# Phase 1 Facilitator Guide – Legal / Compliance Team

## Phase Overview: Disruption Emerges (T+0 to T+30)

Phase 1 introduces early system anomalies that may appear minor at first but carry potential legal and compliance risk. The Legal team’s role is to identify exposure, especially in areas relating to expired documentation and insurer notification requirements. Their early advice may heavily influence the Executive team's decision to escalate the incident.

This phase tests:

* Legal awareness of documentation risk
* Interpretation of internal policy
* Timing of insurer and Executive engagement

## Injects Relevant to Legal

### P1-1 (T+0 to T+10)

**INJ001C (Noise):** HR Code of Conduct Acknowledgment overdue (sent to Legal and Executive)  
**INJ001F:** Email from Nick Menon, Group Risk & Insurance – delay media response due to insurance clause exposure (sent to Legal)

**Facilitator Notes (P1-1)**

* This is a soft opening for Legal. INJ001F introduces the insurer clause risk.
* Legal may start considering breach thresholds.
* Prompt:
  + "Are you logging insurer-related concerns?"
  + "Have you flagged this to the Executive team yet?"

### P1-2 (T+10 to T+20)

**INJ002B:** Email from Policy Officer about expired contingency documentation (direct to Legal)

**Facilitator Notes (P1-2)**

* This is a key legal inject. Legal must interpret exposure and either escalate or log for later.
* If they fail to act, this may impact scoring.
* Prompt:
  + "Is this a policy failure under your breach checklist?"
  + "Are you informing Executive or gathering more data first?"

### P1-3 (T+20 to T+30)

**INJ003C (Noise):** Policy update – Non-critical PPE update (also sent to Legal)  
**INJ003E (Noise):** HR staff leave report broken – may land in Legal's inbox but is irrelevant

**Facilitator Notes (P1-3)**

* Legal has no critical new action this block but may now be briefing Executive.
* The decision to escalate insurer comms should be building.
* Prompt:
  + "Have you triggered your compliance checklist?"
  + "What’s your current legal position on notifying the insurer or Executive?"

## Legal Role Expectations

* Identify legal risk in expired documentation
* Assess when to notify Executive and/or insurers
* Start compliance logging for audit trail

**Key Policy References:**

* Legal Risk Flowchart
* Breach Disclosure Checklist (Step 1–2)

## Legal Decision Point – Phase 1

**Decision: Act on Expired Contingency Documentation?**

|  |  |  |  |
| --- | --- | --- | --- |
| Option | Description | Implication | Score |
| ✅ Escalate to Executive and advise workaround | Risk managed | Prompts correction, protects from exposure | +8 |
| ⚠️ Monitor issue but delay escalation | Cautious | Limited visibility, insurer timeline risk | +2 |
| ❌ Ignore the issue | Negligent | No documentation trail, vulnerable in review | -5 |

## End-of-Phase Checkpoint Prompt

At or near **T+30**, facilitator should ask:

"Legal team — what decisions have you made so far? Have you notified the Executive about any legal exposure or activated breach protocols?"

Document response and ensure the Executive team is aware.

## Tip for Facilitator

If the Legal team is too passive:

* Refer them back to INJ002B (expired contingency)
* Link it to INJ001F (insurance clause)
* Encourage use of the Breach Disclosure Checklist or Legal Flowchart

#### End of Phase 1 – Legal / Compliance Team Facilitator Guide