



# General Instruction Phase 1

*Bay of Plenty District, July 2023*

**VERSION 1.0**

## Version Control

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# Overview

## Introduction

This General Instruction is for **Phase 1** of *Exercise Whakarauora Tangata*, which will be held in **July 2023** in the **Bay of Plenty**.

This general instruction augments, and should be read in conjunction with, the Exercise [Coordinating Instruction](#). For brevity, repetition of content from the Coordinating Instruction has been avoided where possible.

This document details the following issues for this phase of the Exercise:

- Purpose
- Scope
- Arrangements for exercise play
- Risk management, safety and security
- Specific exercise control and evaluator appointments
- Evaluation strategy
- Key Performance Indicators (KPIs)
- Communications during the exercise
- Public information arrangements
- Arrangements for observers
- Financial arrangements
- General admin and logistics

## Audience

All agencies, participants, observers and Exercise Control (Excon) staff of *Exercise Whakarauora Tangata Phase 1: Bay of Plenty* - Police District IMT and supporting CDEM welfare response.

This document will provide context for those from the Bay of Plenty Police District in planning for the **Phase 1, Level 0** functional SAREX. Specific instructions will be provided separately for those involved in the Level 0 exercise.

## Aim

The purpose of this exercise is to rehearse skills, processes and procedures for the district-level Incident Management Team, and test the efficacy of existing or new plans.

## Objectives of Phase

The overarching objectives for this phase are:

1. Validate notification/activation procedures of IMT in the context of a SAR incident
2. Clarify roles and responsibilities within and across agencies
3. Practice command and control frameworks
4. Evaluate current and developing plans to identify deficiencies
5. Evaluate capacity to meet SAR/NSS obligations
6. Practice and evaluate reconciliation processes

## Agency objectives

Agencies may create their own additional objectives to assess specific procedures or processes.

## Participant Responsibilities

Each **agency** is responsible for:

- Ensuring exercise players are identified and informed about their participation in the exercise;
- Ensuring plans and procedures are up to date, and communicated to relevant staff ahead of time;
- Ensuring all response equipment is ready and maintained in good working order;
- Advising Excon immediately of any changes in staff participation in the exercise.

Each **participant** is responsible for:

- Being personally ready to exercise;
- Ensuring any personal equipment is in good working order, and is brought to the exercise on the day;
- Understanding their role and responsibilities during a SAROP;
- Being familiar with relevant plans and procedures relating to SAR, MRO, or other supporting elements;
- Understanding CIMS and how it is applied within their agency;
- Reporting and escalating any safety or security concerns as soon as possible.

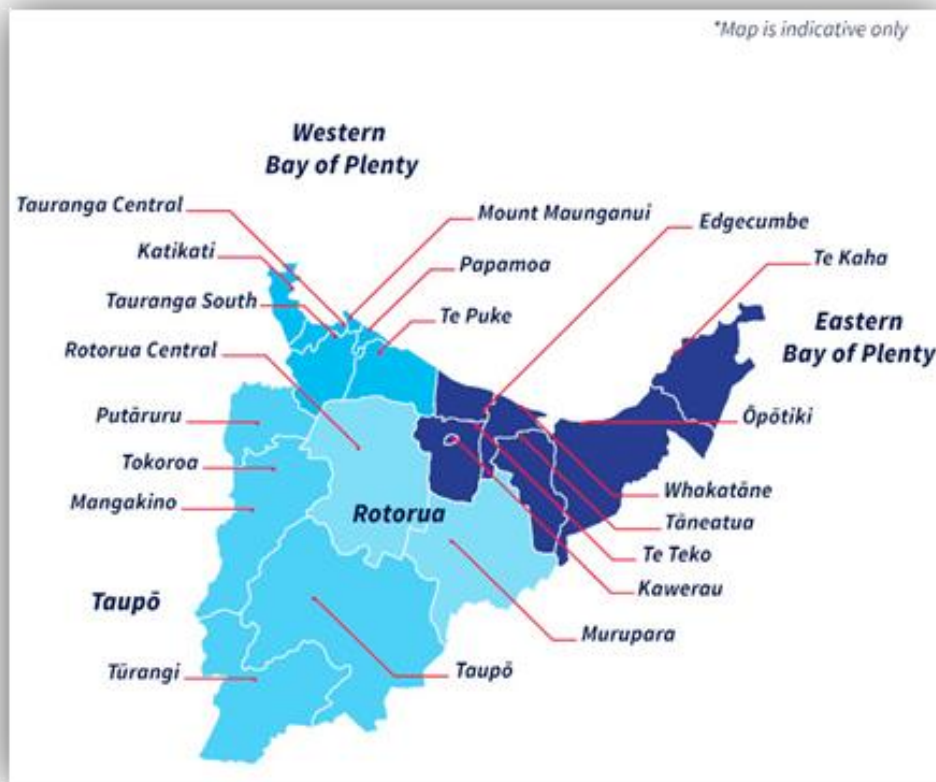
## Exercise Scenario and Format

### Location

Phase 1 will be conducted in the Bay of Plenty Police District.

