of arrangements designed to go beyond the generic arrangements when they are likely to prove insufficient in a particular case. A specific plan usually relies on a generic plan. For example, organisations, which deal with hazardous materials, may need specific plans for responding to a chemical spillage. Some organisations may have specific plans for conducting specific functions in response to an emergency. For instance, the emergency services will have plans for mass evacuation of an urban area and mass decontamination. Organisations should use their risk assessments to decide whether specific plans are necessary or desirable."

### The Four “Ts” of Risk Management

| Risk Management Strategy | Description and Example   |
|--------------------------|---|
| Transfer                 | The most common method of risk transfer is an insurance policy. Remember that you cannot rely on insurance to cover all your costs (e.g. staff overtime) and check your policy for certain exclusions e.g. terrorism cover, academic’s books etc. |
| Tolerate                 | There may be some risks that you live with. These may include the fact that the campus is located near to a busy industrial site that you have little control over; but you can plan to mitigate the consequences of an emergency there.          |
| Terminate                | There may be some risks that you can get rid of altogether e.g. replacing an asbestos roof with safer materials.  |
| Treat                    | Risk treatment options would be measures that you put in place to help lessen the severity or likelihood of the risk such as buying personal protective equipment or fitting a sprinkler system in a high-risk area.                              |

## 2014 Update: Examples of some of the risks facing HEIs (Compiled by Danielle Osborn)

This list contains some of the potential emergencies the university addresses in emergency management planning, and is not all-inclusive.

#### Fire Emergencies

- Minor Fire
- Major Fire
- Explosion

#### Medical Emergencies

- Communicable Disease Exposure and/or Outbreak
- Injury
- Death or Homicide
- Food Poisoning
- Mass Casualties incident (building collapse, transport crash (air/bus etc)

#### Hazardous Material

- Hazardous Material Release (Toxic Cloud)
- Chemical/Bio/Radiation/Spill Exposure
- Radiation Exposure



- Asbestos Release

#### Evacuation

- High Profile Landmarks – Impact from an event locally
- Notice Evacuation (Planned) – fire alarms, protest demonstrations etc
- No notice evacuation (Unplanned) – fire, flood, violent individual etc
- Shelter-In-Place – chemical spillage or violent individual(s)

#### Weather Emergencies

- University Closure
- Flooding
- Ice/Snow Storm
- Tornado/Severe or Inclement Weather
- Heat wave plan

#### Infrastructure Systems

- Telephone / Telecom Failure
- ATM and Finance Systems Failure
- Campus-wide Data Network outage
- Partial Campus Data Network outage
- Campus-wide Utility Outage
- Limited Utility Failure
- Campus-wide building security systems outage
- Campus-wide systems failure (mainframe, storage)
- Partial systems failure (mainframe, storage)
- Structural Failure

#### Threat of Violence

- Bomb Threat
- Campus Violence
- Weapons
- Vandalism
- Hostage Situation

#### Terrorism

- National Level Terrorism
- Local Level Terrorism

#### Interpersonal Emergencies

- Sexual Assault
- Stalking
- Relationship Violence
- Missing Student
- Study Abroad Accident
- Suicide

#### Transportation Accidents

- Auto Accident
- Aircraft Collision with Building
- Pedestrians

## Specific Risks

More information about specific concerns is included in later sections but one particular risk that many HEIs were concerned about was the loss of their Halls of Residences and this example of addressing this risk was provided.

### Loss of Halls of Residence Plan

**The following extracts are from one HEI's plan for managing this particular risk:-**

**Aim:** In the event of a loss or substantial loss of a whole or part of a Hall of Residence, Estates & Facilities will take the necessary action to ensure the health, safety and welfare of occupants and to ensure the continuity of service provision as effectively and as soon as possible.

#### TWO PHASED PLAN

The Estates & Facilities action plan approach is divided into two phases:

[a] **Control Phase:** up to 24 hours *(detailed procedures are listed including evacuation, shelter and catering, contact and transport arrangements)*

[b] **Recovery Phase:** 24 hours to 1 week *(including allocation of alternative accommodation, transportation, clothing and vacation arrangements)*

This particular plan is linked to the following other contingency plans within the HEI:-

Communications and PR  
Complete loss of a building  
Crisis Operations Plan and Escalation Procedures  
Student Services Contingency Plans  
Student Services Contingency Plans

## 2014 Update: Managing 'Contractor' Risks

During the review process a number of HEIs raised concerns about ensuring awareness of 'contractor' risks and this concern took various forms. One aspect of this was ensuring that contractors were managed from a health and safety perspective e.g. during building work as there have now been a number of instances where fire and water damage have occurred. Further concerns were raised about ensuring that private companies working with the HEI also had strong plans in place e.g. halls of residence management companies, bus companies etc.

## 2014 Update: Terrorism Risks

Risks relating to terrorism are a particular concern. Specialist guidance on these risks are available from the Chief Operating Officer at AUCSO. It is also suggested that HEI responders link to the **PREVENT** elements of CONTEST which help to understand the factors influencing individuals who may be susceptible to extremism.

The current Prevent Strategy can be found via the following link:



<https://www.gov.uk/government/policies/protecting-the-uk-against-terrorism/supporting-pages/prevent>

Police do offer workshops, which tackle the issue of potential bombers and active shooters in their Project Argus workshops. The workshops are focused at the relevant organisation whether it is a University, a hospital or a crowded shopping area. It is worth highlighting these in the Guidance so that key individuals attend and gain an appreciation for potential threat and include it in their individual plan if they wish.

The following link from the National Counter Terrorism Security Office (NaCTSO) can be used to direct Institutions to Project Argus (2013).

<http://www.nactso.gov.uk/our-services>

Bomb threats and attacks remain as a source of concern. Most universities include actions to be taken in the event of a bomb or a suspected bomb on site. Many also now consider mass shootings in their plans (for discussions of 'Lock Down' see later sections).

Included within this guide are two American case studies relating to mass shootings, and though fortunately rare in the UK, it would be advisable for institutions to give consideration to this risk. Tragically, there have been over 20 since the beginning of 2013 in the US alone with places of education making up 30% of the targets.

Europe has also suffered a number of these events and it is probable that these numbers will increase - Anders Breivik, Norway (69 dead, mostly teenagers), and Dunblane, Germany and Finland have all had violent outbursts from individuals intent on doing harm.

The Australian Government has the following guidance for schools and places of mass gatherings on active shooters:

<http://www.nationalsecurity.gov.au/Mediaandpublications/Publications/Documents/active-shooter-guidelines-places-mass-gathering.pdf>

Racially motivated attacks can be extremely disruptive and devastating to an HEI and therefore plans for how they will be handled including a dedicated communication plan and who will be responsible for dealing with the Police if necessary. Consider signposting to CONTEST the Counter Terrorism Strategy provided by the National Counter Terrorism Security Office arrangements and Project Argus workshops held by the Police.

### **Cyber Risk**

It is sometimes assumed that Cyber Risk, a major concern nationally and internationally, relates only to problems with IT systems or passwords. In fact a cyber attack could present many logistical and practical challenges for any organisation including a total loss of access to financial systems or severe travel disruption. These aspects may be tested as part of your Business Continuity

work but may also present emergency response challenges such as the need to provide shelter and emergency practical support to displaced students.

National guidance on cyber risk is available at [https://www.gov.uk/government/uploads/system/uploads/attachment\\_data/file/73128/12-1120-10-steps-to-cyber-security-executive.pdf](https://www.gov.uk/government/uploads/system/uploads/attachment_data/file/73128/12-1120-10-steps-to-cyber-security-executive.pdf) and the 'Cyber Security Information Sharing Partnership' <https://www.cisp.org.uk/>

# SECTION THREE

## Planning



## Introduction

The development of this guide was inspired, in large part, by the experiences of City University London after a major fire. In 2014 their lessons are still relevant to planners and are included below.

## Planning Case Study - Fire at City University London



On the evening of 21 May 2001, a fire ripped through the top floor of one wing of City University's College building, destroying the roof and most of the top floor. All occupants were safely evacuated and no-one was injured. It took 60 fire fighters three hours to extinguish the fire and the water used resulted in major damage right through to the lower ground floor of the building.

The initial recovery lasted 6 months but it took a further 5 years to fully re-open the building. The Loss Adjuster originally estimated the total loss to be c£6m but the final figure was £10m (£8m of this was covered by the insurers).

There were lessons learned, both positive and negative, which were shared within the HE sector and which contributed to the growing interest in emergency management within the sector and ultimately to this project.



### ***Lessons Learned – And Putting Them into Practice!***

- Test fire alarm systems weekly at varying times, so people know what the alarm sounds like and to check that it works everywhere.
- Ensure all clocks or timers on security, telecommunications, IT and fire systems are accurate and checked regularly.
- Ensure security teams are trained in fire alarm response and basic safety procedures (warn them about smoke/fire hidden above suspended ceilings).
- Ensure the security team members carry essential equipment with them when responding to emergencies - master keys, radio, HV jacket/vest, torch, notebook/pen etc.
- Train staff to use radios and/or mobile phones effectively.
- Use PA systems or have handheld loudhailers available to communicate to large groups of people who have evacuated.
- Building floor plans/lay-outs, the locations of dry risers, power, oil and gas cut-off switches etc may be required by the emergency services and should be readily available – or who is available on site with that knowledge?
- Keep emergency stores with torches, rubber boots, HV vests, hard hats etc.
- A detailed log of all events should be kept in view of subsequent investigations.

### **Emergency Management Team (EMT)**

- Have a duty manager or senior supervisor available on site 24/7 to coordinate initial emergency response.
- Have a pre-designated and trained Emergency Management Team
- Maintenance, facilities, fire wardens and other staff may be called on to provide additional assistance. They will find it helpful and will be more effective if they have been previously trained and briefed on possible emergency roles - who and where to report to, what equipment to take with them, what their expected roles may be.
- Access to buildings may be limited, so mobile phones and/or radios are essential for key staff.
- Have an up to date contact list, containing home and mobile numbers of the University emergency management team, their deputies and other key staff.
- Have a duty Press Officer to deal with the media quickly and effectively.
- Use the TV and radio stations to get information out.
- Train relevant staff in dealing with the media/press interviews.

### **Supporting the EMT**

- Have pre-designated rooms available for use by the EMT/emergency services. Include digital TV, several telephone/data extensions, a computer or laptop with email & internet access, access to a photocopier, fax machine and stationery.

- Have separate venues for press and staff briefings.
- The University emergency plan should be available and include generic checklists for each team member with a reminder of what they need to do.
- Keep a log and minutes of meetings to record actions and decisions.

### **Reviewing the Plan**

Ensure there is a timetable in place for the regular review and updating of plans.

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## **Planning for the ‘Emergency’:**

### ***Distinguishing between Routine ‘Incidents’ & ‘Emergencies’ in HEIs***

In this Guide the term ‘emergency’ is used to refer to:

*‘An event or situation that threatens serious damage to staff and student welfare or to the HEI environment. To constitute an emergency this situation must require the implementation of special arrangements by the HEI.’*

There are many different terms used to describe emergency situations and it is important to be clear about the types of events included in this Guide.

Definitions reflect differences in terms of cause, scale and impact of events, and also differing perspectives and approaches to responding to and managing them. This is important because those fulfilling the range of strategic and operational roles and responsibilities in the aftermath of incidents might have very different (and sometimes even conflicting) roles, interests and priorities. Organisations may differ in the extent to which they might consider and respond to an incident routinely and/or as an emergency. For example HEIs handle many incidents using routine procedures, which other kinds of organisation would experience as out of the norm and would be addressed using special arrangements. These include power failures, individual deaths of staff or students and/or small-scale disease outbreaks.

One HEI has provided a list of the type of things they are planning for:

*This definition will cover a wide range of possible incidents, including: accidents, fatalities, natural disasters, fires, bomb threats, sabotage, threats to personal safety, health alerts, epidemics, hazardous incidents, public order incidents, student occupations, criminal activity and serious misconduct or impropriety.*

Events which are major emergencies or ‘major incidents’ on a larger scale will likely require the resources from across a number of departments or organisations, and assistance from agencies outside of an area may be needed.

Organisations after disaster often find themselves wearing a number of hats; they are a responder to the incident but are also affected by it. They might be managing the response while also being investigated for their role in causing the emergency e.g. by the police and Health and Safety Executive. This must be factored in, as it will affect the way in which you manage the response.

### **Integrated Emergency Management**

The principle of Integrated Emergency Management (IEM) is central to effective emergency planning and refers to the integration of all planning phases. It refers to emergency plans within individual HEIs being internally integrated, i.e. consistent, coordinated and communicated across the organisation (similar to H&S).

This means that all those likely to be involved in responding to an emergency should be included in the planning process, be familiar with how to activate the plans when necessary and be included in training, testing and plan review processes.

An integrated approach also refers to the importance of arrangements being integrated across all responding organisations (including for example the emergency services as well as the HEI itself). The nature of emergencies means that many organisations have to work together in responding to their impact and aftermath. It is therefore imperative that the plans of individual HEIs link to those of other organisations (see section eight for further information.)

A full explanation of IEM in emergencies is available at

[https://www.gov.uk/government/uploads/system/uploads/attachment\\_data/file/253488/Emergency\\_Response\\_and\\_Recovery\\_5th\\_edition\\_October\\_2013.pdf](https://www.gov.uk/government/uploads/system/uploads/attachment_data/file/253488/Emergency_Response_and_Recovery_5th_edition_October_2013.pdf)

### **Command Structures**

There is an agreed national framework for managing the local multi-agency response to, and recovery from, emergencies. Three management tiers have been identified that comprise the framework and equate to strategic ('gold'), tactical ('silver') and operational ('bronze') levels of response.

This common approach to command structures helps the emergency services and other organisations to communicate with each other and understand each other's functions and authority.

HEIs will also find it helpful to understand these command structures in planning and responding to emergencies involving liaison with external agencies. You might also want to structure your own response this model.

### **External Agencies**

It is crucial that HEIs understand the role played by many external agencies in the event of an emergency. This does not just include emergency responders but also organisations like the Fire and Rescue Service, health bodies and the Health and Safety Executive and the local authority (there is an explanation of the roles of these organizations in Section Nine). Most HEIs also engage regularly with their local responders.

#### ***Example: An HEI's Liaison with the Fire Service during an Emergency***

One university's emergency responders worked closely with the fire service in managing the risks caused by a flooding emergency. The flood affected a basement housing potential contaminants including chemicals and poisons. Efficient and effective liaison with the fire service's hazardous substances officer and the Environment Agency enabled the contamination risk to be identified and minimised. One lesson learned however was the importance of keeping the chemical store inventory complete; some hazardous chemicals had not been listed.



## HEI Internal Roles and Responsibilities

Emergency planning concerns everybody and while some staff members in HEIs will be tasked with specific responsibilities it is also important to consider ways in which all staff and students can be engaged.

A key consideration is to have clear command structures for all locations. A number of universities have found that engaging 'Departmental Ambassadors' have proved very effective as they can help to co-ordinate liaison.

A common challenge when an emergency happens is that one senior manager will try and take over the response and make their own decisions. This can be frustrating for those who have worked hard to ensure an integrated approach; ways to tackle this include training exercises and awareness raising sessions.

## Who is in your Emergency Management Team?

Membership of your response teams should be role based and resilient (i.e. personnel/standbys are available 24/7) rather than identifying or relying on specific or named individuals.

This has been a particular concern for some HEI environments where emergency planning has tended to fall to a small number of named individuals. It may be difficult to achieve but it is extremely risky to place all responsibilities and knowledge in the hands of just a couple of people.

Some HEIs have developed similar types of command structures to the emergency services (see above) in their emergency plans covering operational, tactical and strategic functions. This includes emergency plans identifying teams, which, in the case of a full emergency, will be assembled as soon as possible to strategically manage the emergency.

These should have the authority to be able to co-ordinate the University's response to an incident and its aftermath and should include representation of key staff from across the HEI's core functions.

## 2014 Update: The Composition of an Emergency Management Team

HEIs often ask about key roles within the emergency management team. Bernadette Duncan, the Chief Operating Officer of AUCSO, has developed this example after many years of working with HEIs to develop their emergency plans.

## EXAMPLE OF EMERGENCY MANAGEMENT TEAM ROLES

|  |   |
|--|---|
| Team Leader  | Initiate team call out<br>Assess Situation<br>Prioritise & allocate tasks<br>Agree resources<br>Update senior management officers |
| Information Manager  | Initiate emergency information line<br>Collate information<br>Liaise with communications team                                     |
| Information Technology   | Provide, maintain/recover IT systems  |
| Communications   | Provide internal and external communications<br>Liaise with Media   |
| Business Continuity Adviser  | Advise EMT on BC issues<br>Assist faculties and service areas   |
| Estates  | Ensure safety and utilisation of premises<br>Where possible maintain normal campus services                                       |
| Facilities<br>(may include timetabling,<br>catering, cleaning etc) | Set up EMT room and facilities<br>Where possible maintain normal campus services  |
| Security   | Liaise with emergency services<br>Secure scene/control access<br>Liaise with local authority reps<br>Initiate investigation       |
| Safety   | Provide H&S advice for responders and specific hazards<br>Initiate investigation  |
| Human Resources  | Support for staff<br>Provide NoK details if requested by Police   |
| Health and Welfare   | Provide advice on health & welfare for staff and students   |
| Student Residences   | Maintain normal facilities where safe<br>Provide shelter and information for evacuated students                                   |
| Student Services   | Support for students  |
| Finance  | Resources and liaise with Insurers  |
| Faculty/Department Reps  | Liaison between EMT and academic areas  |
| Students Union   | Liaison between EMT and SU<br>Provide welfare facilities where appropriate  |
| Log Keepers  | Act as log keepers for EMT<br>(May include decision logs for team leaders)  |
| Support Staff  | Provide admin and support to EMT  |

**TOP TIP: Don't Forget the 'Admin'!**

One CEO missed their own emergency press conference because there was so much going on in the incident room! You need an administrator to keep track of paperwork, logs, key decisions and timings. It is particularly important to have a timekeeper for EMT meetings.

Administrators are also crucial for plan development to keep on top of things like updating the key details and version control.

We also look at the importance of keeping a decision making log in the section – 'When The Call Comes In'.

## When to Activate the Plan

When developing and reviewing your emergency plans one of the first things to do is ensure that there is a practical distinction between types/levels of emergency and the nature and level of institutional responses. It is important to strike the right balance between flexibility and having clear and consistent procedures in place for responding to various types of incident. As the incident emerges it is useful to assess the likely SCALE, DURATION AND IMPACT. It is usually more effective to activate a response early on and then be able to scale it down later, than to wait too long.

### Explore what an 'Emergency' is in your HEI

It is useful in developing plans and training to ask colleagues to discuss their understanding of the difference between routine incidents and major emergencies and their expectations of when routine or additional help is needed.

One university details how their arrangements for providing an immediate and informed response to any incident includes ways of triggering an escalation in the levels of the management of the response depending on the scale, duration and impact of the emergency:

*'Where the scale, duration and impact of a major emergency indicates a serious threat to the critical functions of the University, a pan-University strategic management strategy can be invoked depending on whether an incident is to be declared an emergency; a part or the whole of the team may be convened under such circumstances....'*

Emergency roles should be made clear in plans and staff should be informed of their expected role. Ideally this should also be detailed in job descriptions.

There may be different expectations across different categories of staff about what they should do in an emergency (e.g. in one case reception and attendant staff were expected to stay/return the next day but some academic staff went home and did not come in next day).

## The role of strategic managers within the HEI

The role of strategic management within the HEI should be planned for in

advance. All senior managers should be trained and should participate in exercises – AUCSO can assist with this training. Consideration should be given to the role they play in the response to the incident – for example providing strategic and longer term direction, providing reassurance to staff and students and also facilitating the visits of VIPs that may occur after a serious incident (and can often be very important to both the affected community, staff and students).

## **Getting started on a new plan: Emergency Management as a 'Project'**

Emergency Planning and Management is an on-going activity, which should become embedded in everyday procedures. However if this is a new process for your institution it can be useful to define a short-term project to get things off the ground. A first step to help you clarify the way forward is to set objectives for this project and also objectives for the emergency planning process. You could also assign timescales, key activities and responsible persons.

Next you should consider risk assessment and populate your plan using a local risk picture; it is effective to focus on possible consequences rather than exact scenarios. Consequences may include injuries and deaths, denial of access, loss of IT, loss of property and possessions and long term evacuation.

## **Structuring and Writing the Plan**

The structure of any plan will depend on the way in which your HEI works but it is important that it is clear and logical.

**One HEI has provided the following sections within their plan:-**

## **CONTENTS**

### **Section One – Emergency Management Plan**

1. Introduction
2. Definition of an Emergency
3. Immediate Action in the Event of an Emergency
4. Emergency Incident Managers (EIMs)
5. Responsibilities of all Emergency Incident Managers
6. Responsibilities of the Emergency Incident Manager in an Emergency
7. Emergency Management Team
8. Key Issues for Emergency Incident Managers and the Emergency Management Team

### **Section Two - Guidance Notes**

1. Communications with the Student Community and All Members of Staff
2. Obtaining Information about Individual Students and their Families
3. Communications with Students' Families Collectively
4. Communication with Individual Staff and their Next of Kin
5. How to Establish an Emergency Helpline
6. Guidelines for Making Alternative Accommodation Available
7. Communications with the Media

### **Section Three - Working Documents**

1. Emergency Incident Reporting Proforma
2. Contact list of Key University Personnel
3. Contact List of Key Agencies

### **Section Four - Established Guidelines and Procedures**

1. The Management of Major Incidents
2. Infectious Diseases
3. When a Student Dies
4. Student Occupations and Sit-ins
5. Health and Safety Incidents

### **Campus Guide**

There should be no mystery in making sense of a plan and you should always remember the mantra of 'keeping it simple' so that people can easily understand and respond to it in stressful circumstances.

There may be instances where particular individuals or teams have helped to develop the plan but have no formal role within the activated emergency team (although they may become a "tactical advisor" during an emergency). This will affect how you prepare the plan and it is also crucial that these individuals/teams have an input and participate in training (see the Section on Training and Exercises.)

## TOP TIPS - Writing Emergency Plans

- Make it clear-readable font, double spaced, divided sections with clear labelling
- Give it to someone to read through away from your team to see how it flows and whether it makes sense
- Produce additional support material such as a laminated phone tree but make sure you keep it updated.
- Assume that the people who know the plan best will be on holiday when it is activated and write it accordingly. It is unrealistic to assume that everyone will be available to respond
- Don't just cut and paste from a colleague's plan: it won't fit your organisation as snugly as it should. Instead learn from their suggestions and copy where appropriate but apply some thought about how it will work
- Remember that the tougher it is to understand the less likely it is to be used
- Consider separating out strategy and operational material. Put administrative and additional guidance at the back and key checklists and agendas at the front
- Remember that adrenaline will affect the way that the brain works: you might not think you will need aide memoires, checklists and meeting agendas but they can be very useful (see examples in this Guide)
- Activation-who? Don't miss out on identifying key roles (rather than people)
- Using a phone tree can be useful and is something easy to test
- Make the main plan role-dependent rather than person-dependent i.e. avoid "*Susan - phone electricity company*"
- Ensure that personal details are held in accordance with Data Protection legislation
- Remember that you may not have access to mobile networks and internet systems in a major emergency-test your 'low-tech' response in an exercise

**2014 Update:** Institutions may find flow charts useful for quick decision making in times of pressure. The University of Glasgow's (2013) Guidance for Strategic Managers demonstrates this well: -

[http://www.gla.ac.uk/media/media\\_287747\\_en.pdf](http://www.gla.ac.uk/media/media_287747_en.pdf)

## TOP TIPS: Reviewing and Updating Your Plan

- Ensure that you manage the updating of new versions carefully so that all of your team are on the same page; in some HEIs this is done on the same day of each month
- Print this year's version on different coloured card so that people know which one is the latest!
- To make updating easier keep areas with key details to clear sections so that an administrator can update them frequently rather than peppering names and numbers throughout the plan
- This is also an issue when embracing new technology; if you have your plan in multiple formats and on numerous memory sticks, mobile phones etc remember to include a method/plan for updating these. It is also good to have a hard copy plan in a folder.
- It is not advisable to audit your own plan, as you are too close to it. Strengthen partnerships with local HEIs; swap plans with your counterparts for their views but be prepared to accept their feedback (This can be tricky when it has been your life's work for the last two years but is essential for the strength of the plan.)

