Australian Institute for
Disaster Resilience

AUSTRALIAN DISASTER RESILIENCE HANDBOOK COLLECTION

Incident Management Case Studies

Companion to *Incident Management* (2023)

This document complements *Incident Management* (2023).

They are available as an online resource on the Australian Disaster Resilience Knowledge Hub:
www.knowledge.aidr.org.au/resources/handbook-incident-management

Attribution

Contact

Enquiries regarding the content and any use of this document are welcome at:

The Australian Institute for Disaster Resilience
Level 1, 340 Albert Street, East Melbourne Vic 3002

Telephone +61 (0) 3 9419 2388

Email **enquiries@aidr.org.au**

Contents

List of Figures

1.   Australian Antarctic Division

Martin Boyle, Governance and Risk Manager

The Australian Antarctic Division (AAD) operates in the extremely remote, inhospitable, and dangerous environmental conditions of the Southern Ocean, sub-Antarctic, and Antarctic. It also operates sites in Tasmania, as a Division of the Department of Agriculture, Water and Environment (DAWE). The AAD operates complex long-range ship and air logistics operations. The Antarctic continent is extremely isolated with limited access for extended periods of time. A wide range of risks are planned for such as critical infrastructure failure, supply chain disruption, medical emergencies, aviation, maritime and field accidents, fire and severe weather events.

Emergency planning takes an all-hazards approach. The emergency planning framework includes an overarching Incident Management Manual, Emergency Management and Control Plan, Business Continuity Plans, Supporting Plans and Standard Operating Procedures.

The emergency response structure is multi-tiered. The operational AAD Incident Management Team (IMT) is based in Hobart. This links in with the DAWE strategic IMT based in Canberra. A tactical IMT is also put in place on stations and voyages. Emergency Response Teams can deploy to emergencies on station and in the field. The operational IMT comprises of a functional structure which is modelled on AIIMS and includes specialist advisers relevant to the event. Liaison Officers from other agencies such as the Australian Maritime Safety Authority, Bureau of Meteorology and Australian Defence Force may form part of the team.

Staff undertake a range of training and exercises. Many expeditioners deploying to the Antarctic are trained in emergency response skills such as wilderness first aid, search and rescue, fire-fighting and incident management. A few will also receive training to assist the Station Medical Officer as part of a Lay Surgical Team. Training is also conducted in the AIIMS approach for Incident Management Team members. Regular exercises are conducted to ensure staff are ready for an emergency event and include a wide range of external stakeholders. Exercises cover disruption to critical services, medical emergencies on station, as well as aviation, maritime and field accidents.

Emergency operations can require extensive liaison with a range of organisations including Australian Maritime Safety Authority, Australian Defence Force, Royal Hobart Hospital, Tasmanian Fire Service, Tasmanian Police, Australian Federal Police, and other National Antarctic Programs. Relationships are maintained with these organisations through joint planning, training and exercising.

To enable effective coordination of an event that can include liaison with many agencies across vast distances an Incident Management Control Room is on standby at the AAD Headquarters. A back-up site is available at an alternate location if required.

An example of an emergency event was a fire on board the MPV Everest while returning to Hobart from an Antarctic resupply voyage to Mawson station with 109 people on board in April 2021. The remote operation involved a fire-fighting response managed by the crew, a tactical IMT on the ship, an operational IMT at the AAD HQ, and a strategic IMT established in Canberra. The operational IMT at AAD HQ developed incident management plans, managed family liaison, engaged with the media, and worked in partnership with multiple organisations. The vessel was able to safely make it to Freemantle.

2.   Australian Broadcasting Corporation

Colin Muller, Business Resilience Manager

The Australian Broadcasting Corporation (ABC) has a responsibility under the Charter in the ABC Act 1983 to provide information and entertainment to the Australian public both in Australia and abroad.

The ABC faces many threats that can disrupt transmission of content to audiences. These threats include disruption to the supply chain (e.g. electricity, broadcast towers, internet), technology issues and COVID-19. The threats are broken into vectors so regardless of the threat it is the consequences that are managed. Planning has been undertaken to develop contingency options to manage consequences.

The ABC Incident Management Plan is the primary document used at all levels from the Strategic Executive IMT, the Tactical State IMT to the Operational Site IMT. At all levels there may be specialist IMTs that utilise specific incident frameworks. An example is the Technology Team who use their Major Incident Management System for cyber incidents and IT technology outage responses and disaster recovery.

