

# **Document Creation/Amendment/Abolition Application**

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#### XJTLU Critical Incident Plan

Doc. ID:	11-008-005- XJTLU Critical Incident	8-005- XJTLU Critical Incident Plan				
Version:	0.0					
Author:	Health and Safety Affairs Office					
Date:	Date proposed: 10-08-2016 Date approved: Date of effective: Date of next review: Review as nece	pproved:  f effective:				
Responsibility:	University Officer: SMT Office:					
Confidentiality:	☐ SMT only ☐ Author department only ☐ HoD only ☐ Academic staff only ☐ Administrative staff only ☑ All staff ☐ All staff and student	Author department only HoD only Academic staff only Administrative staff only All staff				
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Xi'an Jiaotong-Liverpool University Confidential and Proprietary Information

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### **Document Amendment Records (DAR)**

Date	Revision	Reason	Page	Description	DAR#	Effective Date
10-08-2016	0.0	New policy creation	18	XJTLU Critical Incident Plan		
				7		
	180					

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#### **XJTLU Critical Incident Plan**

西交利物浦大学紧急事件处理方案

Section 1: Objectives 第一章 编制目的

**Article 1** Health and safety is vital to the whole The Xi'an Jiaotong-Liverpool University (XJTLU) community. XJTLU aims to provide the protection of its personnel engaged in university business, attending students, visitors, facilities and surrounding environment through the development and implementation of a comprehensive safety and environmental protection programme. This Critical Incident Plan is hereby enacted and combined with existing university practice to strengthen the ability of emergency management.

**第一条** 健康安全是西交利物浦大学管理中至关重要的一部分。西交利物浦大学一直致力于通过制定和实施一个全面的安全和环保计划以保护其雇员、在校学生、访客、设施和周边环境。为了进一步提高我校紧急应变能力,结合我校的实际运作情况,特制定本方案。

This plan is a comprehensive plan. All Departments can formulate specific implementation plan and procedure according to Departmental actual practice. In the process of the critical incident handling, Central Team of Critical Incident Dealing can implement it according to the actual situation and make corresponding adjustment. The specific implementation plan and detailed rules should keep consistency of the principle with this plan.

本方案为综合性方案,各部门可以依照部门实际情况制定具体实施方案和流程。在各紧急事件处理过程中,紧急事件处理核心领导小组可以根据实际情况予以实施并做相应的调整。具体实施方案和细则应与本综合性方案保持原则一致性。

Dealing with any kind of critical incidents should abide by the principle of "life first", and focus on the health and welfare for the disabled.

处理任何紧急事件时,均应遵守"生命第一"的原则,并着重关注残疾人的健康与福利。

Article 2 Following are some key elements which this incident plan considers:

第二条 本方案着重考虑以下关键因素:

1) Governance 治理能力

Leadership in general for all incidents and roles and responsibilities of staff 所有事件中综合领导力水平以及参与员工的角色与职责

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Support external to the University (local police, fire, hospital, etc.) 社会力量支持(公安、消防、医疗等)

- Communication 沟通能力
   Effective communication within and/or external to the University
   有效的校内和校外沟通
- 3) Prevention 预防能力
  Preparedness and prevention (where possible) of critical incidences
  在可能条件下尽可能及早发现并对紧急事件预防和预警
- 4) Institutional Learning 学习能力
  Recovery and institutional learning after a critical incidence
  在事件发生后及时组织恢复和善后并从中学习经验和制度改善

Section 2: Definition and Scope

第二章 定义与范围

Article 3 The term "critical incident" in this document refers to the incident which could occur at any time and endanger the health and safety and feeling of security of all or some members of the XJTLU community. A critical incident may be defined as any event which threatens to cause major disruption and major reputation risk to the functioning of the University (in part or as a whole), including incidents happened in campus activities, business trip and other activity organized by XJTLU which is away from campus. A critical incident creates significant actual danger/risk or creates a situation where staff, students and parents feel unsafe, vulnerable and under stress. A critical incident also carries the risk of significant adverse publicity and financial loss.

