

Emergency Planning Protocol (EPP)



PROTOCOL PURPOSE:

To define the key principles and components for Bath & North East Somerset Council emergency and business continuity plans in order for those plans to be developed through a holistic, repeatable and staged process to a consistent standard.

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Author: Richard Look BSc MEPS

With support from the B&NES Business Continuity & Emergency Planning Team (Tracey Fielding, Stephen Bell and Greg Stacey) and from partners in other organisations, most notably, Guy Astley-Jones from South Gloucestershire Council.

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INTRODUCTION

Emergencies are very stressful situations and without the proper preparation those involved could suffer a fight or flight response or even panic. Emergency are driven forward by clear thinking resulting in effective decision making and then the implementation of those decisions. Theodore Roosevelt famously said:

In any moment of decision, the best thing you can do is the right thing, the next best thing is the wrong thing, and the worst thing you can do is nothing.

Without effective decision-making any response will stall. However, decisions can only be made with pertinent, accurate, thorough and timely information. To this end, emergency plans provide frameworks that aid effective decision making, map the systems through which those decisions are implemented and provide a basis against which the organisation can be exercised. These systems reduce the stress of an emergency response, help prevent panic, reduce the chance of failure and increase the effectiveness and efficiency of success.

PLANNING CAN.

It is possible to respond to unpredictable adverse situations without detailed plans. At some level all responses need an element of improvisation because every situation is different, so why plan? The benefits that planning needs to endure include:

- Increased chance of success/reduced risk of failure.
- Planning and rehearsal improves our ability to improvise when the time comes to leave the plan behind
- Key problems and factors are identified and solutions defined in advance.
- Reduces stress and pressure on personnel and organisations during a crisis.
- Identifies gaps in skills/capabilities and provides the basis for consistent training across organisations, for existing and new personnel to be integrated into procedures.
- Improves effectiveness by correctly focusing the response on community and organisational needs.
- Improves efficiency by providing a basis against which systems can be refined and learning implemented.
- Provides a basis for continuous improvement.
- Defines the context within which the response is delivered.

- Increases the ability of management to maintain strategic, tactical and operational control.
- Effective team working with everyone aware of each other's role and how best to provide mutual support.
- Engages all stakeholders appropriately so that plans are adjusted to take into account their perspectives and for ownership to be shared.
- Allows changes to be managed and barriers to be removed.
- Allows for the definition, testing and development of command and control (management) systems.
- Establishes the basis for effective communication in pressurised situations.
- Allows appropriate consideration of key factors and for assumptions to be tested.
- Supports the transition from response to recovery and longer-term regeneration.
- Allows potential vulnerabilities to be mapped and security arrangements to be put in place.
- Supports business continuity and organisational resilience.

PLANNING CANNOT:

- Eradicate the risk of failure.
- Identify and solve every problem.
- Remove the need to improvise.
- Substitute for skills, experience, training, and resources.
- Allow staff to be complacent or apathetic.

The following Plans Protocol has been written to meet the above quality standard and to ensure all plans developed using this protocol also meet this standard.

The document has been divided into three parts.

- Part 1 The emergency planning process
- Part 2 Generic emergency plan structure
- Part 3 Embedding within organisations

PART 1 EMERGENCY PLANNING PROCESS

The overall vision of the work programme is:

To continuously improve and adapt the organisation’s ability to respond to emergencies and support recovery efforts in order that the needs of the community, the organisation and partner agencies are met. Secondly, to improve the wider resilience of business, communities and the Council in order to mitigate hazards and prepare for the future.

THE EMERGENCY PLANNING PROCESS – PROGRAMME BLUEPRINT



Figure 1. Consequence Based Approach to Emergency Planning (CBAEP) Model

CONSEQUENCE-BASED APPROACH TO EMERGENCY PLANNING (COMBINED EFFECT)

There are as many ways to plan for emergencies as there are emergency planners. This document builds on multiple fields of management and multiple disciplines/sectors, to provide a consistent, holistic approach to emergency planning for the organisation and to open a dialogue for a consistent approach across partners.

“Combined Effect encourages a consequence-based approach to resilience whereas at present, emergency planning, training and exercising all tend to focus on the cause of the incident, placing ownership of the response with the agency considered to be most responsible for preventing, or mitigating the effect of, that particular cause. For example, this is the police in the case of terrorist attacks, the Environment Agency in the case of flooding. Such an approach distracts from thinking holistically about the full consequences of such events, hampers knowledge transfer and makes sharing experience difficult.” J.Cole & L. Marzell,2011¹

As the quote from Jennifer Cole (Royal United Services Institute (RUSI)) and Laurence Marzell (SERCO) suggests, the most obvious method of planning for emergencies is to focus on scenarios and place ownership for response with those considered most responsible. B&NES aims to conduct its emergency planning holistically, looking at the whole system rather than myopically focus purely on the parts for which the Council is responsible. This is born from an understanding that emergencies never result in a single agency response and partners will always be needed for an effective resolution. To this end, the Emergency Planning Protocol draws heavily on the management disciplines of systems engineering and project management as well as military and emergency services doctrine. It follows the 12 stage CBAEP Model which provides a systems approach to emergency planning based on the latest best practice from RUSI and others as outlined in Figure 1. Figure 2 shows how the CBAEP Model can be translated into a systems model and project/programme structure.

¹ Cole, J & L, Marzell. (2011) *Combined Effect: A New Approach To Resilience*, London: Royal United Services Institute and SERCO.

OUTCOME NOT TASK

The language of outcomes, outputs, benefits, tasks, processes and procedures often causes confusion. The key to understanding these terms is context and who defines them. The EPP strongly promotes the use of outcomes in the development of emergency plans. General George S Patton famously said:

“Never tell people how to do things. Tell them what to do and they will surprise you with their ingenuity.”

This, in principle, sums up the outcome based approach. The easiest way to understand if an objective is outcome focused is to understand that the statement must be relevant to the person or group receiving the “product”. The military would refer to this as “target effect” and the marketing department would refer to this as customer focus. The key is to identify the stakeholders groups and know what are their expectations; their expectations are the works required outcomes.

PROJECT MANAGEMENT

The purpose of project management is to allow project teams the freedom to deliver project within pre-set controls. It is often thought that if a project does not deliver, the project team has failed. This could not be further from the truth. Good project management has sufficient controls to be able to identify early if the project is unlikely to achieve the initial stated objectives and if appropriate, close the project down. Often, poor project management does deliver; however, the end product is late, over budget and fails to meet much of the original scope. This protocol employs good project management principles wherever possible, however, the principle of “quality to fit the purpose” allies; only the principles are appropriate and proportionate should be used and then only to meet an appropriate level of scrutiny. Within this document plan refers to the product and project refers to the controlled process through which the plan is delivered.

See Appendix A for Glossary of Terms

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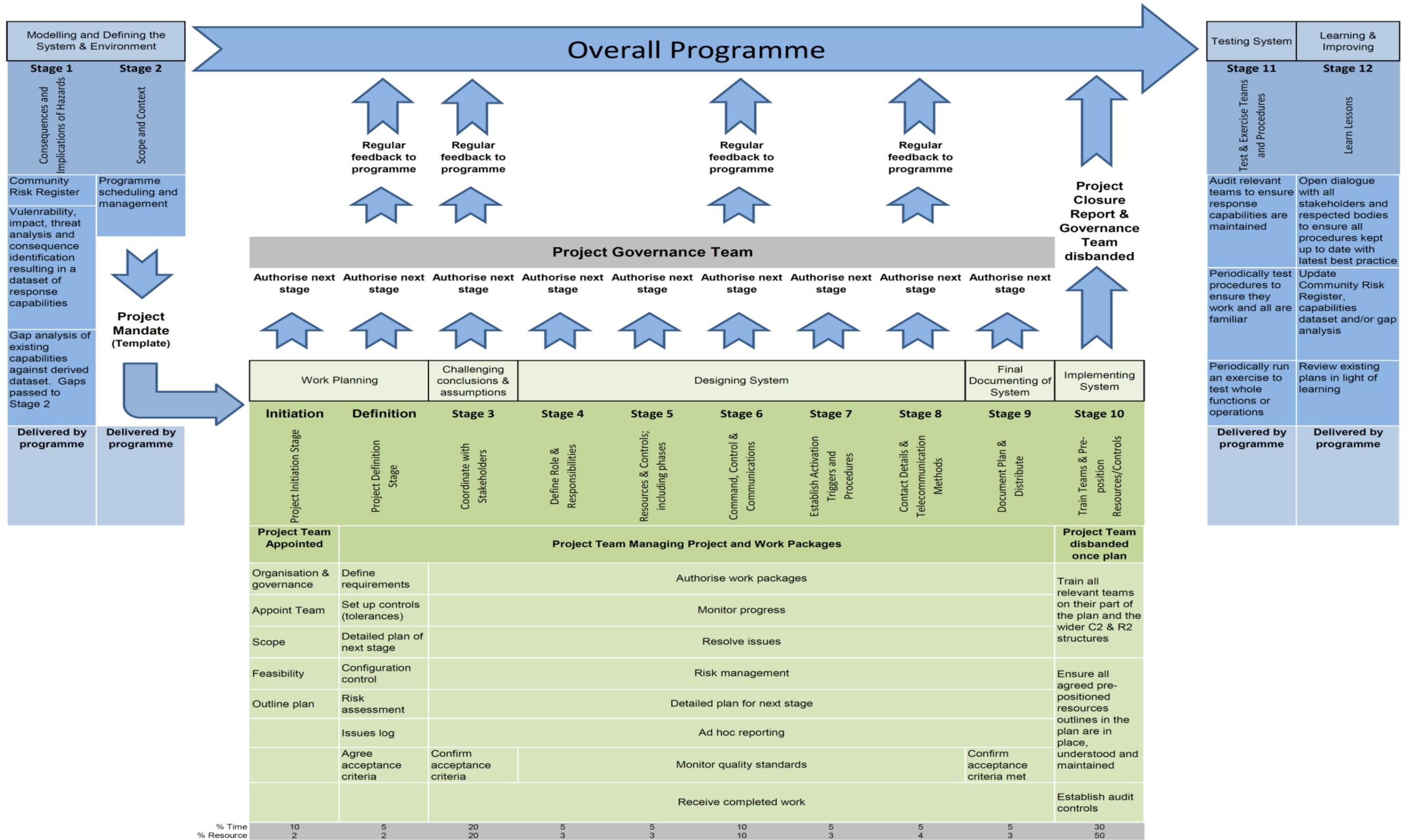


Figure 2. Programme/Project Management Outline

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STAGE 1

CONSEQUENCES AND IMPLICATIONS OF HAZARDS

The outcome of this stage is a robust set of vulnerabilities, consequences and implications resulting from the identifiable/reasonable hazards that could impact the organisation or community. These are then used to develop a model of capabilities that can be used in their response. This model is developed within the organisations context including a thorough understanding of available products, services and key organisational vulnerabilities

The method used to achieve these outcomes is as follows:

- Identify the Hazards – see Table 1.
- Assess/prioritise (impact x probability) – see B&NES Community Hazards Register
- Analyse vulnerabilities, impacts & consequences – see Figure 4 for an example.
- Define resulting response capabilities – see Figure 5 for an example.
- Produce capabilities model/system cross related to existing products and services – see Figure 6 for an example

IDENTIFYING THE HAZARDS

Hazard identification is imprecise and open to individual interpretation. For this reason context (external, internal and proximity) and desired outcome are needed to ensure this activity is focused. Figure 3 is example of the complex environment within which emergency planning must cope and emergency plans must be written. Once context has been sufficiently understood, the next step is to draw on valid information sources to generate a list of hazards.