The Executive IMT is the Managing Director and Directors of the corporate divisions. Once the immediate threat has passed the executive will transition responsibility to the Recovery IMT led by the Resilience Team and made up of Divisional subject matter experts. The same is replicated at each level of tactical and operational incident management.
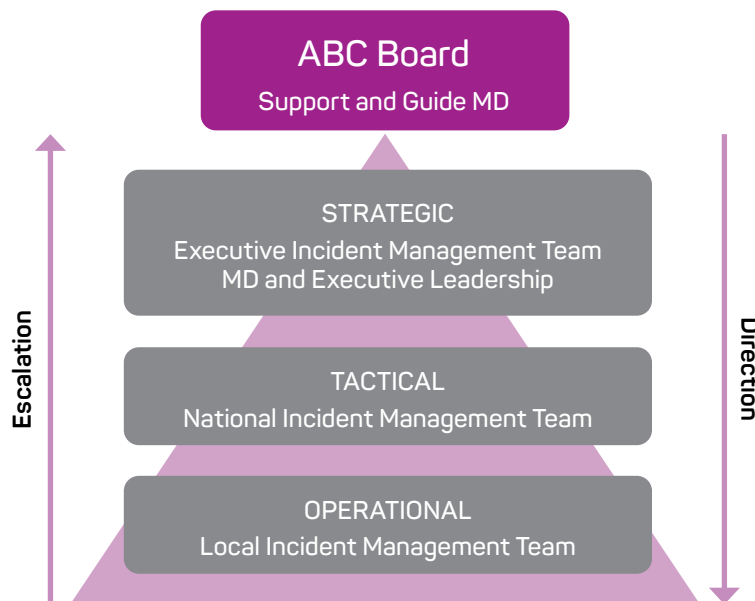

Figure 1. Levels of incident management at the ABC

When staff are onboarded at the ABC they complete an "Introduction to Incident Management" online course. Resilience training is conducted with State Executive Teams annually. This training includes revision of IMT principles and an exercise scenario. The Resilience Team is available to all parts of the corporation to facilitate specific exercises to improve disruption response capabilities.

Exercises are conducted where internal and external teams collaborate on content productions, in these situations a specialist IMT model is developed to ensure a coordinated response capability is available across businesses should a disruption scenario occur.

Activation of IMTs can be from top-down or bottom-up. The ABC has predetermined levels for Business as Usual (BAU), unusual business where the team can still contain the disruption and IMT activation when escalation is required. Escalation triggers are when the capability and capacity of an IMT has been exceeded and additional support is required. The Executive IMT remains informed of all IMT activities and will activate for incidents that may damage brand and reputation.

The ABC Resilience Team links to Emergency Services through the Trusted Information Sharing Network (TISN), the Critical Infrastructure Council (CIC), and the contacts established through the Emergency Broadcasting Team. These integrate with Emergency Communication Groups in State based Emergency Management Committees and Emergency Services.