### 2014 Update: One Plan or many Plans

Using the risk analyses discussed in Section 2 an HEI may be considering multiple scenarios in their plan and many of the example plans we have reviewed include a number of special considerations in an appendix. However they are usually all prefaced by one activation process and a core emergency management team that can be scaled up or scaled down.

## Special Considerations for planning

*(these can be very useful to test in desktop exercises!)*

### 1) Police Cordons in Emergencies: Implications for HEIs

The police may through cordons, seal off an extensive area surrounding an emergency site, thus restricting for some time, access to surrounding buildings and traffic routes.

Cordons may be established around scenes of emergencies for various reasons including guarding the scene, protecting the public, controlling sightseers, preventing unauthorised interference with an investigation and facilitating the operations of the emergency services and other agencies.

HEIs should consider the impact of such emergency response on their own incident response plans and business continuity arrangements.

### TOP TIP: Considering the Effects of Cordons in Your Exercises

The use of cordons may also mean that your site may be impacted by other emergencies within your local area (who are your neighbours?). Practising for cordons and their implications can be a very useful scenario for your exercises.



With a prolonged cordon, do liaison with Police and request access to buildings if essential, perhaps via side doors or ask if the cordon can be moved slightly.

## 2) Multiple Fatalities

### The Role of the Coroner

The Coroner investigates the why, where, how and when a sudden or violent death occurred and after an emergency involving mass fatalities the Coroner will be a key figure. Only the Identification Commission headed by the Coroner can confirm that a person was indeed killed by the incident. **It is important that information about any death is not released prematurely and the HEI should not speculate on the cause of the death.**

### The Role of the Police

In emergencies involving mass fatalities, the police process casualty information through the Casualty Bureau. This is a mechanism for providing a central contact and information point for all records and data relating to persons who have, or are believed to have been, involved in an incident.

If Casualty Bureau is set up a telephone number will be released via the media which people are asked to call if they believe someone they know is directly involved. As part of this mechanism the police will record details of survivors, evacuees, the injured and deceased, including their whereabouts.

This mechanism assists the police in reconciling missing people, formally identifying those who have been killed and officially informing Next of Kin. In the case of deaths involving a police investigation, the police are likely to deploy family liaison officers to assist in communicating with families and aiding identification and investigative processes.

### Procedures in HEIs after Fatalities

HEI emergency plans should take account of the fact that formal responsibility for informing Next of Kin after the death of a loved one lies with the police on behalf of HM Coroner.

Some HEIs have developed procedures for responding to the death of a student including internal communications, sample messages to staff and students and procedures for making contact with families to offer on-going support. It is crucial that these communications are handled sensitively and in accordance with procedures; guidance from the police should also be sought at the earliest opportunity.

Such procedures highlight the importance of ensuring that methods of dealing with such incidents are effective and avoid further distress to families, fellow students and others.

HEIs should plan for the fact that in mass fatality events the police may ask to search student records. Ways of facilitating this should be prepared as part of the planning process, especially if such records are not centralised (as is the case for example in collegiate systems). There is information and a reference to the latest government guidance on data sharing later in this Guide.

It is crucial that information about casualties should not be issued without first ensuring its reliability, for example via police sources.

In emergencies involving mass fatalities the police process casualty information through the Casualty Bureau. This is a mechanism for providing a central contact and information point for all records and data relating to persons who have, or are believed to have, been involved in an incident.

The public face of this in an emergency is the telephone number released via the media which people are asked to call if they believe someone they know is directly involved. As part of this mechanism the police will record details of survivors, evacuees, the injured and deceased, including their whereabouts.

This mechanism assists the police in reconciling missing people, formally identifying those who have been killed and officially informing Next of Kin. In the case of death(s) involving a police investigation, the police are likely to deploy family liaison officers to assist in communicating with families and aiding identification and investigative processes.

### ***Media Management following Fatalities***

In emergencies involving mass fatalities, which are likely to quickly attract high profile media attention, it is especially important that appropriate procedures are in place to ensure communications are carefully and sensitively handled. This includes, for example, ensuring that the names of those involved are not released by representatives of the HEI to the media until there is official confirmation of their identities.

## **3) Health Emergencies**

HEIs may have in place policies and procedures for dealing with medical emergencies and alerting staff, students and others about issues such as first aid, reporting of accidents and liaising with ambulance services.

Some HEIs have developed specific plans for specific types of medical emergencies. There have been outbreaks of meningitis, mumps and TBs in HEIs in recent years. So it is important to have plans in place for these and other potentially large scale health emergencies

### **Planning for Meningitis & Medical Emergencies**

Many HEIs now work with local health services to ensure that its community has access to the best possible advice, guidance and appropriate medical intervention in the event of the outbreak of a notifiable disease. These include meningitis, mumps & TB. Its approach includes health education and a framework for responding to an outbreak of a notifiable infectious disease amongst its community.

#### **1) Health Education**

*The HEI informs its community about the symptoms and sources of infection of the most common notifiable diseases through the following:*

- Student handbook
- [HEI] website
- Pre enrolment pack, which includes advice on appropriate vaccinations
- Campaigns run by the Students' Union

- Information campaigns run in conjunction with the Health Protection Agency

## 2) Outbreak of an Infectious Disease

If a student is diagnosed with meningitis, mumps, TB or another infectious disease, the policy states that the HEI and the Health Protection Agency will work together. At that stage the HEI's Emergency Procedures will be invoked and the incident managed by a small team, headed by a member of the Directorate.

## Planning for a Pandemic

A Flu pandemic is considered to be a serious risk by the UK Government and planning for it is high organisational priority.

A pandemic would have a number of implications for HEIs; it should not just be considered as a health risk but also has many links to student and staff welfare planning and is also an example of when each organisation will need to ensure robust business continuity arrangements and possible mutual aid with other organisations.

Some HEIs have already prepared specific pandemic plans and have liaised closed with their local authority and local health emergency planners.

Further resources to assist with planning for this are included in section 10.

## 2014 Update: Planning for Recovery

Planning work does not finish with the initial response and it is important to consider what happens next. This can be challenging and less clear-cut to train and exercise but it should still be worked through. A question to pose at an exercise would be 'what do we want the university to *feel* like as a place to live and work one year after the event'.

The UK Cabinet Office leads a work stream advising local authorities and other responding agencies on how to plan for 'after' the initial response – the recovery phase and this work would also be useful for HEIs to review. It is available at <https://www.gov.uk/national-recovery-guidance>

The government describes recovery after emergencies as '*the process or rebuilding, restoring and rehabilitating the community*' and this could refer to students, staff, HEI environment, local town etc.

This is also different from Business Continuity as it looks at a wider, longer term picture although there will be overlap with the HEI BC arrangements. It looks at the HEI's role within the community and ways to ensure that financial, infrastructure, environmental and people issues are considered.

## **2014 Update: Incorporating the 'Dark Thinker' and 'The Fairy Godmother' into the plan**

Two roles that are becoming increasingly important to support the operational team are:

- 1) 'The Dark thinker' – a strategist who supports the team by visualising negative outcomes of the emergency and their impact both on the unfolding emergency response and the later recovery. They can also advise on the 'exit strategy' for various resource options and provide a chance to explore options to rehabilitate and regenerate the University. So despite the title this can also be quite a positive role!
- 2) The 'Fairy Godmother' – this person provides an impartial and confidential sounding board for the EMT. They can bounce ideas round and enable them to reflect on what is working, what isn't and uncover any blind spots in the response.

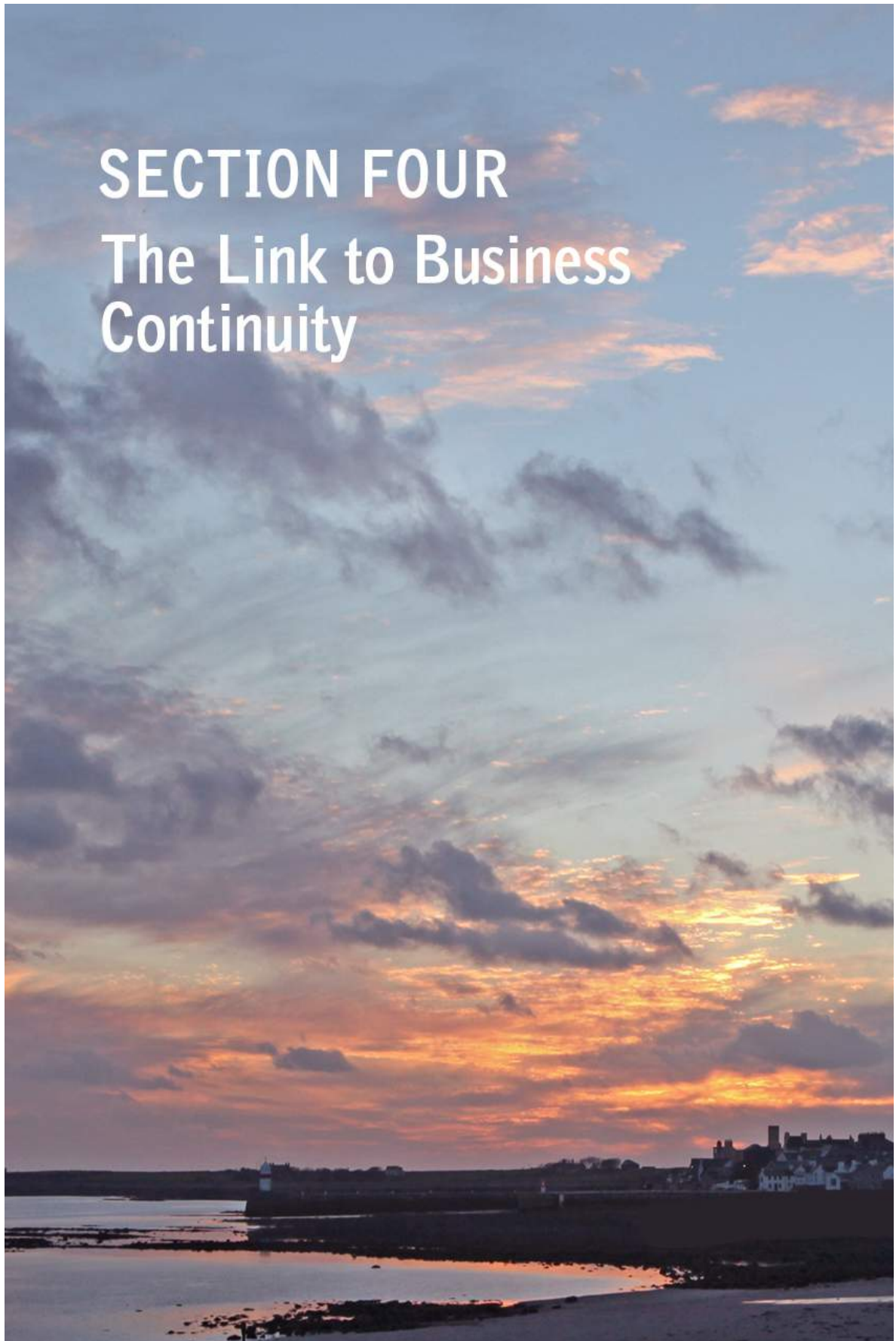
**In Summary...**

**Now turn to Section 10**

*See section 10, the resources guide, for material to further support your planning process*

# SECTION FOUR

## The Link to Business Continuity





## The Link to Business Continuity

A key tenet of this guide has always been that it deals mainly with the initial responses to emergencies with a focus on protecting students, staff, other agencies and the local communities. However it is also acknowledged that to build up a truly 'resilient' HEI community there must be very strong links to business continuity and corporate governance within an institution. AUCSO work closely with the Higher Education Business Continuity Network to ensure that guidance and training works effectively together to complement the idea of a 'Resilient' HEI.

In 2008 we worked with our stakeholders to ensure that the different aims of emergency response and planning and Business Continuity were understood and these are still relevant today. This chapter has been revised in its entirety to expand on the Business Continuity work ongoing across the sector.

### **Distinguishing between Emergency Planning and Business Continuity**

There is often confusion over the distinction between Emergency Planning and Business Continuity activities within HEIs. It is important that these two differing spheres of activity are clearly distinguished and function as complementary processes within any institution's planning and response procedures.

The most common approach adopted by HEIs is to have one central "major incident" approach encompassing a pool of resources and skilled personnel. The requirements of the emergency will be assessed and separate business continuity and emergency planning functions can then be assigned to different teams.

### **Why is this distinction important?**

The two response streams have different priorities and require different resources:

- **Emergency Planning** can be described as having an external focus which responds to community based events (in this case, the HEI is the community). Emergency Planning and Management will involve a focus on an initial response, liaison with many agencies and responding to the requirements of those affected by the emergency. (This Guide is focussed on emergency planning scenarios.)
- **Business Continuity** is concerned with maintaining internal operations in an organisation even in the middle of an emergency. There will be some crossover but the two work streams have very different priorities and are designed to deliver results. Examples of business continuity priorities include liaising with insurers and loss adjusters and maintaining/ returning IT networks and other core services. Further links on Business Continuity can be found in the Resources section.<sup>1</sup>



### Higher Education Business Continuity Network (HEBCoN)

There is plenty of support available for HEIs looking to further develop their Business Continuity Planning work and the first port of call is HEBCoN.

*“HEBCoN’s mission is to promote and enhance the ability of Higher Education Institutions to identify and manage their risks, withstand and respond to disruptive events; maintaining the delivery of critical services to students through the sharing & promotion of best practice in risk management, emergency planning and business continuity”*

[www.hebcon.org](http://www.hebcon.org)

HEBCoN is an association of higher education business continuity and risk managers. It has been created with the aim of developing sector-specific business continuity planning through:

- Sharing best practice
- Developing local and regional and national networks
- Exploring the possibilities for reciprocal arrangements (where appropriate)
- Sharing experiences on BC planning,
- Distributing and discussing latest news and information
- Promoting consistency
- Developing models that will assist with resilience planning

HEIs can become members of HEBCON to access a range of benefits and additionally there is also an on-line information centre that provides a range of materials for institutions to adapt or learn from.

## Business Continuity: The 2014 picture

There have been a number of developments in the Business Continuity arena since the 2008 version of this guide was produced.

Between 2008 and 2013 UK organisations could consider using the British Standard 25999 to provide a management systems standard to which they were able to attain accredited certification.

In the last year a new international standard has been released which offers a recognised standard to implement a Business Continuity Management System (BCMS). Those organizations that already have implemented BS 25999-2, or are in the process of doing so have a two year period to reform their compliance to meet ISO 22301 requirements.

Institutes may decide to try and achieve ISO accreditation or simply implement the basics of Business Continuity following best practice.

As a minimum the Business Continuity Plan should clearly identify critical services and key activities and how those priorities will be met following an emergency planning incident. In addition it should highlight the reliance on internal interdependencies such as ablutions, IT, telecommunication through to

reliance on external dependencies from key suppliers, third party providers and Business Partners. It should also consider the impact of infrastructure damage through to staff un-availability. Finally it should include the actions departments and the overall organisation should take from the point of disruption to full resumption of business as usual.

Most HEIs working with the guide authors have two harmonised processes of emergency response planning and business continuity planning, which complement each other.

#### **Online examples of HEI Business Continuity Processes**

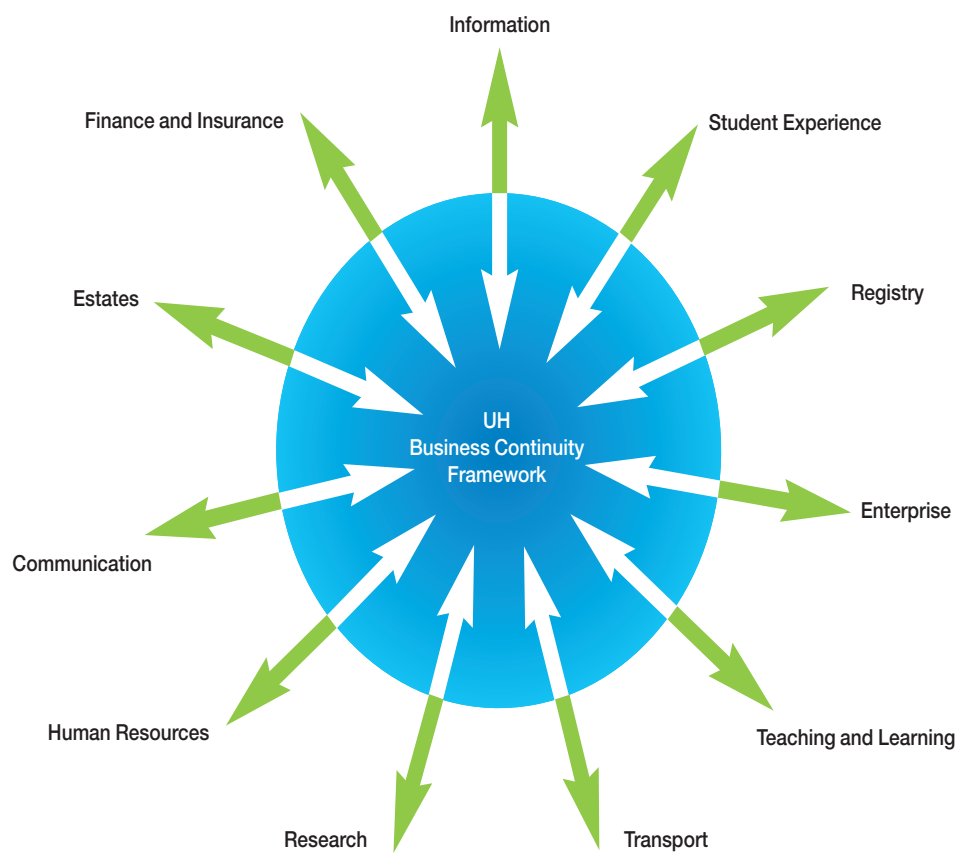
- The University of Sheffield describes the Business Continuity simply and effectively and is a good example for other Institutes to use as a guide.  
<http://www.sheffield.ac.uk/incidents/businesscontinuity>
- The University of Reading has a website which has separate pages covering each of the six stages stage of the business continuity process as set out in BS25999-1:2006.  
<http://www.reading.ac.uk/internal/businesscontinuity/>

## 2014 Update

### Case Study: The Capabilities Framework

#### University of Hertfordshire UH Business Continuity Framework

University of Hertfordshire Business Continuity Framework BC1



Between 2010 and 2013 the University of Hertfordshire (UH) initiated a new work stream to refresh and re-invigorate its Business Continuity planning. This built on a very well received programme of emergency response planning initiated in 2008 and 2009 after the publication of the first version of this guide and was designed to complement both the emergency response and risk management agendas.

Monica Kanwar, a Director at the University, worked with Dr Lucy Easthope to find an approach that worked well for a modern and expanding university with a wide range of strategic priorities.

One of the most successful aspects of the work to date has been building the plans around the 'protection' of a number of *capabilities*, identified by senior management, that must be protected at the time of an incident. This helped to then provide a spine for all the work that followed.

The capabilities identified by UH were information which includes IT; student experience; registry; enterprise; teaching and learning; transport; research; human resources; communication; estates; finance and insurance.

For further information on this work contact [m.kanwar@herts.ac.uk](mailto:m.kanwar@herts.ac.uk)

### 2014 Update: Peer Review

If a University is not going down an accreditation route consider a peer review from another University to compare approaches

### 2014 Update: Document Recovery

Ensure that your business continuity responders are aware of your emergency planning work and it is all mapped clearly. Overlapping responsibilities should also be identified. Know your insurance policies and what is covered. One area where this is particularly useful is early preservation and protection of key documents, heritage objects, library resources etc as part of the emergency response. Visit the British Disaster Management Association at <http://www.bdma.org.uk> for information, advice and suppliers.

## Large-Scale Flooding: One University's Experience

Summer 2007 featured the wettest period from May to July for 250 years and the highest river levels for 60 years. Among the 55,000 homes and businesses flooded were HEIs in the flood-hit areas of the UK, which largely struck regions across the north, south west and east of England.

One university's experience illustrates the impact such an emergency can have and the lessons learned for their emergency planning processes.

The university suffered from two spates of heavy rain and therefore two flooding emergencies within 10 days of each other. Materials and equipment held in the basement of buildings such as the university library were particularly at risk, including a national archive held there.

Fortunately the library emergency plan ensured protective equipment was available. However, during the emergency some library staff were sent home initially due to a power shut down meaning there were too few staff to help. Despite this the quick response of facilities staff and others in conducting dynamic risk assessments and producing sandbags enabled the archives to be moved up from lower shelving. The longer term impact of the floods meant that power was not restored to the library for several weeks and the building remained closed to the public for 3 months.

A 'Dunkirk spirit' enabled good teamwork and crisis management to ensure water levels were kept to a minimum. Excellent teamwork and co-operation from all staff continued after the immediate emergency.

### Lessons Learned for the University's Emergency Planning

- Emergency plans need to be formulated by all departments (this emergency involved several buildings being flooded at once). Also there is a need to consider the global impacts of such an emergency as well as the effects on the university.

- Storage of important and irreplaceable equipment in basements should be reviewed (this included some paperwork on C drives kept in basements and pumps which were rendered unusable. Also items stored in the chemistry basement and library plant room posed a chemical contamination threat).
- Ensure all-important electronic information is backed up.
- Need to consider the consequences of power failure on important frozen samples – need for an alarm system.
- Risks to staff of entering areas contaminated with chemicals or sewage.
- Good stocks of protective equipment and sandbags should be kept. (No sand bags were in stock so they had to use bin liners to stop water; the bags were put out incorrectly so water still got through. Also a shortage of Wellington boots limited the number of people who could go into the basement to help.
- Pumps and other emergency equipment should be in accessible places and kept in good working order. (A small pump in the library basement did not work and there was no emergency lighting available so responders were working by torchlight only).
- The Emergency Response Team should be activated at an early stage (in this instance the emergency plan was not activated; instead of a quick emergency it crept up and people were involved at the tactical level so no one had overall command until 12 hours into crisis.)



## 2014 Update: Glasgow School of Art



*Photograph extracted from [www.telegraph.co.uk](http://www.telegraph.co.uk)*

A fire at Glasgow's School of Art in June 2014 highlighted just how complex business continuity and wider recovery issues are for places of higher education. It also illustrates how many different roles they play in the community and how important they are to their students, staff and wider society. They often hold irreplaceable research and heritage archives and are at the cutting edge of scientific breakthroughs. The loss of these aspects can be devastating.