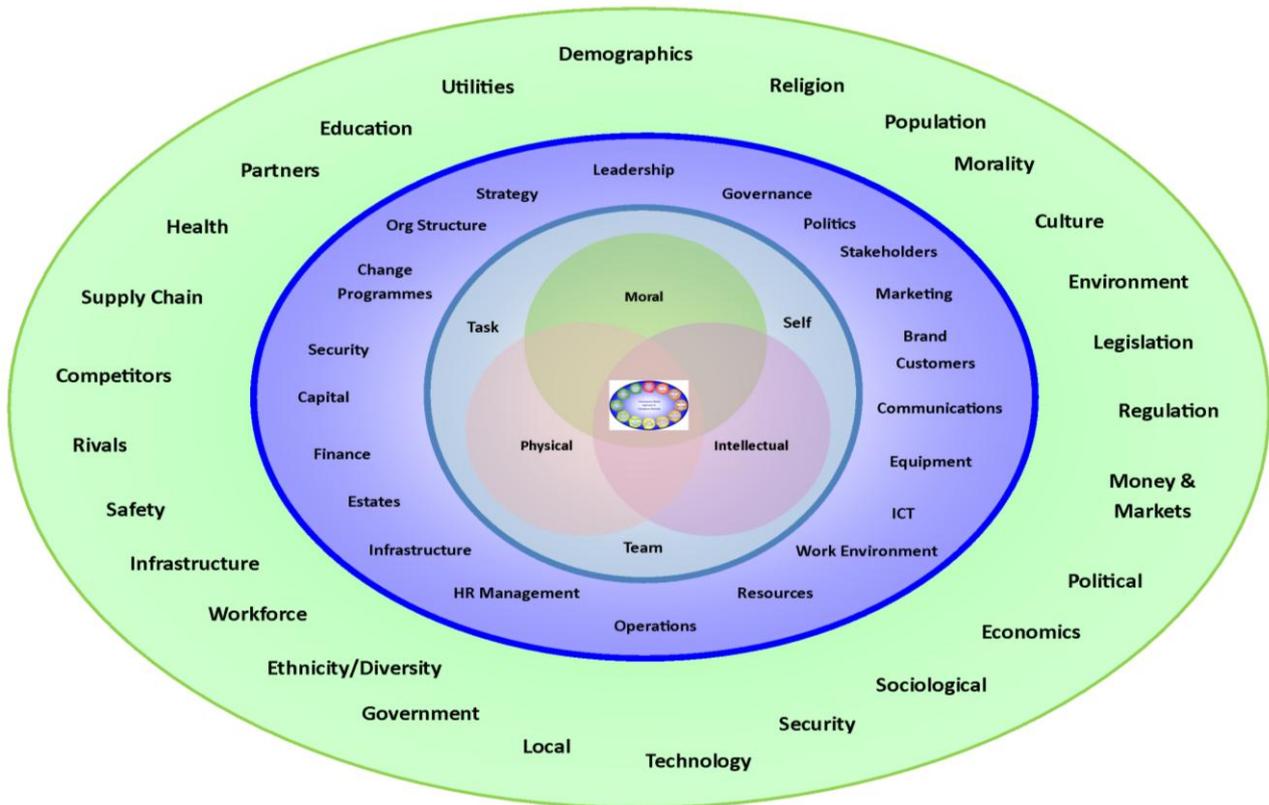


Figure 3 Organisational and Environmental influences (See Appendix B for diagram in list format)

Key information sources include:

- Stakeholder engagement
- Previous incidents and experience
- Best practice/ standards
- National Risk Register
- LRF Community Risks Registers

Stakeholder engagement is informed by the considerations in Figure 3, and with those hazards identified in the National and Community Risk Registers is most likely to deliver a consistent set of hazards relevant to the project context. Within B&NES, this process has delivered the model of community hazards shown in Table 1.

Table 1. B&NES Community Hazard Register Hazards List

Health	Natural Hazard
Human Disease - Disease Pandemic (e.g. Influenza)	Flooding
Human Disease - New and Emerging Infectious	Storms and Gales
Animal Disease - Zoonotic Notifiable	Prolonged Freezing Temperatures
Animal Disease - Non-zoonotic Notifiable	Heavy Snow
Incident - Biological	Heat wave
Major Incident - Chemical	Drought
	Land Movement, Landslip & Subsidence
	Infestation by Foreign Fauna & Flora
	Forest & Bush Fires
Infrastructure	Societal Hazard
Major Stoppage - Electricity	Major Fire/Incendiary Accident/Incident
Major Stoppage - Fuel	Major Road Accident/Incident
Major Stoppage - Water and Sewage	Bridge/Building Collapse
Major Stoppage - Communications	Armed Assailant(s)
Dam Failure or Inundation	Malicious Attack - Air
Major Stoppage - Gas	Major Accident - Air
Highways Network Failure	Significant Contamination
Major Stoppage - Food Supply-Chain Failure	Malicious Attack - Crowded Places
Critical Office Buildings Out-of-Use	Malicious Attack - Critical Infrastructure
Large Scale Industrial Action	Major Rail Accident/Incident
Financial Failure	Incident - Radiological
Disruption to Critical Supplies	Incident - Nuclear
Depletion of Fossil Fuel Supply	Maritime Attack/Incident
Depletion of Other Raw Materials	Explosion or Explosion Risk (Gas Leak, Explosive Device, etc.)
Information & Communication Technology Failure (Internal)	Civil Disorder - Riots
Security Hazards	
Cyber attack	
Fraud	
Theft	
Malicious Actions by (Former) Employee	
Malicious Software	
Catastrophic Human Error	
Physical Security of Employees	
Intellectual Property Theft	
Litigation	
Accidental or Deliberate Release of Confidential Information	

These hazards have been assessed, for more details see B&NES Community Hazards Register.

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IMPACT & CONSEQUENCE ANALYSIS

