Emergency Response Protocol

Underground Mines and Tunnels

Third edition

A multi-agency protocol for managing underground mine emergencies in Aotearoa New Zealand

April 2022

New Zealand Government

WORKSAFE
Mahi Haumaru Aotearoa

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Table of contents

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Introduction

The Mines Rescue Act 2013 (the Act) requires WorkSafe New Zealand to issue an Emergency Response Protocol that describes:

- The persons and agencies that will respond to an emergency at a mining operation, and
- Key functions, duties, and roles under the Protocol.

To fully embrace incident management best practice, the Protocol aligns with the Coordinated Incident Management System (CIMS), New Zealand's government framework to achieve effective co-ordinated incident management. Multi-agency adoption of the framework promotes expedited response, maximises the use of resources, and promotes a consistent and coordinated approach to incident management.

This Protocol replaces the Underground Mines Emergency Protocol (second edition), May 2015.

Purpose

The purpose of the Protocol is to provide guidance and direction on managing a Level 3 underground mines or tunnel emergency in New Zealand. This includes establishing the roles and responsibilities of stakeholders under the Protocol and the lines of authority for decision making and communication.

Legislative environment

The following Acts and Regulations are relevant to this Protocol:

- Mines Rescue Act 2013
- Mines Rescue (Levy) Regulations 2014
- Health and Safety at Work Act 2015
- Health and Safety at Work (Mining Operations and Quarrying Operations) Regulations 2016
- Policing Act 2008
- Coroners Act 2006
- Fire and Emergency New Zealand Act 2017

Administrative arrangements

WorkSafe administers the Emergency Response Protocol including making the Protocol freely available via the WorkSafe website.

WorkSafe chairs the Emergency Response Protocol Governance Group and undertakes secretariat responsibilities to support a collaborative approach to the Protocol.

Scope

The arrangements in the Protocol provide a high-level overview of response arrangements and apply when a Level 3 emergency exists at a mining operation. The mine operator's principal hazard management plans and emergency management control plan provide detailed information on managing site emergencies.

Table 1 provides a brief description of the three levels of emergency to provide context for a Level 3 emergency.

Emergency means an incident at a mining operation that has resulted, or may result, in the death of any person.
Level 1 emergency: the response to the incident can be managed within the resources of the company. Outside assistance is not required.
Level 2 emergency: the response to the incident has resulted in emergency services being called to the scene. The response does not require any specialised coordination and is considered 'routine' by the responding agencies. The mine operator may establish the Crisis Management Team to manage their response to the emergency.
Level 3 emergency: the response to the incident has resulted in emergency services being called to the scene. The incident may have been identified by the caller as requiring a level 3 response or responding agencies may have identified the need. A level 3 response requires a significant and coordinated response to an underground mine or tunnelling operation, is typically an unstable, rapidly evolving, or uncertain environment, and has or may result in death. A level 3 emergency considers the safety of people both above and below ground. This Emergency Response Protocol informs how these responses will be managed. The death of a person at a mining operation may not warrant a level 3 emergency response if the situation is contained and stable. For example, a worker is killed by falling equipment and the situation is contained, stable and understood.

Table 1 Levels of emergency

The death of a person at a mining operation may not warrant a level 3 emergency response if the situation is contained and stable.

Any of the stakeholders under this Protocol may initiate a Level 3 emergency response by notifying the Police Emergency Communication Centre.

For the purposes of the Protocol, a **mining operation** includes any of the following activities and the place at which they are carried out:

i. Exploring for coal
ii. Mining for coal or minerals
iii. Processing coal or minerals associated with a mine
iv. Producing or maintaining tailings, spoil heaps, and waste dumps

v. The excavation, removal, handling, transport, and storage of coal, minerals, substances, contaminants, and wastes at the place where the activities described in subparagraphs (i) to (iv) are carried out

vi. The construction, operation, maintenance, and removal of plant and buildings at the place where the activities described in subparagraphs (i) to (iv) are carried out.

vii. Preparatory, maintenance, and repair activities associated with the activities described in subparagraphs (i) to (iv).

A mining operation includes a **tunnelling operation,** as defined by the Health and Safety at Work Act 2015, to the extent to operation relates to a tunnel or shaft that is, or is intended to be, at least 150 metres long (i.e., the tunnel is under construction).

A mining operation does not include tourism mining operations.

Is a tunnel or shaft covered by the Protocol?

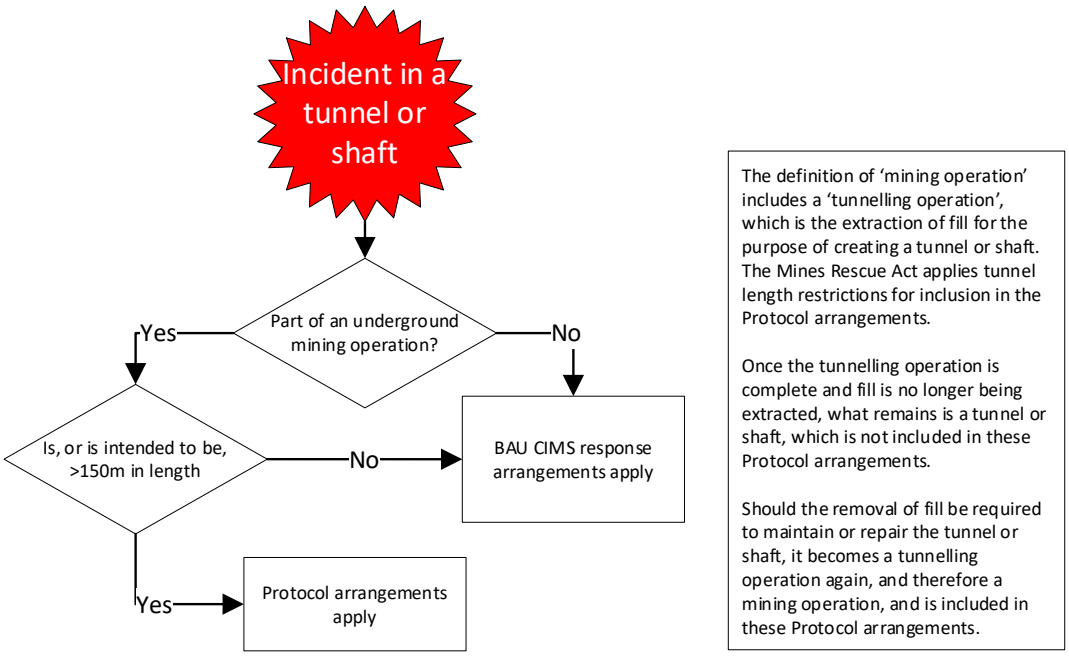

Figure 1 Flow diagram to determine whether a tunnel or shaft incident is covered by this Protocol

All of Government response

Whenever a Level 3 emergency response is initiated at a mining operation, a coordinated all of government response is likely to be implemented.