*"Last month's fire at the iconic Glasgow School of Art has been described as a national tragedy for a "priceless gem".*

*While the city fathers, art experts, politicians and even film stars have all expressed their sadness at the damage to the Charles Rennie Mackintosh building, there are those for whom the blaze was also a personal blow.*

*Over 100 final year students either lost work or had it badly damaged in the fire, which broke out shortly after noon on May 23. Many of them were in the building putting finishing touches to the work for the annual degree show.*

*One of those affected was Myra Ostacchini, a mature student originally from Falkirk, who four years ago decided to study a craft she had practised for years.*

*She described the terrible feeling of watching the building, completed in 1909, with flames shooting through the roof and not knowing what had happened to her work and, more importantly, people she had moments earlier been working*

*alongside.*

*Thinking back to that fateful Friday, she said: "I'd just come out of the building and was really happy with the work I'd done. Everyone seemed really organised for the degree show and things were going well.*

*"I saw people running and looked up to see smoke coming out of a window. I knew that I couldn't go back in and could only stand and watch.*

*"Thankfully all the health and safety practices paid off and the staff were so professional the way they ensured everyone was okay. In fact, I don't know how the staff coped so well because many of them also lost work."*

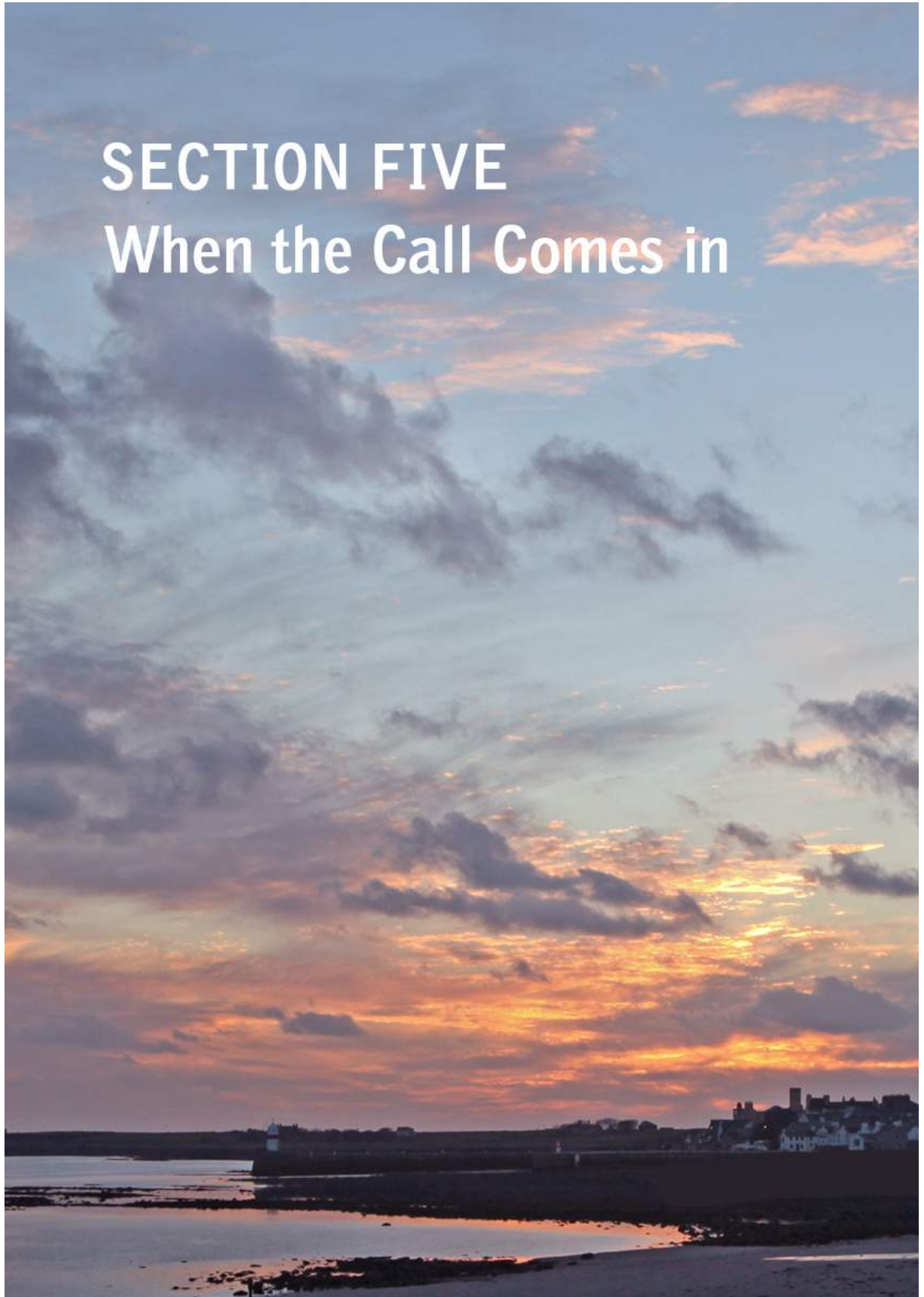
*In the aftermath, Myra (53) was relieved to discover that nobody had been injured in the blaze and around 60 per cent of her work could be salvaged.*

*Although the degree show did go ahead, featuring one image of the work from each student affected, they will not graduate until March next year"*

*Extracted from the Falkirk Herald, 5<sup>th</sup> July 2014*

# SECTION FIVE

## When the Call Comes in



## When the Call Comes In...

### If it does....

People can assume that they will be alerted to an emergency with a single phone call - with that call telling them the information they need to know and asking them to respond. Experience shows the reality is often very different! Instead the true nature of an unfolding emergency situation may take much longer to reveal itself. This is something to try and tackle through training and discussions about your activation strategy.

Emergencies are not always “big bangs” but may arise from a situation that initially seems to be in hand or may result from a “slow burn” type of event like a disease outbreak or an incident overseas that involves your students. HEIs have also alerted to other types of escalating situations in recent years such as student protests, severe traffic disruption and fears of an armed person on campus. A number of laboratory-based incidents have also escalated in recent years to full-scale emergencies.

One of the common characteristics of the first stage of an emergency is that the information sent through to you may be confused and unclear. In a debrief this stage is regularly cited as a source of frustration as people often forget or disregard the fact that there is a plan, often only remembering it several hours in. Again the best way to tackle this is through training and awareness raising.

*See the Planning Section for discussions on Incident Activation and the key roles within your team. See the Resources section for information that can support the response phase.*

As discussed earlier it is important that you keep your planning simple. In these initial phases people may be feeling uncertain or they may be feeling the effects of adrenaline and other stress-related reactions. For these reasons the types of forms/checklists and meeting agendas included in this section are needed to help people to focus their attention.



## 2014 Update: When the Call Comes In...

### A Case Study: Aurora, Colorado

*AUCSO were privileged to receive this case study from Doug Abraham, Chief of Police, University of Colorado. Here he details the lessons identified from some aspects of their operations after a major shooting incident in 2012. There are many aspects for emergency responders within HEIs to consider set out below and questions posed for them to consider.*



#### **Lessons Learned from the Century 16 Theatre Shooting in Aurora, Colorado, by kind permission of Doug Abraham, Chief of Police, Anschutz Medical Campus, University of Colorado (CU)**

On 20 July 2012, a mass shooting occurred inside of a Century movie theater in Aurora, Colorado, during a midnight screening of the film *The Dark Knight Rises*. A gunman, dressed in tactical clothing, set off tear gas grenades and shot into the audience with multiple firearms, killing 12 people and injuring 70 others. The sole suspect, James Eagan Holmes, was arrested outside the cinema minutes later. It was the deadliest shooting in Colorado since the Columbine High School massacre in 1999.

Aurora and 18 additional police agencies responded to the scene. Casualties were taken to University of Colorado Hospital and one other. The University of Colorado Denver Police responded to the hospital. The Police Department command staff and the University Emergency Response Team (ERT) were notified. University leadership was also notified although many were out of town.

In the early hours CU became aware that the suspect was possibly a student, also that a bomb had been placed in the suspect's residence on the edge of campus, requiring streets to be closed off and residences evacuated. The CU Emergency Operations Centre (EOC) became operational and a local Police Officer assigned for liaison. At 0614 the first email was sent out notifying staff and students of events and campus street restrictions. Around 0800 the national Media were arriving and knew he was a student. National News Media hired local people to produce their news information.

Displaced students were re-located. Representatives of the ERT held an emotionally charged meeting with the suspect's faculty and fellow students. Further emails were sent out during the morning to faculty, staff and students confirming the suspect was in custody, that counsellors were available if required and updating street closures. A decision was made to release non-essential personnel; additional communications sent out (multiple texts etc.) and in-building announcements made. That afternoon, due to concerns about the possibility of bombs on campus, explosive detection dogs and Police began a search of campus buildings.

The following day (Saturday) the campus was operating on normal schedule with buildings locked but accessible by ID badge. Further bomb detection dogs and Police continued to search the campus. The University Police participated in the Aurora Police press conference and CU were notified that the President of the United States would visit next day. On the Sunday early morning briefings were held and increased staff, working 12-hour shifts, were on duty.

During the week of 23 July, there was heightened alertness and concern. For reassurance and security, all pedestrian traffic was funnelled through checkpoints with University ID displayed, which also assisted in keeping out the Media. Another suspicious package was found in the Campus Services Building, with bomb squad attending. Several reassuring communications were sent out. A Town Hall (all campus members) meeting was held with the Chancellor, Dean, University Counsel and CU and Aurora Police Chiefs. 600 people attended, with video links to Denver Campus. This resulted in very positive feedback. A Press Conference was also held with the senior officers and national and local Media. For legal reasons, a gag order prohibited what could be shared about the suspect.

In the weeks that followed, there were court hearings and building lock downs, with control of pedestrian traffic. Testimony reported by the Media escalated communication within the University. The total cost of the additional payroll and operations for the University Police department was c. £62,276.

Immediate issues and concerns:

- Mass casualties at the two hospitals
- Safety of the campus community
- Proximity of the bomb at Holmes' apartment to the campus
- Emotional impact to the campus
- Media influence/effect on the campus
- Legislative requirements to comply with
- Notification of University leadership
- Scale of requests from local Police department and FBI for information
- Reputation



## Lessons Learned

### Operational:

- Access to information in student and HR databases – who can gain access quickly, out of normal office hours?
- Mass communications – email, text, Information Line – who is authorised and who can send out the information? i.e. physically know how to do it? Practise!
- Mass demand for information from Police and FBI – No Information Manager - keep a log of who asked for what, when and why, plus what was provided, by whom and when. Important later for investigations and court hearings.
- On-going threats – emails asking for assurance that students are safe. Students questioning how a killer could be a student at an elite campus? Faculty questions and voice mail threats and letters to deal with etc.
- Duration was weeks not days - continuity of normal business? No relief
- Impact on staff – officers at the hospital when casualties arrived; emotional impact on staff due to the event itself; long hours away from home; establish expectation and communicate with staff.
- Emergency procurement and finance needed. Gear up in anticipation - do not wait.
- This event occurred off campus – what if it had been on campus?

### Lock down of campus:

- Resources – never enough staff – utilise staff from other departments and students. Call in additional contract security.
- Technology – Access control system did not work as expected. Website cached.

### Policy decisions:

- Lack of identification/statement of priorities
- Decisions by design
- Many agencies involved. Chain of command unclear thus lack of focused communication point
- Leadership off campus - if you aren't here, you cannot appreciate what is going on!
- What were the facts known at the time in making that decision? Record all information and keep a decision log.

### Communications and Media:

- Specific areas should have been dealt with by specific communicators i.e. Safety – Police, Other information – internal communications
- Have a Policy for dealing with the Media
- Responding to Media requests – rumour v fact - needs to be clarified quickly but *who* can verify or clarify what or release information? Speed is essential
- The ruthlessness of the Media!
- A difficult balance between the needs of the of PR people v the advice of Legal

### Practice for Emergencies Seriously:

- Mandate by Vice Chancellor and involve all the University Leadership Team. Train seriously.

## When the Call Comes In...

### Emergency Management Team Issues

#### *Considerations for your Emergency Management Teams (EMT)*

Have a duty manager (or senior supervisor) available on site 24/7 to coordinate emergency response.

Have a pre-designated and trained Emergency Management Team

- Maintenance, facilities, fire wardens and other staff may be called on to provide additional assistance. They will find it helpful and will be more effective if they have been previously trained and briefed on possible emergency roles i.e who and where to report to, what equipment to take with them, and what their roles may be.
- Access to buildings may be limited, so mobile phones and/or radios are essential for key staff. If mobile networks are disrupted you may need staff to convey messages on foot.
- Have an up to date contact list containing home and mobile numbers of the University emergency management team and other key staff. Consider the best way to keep this updated and available e.g. some institutions ask key personnel to keep contacts in their phones, some circulate hard copies etc.
- Work with your responders and Human Resources department to develop 'on-call' rotas that work effectively for your institution (AUCSO can advise on ways to achieve this)
- Have a duty Press Officer to deal with the media quickly and effectively (see the Crisis Communications section for further advice.)
- Consider how to use university and student social media, TV and radio stations to get information out.
- Train relevant staff in dealing with the media/press interviews.

### Supporting the EMT

Have a pre-designated room(s) available for use by the EMT/emergency services. Basic items for the room could include a digital TV, several telephone/data extensions, a computer or laptop with email and internet access, access to a photocopier, printer, fax machine and stationery.

Plans have various names for such a room but many institutions use the term Emergency Operations Centre.

*This location of this will need to be flexible as you may lose access to several buildings.*

Ensure that your team have the right security clearance and ID badges to gain access to where they want to be.

Pre-plan arrangements for refreshments and also ensure there is easy access to lavatory facilities and ideally showers.

Have a separate venue for press and staff briefings.

Establish and train the EMT and their deputies on what they may be required to do in an emergency.

The University emergency plan should be available; include generic checklists for each team member with a reminder of what they need to do.

Have easy access to equipment at more than one location (see the discussion on battle boxes below), which may include tabards, torches and personal protective equipment.

Keep a log and minutes of meetings to record actions and decisions; an administrator can be useful here but they should have been previously trained for this role (see below).

If you do decide to record the situation using digital cameras and camcorders (which can be very useful) make sure you control this and incorporate this into your training. The leaking of highly sensitive images after emergencies is a common problem.

When the EMT convenes, make sure that your administrator is trained to capture their own Next of Kin contact details (see the example in Further Resources.) This is so that your families can be kept informed and also so that you can contact them in the event of a further emergency e.g. there have been past examples of EMT members being taken ill.

**2014 Update:** The University of Bristol (2012) expands a number of types of incident with initial actions (people to call) or actions to take in each event. See Section 3 of their Crisis Management plan, pages 14 -18 using the link below <http://www.bristol.ac.uk/planning/crisismanagementandbcm/icmfdocuments/icmf.pdf>

## **2014 Update: The importance of administration and log keeping**

When responding to our requests for new information for the guide, a number of institutions asked for us to include further emphasis on administration and log keeping. We were supplied with a number of examples of emergency logs that HEIs were using and these are included in the resources section. There is also specific training for log keeping which can be accessed through AUCSO. It is certainly something that should be considered during the planning phases as it is too late at the time of an incident to attempt to train administrators or source them from across the university.

## **‘Go Bags’**

This is the bag that your emergency management team member keeps in an easily accessible place. You may want to consider having bags at both home and office.

They would contain copies of the plan (as hard copy? On memory stick? Factor this in to your printing and updating plans), identification and a fluorescent tabard.

Many universities have also invested in specific identity badges for their responding personnel.

They may also contain more personal items such as bankcards, spare glasses, headache tablets, mints for fresh breath etc!

**Encouraging people to maintain a Go Bag is also a good way of maintaining momentum and enthusiasm**

## **‘Battle Boxes’**

These are secure boxes held at various sites that will include key information such as emergency plans and site maps. They may also include equipment such as torches, personal protective equipment and tabards. The logic behind them is that you will have access to key material even if you cannot get into a number of your buildings. They have fallen out of favour in some institutions because it is labour -intensive to keep updating them. Premises Information Boxes (discussed below) may be able to serve a similar purpose with regard to information storage.

**Battle Boxes are a good way of engaging your departments/ other sites/ other campuses to get involved in emergency planning**

## **Site Issues**

Ensure that relevant sites are secured. As part of your training ensure that staff are aware of the roles and responsibilities of the other agencies on site As discussed in earlier chapters also ensure that maps and plans of the site are available for the emergency response team. Ensure that details of hazardous materials such as laboratory chemicals are recorded and refer to health and safety managers for specific advice on this issue.

## **Meetings**

Once the team convenes you are likely to want a meeting. You will need to be flexible about the agenda as it will depend on the nature of the emergency but some ideas for an agenda are included in Section 10.

The EMT will then need to meet regularly and may want to broaden out these meetings to include other key personnel, e.g. a legal advisor, as the situation develops. In a large-scale incident it is important to manage access into the Emergency Operations Centre and these can become noisy and unwieldy.

## Mutual Aid

As part of your planning process it is useful to explore the possibility of mutual aid with other HEIs in your vicinity or in a shared research area. HEIs have provided us with many case studies where this support has been forthcoming e.g. one institution allowed another to use their facilities during the exams period.

### Standing Down the Team

When you develop your plan make sure that you also discuss who will make a decision about standing down the team. Discuss this in your training.

## ‘Debriefing’ and follow up support

Bringing the team together after the incident to consider what worked well and what could be improved is good practice.

In the Integrated Emergency Management process advocated by the Cabinet Office the chance to revise and review plans are a crucial phase

After any incident – small or big or a ‘near miss’ - emergency responders should be given the chance to feedback their concerns without reprisals. It is also important that what worked well in the response is emphasised so that these aspects can be supported in the future. It can be useful to consider using a person external to the organisation to conduct the debrief so that people can speak freely and there is less defensiveness.

AUCSO can provide further guidance and training on this aspect

Specialist Debriefing is one way that team members can be supported after more serious incidents where specially trained advisors can be brought in to work with the team.

## Health and Safety in Emergencies

It is very important that you capture this aspect in your training and your plans. You have a duty of care to your employees and the emergency is likely to present a number of hazardous situations.

Organisations such as the Universities Safety and Health Association may be able to provide specialist advice in this area.

They have suggested that you should always consider the following:-

- Liaise with your insurance company to see what support they can offer
- Identify specialist contractors to deal with hazardous spillages or other issues such as asbestos and legionella
- Ensure that your emergency plan includes contact details of specialist staff that will need to be contacted. These may include biological safety advisors, chemical safety advisors, fire officers and those involved with radiation protection.
- Explore whether to install PREMISES INFORMATION BOXES at key locations. These are fireproof boxes that can be accessed by the emergency services and can be used to store vital information about the hazards within the building.

Also visit [www.hse.gov.uk](http://www.hse.gov.uk) for further guidance material.

The emergency services will undertake for their own purposes a dynamic risk assessment, which means that they capture the risks within a changing picture. Members of your response team should be able to document your own risk assessment of what you are being asked to do.

A number of your team should also be trained as first aiders (and at least one should be operating on that shift).

Remember that the emergency services may hand over buildings to you when they have completed fire-fighting, initial investigations etc but this does not mean that the building is safe for you. There may still be many risks for you to consider such as potentially carcinogenic fumes, asbestos and unsafe structures.

Engage your departmental safety advisors in the emergency planning process from the outset.

### 2014 Update: Health and Safety

*As part of the 2013-2014 update, the Universities and Colleges Employers Association (UCEA) Health and Safety Committee provided a review of the full guide and made a number of suggestions that emergency planners may wish to consider. We are very grateful for this input, which has been utilised in a number of chapters.*

### 2014 Update: Incident Reports

An **Incident Report** should be developed which collates all the point raised in debriefs as well as recommended changes to the Institutions Plan. It should include a background to the incident, all parties involved in the response, a timeline of events and recommended improvements and changes. A table of recommended changes with nominated responsible individuals is a useful tool for senior management to work with to ensure improvements are made across the organisation within a defined timescale. The report can be used for auditing purposes and perhaps shared across partners and other Institutions to assist in their future responses. The Incident report will aid in the review of the Institutions Emergency Plan following the Incident.

The continuing review of Incident Reports is key to ensuring lessons are learned and mistakes are not repeated.

### Monitoring welfare of the team

Emergency response is stressful and can be hazardous so it is important that basic welfare principles are followed. Below is an example extracted from an HEI plan of things that could be considered:



**Example: Team welfare Guidance – some points to consider**

The Team Leader will monitor team members and raise welfare as a standing item on meeting agendas.

Rest and refreshment facilities for the team will be provided

Risk Assessments for team health and safety will be undertaken. Please wear all Personal Protective Equipment that is advised.

All team members who deploy to the Centre will be asked to provide a contact name and number for a family member so that they can be contacted in the event of severe delays, emergencies, other situations.

If you need to stand-down please inform the Team Leader as soon as possible so that alternative arrangements can be made.

If the Team Leader asks you to stand-down please accept their decision and perform any hand-over duties. The Team will only function well if it is properly rested and refreshed so please do not push yourself, however dramatic the situation.