Business Continuity

Emergency Management Plans

Incident Management Team

Business Continuity Plans

Production Disaster Recovery Plans

Size and Scope of Activities

Preparedness

- Planning
- Reduce Risk
- Build Resilience
- Exercising

Disruptive Event

Timeline

IT Continuity

IT Disaster Recovery Plans

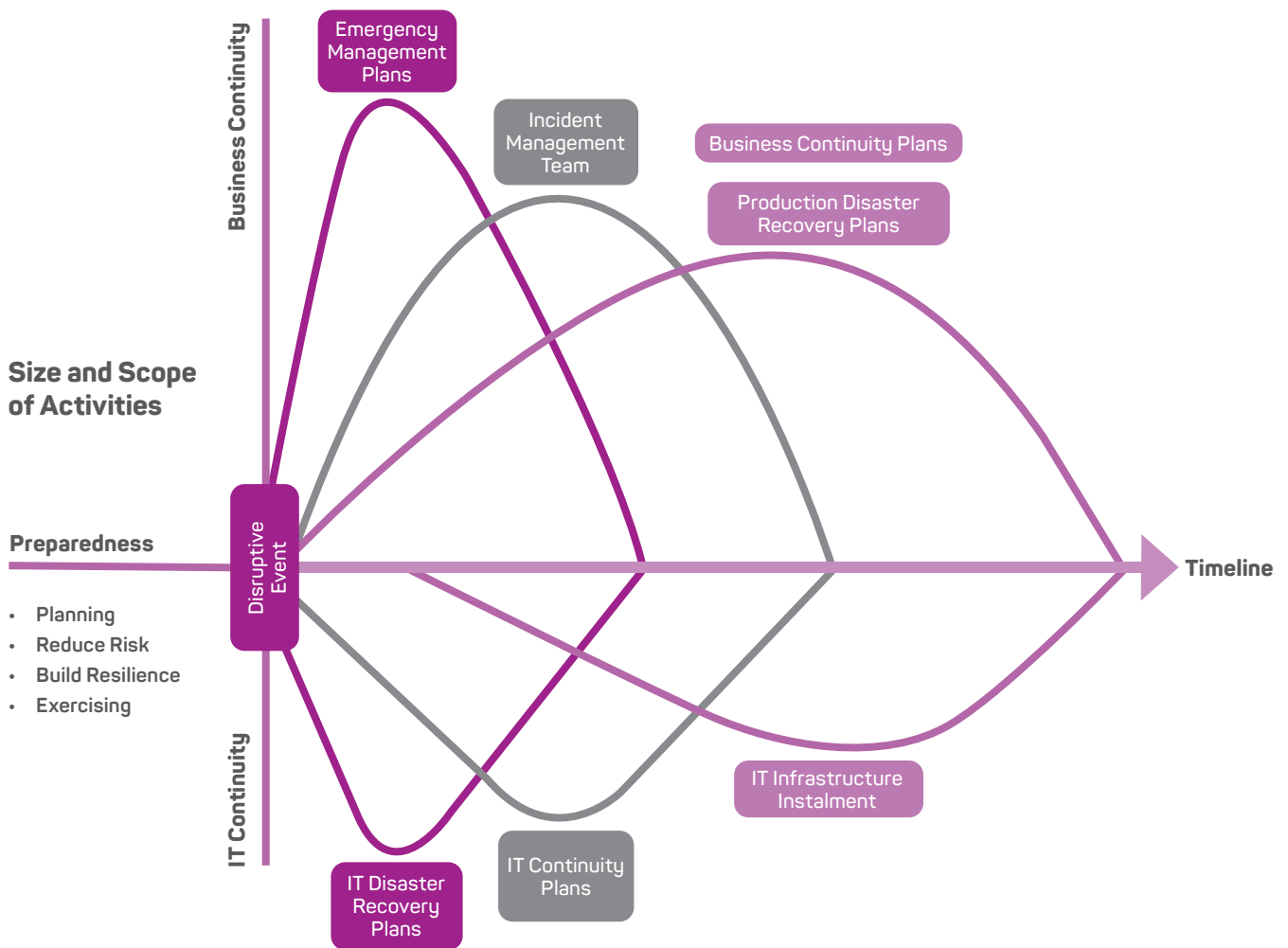**IT Continuity Plans**

IT Infrastructure Instalment

Figure 2. Lifecycle of a disruptive event

3. Hepburn Shire Council

Travis Dixon, Emergency Management Officer

Hepburn Shire Council is a small regional council located in Victoria's Central Highlands. The Shire's risk profile comes from a unique natural environment making emergency management planning critical. Amendments made to the Emergency Management Act 2013 under Victoria's reformed emergency management planning arrangements places additional obligations on Council to have an effective emergency management capability.

The all-hazards approach to emergency management is ingrained in Hepburn Shire's emergency management framework. Hepburn Shire has comprehensive Business Continuity Plans for all essential business functions. Hepburn Shire has a complex and evolving risk-profile, with key hazards including fire, flood, hazardous materials, pandemic and severe weather events. Plans exist for each prevailing hazard, and Hepburn Shire Council, alongside the Municipal Emergency Management Planning Committee, is committed to maintaining all plans to ensure best practice is adhered to.

Pre-incident planning occurs at three levels, municipal, regional and state level. Hepburn Shire is represented on all relevant municipal and regional emergency management committees, allowing for organisational input into high-level planning arrangements. Access to these committees enables Hepburn Shire to implement strategic action items to align with evolving requirements and lead planning arrangements where local government is the subject matter expert, e.g. facilitating immediate relief during emergencies.

Hepburn Shire has a large Emergency Management Team, consisting of over twenty staff members. This enables the organisation to second the appropriate staff member(s) into an inter-agency Emergency Management Team. All Emergency Management Team members are provided with training relevant to their roles within the Emergency Management Team and their likely roles within any inter-agency Incident Management Team. Training is facilitated by the Council's Emergency Management Officer and supported by external agency partners e.g. Victoria Police and the Victoria State Emergency Service. In addition, staff are routinely involved in municipal and regional emergency management exercises. These exercises typically occur on an annual basis with consideration given to the prevailing risks.

Incident management systems are well established within the Council and are reinforced through the Victorian Emergency Management Framework. Notification of Hepburn Shire requirement for involvement in an emergency is received via the Municipal Emergency Management Officer, who facilitates the primary emergency coordination function. In combination with the control agency, the Municipal Emergency Management Officer will determine the scope of Hepburn Shire's support for the emergency event and begin the process of resource management, supported by other staff members from Hepburn Shire as required. Dependent on the significance and demands of the emergency, Hepburn Shire may choose to stand up a Municipal Coordination Centre to allocate resources in liaison with the control agency or Incident Control Centre.

