

MAJOR INCIDENT PLAN

Managing and Recovering from Major Incidents

June 2017

MAJOR INCIDENT PLAN - June 2017

Title	UCL Major Incident Plan (public version)
Primary author (name and title)	Angela French, BCM & MIP Manager
Date published	June 2017
Document location	riskNET Document Library
Review date	December 2017
Approved by (name of committee)	Major Incident Team
Related policies	Major Incident Plan, all internal policies, local Business Continuity Plans
Version	Version 2

A major incident, which would involve UCL's Major Incident Team would be a situation or incident (actual or potential) which significantly affects UCL's students, staff or business.

Version Control

Date	Version	Action	Amendments
July 2012	1.0	Version created from version 2.1 for public viewing.	
June 2017	2.0	Version created for public viewing	

Table of Contents

1.0	Introduction	4
2.0	Aim of the Major Incident Plan (MIP)	4
2.1	Purpose of the MIP.....	4
2.2	UCL's Major Incident Team (MIT)	4
3.0	Activation of the Major Incident Plan (MIP)	5
4.0	Incident Definitions and Assessment Criteria.....	6
4.1	Incident Assessment	6
4.2	Criteria for activation of the plan.....	7
5.0	Control Rooms	8
5.1	Major Incident Control Rooms.....	8
5.2	Activation of the Control Room	8
5.3	Emergency Call Centre	8
6.0	Initial MIT Meeting Agenda	9
	Suggested Agenda.....	9
	FORM 1 – Initial MIT Meeting Record	10
	FORM 2 – MIT Assigned Roles and Specialist/Support Roles	12
	FORM 3 – Incident Assessment Record	14
	FORM 4 - MIT Objectives	16
	FORM 5 – Incident Response Strategy.....	17
7.0	Subsequent Meetings of the Major Incident Team.....	19
8.0	Location of Key Information relating to hazardous areas	20
8.1	Departments and Hazards by Building.....	20
9.0	Records of Events and Closure Report.....	20
9.1	Records of Events	20
9.2	Closure Report.....	20

Abbreviations Used in this Document

BCP	Business Continuity Plan
BT	British Telecom
DARO	Development and Alumni Relations Office
HR	Human Resources
IRT	Incident Response Team
IS	Information services
ISD	Information Services Division
MIP	Major Incident Plan
MIT	Major Incident Team
PG	Post Graduate
SMS	Short Message Service
UCL	University College London
UG	Under Graduate
UoL	University of London

1.0 Introduction

Many problems are dealt with on a day-to-day basis but a major disruption could come from different sources, any of which could damage UCL. The overall framework is:

- if a problem can be dealt with at departmental level, it should be. If not, it should be escalated:
- if a problem can be dealt with at divisional/faculty level, it should be. If not, it should be escalated:

The potential commonly occurring disruptions that could happen within an organisation:

- Loss of equipment / IT / telecommunications
- Loss of staff and key skills, either temporarily or permanently (e.g. flu, weather, health and safety incidents, industrial action)
- Loss of utility (power, water, steam, gas)
- Denial of site (e.g. lifts, stairwells, corridors etc.) or structural damage (e.g. fire, natural disaster)
- Supply chain disruption.

Note that UCL employees are under an obligation to be trained in the use of the Major Incident Plan (MIP), and are under an obligation to notify for consideration any change which may affect its contents. Any correspondence requesting changes in the plan should be addressed to the Head of Safety.

2.0 Aim of the Major Incident Plan (MIP)

2.1 Purpose of the MIP

The purpose of the Major Incident Plan is to increase resilience for the critical activities of UCL at the time of a major incident or disaster. The MIP is written to deal with generic hazards and threats and to enable UCL to perform its functions in relation to a wide range of possible scenarios eg flood, act of terrorism, loss of building(s), loss of staff, loss of services (gas, power, water) etc. The primary purpose in dealing with a major incident is, immediately, to ensure the safety and well-being of UCL's staff/students/visitors and, thereafter, to ensure recovery as early as possible from the effects of the incident. Other specific plans eg for pandemic influenza, have also been prepared which relate to a particular emergency or a particular kind of emergency. Critical activities identified for UCL:

- Recruitment and admission of students
- UG and PG teaching
- Research (Contract, Grant supported, Other)

In addition to the specific requirements of each activity, all the activities are dependent on UCL's ability to provide common core infrastructure and process support involving dependencies on key personnel and organisations internal and external to UCL.