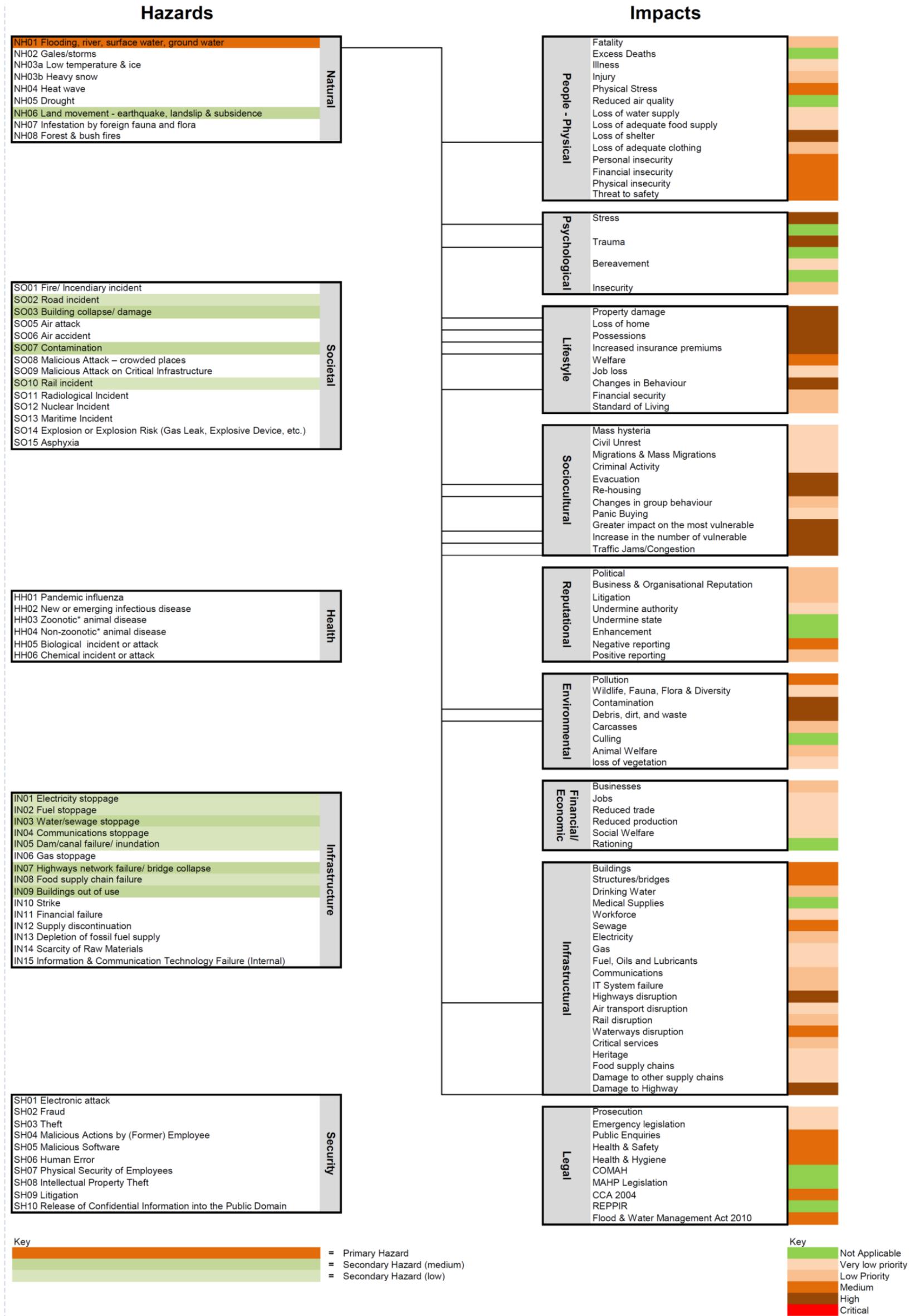


Figure 4. Flood Hazard Impact Assessment

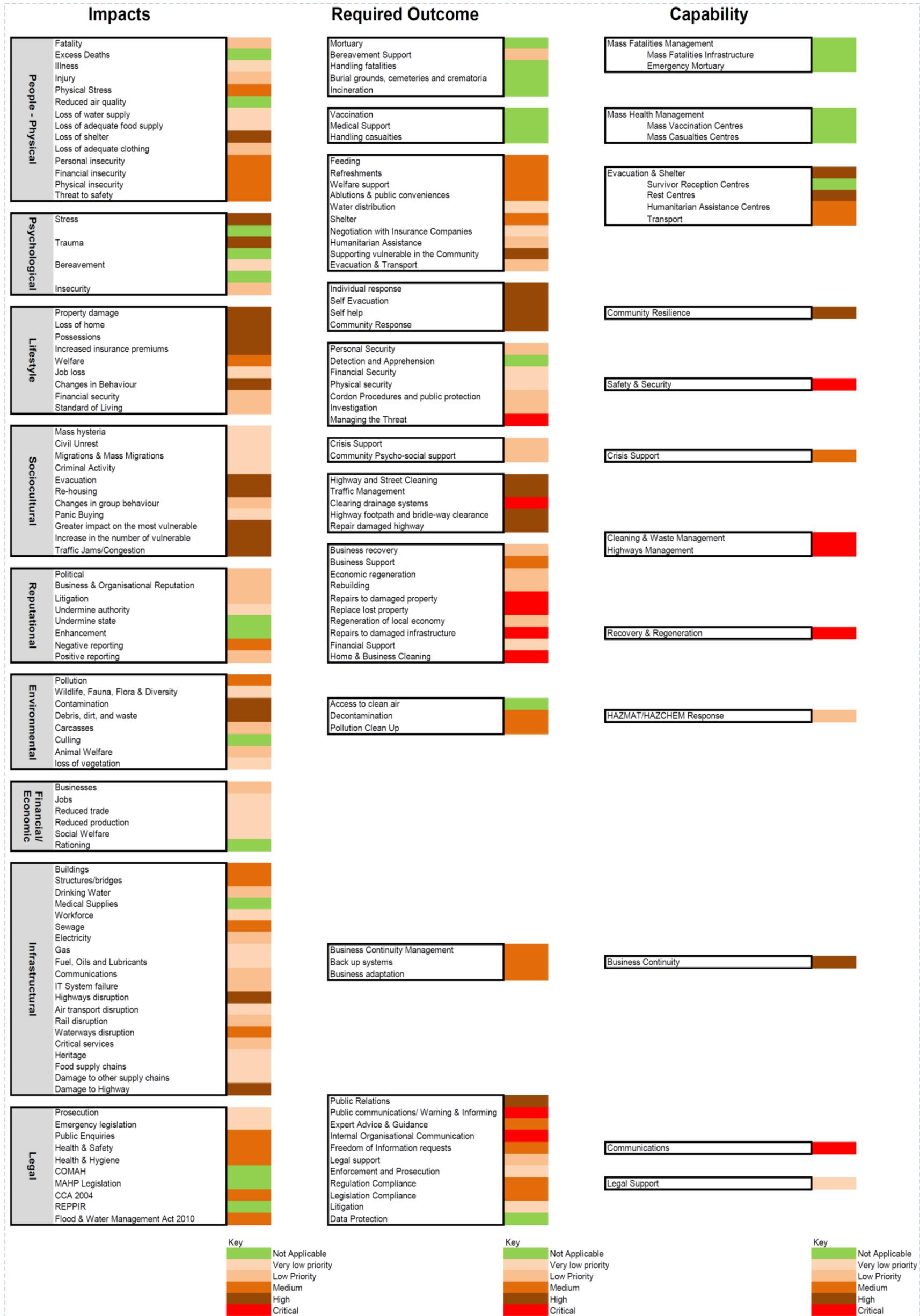


Figure 5 Flood Hazard Derived Outcomes and Capabilities

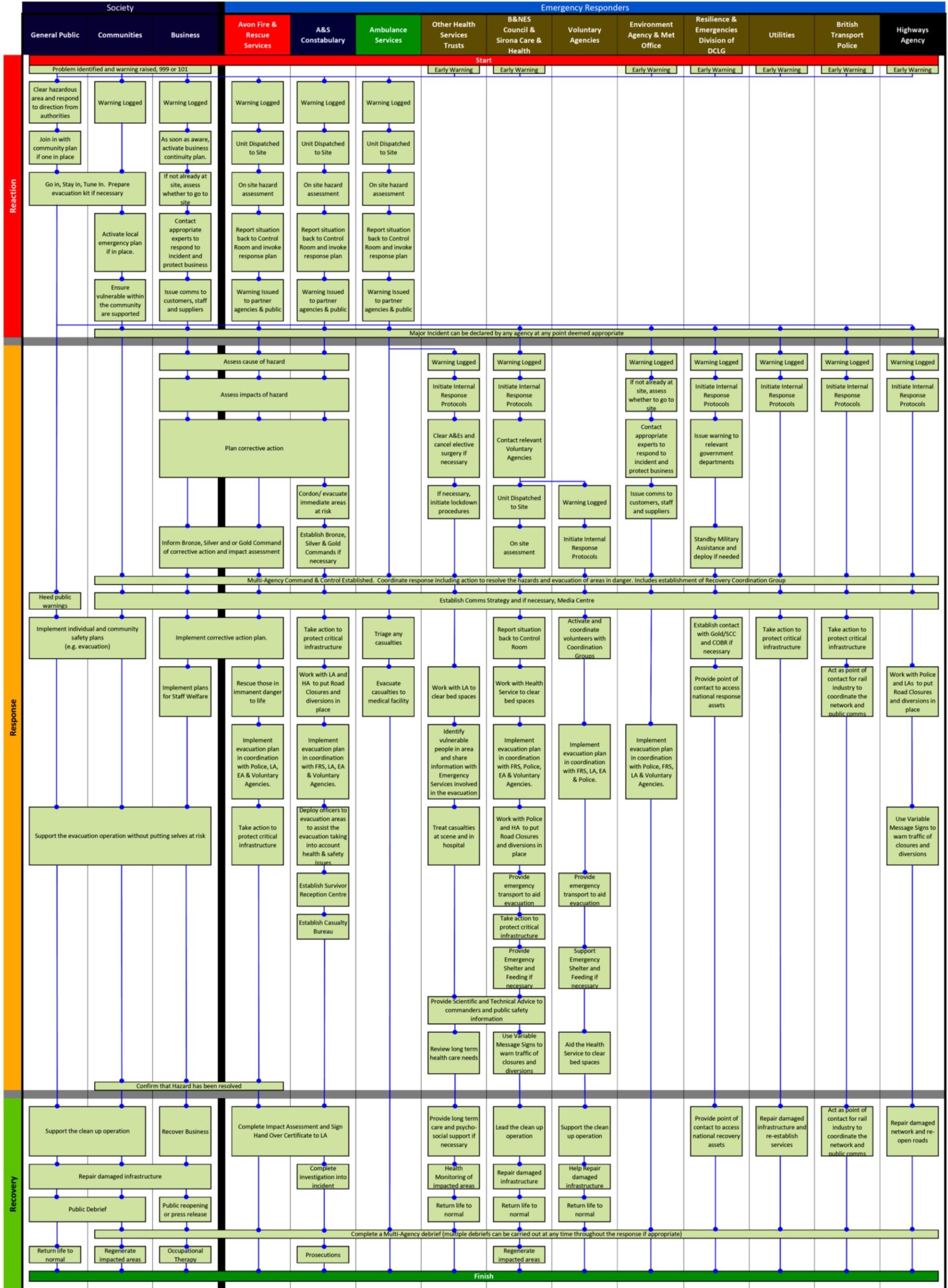


Figure 6 Multi-Agency Response Capabilities as a system

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Figure 4 shows an example of the impact analysis pertaining to a flooding hazard. The consequence-based approach to emergency planning focuses planning on the consequences or impacts of a hazard rather than the hazard itself. In an emergency, the primary effort of the emergency services is the preservation of life and property. The removal of flood water for example, may not be the primary effort unless that is the most effective means of preserving life and property. With some exceptions such as the Fire and Rescue Service, emergency responders focus on impacts not hazards. Focusing on impacts helps decision makers prioritise responses and avoid expending time and effort on nugatory work.

Figure 5 shows an example of impacts translated into outcomes and on into response capabilities.

Figure 6 is an example of how these response capabilities can be defined in a system or model. The process of producing a capabilities model acts to identify any gaps and also provides a useful communication tool for the next stage of planning. These response capabilities then become the focus of emergency plans.



STAGE 2 SCOPE AND CONTEXT

PURPOSE AND SCOPE ANALYSIS

According to British Defence Doctrine (BDD), the first principle of war is “selection and maintenance of the aim”². BDD goes on to rationalise this as follows:

The aim provides a focus for co-ordinated effort and a reference point against which to gauge progress. Its maintenance prevents unnecessary or nugatory activity, and the unwarranted expansion of an operation. It is fundamentally important that this single aim pervades subordinate operations, all of which should contribute coherently to achieving this end-state, and that resources are allocated accordingly. Therefore, plans should be continually checked against the related objectives of the campaign to ensure that they remain valid.

Many of the principles promulgated through the BDD are directly relevant to the civilian emergency planning. Selecting and focusing on the right purpose is key to the success of any project. Without focus the project can easily overreach in scope and workload, fruitlessly expending energy that does not aid the delivery of the final product. Time spent defining the purpose and scope will ensure the plan is developed efficiently and the end product is fit for purpose. Uncertainty at this stage will result in wasted time and effort later. To use the jargon of quality management, the aim is to “get it right first time”. Therefore it is essential that time is spent understanding what “right” looks like.

² Joint Doctrine Publication 0-01 (JDP 0-01) (4th Edition) dated November 2011
http://www.mod.uk/NR/rdonlyres/FDB67DF9-5835-47FD-897D-CA82C17EC7A5/0/20111130jdp001_bdd_Ed4.pdf, accessed 18 Sept 13

There are simple questions that help us to scope our project. It is worth repeating the first question at the end:

SCOPING QUESTIONS

- What is the purpose of the plan and does this fit within the wider need?
- What effects does the plan need to have?
- In terms of outcomes, what does success look like?
- What is an acceptable minimum?
- What resources are available?
- Who are the key stakeholders/contacts with whom to engage?
- What limitations/caveats exist?
- What assumptions need to be made and how can these be tested?