The Australasian Inter-service Incident Management System (AIIMS) is the fundamental system that underpins inter-agency engagement during an emergency. Emergency management planning is facilitated through the Municipal and Regional Emergency Management Planning Committees. Due to on-going staff continuity challenges within both the municipality and the region, personal relationships continue to underpin effective emergency management practices within the area. Continuity of staffing also facilitates the development of new staff within the municipality and the region.

For the severe weather event in June 2021 a virtual Emergency Management Team was formed due to COVID-19 and access issues. The Emergency Management Team comprised senior staff, the Municipal Emergency Management Officer and the Municipal Recovery Manager. The Emergency Management Team used mutual aid from a neighbouring council to provide a Liaison Officer at the multi-agency Incident Control Centre for the duration of the event.

4. Icon Water

Guy Richardson, Manager, Business Continuity Co-ordinator

Icon Water is an operator of critical infrastructure, supplying essential water and sewerage services to the Canberra community and region. As a business, we operate under stringent service standards that oblige us to minimise disruptions to water and sewer services. Our regulators also impose emergency management requirements for a range of water quality, environmental, safety and security performance. Consequently, we have developed a robust risk-based approach to emergency and business continuity management.

Within the business we have adopted an all-hazards approach to holistically manage our emergency and business continuity risks. The risks we face include bushfires damaging our water catchments, asset failures, cyber intrusions, supply chain disruptions and pandemics. To manage these risks we undertake risk assessments to better understand the criticality of our assets; to identify the critical skills needed to run the business and to understand the supply chains necessary to sustain our operations, such as power or chemicals. Appropriate controls are then designed and implemented to prevent disruptions and to ensure the business can quickly restore our should an incident occur. To provide a consistent approach to response and recovery planning, we have adopted the Australasian Inter-service Incident Management System (AIIMS) as our underpinning emergency management doctrine.

Our pre-incident planning occurs within three tiers of plans. We maintain two Tier 1 whole-of-business plans. The Water Supply and Sewerage Emergency Plan (response) and the Business Continuity Plan (recovery and restoration). These Tier 1 plans provide a framework to link AIIMS doctrine to our water and wastewater operations. Our Tier 2 functional-level Response and Recovery Plans focus on key functions such as water treatment and supply, ICT services, and sewage treatment. While our Tier 3 Tactical Plans address specific risks, such as dam failure or bushfire. This suite of plans enables us to implement flexible and adaptable incident response and recovery planning based on a common doctrine and shared understanding of risk. In addition, our use of AIIMS allows us to coordinate our operations with the Emergency Services and other agencies.

When responding to an emergency incident or disruptive event, the business will establish an Incident Management Teams (IMT). The IMT will be formed from trained staff nominated to fill AIIMS functions such as Incident Controller, Planning, Operations, Logistics and Public Information. To prepare for these roles, identified

Icon Water staff will undertake a range of training including AIIMS courses, briefings on business continuity and emergency management plans, ACT emergency management training and Level 2 Incident Controller courses. We also conduct regular exercises internally and with external partners such as the ACT and NSW Emergency Services.

The business uses Noggin OCA as our incident management system, providing us with shared situational awareness; a collaborative planning tool; operational tasking environment; and evidentiary quality recording of the IMT's response and recovery actions. Noggin is also used to develop, publish and distribute Situation Reports (SitReps) and Incident Action Plans (IAPs). In 2020, our use of Noggin was identified as a water-industry best practice, by the Water Services Association of Australia.

We have identified facilities on standby to be used as an Incident Management Centre, with appropriate equipment prepared for activation. For longer duration events such as the 2020 Bushfires and COVID-19 Pandemic, we use the Joint Military Appreciation Process as the basis for developing of campaign plans, focused on achievement of enduring or long-term objectives.

During an incident, communication with our key stakeholders is critical. This includes the community, industry, health care providers, regulators and Emergency Services. As part of our preparation for potential incidents, we have pre-drafted approved messages and talking points, which are maintained for a range of likely contingencies. During an incident, the release of these messages is approved by the Incident Controller and recorded in Noggin.

We participate in a range of ACT and regional NSW emergency management and resilience forums including Security and Emergency Senior Officers Group, the Security and Emergency Management Policy Group and the ACT Critical Infrastructure Working Group, which are used build partnerships before an incident occurs. We are also a member of the national Water Services Sector Group which provides a forum to discuss water-sector resilience issues and coordinates access to mutual aid from other water utilities in Australia.