Arrangements for the government response to emergencies are outlined in the Guide to the National Civil Defence Emergency Management Plan 2015. In the context of a mining operation however the coordination and information management arrangements are summarised in Figure 2. Highlighted in this diagram are the Response Coordination Incident Management Team and the Mine Incident Management Team which are the focus of the Protocol.

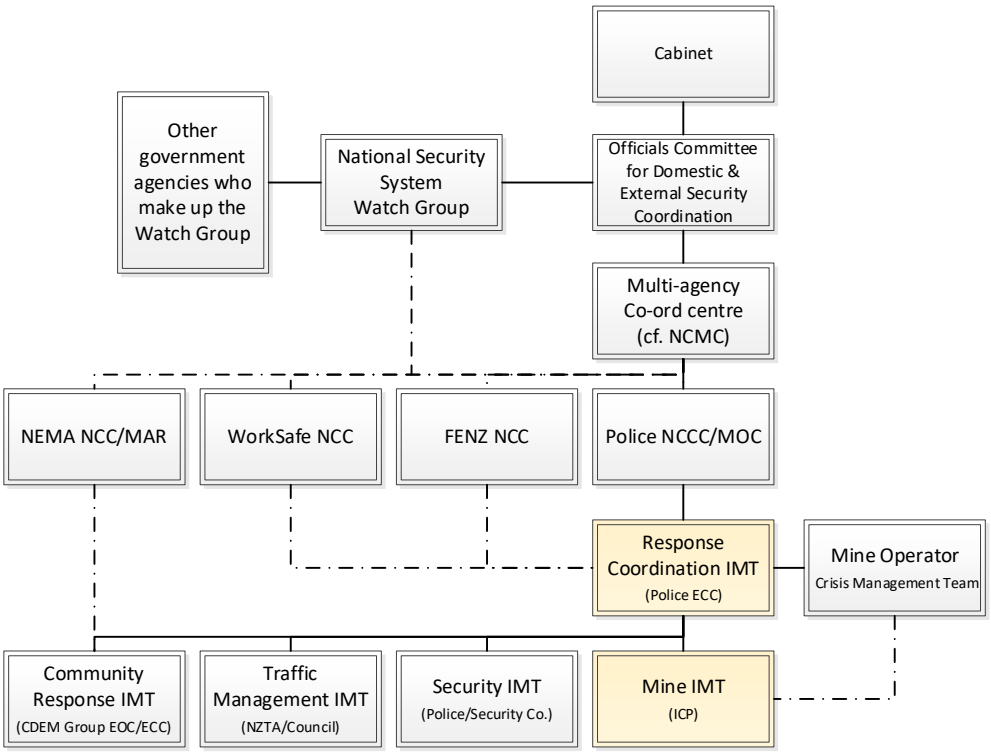

Figure 2 All of Government response coordination

*MAR = Monitoring, Alerting and Reporting, MOC = Major Operations Centre

Agencies involved in the response will ensure that:

- response coordination is supported through the all-of-government response arrangements
- strategic communications are supported
- agency communications are focussed on the agency response
- where possible, agency intelligence is shared across the response*

* It is noted that some agencies may be conducting statutory investigations that may preclude the sharing of some intelligence.

Key persons and agencies in emergency response

New Zealand Police

On behalf of the Coroner, the New Zealand Police has a responsibility for coordinating the extraction of a body, when the body is in a location from which it can be extracted only with extraordinary effort of the use of special resources.

Functions of the New Zealand Police also include:

- Maintaining public safety
- Community support and reassurance
- National security, and
- Emergency management.

Mines Rescue Board

The Board's functions, among other things, are to:

a. Provide training, equipment, and resources for mines rescue brigades
b. Assist mine operators in emergency preparedness, including testing mine operator's emergency plans,
c. Deploying mines rescue brigades and other resources during an emergency

In practice, these responsibilities of the Board are executed by the New Zealand Mines Rescue Service. The Mines Rescue Service will support the response through both the Mine Incident Management Team and the Response Coordination Incident Management Team.

Fire and Emergency New Zealand

Fire and Emergency New Zealand must:

- Stabilise or render safe incidents that involve hazardous substances and provide for the safety of persons and property endangered by incidents involving hazardous substances
- Rescue persons who are trapped as a result of an incident.

Fire and Emergency New Zealand may assist in certain circumstances where it has the capability and capacity to do so. This includes:

- Responding to medical emergencies.
- Performing rescues from confined spaces and irrespirable and explosive atmospheres.
- Responding to incidents in which substances other than hazardous substances present a risk to people, property, or the environment.
- Responding to any other situation, if FENZ has the capacity to assist.

NB. 'Incident' is not defined in the Fire and Emergency New Zealand Act 2017.

WorkSafe New Zealand

WorkSafe must issue an emergency response protocol that describes:

- The persons and agencies that will respond to an emergency at a mining operation, and
- Key functions duties and roles under the protocol.

The protocol may be amended from time to time and must be freely available.

WorkSafe may:

- Appoint an incident controller if an emergency occurs at a mining operation.

WorkSafe will not assume the role of Incident Controller or lead any function associated with the response.

WorkSafe may initiate an investigation under the Health and Safety at Work Act 2015. Any investigation will be conducted independently from the response but may require the cooperation of responding agencies for the preservation of certain evidence or exhibits.

Lead Agency/Local Controller

The lead agency is described in the New Zealand Coordinated Incident Management System 3rd Edition (CIMS) as 'the agency with primary mandate for managing the response to an emergency'. For the purposes of this Protocol, the New Zealand Police is the lead agency.

The appointment of a Local Controller confirms that Police acknowledge that a level 3 emergency exists, and the arrangements described in this Protocol come into effect. The Police will also determine when the arrangements described in this Protocol are no longer required. An exit strategy and/or transition plan may be required to move from emergency arrangements to a sustainable on-going arrangement.