**Checklist for Team members activated from home**

Tell a friend/ family member your plans

Arrange any childcare required

Make arrangements for any pets

Take your house and car keys and lock up property  
Remember your Go Bag

**Remember....**

**See Section 10 for examples of logs, checklists and recording forms to help you 'when the call comes in'.**

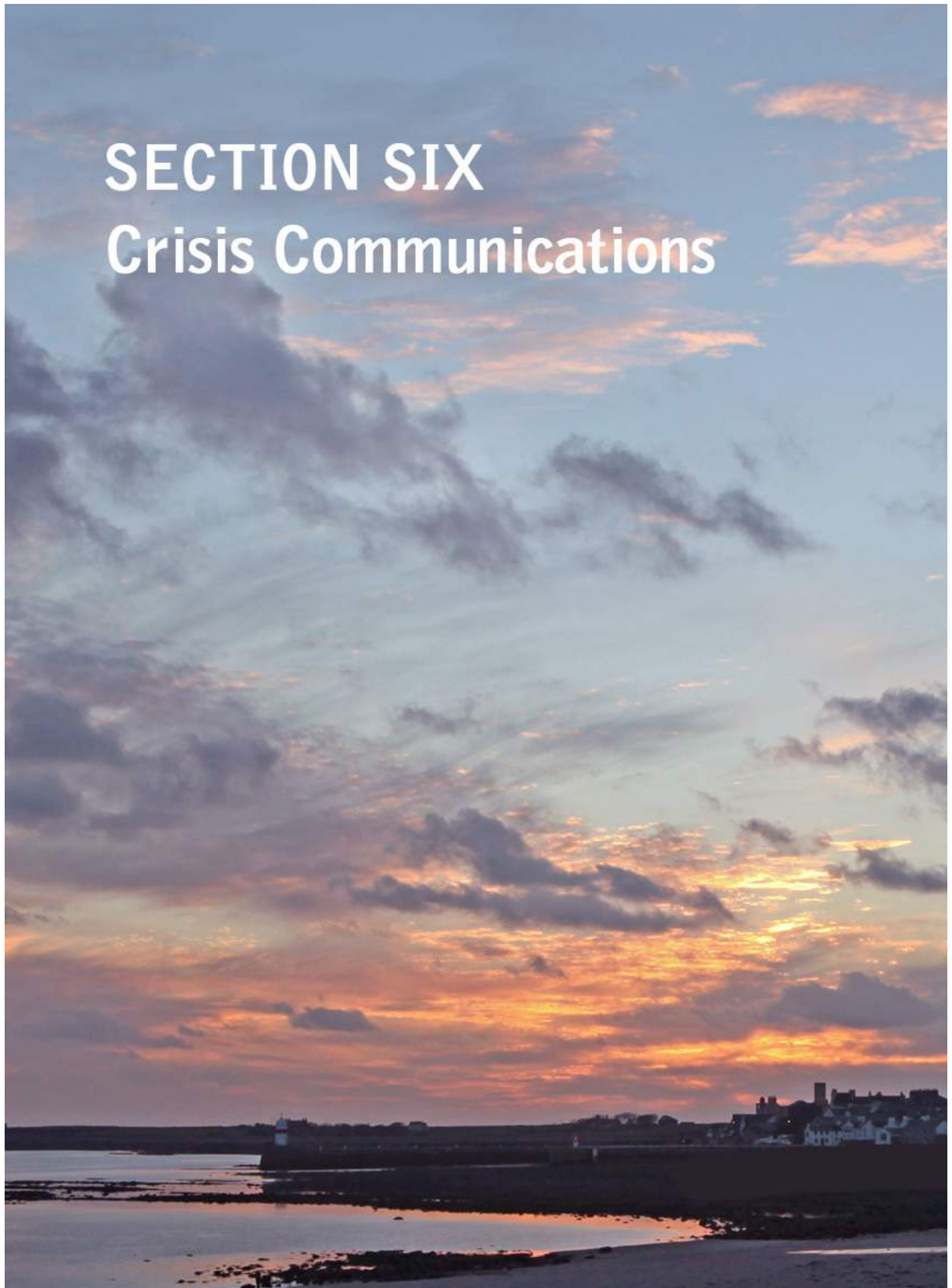
## **A Summary of the Don'ts: Some Things *Not* to do when Planning or Responding to an Emergency**

The points below are all issues that we have identified either through our own recent experiences, feedback from HEI training, from reviewing numerous institutional plans or from the interviews we have conducted. Some have serious implications if you get them wrong! They include a number of new considerations

- Do not duplicate support that is already there: clarify what your subcontractors and local authorities will be supplying.
- A number of plans that we reviewed mentioned that it would be the University's responsibility to inform the Next of Kin following fatalities. This may be the case for certain incidents that occur within the HEI environment. However in the case of an emergency this would be the responsibility of Police Family Liaison Officers and must not be undertaken by a HEI representative acting outside of the official arrangements.
- On a similar subject there seemed to be some misunderstanding over the role of the Coroner. The Coroner investigates the why, where, how and when a sudden or violent death has occurred and after an emergency with fatalities the Coroner be a key figure.
- Ensure rotas and plans are realistic. When reviewing plans we have found that a number of institutions seem to work on the principle that everyone on a callout list would be available at 3am on a Bank Holiday. This is not realistic; the authors once called 200 potential responders and only 40 were available that night! Instead plan on 20% unavailability and operate a pool system where you have reserves.
- You will need to manage this pool carefully; you need to train people to not self-select and turn up uninvited or jam mobile phones with calls asking whether they are needed. Instead when you train potential responders to your plan explain that they may well be deployed in shifts in relation to both their availability and the need for their support.
- Responsibilities under Health and Safety legislation and Employment legislation are not 'suspended' in the event of an emergency and you should not rely indiscriminately on a 'blitz spirit'. Look after your staff and conduct proper risk assessments. Ensure that a number of your response team pool are trained in risk assessment and remember that you will also need a number of first aiders.
- Make sure you liaise with your Human Resources department, your Legal department and your insurers. Also talk to your colleagues in Finance in relation to budgetary issues and resources. This can ensure that you head off any thorny issues before the emergency even has occurred.

# SECTION SIX

## Crisis Communications



## Crisis Communications

### Introduction

Since originally developing the guide in 2008 it is the area of communication that has possibly undergone the most dramatic changes. In relation to communicating messages 'out' to the community and the world, we have seen a social media revolution, and nowhere is this more apparent than in the HEI world. Students and staff in universities

As we stated in 2008, communication issues also continue to be raised as a major challenge in emergencies whether in relation to accessing information during the emergency (e.g. problems with delays or equipment) or handling the demands of international and national media. Communication in emergencies involves many elements: the technology of communication, communicating within your emergency response team, communicating with staff, students and others affected by the emergency and communicating with the wider public through the media.

It is important to ensure that communication methods and their management are a crucial part of your planning process. This is an area where specialist input is recommended; ensuring that plans and strategies are tailored to your organisation.

If Institutions do not have the time or resources to train staff and students then consider awareness raising campaigns which if repeated with different messages over the year can help to educate and build an underlying knowledge of emergency planning and response. As a result, emergency planning messages will be subtly disseminated to a wider group of people. These may even be done in a humorous way so as to attract the attention of students and appeal to their sense of fun.

### 2014 Update: The positives of Social Media

It is also important to recognise that there are many positives with sophisticated and effective use of social media by the HEI. It can be used to keep communities, staff and students informed of the way in which the response and later recovery work is progressing. It can be a way of galvanizing volunteering and charitable funds.

During development of the new guidance it was clear that many institutions had highly developed social media plans for disseminating events and positive news but less attention was given to how to use social media in an emergency.

#### **2014 Update: Using Social Media Effectively**

HEI planners may find the following guidance document useful:

[https://www.gov.uk/government/uploads/system/uploads/attachment\\_data/file/85946/Using-social-media-in-emergencies-smart-tips.pdf](https://www.gov.uk/government/uploads/system/uploads/attachment_data/file/85946/Using-social-media-in-emergencies-smart-tips.pdf)

They also may find this article detailing top tips for using social media useful:

***Key points when planning to use social media***

Social media is predominantly seen in terms of casual and spontaneous information sharing, putting management processes around it may seem at odds with these principles. But when a large group of people are required to work towards a common goal some 'rules of engagement' are always required. Roles, responsibilities and standards of operation are all required so that teamwork can be effectively managed and coordinated. Key points that should be considered when adopting social media into a wider incident management strategy should include:

- Organization, Roles & Responsibilities. Think about who needs to do what. Who will Tweet, who will update Facebook and other sites, who will update situation maps, who will they be shared with?
- Ensure that proper training is put in place so that staff know how to use the tools and provide regular opportunities to test.
- Who will monitor? Remember that leveraging social media also involves listening to what is going on in the community. Consider also how the listeners will engage with the wider team, how will they share their intelligence?
- Create dedicated social media accounts for incident communication – don't use the day-to-day accounts for anything other than pointing to the correct accounts to follow in an emergency. Using the accounts you use on a daily basis can confuse or obscure your message. It also leaves recipients of posts to sift through messages in order to find information related to a specific incident.
- Hashtag standards. In most disasters, hashtags tend to be defined by the community and are completely spontaneous. However, pre-identifying hashtags for use during different situations (and communicating them prior to an incident) ensures that Tweets regarding a specific incident carry common information. This can be invaluable for followers and official listeners. For example, a US city authority adopted this strategy for impending severe weather. It identified hashtags like #powerout, #debris, #hail and #wind to help filter the city's social media information. Predefined hashtags means that the effectiveness of social media monitoring is enhanced, by increasing the chances that relevant tweets from the community are captured and evaluated.

Extracted from Dance, S. Continuity Central. Available at <http://www.continuitycentral.com/feature1108.html>

## Internal Communications

The potential problems with internal communications can often be addressed in advance by effectively training and exercising, and most importantly the engagement of all your staff. You may allocate many resources to just a few people but then find your response may be undermined by one person's actions. During an emergency ensure that staff such as security officers, receptionists and switchboard operators are trained to only give out information you want them to and know how to refer callers on to the correct internal and external contacts.

Communication issues should be considered also in relation to minor incidents or incidents occurring at another location. Sometimes monitoring media attention will be a way of gauging whether a slow-burn incident is becoming more serious.

Many HEIs now issue new staff with small cards or leaflets at their induction, which outline the emergency planning process. A particularly popular method for doing this is using a fold out 'Z card' (for explanations of Z cards see <http://en.wikipedia.org/wiki/Z-CARD>).

If Institutions do not have the time or resources to train staff and students then consider awareness raising campaigns which if repeated with different messages over the year can help to educate and build an underlying knowledge of emergency planning and response. As a result, emergency planning messages will be subtly disseminated to a wider group of people. These may even be done in a humorous way so as to attract the attention of students and appeal to their sense of fun.

**Issues to consider when communicating with students and staff include:**

***The key message***

***Use of the HEI website***

***Use of the intranet***

## Communications and Technology

A number of HEIs now use text message and Internet services to support them in this area. Associations such as AUCSO and HEBCON (see resources) may be able to provide updates on the various trials in this area going on across the country.

Do be aware however that there may be significant mobile phone and internet disruption during an emergency so it is also important to practice for a low-tech response e.g. using paper copies of your plans, using landline numbers and asking people to act as message runners.



Ensure that radios are available for key personnel, check that these are functional and make sure everyone who needs to use them knows how to.

## 2014 Update: 'Managing' the media messages

The use of sites such as Facebook and YouTube illustrate how important the Internet is as a communication tool for students and others. After recent emergencies we have seen these forms used as a way of sharing experiences of an emergency, capturing online remembrance messages and as a way of running virtual support groups.

Students are not always aware of how the media might use their online profiles- for good or ill - in the event of them being involved in an emergency and this could be something to address jointly with student reps.

The use of mobile phones to capture images and recordings is also something you might want to factor into your training in terms of addressing implications of this for both students and staff.

As an institution you may also require legal advice if social media becomes a source of negative campaigning against the University e.g. for the perceived mismanagement of an incident. The Internet is an extremely fast way of starting campaigns.

## External Communications: The media and your Emergency

Many recent experiences have taught us that the media may be aware of an emergency extremely quickly. This may include both national and world media attention. They are often broadcasting the initial situation before those directly involved have had a chance to inform their key personnel. It is important to remember that it may be very difficult to retrieve in the situation in the long term if it has been handled badly to begin with.

Some early questions that you may wish to consider in your planning are:

**Are the media aware? If yes, are they at the scene and / or other HEI building already?**

**Has any statement been made or press release issued to the media already?**

**Have we activated a phone line that we can direct all callers to?**

**Do we have trained personnel ready to give interviews when required?**

The emergency services in a major incident will co-ordinate the issuing of formal press statements and are likely to co-ordinate a joint press conference. This reiterates the importance of liaison with them. Depending on the incident, they

may also be working closely with central government at this point.

In a smaller incident it may fall to you to lead on media liaison and it is vital to liaise with your press office. Train with them in advance and as part of this training consider these issues:-

**Prepare to put out a holding statement with the details you agreed to release at the briefing e.g. outline of what has happened, what is involved, if anyone is hurt etc. give only facts - do not speculate. If in doubt, leave it out. Do NOT release personal details.**

**should you not be able to use electronic equipment, it is better to send out a clearly hand-written statement than no statement at all.**

**Tell journalists in this press release where they can get information e.g. 'all of the press releases issued today will be published on our website' or 'we will keep you updated as the situation develops'.**

**Give out the emergency press office telephone numbers on all press releases issued (make sure you have one!).**

### **Keep communicating throughout the incident**

Keep the media up-to-date. Aim to be giving information out at least every two to three hours. This sounds slow but in the midst of an incident the time flies past and this will be a tall order.

### **Press conferences**

Be aware that the emergency services are likely to hold regular press conferences (possibly every 12 hours in the initial stages) and you may be in a position to do a joint one if it is appropriate. Press Conferences are used to:

**give out new information save time by giving all media the same information in one session**

**allow spokespeople to be filmed by the media during the conference giving television footage for the reports**

**provide TV footage where one-to-one interviews are not available**

If you are asked to provide the venue, think about the location, seating and lighting arrangements, parking and refreshments. You also need to look professional; ideally dress smartly and ensure backdrops are appropriate and sensitive.

Keep a record of who comes to the press conference. Get them to give you their details in writing. It is important to keep a precise record of when the press conference was held and who attended.

## **Switchboards**

Expect switchboards (and other university numbers available on line) to be inundated and plan accordingly, e.g. an emergency information line could be set up for people calling in. Experience has taught us that many people may try and get information from this kind of information line e.g. the media, worried parents, future students worried if their course will run next year etc. It is advisable to seek specialist advice on the setting up and running of information lines and also ensure that operatives are trained, carefully briefed and well managed in order to help them deal with the type of stressful and distressing calls they may be exposed to.

Also be prepared (e.g. test it in an exercise) for people to call any number that they can find at your institution e.g. through an Internet search, in order to gain information. This can be very difficult to control.

## **Casualty Bureau: “The Emergency Number”**

In a major incident the police will activate a Casualty Bureau. This will include issuing an “emergency number”, the type that you may have seen read out by newsreaders after emergencies. People are asked to phone this number to give details of friends and relatives they think may be involved and are worried about and this will be then matched to details gathered from the emergency e.g. from hospitals, mortuaries and other locations.

The operatives on Casualty Bureau will not give out information on missing persons over the phone but will instead liaise with Police Family liaison Coordinators who may deploy Police Family liaison Officers. (These are specially trained officers who provide a link between the family and the investigation and assist with identifying those who have died in disasters).

It is important that your own arrangements run parallel to such operations run by the police but do not hinder them. Plan with this in mind and remember, as discussed before, you should not give out details about casualties.

## **Call Centre Support**

HEBCON can provide support with access to specialist providers of call centres that can operate to handle the large number of calls that may come into the University during the response. Visit [www.hebcon.org](http://www.hebcon.org) for further information.

## **Use of the Internet and HEI website**

Liaise with your IT department about their part in any emergency response. This may include setting up a system to handle the large amount of emails you might receive and also arrangements for putting up a ‘web banner’ with details of where to go for further information about an incident. They need to prepare for the thousands of hits on their site, which in the past has caused entire websites to crash.

## Students

It is very important to engage student newspapers, radio stations and the Student Union during the planning process so that they are aware of the likely arrangements for communication in emergencies. If a serious incident occurs which impacts on the student community it is important to remember that this will be 'their' emergency too and they are likely to want a say in response and recovery processes. If you have a student population made up of more 'commuters' than students who live in, they may need a different focus to the information you issue such as how to get home. Case studies we have reviewed suggest that students will often make their own accommodation arrangements during the initial phases of an emergency but will still seek and expect information about what is happening.

When corporate emergency plans are developed managers often seek to exert control over employees in terms of the nature and content of information given to the media. Remember students are not in the same sort of relationship with the HEI and cannot be controlled in this way. They will often choose to give interviews and these may not be positive. You may have little control of this but it is important to liaise with your Press Office in such difficult circumstances.

## Ongoing Communication

Often exercises and training focus on just the first few hours of an incident but it is also important to discuss the longer term aspects. Communicating throughout the 'recovery' phase of an emergency will help people to feel engaged and supported. It is particularly important to communicate messages of thanks to staff, students and the wider community. Morale often suffers if the effects of the emergency are felt for many months afterwards.

The media may also want to revisit your institution to record issues with your rebuilding, to report on anniversary services etc.

## Information and Data sharing

There has been concern in recent years and some high profile examples of agencies refusing to share information at the time of an emergency, or sharing too much information and breaching legislation.

Institutions will need to comply with the Data Protection Act 1998 and the Freedom of Information Act 2000 as well as other legislation in this area. Students, employees and others may also be able to bring a civil case for harm caused if information is wrongly released. This can seem a daunting task so in 2006 the Government issued additional Guidance on Data Protection and Sharing in Emergencies. The guidance provides clear and understandable explanations on the law surrounding personal data so that responders may know what can and cannot be done when handling personal data.

*Key principles enshrined in this guidance are as follows:-*

*Data protection legislation does not prohibit the collection and sharing of*

*personal data; it provides a framework where personal data can be used with confidence that individuals' privacy rights are respected.*

*Emergency responders' starting point should be to consider the risks and the potential harm that may arise if they do not share information.*

*Emergency responders should balance the potential damage to the individual (and where appropriate the public interest of keeping the information confidential) against the public interest in sharing the information.*

*In emergencies, the public interest test will generally be easier to meet than during day-to-day business.*

To download this Guidance visit

<https://www.gov.uk/government/publications/data-protection-and-sharing-guidance-for-emergency-planners-and-responders>

## **Communications Exercise Scenarios**

This is an aspect where planners can really let their imagination run wild. An example is included below.

### **Exercise Gainsborough**

It is now 5 days after the explosion. The media continues to carry stories of those affected by the incident and the aftermath of the incident. The University's role in the emergency has come under much public scrutiny.

One national newspaper carries an interview with some angry students who are reporting that the events were foreseeable (the allegation is that the explosion was deliberately caused by an aggrieved student).

Images of the University and the incident have been posted on you Tube and there are several student blogs, which are condemning the University as negligent in not preventing the incident and criticising the way it responds generally to emergencies.

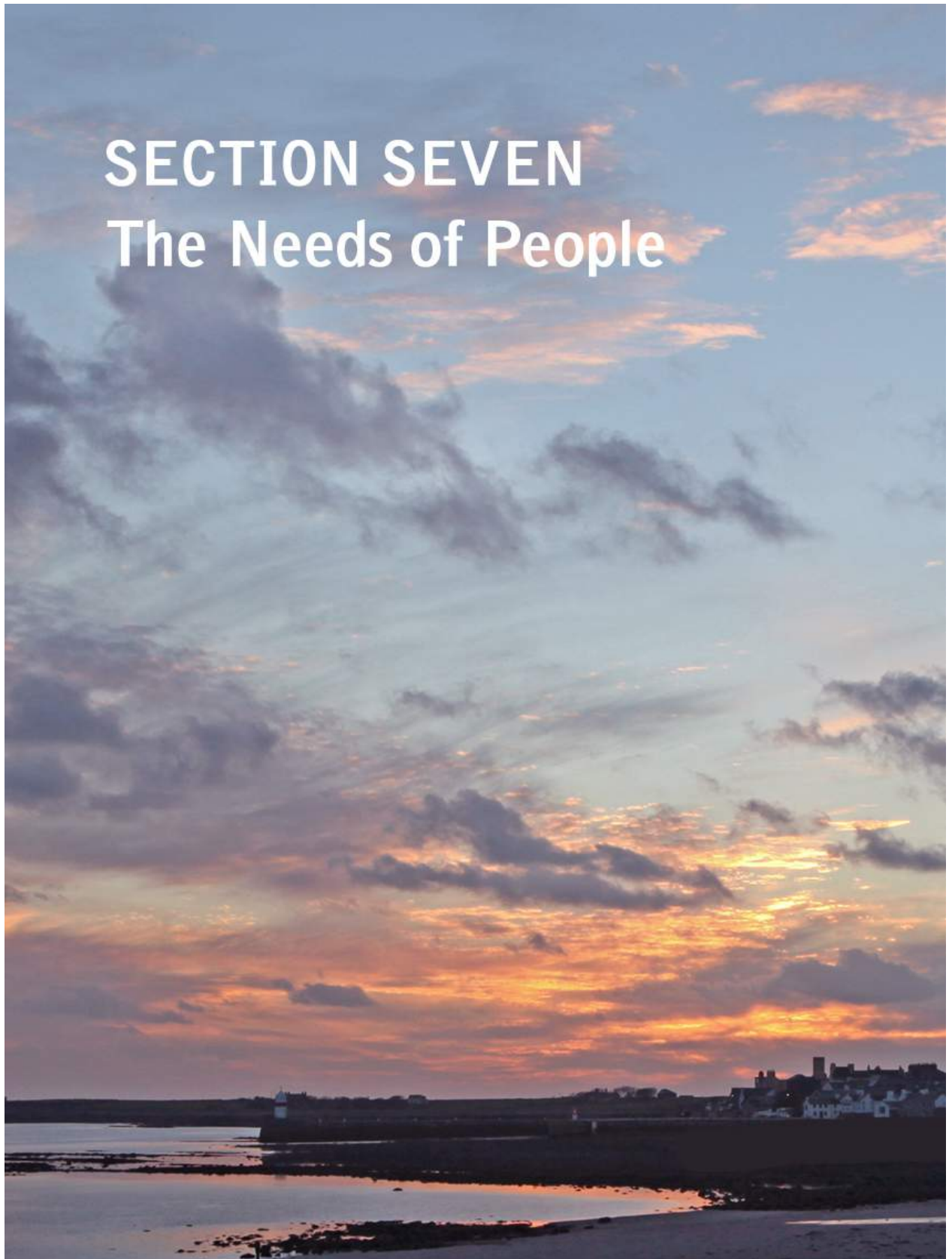
The strategic management group are meeting again this morning.

The media are asking for interviews about the University's risk and emergency management procedures.



# SECTION SEVEN

## The Needs of People





## The Needs of People in Emergencies

Emergency Planning and Response should have people as its main focus. Think about who your people are: these include staff, students and their families and friends, contractors, third parties and other stakeholders. Develop your plans based on what people are likely to think, feel, need and want during and after an emergency strikes. Consider who else might be affected by an emergency striking your institution and plan for how your community might be impacted by emergencies outside of but impacting on your community.

Additional support arrangements should be integrated into other aspects of HEIs' emergency planning, training, testing and review procedures. When working on these parts of the planning process it is useful to review existing welfare arrangements and ensure that the Students' Union and those tasked with supporting students (including Dean of Students, Head of Support Services and others) are thoroughly engaged with these processes and any additional procedures established in your plans.

As discussed earlier, it's important to make contact with your local authority. They have responsibility for welfare in emergencies and should have well developed plans for rest centres, reception centres and other forms of emergency support. Do not develop duplicate plans when assistance is on your doorstep although do expect to be a key part of the response.

There is a range of guidance available on this issue and a list is included in the resources section.

In the early phases of the emergency response the priority of the emergency services will be to save lives and to meet the immediate needs of bereaved people and survivors, but it is also important that your planning process picks up the medium and longer term needs of all those affected. (This is separate from business continuity issues.)

## Addressing Practical and Emotional Needs

You should plan to address the following key needs which may arise particularly, but not exclusively, in the first 24 hours:-

- **Safety** - providing shelter, triage, welfare and other basic practical and emotional support
- **Information** - capturing and collating names and addresses of those involved. Liaise with and share this information appropriately with other agencies and those affected<sup>1</sup>
- **Communication** – establishing central points of contact for those seeking information. Plan for good coordination internally and externally with agencies such as the Police, local authorities and the media.

### **Case Study: Ripple Effects of Emergencies in your local area**

After the September 11 attacks of 2001, the staff therapist at NYU observed that students presenting for support included: those who were missing friends or family; those who had been in danger and fled the site; those who'd been evacuated from their homes; those who had been eyewitnesses to the attacks, though from a distance; and those, like most of us, who'd seen the attacks on television and were shaken and afraid. The degree of exposure did not necessarily predict degree of distress. For example, some students not directly exposed to the attacks nonetheless suffered terribly because a previous trauma had been activated.'<sup>1</sup>

#### **Other Things to Consider**

- The importance of addressing additional demands made on staff managing phone lines in emergencies
- Including specific focus on the psychological and social impacts and consequences of emergencies in training, exercising and plan reviews
- The need for and management of rituals such as flowers, tributes, commemorative services and permanent memorials
- Liaison with other authorities over VIP Visits
- The careful management of the return of personal effects to families and survivors
- Maintaining sensitivity around a return to business, particularly after a death/deaths

### **The Virginia Tech Shootings 2007: How the University Responded**

In the days and weeks after the tragedy the University publicised resources available on and around the campus during the first week to support the community in dealing personally and collectively with the impact of the events. These included counsellors being available at various student centres and available to meet with departments and workgroups at their offices or other convenient locations. This included out of hours and weekend support.

Other responses included:- a university-wide moment of silence a week after the shootings; sensitive management of the resumption of classes; the founding of memorial fund in response to thousands of spontaneous donations that came to the University; a dedicated memorial page on its website, and the organisation of a memorial ceremony.

## Plan for Longer Term Support

Plans should acknowledge and prepare for the fact that emergencies may impact and affect HEI communities in many ways. Opportunities for briefings, debriefings, and follow-up support should be offered to all those involved in emergencies. Guidance on best practice<sup>1</sup> suggests psychological and social support following emergencies should be proactively planned for and offered, including providing information and support through helplines, leaflets, counselling and access to other specialist support where appropriate.