After Action Reviews, debriefs and post-incident reviews are conducted after incidents and contribute to continuous improvement in incident management capability.

A recent example of the deployment of Icon Water's incident management arrangements

In January 2020, we established an Incident Management Team (IMT) to prepare the business to respond to the increasing threat of bushfires in the Canberra region.

During the period, the IMT was stood up on a number of occasions to implement plans to protect Icon Water's assets from the approaching fire threat. As part of the planning process, the IMT deployed liaison officers to the ACT Emergency Services Agency's Headquarters, provided advice on water catchment protection requirements to bushfire planners and coordinated operations with the Emergency Services.

When the Ororal bushfire entered the ACT, we commenced response and recovery planning, focussing on protecting Icon Water's staff, ensuring the continued supply of water and waste water services to the community, protecting Icon Water assets as part of the ACT's coordinated bushfire response planning and supporting the ACT and NSW's coordinated response to the fire. Once the immediate threat had passed, the IMT focussed on assessing the damage to Icon Water's assets, in cooperation with other ACT agencies; minimising the post-fire threat to the drinking water supply; and restoration of the bulk water catchments.

The response to the 2020 bushfires demonstrated Icon Water's incident management arrangements were effectively integrated with a whole-of-government response to a natural disaster.

5. Telstra

Paul Kubik, Executive, Incident Management Operations, Operations Security & Enablement, Networks & IT

Rowan Kemp, Principal, Major Incident Management

Telstra operates critical infrastructure across the country to connect Australians to the local and global community. These services include 000, transmission of emergency broadcast data, and the functioning of radio networks used by Emergency Services. Telstra services connect Australians in remote, regional and urban locations enabling critical services such as banking, train movements, entertainment streaming and school classes. Telstra operates a complex system interfacing with a range of other telecommunications providers domestically and globally.

Telstra services are affected by a wide range of natural hazards including floods, bushfires, storms, rodent plagues, accidents such as cable excavations, electricity disruption, equipment failure and cyber security risks.

To maintain continuity of services in the face of these wide-ranging challenges, Telstra has a comprehensive Crisis Management Framework. A Crisis Management Plan is in place supported by Major Incident Management (MIM) and a comprehensive set of company-wide Business Continuity Plans. In the lead-up to high hazard periods such as the northern Australia wet season specific preparedness plans are implemented to ensure service continuity.

In response to a significant event, a Crisis Management Team (CMT) is established at a CEO and Senior Executive level across the company including Communications, Government Relations, and Human Resources. The CMT focus on strategic issues for the organisation. At an operational level, Incident Management Teams staffed by senior managers lead responses to events in specific locations or network situations. Tactically, MIM groups focus on specific business disruptions bringing their expertise to resolving disruptions and restoring services. Team members are prenominated and trained for their roles. The vast geographical area covered by

Telstra means virtual operations are a necessity. As disruptive events are a day-to-day business issue for telecommunications companies, Telstra has a range of routine and monitoring reports that equate to Situation Reports used by Emergency Services. These reports combined with live systems monitoring from Telstra's Global Operations Centre, enables situational awareness when emergencies occur. During an emergency response, operational planning focuses on stabilising, restoring, and normalising telecommunication services.

Exercises are conducted across the business ranging from Business Continuity Plan trials through to Crisis Management Team simulations to ensure a high level of readiness. Telstra connects with the emergency management sector through participation in the Australian Government's Trusted Information Sharing Network, telecommunication functional groups within state disaster planning groups, and through Telstra's Regional Emergency Service Liaison Officers.

Telstra supports response and recovery operations across Australia with portable telecommunications infrastructure that can establish temporary mobile telephony capacity and the provision of satellite telephones. The September 2019 to March 2020 bushfire season affected Telstra services across multiple states. Telstra also established liaison representatives with state-based Emergency Services. Telstra services are dependent on electricity supplies so liaising and working with energy suppliers was critical. Telstra staff worked with agencies in Emergency Operations Centres gaining access to sites to conduct damage assessments, ensuring the safety of staff, installing generators and carrying out repairs. This synergy and collaboration with these agencies was a key to success.

6. University of Tasmania

Matt Smith, Director, Facilities Management

Neil Chappell, Manager, Operational Resilience

The University of Tasmania (UTAS) operates multiple campuses in Tasmania and a campus in Rozelle, NSW. Student numbers exceed 30,000, with students coming from around the world. Staff and students undertake projects in multiple countries as well as aboard ocean-going vessels. All these factors combine to create a wide range of risks.