Incident Controller

Typically, in CIMS, the Incident Controller is appointed by the lead agency. In the case of mines and tunnels however, the technical expertise required to affect a successful rescue sits with the Mine Incident Controller. The first responding senior officer from Police will support the Mine Incident Controller and ensure that the Police response is initiated.

It is also recognised that the technical expertise required to execute a mine rescue or recovery operation do not reside within the New Zealand Police and that the Mine Incident Controller will continue to lead the rescue and recovery effort with the support of the Local Controller (Police).

The Health and Safety at Work (Mining Operations and Quarrying Operations) Regulations 2016 require a mine operator to establish principal hazard management plans and an emergency management control plan. The emergency management control plan addresses the people or positions who have responsibilities in relation to an emergency. Key among these is the person in charge of coordinating the response. Known in the industry as the Mine Incident Controller (MIC), WorkSafe expects every

mine operator to appoint a suitable Incident Controller, supported by trained response personnel, to manage incidents and the rescue and response operations associated with an emergency. An Incident Controller should be available to respond to incidents at all times that mining operations are under way.

If for whatever reason WorkSafe is not satisfied with the performance of an appointed Incident Controller during an emergency (as defined in the Act), WorkSafe may replace the Incident Controller, following consultation with the Local Controller, with another person who is capable of performing the functions of the Incident Controller.

During a Level 3 emergency, the Incident Controller is supported by the Local Controller (Police). There may come a time in the response when the overall effort shifts from rescue to recovery. Following consultation with the Strategic Advisory Group, the Local Controller may change the focus from the rescue to recovery. In this case, the Incident Controller may be directed by the Local Controller to shift the focus of the operation.

The move from response to recovery is significant and signals the formal conclusion of the level 3 emergency. This transition should only be considered once transition arrangements are in place and there is a clear understanding of the recovery arrangements across agencies.

Investigations

It is likely that statutory investigations will be undertaken during the response and recovery, e.g., WorkSafe investigation into compliance with Health and Safety at Work Act 2015 and Regulations, or the Electricity Act 1992 or by New Zealand Police under the Crimes Act 1961.

These investigations are conducted independently from the response however investigators may require the assistance of the Mine Incident Controller or Local Controller to ensure that evidence or exhibits are preserved.

Emergency response

The Coordinated Incident Management System (CIMS)

The purpose of CIMS is to enable personnel to respond effectively to incidents through appropriate coordination across functions and organisations – both vertically and horizontally – by:

- Establishing common structures, functions and terminology in a framework that is flexible, modular, and scalable so that the framework can be tailored to specific circumstances; and
- Providing organisations with a framework that they can use to develop their own CIMS-aligned processes and procedures that support both own-organisation responses and multi-organisation interoperability, giving due consideration to each organisation's unique responsibilities, resources and legislative authority.

The characteristics of CIMS are:

- **Common structures, roles and responsibilities**: make it possible for organisations to work effectively alongside each other.
- **Common terminology**: for functions, processes, and facilities prevents confusion, improves communications between organisations, and supports more efficient and effective response.
- **Interoperability**: is the ability for systems, processes, personnel and equipment to effectively operate together.
- **Management by objectives**: that are established by the Controller and communicated to everyone involved so they know and understand the direction of the response.
- **Consolidated planning**: in response and transition to recovery is the process that establishes the basis for the overall response.
- **Integrated information management and communications**: between functions and organisations supports situational awareness through the development and evolution of the common operating picture.
- **Coordination of resources**: involves the consolidation and control of resources. It maximises resource use across and between response elements.
- **Designated response facilities and locations**: are essential in establishing the response structure and, when applicable, the hierarchy and relationships between response levels.
- **Manageable span of control**: is the number of individuals or response elements one manager or Controller can manage effectively. The optimum span of control is between three and seven.

This Protocol reflects the CIMS functions and methodology in the expectation that emergencies at underground mines and tunnels will be managed drawing on the principles and characteristics of CIMS.

Command and control arrangements

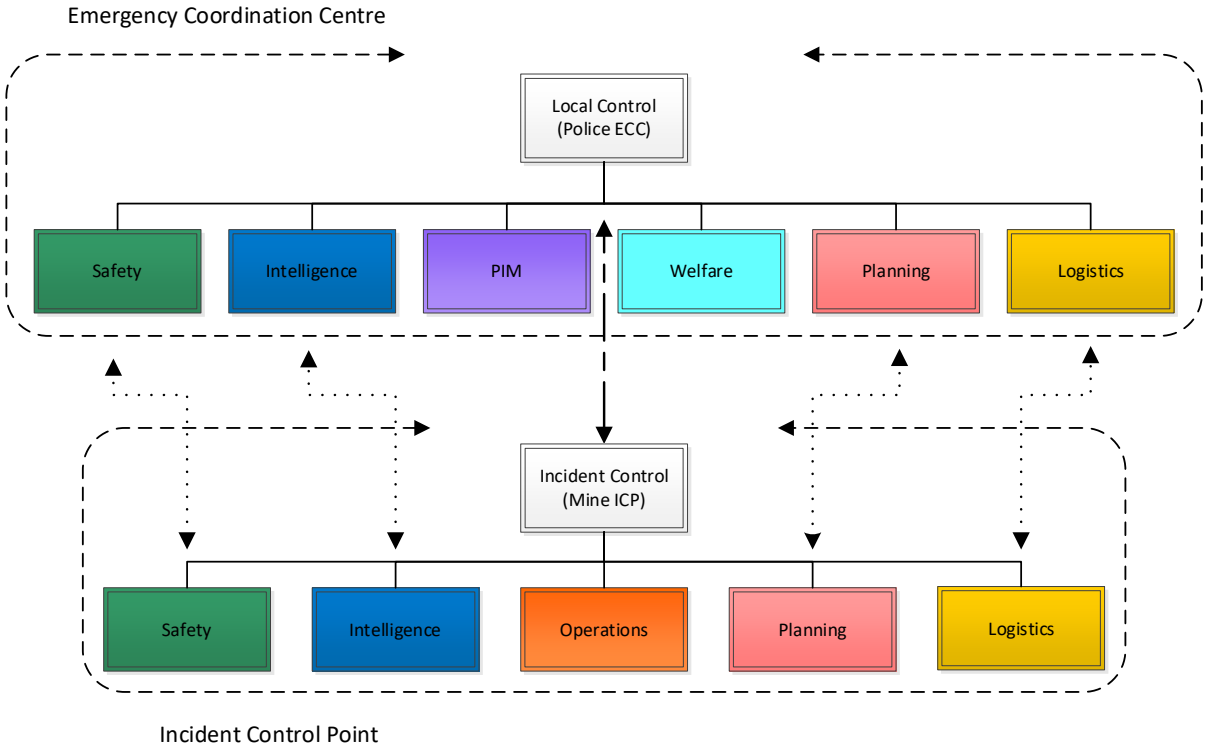

Figure 3 Relationships between functions in the ICP and the ECC

Figure 3 shows the relationships between functions at the Incident Control Point and those in the Emergency Coordination Centre. It is important that in an emergency the function managers across Incident Management Teams collaborate and coordinate their efforts. The relationship between the Incident Controller and the Local Controller is essential.