The further resources section of this Guide includes examples of leaflets on coping after a traumatic event and other guidance on meeting people's needs after emergencies. Local authorities and others may establish helplines and/or may also be able to provide you with resources such as leaflets and details of useful support organisations.

Acknowledging and thanking people for the additional response and support efforts likely to be made by all those involved are important. There are various ways of expressing this -verbally (e.g. through announcements, public statements/press releases, internal memos or meetings), personally by writing 'thank you' letters and in kind (e.g. through staff leave and/or additional payments).

## Preparing and Supporting Staff

The success or failure in implementing any plan in the face of a sudden, unexpected emergency will depend on human factors such as responding staff's levels of stress, resilience, knowledge, understanding, communication skills and coping strategies.

Regular training and testing of procedures can make a key difference in levels of confidence and competence among those tasked with responding to emergency situations. Preparing for the worst case scenario helps in preparing realistically for the experience of the unexpected.

In responding to emergencies take proactive steps to conserve staff energy and morale, even though this may be easier said than done. Consider teams working in shifts and ensure they know their tasks and timescales. Even the finest of staff start feeling burnt out when too much is asked of them for too long. Address concerns and expectations of staff during planning, training and exercising.

In reviewing emergencies managers should acknowledge staff's sacrifices and be expected to explain their decisions. Resilient organisations in emergencies are those that distribute workloads fairly, provide downtime whenever possible and encourage sharing of support.

## 2014 Update Case Study: Shaken but not stirred

### New Zealand 2010 and 2011

*“A resilient organisation is one not only able to survive, but capable of thriving through times of adversity. Our preparedness programme must continue to be seen as a journey and not a destination”<sup>1</sup>*

#### **University of Canterbury, 2011**

The University of Canterbury, New Zealand was at the heart of communities affected by both the September 2010 and February 2011 earthquakes. Planners from this University have detailed their experiences and lessons in two reports. We commend these reports to all HEI planners as they provide a fascinating and poignant insight into initial emergency response, longer term recovery and responding to the needs of people during a lengthy disaster. We particularly recommend that all planners review the summary of lessons learned provided in the reports and the full documents are available on the AUCSO website alongside this guide.

Just some of the messages about meeting the needs of people:

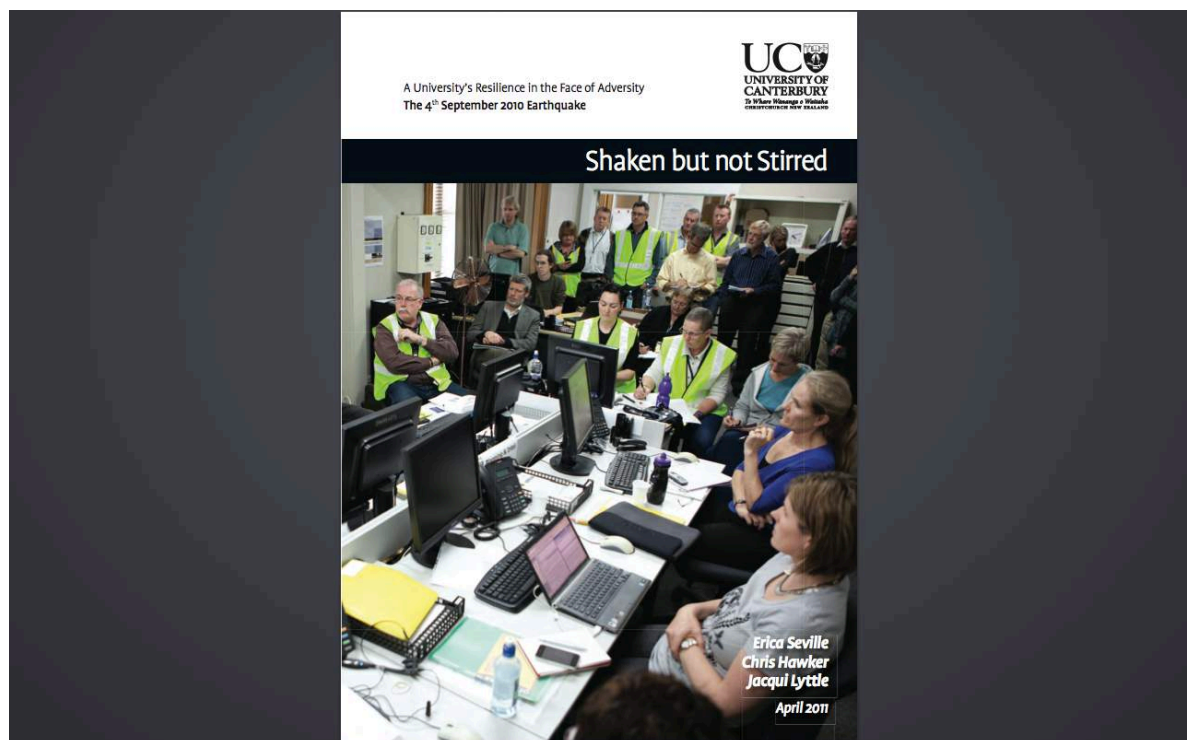
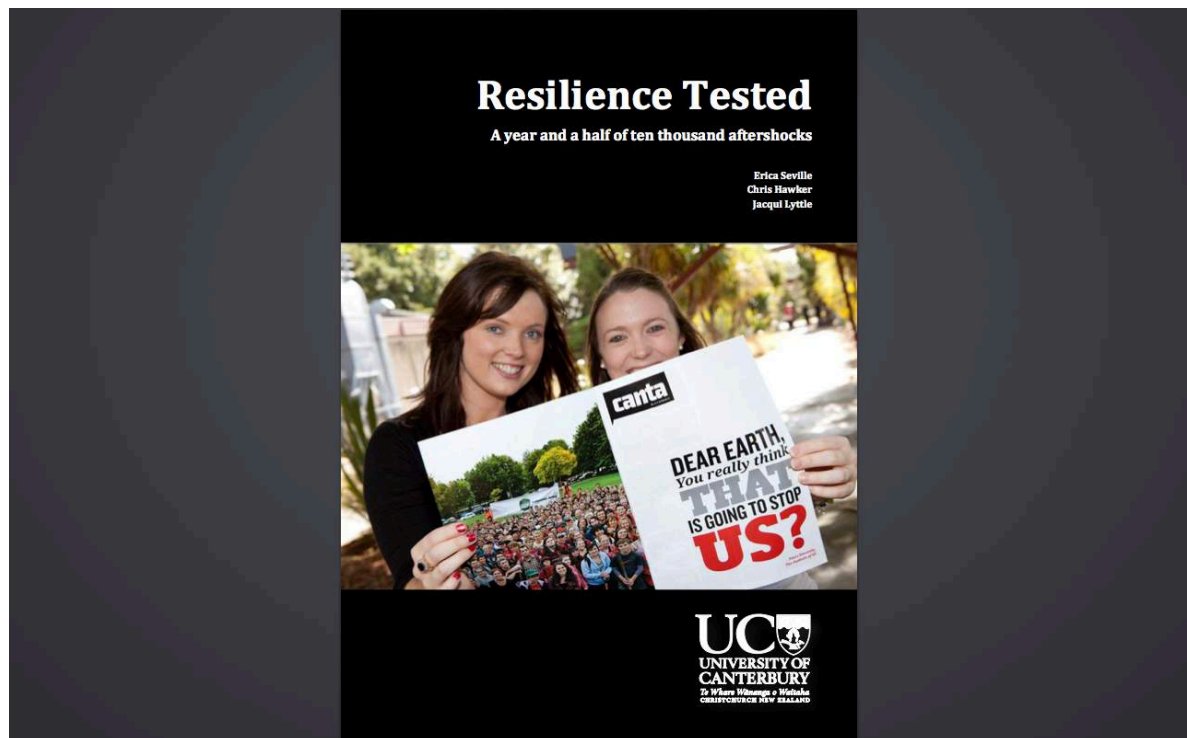
*“Keeping people away from campus can create a sense of disengagement, so it is important to counter this with more personal communications from Heads of Departments and other leaders so that people feel connected into the University recovery effort”*

*“Actively engage the Students Association in emergency response planning, clarifying areas of autonomy and collaboration and ways to leverage their strong links with the student community”*

*“Actively partner and involve the Students Association in any decisions about how to restructure the academic year. This is important for getting student buy-in for any changes”*

*“Create a “time-out” space where EOC staff can take some time for themselves or to meet with their families during a break”*

*“If a university wants its staff to be there for it in times of crisis, it also needs to be there supporting staff when they are in crisis. We found staff went to great lengths to support the University in its time of need. Some staff had very significant issues at home that they were dealing with, making their commitment to the University response quite remarkable”*



*"At 12.51pm on Tuesday 22 February 2011 luck ran out for the city of Christchurch when an earthquake measuring 6.3 caused significant damage to the Central Business District and Eastern suburbs of Christchurch. With the confirmed death toll standing at 181 and an estimate that over a quarter of all CBD buildings and thousands of homes have been destroyed, we are left with the question – was it just luck that there were no deaths or serious injuries on the University's campus even although the quake struck in the middle of the day when full classes mustering over 4,000 students were in session? Within three*



*weeks the university was open and classes were running, timetables reconstructed and courses redesigned, but it will take years to remediate buildings. Two months after the February quake, just under 95% of students enrolled at the University of Canterbury on 22 February are still enrolled today. Our priority was to ensure the safety of our students and staff, communicate with and support our staff and students, and maintain the student body. This report focuses on the September earthquake and no doubt a sequel will fully describe the subsequent event”<sup>1</sup>*

## 2014 Update: Evacuation and Sheltering

The best way to plan for evacuations, sheltering and also ‘lock downs’ or ‘invacuations’ of sites remains complex. A number of suggestions were fed into this review which included HEI responders having easy access to accurate, up to date campus plans. A number of HEIs were trialling ways of communicating with all staff and students e.g. through text messaging systems and this is something that both AUCSO and HEBCON will continue to report to members on.

‘Locking down’ UK Campuses is problematic, especially as we do not have a campus policing system like some countries, therefore the AUCSO stance is that this should be planned for with caution. (This issue of asking students and staff to stay on site for their own safety is also discussed in the University of Canterbury reports discussed below).

In the spring of 2014 the Cabinet Office issued new guidance on planning for evacuation and sheltering and it is suggested that this is reviewed in full by HEI planners. It is currently available at

<https://www.gov.uk/government/publications/evacuation-and-shelter-guidance>

This is one of many examples where Universities and local authorities and emergency responders can work together to produce multi-agency plans which will also meet the University’s needs.

The Cabinet Office describes the guide in the following way:

*“This guidance sets out the issues that local planners will need to consider and tailor to local circumstances, and has been produced to support responders in meeting their legal responsibilities. It is intended to help responders to develop flexible plans for evacuation and shelter that can be used in a wide range of scenarios and that reflect work undertaken across the country to develop evacuation and shelter plans. It also shares good practice. The guidance includes information on:*

- *risk-based planning*
- *evacuation*
- *shelter*
- *communications and the media*
- *return and recovery*

*The guidance updates the 2006 Evacuation and Shelter Guidance for local emergency planners. Although there have been no significant changes to the principles or the process of evacuation and shelter planning, this update does include information based on lessons learned from more recent events and plans. It also provides greater focus on certain key issues, such as*



*interdependencies between sectors, the voluntary sector, private-sector assets and commissioned services, short-term shelter and rest centre management”*

## Planning for Evacuation

Emergencies such as the attacks of September 11<sup>th</sup> 2001 have illustrated the importance of effective evacuation. Evacuation drills are also a very good way of reminding people about the need for emergency planning and testing out various scenarios. It is suggested that evacuation (or invacuation) drills take place throughout the academic year.

- Plan and train with external agencies. Build your plans around advice from the emergency services on when it is safe to evacuate or not. Liaise on what they need from you in your plan and in addressing things like hoax calls.
- Check if you have a procedure for keeping people inside a building (invacuation) if there is an external threat such as a suspect vehicle.
- If you have to keep people inside, consider how you will communicate with them to keep people away from potential danger such as shattered windows.
- Link into your local evacuation plans by contacting your local authority; some cities have developed large scale evacuation plans - what have they got planned for you and what support can you mutually offer in terms of shelter and other support?
- Carry out evacuation drills for all buildings twice a year. Afterwards ensure that you undertake a debrief to pick up any issues and vary the nature of the drill e.g. block off a particular route. Empower department representatives with training responsibilities in this area.
- Make sure that staff and students take the drill seriously.
- Capture the attention of transient visitors with posters and information leaflets.
- Where are your assembly points? Incident perimeters can be 250m or more and evidence from the insurance industry suggests that police cordons continue to expand. This means that you may have to evacuate because of another organisation's emergency and the idea of all evacuees gathering just outside a building is unrealistic.
- Once evacuated, where do you put people? Consider your other campus buildings or have a mutual aid agreement with neighbours. What facilities are readily available?
- It is common for evacuees to make their own way home or conversely want to stay close to the incident to maintain contact; factor in both possibilities to your plans. Plan for how you will reconvene and how you will get messages through to staff and students? (Consider using the University intranet or SMS messaging.) Planning for dispersal can sometimes be a safer option.
- If advising personnel to go home, remind them to consider building security before leaving (In one HEI after an evacuation, many windows

and doors were left open with no alarms set meaning security patrols had to be doubled).

- Highlight in planning, training and exercising the importance of obtaining the names and departments of those evacuated before they leave site – useful later for welfare, return of possessions and investigations.
- Ensure your plans include arrangements for evacuating those with special needs e.g. use of evacuation chairs.

**2014 Example:** University of Essex (2012). University of Essex Evacuation Plan [online] Available from: <http://www.essex.ac.uk/OHSAS/fireSafety/EvacuationPolicy.htm> [Accessed 19 November 2013].

## ‘Lock Down’ - Is it Possible?

During the development of this Guide there have been a number of discussions amongst professional organisations about ‘lock down’. This is the concept of being able to hold staff and students in their current position while a situation is dealt with (e.g. a gun crime on campus.) Lock down has been attempted during campus emergencies in the USA with varying degrees of success and is a controversial subject.

Some universities have procured text messaging systems to inform students about an emergency and this will be highlighted (see the communications section of this Guide).

‘Lock down’ is not a regularly used procedure in UK HEIs and is therefore a difficult topic to advise on: Regular liaison with your local police force will enable clear communication channels for them to direct you during an emergency.

## 2014: Seton Hall case study

Two students who survived a major fire at Seton Hall, USA in 2000 (which killed three students) now share their stories in an effort to support those in public safety and confirm the importance of fire safety and prevention education. Although colleges and universities have good fire prevention systems in place, there is the age-old problem of students in halls of residence ignoring fire alarms, as they mistakenly believe ‘it is just another drill’ or they did not attend a fire safety briefing at the start of term, which explains evacuation procedures. Alvaro and Shawn suffered horrendous burn injuries because they waited too long to evacuate and made their way to the usual route out of the building, rather than use an alternative exit. They now dedicate their lives educating College and University students all over the USA. This case study also links to the issues raised when discussing internal communications in Section 6.

### **Top Tip: Testing your Evacuation Plans**

In reviewing your plans and developing scenarios for testing them, consider the following:

Where do you plan to evacuate to? (New cordons make the idea of convening across the road unrealistic in many cases and check if standby buildings may be being used - have several back ups in place)

Is planning for dispersal a safer option? Plan for how you will reconvene and how you will get messages through to staff and students? (Consider using the University intranet or SMS messaging)

Link into your local evacuation plans by contacting your local authority; some cities have developed large scale evacuation plans - what have they got planned for you and what support can you mutually offer in terms of shelter and other support?

Safe methods of evacuation - Build yours plans around advice from the emergency services on when it is safe to evacuate or not. Liaise on what they need from you in your plan and in addressing things like hoax calls

Address potential lack of response to alarms by staff and students etc by testing plans and drills.

Be aware of the need to develop resilience with transient populations through regular drills and education of visitors on site

Do your plans include arrangements for evacuating those with special needs e.g. use of evacuation chairs?

### **Seeking Emergency Shelter: A University's Experience**

When a University's residential buildings caught fire the emergency services asked the University to evacuate 200 of its students inside one of its residences due to the presence of acetylene cylinder. Although the University emergency planning group believed that a large scale evacuation would be handled by the emergency services, in the event University staff found themselves managing much of the situation.

The city council sent their emergency planning manager who offered the civic centre as shelter and sleeping bags, but there was still a great deal more to be done. The University's emergency plan had identified the Students Union as an emergency shelter but on the night in question there was an event on until 2a.m.

and the big hall was not available and there was no suitable back up in the plan. Alternative emergency shelter venues have been identified and included in the reviewed plan which still includes the local civic centre, local Territorial Army barracks and the University sports centre.

## 2014 Update: International emergencies

Incidents away from the University may still require the activation of certain elements of your emergency plan. Consider the implications of the following hypothetical scenarios for your emergency plans. They can also provide a focus for training and exercises testing emergency response and welfare plans within your institution as well as your liaison with external agencies:-

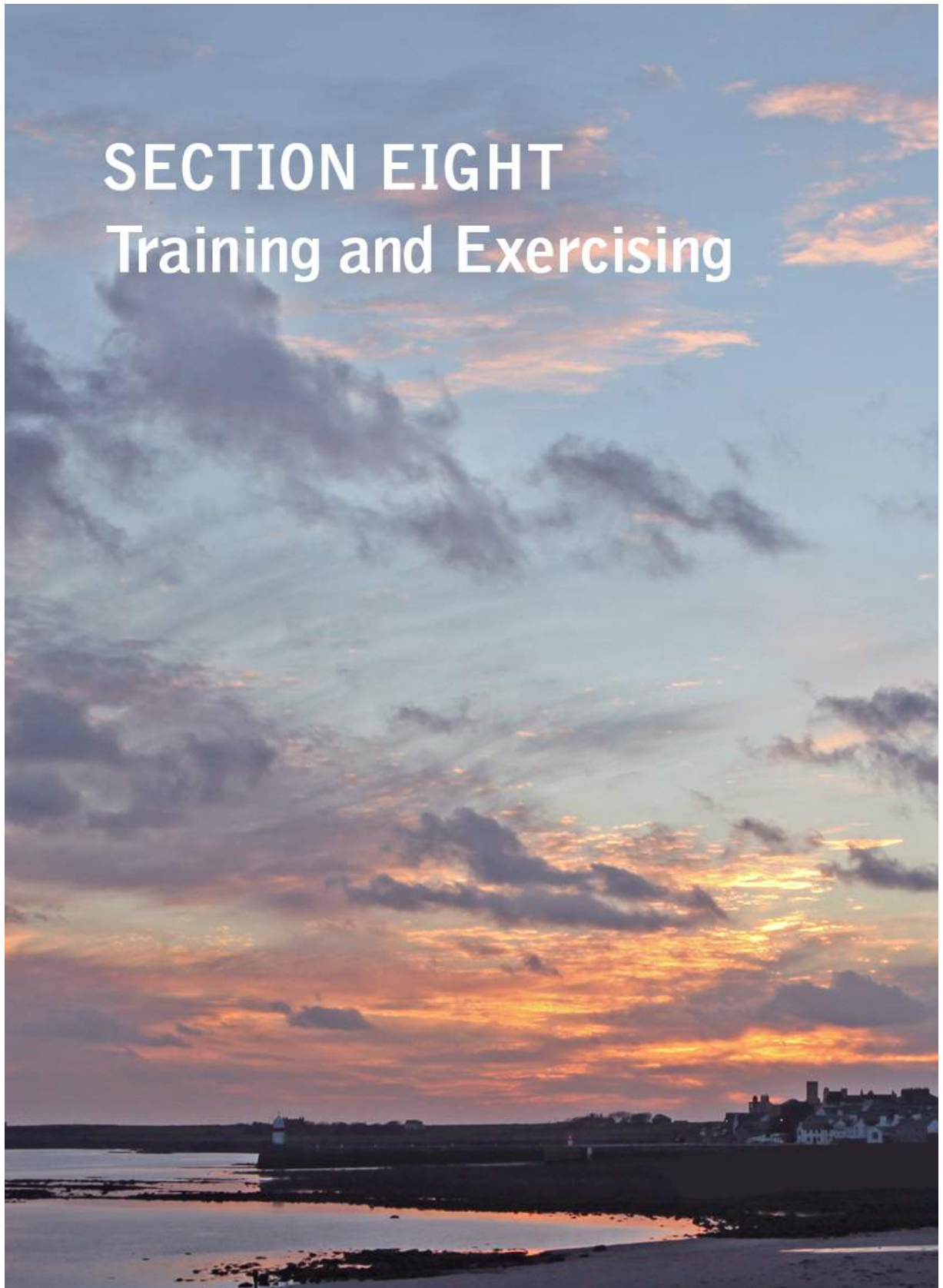
- A minibus from your student rock climbing society is involved in a major accident over a bank holiday weekend resulting in fatalities and serious injuries. You find out when the media discovers the connection and contacts your institution for comment before you have had time to formally respond
- Students and staff on a geography field trip are caught up in an earthquake abroad. Communications are likely to be down in the affected areas for some time and details of casualties are vague at first
- A terrorist attack in your closest major city results in mass fatalities and injuries. Your switchboard is undated with calls from across the UK and abroad. It later transpires that not only have there been fatalities among staff and students, but one of the terrorists had studied at your institution.

During the 2014 review of this guide a number of institutions supplied information about the ways in which they were preparing for international incidents or had been affected by recent events such as deaths occurring on field trips. They advised that a number of preparations had assisted their response. These included:

- Working with all schools and departments on robust pre-planning for trips so that lists of staff and students are maintained alongside next of kin contacts etc.
- Robust insurance policies that are held by relevant staff and easily accessible if an emergency response, or part of the response, is activated
- Understanding the role of the UK Foreign and Commonwealth Office and British Embassies in overseas countries. This link may be useful to supply to staff and students as it outlines the support available and a 24 hour assistance number: <https://www.gov.uk/how-to-deal-with-a-crisis-overseas>
- HEBCON can also provide information on activate a private call centre operator to assist with providing an emergency number for institution

# SECTION EIGHT

## Training and Exercising





## Training, Exercising and Debriefing

Promoting a culture of preparedness and planning before emergencies provides people with the practical information they need in responding to an emergency efficiently and effectively and may also enhance their sense of safety and security, confidence and control.

Training and Exercises are separate things. It is a waste of resources to expect an untrained and inexperienced team to get the most out of an expensive large-scale exercise; prior training can be very beneficial. Training can take many forms from formal programmes and external courses to lunchtime information workshops. Exercises can also be big or small; having different options is advantageous when resources are limited-see the examples below.

## Training your Emergency Management Team

It is important that you train your staff to respond effectively from the very start of an activation. You will need to train people not to self-deploy if they hear about an incident but are not formally called out or jam phone lines with calls asking whether they are needed. Instead when you train them explain that they will be deployed in shifts in relation to their availability and suitability. Work through the “When the Call Comes In” section with your trainees and ensure that they are familiar with what you are asking them to do and ways to keep themselves healthy and safe.

### Getting to know the Plan

A common complaint in debriefs is that the plan was not opened until too late. Tackling this is an important aspect of the training process.

#### Top Tip:

**Hold a plan quiz where people have to answer questions and fill in forms and remember to include your administrators in this too.**

### Opening up your training

Training is important for everyone: the emergency management team, the senior management team, press, security and reception staff. Some institutions have also included chaplains, student union staff and even the sports centre manager (who may assist with providing accommodation in an emergency.)

