

## Incident Management Procedure

<b>Enabling Policy Statement; Executive Owner; Approval Route:</b>	Our Operations - Chief Operating Officer - Operations Committee
<b>Is the Procedure for internal use only (Non- disclosable) ?</b>	Disclosable
<b>Associated Policy Statements:</b>	Our Safety – Chief Operating Officer
<b>Authorised Owner:</b>	Director of Campus Operations
<b>Authorised Co-ordinator:</b>	Head of Governance Services
<b>Effective date:</b>	July 2025
<b>Due date for full review:</b>	July 2028
<b>Sub documentation:</b>	N/A

### Approval History

Version	Reason for review	Approval Route	Date
1.0	Review and transition to new procedure	Operations Committee Executive Board	24/06/25 26/06/25

## 1. Purpose

- 1.1. As a large and complex organisation spread across a limited number of co-located sites, the University of Surrey operations are susceptible to business interruption, both due to internal incidents, and external influences
- 1.2. The purpose of the incident management procedure is *“To ensure the University's ability to maintain critical operations and services during and after disruptive incidents, safeguarding the safety and health of our community, protecting our assets, and preserving our academic mission”*
- 1.3. The Office for Students condition of registration B2 states that each provider “must take all reasonable steps to ensure ... each cohort of students registered on each higher education course receives resources and support which are sufficient for the purpose of ensuring a high-quality academic experience for those students”
- 1.4. The University also has contractual obligations via research contracts, lease agreements, franchise agreements, and more to deliver a continued level of service
- 1.5. The complexity of the estate, and of the organisation; combined with the diversity of university members and visitors give a possibility of unplanned serious incidents occurring during each academic year; the breadth of which fall outside normal planned mitigations.
- 1.6. This procedure outlines the approach to
  - Managing serious incidents as they occur
  - Business continuity, and impact analysis
  - Training and mitigation to ensure the management of incidents is competent and appropriate.
  - record keeping for information pertinent to incident management
  - Distribution of roles and responsibilities relating to differing types of incidents
  - Infrastructure that will be used to support this procedure
  - Governance, accountability, and continuous improvement of incident management
- 1.7. The primary purpose of this incident management procedure is to ensure the ongoing business of the University continues uninterrupted.

## 2. Scope and Exceptions to the Procedure

- 2.1. This procedure will apply across all UK University of Surrey, and subsidiary sites, but not apply to any international operations.
- 2.2. This procedure will extend to tenants and third parties only insofar as communications and lease agreements provide an obligation.

## 3. Definitions and Terminology

**Alert** – direct communication (e.g. phone call) at that immediate point in time

**Campus manager** – Campus safety staff member responsible for campus safety shift

**CCTV** – Campus CCTV system, local and cloud

**Control room** – operating centre for Campus Safety

**Cortech** – Computerised fire and intruder alarm system

**Duty** – Current rota University duty manager, first escalation point from the control room

**Gold** – Decisions required of the Vice-Chancellor

**Inform** – passive communication, e.g. email or Teams message.

**Incident** - an incident for the purposes of incident management is an unplanned event which interrupts the operations of the University beyond the expectations of business as usual. For example: AV in a lecture theatre failing is not an incident, complete sustained power loss in the LT block is. Loss of heating in a University Court house is not an incident, total failure of the district heating system is. It is possible that a Silver incident may not be a physical incident, and as such not originate in the control room. A silver incident is:

- Unplanned (excepting pre-warned incidents, such as red weather warnings).
- Beyond business as usual.
- Requiring multiple staff and/or department assistance, beyond standard management oversight.
- Expected to be minuted, and with a completion report.

**KIM** – The security incident logging platform

**Nimbus** – Computerised alarm reporting system

**Silver lead** – current rota University staff, second escalation point from Duty

**Silver** – convened group by Silver Lead responsible for managing an incident

## 4. Procedural Principles

### 4.1. General procedure for Incident Management

4.1.1. The Incident Management System follows a simple escalation process, depending on the severity and reach of the incident.

4.1.2. All incidents will be reported initially to the Campus Safety control room who will take initial action.

4.1.2.1. There are very limited exceptions to this initial escalation, with incidents originating from beyond the physical estate, or from off campus.

4.1.3. All incidents will be recorded on KIM, this will be the primary incident log location.

4.1.4. Most incidents will be managed by the Campus Manager, or deputy, with liaison when necessary, with colleagues from Estates, Faculties, or IT Services. The departments involved will depend on the nature of the incident. There should be a general regard to containment of incident information.

4.1.5. The Campus Manager will be responsible for escalating an incident to Duty.

4.1.6. The Campus Manager will be responsible for informing but not alerting comms when necessary.

4.1.7. Duty will be responsible for escalating an incident to Silver Lead, and appropriate duty contacts either immediately, or during next office hour availability.

4.1.8. For incidents of sufficient magnitude and severity, silver lead will convene a Silver group meeting with the assistance of Duty.