**第三条** 本方案中所指"紧急事件"为可能随时发生并且危害到西交利物浦大学全体师生及工作人员健康安全,并且对学校(部分或全体)造成正常教学、科研及其他校园活动秩序影响和有声誉影响风险的事件,包括在校园内发生和因学校公务活动出差以及参加由学校组织的校外活动中发生的紧急事件。紧急事件会对西交利物浦大学全体师生、工作人员及家长造成紧张、不安和心理压力,并且会造成不良社会影响及财产损失。

**Article 4** Considering severity probability of occurrence and stakeholders, a critical incident can be divided into the following categories:

**第四条** 综合考虑事件严重程度、发生概率和利益相关人,紧急事件可以分为以下几种 类型:

1) Category A Severe Individual Critical Incidents 类别 A 严重个体紧急事件 Individual incidents on this level are those of high risks and high probability of occurrence, which have most profound impact to the university and staff/students as well as their

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families. These incidents include but not limited to the following:

严重个体紧急事件指的是有高风险和高发性特点的事件,此类事件对学校和个体(教职工或学生)及其家庭产生严重的影响。此类事件包括但不限于:

- A. Death caused by accident/suicide 自杀或事故导致的死亡
- B. Mental health problems which may lead to suicide, serious physical harms to the victim him/herself or others 有自杀和伤害他人倾向的严重精神问题
- C. Life threatening illness or injury 有生命危险的疾病或意外伤害
- D. Missing or losing communication for 2 days and above with obvious victim signs 失踪 或失联超过 2 天且有明显可疑受害征兆
- E. Serious crime leading to detaining or capital penalty or repatriated 被拘留或罚款或 造返的严重犯罪行为
- 2) Category B General Individual Critical Incidents 类别 B 一般个体紧急事件 Individual incidents on this level are those of intermediate risks but still high probability of occurrence, which have impact to the university and staff/students as well as their families. These incidents include but no limited to the following:
- 一般个体紧急事件指的是有中等风险和高发性特点的事件,此类事件对学校和个体(教职工或学生)及其家庭产生一定的影响。此类事件包括但不限于:
- A. Serious Injury caused by accident/illness 疾病或事故导致的严重伤害
- B. Mental health problems leading to potential physical harm to the victim him/herself or others 有自残和伤害他人倾向的严重精神问题
- C. Physical conflicts 肢体冲突
- D. Harassment or discrimination (Sexual/racial/other) 骚扰和歧视(包括性别、种族等)
- E. Non-life-threatening disease outbreak leading to a quarantine of a comparatively small number of students (T<1 month) 小范围内的疾病传播,时间不超过 1 个月
- F. Missing or losing communication for 2 days without victim signs 失踪或失联超过 2 天但没有明显可疑受害征兆
- G. Individual safety accident 个体安全事故
- 3) Category C University Group Critical Incidents 类别 C 校园群体紧急事件 Group Incidents on this level are those happened in campus area, and cause disruption to the functioning of the University (in part or as a whole). These incidents include but no limited to the following:

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校园群体紧急事件指的是发生在校园范围内,对校园正常活动造成部分或全部影响的 事件。此类事件包括但不限于:

- A. General anomalies (smoke or water emitting, chemical spillage etc.) 一般性异常情况(冒烟、冒水、化学品泄漏等)
- B. Mass food poisoning 群体性食物中毒
- C. Infrastructure outage(including water supply failure, power outage, gas outage and IT infrastructure outage etc.)校园基础设施的大面积故障(包括水、电、气和 IT 设备等)
- D. Terrorist attack/ Threats 恐怖袭击/个体危害公共安全事故
- E. Plague of insects 虫灾
- F. Fire and explosion 火灾和爆炸
- G. Trapped in the lifts 电梯困人
- H. Campus traffic accident 校园内交通事故
- I. Stampede accident 踩踏事故
- J. Campus-wide epidemic disease outbreak leading to a quarantine of a large number of students (T≥1 month) 校园内传染性疾病疫情爆发,时间超过 1 个月
- 4) Category D Social Group Critical Incidents 类别 D 社会群体紧急事件