There are differences between functions performed at the different levels. The functions at the Incident Control Point are carried out by the Mine Incident Management Team and are explained on page 17. The Functions at the Emergency Control Centre are carried out by the Response Coordination Incident Management Team and are explained on page 23.

Despite the informal channels of communications between functions, formal requests for support e.g., resourcing, need to be recorded, approved, and communicated appropriately from the Incident Controller to the Local Controller, to maintain an audit trail.

Level 3 emergency transition to recovery

The move from response to recovery is a significant milestone in the emergency and indicates the formal conclusion of the level 3 emergency. There is likely to be an on-going requirement for extra-ordinary coordination arrangements and these should be agreed in a transition plan. The Local Controller will work with all responding agencies to ensure that transition arrangements are in place prior to a formal transition being acknowledged.

Functions, duties, and roles

Mine Incident Management Team

The Mine Incident Management Team comprises the Incident Controller and the managers of the CIMS functions operational within the team. Members of the Technical Advisory Group and the Response Manager are also likely to be included in Mine IMT discussions.

Whilst the functions of the Incident Management Team may be supplemented by supporting agencies and mines rescue specialists, it is the responsibility of the mine operator to ensure that any rescue can be effected, including the appointment of an Incident Controller and the establishment of an IMT.

During a level 3 emergency, the Incident Controller is supported by the Local Controller (Police).

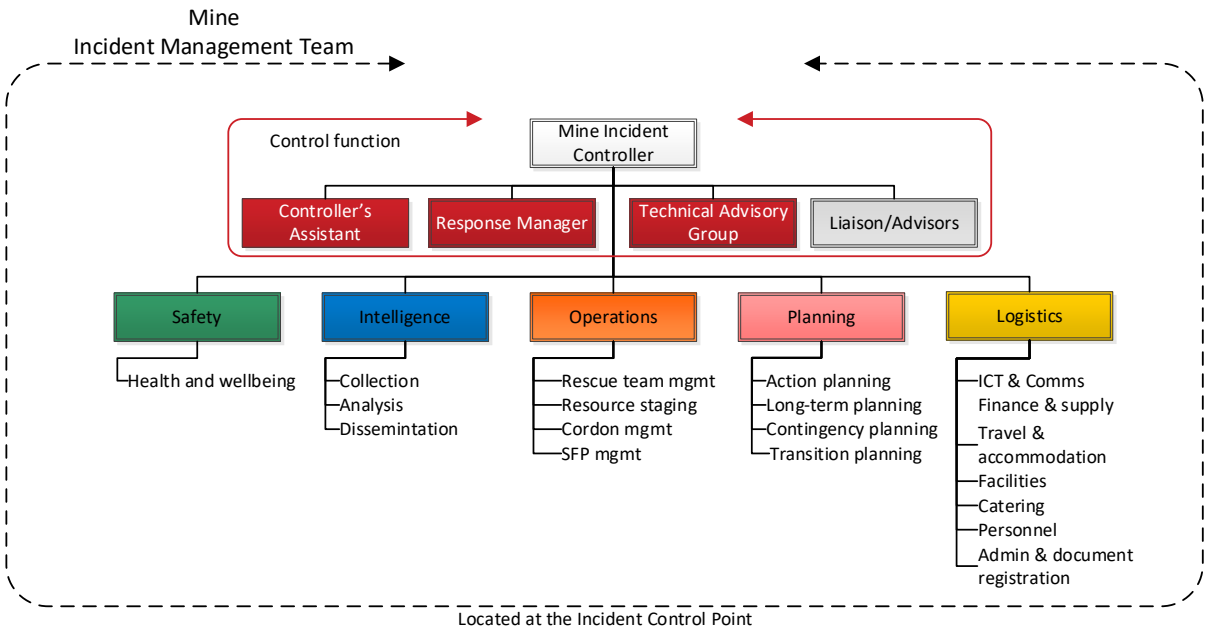

Figure 4 Mine Incident Management Team

Figure 4 shows potential functions and sub-functions associated with a complex mine rescue response.

Control function

Mine Incident Controller

The mine operator must establish an emergency management control plan that sets out, among other things, the people or positions who have responsibilities in relation to emergencies at the mining operation, and details of those responsibilities. Following CIMS principles, the mine operator should appoint a person who can perform the functions of an Incident Controller and document this in the plan. The Incident Controller should be suitably trained and experienced to undertake the role, having regard to the nature of the emergencies possible at the site.

Functions of the Incident Controller

Mines Rescue Act 2013, s. 20

(3) The functions of the incident controller are, -

a) Leading the decision-making about the emergency response, including decision-making about -

i. Whether any rescue operation should be undertaken and how:

ii. Whether any recovery operation should be undertaken and how:

iii. The resources to be deployed to support rescue or recovery operations; and

b) To give directions to persons and agencies in order to give effect to decisions made in accordance with the emergency response protocol and about the emergency response; and

c) In accordance with the emergency response protocol, to coordinate the activities of -

i. Persons and agencies undertaking or supporting any rescue or response operation:

ii. Other agencies providing emergency services, including, if relevant, fire and ambulance services, the New Zealand Police, and the board.

(4) In performing his or her functions, the incident controller must consult other relevant persons or agencies, including the persons and agencies described in subsection (3)(c).

During a level 3 emergency response, the mine operator retains no response decision-making authority beyond the appointment of the Mine Incident Controller and the establishment of its Crisis Management Team.