2.2 UCL's Major Incident Team (MIT)

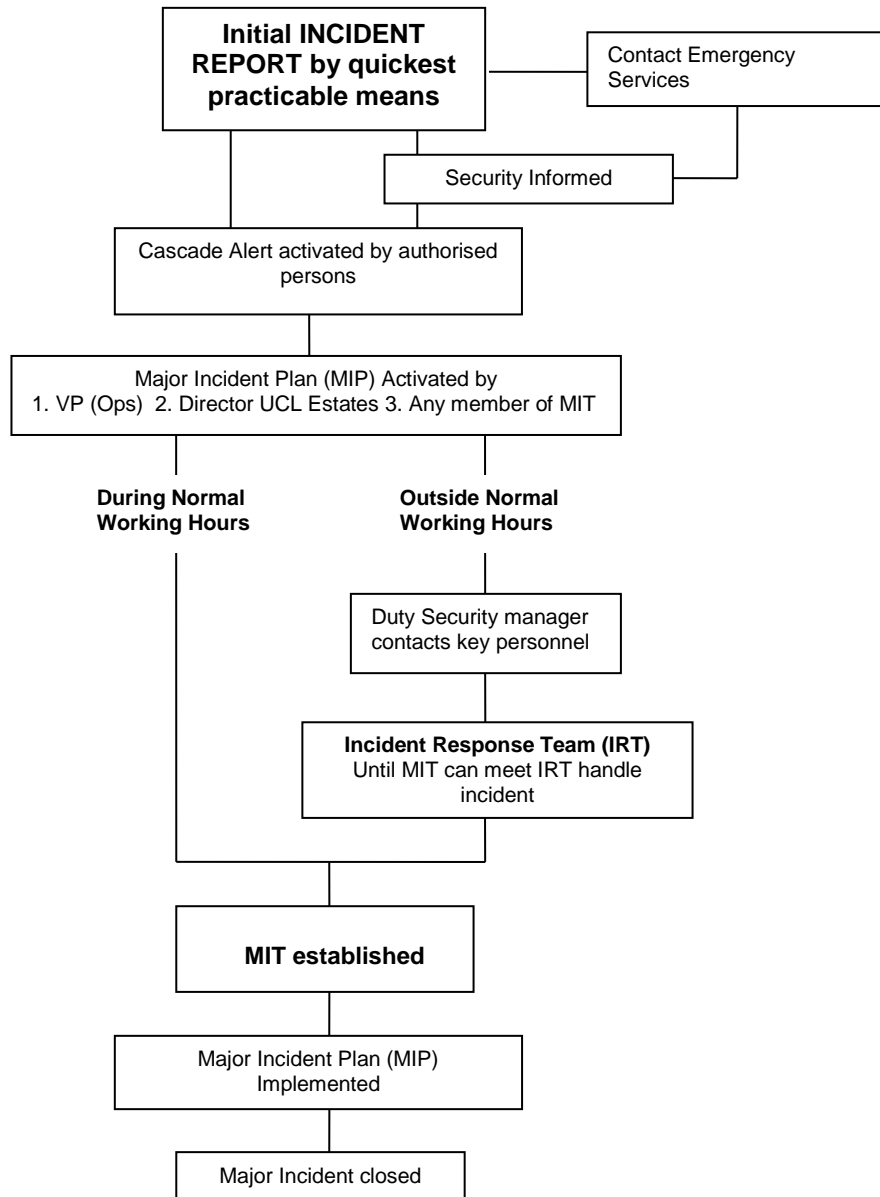
UCL's Major Incident Team is responsible for the initial evaluation and the overall handling within UCL of a major emergency, incident or threat. The Vice-Provost (Operations) is Convenor of the Major Incident Team. In his absence, the Deputy, the Director of Estates, will act as Convenor.

The Director, UCL Estates (or a nominated representative) would be the senior UCL Officer who, with a colleague from UCL Estates, would join the Joint Emergency Services Control Centre, to take decisions on behalf of UCL and to report back to the Major Incident Team.

The Provost and President has confirmed that in the event of a major incident, in circumstances where the Provost and President is not available for consultation, the Vice-Provost (Operations) has authority to exercise the full range of the Provost and President's powers to take any action deemed necessary to secure the recovery of UCL from the incident. Where the Vice-Provost (Operations) is unable to lead the team for whatever reason, then he/she has the authority to delegate to a suitable deputy.