Group Incidents on this level are those happened in the society, while have severe impact to the functioning of the University. Usually for these incidents, the main stakeholder is the government. These incidents include but no limited to the following:

社会群体紧急事件是指社会上发生的但同时对学校正常活动产生影响的紧急事件,通常此类事件需要由政府来主导。此类事件包括但不限于:

- A. Pollution levels severely impacting immediate health 导致急症的严重污染
- B. Civil unrest possibly resulting in travel in other restrictions 部分地区社会动乱导致的 旅行限制
- C. Armed conflict (locally or internationally) 武装冲突(本地或国际)
- D. Diplomatic incidents impacting groups of foreign staff and students 外交事件从而影响部分外国师生
- E. Natural disaster 自然灾害
- F. Large-scale epidemic disease outbreak 大范围传染性疾病疫情爆发
- G. National Security policy infringements (sensitive religious and political activity) 违反 国家安全条例的敏感性政治和宗教活动

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#### H. Terrorist activity 恐怖主义活动

**Article 5** Special critical incident plans can be made for those incidents which are not listed above, difficult to handle, happened cross countries and districts or others are not applicable for this plan. Special critical incident plan should keep consistency of the principle with this plan.

**第五条** 不属于以上列举类型、处理情形复杂、跨越国家或地区以及其他无法遵守本方案 处理流程的紧急事件可以制定专项应急事件处理方案。专项紧急事件处理方案须与本方 案保持原则一致性。

#### Section 3: Responsibilities

第三章 职责

Article 6 Critical incident dealing is organized and led by a Central Team. A Gold Leader of the Central Team, who will be tasked with putting the team together, should be appointed by relevant SMT member. The Gold Leader will be responsible for setting up a critical incident log to record all events, and for nominating a secretary to administer the log. 第六条 紧急事件处理由紧急事件处理核心小组来组织领导。由高级管理团队任命一位小组组长负责紧急事件的统筹协调处理,小组组长任命其他成员组成,并领导小组作好事件处理工作。小组组长应负责建立事故处理日志来记录处理过程,并任命一名秘书来整理并记录此处理日志。

In the process, the Central Team may request assistance from other department members and external support personnel to support in the coordination and action. Participants in cooperation should be subject to the leadership and the command of Central Team. If the incident is serious enough to the extent to be dealt by government officials, XJTLU all participants are required to obey the unified command of the government.

在处理过程中,核心小组可要求其他部门成员和外部支持人员参与协调和行动。参与配合的成员应当服从核心小组领导指挥。当事件发展到由政府人员主导时,西交利物浦大学全体参与人员须服从政府统一指挥。

**Article 7** Central Team members are different as the incident categories are varied: **第七条** 针对各事件类型不同,紧急事件处理核心小组成员组成也不同:

1) If this accident is identified as "Category A Severe Individual Critical Incidents", the Central Team member are Senior Management Team (SMT) and corresponding office;

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判断类型为"严重个体紧急事件"时,紧急事件处理核心成员为西交利物浦大学 高级管理团队(校长和副校长)和对口管理办公室

- 2) If this accident is identified as "Category B General Individual Critical Incidents", the Central Team member are relevant VP and corresponding office; 判断类型为"一般个体紧急事件"时,紧急事件处理核心成员为分管副校长和对口管理办公室;
- 3) If this accident is identified as "Category C University Group Critical Incidents", the Central Team member are Senior Management Team (SMT), Campus Management Office (CMO), Management Information Technology and System Office(MITS) (for IT infrastructure outage incident) and Property Management Company; 判断类型为"校园群体紧急事件"时,紧急事件处理核心成员为西交利物浦大学高级管理团队、校园管理办公室、管理信息技术和系统办公室(处理 IT 设备大面积故障事故)和物业管理公司;
- 4) If this accident is identified as "Category D Social Group Critical Incidents", XJTLU all participants are required to obey the unified command of the government. 判断类型为"社会群体紧急事件"时,西交利物浦大学服从政府统一指挥。