PLANNING THE WORK BEFORE PLANNING THE SYSTEM

Effective emergency planning needs effective work planning. For this reason some basic project management principles have been employed to control the work of the B&NES BC&EP Team.

PROJECT MANDATE

Once there is clarity around the scope and purpose of the plan to be developed, formalise this information into a Project Mandate. The Project Mandate is the executive authority for the allocation of resource to develop the plan.

Key information that should be expected in the Project Mandate includes:

- Background
- Objectives (stated in terms of outcomes)
- Scope
- Constraints (including legislation, regulation and standards)
- Interfaces/liaison
- Quality expectations (see requirements)
- Outline justification for work
- Project Controls (see tolerances)
- Key reference documents
- The expected project team and governance?
- End users/customers

See Appendix B for an example.



PROJECT INITIATION STAGE

This stage is the first time resources are exclusively committed to producing and implementing the specific plan. The project team and governance team are established and the scope and feasibility of the proposed plan will be tested and initial management practices and controls are put in place. The outcome of this stage is a robust business case or brief for consideration by the governance team.

At the end of the Project Initiation Stage the governance team need to decide whether the project should be continued based on the evidence provided.

PROJECT DEFINITION STAGE

The outcome from the Project Definition stage is complete Project Launch Documentation that includes the business case, risks, issues, quality standards, and project controls. The project team also needs to complete detailed planning should the project continue to the next stage. At the end of this stage the governance team need to decide whether the project should continue.

Central to effective project management are project controls which include performance measures and documentation controls. Performance measures are clear statements of the six tolerances against which progress can be measured. The six tolerances are as follows:

1. Time – e.g. schedule, start & finish dates plus or minus 2 days
2. Cost – e.g. budget, plus or minus £1000 (be realistic, do not underestimate)
3. Quality – e.g. Meets all essential requirements plus or minus 3 non-essential requirements
4. Scope – e.g. Objectives and Constraints, meets all objectives plus or minus one minor objective.
5. Benefit – e.g. adds to the following overall business benefits
6. Risk – e.g. expenditure of time and budget on risk controls cannot exceed £2000 or 10 days' work

Documentation controls are often referred to as configuration controls. They are put in place to ensure that as the plan is developed, everyone works from the same and latest version of all the documentation, including the business case, risk register, issues log, requirements document etc.

NB Budget setting is often the cause for project failure especially in a cross organisational context. If budget is needed to complete and implement the plan, this must be stated up front and agreed with stakeholders.

QUALITY & REQUIREMENTS

The ISO9000 Quality Management System defines quality as meeting specified requirements. Requirements management is the science and art of gathering and managing user, business, technical, functional requirements, and process requirements within a project. In all these cases, the five classes of requirements should be represented. If they are not, the project risks user or consumer rejection to some degree.

The user requirements document (URD) is a document to specify the requirements the user expects from the project.

An important and difficult step of designing a plan is determining what interested parties actually want or need. This is because often interested parties are unable to communicate the entirety of their needs and wants, and the information they provide may also be incomplete, inaccurate and conflicting. The responsibility of completely understanding what the customer wants then falls on the providers of the plan and implies the need for leadership in this role. Once the required information is completely gathered it is documented in a URD, which is meant to spell out exactly what the product must do and becomes part of the acceptance criteria for the plan.

STAGE 3 COORDINATE WITH STAKEHOLDERS

The project mandate identified stakeholders key to the delivery of the plan. The key outcome of Stage 3 is an agreement from stakeholders regarding the need for the plan, and their support to deliver and implement the plan. This is also an opportunity to test models and the assumptions on which they are based to ensure the foundations of the plan are robust.

The project team should also seek to gain agreement for the URD from interested parties; the URD will act as the acceptance criteria for the plan once developed.

STAGE 4 DEFINE ROLE & RESPONSIBILITIES

Roles & Responsibilities are a structured approach to defining each different role required to make the response model function and then the responsibilities for each of those roles defined in terms of outcomes. For many interested parties roles & responsibilities will be one of only two pieces of information they will need from the plan, the other being Command & Control.

The level of detail required in the plan will depend on the training and experience of those who will be enacting the plan. If the plan is for a capability that is not part of normal business then the level of detail will need to be increased and supported by a full set of action cards for each role. If the plan is for a capability that already exists within normal business then the roles and responsibilities can be shown in a table or matrix.

STAGE 5 RESOURCES & CONTROLS; INCLUDING PHASES

There are three distinct outcomes from Resources and Controls stage;

1. Identify those resources needed to provide the response capabilities including key equipment, specialist personnel, facilities, etc.;
2. Decide what controls if any will be needed to ensure the effective management of those resources;
3. A clear map of within which emergency response phase will each capability be required

Responses to emergency situations need to be coordinated through pre-agreed and tested command and control structures and common understanding of how the response will proceed. The following phases are designed to provide a framework through which a multi-agency response can be coordinated.

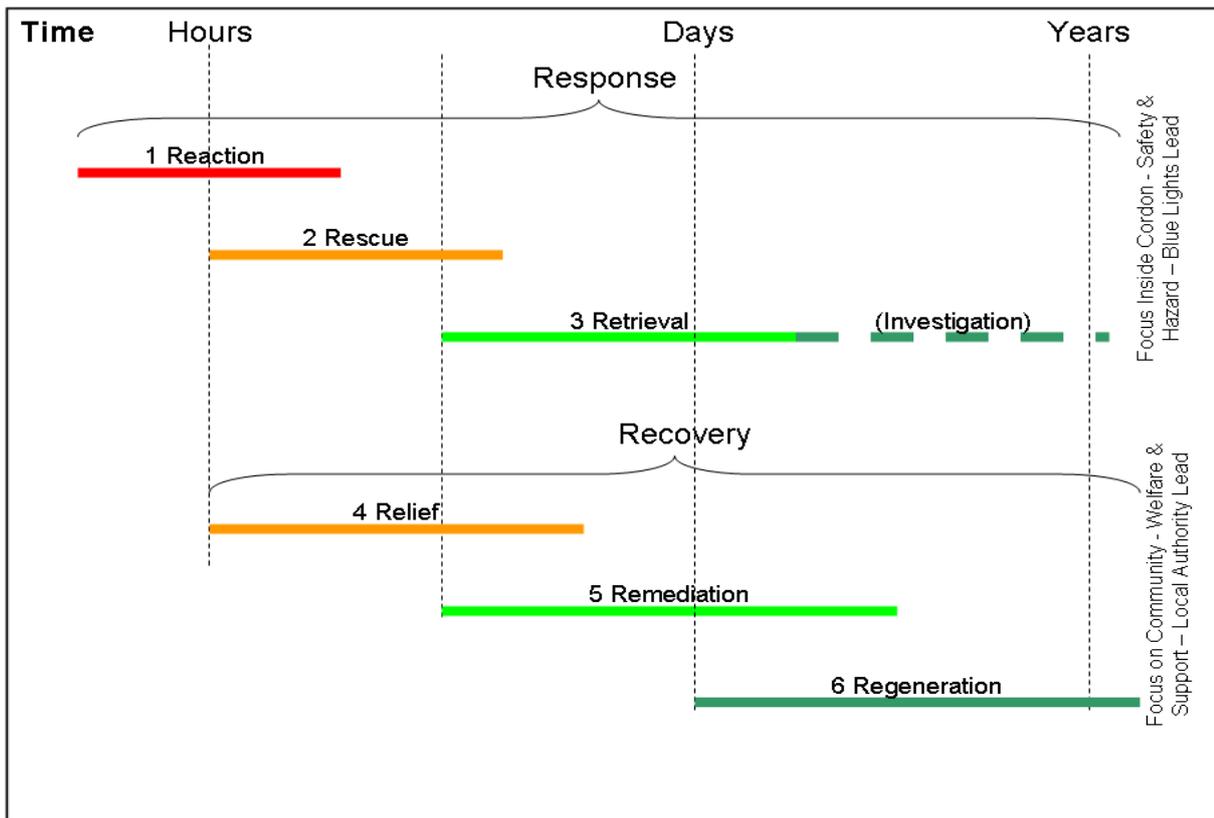


Figure 7. The NPIA Phases of Response & Recovery

Figure 7 shows how the phases of response overlap to form a framework over time and clearly splits the phases into response and recovery. These phases are based on the ³National Policing Improvement Agency (NPIA) Emergency Procedures 2009 and show a clear separation of tasks between the blue light services as response and other agencies as recovery. The phases provide commanders with a useful means of controlling and coordinating an incident as they decide when to move from one phase to the next.

These phases are key to understanding how Category 1 & 2 responders will respond to an incident. This should be used as the basis for training decision-makers in all responding organisations to be clear about their organisation's role within the larger operation.



³.(2009) *Guidance on Emergency Procedures*. Wyboston: Association of Chief Police Officers (ACPO) National Policing Improvement Agency (NPIA)

STAGE 6 COMMAND, CONTROL & COMMUNICATIONS (C3)

COMMAND & CONTROL (C2)

Command & Control (C2) is the management system used in an emergency response. The Command & Control structure used when dealing with events or major incidents is the Gold, Silver, Bronze system operated by the emergency services as illustrated in Figure 8. C2 structures break the response into manageable parts with clear lines of responsibility. The KISS principle (Keep It Simple, Stupid) must be applied as complexity will only cause confusion, delay and a breakdown in communication.