Emergency services are the services being provided that are directly associated with the rescue operation being led by the Incident Controller. The emergency services do not include any response coordination activities that are the responsibility of the Local Controller (Police). Agencies should explicitly make resources available to the Incident Controller for the rescue operation.

Liaison Officer / Advisors

Liaison Officers / Advisors support the Incident Controller by providing a direct connection to relevant agencies. This may include emergency services, the company, Department of Conservation, WorkSafe etc. Liaison Officers may be expected to refer to their agency for confirmation of information/advice being sought. Advisors may have been positioned to provide advice and guidance directly to the Incident Controller. Ideally, advisors can represent their organisation without the need to 'refer up.' This will assist in expediting time critical decisions.

Response Manager

The Response Manager in the Mine IMT is responsible for ensuring:

- the timely execution of the Action Plan,
- the smooth running of all response operations,
- coordination between functions,

- oversight of responder safety and well-being is maintained,
- keeping the Incident Controller informed of mission critical risks

Technical Advisory Group (TAG)

Standing members of the Technical Advisory Group are:

- Mines Rescue Service
- Fire and Emergency New Zealand
- Company Technical Specialists

The TAG provides specialist advice to the Incident Controller on technical aspects of the response operation and support the planning and execution of the Action Plan. Staff provided for the TAG may act as Liaison Officers as well or provide general advice when agreed by their agency.

Incident Controller's Assistant

The Incident Controller's Assistant supports the Incident Controller in a wide range of support functions including:

- Maintaining the Incident Controller's input to the decision and activity logs
- Managing the daily schedule
- Maintaining oversight of emails and appointments
- Supporting the health safety and well-being of the Control team

Operations function

The Operations Manager is responsible for the execution of the rescue operation in line with the Action Plan. Operations activities may include:

- Coordinating the day-to-day response activities on behalf of the Incident Controller which includes:
    - Managing field staff and ensuring their health, safety, and wellbeing
    - Integrating all stakeholders into the rescue operation.
    - Implementing the operational aspects of the Action Plan, including coordinating the delivery of all operational tasks.
- Contributing to the collection of information from the field or organisations for the Intelligence function.
- Maintaining a log to record function-related activity.
- Contributing to the planning process, including supporting the development of the Action Plan, and
- Participating in Incident Management Team meetings and keeping the Incident Controller and wider IMT informed of the operational aspects of the response.

The structure of the Operations team may vary depending on the nature of the emergency however the following sub-functions may be considered:

Rescue team management

Effective management of rescue teams during operational assignment including task assignment, briefings, deployment monitoring, fatigue management, and progress

reporting. As teams are stood down, the responsibility for supporting the team transfers to Logistics and the teams next period for availability will be noted for Operations.

A Standby Team should be held in the staging area to assist underground teams should they encounter any difficulty where appropriate.

Resource staging and cordon management

Resources being immediately positioned for use will need to be managed in a staging area. This will need to be undertaken in conjunction with the rescue teams and cordon management. There may need to be several areas where resources are staged, depending on the space available, proximity to the area of use and the frequency of access.

In most mining operations managing site access will be straightforward. Some responses however may be in a highly populated area where cordon and traffic management need to be considered in depth.

The primary focus for the Operations cordon management team is on response traffic flows within the cordons, positioning of resources, access management and liaison with the other Operations sub-functions to deconflict operations.

Close liaison with Logistics will be required to ensure that resources entering or leaving the operational area are coordinated. Resources not required immediately for operational use should remain under the management of the Logistics team at a suitable Assembly Area.

Safe forward point

A safe location near the incident used mainly as a meeting place for personnel. The area needs to be managed including the tally board, final equipment checks, communications with the team and monitoring of underground teams.

Intelligence function

The Intelligence function may include sub-functions for collection, analysis, and dissemination. There may also be a requirement for a geographic information systems (GIS) capability. Intelligence tasks may include:

- Identifying and receiving the information requirements of key decision-makers (i.e., Incident Controller and function managers).
- Overseeing the collection of data and information that will help meet those requirements.
- Collating and managing collected data and information.
- Evaluating the reliability of the data and information.
- Processing data and information in preparation for analysis.
- Analysing data and information and creating intelligence products (for example, situation reports (SitReps), intelligence summaries, oral briefings, etc.).
- Producing and disseminating intelligence to users and/or decision-makers.
- Managing documents or products created by the Intelligence function

- Gathering feedback about how the products are used and identifying any remaining (or new) information requirements that still need to be met.
- Contributing to the planning process, including the development of the Action Plan.
- Attending Incident Management Team (IMT) meetings and keeping the Incident Controller and wider IMT informed of the Intelligence aspects of the response.

Planning function

The Planning function may include sub-functions for Action Planning, Contingency Planning and Long-term Planning. A comprehensive understanding of mine rescue practices and close liaison with all other functions in the IMT will be essential.

- Translating the Incident Controller's intent and objectives into an Action Plan.
- Convening and facilitating planning meetings for Action Planning, Long-term Planning and Contingency Planning.
- Developing other specific plans, e.g., Communications, Handover, and Demobilisation Plans.
- Forecasting medium- to long-term resourcing requirements.
- Attending Incident Management Team meetings and keeping the Incident Controller and wider IMT informed of the Planning aspects of the response.

Logistics function

The Logistics function's focus is on the rescue activities and resources. This includes securing sufficient resources to execute the rescue. The provision of resources required to affect the rescue are funded by the mine operator. If there is any uncertainty or difficulty in procuring resources, this should be escalated to the Emergency Coordination Centre through an approved formal request.

- Setting up and maintaining the Incident Control Point.
- Receiving authorised resource requests and requesting or procuring the resources and facilities.
- Receiving, storing, maintaining, and issuing resources; and collating and matching offers of assistance.
- Notifying Operations of available resources.
- Identifying and managing critical resources.
- Tracking resource use and financial expenditure.
- Activating and operating any required Assembly Areas.
- Arranging transport.
- Arranging catering, goods, and accommodation for response staff (in coordination with the Operations function)
- Establishing and maintaining technical communications networks (e.g., two-way radio).
- Establishing and maintaining information technology networks.
- Providing record-keeping and administrative support.
- Advising the Controller and the IMT of logistics issues and critical resource levels.

- Contributing to the planning process, including the development of the Action Plan; and
- Attending Incident Management Team (IMT) meetings and keeping the Controller and wider NIMT informed of the Logistics aspects of the response.