Health and Safety Affairs Office should be informed after all kinds of incidents. According to the severity, Health and Safety Affairs Office will advise in the incident handling. During Spring Festival and National Holiday in University Closed day period, Health and Safety Affairs Office will send out Emergency Contact List and organize emergency contact work. 所有紧急事件发生后,健康与安全事务办公室成员必须被通知到。根据事件紧急程度,健康与安全事务办公室将根据情况指导事件处理。校园关闭日中的春节和国庆节期间,健康与安全事务办公室发送各部门紧急联络人名单,并组织好紧急联络工作。

Thereinto, corresponding offices are varied as different parties involved. Please refer to the form below:

其中,"对口管理办公室"根据实际事件涉事人的不同,会有所不同,具体请参照下表:

涉事人员 Parties Involved	对口管理办公室 Relevant Department
教职工 Staff	人力资源办公室 Human Resources Office
国内学生 Domestic Student	学生事务办公室 Student Affairs Office
国际学生 International	西浦国际
Student	XJTLU Global
访客 Visitors	接待该访客的部门

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The visitor receiving department

Article 8 The main responsibilities of the central team include:

第八条 核心小组的主要职能包括:

- 1) Assess the risks and make reasonable work deployment 评估事件风险,做出合理的工作部署
- 2) Take overall control of the situation to reduce its negative impact 总体控制局势,减少对学校的负面影响
- 3) Protect the interests of the university, and of staff/students as well as families 保护学校利益,同时保护涉事教职工/学生及其家庭利益
- 4) Communicate and maintain good relationship with all stakeholders 与所有利益相关人保持沟通,维护良好关系
- 5) Manage public relations 维护公共关系
- 6) Timely confirm the supporting parties from internal and external, assign the task for each members

及时确认配合部门及外部支持力量,布置各组员的任务细分

**Article 9** Internal support members are assigned by the Central Team, usually their responsibility are as following:

**第九条** 配合部门由核心小组根据事件具体状况来指派,一般可能涉及部门及相关职责如下:

- 1) Health and Safety Affairs Office- Provide health and safety guidance on internal rescue, keep effective communication with external rescue forces 健康与安全事务办公室 提供健康与安全信息指导内部救援工作,保持与外部救援力量的有效沟通
- 2) University Marketing and Communication- Manage the relationship with media, monitor and guide public opinions to reduce negative impact 市场与交流办公室- 维护与媒体之间的关系,监督和控制舆情来减少不良影响
- 3) Campus Management Office Command the Property Management Company to monitor and protect the incident scene 校园管理办公室 管理物业团队做好现场的警示与监控
- 4) Registry Evaluate the impact on the student's studies and change school roll status accordingly
  - 教务办公室 评估事件发生对于学生学习的影响,根据情况改变学生学籍状态
- 5) The Department where the staff is working/where student is studying- provide

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support and to be updated of the progress Central Team achieves in dealing with the incident

涉事人员所在的院系 - 提供支持,并随时跟进核心小组处理事件的进展

- - 涉事学生生活辅导员-安抚涉事学生和其他同学,追踪动态并及时反馈,并与 家长保持沟通联系
- 7) Finance Office- Prepare emergency funds; complete incident handling financial assessment and insurance reimbursement (Individual student insurance is handled by XJTLU Global and SAO).

财务办公室- 准备应急处理资金,做好事件处理财务评估和相应的保险理赔 (其中个人保险理赔部分由西浦国际和学生事务办公室负责)

**Article 10** Central Team may require external support according to actual situation. External support includes but not limit to followings:

**第十条** 核心小组根据事件具体状况可能需要外部支持,一般外部支持力量包括但不限于:

- 1) Embassy/Consulate of the country-assure that its citizen's interests will be protected; assure the family members of the victim will be given sufficient supports when they are staying in the country or region to solve the problem; When necessary, a smooth communication with the university shall be kept. 涉事人员所在国家大使馆/领事馆-确保本国公民受到保护; 确保受害者家属在当地处理事务期间能得到充分支持; 必要时,保持与学校的良好沟通。
- 2) Dushu Lake Science and Education Innovation District Management Commission-Coordinate and support in serious group incident and assure no diplomatic issue occurs when dealing with the critical incident.