Multi Agency Command & Control Structure – Large Scale

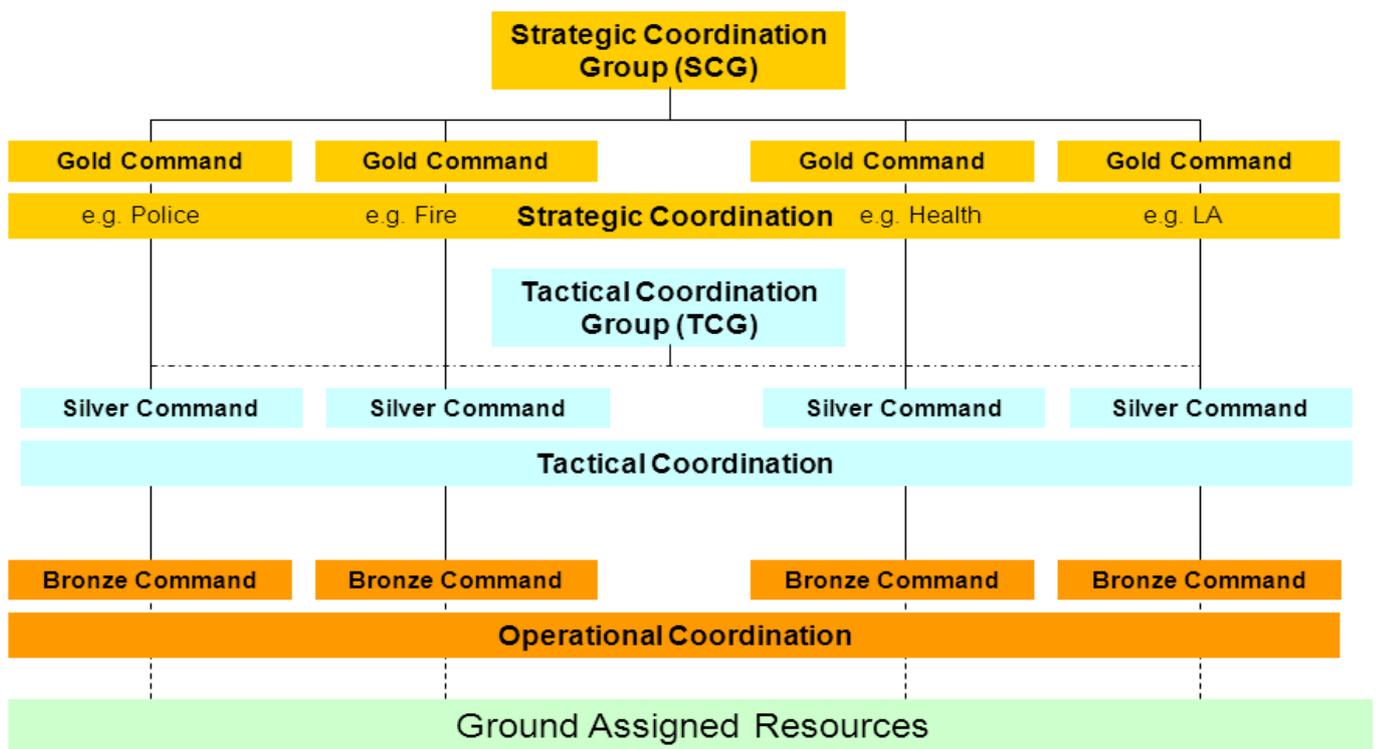


Figure 8. Multi Agency Command & Control Structure, (R Look, 2009)

British Defence Doctrine (BDD) states the following in relations to orchestrating operations:

The co-ordination and synchronisation of activity are complex undertakings that will only deliver agility, tempo and unity of effort when planned and conducted by commanders and staffs who are experienced and practised in organising forces at all levels of likely engagement.

The exercise of command and control, through appropriate organisations and structures provides a mechanism for synchronising activity and enables a commander to identify and manage risk, while converting his, or her, intent into effect.

The nature of emergencies necessitates an increased hierarchical and autocratic structure than would normally be encountered in normal business. During emergencies time is extremely pressurised. Information needs to be passed accurately, briefly and with clarity and discipline (ABCD). Strong leadership at each level of the C2 structure is essential. Situational awareness needs to be established and then turned into decisions, which in turn need enacting. Any delay in this chain can exacerbate the emergency. It is for this reason that organisations that work in hazardous environments have much more disciplined, hierarchical structures. This can cause problems for Local Authorities who have to move from a more conventional management culture to an emergency response culture and back in very short timescale and relatively infrequently affording little chance to practice.

COMMUNICATIONS

Communication is the transfer of information from a source to a recipient via a media e.g. verbal, written, body language, broadcast. Effective emergency responses need the rapid implementation of effective communications systems allow situational awareness to be quickly established, decisions to be made in coordination with interested parties, those decision to be implemented and to allow regular feedback on those operations. Communication systems need to be planned and resourced in advance if they are to be implemented in an emergency.

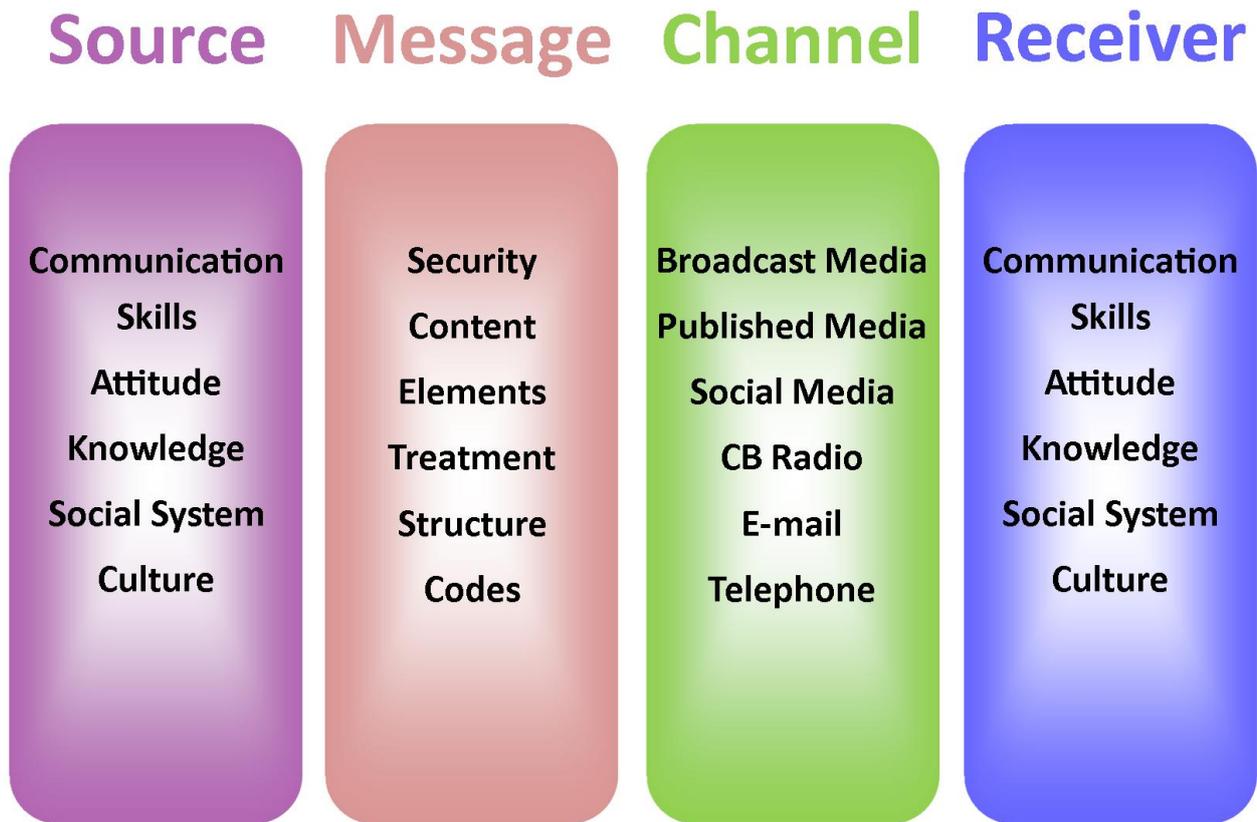


Figure 9. SMCR Communication Model derived from D Berlo, 1960.

The communication model adapted from Berlo's communication model (D Berlo, 1960) illustrated in Figure 9, is an aid to effective communications. The model illustrates that communication has a source, message, channel and receiver.

SOURCE & RECEIVER

Psychology and social factors for both the source and recipient will have a profound bearing on how that message is formed and received. Exercises and regular interaction are needed between those involved in an emergency response to allow relationships to develop prior to an emergency. This will speed communication and break down potential barriers.

MESSAGE

Some information can be exploited by those with harmful or unlawful intent. Emergency communications need to be very aware of security; controlling information dissemination to prevent exploitable information being intercepted or inadvertently released. When engaging with the public, content is king. If organisations are to drive public communications rather than becoming driven by the media, they must become fully engaged in providing accurate, brief, clear and relevant information. The elements, treatment (presentation) and structure of that information needs to be in a form easily understood by all with jargon and colloquialisms removed.

When developing emergency plan, draft message templates should be developed to aid communications, these should include a template press release for each response phase and a situation report. Some messages may also need translation to other languages or presenting in forms that allow equal access.

CHANNEL

Figure 9 provides a sample of the plethora of communication channels that can be used. Accessing the right communication channels is a critical factor in the success of effective emergency communication, be that with the public, internal stakeholders or any other interested parties. Time needs to be spent understanding the channels appropriate to the plan, their pros and cons, when they are best used and the processes/procedures involved.

KEY STAKEHOLDER GROUPS

Communications critical to effective emergency responses can be categorised as follows:

Internal Response: Communications internal to each organisation between staff responding to the incident, or with front facing staff.

Internal Warning & Informing: Messages from top management to all staff to keep them informed of developments, making them aware of how the organisation is responding, issuing requests for support or action and allowing staff to take precautionary action if appropriate.

External Response: Communications between emergency responders from all responding agencies to coordinate the response and public communications.

External Partner Warning & Informing: Communications from the organisations to interested parties including Ward Councillors, Parish Councils, et al so they can answer any queries relating to the incident and provide community support and leadership.

External Public: Communication coordinated by the multi-agency C2 apex to the public so that they can be advised on how to remain safe, understand how the situation is developing, take precautionary action if appropriate and given directed to further information sources if needed.

REPORTING

Reports and Returns (R2) are the formalised information that flows between command levels of the C2 structure. They are often supported by a “battle rhythm” that coordinates timings so that C2 meetings happen in an appropriate sequence ensuring decision makers have the most up to date situational picture. R2 usually takes the form of a formal Situation Report (Sit Rep) (See MIP for an example of a Sit Rep and Battle Rhythm).

Plans should be sufficiently detailed to ensure all those necessary for the enactment of the plan know their position and reporting lines.

Within this protocol, communications refers to information transactions, telecommunications refers to equipment, software and infrastructure.

STAGE 7 ESTABLISH ACTIVATION TRIGGERS AND PROCEDURES

This stage of planning should clearly identify the conditions that would trigger an emergency response. These conditions should be clearly identifiable through specific trigger descriptions and stated in terms of outcomes. An emergency response should be triggered when there is a reasonable expectation or risk that those conditions will be met; rather than waiting for those conditions to be met. In this way C2 can be established before the worst impacts manifest. Effective activation triggers make the difference between proactive and reactive emergency management.