### Getting students involved

Students are stakeholders in your emergency response and it is important to engage them in this process. Some institutions have initially raised awareness and engagement through articles in student newsletters and then gone on to stage full scale exercises with student participation.

### Maintaining Momentum

As you hope that a major emergency will never happen in your institution it can be difficult to maintain the planning and training momentum. Therefore it is important to schedule regular events and vary the themes. There are plenty of resources at your disposal to help with this and regular local and national events that will be of great benefit to your team.



You may also identify specific training needs for your team and AUCSO can assist here.

### **2014 Update: Training resources**

Within the member's only area on the AUCSO website a number of further training resources and sample PowerPoint's are available.

### **2014 Update: Standards of Competency**

As part of the review work for the 2014 guide, a number of responders asked about ways to ensure that their responders had the necessary skills and training to work effectively in an emergency.

To obtain further information of what are the required competencies and skills for an emergency planner it is useful to visit the Core Competencies established by Skills for Justice.

Further information on this aspect is available in the members only area of the AUCSO website.

### **2014 Update: A Training and Exercise calendar**

Responders also asked for example training and exercise calendars for staff at HEIs so an example is included below of one year's programme for joint training and exercising of Business Continuity and Emergency Response teams.

| Type of event  | Colleagues required   | Timing                 |
|--|---|------------------------|
| Emergency Planning Update as part of new staff induction   | All new staff   | 4 a year               |
| Senior Management 'Gold' training with external specialist – discussion of both emergency planning and business continuity responses | Senior Management   | 1 a year               |
| Emergency Plan 'refresh' discussion, welcome to new members, desktop exercise,   | 2 a year  |                        |
| Specialist Crisis Communications training  | Senior Management, Communications team, anyone likely to appear at a press conference | 1 a year               |
| Review of any 'near misses' or 'minor incidents'   | All involved parties  | As and when they occur |
| Full scale exercise testing all aspects including students   | Cross –HEI event  | 1 in 2 years           |

|   |   |          |
|---|---|----------|
| Attend specialist briefing on national updates, changes in insurance policies | Emergency response lead<br>Business Continuity lead | 4 a year |
|---|---|----------|

## Exercises

A comprehensive guidance document is available for emergency planners. The Exercise Planners Guide is available at

<https://www.gov.uk/government/publications/the-exercise-planners-guide>

This contains a description of the many different types of exercises available to the emergency planner and strategies for staging them.

It reminds emergency planners that the choice of exercise is important; any exercise should provide the most appropriate and cost-effective way of achieving its aim and objectives.

There are basically four types of exercise, although there are variations on the theme of each of these:

Seminar - also known as workshops or discussion based exercises;

Table top - also known as floor plan exercises;

Control post - also known as training without troops; and

Live - also known as practical, operational or field exercises.

New plans or players would normally be involved in seminar or table top exercises before a control post or live exercise was planned.

### Seminar Exercises

Seminar exercises are generally low cost activities and inform participants about the organisation and procedures, which would be invoked to respond to an incident. The emphasis is on problem identification and solution finding rather than decision making. Those involved can be either new to the job or established personnel. This type of event will bring staff together to inform them of current developments and thinking. These events may take place within the framework of a seminar and include panel discussions and are primarily designed to focus on one particular aspect of the response.

### Table Top Exercises

Tabletop exercises are a very cost effective and efficient method of testing plans, procedures and people. They are difficult to run with large numbers, but those players who are involved are provided with an excellent opportunity to interact with and understand the roles and responsibilities of other agencies taking part. They can engage players imaginatively and generate high levels of realism. Participants will get to know realistic key procedures along with the people with whom they may be working in an emergency. Those who have exercised together and know each other will provide a much more effective

response than those who come together for the first time when a disaster occurs.

An element of media awareness can be introduced under controlled conditions such as the preparation of press releases at the tactical level, or the use of trainee journalists, under the direction of their tutor, to play news-hungry reporters.

### **Control Post Exercises**

In control post exercises the team leaders (and communications teams) from each participating organisation are positioned at the control posts they would use during an actual incident or live exercise. This tests communication arrangements and, more importantly, information flows between remotely positioned team leaders from participating organisations or departments. By not involving front line staff, these exercises are cost effective and efficient in testing plans, procedures and key people.

### **Live Exercises**

Live exercises range from a small scale test of one component of the response, like evacuation - ranging from a building or "incident" site to an affected community - through to a full scale test of the whole organisation's response to an incident. Live exercises provide the best means of confirming the satisfactory operation of emergency communications, and the use of 'casualties' can add to the realism. Live exercises provide the only means of testing fully the crucial arrangements for handling the media. A live exercise should not normally be undertaken until you have confidence in those involved.

## **Big and Small Options**

As this illustrates exercises do not always have to be resource-intensive, large scale events. You may wish to put together a training timetable that starts with some smaller tests such as testing your phone tree for callout. A range of potential exercise scenarios are included in Section 10.

## **Debriefing: Exercises, Near Misses and the Real Thing**

However minor the incident, if your emergency team has been activated an 'issues' debrief should be arranged. This should take place as soon as possible after 'stand down' and should be a facilitated, no-blame discussion, which can be used to improve both the plan and future responses.

It may be appropriate for someone who was *not* involved in the response to facilitate this and where necessary there are a number of external organisations who can provide this service. Contact AUCSO for further information here.

If the incident has been of a more serious nature it is advisable to arrange a separate debrief and follow up opportunities dealing with the emotional effects of the team's and individuals' involvement and professional advice may need to be sought on further aftercare. Either a group exercise or individual sessions may be appropriate.

## Reviewing and Reissuing the Plan

After you have identified the lessons learned from your exercises it is vital that your plans are reviewed, updated and reissued. Remember this is a key aspect of integrated emergency management discussed earlier.

### Example of an Exercise Scenario for a desktop workshop

#### Exercise “Gainsborough”

- Aim is to extract as many learning points for your own planning as possible
- Don't worry too much about the specifics: how many fire appliances etc
- It can be useful to plan a worst case scenario when you get back; best way to tease out the bigger issues

#### Scenario

You are the emergency management team at Gainsborough University. It is 11.30am on Tuesday.

There is a graduation ceremony underway in the Grand Hall.

There has been a large explosion on the first floor of the science building which is adjacent to the Grand Hall. There are numerous casualties; some serious injuries (at least 40) and reports from the scene of at least 12 fatalities.

The emergency services are on scene.

#### ***Put some notes together and report back***

**Team A:** Who are the University “users” at this point?

How will you manage them?

What needs to be in your EMERGENCY PLAN to help with this?

**Team B:** What will you set up to facilitate liaison with the emergency services?

What do they need from you?

What do you need from them?

What needs to be in your EMERGENCY PLAN to help with this?

**Team C:** A Sky news executive was in the Grand Hall for his daughter's graduation. The media are already on site.

Draft a press statement

What would you not say?

What other media arrangements would you make?  
What needs to be in your EMERGENCY PLAN to help with this?

**Team D:** What is an “emergency management” issue and what is a “business continuity” issue at this point?  
How would you manage any overlap?  
What needs to be in your EMERGENCY PLAN to help with this?

### Case Studies

Case Studies are a useful way to stimulate discussion with your trainees.  
*We are very grateful to all the HEIs who have provided us with anonymised examples of their recent experiences, which offer many lessons for other institutions.*

#### **The Virginia Tech Shootings: How the University Responded**

On April 16, 2007, a student opened fire at the Virginia Tech campus in Virginia in the United States. The perpetrator, Seung-Hui Cho, killed 32 people - 5 faculty members and 27 fellow students - and wounded 17 other people. 6 more were injured when they jumped from second-storey windows to escape the shootings, which occurred in two separate attacks about two hours apart. Cho committed suicide after the shootings. This was the deadliest school shooting in U.S. history.

The university remained closed on Tuesday, April 17. Essential personnel reported for work while classes were cancelled. The university assisted in organising a convocation ceremony for that day. Over 10,000 people filled a local coliseum, which provided an opportunity for the Virginia Tech community to come together for the first time to share their collective sorrow. An area was reserved for families of the victims wishing to attend the service privately.

President George Bush, First Lady Laura Bush and the local Governor were among those attending and sharing messages of condolence. The Bushes met with approximately 50 family members prior to doing a series of interviews.

In the days and weeks after the tragedy the University:

Publicised resources available on and around the campus during the first week to support the community in dealing personally and collectively with the impact of the events. These included counsellors being available at various student centres and available to meet with departments and workgroups at their offices or other convenient locations. This included out of hours and weekend support. Organised a university-wide moment of silence a week after the shootings, followed by the chiming of 32 bell tolls in memory of each victim and the release of 32 white balloons. A release of 1,000 orange and maroon balloons signifying Hokie unity and spirit followed.

Managed the resumption of classes on April 23. The first day of class involved broad-ranging discussions of the events from various perspectives. There was also discussion of the options available to students concerning their completion of the semester. This was accompanied by an explanatory letter from the University Provost and Vice President for Academic Affairs.

Founded a Hokie Spirit Memorial Fund in response to thousands of spontaneous donations that came to the University. When this closed in Dec 07 more than 21,000 groups, companies, and individuals had contributed in excess of \$8.5 million. Plans were made to distribute the funds to those most profoundly affected by the tragedy

Set up a dedicated page on its website – ‘We Remember’ – which includes: biographies of those who died, details of various campus memorials and links to counselling and other services, including telephone support and a police tip line

Organised a memorial ceremony which took place on August 19, 2007. During the ceremony the university dedicated a semi-circle of 32 engraved Hokie Stones in memory of the members of the Hokie family who lost their lives.

Provided a facility through a dedicated Office of Recovery and Support for cards, letters, poems, pictures, posters etc to be forwarded to the families of the fallen Hokies

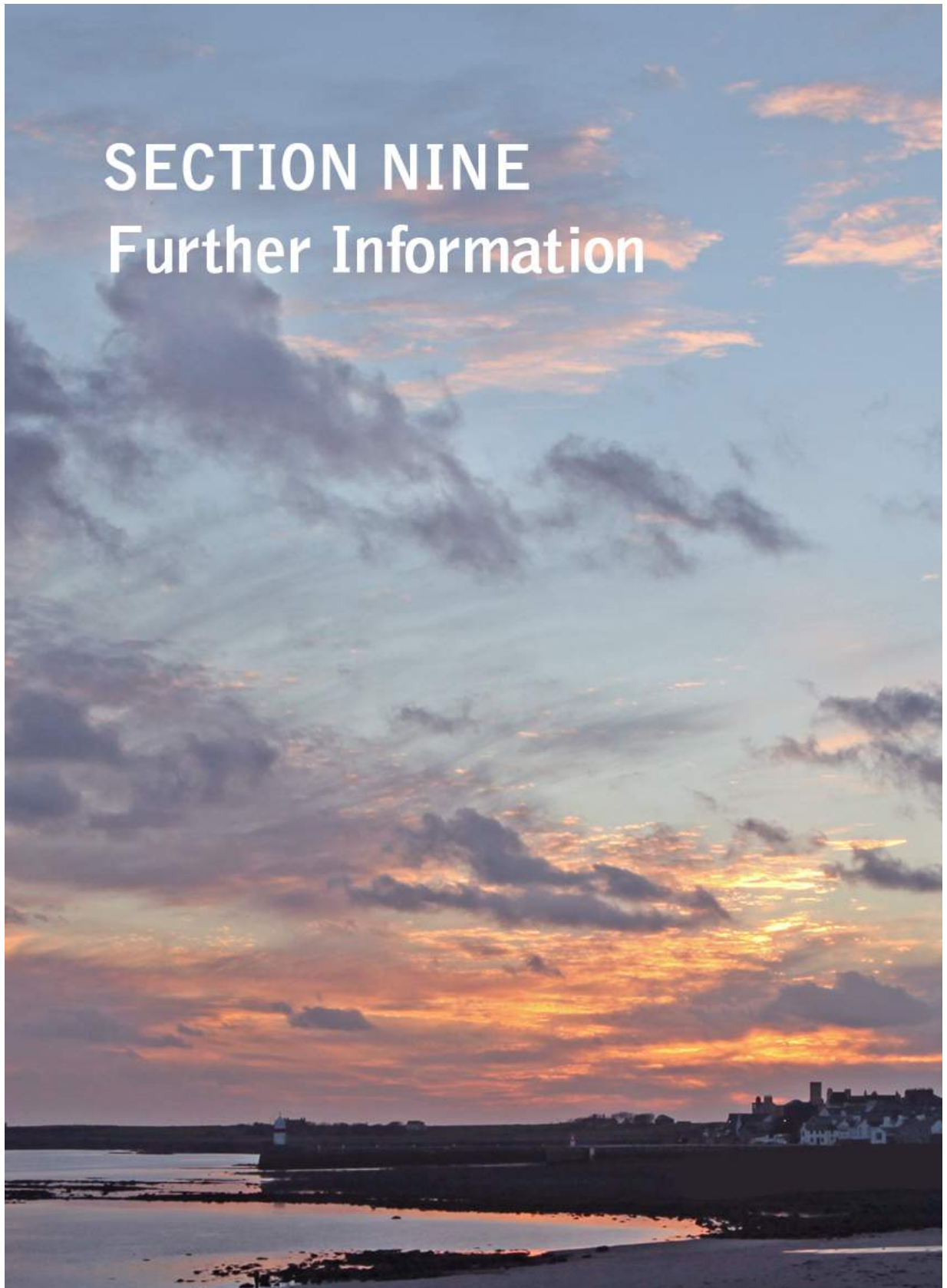
Set up an April 16 Memorial website. More than 36,000 individuals and families from around the world shared condolences, thoughts, and prayers with the university.

Provided links on its ‘We Remember’ webpage showing how Colleges and universities across the country and around the world have lent their support and expressed condolences via their websites. **For more information see:**  
**<http://www.vt.edu/remember/>**



## SECTION NINE

### Further Information



## Roles and Responsibilities of the Agencies involved in an Emergency

Latest information on roles and responsibilities can be accessed via <https://www.gov.uk/emergency-response-and-recovery#responsible-agencies-who-responds-to-emergencies>

A number of agencies and sectors are engaged in the response to and recovery from emergencies at the local level. It is important that those involved in emergency planning and response within HEIs have a clear understanding of the roles and responsibilities of such agencies and actively liaise with them during planning and response phases. This is a key to success in emergency planning and management.

In our early research for the 2008 guide we discovered that many HEI emergency plans had the institution doing too much! One of the key messages that delegates have fed back to us after training courses is that they had not realised how much support was out there e.g. it is crucial to engage with your local authority at the earliest opportunity so that you can discuss ways in which you can link into their existing welfare plans.

### Police Services

The police will normally co-ordinate the activities of those responding at and around the scene of a land-based sudden impact emergency. The key priority is the saving and protection of life but care will also be taken to safeguard evidence for subsequent enquiries and, possibly, criminal proceedings. Where practical, the police, in consultation with other responders, establish and maintain cordons to facilitate the work of the responding agencies in the saving of life, the protection of the public and property and the care of survivors. Where terrorist action is suspected to be the cause of an emergency, the police will take additional measures to protect the scene (which will be treated as the scene of a crime) and will assume overall control of the incident. The police oversee any criminal investigation and undertake the collection of evidence. They have responsibility for arranging for the removal of fatalities on behalf of HM Coroner, who has the legal responsibility for investigating the cause of any deaths involved.

### Local Authorities

Local authorities play a critical role in civil protection. They fulfil a wide range of functions that are likely to be called upon in support of the emergency services during an emergency (e.g. providing social services and emergency housing). They also crucially exercise a community leadership role in emergencies.

As the emphasis moves from response to recovery, the local authority will take the lead in facilitating the longer-term rehabilitation of the community and the restoration of the environment.

In preparing for emergencies local authorities co-ordinate and facilitate emergency planning and response work across the authority. They employ full time emergency planners to work with a wide range of other agencies, prepare contingency plans, organise major incident training and exercises to prepare for emergencies.

In the event of emergencies they also play an enabling role in close collaboration with a wide range of bodies not routinely involved in emergency response. In particular local authorities will work with partners to:

- Meet the longer term welfare needs of survivors (including social services support and financial assistance from appeal funds)
- Assisting community recovery (e.g. through establishing helplines and drop in centres and assisting with anniversaries and memorials. In the case of an emergency directly affecting a HEI it is recommended that such activities should include consultation and liaison with the HEI community)
- Facilitating the remediation and reoccupation of sites or areas affected by an emergency

Local authorities thus provide a crucial focal point for HEIs seeking to engage in local networks during planning, response and recovery phases. Contact details for local emergency planning teams can usually be found via local authority websites.

Local authorities are also advised to liaise with community-based organisations such as HEIs in developing plans and recovery strategies. There will certainly be an expectation that HEIs and Local Authorities work together closely in any response and recovery work.

## **Fire and Rescue Services**

The primary role of fire and rescue services in an emergency is the rescue of people trapped by fire, wreckage or debris. They will prevent further escalation of an incident by controlling or extinguishing fires, rescuing people and undertaking other protective measures.

They will also deal with released chemicals or other contaminants in order to render the incident site safe or recommend exclusion zones.

Also they will assist other agencies in the removal of large quantities of floodwater and assist ambulance services with casualty handling and the police with the recovery of bodies.

They may, on behalf of the NHS, undertake mass decontamination of people who have been exposed to chemical, biological, radiological or nuclear (CBRN) substances. Along with the police and other agencies, the fire and rescue service will address health and safety at an incident site using a 'dynamic risk assessment' process, which requires them to assess risks as they develop.

## **Health**

As of April 2013 health structures changed to reflect the changing needs of the NHS. PCTS have been taken over by Clinical Commissions Groups (CCGs) and Local Area Teams (LATs). All GP practices now belong to a CCG which will commission most services on behalf of patients, including emergency care, community care, planned hospital care, and mental health and learning disability services in their local areas.

Public Health England now takes over the responsibilities of the Health Protection Agency (HPA). Its activities include supporting organisations involved in emergency response by:

- providing health protection services expertise and advice and co-ordinating responses to major incidents
- assessing public health needs and gathering data to support emergency plans
- carrying out risk assessments
- providing scientific and technical advice
- providing microbiology services

## **The Development of UK Emergency Planning**

While recent legislation has placed emergency planning and business continuity on a statutory footing for organisations such as the emergency services and local authorities in the UK, its historical origins lie in wartime civil defence and public protection measures established in the face of the threat of nuclear attack during the Cold War. Peacetime emergency planning in the UK has evolved to reflect the nature and experience of UK disasters.

Efforts to formalise emergency procedures within organisations like the emergency services and local authorities developed impetus following a series of emergencies involving mass fatalities during the 1980s which became known as the 'decade of disaster' amongst professionals in this field. A further series of transport-related emergencies during the following years and, more recently, increased threats from international terrorism and other crises such as flooding have served to consolidate plans and been the impetus for the further development of more systematic and integrated approaches to emergency management in the UK.

Parallel to this has been the gradual evolution towards the professionalisation of emergency planning as a discipline and the growth of disaster management as a multidisciplinary field of academic research and practice. A number of UK HEIs now offer degree programmes in disaster management and staff on these programmes may be useful contacts for those preparing internal emergency plans.

### **The Civil Contingencies Act 2004**

The passing of the Civil Contingencies Act 2004 has been an additional landmark piece of legislation influencing the framework of emergency planning at local, regional and national levels. It delivers a single framework for civil protection in the United Kingdom and is aimed at meeting the challenges of the twenty-first century. It establishes a clear set of roles and responsibilities for those involved in emergency preparation and response at the local level which HEIs should be aware of and liaise with in developing their own emergency plans.

The Act divides local responders into two categories, imposing a different set of duties on each. Those in Category 1 are those organisations at the core of the response to most emergencies (for example the emergency services, local authorities and NHS bodies). Category 1 responders are required to:

- Assess the risk of emergencies occurring and use this to inform contingency planning
- Put in place emergency plans
- Put in place Business Continuity Management arrangements
- Put in place arrangements to make information available to the public about civil protection matters and maintain arrangements to warn, inform and advise the public in the event of an emergency
- Share information with other local responders to enhance co-ordination
- Co-operate with other local responders to enhance co-ordination and efficiency, and
- Provide advice and assistance to businesses and voluntary organisations about business continuity management (Local Authorities only).

Category 2 organisations include the Health and Safety Executive, transport and utility companies. These 'co-operating bodies' are less likely to be involved in the heart of planning work but will be heavily involved in incidents that affect



their sector. Category 2 responders have a lesser set of duties - co-operating and sharing relevant information with other Category 1 and 2 responders.

## **Command Structures: Implications for HEIs**

There is an agreed national framework for managing the local multi-agency response to, and recovery from, emergencies. Three management tiers have been identified that comprise the framework and equate to strategic ('gold'), tactical ('silver') and operational ('bronze') levels of response.

Given the multi-agency approach to emergency response, this common approach to command structures helps the emergency services and other organisations to communicate with each other and understand each other's functions and authority.

HEIs will also find it helpful to understand these command structures in planning and responding to emergencies involving liaison with external agencies.

## **Background to the Project**

In 2006 the Executive Members of the Association of University Chief Security officers (AUCSO) identified a need for further guidance and training in the area of emergency management for its members. It was agreed that a project was needed and a bid for funding was submitted by Bernadette Duncan, AUCSO Executive Member for London and the South East, to the Higher Education Funding Council for England (HEFCE) under the Leadership, Governance and Management Fund.

HEFCE were very supportive of the project as were other University Estates Associations - the Association for University Directors of Estates (AUDE), the University Safety and Health Association (USHA), the Association of Student Residential Administrators (ASRA) and the Conference of University Business Officers (CUBO). It was agreed that the project would be led by AUCSO but with the involvement of the other associations and organisations. This included the Emergency Planning College, which agreed to continue to run training courses in this area following the end of the project period.

In January 2007 HEFCE agreed to fund two projects: the development of this guide on planning for and managing emergencies and a series of pilot training courses specialising in emergency management and HEIs. Lucy Easthope and Anne Eyre, both specialists in emergency planning, training and management, were commissioned as consultants to develop and deliver the training and guide material.

The overall aim of the project was to review literature, plans and practices relating to emergency planning and management in the Higher Education sector and to produce an HE sector-specific good practice document. In addition the



project aimed to raise awareness amongst HE managers of major risks and threats to institutions and provide guidance on minimising those risks and producing emergency plans. The design and delivery of the pilot training programmes assisted in addressing these aims.

In 2013 AUCSO honoured a commitment to review and re-publish the guide with the latest updates and examples. This 2014 version is the final product of that work.

### About the Project Director

Bernadette Duncan MBE FRSA MBCI MInstLM is a specialist advisor to HEIs on Emergency Planning and Response. Previously she was the Head of Business Continuity and Security Services, at City University London. Her interest in emergency management stemmed from her involvement in dealing with a major fire at City University in 2001, which took c.5 years and £10m to recover from. She has lectured internationally on this subject. Previous to her employment at City University, Bernadette served in the Royal Military Police for 14 years and has specialist knowledge in risk reduction, investigations and personal protection services. She managed this project on behalf of AUCSO.

### About the Authors

**Dr Lucy Easthope** specialises in Disaster Management with particular interest in recovery management, the care of survivors, bereaved and deceased, risk management, legal aftermath and contingency planning.

She is a Senior Lecturer in Forensic Sciences at the University of Lincoln and provides guest lecturing, training and examination services for various other UK University and practitioner courses specialising in emergency management.

She has participated in the response to a number of major incidents including aviation disasters, the Bali terrorist attacks, and the operations at Brize Norton during the military campaign in Iraq

She has led numerous training and exercise events and provided contingency plans for organisations internationally.