The primary geographic focus of the scenario will be the marine approaches to Tauranga, and coastal areas of the Western Bay of Plenty.

Exercise play locations are detailed in the [Admin and Logistics section](#).



*Bay of Plenty Police District*

### Scenario Summary

The scenario for Exercise Whakarauora Tangata will centre around a boutique cruise ship floundering and possibly sinking on approach to a NZ port. The simulated ship will be approximately 350-400ft, with approximately 250 crew and passengers.

The situation presented will require coordination across SAR coordinating authorities, SAR agencies and supporting organisations; and will create a significant strain on the local and national resources. Additionally, the scenario will include complexities that create a truly nationally-significant incident, requiring national-level coordination and management.

Specifics of the scenario and its timeline will be held in confidence by the exercise planning team in order to allow participants to enjoy the most realistic experience possible, within the constraints of the exercise. Certain scenario specifics will be changed to suit the location of each exercise session.

## Exercise Format and Types

This will be a combined functional and desktop exercise. Players will be expected to follow their plans and procedures as they would in a real situation, except where informed otherwise.

The exercise will be played in real-time. However, some scenario time-jumps may be used to progress the scenario, and allow for a range of issues to be practiced by participants.

Some non-functional table-top mechanisms will be employed for some aspects of the exercise. Role-players will be used during the exercise to simulate non-playing agencies. Further details provided below.

## Exercise Scope

This exercise will focus on the following components:

1. Police District IMT support to a nationally significant Category II SAR, including:
  - Activation of local area Police SAR;
  - Escalation and set up of district IMT;
  - IMT support and coordination of local SAR and supplementary activities; and
2. Management of reconciliation and welfare support, including:
  - Activation of CDEM in support of Police SAR response;
  - Set up and management of local Welfare centre;
  - Triage and supporting reconciliation of rescued people.



# Exercise Play

## Simulation

Scenario *injects* will be provided to players to simulate real-life information. Players who receive injects should respond as per their procedures, based on the situation (e.g. perform an action, notify someone, log information, etc).

### *Injects*

All injects will be clearly designated as 'exercise only' or 'Exercise Whakarauora Tangata' to avoid confusion.

Injects may be received via:

- Hard copy memo;
- Briefing by an Excon facilitator;
- Emails;
- Phone calls – from Excon role-players;
- Systems messages (where agencies have software applications in use); and/or
- Simulated social/traditional media

### *Actions involving external parties*

If the situation requires players to interact with people or agencies that are not playing in the exercise (e.g. to arrange additional resources, request intelligence information, etc), then they should contact the appropriate role-player in Excon. Role players will provide dynamic responses in real time.

A contact list will be provided with details of role-players and simulated sources of information.

Players **must ensure that they Do Not:**

- make up inject answers,
- magically create resources or agency responses, or
- speed up times of response or activities.

## Admin and Logistics

### Exercise Locations

Function	Location
IMT	BOP CDEM ECC 1 Elizabeth Street Tauranga
Tauranga City Council EOC	46 Spring Street Tauranga
Hato Hone St John EOC	St John Tauranga Station 146 17th Ave West, Tauranga
Excon	1 Elizabeth Street Tauranga

### Dates

Date	Activity
4-5 July 2023	<ul style="list-style-type: none"><li>Excon planning - site visit</li></ul>
25 July 2023	<ul style="list-style-type: none"><li>Exon set-up and final planning</li><li>Excon &amp; evaluator general briefing</li></ul>
26 July 2023	<ul style="list-style-type: none"><li>Exercise Day + Hot debrief</li></ul>
27 July	<ul style="list-style-type: none"><li>Cross-agency cold debrief</li><li>Excon pack-up</li></ul>
3 August 2023	<ul style="list-style-type: none"><li>Evaluator reports due</li></ul>

### Agenda and Timings

26 July 2023

Time	Activity
05:45	Excon activates
06:00	Exercise commences
12:00	Lunch supplied*
16:00	Exercise concludes (EndEx) Packing up
16:15	Hot debriefs
17:00	Clean up
17:30	Exercise day ends.

\* **Note** - exercise will not stop for a lunch break. See [meals](#) below for more information.