Safety function

The safety function at any mine emergency is critical for ensuring the health, safety, and wellbeing of responders. The Safety function is responsible for:

- Collecting, collating, and analysing health, safety and wellbeing information based on risks posed by an incident and its management.
- Working with the Risk Advisor to ensure that the response risk registers are addressing safety, health and wellbeing matters so that the risks are understood and controlled, and that controls are checked to ensure that they are working.
- Establishing arrangements for the control, monitoring and reporting of health, safety, and wellbeing issues by the CIMS functions.
- Ensuring that dynamic safety risk assessments are being completed and documented, as appropriate.
- Ensuring continuity of Safety function activities across shift changes.
- Maintaining a log and record of incidents, near misses and activities pertaining to health and safety.
- Providing health, safety and wellbeing advice and recommendations for the Situation Reports (SitReps), Action Plans and other response plans.
- Determining staffing requirements and any Health and Safety Technical Advisors required, and reviewing these as required during the response
- Attending Incident Management Team (IMT) meetings and keep the Incident Controller and wider IMT informed of the Health and Safety aspects of the response.

The role of a Crisis Management Team

For clarity, once emergency services assume control of an emergency response, the mine operator is not responsible for response related decision-making.

It is expected however that the mine operator will establish their 'Crisis Management Team' (CMT) and once Police assume the lead, the focus for the CMT will shift to:

- Supporting the Local Controller and Mine Incident Controller with the response, limited to:
    - Technical advice on the operation of the site
    - Provision of equipment and personnel to support the response
    - Information to support the welfare response to affected families
- Supporting company staff not directly affected by the incident
- Liaising with shareholders and other invested parties
- Engaging with media on non-response or recovery related matters

Response Coordination Incident Management Team

The Local Controller and the Response Coordination Incident Management Team take a broader view of the response and the implications as they affect the community, iwi, environment, national security, political and public interest. The structure of the IMT aligns with CIMS and is shown in Figure 5.

Aside from the rescue activity being undertaken at the mining operation, the Local Controller may require specific teams to be established to manage wider aspects of the response. These can be considered as additional incident management teams, focussed on their area of concern.

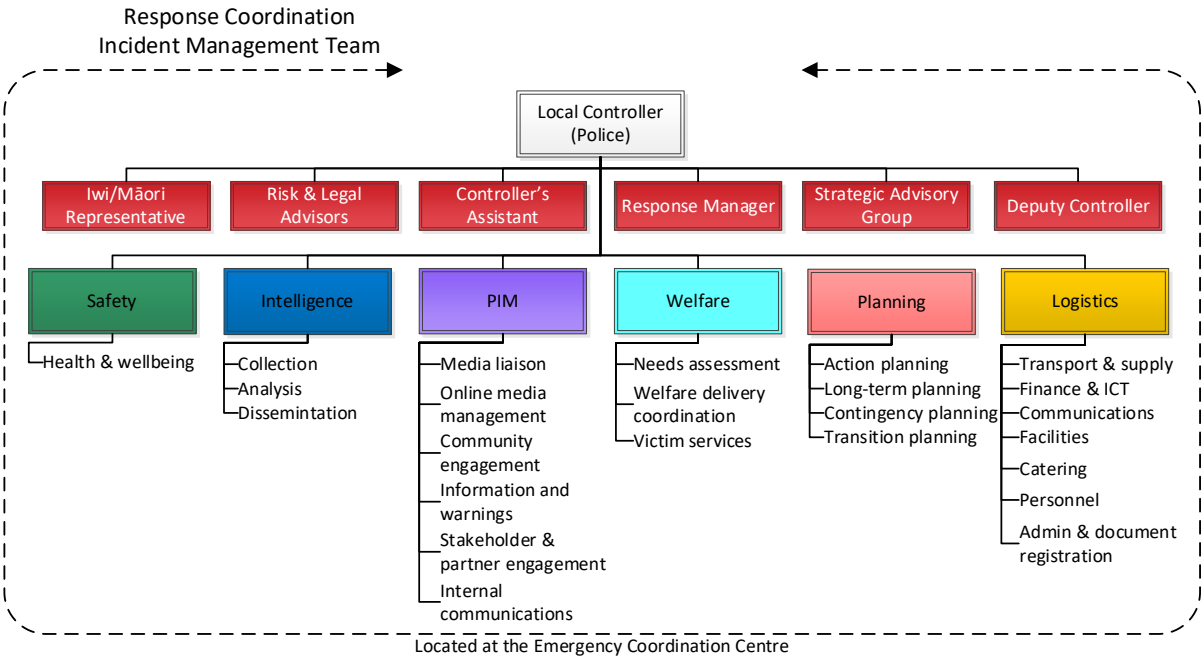

Figure 5 Response Coordination Incident Management Team

Figure 6 shows IMTs set up for security, traffic management and community response, as well as the potential location for that IMT. Each one of these teams would be structured using CIMS and would coordinate with the other IMTs both directly and through the Response Coordination IMT and Local Controller. This figure is a part of the wider all-of-government context, shown in Figure 2.

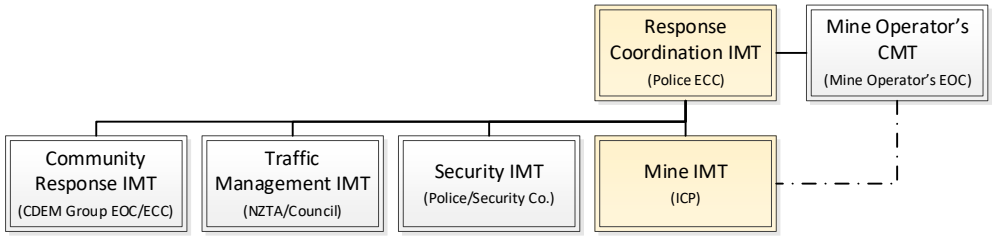

Figure 6 ECC coordination with wider response elements

Control function

Local Controller (Police)

The Local Controller is appointed by Police, as the lead agency, to coordinate all aspects of the response. This includes:

- Developing an Action Plan and other plans for response coordination purposes,
- Supporting the Mine Incident Controller with the rescue operation,
- Supporting any of the Incident Controllers managing additional aspects of the response,
- Drawing on the expertise of the Strategic Advisory Group to inform decision-making-,
- Leading communications initiatives to keep families, media, the community, and the government informed throughout the response,
- Providing strategic advice to the lead agency and all-of-government response,
- Liaising with the mine operator to ensure appropriate access to resources and information,
- Liaising with stakeholders including WorkSafe and the Mines Rescue Service, and
- Supporting any statutory investigations.