3.0 Activation of the Major Incident Plan (MIP)

If an incident occurs on a site, attempts to manage the incident locally will be enacted in the first instance. The incident should be initially reported via existing mechanisms (e.g. Security, Facilities Helpdesk, IS Helpdesk,). Should these attempts not resolve the issue, a SENIOR MEMBER OF STAFF FROM THE AFFECTED AREA (as designated in the Departmental and Divisional Business Continuity Plans) is to contact the persons identified in 3.1 below who will assess whether the incident can be managed locally or whether it is significant enough for further activation. The flow chart gives details of the process:



4.0 Incident Definitions and Assessment Criteria

4.1 Incident Assessment

Find out **the basics**: the who, what, why, where, when and how (5 'W's' and H). **Form 3** should be used to document these. The following aspects should be included in the early incident assessment:

- Expected duration of the acute phase of the incident:
- Health and safety:
- Impact on people (welfare, infectious disease, transport):
 - Ascertain whether critical staff members are available
 - Establish whether additional members of suitably skilled employees can be redeployed
 - Could additional short-term staff help – are call-out lists of any use? - Liaise with temporary staffing (and then alternative providers) for the provision of temporary staffing resources
 - Consider deployment of staff to assist in secondary issues arising as a result of the disruption (e.g. lift trap-ins, flooding on site, moving gas cylinders).
- Impact on buildings and property (accessibility, status, critical systems, security, cordons):
- Impact on IT and communications (critical systems, network, telephony, communications):
- Impact on teaching operations (process peaks, resources, rooms):
- Impact on research operations (process peaks, resources, facilities):
- Impact on business support operations (process peaks, regulatory regime, environmental considerations):
- Possible future outcomes.

Consider the need to ascertain and implement **alternative systems** (e.g. IT, telephones, use of hand-held radios, runners). If appropriate, reassign work tasks accordingly or redeploy temporarily

- Think – who needs to know about the disruption – communicate it – which areas have priority?
- Can non-affected areas have a re-designated function for essential functions?
- Could other services (e.g. local authority, police, fire and rescue) help?
- How soon could suppliers (e.g. gas suppliers, BT) help? Are there alternative suppliers?

Long-scale incidents, including pandemic and other large-scale infectious disease activity, will demand the answer to large-scale management questions:

- Can we keep all activities going?
- Have we got the resources?
- Are we in charge or is another agency?
- How soon can we get back to normal?

Any given situation may require two types of response – a less flexible and more rehearsed mode for those elements which are more fixed and predictable, and a more flexible approach for less predictable or novel elements.

4.2 Criteria for activation of the plan

Event	Definition
Incident	<p>An event, whether expected or unexpected, that disrupts the normal course of business operations for a short length of time and which will be dealt with by operational management.</p> <ul style="list-style-type: none"> Standard UCL and Departmental procedures will apply. <p>The department heads will manage the response as a business as usual problem, possibly using functional recovery plans.</p>
Serious Incident	<p>An event that causes serious disruption to business operations including those involving major injury or serious illness and which requires a focused effort and diversion of resources from within the functional area or from another functional area.</p> <p>The response will be managed by the Incident Response Team of the Department or Division.</p> <ul style="list-style-type: none"> Instruct the Heads of affected Department/Faculty or equivalent of their ownership of the situation to activate their BCP, standby to assist. Ensure department heads monitor the situation and report potential escalation triggers to the MIT.
Major Incident	<p>A major incident, which would involve UCL's Major Incident Team, would be an unexpected event, or series of events, which significantly affects UCL's students, staff or operations and where normal management arrangements are unlikely to be sufficient. The event may have resulted in multiple major injuries or death and it will or could have a fundamental impact on UCL's reputation, personnel, operating or research capability through financial consequences or serious regulatory breach. A major incident will require an immediate response.</p> <ul style="list-style-type: none"> Instruct MIT personnel to convene at the [Major Incident Control Room – see Section 5]. Follow the process in this Plan (section 3 onwards). <p>The Major Incident Team (MIT) will manage the response.</p>

5.0 Control Rooms

5.1 Major Incident Control Rooms

UCL has three designated control rooms each containing a lockable facility for the storage of a range of equipment and documentation for use by the Major Incident Team during an incident.

5.2 Activation of the Control Room

Following the decision to activate the MIP, the Head of Safety (or deputy) and MIT secretary will:

- i. attend the Control Room to oversee the setting up of the room. Any meetings in place using the room will be immediately terminated
- ii. contact the list of volunteers to staff the Control Room

5.3 Emergency Call Centre

If required an Emergency Call Centre will be set up and designated trained volunteers will run the Centre.