### Dress Code

- Players are to wear appropriate uniform or clothing as per their standing orders or SOPs, as fits their role within the exercise scenario.
- Excon and evaluator staff are to wear uniforms or comfortable business casual attire.
- Any non-playing observers or visitors will be provided with high-vis/lanyard ID.

### Finance

- Costs of participating in the exercise sit with each agency.
- No operational expenses are expected to be incurred on the day of the exercise.

## Transport

### Players Transport

Players are to make their own way to the operating base, as per usual or as instructed on the day. Transportation from unit operating bases to exercise locations will be via agency vehicles. Personal vehicles are only to be used to travel to exercise locations if this is standard procedures.

### Excon, Evaluators and Observers Transport

- Locally based Excon and evaluators are to make their own way to their assigned location.
- Excon and evaluators from out of area will be provided with travel and accommodation itineraries.
- There will be no transport required between exercise sites.

### Meals

Tea, coffee and water will be available throughout the day.

Lunch, morning tea, and afternoon tea will be provided; however, exercise play will not stop for meals. Players may choose when to eat, and/or to roster their team accordingly.

All participants are encouraged to bring a water bottle and any additional snacks they may want.

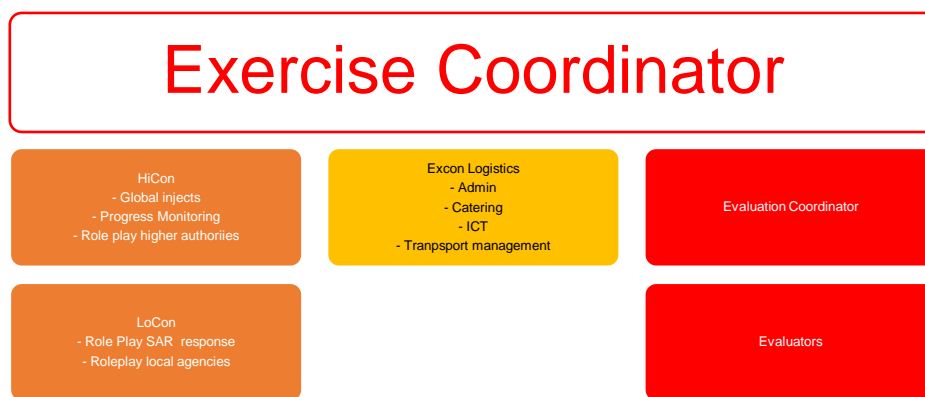
# Exercise Control

## Excon Structure

The exercise will be coordinated by an exercise control team (Excon), which will generally remain separated from players. Excon will:

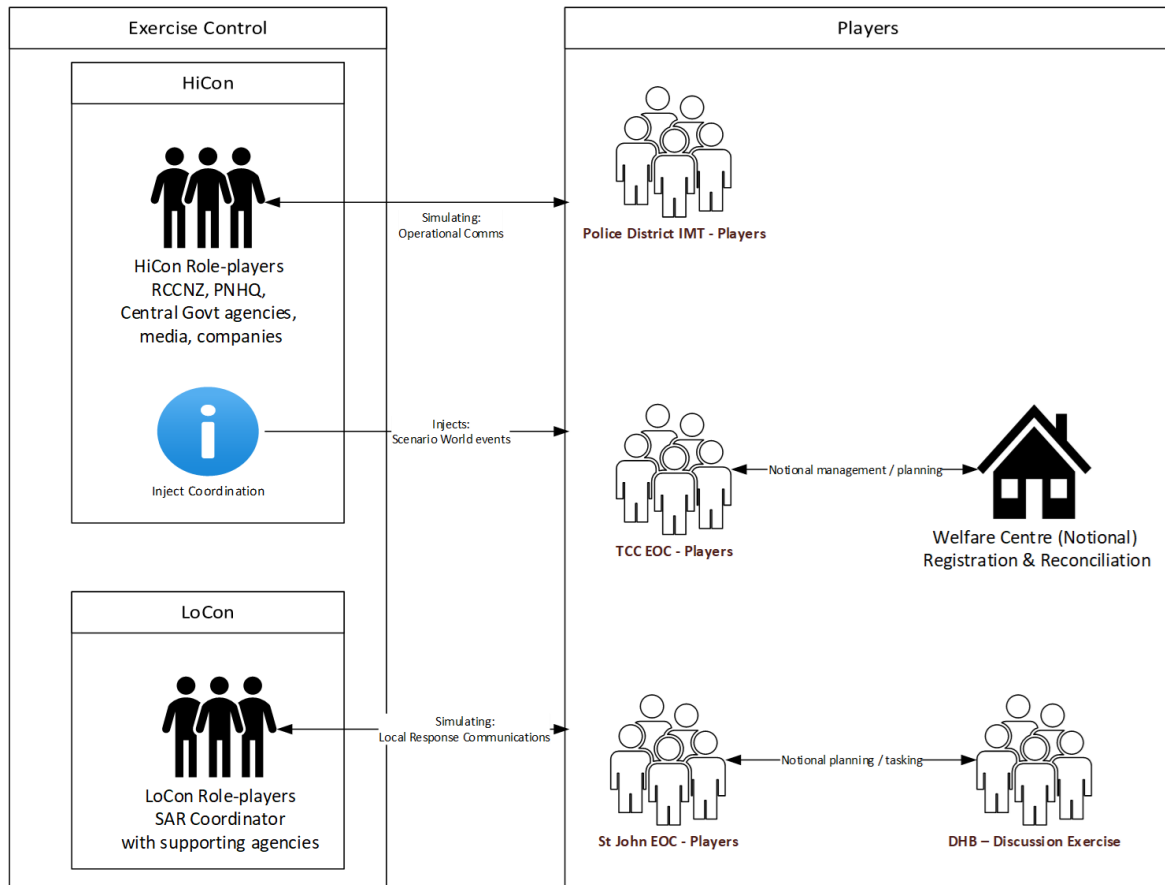
- Manage the scenario for the duration of the exercise play;
- Provide venues, catering and administration; and
- Coordinate evaluators and visitors.

