1 Overview

The purpose of these guidelines is to establish an orderly process for planning the procedures followed by managers at the University of Dundee in the event of an unanticipated crisis situation.

What is a Crisis?

A crisis is any situation which materially

Affects the ability of the University to operate.

Threatens the health of students, staff or the general public.

Affects our relationship with the wider community.

Jeopardises the integrity of our research.

Brings the reputation, business practices or policies of the University into public question.

A crisis is distinguished from day to day business problems by its order of magnitude. It is best characterised as an unstable time or state of affairs whose outcome will make a significant difference to the University’s activities. Examples of hazards and vulnerabilities are shown at Annex A.

Crisis Categorisation

It is important to categorise crises in terms of seriousness, in order that an appropriate level of management response is given.

Level 1

A situation which is self contained and manageable within the capabilities of the local disaster recovery plans, and attracts only local media attention. Examples could include minor fires or minor injuries to employees or students.

Level 2

A situation which is likely to attract national media interest or which involves investigation by regulatory bodies. Examples could include serious emergencies involving casualties, loss of life, significant damage to property, potential environmental harm, major disputes with staff or the local community.

Level 3

A situation which poses a threat to the University’s global reputation, and requires immediate corporate involvement. Examples could include serious casualties, extensive loss of life, or widespread environmental pollution.

See section 6 for guidance on activating the Crisis Management Organisation.
These guidelines should be read in conjunction with the following:

School Disaster Recovery Plans
Central Services Disaster Recovery Plans
College Risk Registers
Health and Safety Policy
Security Policy

2 **Values and Judgement**

There is no manual or plan written that can cover every conceivable contingency in a crisis situation, nor one that can substitute for the exercise of good judgement by those concerned with its management.

At the foundation of this document lie the values of the University. As an institution, we will always act responsibly in every decision, every judgement, and every public statement issued at a time of crisis.

If we act irresponsibly or exercise poor judgement in terms of our obligations to staff, students or the general public, then no written procedures will be sufficient to maintain our credibility and good name.

A key factor in any crisis is the management of the external ‘face’ of the University, and so it is vital that in order to maintain our credibility we speak with one voice. This is the role of External Relations, through which all interface with the outside world should be arranged.

3 **Priorities**

In any crisis situation the priorities of the University remain constant. They are:

1. To assure the health and safety of staff, students, visitors and the general public.
2. To protect the integrity of the University’s name and public reputation.
3. To maintain the normal operations of the University.

No other consideration, either business or financial, will be allowed to affect the meeting of these priorities.

4 **Objectives**

The objectives of these guidelines are to:

1. Be prepared for any crisis situation. Isolate it from normal University operations.
2. Rapidly capture, evaluate and act upon information.
3. Involve those people who are essential to crisis resolution, regardless of normal reporting relationships.
4. Speak with one voice, ensuring that all stakeholders are addressed.
5. Keep people informed and avoid duplication of effort.
Crisis Scenarios

The most likely crisis scenarios that will confront the University are grouped under the following three categories.

Operational Emergencies

Instigated by any unanticipated situation that hinders, or has the potential to hinder, the ability of the University to operate its business in a normal manner. This group includes:

- Disasters such as fires, explosions, major storms, earthquakes, acts of war, or other catastrophic events that seriously threaten or injure employees or damage facilities.
- Environmental emergencies, such as inadvertent or alleged pollution of air, water, or land as a result of University activities.
- Labour actions, such as strikes or walk outs that may severely disrupt operations.
- Employee/student emergencies, such as serious injury or accidental death of an employee/student that is likely to receive media coverage unfavourable to the University.
- Breakdown of the computer/communication systems or invasion of the system by an outsider or employee/student.
- A serious accident involving the transport of University goods which causes injury to the public or damage to the environment.
- Serious damage to property and injury to staff as a result of a deliberate act of sabotage by an employee/student or outside party.

Security Emergencies

Instigated by existing or potential threats to University materials, facilities, employees, students or patients. This group includes:

- Reports of deliberate contamination of University material during production or transport.
- Extortion threats that involve claims of material tampering.
- Criminal acts committed on University property by employees/students or non-employees, or crimes such as theft, fraud, or embezzlement, which victimise the University.
- Kidnapping threats or actual kidnapping of University employees.

Public Relations Emergencies

Any unanticipated event or situation, including those in the other groups above, that the University becomes aware of due to media reports or from an initial contact by a reporter.
Other events capable of attracting media attention damaging to the University include:

- Serious accusations, criticism, charges of boycott threats made against the University by consumer and activist groups, government officials, or other public figures.
- Sudden resignation, death, or impairment of a key senior executive.
- Rumours involving the University’s operations or employees.
- Filing (or threatened filing) of significant lawsuits against the University by an employee/student or outside party.

6 Crisis Management Organisation

As can be seen from the crisis scenarios in the previous section, there needs to be a coordination of teams and functions to ensure effective management of the crisis.

The University Crisis Management Team will take the lead responsibility for all Level 2 and Level 3 crises. For a Level 1 crisis the lead responsibility will normally be taken by the appropriate Head of College or the University Secretary.