The University has a well-developed approach to managing emergency events. The overarching approach to managing a crisis is supported by the Crisis Management and Recovery Plan (CMRP) which include,

twelve key hazards, floods, bushfires, cyber threats, pandemics, active armed offender and supply chain disruptions. A comprehensive Business Continuity Planning program with more than 200 plans ensures all critical business functions have contingency arrangements. Comprehensive procedures have been developed for key roles to ensure all plans are readily deployed.

UTAS manages crisis events through a two-tier structure involving a Strategic Crisis Management Team and Tactical Crisis Management Team.
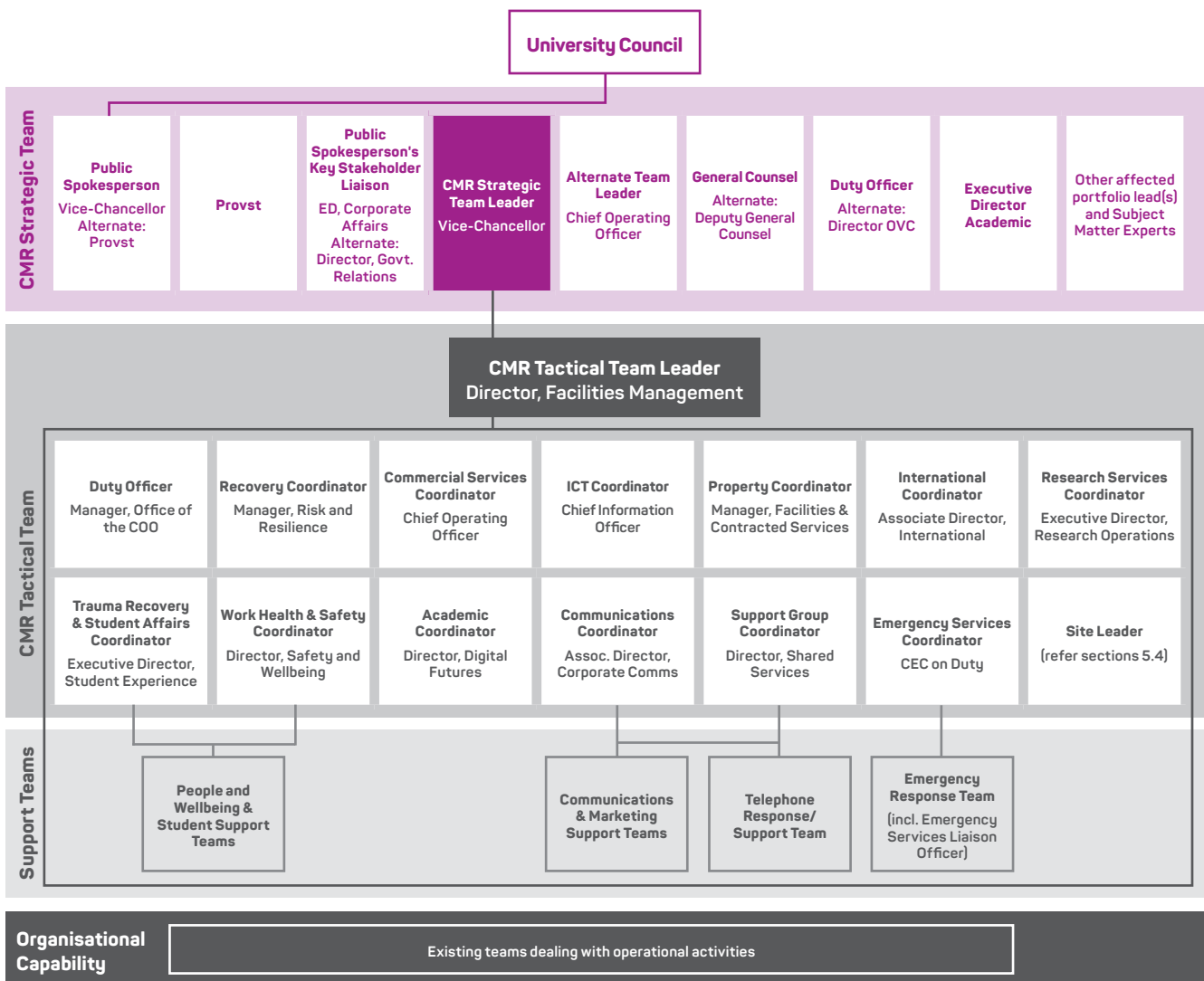

Figure 3. Crisis management team structure

The Strategic Crisis Management and Recovery Team is formed from the University's Executive lead by the Vice Chancellor and includes specialists such as General Counsel. The Tactical Crisis Management and Recovery Team includes Senior Managers from functional areas within the University. The composition of these teams will vary depending on the hazard or threat. All roles have alternate staff identified to fill them. The Plans document clear roles and responsibilities for Crisis Management Team members.