The Exercise Coordinator is responsible for the delivery of the exercise session, and has final authority over all aspects of the exercise.



*Excon Structure*

## HiCon and LoCon



*Concept of Excon relationship to Players*

**HiCon** will manage the release of global information to some or all participants, will monitor the flow of information, and the progress of the exercise. HiCon role-players will perform the roles of higher authorities, media and government agencies.

**LoCon** will manage the release of local SAR response information. LoCon will facilitate SAR specific discussions with the Police SAR coordinator and support agency representatives, and will provide the IMT with realistic engagement with on scene SAR coordinator making tactical decisions.

## Evaluation

The exercise will be assessed using the following methodologies:

- Evaluator observations (general and agency specific)
- Participants debriefs (hot and cold)

### Evaluators

Evaluators will observe the exercise in progress. They will be stationed with IMT and within exercise control.

Evaluators may ask questions of players, or seek clarity regarding certain actions, decisions, or communications; however, in doing so they should avoid interfering or interrupting the flow of the simulation.

Evaluators will record their findings throughout the exercise against the set KPIs (listed in the exercise ([Appendix 2](#))). Evaluators will receive a separate evaluation guidance and briefing from the Evaluation Coordinator.

Evaluators must submit their reports to the Evaluation Coordinator no later than 7 days after the conclusion of the exercise phase.

Any agency evaluators assessing specific areas of against their own organisation's assessment criteria, should submit a summary of key observations to the Evaluation Coordinator within 7 days of the exercise.

During the exercise, all evaluators will report to the Evaluation Coordinator.

### Participants Debriefs

Immediately following the conclusion of exercise play, participants will gather at their respective exercise location for a 'hot debrief', to be led by an Excon facilitator. Key outputs will be provided to the Evaluation Coordinator.

A 'cold debrief' will be conducted for agency/unit on the day following the exercise. Any debrief facilitator notes should be submitted to the Evaluation Coordinator no more than 7 days after the debrief is conducted.

## Communications

### Message format

All in-exercise messages and correspondence, to and from players, should include the phrase “*exercise only*” or “*this is an Exercise Whakarauora Tangata message*”.

### Communications Network

#### Phones

- Players should use their standard phones or provided land/VOIP lines during the course of the exercise.
- Role-Player and limited player contact list will be provided on the day.

#### Radio

- No radio network will be used for this exercise.

#### Emails

- Any emails used for the purpose of the exercise should be kept, and filed for exercise records.

#### Systems

- Standard agency systems/processes should be used for logging and recording information, provided that any system entry is designated as **exercise or training** only.

### Exercise Start/End Notifications

- Excon and evaluation staff will be notified verbally and via text messages.
- The Police District on-duty Senior Sergeant will be notified by a call indicating the start of play.
- Players will be contacted in due course through their agency via activation protocols unless a pre-arranged start time has been arranged with certain teams.
- All participants will be notified of the end of the exercise by Excon.

### Media

- There will be no external media interaction with players during the exercise. Any visiting media will be escorted by a member of Excon.
- In the event of any genuine media inquiries, these should be directed to Police Media Team, and Excon notified.
- Some simulated media issues may be experienced as part of the exercise. Any media role-players will identify themselves as part of the exercise.
- Some promotional photography and videography can be expected. These will be Police staff or NZSAR contractors.

