# Phase 4 Facilitator Guide – Legal / Compliance Team

## Phase Overview: Resolution and Accountability (T+90 to T+120)

The Legal team plays a central role in the wrap-up of the incident. With breach drafts circulating, ministerial reporting due, and legal risk at its peak, this phase requires clarity, sign-off, and documentation. Legal must provide assurance, compliance validation, and formal close-out language.

This phase tests:

* Final breach assessment and disclosure
* Oversight of report framing
* Legal sign-off on media and executive statements

## Injects Relevant to Legal

### P4-1 (T+90 to T+100)

**INJ013K:** CFO queries insurer coverage before approving brief

**Facilitator Notes (P4-1)**

* Legal should assess whether insurer terms are met
* Align risk language in any statement accordingly
* Prompt:
  + "Has Legal clarified coverage implications for this event?"
  + "Is the CFO looped into the Legal position on disclosure?"

### P4-2 (T+100 to T+110)

**INJ013T:** Department of Infrastructure requests full incident report

**Facilitator Notes (P4-2)**

* Legal must validate the content before submission
* Include references to policy triggers and compliance thresholds
* Prompt:
  + "Have you reviewed the report for language and liability risk?"
  + "Are citations to internal SOPs or policies included in the submission?"

### P4-3 (T+110 to T+120)

**INJ013E:** Breach draft (Legal-led)  
**INJ013J:** Request for full incident log from Coordinator  
**INJ013Q:** Caution raised about issuing statement before CEO is briefed

**Facilitator Notes (P4-3)**

* Legal must ensure consistency between breach notification and external comment
* Legal clearance is the final gate before CEO or public-facing actions
* Prompt:
  + "Has the breach draft been approved and timed for release?"
  + "Have you cross-checked with Coordinator log to verify accuracy?"

## Legal Role Expectations

* Approve breach notice content and timing
* Vet ministerial and media language
* Validate insurer engagement and liability coverage

**Key Policy References:**

* Breach Disclosure Checklist – Step 5
* Incident Report Legal Guidelines
* Legal Approval Template for External Messaging

## Legal Decision Point – Phase 4

**Decision: Approve and Submit Final Breach Notification?**

|  |  |  |  |
| --- | --- | --- | --- |
| **Option** | **Description** | **Implication** | **Score** |
| ✅ Review and approve breach doc and briefing | Sound legal posture | Prevents missteps, ensures protection | +10 |
| ⚠️ Delay release pending clarification | Risk management | Minor lag, defensible delay | +1 |
| ❌ Decline sign-off or avoid involvement | Critical failure | Leaves Executive and Media exposed | -8 |

## End-of-Phase Checkpoint Prompt

At or near **T+120**, facilitator should ask:

"Legal team — has the breach document been reviewed and cleared? Are insurer, regulatory, and executive alignment complete for final report and media?"

## Tip for Facilitator

If Legal seems passive:

* Highlight INJ013E, INJ013T, and INJ013K
* Ask who owns the timing and release of final documentation
* Push for checklist reference to validate closure

#### End of Phase 4 – Legal / Compliance Team Facilitator Guide