6.0 Initial MIT Meeting Agenda

The minutes and actions of the initial meeting to be recorded USING FORM 1.

Suggested Agenda

1. Allocation of MIT roles and responsibilities

RECORD USING FORM 2

Confirm the membership of the MIT.

Assign individuals to roles.

If required, identify appropriate persons to send to Multi Agency Gold and Silver Incident Controls.

Ensure individuals understand the role to which they have been assigned.

Ensure individuals review and update their own Action Plan.

2. Initial incident assessment and analysis of the situation

RECORD USING FORM 3

Examine the scope of the issue and potential implications.

Scrutinise incident updates and scale of damage.

Evaluate short-term impact of the incident.

Ascertain what support mechanisms may be needed for all stakeholders and when access to the incident site may be available.

3. Confirm ownership of the incident

Is the incident of sufficient impact or potential impact to require full MIT involvement.

4. Define objectives of the MIT

RECORD USING FORM 4

What are the priorities at this time?

What parameters and constraints does the MIT need to work within?

What are the possible long-term effects of the incident?

Determine MIT objectives to align with above.

5. Develop a response strategy

RECORD USING FORM 5

A number of strategies may emerge during the initial stages but agreement has to be reached on determining the most appropriate to adopt. Updates from the Communications Team will be important, as will the agreement and approval of press statements and releases.

Recommendations for reallocation and relocation should be considered.

6. Agree actions arising and next meeting

Actions will be based on the adopted strategy and the MIT Action Checklists.

The checklists may also be used to record some of the key actions taken. The MIT may decide to arrange meetings of smaller sub-sets of people which may happen prior to the next full MIT meeting.

Determine the schedule of meetings and roster for Major Incident Team and the time and date of the next meeting

FORM 1 - Initial MIT Meeting Record

FORM 1 – Initial MIT Meeting Record

The Initial MIT Meeting was conducted on (date / time)

.....

At (location).....

.....

Named individuals involved in the Initial Meeting were:

MIT Leader	
.....
.....
.....
.....
.....
.....
.....

AGENDA	NOTES
1. Initial assessment	
2. Confirm ownership	
3. Define objectives	
4. Allocation of responsibilities	
5. Response strategy	
6. Agree Actions	

continued on next page

FORM 1 - Initial MIT Meeting Record

ACTION	OWNER	PRIORITY or Timescale

Date of next meeting:
Time:
Venue:

FORM 2 – MIT ASSIGNED ROLES

FORM 2 – MIT Assigned Roles and Specialist/Support Roles

Role	Description	Primary Lead	Person assigned*
MIT Lead	Responsible for all actions of the MIT in fulfilling their objectives and to maintain overall executive control and co-ordinate actions.	Vice Provost – ops	
Finance Lead	Responsible for all aspects of business recovery continuity and for the planning aspects for establishing business recovery.	Director of Finance	
Communications Lead	Responsible for all information releases and to manage internal communications. Also to monitor press/media coverage and take action as required	Director of Communications	
People Lead	Responsible for receiving advice from the senior staff member in the affected area about the status of the people affected, including their identities, such that HR can then provide next of kin details to the emergency services. Responsible for appointing liaison officers (see note below).	Director of HR with Director of Registry and Academic Services and Dean of Students Welfare	
Information and Technology Lead	Responsible for all aspects involving Information Technology or Information Services.	Director of Information Services	
Estates Lead	Responsible for all estates infrastructure issues and checking the damaged location, dealing with Security and the Emergency Services and ensure welfare of individuals eg basic facilities, water, hot food	Director of UCL Estates	
Safety Lead	Responsible for ensuring health and safety of all persons at any affected locations is considered and to assess and provide expert advice in relation to specific hazards	Head of Safety	
Operations Lead	Relevant to incident and scale they will be involved in Logistics and supply coordination and make initial judgements based on availability and reliability of information from these sources	Head of Facilities Services	
Secretary Lead	Coordinate all administration functions and the Control Cell volunteers	PA to Vice Provost (Operations)	
<i>Other as needed</i>			

A generic list of key actions is shown in the **Lead Action Checklists documents**. Circumstances will determine how the major incident will be handled but it would be expected to involve the initial actions set out. This is not meant as a definitive list but one which should be applied in most major incident scenarios.

FORM 2 – MIT ASSIGNED ROLES

Note: UCL Liaison Officer Role Guidance.