### Observers

- Any observers must pre-register with Excon before the exercise day.
- Upon arrival all observers must sign in with Excon.
- Transport/escort will be provided from Exercise Control to exercise locations.

- Whilst attending the exercise observers must wear allocated high-vis/lanyard to identify themselves, and any additional PPE required. Throughout their visit they should refrain from distracting or interfering from the exercise in progress.
- All Observers must sign out at the time of departure.



# Risk Management, Safety and Security

## Exercise Risks and Controls

A risk assessment has been conducted for this exercise phase and level. Controls have been put in place in advance where practicable.

The risk register and controls are included in [Appendix 3](#). All participants should make themselves aware of these risks and controls.

## Safety Issues in Exercise

Any **notional** health and safety concerns encountered within the scenario, should be addressed in the manner appropriate to the scenario and normal organisational procedures.

Any participant who becomes aware of any **real-world** health and safety risk during the exercise, should:

- 1) immediately seek to address the issue, if safe to do so; and
- 2) notify their line manager in accordance with procedures; and/or
- 3) raise any safety concerns to the Excon team or an Evaluator, who will address the issue appropriately.

## Security

This exercise is closed to non-participants, excepts where visitors have registered with Excon. Site access controls should be followed, with participants signing in/out.

## Contingencies

### Pre-Exercise Issues

In the event of severe weather, emergency, SAROP, or other Police operation within the district, the decision to continue or postpone the exercise will be made between the Exercise Director, Exercise Coordinator, and the Police District command.

### Exercise Cancellation

If the exercise is to be stopped during play, the Exercise Coordinator will advise exercise participants agencies. Such a message will be preceded with the phrase “**No duff**”.

### Actions in the event of:

#### *Communications or IT failures*

- Players are to attempt workarounds using SOPs and standard equipment.
- Genuine ICT issues should be logged with the agency helpdesk as per normal procedures.
- If the failure is not simulated as part of the exercise, players should inform the nearest facilitator or Excon team member, who will note the issue in the exercise log.

#### *Accident or injury*

- Provide first aid.
- Call 111 for any serious injury.
- Notify evaluator or Excon, who will stop the exercise as required.

## Appendix 1: Participants

### Players (Agencies)

- Bay of Plenty regional Council, Harbour Master
- Fire and Emergency New Zealand
- Hato Hone St John
- Hauora a Toi Bay of Plenty
- New Zealand Customs Service
- NZ Police, BOP District IMT
- Tauranga City Council Emergency Management

### Exercise Control

<b>Exercise Coordinator</b>	<ul style="list-style-type: none"> <li>• John Dyer</li> </ul>
<b>HiCon (Inject coordination)</b>	<ul style="list-style-type: none"> <li>• Win Van der Velde (Facilitator)</li> <li>• Mark Constable (Conductor)</li> <li>• Wendy Harrison, NZSAR</li> <li>• Tania Seward, NZSAR</li> <li>• Amie Dawson, Police</li> <li>• Bruce Rutherford (ECC support)</li> </ul>
<b>LoCon (SAR scenario workshop &amp; dynamic injects)</b>	<ul style="list-style-type: none"> <li>• Matthew Wheble (Facilitator)</li> <li>• Anna Plowman, Police SAR Coordinator</li> <li>• Nick Lewer, Police SAR Coordinator</li> <li>• Allan Mundy, Surf Life Saving NZ</li> <li>• Murray Whitehead, Coastguard</li> <li>• Nic Hume, LandSAR</li> <li>• TBC, St John</li> <li>• TBC, FENZ</li> <li>• TBC, AREC</li> </ul>
<b>Role Players</b>	<ul style="list-style-type: none"> <li>• Nathan White, Police</li> <li>• Tania Seward, NZSAR</li> <li>• Lyle Patterson, RCCNZ</li> <li>• TBC, RCCNZ</li> <li>• TBC, NZ Customs Service</li> <li>• TBC, Joint Forces</li> </ul>
<b>Evaluation Coordinator</b>	<ul style="list-style-type: none"> <li>• TBC</li> </ul>
<b>General Evaluators</b>	<ul style="list-style-type: none"> <li>• TBC</li> </ul>

**Note** – Names subject to change based on the needs

## Appendix 1: Key Performance Indicators

This appendix lists the objectives and sub-objectives and key performance indicators being used for evaluation of the exercise.