Each emergency is different and by its nature unpredictable. They all develop from normal condition differently. Some emergencies come from planned operations, whilst some planned operations are managed as emergency situations because they can evolve in an unpredictable manner; some emergencies can be seen as rising tide events that build over time with unpredictable impacts; and some emergencies spontaneously occur without warning.

The activation procedures are best described as a flow chart that maps out the route through which activation information passes until the C2 structure is in place.

STAGE 8 CONTACT DETAILS & TELECOMMUNICATIONS

The outcome of this stage is a complete list of stakeholders contact details, preferably in a searchable database with a description of role, responsibilities and priority. As many forms of

communication should be listed as possible to aid resilience. Social media should also be considered, however, there are significant security implications with doing so.

If radio or similar telecommunication methods are to be used, network diagrams and call sign matrices will be needed. Other considerations include code words, frequencies/channels et al.

STAGE 9 DOCUMENT PLAN & DISTRIBUTE

The outcome of Stage 9 is the documented findings from stage 1 to 8 in a clear and concise plan using the structure outlined in Part 2.

STAGE 10 TRAIN TEAMS & PRE-POSITION RESOURCES/CONTROLS

The outcome of Stage 10 is a fully implemented plan that operates as “business as usual”. Part 3 of this document provides guidance on how this can be achieved.

STAGE 11 TEST & EXERCISE TEAMS AND PROCEDURES

All plans and procedures should be audited, tested and/or exercises on a regular basis depending on importance. A plan can be viewed as tested if it has been activated during live incidents.

STAGE 12 LEARN LESSONS

All tests and exercises should have clear outcomes that are to be achieved. Primary amongst these is to continually improve plans to maximize their effectiveness and efficiency. Tests and exercises should also challenge assumptions and ensure the plan is , specific, measurable, achievable, realistic and meets preset tolerances. Tests and exercises should be followed by a formal wash up from which lessons should be documented. These lessons then form the basis of a further emergency planning cycle that ensures learning is incorporated.

If lessons challenge the fundamental principles of the plan, then a complete re-write and implementation could be required.

PART 2 GENERIC EMERGENCY PLAN STRUCTURE

This part of the emergency planning protocol provides an outline of an emergency plan structure. It is a guide rather than an prescriptive set of headings. The development of a plan progresses through stages 1 to 8 outlined in Part 1, the details that will ultimately reside within the plan can be researched and agreed. The discipline of recasting that information into this suggested structure will act as a second check that the plan is systematic and effective. This approach also removes the risk of copying and pasting the plans of others without first developing an understanding of the content and context.

The structure is designed to follow the format of an OODA loop:

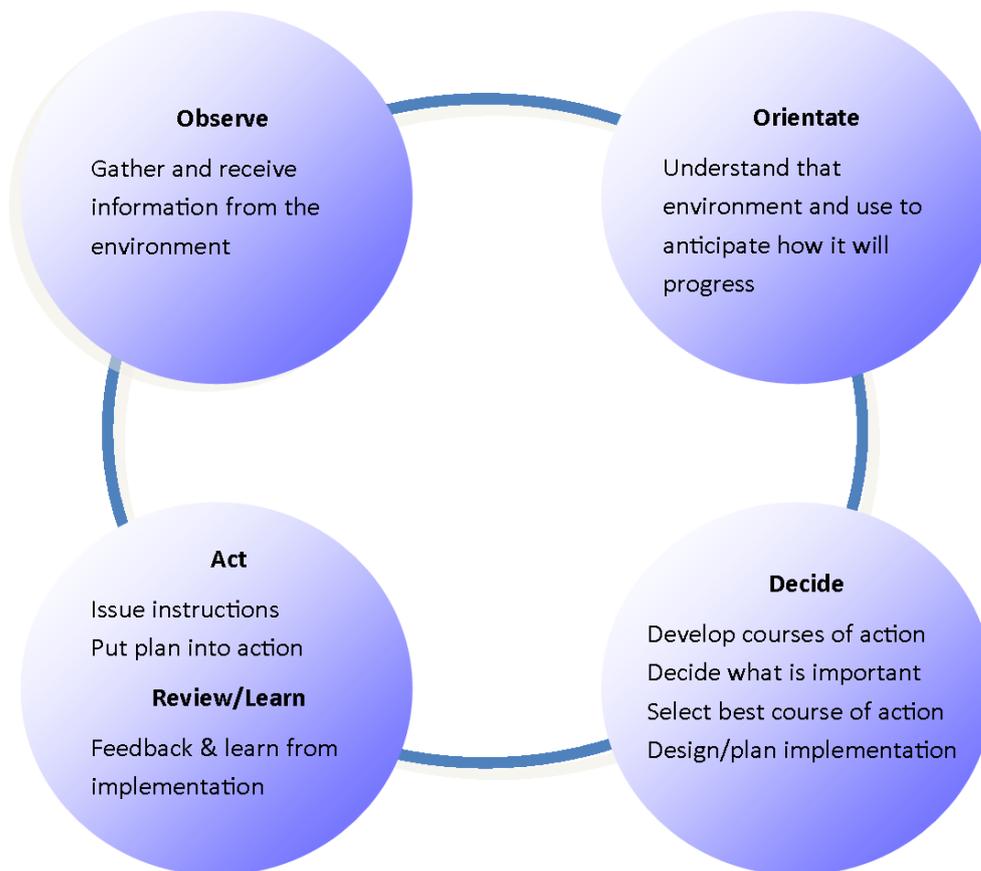


Figure 10. OODA Loop (adapted from J Boyd, 1976).

The OODA loop (for Observe, Orient, Decide, and Act), as in Figure 10, is a concept was developed by military strategist and USAF Colonel John Boyd, originally applied to combat operations, often at the strategic level in the military. Nowadays it is often applied to understand commercial operations and learning processes..

In the OODA Loop, decision-making occurs in a recurring cycle of observe-orient-decide-act. We can process this cycle quickly, observing and reacting to unfolding events rapidly, and take the initiative with proactive steps to deal with the situation.

Looking at the human body very simplistically, we take measures of our environment through our senses. Within our brains we have built mental models from our experiences and we use these to anticipate what is going to happen in our environment in conjunction with the live information we receive from our senses. We then decide how to respond to our environment and take action. Action is taken through the coordination of several systems, for example, to move our arm, the brain would send impulses through our nervous system to our muscles which work in combination with our skeleton to create movement. Constant feedback from our senses allows that movement to be controlled. This allows the body to manoeuvre. Some stimuli can cause the body to react without going through this process as described, for example, a knee jerk reaction, which can have undesired affects. Supporting the human body system are sub-systems that protect and sustain the whole. This is illustrated in Figure 11.

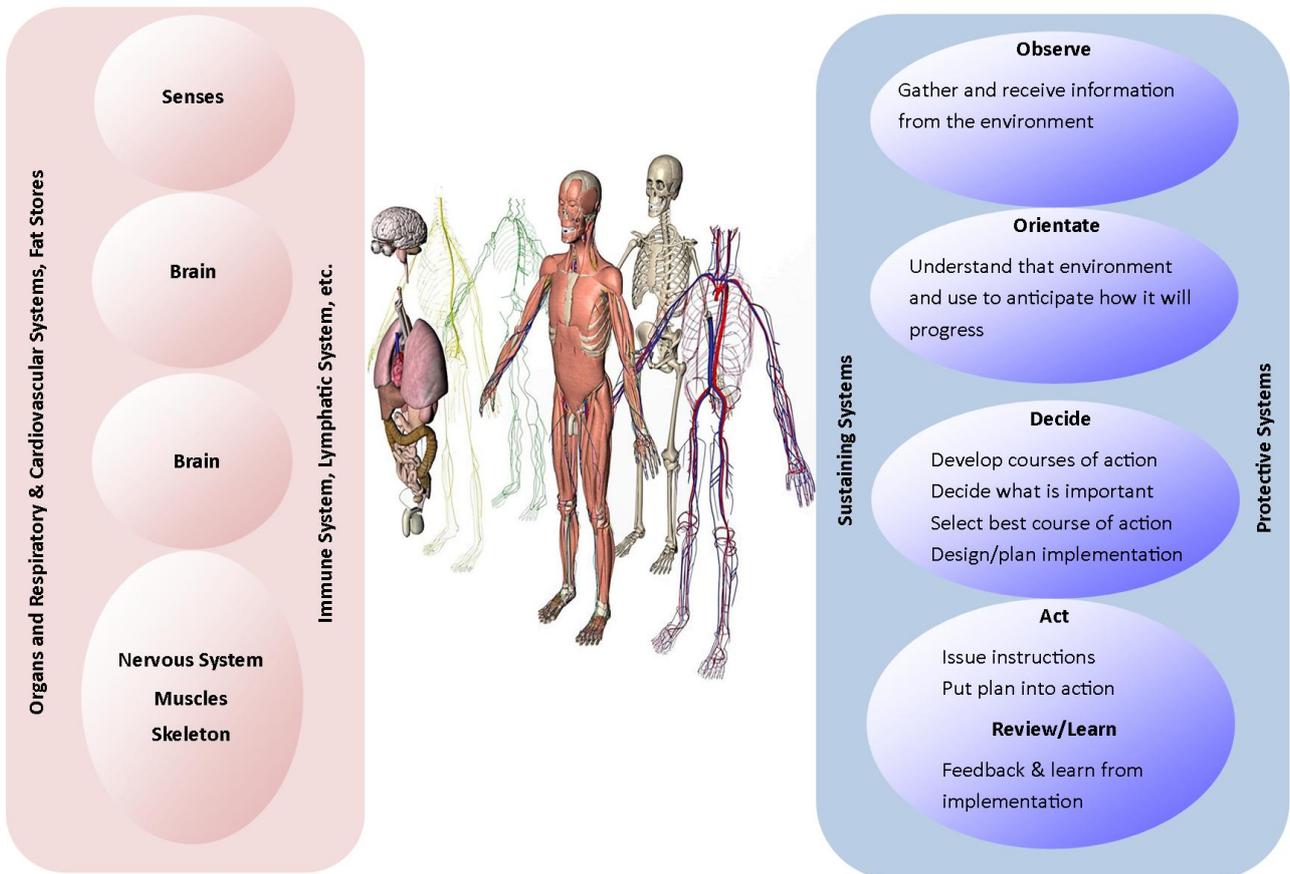


Figure 11 The OODA Loop translated into the human system.