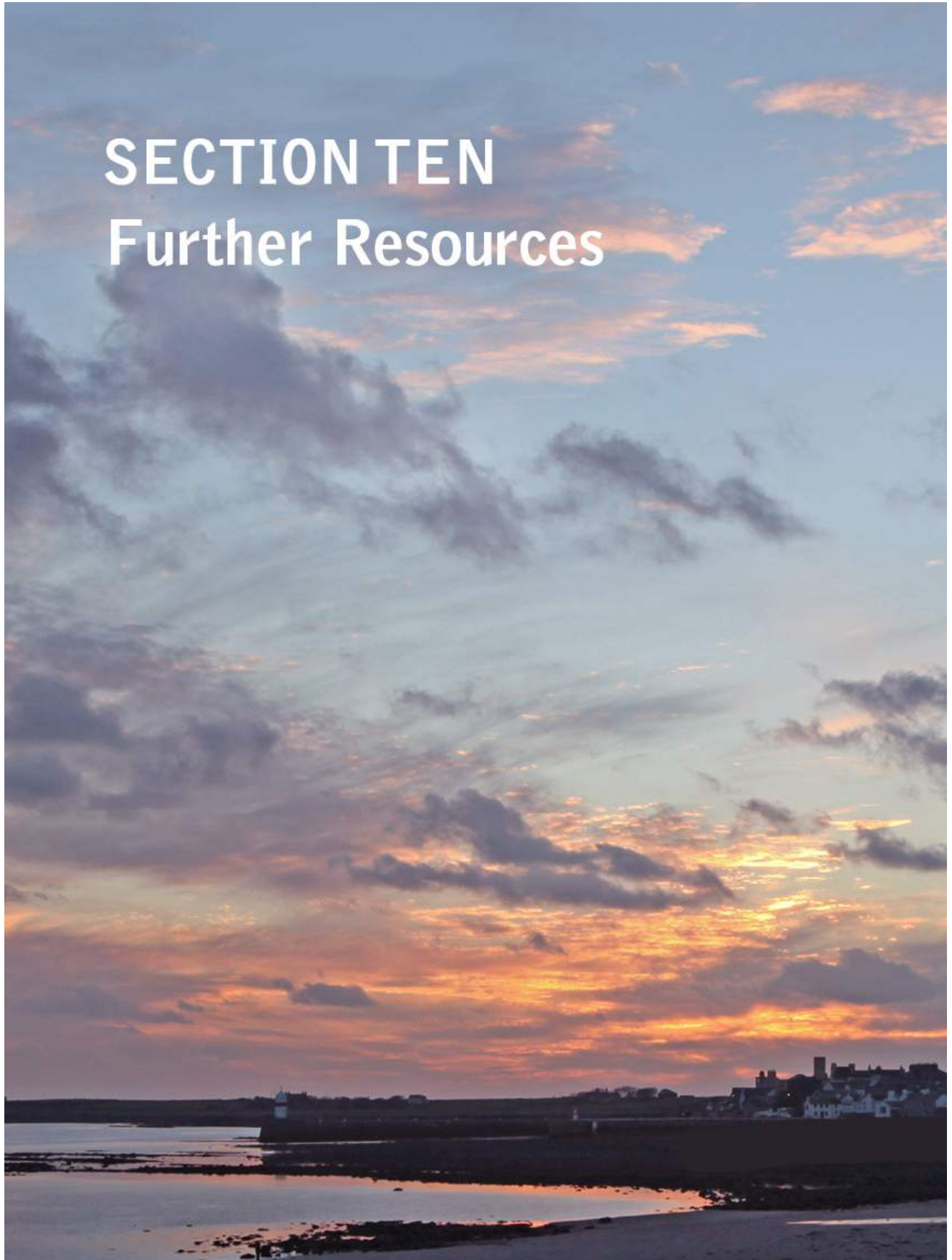
**Dr Anne Eyre** is an independent consultant specialising in Disaster Management with particular interest in emergency planning, preparedness and response. She helped develop the first undergraduate degree programmes in Disaster Management in the UK at Coventry University and continues to provide educational, training and consultancy services to various Universities, on practitioner courses and for organisations specialising in emergency planning and response.

Anne is Vice-Chair of Disaster Action ([www.disasteraction.org.uk](http://www.disasteraction.org.uk)) and her practical experience includes responding to the needs of those directly affected by the September 11 attacks 2001, the Potters Bar rail crash, 2002 and the Asian Tsunami 2004.

For further information from the consultants please contact [leasthope@lincoln.ac.uk](mailto:leasthope@lincoln.ac.uk)

# SECTION TEN

## Further Resources



### Introduction

Within this section there are a number of examples of resources that can be adapted and expanded for use by HEIs.

AUCSO members also have access to a wider resource bank stored within the members' area of the [AUCSO website](#). These include sample plans, further case studies and training PowerPoint's.

Below we have included the following updated resources:

| No. | Description  |
|-----|--|
| 1   | Emergency Management Team Roles and Responsibilities   |
| 2   | Exercise Scenarios                                     |
| 3   | Sample Communications Plan                             |
| 4   | Incident Response and Escalation Process               |
| 5   | Initial Action Points and Checklist – Revised for 2014 |
| 6   | Details of Emergency Accommodation Services            |
| 7   | Team Location Log and Contact Sheets                   |
| 8   | Team Meeting Agenda                                    |
| 9   | Update Resource List                                   |

***Due to their large size we have placed alongside the guide an example decision log and an incident log.***

## **EMERGENCY MANAGEMENT TEAM – ROLES AND RESPONSIBILITIES**

*Roles and responsibilities should be listed within the EM or BC Plan but may also be printed out and retained in 'battle boxes' as aide memoire.*

| <b>EMERGENCY MANAGEMENT TEAM - TEAM LEADER</b> |  |
|--|--|
| Initiate EMT call out                          | <ul style="list-style-type: none"> <li>• Ensure all EMT members are informed of emergency</li> <li>• Confirm who is attending meeting as reps of all areas</li> <li>• Confirm Time/Location of meeting and task (<i>Duty Manager</i>) to set up room</li> </ul>  |
| Assess Situation                               | <ul style="list-style-type: none"> <li>• Take reports from EMT members/on scene responders to confirm status of emergency: <ul style="list-style-type: none"> <li>○ What has happened?</li> <li>○ What is happening now?</li> <li>○ What is NOT happening?</li> <li>○ What is likely to happen? (Scale, duration, impact?)</li> </ul> </li> <li>• Constantly re-assess the situation</li> </ul>          |
| Prioritise and Allocate Tasks                  | <ul style="list-style-type: none"> <li>• Prioritise what needs to be done immediately include: <ul style="list-style-type: none"> <li>○ Welfare of people</li> <li>○ Security &amp; safety of buildings</li> <li>○ Reputation management</li> <li>○ Business Continuity -</li> </ul> </li> <li>• Allocate tasks to EMT members</li> <li>• Confirm timings for reporting back/next EMT meeting</li> </ul> |
| Agree Resources                                | <ul style="list-style-type: none"> <li>• Consider/agree requests for additional resources</li> </ul>   |
| Update Senior Management                       | <ul style="list-style-type: none"> <li>• Provide regular updates to senior officers</li> <li>• Appoint a liaison officer as required</li> </ul>  |

| <b>EMERGENCY MANAGEMENT TEAM - INFORMATION MANAGER</b>       |  |
|--|--|
| Attend EMT Meetings  | <ul style="list-style-type: none"> <li>• Initiate an incident log</li> <li>• Assign log keepers</li> <li>• Assign separate decision log keeper if required</li> </ul>  |
| Initiate the Emergency Information Line (as required by EMT) | <ul style="list-style-type: none"> <li>• Follow procedures for initiation with 'Kenyon International'</li> <li>• Ensure up to date information is provided to Kenyon on regular basis and request updates from them as required</li> <li>• Ensure all logs are retained at end of emergency</li> </ul> |
| Collate information  | <ul style="list-style-type: none"> <li>• Monitor information coming in to the EMT</li> <li>• Prioritise information for action as High/Medium/Low</li> <li>• Update EMT members</li> <li>• Ensure any information given out is updated and approved by EMT</li> </ul>                                  |
| As EMT Liaison Officer                                       | <ul style="list-style-type: none"> <li>• Liaise with Communications Team</li> <li>• If required liaise with Senior officers or others (on behalf of EMT Leader)</li> </ul>   |

| <b>EMERGENCY MANAGEMENT TEAM - BUSINESS CONTINUITY ADVISOR</b> |   |
|--|---|
| Advise EMT   | <ul style="list-style-type: none"> <li>• Refer to Faculties and Service Areas Business Continuity plans</li> <li>• Consider critical services and their Recovery Time Objectives</li> <li>• Prioritise services for recovery/continuity - what is scheduled at the College for the day/week?</li> <li>• Advise EMT members</li> <li>• Be a 'dark thinker'</li> <li>• Look at end results/opportunities</li> </ul> |
| Assist Faculties and Service Areas                             | <ul style="list-style-type: none"> <li>• Provide advice to Faculties and Service Areas on status of services</li> <li>• Liaise with EMT members on meeting Recovery Time Objectives</li> </ul>  |

| <b>EMERGENCY MANAGEMENT TEAM - IT</b>          |   |
|--|---|
| Provide, maintain and recover IT Systems       | <ul style="list-style-type: none"> <li>• Refer to IT DR Plan</li> <li>• Maintain all usual data and telecoms services where possible</li> <li>• Where systems have failed, assign staff to assist with recovery of services – prioritise service recovery as required by critical services register (network/VLE/shared drives/web/email etc.)</li> <li>• Use external suppliers to assist where required</li> <li>• Provide support as required to the EMT and Communications team in managing the emergency</li> <li>• Where alternative locations are resourced, provide IT facilities for staff and students</li> </ul> |
| Provide, maintain and recover Library Services | <ul style="list-style-type: none"> <li>• Refer to Library Services business continuity plan</li> <li>• Maintain usual Library Services where possible or put into place arrangements for alternative Library Services</li> </ul>  |
| Attend EMT meetings                            | <ul style="list-style-type: none"> <li>• Provide information to EMT on status of all data and telecoms networks and Library services</li> </ul>   |

| <b>EMERGENCY MANAGEMENT TEAM - COMMUNICATIONS</b> |  |
|---|--|
| Provide internal and external communications      | <ul style="list-style-type: none"> <li>• Refer to Incident Communications Plan</li> <li>• Confirm initial facts with Security Control Room and continue liaison until EMT is set up</li> <li>• Monitor social media and log relevant information</li> <li>• Use pre-agreed template or agree with EMT, content of information to go on website, email and social media, for staff, students &amp; public</li> <li>• Assign staff to update the web pages/social media</li> </ul> |

|  |  |
|--|--|
|  | <p>on regular basis</p> <ul style="list-style-type: none"> <li>• Draft and agree Press statements for EMT to sign off</li> <li>• Designate a Media Coordination Centre and space for press conferences</li> <li>• Coordinate the Media on site and arrange Press interviews</li> <li>• Brief University Spokesperson(s) before Press interviews (Q&amp;A's)</li> <li>• Provide information to EMT regarding all communications</li> <li>• Assist with on-going communications at scene</li> <li>• Brief external stakeholders as listed in Comms Plan, including College Council, Hefce, BIS, Charity Commission etc.</li> </ul> |
|--|--|

| <b>EMERGENCY MANAGEMENT TEAM - SECURITY</b> |  |
|---|--|
| Liaison with Emergency Services             | <ul style="list-style-type: none"> <li>• Keep in contact with security team at ICP/on scene</li> <li>• Attend Emergency Services Command (Silver) meetings if required</li> <li>• Ensure cordons/control is in place as required</li> <li>• Ensure log of personnel entering/leaving scene is kept (once Emergency Services release site)</li> </ul>   |
| Security of Scene/ Control of People        | <ul style="list-style-type: none"> <li>• Ensure security team direct people to designated welfare/ reception centre</li> <li>• Ensure cordons and access point has been set up</li> <li>• Brief staff to treat as potential crime scene/preserve evidence</li> <li>• Keep record of reported casualties/witnesses/missing persons and pass to EMT Information Manager</li> <li>• Direct Press to local coordination point</li> </ul> |
| Liaise with Local Authority                 | <ul style="list-style-type: none"> <li>• Liaise with LA Emergency Planning Office/Liaison Officer assigned to incident</li> </ul>  |
| Initiate investigation                      | <ul style="list-style-type: none"> <li>• Treat as potential crime scene until further notice</li> <li>• Keep records of initial response including CCTV, photographs, control room logs etc.</li> </ul>  |
| Resources                                   | <ul style="list-style-type: none"> <li>• As required, gather additional security staff from in-house team/ contract staff/other University staff – consider 24/7 rosters</li> <li>• Keep note of additional resources used</li> </ul>  |
| Attend EMT meetings                         | <ul style="list-style-type: none"> <li>• Update EMT on what is happening at scene</li> </ul>   |

| <b>EMERGENCY MANAGEMENT TEAM - SAFETY</b> |   |
|---|---|
| Provide H&S Advice                        | <ul style="list-style-type: none"> <li>• Ensure personnel at scene have required PPE</li> <li>• Provide support to security team for cordon control</li> <li>• Provide immediate safety advice to Estates, Service Areas and Faculty staff as required</li> </ul> |



|                     |   |
|---------------------|---|
|                     | <ul style="list-style-type: none"> <li>• Liaise with Security/staff at scene to ensure casualty information is passed to Information Manager</li> <li>• Liaise with HSE and Local Authority Fire Officer if indicated</li> <li>• Initiate investigation if accident</li> <li>• Treat scene as crime / accident scene – preserve evidence</li> </ul> |
| Attend EMT meetings | <ul style="list-style-type: none"> <li>• Provide updated information to EMT</li> </ul>  |

| <b>EMERGENCY MANAGEMENT TEAM – ESTATES</b> |   |
|--|---|
| Utilisation of premises                    | <ul style="list-style-type: none"> <li>• Ensure premises are made safe/cordoned</li> <li>• Brief staff to treat site as crime scene – preserve evidence</li> <li>• Provide floor plans and building information to Emergency Services/Local Authority</li> <li>• Maintain Utilities in buildings where possible or arrange alternative supplies</li> <li>• Provide additional resources as required (consider 24/7)</li> <li>• Arrange physical cordons (hoarding/fencing/ doors/locks etc)</li> <li>• Call in specialist contractors/alternative suppliers as required</li> <li>• Update the EMT on building status</li> </ul> |
| Business Continuity                        | <ul style="list-style-type: none"> <li>• Maintain continuity of normal services where possible</li> <li>• Where buildings are out of use, source alternative premises</li> </ul>  |

| <b>EMERGENCY MANAGEMENT TEAM – FACILITIES</b> |   |
|---|---|
| EMT Facilities                                | <ul style="list-style-type: none"> <li>• Set up EMT meeting room inc' telecoms and IT</li> <li>• Provide support staff for EMT including log keepers (liaise with Information Manager)</li> </ul>   |
| Building Facilities                           | <ul style="list-style-type: none"> <li>• Where buildings are safe for use, maintain normal facilities</li> <li>• Where buildings are out of use: <ul style="list-style-type: none"> <li>○ task Timetabling to reschedule teaching/events</li> <li>○ liaise with Estates team to source alternative premises</li> </ul> </li> <li>• If high staff absence, provide additional resources as required (consider 24/7)</li> <li>• Call in specialist contractors/alternative suppliers as required</li> <li>• Update the EMT on facilities status</li> <li>• Maintain continuity of normal services where possible</li> </ul> |

| <b>EMERGENCY MANAGEMENT TEAM – STUDENT RESIDENCES</b>  |  |
|--|--|
| Residences Facilities<br><br>(this may include liaison with external student residences providers) | <ul style="list-style-type: none"> <li>• Where buildings are safe for use, maintain normal facilities for residents</li> <li>• Update residents on any incident information (reassurance)</li> <li>• Advise residents to call home/update their Next of Kin of incident</li> <li>• Where buildings are out of use: <ul style="list-style-type: none"> <li>○ Ensure residents have been moved to safe refuge</li> <li>○ Liaise with Local Authority Emergency Planning Office to source possible temporary accommodation</li> </ul> </li> <li>• Assign staff to liaise with residents to confirm welfare status (casualties/who is safe/where are they staying/gone home etc.)</li> <li>• Record details of above and keep EMT updated</li> <li>• If required, source clothing or other items for personal use</li> <li>• Refer students to Student Services as required</li> <li>• Update the EMT on status of residences</li> </ul> |

| <b>EMERGENCY MANAGEMENT TEAM – HEALTH AND WELFARE</b> |  |
|---|--|
| Health and welfare of staff and students              | <ul style="list-style-type: none"> <li>• Consider health &amp; welfare of incident responders, provide support and advise managers and individuals appropriately</li> <li>• Liaise with HR and Student Services - Provide health and welfare advice for staff and students to be issued via Communications team</li> <li>• Liaise with hospitals, medical staff, Health Protection Agency and Coroner's Office if required regarding staff/student casualties</li> <li>• Collate information and update the EMT Information Manager</li> <li>• Manage the welfare and support for victims/casualties (staff and students)</li> <li>• Update the EMT on health and welfare issues</li> <li>• Liaise with other Health Services/Medical Advisers</li> <li>• Liaise with HR and Student Services - Provide support and advice to staff, students and if appropriate, to families</li> </ul> |

| <b>EMERGENCY MANAGEMENT TEAM – HUMAN RESOURCES</b> |   |
|--|---|
| Welfare and support for staff                      | <ul style="list-style-type: none"> <li>• Refer to HR Business Continuity Plan</li> <li>• Check Staff record system for details of staff involved in incident</li> </ul> |

|  |   |
|--|---|
|  | <ul style="list-style-type: none"> <li>• Provide Hospital or Police (Families Liaison Officer) with Next of Kin details</li> <li>• Liaise with College Health Service and assist with support of welfare of staff/families – which may include communication/ reassurance with families of staff</li> <li>• <b>Note - Liaison with victims/casualties Next of Kin (NoK) should initially be through Hospital and/or Police Families Liaison Officer</b></li> <li>• Assist with arrangements for other support services that may be considered by EMT to be beneficial i.e. medical, chaplaincy, counselling, financial</li> <li>• Ensure 'get you home' plans are initiated for staff as required</li> <li>• Act as 'critical friend' to EMT members and other support staff, ensuring suitable breaks and shift changes to ensure adequate resources for 24 hour operations</li> <li>• Provide empathetic staff to answer telephone calls until Kenyon call centre initiated</li> <li>• Attend EMT meetings and provide situation reports as required</li> </ul> |
|--|---|

| <b>EMERGENCY MANAGEMENT TEAM – STUDENT SERVICES</b> |   |
|---|---|
| Welfare and support for students                    | <ul style="list-style-type: none"> <li>• Refer to Student Services Business Continuity Plan</li> <li>• Provide student details of those involved in an emergency</li> <li>• Provide Student Next of Kin information where required to Hospital or Police (Families Liaison Officer)</li> <li>• <b>Note - Liaison with victims/casualties Next of Kin (NoK) should initially be through Hospital and/or Police Families Liaison Officer</b></li> <li>• Provide or arrange welfare support for students and families as required</li> <li>• Provide usual services, advice and support including medical, chaplaincy, counselling, financial</li> <li>• If student residences affected, assist in finding alternative emergency accommodation (via local EPO) or provide advice/assistance with travel arrangements</li> <li>• Ensure 'get you home' plans are initiated for students as required</li> <li>• Liaise with Students Union</li> <li>• Attend EMT meetings and provide situation reports</li> </ul> |

| <b>EMERGENCY MANAGEMENT TEAM – FINANCE</b> |   |
|--|---|
| Finance and Insurance                      | <ul style="list-style-type: none"> <li>• Provide financial and insurance advice to EMT</li> <li>• Monitor and record EMT decisions on additional resources</li> <li>• Collate information on damage/injuries</li> <li>• Liaise with College insurers/loss adjusters</li> <li>• Keep record of all financial expenditure during emergency and response</li> <li>• Keep log of expenditure under 'get you home' plans</li> <li>• Attend EMT meetings and provide situation reports</li> </ul> |

| <b>EMERGENCY MANAGEMENT TEAM – SUPPORT STAFF AND LOG KEEPERS</b> |   |
|--|---|
| Provide admin support for the EMT                                | <ul style="list-style-type: none"> <li>• Prepare the EMT meeting room including TV, laptop(s) &amp; data projector, telephones, stationery and copies of plans (from battle box/cupboard)</li> <li>• Source spare mobile phones and chargers if required</li> <li>• Update and provide support as required</li> </ul>   |
| Log Keeping  | <ul style="list-style-type: none"> <li>• Provide staff to act as log keepers for the EMT</li> <li>• Using printed Log Books, maintain accurate record of events and actions (read instructions in front cover of log book)</li> <li>• Provide staff to act as decision log keepers if required (use printed Decision Log Books)</li> <li>• Arrange roster for staff to swap over regularly</li> </ul> |

| <b>EMERGENCY MANAGEMENT TEAM ACTION – FACULTY REPS</b> |  |
|--|--|
| Liaison between the EMT and Faculties                  | <ul style="list-style-type: none"> <li>• Attend EMT meetings as required and provide situation reports from the Faculty/Departments</li> <li>• Provide advice and local/Faculty information to the EMT</li> <li>• Provide liaison between the EMT and own Faculty Management Team ensuring accurate and timely information is communicated including recovery timings where possible</li> <li>• Note - It is important that communications to Faculty staff and students are first checked with the EMT to ensure cohesion and consistency across the College</li> </ul> |

| <b>EMERGENCY MANAGEMENT TEAM ACTION – STUDENT UNION</b> |  |
|---|--|
| Liaison between the EMT and SU                          | <ul style="list-style-type: none"> <li>• Attend EMT meetings as required and provide situation reports from the SU</li> <li>• If required provide emergency reception/welfare centre in the SU for staff/students</li> <li>• Note - It is important that communications to SU staff and students are first checked with the EMT to ensure consistency of information across the College</li> </ul> |

## Sample scenarios for training and exercising

Developed by Danielle Osborn, February 2014

These examples can be adapted to suit your campus. The examples can include burst water mains, electricity supply interruptions, ground subsidence and so on. The scenarios posed below also consider the impact to business continuity, which is a key part of recovery.

### *Scenario 1*

It is Fresher's week and the campus is abuzz with new faces. Over the summer months the Gas Supply company had been installing new supply lines.

A few students have started reporting light-headedness and a smell of gas from the main square outside the entrance to the Student Rectory. Over the course of a day this number escalates. The gas company is called in and they recommend closing the surrounding buildings down and a need to switch off the gas supply until they have investigated and resolved the matter.

Consider:

- 1) How your staff will communicate the message of evacuation to students and staff?
- 2) What are the potential implications to the buildings surrounding your Student Rectory?
- 3) Are there designated back up locations for the buildings that have been temporarily closed?
- 4) Is there a financial implication to your organisation if such an event were to occur and how do you mitigate against it? (This generally makes senior staff take more interest of emergency planning when it is put in terms of revenue lost!)

### *Scenario 2*

It is exam time and the Medical facility lecture theatres are being used to host the exams. Those not sitting exams are still using the rest of the building.

A sewage pipe in the basement level becomes blocked. The Estates team blame the age of the building and the inadequate design of the facility. The affected pipe has caused a subsequent blockage in the ladies toilets for the entire building.

Consider:

- 1) What are your initial actions? Who will be in charge? Who will resolve this issue on the ground?
- 2) How do you communicate with staff and students?
- 3) What are your alternative facilities and the implications for using those facilities? In other words are other lectures, students and courses going to be affected by the need to use 'their' facility?