Practise unified control, across all levels, during a coordinated inter-agency response to a nationally significant SAR incident Assess or identify areas of particular risk or opportunity for the SAR sector in the coordinated response to a NATSIG SAROP		
NEP Objective	Contributing Ex Objective	Key Performance Indicators
NO 1.0 - Lead a coordinated interagency response to a significant incident or emerging threat that warrants a NSS activation.	CO 1.1 – Identify nationally significant incident or emerging threat.	<b>KPI 1.1.1</b> Incident is identified as a nationally significant SAR incident requiring activation of the appropriate corresponding plan and/or agencies.
		<b>KPI 1.1.2</b> Lead Coordinating Authority for the response to the nationally significant SAR incident is identified, and communicated to all support agencies.
	CO 1.2 - Implement appropriate escalation measures that activate relevant elements of the NSS.	<b>KPI 1.2.1</b> Appropriate reports are made to alert higher level HQ.
		<b>KPI 1.2.3</b> Key stakeholders are identified and informed of the activation(s).
	CO 1.3 - Develop an effective action plan to manage the response to a Nationally significant SAR incident.	<b>KPI 1.3.1</b> Planning processes are as established in standard operating procedures and CIMS.
		<b>KPI 1.3.2</b> The action plan is phased in accordance with the Nationally Significant SAR plan/policy/framework.
<b>KPI 1.3.3</b> Likely threats and associated consequences and risks are embedded in the action plan.		

		<b>KPI 1.3.4</b> Relevant support agencies are integrated into action planning processes.
CO 1.4 - Coordinate the interagency response to the nationally significant SAR incident in accordance with the agency emergency plans, the action plan, CIMS, and legal/policy frameworks.		<b>KPI 1.4.1</b> Liaison arrangements are maintained as required throughout the duration of the response.
		<b>KPI 1.4.2</b> Response is managed in accordance with plans and within mandated frameworks.
		<b>KPI 1.4.3</b> The systems, processes and resources are appropriate for implementing the action plan, or adjusted to meet the needs of the situation.
		<b>KPI 1.4.4</b> IMT delegates tasks to support agencies within legal frameworks and in accordance with RCCNZ requirements.
		<b>KPI 1.4.5</b> Appropriate and timely reports are provided within command structures, and to coordinating authorities.
CO 1.5 – Identify and communicate additional support and/or resource requirements.		<b>KPI 1.5.1</b> Support and/or resources required from other agencies are identified and needs communicated effectively.
		<b>KPI 1.5.2</b> Liaison arrangements are activated in accordance with standard operating procedures
CO 1.6 – Specialist functional groups are activated in support of the response.		<b>KPI 1.6.1</b> Relevant specialist groups are identified and activated in accordance with standard operating procedures.

	CO 1.7 - Strengthen personal and interagency collaborative relationships.	<p><b>KPI 1.9.1</b> IMT personnel work in a collaborative manner with colleagues from other agencies.</p> <p><b>KPI 1.9.2</b> Information is shared and utilised across agencies to assist in relationship and resilience building.</p>
<p>Assess the effectiveness and suitability of existing SAR frameworks, memoranda of understanding, plans, procedures, systems, and processes.</p> <p>Increase knowledge and understanding of roles and responsibilities within and across SAR agencies and support agencies.</p>		
<b>NEP Objective</b>	<b>Contributing Ex Objective</b>	<b>Key Performance Indicators</b>
NO 2.0 - Support a coordinated interagency response to a significant incident or emerging threat that warrants a NSS activation.	CO 2.1 - Support the identification of a significant incident or emerging threat	<b>KPI 2.1.1</b> Support agencies assist in the identification of a nationally significant SAR incident requiring activation of the appropriate corresponding plans.
		<b>KPI 2.1.2</b> Support agency requirements for the response to a nationally significant SAR incident are identified, and communicated to all agencies.
	CO 2.2 - Support the development of an action plan in accordance with standard operating procedures	<b>KPI 2.2.1</b> Support agencies contribute to the planning processes as established in standard operating procedures and CIMS.
		<b>KPI 2.2.2</b> Threats and associated risks identified by the support agencies are embedded in the action plan.
<b>KPI 2.2.3</b> Support agencies develop action plans to detail the tasks assigned to them by the Lead Coordinating Authority or IMT.		
	<b>KPI 2.2.4</b> Where appropriate, legal and policy frameworks are used to support the action plan.	