Applying the thinking in Figure 11 to plans laterally will ensure they are logical, holistic and effective. Plans must ensure that the systems they document are capable of drawing together information sources to create situational awareness. Tools, guidance and context then need to be

provided sufficient for real time assessment and analysis of the situation to take place at the appropriate points within the C2 structure. This will ensure control is maintained at the appropriate level throughout. The plan must then outline the capabilities and infrastructure that will be needed to respond to emergencies and provide sufficient detail to allow those capabilities to be understood, tested, exercised and implemented in an emergency. Figure 12 shows how this thinking can translate into plan sections.

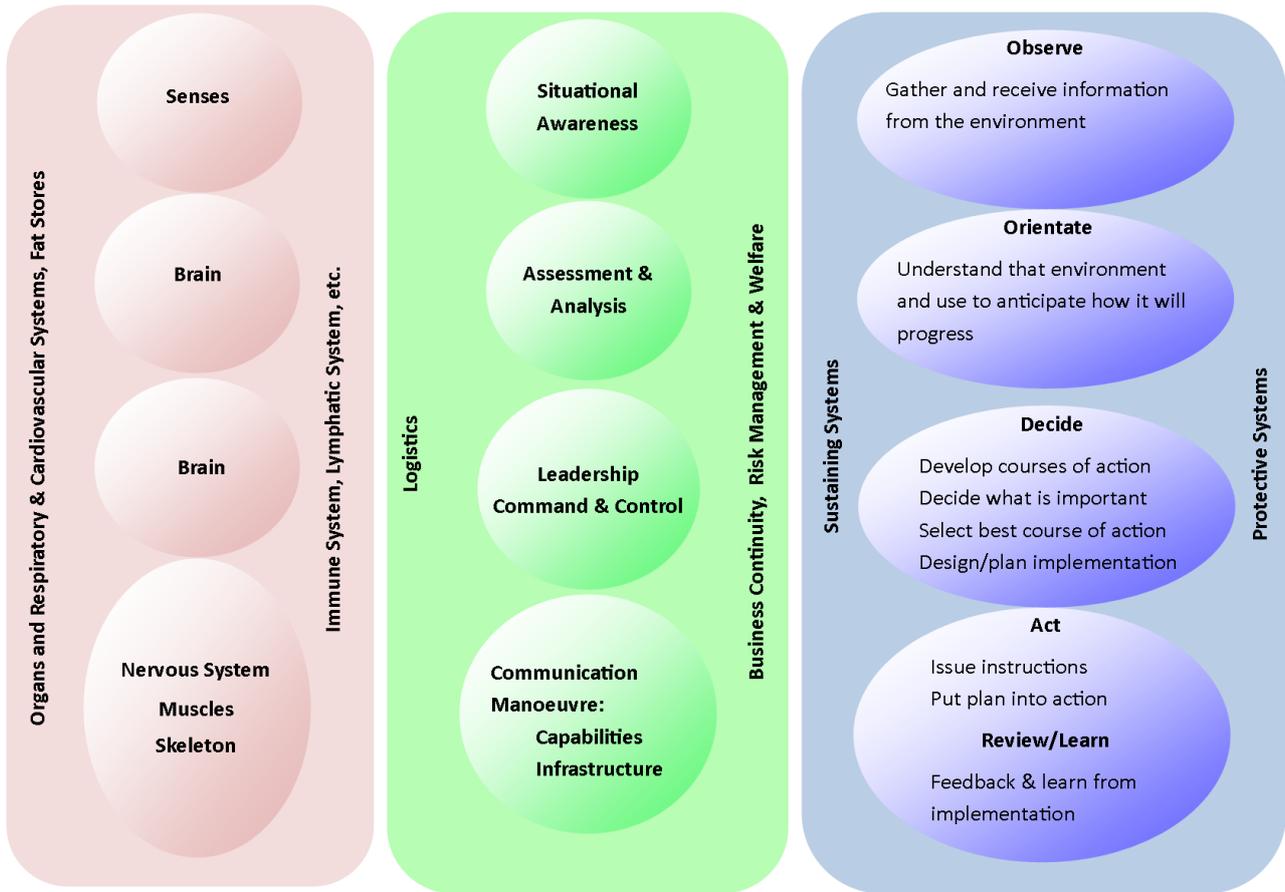


Figure 12. OODA Loop translated into emergency planning

Figure 13. shows are suggested list of heading that could be used within an emergency plan. The list is a suggested outline only and those developing plans should be free to add, omit or headings to suit the context of their planning.

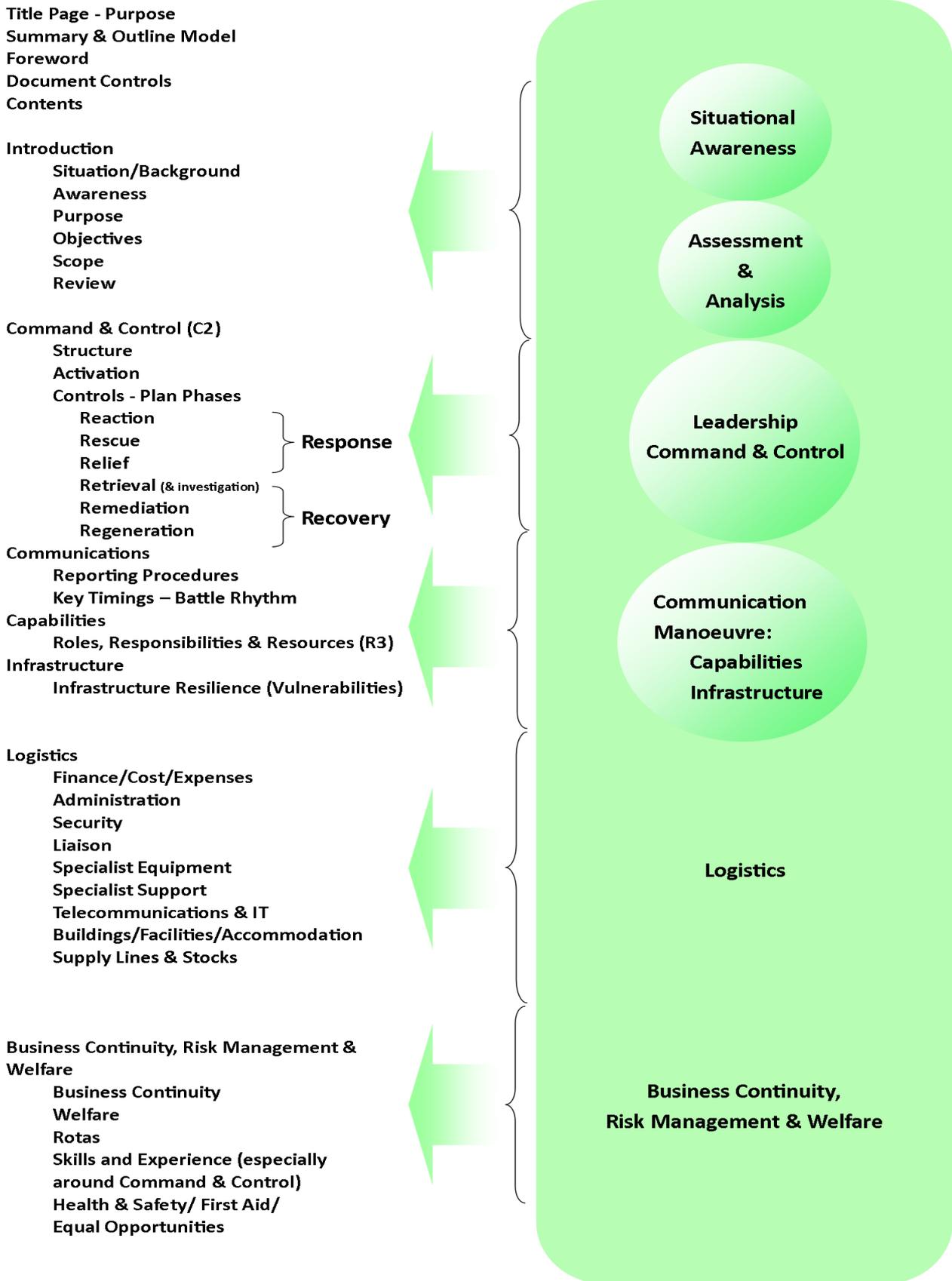


Figure 13. Illustration of emergency plan structure.

Exercise & Testing Schedule
Plan Maintenance/Lessons Learned

Appendices:

- A. Action Cards/Aide Memoir (See Appendix C)**
- B. Reporting Templates (See Appendix D for example of a Sit Rep Template)**
- C. Telecommunication Diagram**
- D. Planning Assumptions Data**
- E. Locations & maps**
- F. Links to Prevention, Protection & Preparation Plans**
- G. Key Stakeholders/ Contact List**
- H. Media Handling**
- I. References & Glossary of Terms**

Figure 13. Illustration of emergency plan structure (continued from previous page)

The rest of Part 2 of the Emergency Planning Protocol provides guidance on the contents of the suggested structure.

TITLE PAGE - PURPOSE

The title page includes the purpose of the plan stated in terms of outcomes and benefits. The purpose is a clear statement of the plan's intent as agreed by stakeholders when developing the plan.

SUMMARY & OUTLINE MODEL

The summary should be a condensed version of the plan drawing on key information and conclusions. A diagrammatic overview of the plan model can be a quick way to represent the plan. The Summary should not include any information that is not stated elsewhere in the plan.

FOREWORD

A Foreword should be a statement from a Senior Stakeholder giving authority and legitimacy to the document. It should be brief, easy to read and motivate the reader to continue with the document. The Senior Stakeholder should make a commitment to the plan, endorsing and advocating the plan's contents.

DOCUMENT CONTROL

Document control is a key security and configuration control measure and it ensures:

- the document is correctly distributed to those who need to know;
- only the current version of the plan is in circulation;
- security classifications pertinent to the plan are stated and the appropriate security controls are applied;
- ownership/authorship is clearly identified;
- any links to other plans are documented;
- readers have an understanding of how the plan has evolved through version control;
- there is an audit trail.

CONTENTS

An accurate contents page is essential for quickly navigating and referencing the plan when needed. Word processing software is normally capable of producing an automated contents page, this functionality is strongly advised. The contents page should also list all appendices. Listing figures and tables is optional depending on the document.

INTRODUCTION

The introduction sets the initial context of the plan. It should state why the plan is being written, how it has come about and state the purpose and desired outcomes of the plan. The introduction has five sub-sections, situation/background, aims, objectives, scope and review. If Part 1 has been followed, this section should be lifted from planning stages 1 and 2.