A liaison officer is basically the "go-between" or "middle man" for two entities, whether those entities are the public or other interested third parties and UCL, or a group monitoring incident status such as the MIT and the groups of people who have been affected. Generally, they are used to achieve the best utilization of resources or employment of services of one organization by another. For incident or disaster management, liaison officers serve as the primary contact for agencies responding to the situation. One of the first duties of a liaison officer when regarding an incident is to check in with the MIT. Common duties of a liaison officer in any capacity include:

1. Establish and foster good relationship with affected internal and external parties.
2. Help communicate, share information and coordinate activities between groups
3. Liaise with other disciplines for coordination efforts
4. Deal with any "people" issues in a positive manner, respond to complaints and investigate and address concerns
5. Support children and families with regard to personal difficulties and signpost as appropriate.
6. work to establish accommodation needs.
7. Assist in the preparation of reports

FORM 3 – INCIDENT ASSESSMENT RECORD

FORM 3 – Incident Assessment Record

Brief summary of information available.

May include:

- People status (casualties etc.)
- Health and safety
- Building and property status
- Business operations status
- Security status
- Details of emergency service cordons
- IT & communications status
- Transport status
- Possible outcomes

Additional information obtained.

May include:

- Emergency service contacts
- Current operational issues
- Regulatory requirements
- Financial considerations

Source of information:

continued on next page.

FORM 3 – INCIDENT ASSESSMENT RECORD

Expected duration of the acute phase of the incident:*
Health and safety:*
Impact on people (welfare, transport):*
Impact on buildings and property (security, cordons):*
Impact on IT and communications (network, telephony):*
Impact on business operations (process peaks, regulatory regime):*
Possible future outcomes:*

FORM 4 – MIT OBJECTIVES

Core Objectives

The following objectives are the core MIT objectives that will be applied to any major incident. Depending on the type of incident however these should be reviewed to ensure they are prioritised appropriately and specific details applied where necessary. The form should be reviewed throughout the incident to ensure they are still appropriate and therefore driving the right thinking and actions. The core objectives are to:

1. Ensure the wellbeing of staff, students and visitors
2. Minimise disruption and loss to teaching
3. Minimise disruption and loss to research.
4. Maintain the University's reputation.
5. Secure assets and infrastructure
6. Inform staff, students and stakeholders

FORM 4 - MIT Objectives

Ensure objectives are Specific, Measurable, Achievable, Realistic and Time framed.		
#	Objective	Deadline
1		
2		
3		
4		
5		
6		

If possible, place in a visible position on the wall, flipchart or whiteboard.