	CO 2.3 - Support the interagency response to the nationally significant SAR incident in accordance with the agency emergency plans, the action plan, CIMS, and legal/policy frameworks.	<b>KPI 2.3.1</b> Support agency staff assigned to work in the response have a level of competency appropriate to their role.
		<b>KPI 2.3.2</b> Liaison arrangements are maintained as required throughout the duration of the response.
		<b>KPI 2.3.3</b> Response is supported in accordance with plans and within mandated frameworks.
		<b>KPI 2.3.4</b> The systems, processes, and resources are appropriate for implementing the action plan.
		<b>KPI 2.3.5</b> Support agencies carry out the delegated tasks in a timely manner in accordance with standard operating procedures.
		<b>KPI 2.3.6</b> As appropriate, site, local, regional and national levels of support requirements are identified and implemented.
	CO 2.4 Support coordination centres in accordance with standard operating procedures.	<b>KPI 2.4.1</b> Support agencies can support the inter-agency IMT as required by the lead Coordinating Authority.
		<b>KPI 2.4.2</b> Support agencies can sustain an operational response for the length of time required.
		<b>KPI 2.4.3</b> Support agencies can reconstitute following a response to a major security incident.
CO 2.5 Strengthen personal and interagency collaborative relationships	<b>KPI 2.6.1</b> Support agency personnel work in a collaborative manner with colleagues from other agencies.	
<p>Test new or developing concepts, plans, procedures, tools, and equipment</p> <p>Assess or identify areas of particular risk or opportunity for the SAR sector in the coordinated response to a NATSIG SAROP</p>		

NEP Objective	Contributing Ex Objective	Key Performance Indicators	
NO 3.0 - Enable high level all-of-government decision making through the National Security System.	CO 3.1 Agencies fulfil their roles as expected in the National Security System response governance structures	<b>KPI 3.1.1</b> Appropriate agencies are identified and contribute to the response in accordance with their mandated roles and responsibilities.	
		<b>KPI 3.1.2.</b> There is a clear delineation in roles and responsibilities and appropriate tasking across agencies.	
		<b>KPI 3.1.3.</b> Future requirements beyond the immediate response, together with associated resource/aligned agency are identified and communicated.	
	CO 3.2 High quality information is used in decision-making	<b>KPI 3.2.1</b> Information provided to decision-makers is of high quality and credible.	
		<b>KPI 3.2.2</b> Information provided to decision-makers is subjected to a robust assessment process.	
CO 3.3 Key stakeholders are consulted in the decision-making process.	<b>KPI 3.3.1</b> All stakeholders are identified and consulted with in a timely manner.		
	<b>KPI 3.3.2</b> Decisions are communicated to key stakeholders in a timely manner in accordance with standard operating procedures.		
Increase knowledge and understanding of roles and responsibilities within and across SAR agencies and support agencies.			
NEP Objective	Contributing Ex Objective	Key Performance Indicators	
NO 5.0 - Situational awareness is established and maintained during the exercise	CO 5.1 Incident information is effectively managed and communicated by all agencies involved in the response	<b>KPI 5.1.1</b> Accurate information is communicated within agencies (vertically) in a timely manner in accordance with standard operating procedures.	

		<b>KPI 5.1.2</b> Information is communicated between agencies (horizontally) in a timely manner in accordance with existing communications policies, procedures, and MOUs.
		<b>KPI 5.1.3</b> Information is appropriately stored.
		<b>KPI 5.1.4</b> IT systems and processes are capable of sharing information in a timely manner.
		<b>KPI 5.1.5</b> All agencies have the appropriate equipment and resources to manage information effectively.
	CO 5.2 Response documentation is correctly produced	<b>KPI 5.2.1</b> Incident response documents (Action Plans, Situation Reports) are produced and disseminated accurately and in a timely manner to relevant stakeholders.
	CO 5.3 Information is communicated within and across agencies to support reconciliation	<b>KPI 5.5.1</b> The information needs for reconciliation are identified.
		<b>KPI 5.5.2</b> Information is obtained from appropriate source(s).
		<b>KPI 5.5.3</b> Information is verified for accuracy.
<b>KPI 5.5.4</b> Appropriate information is shared with those agencies who need it.		
<b>KPI 5.5.6</b> Appropriate actions are taken to protect data security, individuals' privacy and confidentiality.		
Increase knowledge and understanding of roles and responsibilities within and across SAR agencies and support agencies.		
<b>NEP Objective</b>	<b>Contributing Ex Objective</b>	<b>Key Performance Indicators</b>