The Emergency Response Team will consist of available members of Estates (including Security), Safety Services, ICS and College(s). The present call-out arrangements for out-of-hours attendance will continue to apply.

There are two main teams that will be activated when a crisis has occurred or is about to occur. These are the Emergency Response Team and the University Crisis Management Team.

Emergency Response Team

Under the leadership of a senior manager this team will be deployed whenever there is a serious safety emergency on the Campus involving fire, or a toxic spillage, or any other safety emergency.

The prime responsibility of this team is to ensure the safety of all employees/students, visitors and the local community, and to return the Campus to a safe operating condition as soon as practical. The team will activate outside emergency services as appropriate and will keep staff informed of the progress being made in dealing with the emergency.

All staff on site, irrespective of status, are obligated to adhere to the instructions given by the senior manager during an emergency, and to obey the site safety rules or any other instructions issued.

The team will advise the University Crisis Management Team of the extent of the emergency, specifically in respect of casualties, toxic release and estimate of damage to buildings.

University Crisis Management Team

The University Crisis Management Team will be activated by any of the standing members of the team, once they have established that a crisis has occurred or is about to occur.

The prime responsibilities of the team are to:

- Direct the activities of the HR Crisis Management Team to ensure families and next of kin are supported.
Ensure that there is a single point of contact for the communication of key information both internally and externally.

Ensure that the Senior Management Team is kept informed as to the seriousness of the situation and to execute their policy decisions.

Implement the appropriate Disaster Recovery Plan(s).

Guide and support the Emergency Response Team as necessary.

The Crisis Management Team should include representatives of:

♦ Principal’s Office
♦ Human Resources
♦ Estates
♦ Safety Services
♦ External Relations
♦ ICS
♦ College(s)

A Crisis Management Flow Chart is attached at Annex B.

7 Crisis Preparedness

The University Risk Register has identified the most critical business risks. Plans for these critical functions will be put in place to ensure that any operational interruption is not significant.

The University Crisis Management Team depends upon local managers for critical information in a crisis. To manage a crisis successfully it is important to be prepared by knowing what options the College/Department has to continue its function in the event of a loss of critical people or critical assets.

Therefore each College/departmental head should make an assessment of these critical factors and where possible put in place measures to minimise the likelihood of losing the function of the critical asset. If the cost of these measures is significant and outside of normal operating budgets, a risk assessment should be carried out for Executive Management decision.

Where it is not possible to implement preventative measures, the College/Department should consider contingency plans. If the cost of contingency plans is outside normal operating budgets, risk assessments should be carried out for Executive Management decision.

Local Plans

Each College/Department should prepare a local plan to include the following:

♦ Nominated senior member of staff (with deputy) for each building to manage initial actions required.
♦ List of key staff with office, home, mobile telephone and fax numbers. (These should be available in more than one place, both paper copy and electronic.)

♦ List of essential suppliers, service companies, specialist resources and regulators with names and contact information. (These should be available in more than one place, both paper and electronic.)

♦ Key contingency arrangements to recover the function.

These should be updated on a periodic basis, but at least every six months.

For clarification, the role of the senior member of staff is to:

♦ Take appropriate immediate measures and assess the extent of the crisis.

♦ Ensure health and safety of personnel.

♦ Call out Emergency Response Team / Emergency Services.

♦ Concentrate resources on specific actions to control crisis if possible.

♦ Act on delegated responsibility until other levels of command are established.

♦ Brief Crisis Management Team when convened.
# EXAMPLES OF HAZARDS & VULNERABILITIES

## PEOPLE
- Death or serious injury
- Communicated threats
- Workplace violence
- Labour concern/layoffs
- Scandal or indictment

## GOVERNMENTAL
- Licence disputes
- Negative government/regulatory communication
- Product recalls/failures
- Regulatory inspections resulting in warning letters

## CORPORATE GOVERNANCE
- Malfeasance
- Fraud/scandal
- Loss of leadership
- Legal liability
- Intellectual property theft and/or loss

## SECURITY
- Political instability
- International conflict
- Terrorist act
- Employee kidnapping
- Grass roots demonstration/Protest
- Computer tampering
- Industrial espionage
- Extortion threat
- Security leak or problem
- Sabotage
- Product theft/loss
- Vandalism

## OPERATIONAL
- Hazardous/nuclear materials incident
- Fire/explosion
- Environmental issues
- Transportation accident
- Large scale IT failure
- Loss of utilities
- Competitive misinformation
- Legal indictment
- Major equipment malfunction

## PRODUCT
- Product contamination
- Quality issues
- Counterfeit product
- Administration of incorrect dose of radioactivity
- Clinical adverse event or patient death
- Use/diversion of hazardous materials for unlawful purposes

## NATURAL DISASTERS
- Floods
- Hurricanes/tornadoes/storms/earthquakes

## PUBLIC RELATIONS
- Community issues
- National/local media issues
- Damaging rumours
- False/anonymous accusations
- Discrimination accusations
- Clinical adverse event
CRISIS MANAGEMENT FLOW CHART

CRISIS

Local Manager

Senior Officer In Building

Emergency Response Plan

Crisis Management Leader

HR Crisis Team

University Crisis Management Team

External Relations Communications Team

Estates Crisis Management Team

IT Crisis Management Team