  独墅湖科教创新区管委会-严重校园群体事件中提供协调和支持,保证事件处理过程中不产生外交纠纷。
- 3) Police station involved in the critical incident- Protect public safety; ensure good communication with university; execute Chinese Law. 事件发生地派出所- 保护学校公共安全,保证与学校的良好沟通,执行中国法律。
- 4) Exit & Entry Bureau involved in the critical incident- give sufficient support on Exit & Entry service and ensure good communication with university. 公安局出入境管理大队-提供出入境服务支持,保证与学校的良好沟通。
- 5) Fire brigade- Provide professional rescue support in emergency.

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消防大队-紧急情况下,提供全面的专业救援支持。

6) Insurance Company- Provide medical assistance immediately to ensure first aid in place (medical insurance provider); prepare documentation to facilitate the reimbursement.

保险公司- 第一时间提供医疗援助服务,保证受伤人员急救服务到位(我校医疗保险服务商),保证理赔顺畅。

- **7)** Hospital for medical treatment- give treatment for the injured people. 治疗受害者的医院-治疗受伤人员。
- 8) Legal Consultant- Provide legal consulting service to protect university's interests. 律师- 提供法务咨询服务,维护学校利益。
- 9) Translator/Interpreter- Provide language service, and build communication bridge for different parties (Internal Multilingual/Minority language Talents Database can be built in the university to give priority to provide language service). 翻译- 提供语言服务,协助多方沟通(学校可以建立内部多语言人才库优先提供应急时的语言服务)。

**Section 4: Early Warning** 

第四章 预警

**Article 11** There will be an omen before some incidents happen. Once an incident omen is found by university departments, it shall be timely reported to the Central Team of incident handling to avoid the incident or reduce the negative impact of it.

**第十一条** 在一些紧急事件发生前会有前兆,学校各职能部门在日常工作中发现事件前兆 现象,应当及时向紧急事件处理核心团队汇报,尽可能避免紧急事件发生或降低事件发生 所产生的负面影响。

**Article 12** Following phenomena are counted as incident omen, including but not limited to: **第十二条** 下述现象为事件前兆现象,包括但不限于:

- 1) Abnormal mental health status of staff/students 发现学生或教职工有心理健康状况异常
- 2) Suspicious personnel in campus 学校里发现可疑人员
- 3) Individual student/staff has been diagnosed to have infectious disease 个别学生或教职工确诊传染性疾病
- 4) Abnormal operation is detected or fault alarm 学校公用设备指示异常运转或故障报警
- 5) Leaking Gases Alarm is triggered

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气体泄漏报警器被触发

- 6) Fire alarm system is triggered 消防系统报警器被触发
- 7) Abnormal condition of the building structure 校园建筑物结构异常

**Article 13** If incident omen disappear or problem has been solved, the incident handling terminated; if the omen develop and become an incident, then the procedures for dealing with critical incident start.

**第十三条** 若前兆现象消失或故障已解决,则紧急事件处理终止;若前兆现象持续并发展成为紧急事件,则按紧急事件处理流程开始处理。

### Section 5: Procedures for Dealing with Critical Incident 第五章 处理流程

Article 14 After a critical incident happen, the first responder shall estimate the incident type and category and report to the corresponding Central Team. According to severity and development of the incident, the Central Team launches the corresponding dynamic response mechanism. Judgment and analysis of the incident should consider the nature of the incident, the victim status, the effects on the campus and society etc. Central Team shall also listen to the opinions of the experts on health, safety and mental health.