### *Scenario 3*

A disgruntled IT student who was recently removed from a campus library for inappropriate use of Institution software takes his revenge by installing a virus on the University Mainframe. He has effectively disabled access to all university computers. No one can login to access emails, the main page or any subsequent programs.

- 1) What are your initial actions?
- 2) How will you communicate in the event of IT outage?
- 3) What resources are affected by this event? Consider the affect beyond the teaching of students, for example University admin staff particularly – HR, Payroll and Estates and Security. Is there potential for personal information kept on individuals to be accessed?
- 4) How will you prioritise which departments get access to computers that aren't affected or if told that certain departments will be brought back on line at different stages, which departments will get priority?
- 4) What are the implications if another incident such as a fire in the chemistry block or halls of residence were to occur at the same time? What emergency response arrangements rely on IT for example the Control Centre, online plans, and lists of contacts and so on?

#### *Scenario 4*

The University Hockey Team coach has crashed on a trip to Italy. The initial report received has said that 10 people have died, the rest are either critically injured or seriously hurt and have been taken to the main hospital in Verona.

- 1) What are your initial actions on receiving this information?
- 2) Reporters and Journalists have already appeared on campus and outside the Administration building asking for updates. The news vans are making it very difficult for cars to get on and off campus. How will you resolve this? What information will be passed on? Who will lead on media briefings both in person and via other communication methods?
- 3) Who will be the liaison point for the Italian Authorities and your Institution? Consider the timeframe and potential handovers, as this may be a long running incident!
- 4) How will you address the impact of this event on other students at your Institution? Outpourings of grief? Impact to normal routine? Psychosocial impact to staff and students? Memorial events both now and future?



## Example of a HEI's plans for communications in the event of an emergency

### COMMUNICATIONS IN THE EVENT OF AN EMERGENCY

#### Callout

The Head of Security Services will be responsible for ensuring the list of useful telephone numbers for key staff who may have to be contacted in an emergency is up-dated on a regular basis.

The Director of Marketing and Communications, or his nominee, will be contacted by the Security Office staff or EIM and they will be responsible for the overall communications strategy for the incident.

#### Principles

The Director of Marketing and Communications has drawn up the following guiding principles to their communications from the outset of any incident:

- Recognise and address the information needs and/or demands of all those affected by and/or made aware of the incident: students, staff, members of the media, concerned families and friends of students and employees, local residents, local politicians and idle spectators.
- Place priority on guarding the long-term credibility and reputation of the University.
- Take control of the situation by initiating communications to present the facts and articulate the University's position as early as is practicable.
- Consider the information needs of different constituencies: the communications may vary by group, but they must be consistent.
- Communicate with internal audiences first or at the same time as the media.
- Be forthright; lies and untruths and cover-ups will be found out.
- Co-ordinate communications with the relevant emergency services.
- Try to accommodate the logistical needs of the media.
- Seek advice from the University's legal advisers if in any doubt.
- Correct major errors, challenge rumours and dispel misperceptions about the emergency.

Any person communicating with the media should follow these guidelines.

### **Media Briefing**

The Director of Marketing and Communications or his nominee will be responsible for establishing a media briefing centre.

In the event of several agencies being involved, the importance of broadcasting a co-ordinated approach to the messages being delivered cannot be over emphasised.

### **Emergency Hotline**

Consideration should be given to immediately setting up an emergency hotline utilising the current 'Nightline' system with additional staff. These discussions should involve the Police as at times of major incidents they will often establish a call centre to co-ordinate calls from the public. It may not be efficient or effective to attempt to duplicate this facility.

### **Communication Methods**

The University has established a number of channels and methods for communication quickly and efficiently with the student community and the staff of the University. The method selected will be dependent on the nature and duration of the incident.

These channels of communication include:

#### **Email**

An emergency email message can be sent to all registered students and current members of staff via the University email system.

#### **Emergency Newsletters**

Hand-delivered newsletters can be distributed in bulk by hand via the University Post Room.

#### **Impact Magazine**

Impact magazine, the student newspaper, is published regularly during term-time. The Editor of Student Direct may be willing to include notices and/or information bulletins relevant to students.

#### **WWW Bulletins**

The University can communicate with all current students and members of staff via the University's website. Emergency messages can be posted and highlighted on the University's homepage.

The disadvantage of the Web is that the individual has to be proactive in seeking the information; they will not find the information unless they are looking for it.

### **Meetings**

Meetings can be very effective not only for distributing information, but also for gauging the reaction of staff and students to events and for establishing their concerns; word of mouth can ensure a good attendance.

### **External Agencies**

The external media can also be a channel of communication in certain circumstances. For example, if a building had to be closed following an incident in the night, the only way of trying to stop large numbers of people from travelling to the building the next morning may be by using the local media, especially the local radio.

In a health crisis, such as meningitis, the appropriate charities have mobile information vehicles that can provide supporting information.

### **Students/Families**

- Home and term-time addresses, telephone numbers and details of next of kin for currently registered students are held on the University Student Record System [SAMIS].  
The data is managed by the Student Records Office [SRO] who will provide access to records by authorised personnel during normal office hours. The Record System is taken down each evening for back-up.
- Academic schools also keep records of current students and their home and term-time addresses and telephone numbers.
- Halls of Residence also keep records of the addresses and telephone numbers for current students.

Each student is allocated an email address at registration; this can be located with the use of Person Finder on the University website.

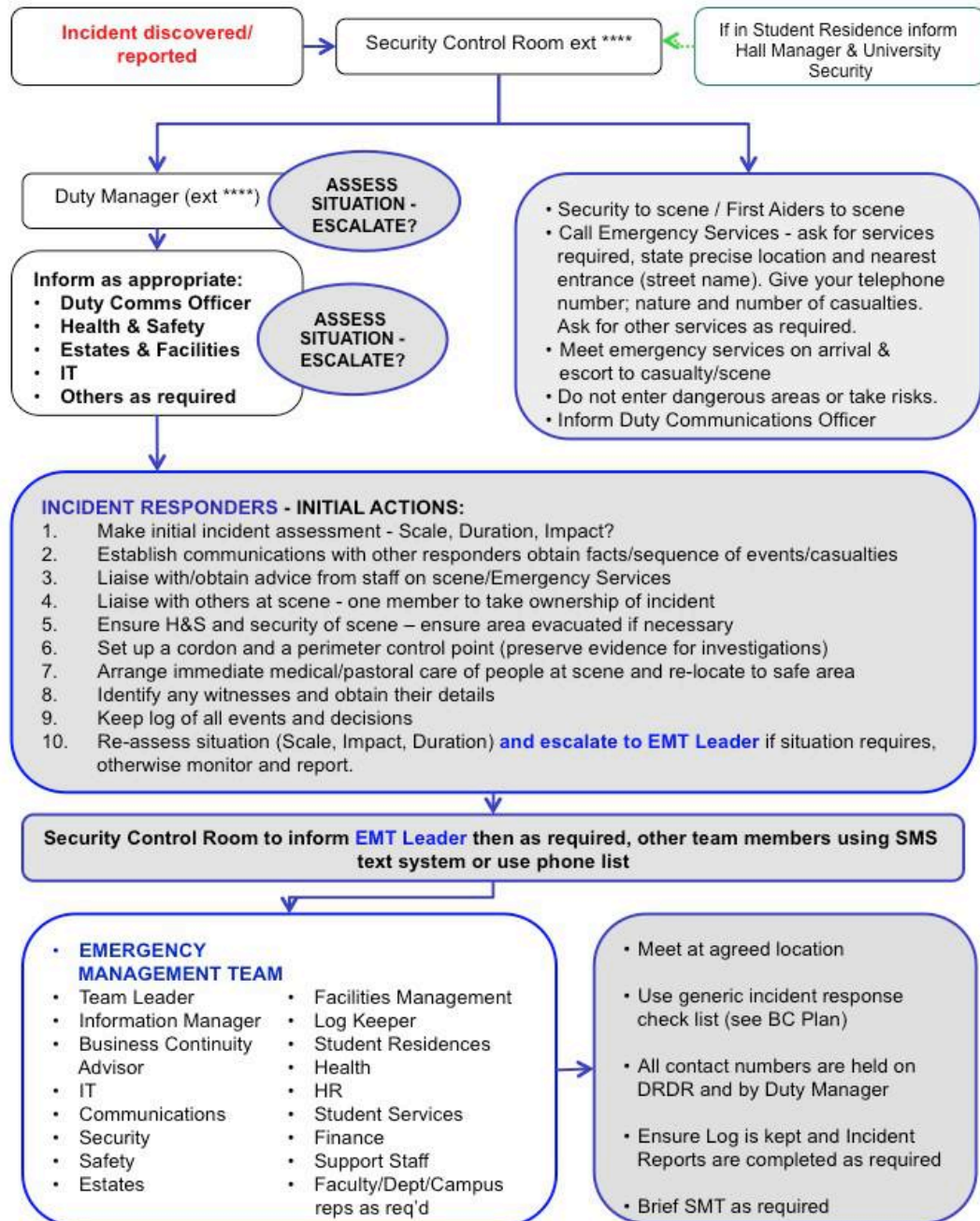
In the event that it was necessary to communicate with the families of all students, this could be done:

- Indirectly via a communication to students, specifically asking them to inform their parents or next of kin of the situation. This would be the most appropriate method in an emergency.
- Directly by post. This means of communication would take a day or two to effect.
- The University's Person Finder provides office contact and email details for all current members of staff.

- Home addresses and telephone numbers for current University staff are held on the Staff Record System, which is maintained by the Directorate of Human Resources.
- Academic and administrative offices also keep some records relating to current staff, which may include home addresses and telephone numbers.

## INCIDENT RESPONSE AND ESCALATION PROCESS

Applies to all serious health or safety incidents resulting in fatal or serious injuries, including 'near misses', fire, explosion, environmental incidents, chemical contamination, serious illness, sudden death or suicide, (both on or off campus) and ICT critical incidents where data services/network is disrupted.



**MAJOR INCIDENT OR ACCIDENT - INITIAL ACTION POINTS AND CHECKLISTS**

Major incidents include fire, explosion, chemical contamination, asbestos release or other immediate serious safety issues. An accident should also be regarded as 'major' when it has resulted in a fatal or serious injury, or if there has been a 'near miss', which could have resulted in a fatal or serious injury.

| IMMEDIATE ACTION – PERSON DISCOVERING THE INCIDENT/ACCIDENT |  | ACTIONED: |
|---|--|-----------|
| 1   | On discovering a serious casualty, quickly assess the situation (check for danger) and summon assistance from nearby. Start first aid if trained and it is safe to do so.  |           |
| 2   | <p>Request First Aid assistance from the nearest (24hr) reception/security ext xxxx OR ext xxxx - Student Residences</p> <p>Ask for first aiders to attend scene and ask Security staff to call the Emergency Services. If security unavailable, dial 999 and ask for 'ambulance service'. Tell the 999 emergency operator:</p> <ul style="list-style-type: none"> <li>• your name &amp; telephone number xxxx (or your mobile no.)</li> <li>• the exact location of casualty and street name / entrance</li> <li>• number of casualties &amp; nature of injuries</li> <li>• request other emergency services as required ie. Fire and Police.</li> </ul>  |           |
| 3   | Ensure someone waits at the building entrance to guide the emergency crew to the casualty's location.  |           |
| 4   | <p>Remain with/return to the casualty and administer first aid if trained and if safe to do so. Remain at scene to assist emergency services on arrival. When casualty is removed, check which hospital they are being taken to. Note:</p> <ul style="list-style-type: none"> <li>• <b><i>Do not enter a dangerous/unstable area or take risks.</i></b></li> <li>• <b><i>Do not enter a confined space where a person is unconscious (possible fumes).</i></b></li> <li>• <b><i>Do not handle a contaminated person (Mercury, chemicals, gas, asbestos etc).</i></b></li> <li>• <b><i>Do not move the casualty unless there is immediate danger eg. risk from fire/explosion.</i></b></li> </ul> |           |

| ACTION BY SECURITY STAFF: |   | ACTIONED: |
|---------------------------|---|-----------|
| 1                         | Quickly arrange for First Aiders to attend the scene. Call 999 as above to summon Ambulance, Fire or Police Services.                                     |           |
| 2                         | Inform the Duty Manager (Halls or University) of the situation on ext xxxx. If in residences, inform the Duty Residential Advisor.                        |           |
| 3                         | <b>On arrival, escort or direct the emergency services to the scene of the casualty. If possible, set up a perimeter and control access to the scene.</b> |           |
| 4                         | Maintain a log of all events and follow instructions given by duty manager or emergency services.   |           |



## Resilience in Higher Education Institutions 2014

| ACTION BY THE UNIVERSITY DUTY MANAGER / HALLS DUTY MANAGER AND/OR OTHER INCIDENT RESPONSE TEAM MEMBERS: |   | ACTIONED: |
|---|---|-----------|
| 1   | <p>Assess the incident and consider:</p> <ul style="list-style-type: none"> <li>• evacuation of building/area as necessary</li> <li>• safety and security of the site – check for high hazards and isolate utilities (gas/electricity/oil/water) if required</li> <li>• if safe, check the building for other casualties/damage</li> <li>• try to identify the casualties (names and department/course)</li> <li>• liaise with the emergency services</li> <li>• when safe, secure or seal the scene to preserve evidence – set up perimeter and control entry to the emergency services and IRT members only.</li> </ul> |           |
| 2   | <p><b>Inform members of the Incident Response Team (IRT)</b><br/> <b>(see IRT contact numbers list) and confirm venue/time to meet.</b></p>   |           |
| 3   | Try to ascertain the circumstances of the incident/sequence of events. Who made first report/discovered accident?   |           |
| 4   | Identify any witnesses/potential witnesses and obtain their names, department, course, address and a brief statement from each if possible.   |           |
| 5   | Arrange for immediate medical/pastoral care of other staff/students if required.  |           |
| 6   | If in Halls of Residence, ensure that the University Duty Manager and University Security team are made aware of the incident.  |           |
| 7   | If on the Main campus, inform the Halls of Residence Managers or other sites as necessary, that there is a major incident.  |           |
| 8   | <p><b>Once the casualty has been positively identified, check that police or hospital is notifying their nominated next of kin (they may need access to student/staff records to find this?). Pass this information to the Incident Response Team for their further action.</b></p>   |           |
| 9   | <p>Keep a log - all circumstances that were encountered on arrival and decisions made on dealing with the event, including names and times.<br/> A concise record will be invaluable when enquiries into the event are subsequently made.</p>   |           |
| 10  | If staff/students are evacuated from buildings, consider temporary shelter, medical and/or pastoral care. Patients suffering from minor injuries may be sent to hospitals by taxi as required.  |           |
| 11  | <p>Make assessment of situation – Scale? Impact? Duration?<br/> Decide if escalation required to EMT. If yes, set up room for meeting Room at agreed venue. Give EMT members briefing.</p>  |           |

## Resilience in Higher Education Institutions 2014

|  |  |  |
|--|--|--|
|  | <b>Note:</b> <ul style="list-style-type: none"> <li>Do not respond to initial inquiries from the media or parents/friends. Refer those inquiries to the University Press Officer.</li> <li>Be sensitive in the need for confidentiality; better to err on the side of caution and not reveal any individual's identity or other information which could be sensitive.</li> </ul> |  |
|--|--|--|

| ACTION BY UNIVERSITY SAFETY MANAGER: |   | ACTIONED: |
|--------------------------------------|---|-----------|
| <b>1</b>                             | Examine scene - liaise with emergency services, Duty Manager, Estates team and other IRT members. Commence investigation of incident.   |           |
| <b>2</b>                             | Notify as required:<br>Local Authority Emergency Planning Officer (EPO)<br>Local Authority Environmental Health Officer (EHO)<br>T: xxxx  |           |
| <b>3</b>                             | In case of fatality, notify the HSE Riddor Incident Control Centre<br><a href="http://www.riddor.gov.uk/reportanincident.html">http://www.riddor.gov.uk/reportanincident.html</a><br>(0845 345 0055) within 24 hours. |           |
| <b>4</b>                             | Notify the University Insurers as soon as possible - within 24 hours and the University legal advisor.  |           |

| ACTION BY ESTATE SERVICES: |   | ACTIONED: |
|----------------------------|---|-----------|
| <b>1</b>                   | Examine scene – liaise with emergency services, University Safety Manager and Duty Manager. Note - if crime or serious accident scene, access will be restricted initially. |           |
| <b>2</b>                   | Make premises safe, arrange to make safe, stabilise / secure site / decontaminate / control perimeter.  |           |
| <b>3</b>                   | Arrange assessment and damage control.  |           |

| ACTIONS/CONSIDERATIONS FOR EMERGENCY MANAGEMENT TEAM: |   | ACTIONED: |
|---|---|-----------|
| <b>1</b>  | <b>Meet in the agreed venue.</b><br><b>Assign person to maintain a log of all events and decisions.</b> |           |

## Resilience in Higher Education Institutions 2014

|           |   |  |
|-----------|---|--|
| <b>2</b>  | <b>Liaise with and consider advice from the emergency services, IRT members and other professional staff as necessary.<br/>Assess Scale, Impact and Duration of emergency.</b>  |  |
| <b>3</b>  | <b>Discuss and agree immediate aim for the team.</b>  |  |
| <b>4</b>  | <b>Consider immediate arrangements for building evacuees.<br/>Health, Safety and Welfare.</b>   |  |
| <b>5</b>  | Ensure casualties next of kin have been informed (usually carried out by police or hospital) – arrange University rep' if required.   |  |
| <b>6</b>  | Draft statement for Press and commence internal communications (web, email, bulletins) for University departments. EMT to approve any communications before distribution.   |  |
| <b>7</b>  | Set up University Emergency Information Line (T: xxxx) in agreed venue. Arrange staffing and brief them – provide Q&A's or issue written guide/statement to refer to.   |  |
| <b>8</b>  | Brief switchboard, reception and security staff for response to inquiries (issue written guide/statement to refer to as necessary and do not speak to Media!)   |  |
| <b>9</b>  | Brief and consult with Advisory Staff as required - People & Quality issues; Medical/Health; Counselling; Safety; Insurance; Legal; Accommodation & Welfare; Chaplaincy.<br>Liaise with Student Union and any TU reps.<br>Brief and consult with Deans and HoD's of affected departments. |  |
| <b>10</b> | <b>Brief Heads of Departments on casualties within their departments.</b>   |  |
| <b>11</b> | Complete initial accident/incident investigation forms and keep log of all actions/information/decisions for further written reports.   |  |

| ACTION FOR SCHOOL/DEPT INCIDENT MANAGEMENT TEAMS -<br><b>DEANS OF SCHOOLS/HEADS OF ACADEMIC/SERVICE DEPARTMENTS:</b> |   | ACTIONED: |
|--|---|-----------|
| <b>1</b>   | Follow the advice given by the University Emergency Management Team and any other relevant University policy or procedures.   |           |
| <b>2</b>   | Implement own School or Departmental plan for dissemination of information and for providing advice to own department students and staff. Note – all draft communications are to be approved by EMT before publication. |           |
| <b>3</b>   | Appoint a School and/or Department Liaison Officer to the Emergency Management Team.  |           |
| <b>4</b>   | Address incoming enquiries to the Emergency Information Helpline – ext xxxx   |           |

Distribution List:

All named team members:

- IRT
- EMT
- Advisory Staff
- Spokespersons
- Support Staff
- Disaster Recovery

Plus:

Deans of Schools  
Heads of Departments  
Area Safety Liaison Officers

## Details of emergency accommodation and services

| Location | Keyholder and contact number | Tel. No. at Location | Size of accomm. (sq. metres) | Services Available |         |       |        |    |      |                |              |
|----------|------------------------------|----------------------|------------------------------|--------------------|---------|-------|--------|----|------|----------------|--------------|
|          |                              |                      |                              | Parking            | 'Phones | Desks | Chairs | IT | WC's | Other Services | Power Points |
|          |                              |                      |                              |                    |         |       |        |    |      |                |              |
|          |                              |                      |                              |                    |         |       |        |    |      |                |              |
|          |                              |                      |                              |                    |         |       |        |    |      |                |              |
|          |                              |                      |                              |                    |         |       |        |    |      |                |              |
|          |                              |                      |                              |                    |         |       |        |    |      |                |              |

*Team members should record their actions on their ACTION LOG and with the assistance of the administrator maintain all paperwork. Remember that this may need to be submitted to any later investigation.*

| TEAM LOCATION LOG   |      |                     |   |                          |               |  |
|---|------|---------------------|---|--------------------------|---------------|--|
| Incident:   |      |                     |   |                          |               |  |
| Name of Team Member compiling Log:  |      |                     |   |                          |               |  |
| Date  | Time | Name of Team Member | Location of Team Member and contact details | Actions to be undertaken | Time due back | Time that Team Member returned and any Notes |
|   |      |                     |   |                          |               |  |
|   |      |                     |   |                          |               |  |
|   |      |                     |   |                          |               |  |
| <p><i>This page should be photocopied as many times as it is needed and used by all TEAM MEMBERS - both Corporate and Service. The administrator may maintain these logs for Team Leaders and Directors and will also co-ordinate the signing off of the sheets by the Team Leader. These logs will then need to be stored for a period of at least one year after the incident or longer dependent on circumstances.</i></p> |      |                     |   |                          |               |  |
| Signed off by:  |      |                     |   |                          |               |  |
| Print Name:   |      |                     |   |                          |               |  |
| Date:   |      |                     |   |                          |               |  |



## TEAM CONTACT SHEET

Incident:

Date:

| Name of Team Member | Mobile Phone Number | Name of Emergency Contact | Relationship with Emergency Contact | Emergency Contact Details: Address and Phone Number |
|---------------------|---------------------|---------------------------|-------------------------------------|---|
|                     |                     |                           |                                     |   |
|                     |                     |                           |                                     |   |
|                     |                     |                           |                                     |   |
|                     |                     |                           |                                     |   |
|                     |                     |                           |                                     |   |

### *Agenda for First Emergency Management Team Meeting*

First meeting to be chaired by duty Senior Manager or their deputy.  
Minutes to be taken by Administrator - to include date, time and decisions log as a minimum.

All team members should provide a contact name and number for a family member who should be contacted in the event of an emergency, severe delays etc.

#### **Agenda Item Checklist**

##### **MEETING:**

- Date & time of meeting
- List of attendees
- Reason for activation
- Housekeeping – fire alarm, H&S, security, refreshments & toilets
- Available communications – land-lines, mobiles, IS

##### **INCIDENT:**

- Details of Incident & action so far
- Incident location - any immediate issues to be resolved
- Log/plan showing where team members are currently located
- Health and safety issues
- Sourcing of equipment for team
- Refreshments and team breaks
- Details of services and functions affected
- Crisis communications issues
- Financial requirements
- Administration requirements

##### **PLAN FOR THE NEXT 24 HOURS - Delegation of Tasks:**

- Roles of each Head of Service:
  - Updates from and liaison with the incident team
  - Internal Communications
  - Information Systems – Telecoms, Web, Email
  - External communications / Media management
  - Property & Facilities
  - Health & Safety
  - Student Services/Liaison
  - HR/Staff Services/Liaison
- Undertaking Business Impact analysis
- Undertaking loss inventory
- Undertaking Risk Assessments
- Staff welfare
- Team members able to continue with role?
- Determine shift length and hand over period for deputies
- Items for Senior Management Team approval
- Set time for next meeting

## 2014 Update: Further Useful Resources

Australian Government Queensland (2006). A Guide to Developing Lockdown Processes. *Organisational Health Unit* [online]. Available from: <http://education.qld.gov.au/health/pdfs/healthsafety/lockdown-information-example.pdf> [Accessed 19 November 2013].

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