Response Manager

The Response Manager supports the Local Controller by managing the day-to-day activities of the Emergency Coordination Centre. Responsibilities of the Response Manager may include:

- acting on behalf of the Local Controller as required,
- ensuring the timely execution of the Action Plan,
- ensuring the smooth running of all response coordination activities,
- coordination between functions and other IMTs involved in the response
- oversight of responder safety and well-being is maintained, and
- keeping the Local Controller informed of mission critical risks.

Strategic Advisory Group

The Strategic Advisory Group takes a broad view of the response and supports the Local Controller on matters such as:

- agency statutory requirements and capabilities
- engaging with families and victim support
- political interests and interactions
- community interests and interactions
- supporting the Technical Advisory Group through solution resourcing
- engaging with media

Standing membership of the Strategic Advisory Group includes:

- New Zealand Police
- Fire and Emergency New Zealand
- Mines Rescue Service
- WorkSafe New Zealand

Risk and Legal Advisors

The Local Controller may draw on legal expertise from the Police to ensure the rescue operation and associated incident management activities and response coordination activities are taking the legal context into account. Agencies will take their own legal advice for their functions and involvement in the response.

The operational risks associated with any rescue or recovery operation need to be addressed by underground mine rescue experts. A wider view of risk will also need to be considered that addresses the built, social, natural, and economic environments.

All IMTs will operate in an environment where risks are considered dynamically, and the response arrangements adjusted to reflect the risks.

Iwi/Māori Representation

The Local Controller will be cognisant of the effects of the incident on local iwi and will engage with iwi as soon as possible in the response. Understanding areas of cultural significance, local customs, iwi capabilities and resources, may assist in a timely and considered response and recovery.

In addition to iwi/Māori representation, in certain circumstances, engaging with other communities of interest may also be appropriate, e.g., when a significant number of foreign nationals are involved in the incident.

Local Controller's Assistant

The Local Controller's Assistant is responsible for:

- Supporting the Local Controller with all administrative arrangements, including email and calendar management,
- Maintaining the Decision Log and Activity Log for the Control team,
- Pre-empting task follow-ups,
- Setting up video and teleconferences,
- Liaising with the IMT to provide additional support, and
- Supporting the health, safety and wellbeing of the Control team including helping with meals and general support.

Planning

The Planning function, at the response coordination level, is responsible for:

- Developing the Action Plan, contingency plans, and transition plan/exit strategy
- Coordinating the planning, in conjunction with Public Information Management, for any VIP engagements/visits.

- Engaging with all functions within the IMT and the Planning functions across incident specific IMTs to ensure that the Action Plan addresses the wider needs of the response.

Intelligence

The Intelligence function, at the response coordination level, is responsible for:

- Identifying and receiving the information requirements of key decision-makers (e.g., Local Controller and function managers).
- Overseeing the collection of data and information that will help meet those requirements.
- Collating and managing collected data and information.
- Evaluating the reliability of the data and information.
- Processing data and information in preparation for analysis.
- Analysing data and information and creating intelligence products (for example, Situation Reports (SitReps), profiles, intelligence summaries, oral briefings, etc.).
- Producing and disseminating intelligence to users and/or decision-makers.
- Managing documents or products created by the Intelligence function
- Gathering feedback about how the products are used and identifying any remaining (or new) information requirements that still need to be met.
- Contributing to the planning process, including the development of the Action Plan.
- Attending Incident Management Team (IMT) meetings and keeping the Controller and wider IMT informed of the Intelligence aspects of the response.

Intelligence takes a wider view of the response and recovery to ensure a complete picture, including the rescue operations, can be included in situational awareness and the decision-making process.

Logistics

The Logistics function, at the response coordination level, is responsible for:

- Setting up and maintaining the Emergency Coordination Centre.
- Receiving authorised resource requests and requesting or procuring the resources and facilities.
- Receiving, storing, maintaining, and issuing resources if required.
- Notifying response IMTs of available resources.
- Identifying and managing critical resources.
- Tracking resource use (procured through the ECC) and financial expenditure.
- Working with response IMTs to operate any required Assembly Areas.
- Arranging transport and accommodation for ECC staff.
- Arranging catering for ECC staff
- Establishing and maintaining communications equipment.
- Establishing and maintaining information technology networks.
- Providing record-keeping and administrative support.

- Advising the Local Controller and the response IMTs of any logistics issues and critical resource levels.
- Contributing to the planning process, including the development of the Action Plan; and
- Attending Incident Management Team (IMT) meetings and keeping the Controller and wider IMT informed of the logistics aspects of the response.

Safety

The Safety function, at the response coordination level, is responsible for:

- Collecting, collating, and analysing safety, health and wellbeing information based on risks posed by an incident and its management.
- Working with the Risk Advisor to ensure that the response risk registers are addressing safety, health and wellbeing matters so that the risks are understood and controlled, and that controls are checked to ensure that they are working.
- Establishing arrangements for the control, monitoring and reporting of safety, health, and wellbeing issues by the CIMS functions.
- Ensuring that dynamic safety risk assessments are being completed and documented, as appropriate.
- Maintaining a log and record of incidents, near misses and activities pertaining to health and safety.
- Providing health, safety and wellbeing advice and recommendations for the situation reports (SitReps), action plans and other response coordination plans.
- Attending Incident Management Team (IMT) meetings and keep the Controller and wider IMT informed of the health and safety aspects of the response, including fatigue management, and critical incident stress debriefing.

Public Information Management

Public Information Management is responsible for:

- Advising the Local Controller on the potential effects of proposed actions on external and internal relations.
- Serving as the dissemination point for all news releases from the ECC.
- Coordinating to ensure that response staff and other stakeholders receive timely and accurate information about the situation.
- Preparing and sharing clear, accurate, frequent, relevant, and timely information directly with the impacted staff.
- Identifying key partners, including iwi and key stakeholders, and ensuring they are briefed and provided with up-to-date, relevant information, as well as providing a consistent point of contact within the ECC.
- Ensuring online channels, call centre personnel are updated frequently to have current public information and key messages.
- Monitoring the public and media reactions and passing information to Intelligence and other relevant IMT functions.
- Coordinating with other organisations' Communications functions, approved by the Controller, to ensure consistent and coordinated messages and to avoid duplication.