第十四条 紧急事件发生后,首先应当由紧急事件处理第一响应人判断该事件所属种类, 汇报给相应的事件处理核心小组。核心小组根据事件严重程度以及随着事件的发展的不断 变化,采取相应的动态响应机制。判断和分析事件时,应当综合考虑事件性质、受害人的 状态、对校园和社会造成的影响等,并且应当听取健康安全和心理卫生方面专家的意见。

Article 15 After the nature of incident has been determined, the Central Team shall conduct preliminary investigation immediately, inform all stakeholders, divide the work for all team members and propose a process plan. Keep good communication between each stakeholder and do risk analysis of the incident development. Keep every meeting minutes and periodic reports. When there is no signs indicating further deterioration, and all stakeholders agreed to end, critical incident handling officially end.

**第十五条** 当事件定性后,紧急事件处理核心成员应当做好事件初步调查,通知所有利害关系人,并马上为所有成员做好工作细分和工作推进计划,在工作推进过程中,注意做好各关系人之间的沟通、事件发展的风险分析、会议纪要以及阶段性报告。当紧急事件没有进一步恶化趋势,且所有利害关系人都同意结束处理时,紧急事件处理正式结束。

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**Article 16** Detailed incident processing flow please refer to Appendix 1. The template of Critical Incident Description Report please refers to Appendix 2.

第十六条 具体的紧急事件处理流程图详见附件1,紧急事件描述报告模板请参照附件2。

Section 6: Incident Information Publication 第六章 信息通报

Article 17 All critical incident information must be released by the designated spokesman after the incident handling plan was review by Central Team. Other unauthorized personnel shall not release any details of the incident on behalf of the university officials arbitrarily. 第十七条 所有紧急事件的信息必须由核心小组协商处置方案评审通过后指定发言人进行公开发布。其他人员不得随意代表学校官方发布事件的细节信息。

Article 18 Information Publication shall comply with the national laws and regulations and seek truth from facts. The content shall be objective, fair, detailed, timely and accurate. Pay attention to protect the privacy of personal information when publish information about individual critical incident. Information about group critical incident shall be published timely and effectively to prevent further deterioration due to the delay of information publication. 第十八条 发布的信息应遵守国家法律法规,实事求是、客观公正、内容详实、及时准确。发布个体紧急事件的信息应当注意对个人隐私的保护,发布群体紧急事件的信息应当及时有效,防止事件由于信息发布不及时而进一步恶化。

**Article 19** Information publication forms include but not limit to campus network, accepting interview and press conference. Some information will be published by the government, media organizations etc.

**第十九条** 信息发布形式主要包括但不限于校园网内公布、接受记者采访、举行信息 发布会;或交由政府、媒体机构等进行公布。

### Section 7: Afterwards Management 第七章 后期处置

Article 20 After critical incident end, the Central Team shall submit incident debriefing report to the University Health and Safety Committee for the record. In accordance with the requirements of law and request from University of Liverpool, University Health and Safety Committee will report to the local government and University of Liverpool as appropriate.

第二十条 紧急事件处理终止后,应当向学校健康安全委员会递交紧急事件处理总结报告备案。根据法律和利物浦大学要求,学校健康安全委员会酌情汇报至当地政府管理部门和利物浦大学。

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Article 21 The incident debriefing report shall consider following aspects:

第二十一条 总结报告应当包括以下内容:

- Incident overview (including time and place of the incident, the impact scope, losses, involving personnel situation, the preliminary causes);
   事件情况,包括事故发生时间、地点、波及范围、损失、涉及人员情况、事故发生初步原因;
- Incident handling process 应急处置过程;
- 3) Resources used in the process 处置过程中动用的应急资源:
- 4) Problems faced, experience gained and lessons learned 处置过程遇到的问题、取得的经验和吸取的教训
- 5) Suggestions on modification of this plan (optional) 对本方案的修改意见(选填)

The template of Critical Incident Debriefing Report please refers to Appendix 3. 紧急事件总结报告模板请参照附件 3。

## Section 8: Annex

第八章 附则

Article 22 This plan comes into effect on the day of promulgation. Should there be any discrepancy between Chinese and English version, the English version shall prevail. 第二十二条 本方案自发布之前起施行。如中文版本与英文版本有异,以英文版本为准。