4.1.9. Gold approval will be required for major Silver actions, such as campus closure.

4.1.10. Silver lead will decide when an incident is closed.

#### 4.2. Silver

4.2.1. Each week there shall be a designated Silver lead, a member of University staff of grade Level 7.

4.2.2. Silver leads will require an induction to this procedure and their role prior to taking the position on the rota.

4.2.3. Silver leads will decide, in consultation with Duty, whether or not to convene a Silver.

4.2.4. Membership of Silver will be as determined by the Silver lead, and appropriate to the incident to be managed. In addition:

4.2.4.1. It is normally expected that every Silver will have a comms representative

4.2.4.2. For incidents with expenditure and/or insurance implications, a representative from Finance should be included

4.2.5. All Silver meetings will as a minimum have attendance and decisions logged, circulated, and agreed. The preference will be for minuted meetings.

4.2.6. Some situations may require pre-emptive Silvers, e.g. Red weather warnings.

4.2.7. At the conclusion of a Silver incident, the Silver lead will take responsibility for the creation of a closure report, to be presented at the next Operations Committee. Any incident escalated to Gold will remain the responsibility for the Silver lead for closure report.

4.2.8. In the event of the designated Silver lead not available, the Director of Campus Operations will assume Silver lead.

#### 4.3. Gold

4.3.1. Gold is the authority of the Vice-Chancellor and President, and may be delegated to an acting VC.

4.3.2. Decisions requiring widespread campus disruption (beyond the incident itself), substantial unbudgeted expenditure (>£100,000), or possible regulatory breaches will require escalation to Gold.

4.3.3. Silver lead will assume responsibility for liaising with Gold.

#### 4.4. Incident Management System

4.4.1. Campus Safety control room, in conjunction with other professional service departments, will maintain a list of required information on:

- Buildings

- Rooms
- Activities
- Equipment
- People
- Alarms
- Access Control
- Additional Systems

4.4.2. It will be the responsibility of campus departments to ensure call out requirements, triggers, and contact details are maintained and current.

4.4.3. The incident management system must be able to provide the control room, Duty, and Silver, the required business impact information to manage any incident.

#### 4.5. Business Continuity and Business Impact Assessment

4.5.1. Faculty operations, Estates & Facilities, IT Services; will be responsible for completing and maintaining business impact assessments for high risk – high impact services and areas.

4.5.2. Faculty operations, Estates & Facilities, IT Services; will be responsible for the maintenance and testing of associated systems (e.g. generators, redundancy equipment) required to maintain business continuity. Logs of testing should be recorded in the Incident management system.

4.5.3. Faculty operations, Estates & Facilities, IT Services; shall maintain business continuity plans for high risk, high impact areas and operations.

#### 4.6. Scenario responses

4.6.1. The control room will maintain a file of agreed scenario responses for serious but possible incidents.

4.6.2. Scenario responses will be maintained by the Head of Campus Safety, with input from appropriate professional services leads.

### 5. Governance Requirements

#### 5.1. Implementation: Communication Plan

5.1.1. As an operational procedure, the limited number of staff who operate or are involved in this procedure will be briefed directly or will have had input to the procedure itself. For all other staff the most important part of the procedure is that the control room is the first point of call for incidents and that will be part of general staff and student induction as it currently is.

#### 5.2. Implementation: Training Plan

5.2.1. Silver leads will receive an induction from the Head of Campus Safety on the expectations and the requirements of this procedure.

5.2.2. The Head of Campus Safety will maintain a record of training for each Silver lead.

5.2.3. The staff comprising the duty team will meet quarterly to review incidents (including those not escalated to Silver) to ensure consistency of approach.

5.2.4. There will be a Silver training exercise annually, with all Silver leads, and duty staff to ensure consistency of approach.

### 5.3. Review

The procedure should be reviewed annually for the first two years, then every four years subsequently. The procedure will be reviewed at Operations Committee, and noted at Executive Board

### 5.4. Legislative Context and Higher Education Sector Guidance or Requirements

- OfS conditions of registration
- UUK / GuildHE accommodation code

### 5.5. Sustainability

This procedure has no environmental impact

## 6. Stakeholder Engagement and Equality Impact Assessment

6.1. Stakeholder Consultation was completed, as follows:

Stakeholder	Nature of Engagement	Request EB Approval (Y/N)	Date	Name of Contact
Governance			10/06/2025	Kelley Padley, Governance Officer
H&S			06/06/2025	Matt Purcell, Director of Health and Safety
Sustainability			19/05/2025	Sustainability group
Academic Freedom of Speech			19/05/2025	Abigail Bradbeer
Estates & Facilities			19/05/2025	Marco Holness
IT Services			19/05/2025	Jon Ward
FHMS			19/05/2025	Debbie Lawson
FEPS			19/05/2025	Claire Turner
FABSS			19/05/2025	Abigail Bradbeer
EDI			19/05/2025	Jo McCarthy-Holland
Silver Rota			28/05/2025	Silver Team Site
Communications			20/05/2025	Robert Blevin



## **Appendix 1**

### Scenario Examples

Death (Staff or Student)  
Utility Loss (total or local)  
Extreme Weather (Red or Amber)  
Fire  
Gas leak  
Health (mass infection / poisoning)  
Loss of building or area  
Loss of access routes  
Strikes  
Protests  
Encampments  
General security threat  
Major security threat  
National Event  
Off campus incident