NO 6.0 - Manage and deliver public information management to establish and maintain public assurance and confidence in the response	CO 6.1 Appropriate information processes and tools are used.	<b>KPI 6.1.1</b> Timely, accurate, and clear information is provided to stakeholders and target audiences.	
		<b>KPI 6.1.2</b> Messages align with strategic and operational objectives.	
		<b>KPI 6.1.3</b> Proactive messaging across the full range of platforms fills the demand for information and shapes the conversation	
	CO 6.2 Coordinated and consistent public messaging is produced.	<b>KPI 6.2.1</b> The PIM function is established and adopts an inter-agency approach.	
		<b>KPI 6.2.2</b> The production and promulgation of public information is coordinated across agencies.	
	CO 6.3 Messaging aligns with and supports the operational response and key objectives.	<b>KPI 6.3.1</b> Messages are validated against high level communications objectives and released in an appropriate and timely manner.	
	CO 6.4 Timely and accurate information is delivered to those who need it.	<b>KPI 6.4.2 Information</b> is shared across agencies prior to release publicly	
<b>KPI 6.4.2 Supporting</b> agencies have a common understanding of the operational picture.			

## Appendix 3: Risk Register

ID	Owner	Risk description	Inherent risk			Risk treatment / updates	Residual risk			Comments
			Likelihood	Impact	Risk Level		Likelihood	Impact	Risk Level	
1	Excon	<b>Conflict with actual incident.</b> An actual incident occurs on the day that takes priority over the exercise.	Possible	Major	High	<p>Assess situation to determine if exercise can continue.</p> <p>If several key players are called away, consider continuing the exercise as a reduced tabletop/discussion session</p> <p>If exercise must be stopped, an alternate date will be considered to re-run the session.</p>	Possible	Moderate	Medium	
2	Excon	Playing <b>agency withdraws</b> on the day having originally committed.	Possible	Major	High	<p>Review impact on exercise play.</p> <p>Substitute Excon role-players to fill the roles of missing players if expertise allows.</p> <p>Scale back exercise to discussion around the missing players roles.</p> <p>If impact is considerable, postpone exercise.</p>	Possible	Moderate	Medium	
3	Excon Host Agencies	<b>Health &amp; Safety</b> – mostly standard office-based risks. Some lifting related risks due to equipment set up.	Possible	Major	High	<p>Cords and wires to be taped down</p> <p>Signs placed on frequently opened doors</p>	Possible	Moderate	Medium	

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					High	Walkways and emergency exits kept clear  All participants briefed on emergency provisions for buildings – exits, firefighting, first aid, defibs  Lifting/moving of items to be undertaken with good form.  Heavy loads – use multiple people and/or trolleys			Medium	
5	Excon Agencies	<b>Vehicle accident.</b> Personnel participating in exercise involved in a vehicle accident	Possible	Moderate	Medium	Safety briefings for any significant vehicle movements.  Ensure all participants follow the fatigue guidelines  Licenced drivers only to operate vehicles. All road rules to be followed.	Possible	Moderate	Medium	
7	Excon	<b>Misunderstanding</b> resulting in perception that exercise is not an exercise but is a real event creating community concerns and/or agency responses.	Possible	Major	High	Communications managed against Exercise communications plan.  All messages contain “exercise only” stamps.  Police Comms Centre and RCCNZ, and Police Media team to be notified of the exercise.	Possible	Moderate	Medium	Refer Exercise communication plan for details

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			Likelihood	Impact	Risk Level		Likelihood	Impact	Risk Level	
						Notify all support agencies of exercise dates and scenarios.				
8		<b>Emergency</b> or on-site incident leading to evacuation of exercise facilities	Low	Major		<p>Safety and evacuation briefings to be provided to all participants.</p> <p>A real and significant incident will be require a postponement of the exercise (see risk #1).</p> <p>In the event of a false alarm or minor incident at a single exercise site the exercise will be paused. The incident be assessed to determine if the exercise is resumed (with or without re-entry to the building), postponed.</p>	Low	Major		
9		<b>Illness/injury</b> to Exxon or evaluator staff leaving them unable to participate on the day	Low	Major		<p>All Exxon staff to be briefed on performing multiple roles.</p> <p>Documentation for exercise prepared in advance, and saved in a centralised document management system accessible to all Exxon staff.</p> <p>Alternate evaluators identified to be brought in to cover for any absenteeism.</p>	Low	Moderate		

ID	Owner	Risk description	Inherent risk			Risk treatment / updates	Residual risk			Comments
			Likelihood	Impact	Risk Level		Likelihood	Impact	Risk Level	
10		<b>ICT failure</b> leading to inability to pass injects or other control messages between Excon and players.	Possible	Major		Hard copy contact lists to be maintained and distributed. Use of multiple mobile phones within Excon. Test run of system access, email and other messaging to be performed prior to the exercise day. Hard copy injects to be held for manual delivery to players in case of email outage. Failure of player ICT systems to be played as part of exercise.	Low	Major		