**Article 23** University Health and Safety Committee is responsible for the interpretation and amendment of this plan.

第二十三条 本方案由西交利物浦大学校园健康安全委员会负责解释和修订。

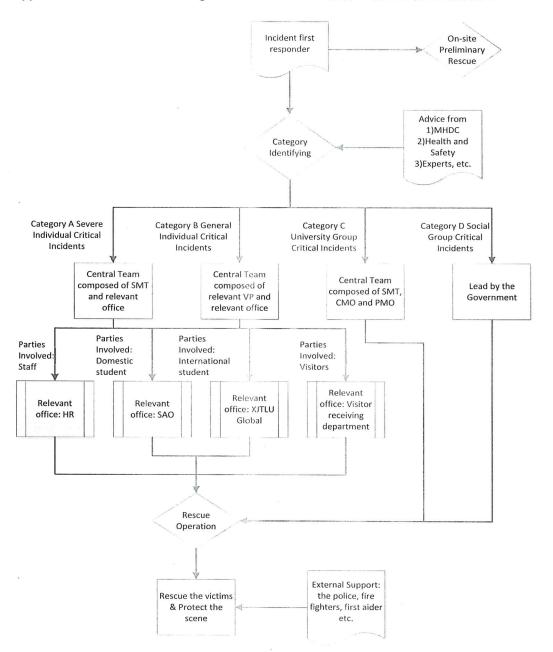
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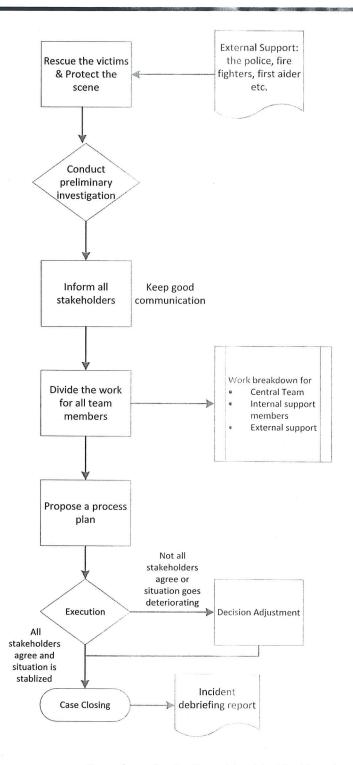


### Appendix 1 Procedures for dealing with critical incident 附件 1 紧急事件处理流程图



Procedures for dealing with critical incident (Carried over)

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Procedures for dealing with critical incident (Brought forward)

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## Appendix 2 Critical Incident Description Report 附件 2 紧急事件描述报告

		Critical Incident Des	cription	
I. Basic Inform	mation			
Parties Involve	ed:			
Critical Incider	nt Category:		Date:	
Written by:			Lead Person in Central Tea	am:
ł	ident description the location, time,		e incident, and injuries)	
	undertaken and thich have been und		ime, location and who under	rtook these actions)
1	nce prediction sting information a	nd experts' analysis, et	2.)	
V. Major cons (factors which	straints impede the resolvi	ing process)		
VI. Cost predi (estimated am	iction ount of money, tim	e and HR)		
VII. Proposals	s for next step			
. Major stakel	nolders (add rows	s if necessary)		
Name	Position	Dept.	Role/Influer	nce in Incident

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# Appendix 3 Critical Incident Debriefing Report 附件 3 紧急事件总结报告

Critica	I Incident Description	
I. Basic Information	al Incident Description	
Parties Involved:		
Critical Incident Category:	D-1	2
Written by:	Date:	
	Lead Person in Central Team:	
II. Critical incident description (details about the location, time, number of	of victims of the incident, and injuries)	
III. Incident handling process		
(all actions which have been undertaken,	including the time, location and who undertook the	se actions)
IV. Consequence	*	
V. Problems faced, experience gained a	and lessons learned	
	and resigns rearried	
VI. Total Cost		
/II. Suggestions on modification of XJT	ΓLU Critical Incident Plan (Optional)	

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