- Liaising with VIPs (e.g., local, and national politicians) and their personnel about site visits.
- Supporting other functions to ensure that all staff involved in public-facing activities are accurately informed.
- Preparing speaking points and preparing interview locations.
- Liaising with Strategic Communications (All-of-Government communications network, when activated) to ensure consistent public information is given at all levels of the response and governance.
- Contributing to the planning process, including the development of the Action Plan; and
- Attending Incident Management Team (IMT) meetings and keeping the Controller and wider IMT informed of the Public Information Management aspects of the response.

Welfare

The Welfare function is responsible for:

- Ensuring the welfare needs of affected people are identified and met through response and into recovery as appropriate.
- Coordinating with other organisations on the provision of welfare services to ensure delivery is integrated, timely, and aligned to the need of the people affected
- Planning, coordinating, and integrating welfare activities with other IMT functions and activities.
- Providing timely and accurate welfare information, through Public Information Management, to affected individuals, families/whānau and communities
- Identifying welfare priorities and providing strategic and operational advice to the Local Controller.
- Contributing to the planning process, including the development of the Action Plan; and
- Attending Incident Management Team (IMT) meetings and keeping the Controller and wider IMT informed of the Welfare aspects of the response.

Financial matters

Mine operator

The mine operator is responsible for meeting the full cost of responding to the emergency.

Mines Rescue Service

Acting for, and on behalf of the Mines Rescue Board, the direct and indirect costs incurred by the Mines Rescue Service in deploying mines rescue brigades and other resources and providing advice to mine operators during emergencies are payable by the mine operator where the emergency occurred.

Mine operators responding in support

The direct costs associated with the deployment of trained mines rescue personnel and equipment, upon request of the Mines Rescue Service, will be met by the Mines Rescue Service.

The indirect costs associated with supporting the response remain with the supporting company, e.g., back-filling staff, equipment rental or ceasing operation.

Emergency services and government agencies

Emergency services and government agencies will meet the full cost of the agency response to the emergency, unless there are cost recovery arrangements already in use by the agency for the services provided.

Terms and definitions

Term	Definition
Act	Mines Rescue Act 2013.
CIMS	The New Zealand Coordinated Incident Management System. The current edition is CIMS 3rd Edition.
Emergency	An incident at a *mining operation* that has resulted in, or may result in, the death of any person.
HSWA	Health and Safety at Work Act 2015.
IMT	A group of incident management personnel that support the Controller. It includes the Controller and the managers of Planning, Intelligence, Operations, Logistics, Public Information Management, Safety and Welfare functions. It could also include a Response Manager, Recovery Manager, Risk and Legal Advisors, and Technical and Science Advisors. [NB. Safety added to this CIMS definition].
Incident	For the purposes of this Protocol, the cause of an emergency response, e.g., a medical incident, fire, power outage, collapse, explosion, or flood.
Incident Control Point (ICP)	A single location where an Incident Controller and member of the Incident Management Team coordinate and manage response operations at an incident level response [CIMS 3rd Edition].
Incident Controller	The person in charge of the Mine Incident Management Team and who directs response activities and fulfils management functions and responsibilities.
Lead agency	For the purposes of this Protocol, the lead agency is the New Zealand Police.
Mine IMT	The incident management team, based on the CIMS structure, with responsibility for the mine emergency response. The Mine IMT is led by the Mine Incident Controller.
Mining operation	includes any of the following activities and the place at which they are carried out: i. Exploring for coal ii. Mining for coal or minerals iii. Processing coal or minerals associated with a mine iv. Producing or maintaining tailings, spoil heaps, and waste dumps

Term	Definition
	v. The excavation, removal, handling, transport, and storage of coal, minerals, substances, contaminants, and wastes at the place where the activities described in subparagraphs (i) to (iv) are carried out vi. The construction, operation, maintenance, and removal of plant and buildings at the place where the activities described in subparagraphs (i) to (iv) are carried out. vii. Preparatory, maintenance, and repair activities associated with the activities described in subparagraphs (i) to (iv). A mining operation includes a **tunnelling operation,** as defined by the Health and Safety at Work Act 2015, to the extent to operation relates to a tunnel or shaft that is, or is intended to be, at least 150 metres long. A mining operation does not include tourism mining operations.
Protocol	This Emergency Response Protocol: Underground Mines and Tunnels.
Recovery operation	Defined for the purpose of this Protocol as the field-based activity to locate and remove the victims of the emergency. Recovery operations are led by New Zealand Police with the support of the Mine Incident Controller.
Regulation	Health and Safety at Work (Mining Operations and Quarrying Operations) Regulations 2016.
Rescue operation	Defined for the purposes of this Protocol, the field-based activity to locate and safely extricate personnel trapped underground where the is a reasonable probability of survival. The Mine Incident Controller is responsible for rescue operations.
Response coordination	For the purposes of this Protocol, activities associated with the Local Controller (Police) and include the control, intelligence, planning, logistics, communications, and liaison functions.
Response Coordination IMT	The incident management team, based on the CIMS structure, with responsibility for the response coordination activities, potentially across multiple IMTs. The Response Coordination IMT is led by the Local Controller.
Response operations	Activities associated with the Mine Incident Management Team and includes control, intelligence, planning, logistics, and operational activities. The Mine Incident Controller is responsible for co-ordinating response operations.

Term	Definition
Safe Forward Point	A safe location near the incident used as a meeting place for personnel [CIMS 3rd Edition].
Strategic Advisory Group (SAG)	The group of agencies or individuals with emergency management, response coordination and all-of-government response knowledge or responsibilities intended to support the decision-making of the Local Controller.
Technical Advisory Group (TAG)	The group of agencies or individuals with specialist knowledge, or technical expertise, intended to support the decision-making of the Mine Incident Controller.
Tunnelling operation	a) Means an operation involving the extraction of fill with the purpose of creating a tunnel or shaft or enlarging or extending a tunnel or shaft; and b) Includes the place where an operation described in paragraph (a) is carried out; but c) Excludes a tunnelling operation of a kind declared under clause 5 [of the Act] not to be a tunnelling operation.

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