Crisis Management Team members take part in a number of discussion and simulation exercises each year. Exercises range from short, focused discussion exercises to extended half day simulations requiring a full Crisis Management Team activation. Exercises have been conducted with external Emergency Services to improve the understanding of operational approaches between participants. Exercises have included response to and recovery from cyber security issues, floods and pandemics.

Training and planning focusses on establishing short, medium and long-term objectives for the operation, and monitoring achievement of them. Training is also conducted on the incident management tools utilised by Strategic and Tactical Teams. A comprehensive messaging software program enables urgent information to be sent to all staff and students. The management of actual or virtual operations is facilitated using Microsoft Teams. This enables participation by key staff from any location around the globe in an event. Teams is used to store critical information, sharing of information to build situational awareness and communication between Team members.

To manage crisis events, UTAS maintains relationships with local Emergency Services, Tasmania Health, Australian Government agencies and International SOS for response to overseas incidents.

Recent examples where the crisis arrangements have been activated included issuing early alert messaging for forecast flood events and responding to cyber security issues. The longest running event has been COVID-19, where the Crisis Management and Recovery Team met multiple times a week during high-risk periods and have maintained weekly meetings to monitor developments with the ongoing pandemic situation.

7. Woolworths

Matt Riley, Head of Group Security and Resilience

Woolworths Group operates in Australia and New Zealand supplied through a global supply chain. Woolworths brands include Woolworths Supermarkets, Big W and Countdown (NZ). Supporting the business is a nation-wide complex storage and distribution network called Primary Connect. Operating over such a large area means most days present interruption challenges. Interruptions to business can occur due to a range of hazards including cyclones, floods, bushfires, supply chain issues, cyber incidents, and pandemics.

To manage the risk of interruption, Woolworths has an overarching Business Resilience Policy supported by a Framework that establishes standards for Security Risk Management, Incident Management, Emergency Management and Business Continuity Management.

Operationally, the deployment of these plans occurs through a three-tier structure. At a corporate level the Crisis Management Team looks at the strategic impacts of an event for the business providing strategic guidance. The next level of operational leadership is the Emergency Management Teams who coordinate across a Business Unit or Division. The on-site action at a store or warehouse level is undertaken by Emergency Response activities.

To ensure constant situational awareness Woolworths operates an Incident Management Centre 24x7. The Centre uses Noggin V2 software as a common operating platform.

- The Incident Management Centre: monitors alarms and can access cameras in every location
- collects, analyses and distributes hazard information
- issues readiness alerts to key leaders and store managers
- monitors operational issues across the business.

Woolworths Group Security and Resilience team supports or guides the conduct of training and exercises to ensure everyone knows how to perform their role in an interruption event.

Woolworths connects with Emergency Services at a national, state and local level. Nationally, Woolworths is a member of the National Supermarkets Taskforce and the Food and Grocery Sector Group in the Trusted Information Sharing Network. Woolworths also has links with key emergency service commanders in each state and territory and will work locally with Emergency Services when required.

The program Support Through Australian Natural Disasters (STAND) is a mechanism through which Woolworths supports The Salvation Army, Rural Aid, Lifeline, Foodbank and OzHarvest enabling them to provide relief to communities, both during a disaster and throughout recovery.

In August 2019 Woolworths received briefings from The Bureau of Meteorology and Fire Services about the heightened bushfire risk forecast for the summer ahead. Woolworths Group Security and Resilience team accelerated preparations for the upcoming bushfire season conducting briefings and exercises for Emergency Management Team members. When the bushfires hit the NSW South coast towns were cut off and local staff were busy protecting their homes. Woolworths Emergency Management Teams arranged to transport volunteer teams from other stores to operate affected stores and establish food hubs to ensure continuity of supplies. Liaison was established with Emergency Services to enable trucks carrying food supplies and essential needs to get through under police escort.

8. Yarra Trams

Iskandar Zulkarnain, Senior Advisor, Business Resilience

Light rail operations are subject to many hazards. Operational control systems, power supply and other supply chain arrangements, events on the tram network and in surrounding areas, all have the potential impact passengers, disrupt network services and damage the reputation of the organisation.