FORM 5 – INCIDENT RESPONSE STRATEGY

FORM 5 – Incident Response Strategy

Options available to the MIT

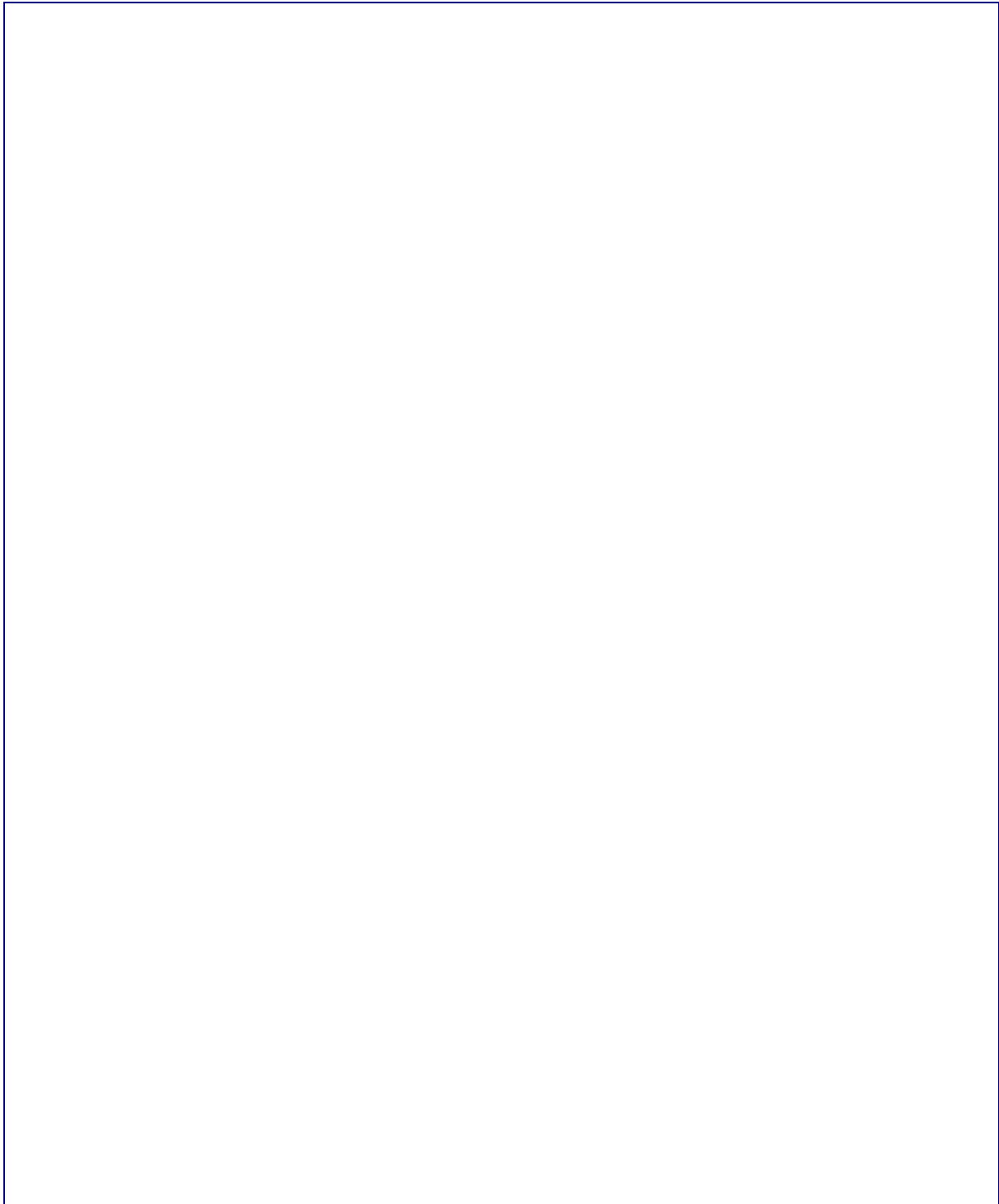
Insert a description of available strategic response options, together with commentary regarding the benefits and drawbacks of each.

#	Description	
1		
	Benefits	Drawbacks
#	Description	
2		
	Benefits	Drawbacks
#	Description	
3		
	Benefits	Drawbacks

FORM 5 – INCIDENT RESPONSE STRATEGY ctd.

Selected Incident Response Strategy

Based upon the information available to the MIT the following recovery strategy will be initiated:



7.0 Subsequent Meetings of the Major Incident Team

Depending on the scale of the incident, the MIT should consider asking a Liaison Officer from the emergency services to join the Team in the Control Room. During the first few days following a major incident the Team will assemble at the Control Room (or elsewhere) at 8.00 am unless otherwise agreed. The agenda for the meetings (to be issued by the Secretary) should be:

- (1) Receiving a status report of eg. Injuries, Cause, Damage, Possible further damage/-containment, Business impact assessment
- (2) Examination of the scope of the issue and potential implications and review objectives of MIT. Are priorities right? Have parameters and constraints changed?
- (3) Actions to manage damage including need for any specialist assistance, eg Damage Management Company, Computer Installation Company, Mobile Telephone exchange
- (4) Actions required on Public Relations and Communications (Internal and External)
- (5) Actions for Business Continuity including outline assessment of additional space requirements and identification of any additional personnel required for business continuity purposes
- (6) Review the response strategy
- (7) Agree new actions and next meeting.

8.0 Location of Key Information relating to hazardous areas

8.1 *Departments and Hazards by Building*

UCL has put in place systems to record both the occupying Departments and the key hazards for each UCL Building which can be accessed by the MIT to assist in the management of a major incident.

9.0 Records of Events and Closure Report

9.1 *Records of Events*

The Safety Lead will ensure through the Control Room volunteers that where possible the events are recorded through the UCL incident reporting and investigation system. All MIT members have access to this through the UCL Intranet from the Safety Services homepage and through a specific log in process on the internet should the UCL systems be unavailable.

9.2 *Closure Report*

The following should be provided as part of the Closure report:

- Background
- Description of the Incident including, if relevant the timeline
- Description of the Recovery procedures
- Description of the Communications process
- Services Affected by the Incident: duration and number of people affected
- Statement on Lessons Learned: Issue, Actions taken, Lesson Learned, Outstanding Actions