As an operator of critical infrastructure in the transport sector, critical transport services Yarra Trams is required by legislation to have comprehensive emergency management arrangements in place. Yarra Trams approach to emergency management incorporates planned activities in prevention, preparedness, response and recovery that contribute to the organisation's overall resilience to disruptive events. This approach is detailed in an overarching Crisis and Emergency Management Plan (CEMP), which identifies:

- emergency risks at Yarra Trams and how they are managed
- the roles and responsibilities of the Emergency Management Response Team
- processes for declaring, escalating, responding to and recovering from an emergency event.

Aligned to the CEMP, Business Continuity Plans (BCPs) are in place at an organisational level and for each of its nine business functions. BCPs identify critical business activities across each function and contingency arrangements to ensure Yarra Trams continues to deliver critical services before, during and after an emergency event.

Depending on the scale and extent of impact, incidents are managed at three levels tactical, operational and strategic. At the tactical level: on-site incident response is typically carried out locally by impacted functions through reactive teams. These teams are supported by an Incident Management Team at the operational level, whose role is to coordinate response and manage immediate safety and operational impacts, continuity and recovery. When activated, a Crisis Management Team comprising a Crisis Director and Yarra Trams senior executives, manages the incident at a strategic level, focusing on wider issues impacting the organisation.
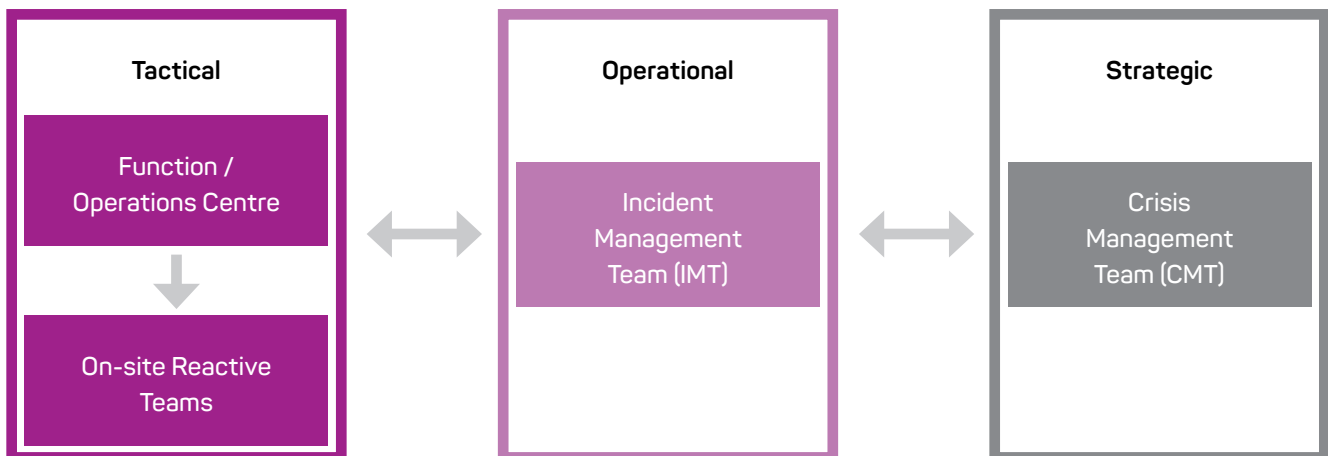

Figure 4. Incident management levels at Yarra Trams

IMT and CMT members undertake biannual training in response procedures and to develop effective incident management skills. The training is supported by opportunities to participate in emergency management exercises to validate plans and processes. Several of these exercises take place every year and may involve participation from external agencies such as the Victorian Department of Transport, other public transport operators and Emergency Services.

To support effective incident management, Yarra Trams maintains a dedicated 24/7 crisis room in a central location as well as a virtual crisis room (Microsoft Teams) to enable remote participation. The IMT and CMT make use of a range of incident management tools, such as role cards, action checklists, briefing guides, a stakeholder matrix and integrated situation report and action Plan. The IMT uses the SOLAR matrix to review specific impacts related to Safety, Operations, Legal, Assets and Reputation, while the CMT has an extended considerations checklist with additional focus areas related to finance, people and regulations.

Yarra Trams considers it vitally important to develop strong relationships with other agencies before any emergency event, to ensure an effective and coordinated response. Yarra Trams maintains close working relationships with the Victorian Department of Transport, other public transport operators and Emergency Services. These relationships support the sharing of plans, good practices and initiatives, as well as joint participation in emergency exercises and Transport Sector Resilience Network activities.

An example of a recent incident impacting Yarra Trams was a disruption to the power supply impacting multiple tram routes at two separate locations in January 2021. Due to the extent of operational impacts and potential for further disruptions to other parts of the tram network, a Level 3 incident was declared, which led to the activation of both the Incident and Crisis Management Teams.