SITUATION/BACKGROUND

This sets the scene for the plan, providing useful context. It will be necessary for an audience who have had limited exposure to the subject to understand the rest of document

AWARENESS

From the understanding of hazards gained in planning stage 1, this section should provide a synopsis of the hazards that could lead to the plan's enactment and any pertinent considerations that would aid operations. Any pertinent vulnerabilities should be stated giving the reader an understanding of key weaknesses they could encounter. If there are a significant number of safety considerations, these should be placed in an annex and referenced in this section.

PURPOSE

This is repeated on the Title Page. As stated in Part 1, the first principle of war is "selection and maintenance of the aim." Within this document the selected aim is referred to as the purpose. The purpose is a clear statement of the plans intent as agreed by stakeholders when developing the plan. As plans develop the purpose may evolve as stakeholders more completely understand of what is required, such changes should be through a controlled process that keeps all stakeholders engaged and resolves issues/mitigates risks.

OBJECTIVES

Purpose and objectives are the framework that the plan aims to deliver. Aims, missions, tasks, objectives, outcomes; these are all terms that can be used to describe the same concepts depending on audiences but can mean very different things to others. For clarity and for the purposes of this document the terms purpose and objective will be used with purpose already been defined above. Objectives are the sub systems or components that need to be delivered in order for the purpose to be achieved.

SCOPE

The scope sets the constraints/boundaries within the plan is to be developed and operated. The boundaries are usually of time and/or space but can also be doctrinal, organisational or other boundaries. See Planning Stage 2.

REVIEW

This is a short statement of the condition under which the plan should be reviewed.

COMMAND & CONTROL (C2)

Command & Control is the management structure and practices that are to be used when the plan is implemented. A structure diagram showing hierarchies and reporting lines is usually used with an explanation of how it would be established and operated. See Planning Stage 6.

STRUCTURE

See Planning Stage 6. Provide a structure diagram with explanation if necessary.

ACTIVATION

Explains under what conditions the plan would be implemented coupled with a flow chart showing the sequence of action needed to fully implement the full response. See Planning Stage 7

CONTROLS - PLAN PHASES

Operational phases are used to strategically control and operation. They allow a commander to move a whole response operation from “reaction” to “recue” and/or “relief” and everyone involved in the response knowing how that changes their role(s), responsibilities and priorities. See Planning Stage 5.

COMMUNICATIONS

Essential to C2 are the practices and procedures employed to allow information to flow through the system. The communications section needs to document how sources or senders of information can formulate messages and disseminate them through appropriate channels to intended recipients. Points to consider include:

- an understanding of the channels appropriate to the plan, their pros and cons, when they are best used and the processed/procedures involved;
- templates for press releases for each response phase and situation reports

See Planning Stage 6

REPORTING PROCEDURES

A bespoke Sit Rep may be required for the plan to ensure specific areas of concern are reported. It may be necessary that different Sit Reps will be required for different audiences (a particular problem within the Health Service) and therefore different forms will be required for each. Templates should be held in the annexes and referenced in this section. See Planning Stage 6.

KEY TIMINGS – BATTLE RHYTHM

Reporting requirements resulting from the plan will need to sit within a wider reporting schedule known as a “battle rhythm”. It is likely a specific battle rhythm will be required to ensure that the Sit Rep is prepared in line with the wider schedule. Multiple reporting lines may exist and a complex battle rhythm may be needed to ensure the reporting schedule is met so that operations can be synchronised across broad areas. Schedules should be held in the annexes and referenced in this section. See Planning Stage 6.

CAPABILITIES

Capability is the combination of capacity and ability. Capabilities allow an organisation to act, they are deployable organisational abilities. Capabilities deliver outcomes that support or resolve the emergency response. Capabilities are provided through a combination of appropriately trained and sustained staff, equipment, materials and communications. These are described as Roles, Responsibilities and Resources.

ROLES, RESPONSIBILITIES & RESOURCES

This is a thorough explanation of the main roles that make up the plan, the responsibilities of each of those roles and the resource needs. A tabular format is ideal for putting this information across in a concise and consistent manner. Simplicity is needed throughout the plan, however, this section is where there is a great risk of over-complication. Remember of keep it simple and outcomes focused. Roles & Responsibilities are explained in Planning Stage 4 and Resources are explained within Planning Stages 5.

INFRASTRUCTURE

Infrastructure is the basic physical and organisational structure needed to bring the plan to fruition e.g. roads, bridges, IT networks, telecoms networks. This section should identify infrastructure critical to the success of the plan

INFRASTRUCTURE RESILIENCE

Failure of critical infrastructure will require alternative options to be quickly deployed or risk failure of the response operation. Infrastructure can very quickly become a strategic issue, both time consuming and costly to replace. This section should identify vulnerabilities in the infrastructure critical to the success of the plan, highlight critical vulnerabilities and any contingency plans or mitigating practices that should be employed.

LOGISTICS

Logistics is the management of the flow of goods, information and other resources, including energy and people, between the point of origin and the point of consumption in order to meet the requirements of consumers. Logistics involves the integration of information, transportation, inventory, warehousing, material-handling, packaging, and security.

FINANCE/COST/EXPENSES

It is not acceptable for an emergency response to put the viability of the organisation at risk. Clear financial controls are needed to ensure expenditure on emergencies can be afforded, and support funding from government is accessed if needed. There need to be clear arrangements in place for approving significant expenditure and tracking of costs as they are incurred. If a plan necessitates an obvious expense, e.g. National Emergency Mortuary Arrangements (NEMA) costing circa £1.5 million to deploy plus running costs, this needs to be raised with financiers as a risk.

ADMINISTRATION

Any emergency response will involve a great deal of logging and reporting in order to maintain a paper trail of decision, actions and developments. Administrative processes such as logging, reporting, mapping and drafting communications must be well defined and adequately resourced.

SECURITY

Security enables organisations to retain control through adverse conditions or prevents others from temporarily or permanently taking part or total control. Many of the scenarios that could necessitate an emergency plan arise from a breakdown of security or a

malicious attack; therefore security arrangements become even more important to prevent the situation from getting worse or to prevent exploitation.

This section should be used to outline those security arrangements that need to be put in place to ensure security is maintained and all parties are protected from harm.

LIAISON

This section should list any essential liaison needed to implement the plan in an emergency. This could include all contact details. See Planning Stage 8

SPECIALIST EQUIPMENT

If specialist equipment held by other organisations is required for the plan, it should be listed with full contact details. E.g. NEMA. See Planning Stage 5

SPECIALIST SUPPORT

Specialist support such as scientific and technical advice, or engineering support should be listed here with full contact details. See Planning Stage 5

TELECOMMS & IT

Document the telecommunications and information technology requirements needed for the plan and include details of locations or contacts as appropriate. See Planning Stage 5

BUILDINGS/FACILITIES/ACCOMMODATION

The plan will need buildings, facilities and/or accommodation in order to function. These should either be positively identified within the plan with details of access etc., or the generic requirements should be listed. See Planning Stage 5

SUPPLY LINES & STOCKS

The response operation will consume supplies and therefore detail of the supply chain or stocks needed to be recorded. See Planning Stage 5

BUSINESS CONTINUITY, RISK MANAGEMENT & WELFARE

BUSINESS CONTINUITY

Business Continuity Management (BCM) is the process through which Organisations aim to meet their customer or service user expectations following a disruption. It is an essential aspect of securing their business. The Civil Contingencies Act 2004 mandates all Category 1

Responder have business continuity arrangements. The outcomes of an effective BCM programme are that:

- Key assets, products and services are identified and protected, ensuring their continuity
- An incident management capability is developed to provide an effective response
- Staff are trained to respond effectively to an incident or disruption
- Stakeholder requirements are understood and able to be met
- Staff and stakeholders receive adequate support and communications in the event of a disruption
- supply chain is secured
- reputation is protected

This section should contain details of processes and procedures adopted to support business continuity and any specific contingency plans associated with key vulnerabilities and particularly around the factors identified under the Logistics section.

WELFARE

In terms of welfare there may be the need to provide food, water, etc. to teams responding to the emergency as they may be working long hours in remote locations. Support arrangements for staff should be considered and documented.

ROTAS

All plans should build in contingency for a prolonged response. Outline plans for back up staff rotas and clear handover/takeover procedures should be defined.

QUALIFICATIONS & TRAINING

Many emergency responses will require expert support in order to bring the situation to a resolutions. Any qualifications, training or experience requirements required of staff and volunteers need to be identified. The adequacy of qualifications and training can become an issue for a court of law. This includes CRB checks for those who may be required to look after children, even for a short time.

HEALTH & SAFETY/ FIRST AID/ EQUALITIES

All plans should be reviewed to ensure they are safe and do not represent a detriment to health. First aid and equal opportunities/ anti-discrimination legislation should also be built into all plans.

EXERCISE & TESTING SCHEDULE

As a general principle all capability plans should be tested or exercised annually and all response plans should be tested or exercised every third year. The test and exercise schedule should be stated within this paragraph and include details of how the plan should be tested or exercised.

This plans protocol should be reviewed as part of the lessons learned from each plan that is produced to ensure learning is passed onto each subsequent plan to promote continuous improvement.

PLAN MAINTENANCE/LESSONS LEARNED

This section is linked to that of review and exercise and testing. Following a plan review, exercise or test the key lessons should be included in the next review of the plan. If there are any lessons that have been identified but not incorporated into this version of the plan, these should be recorded in this section to ensure they are incorporated at the next review.

ANNEXES

ACTION CARDS/AIDE MEMOIR

This is a single page for each role listed under “roles & responsibilities” laying out the outcomes required during each phase of the response, including media handling.

TELECOMMUNICATIONS DIAGRAM

This is a diagram showing how information cascades through the response structure. If different communications devices are used, a network diagram for each network should be provided within this annex.

PLANNING DATA

These are tables of data that will be useful for planning a response

LOCATIONS & MAPS

Maps marked up with key locations, facilities and vulnerable areas to aid the response. This annex would need controlled circulation.

LINKS TO PREVENTION, PROTECTION & PREPARATION PLANS

All risks within the Community Risks Register have long term prevention, protection and preparation plans to mitigate hazards to the lowest possible level and reduce the impact of the hazard should it occur. These plans should be listed within this section along with any links they have to the response.

KEY STAKEHOLDERS / CONTACT LISTS

This annex should state all the stakeholders with contact details.

MEDIA HANDLING

Effective handling of the media during an incident is essential to maintain the reputation of the organisation. This section should state how the response team should interact with the media and if necessary, specify trained personnel to give interviews and comment. This section should also state the communication channels to be used in an emergency for the purposes of Warning and Informing, key messages to convey to the public and how this plan links to the BC&EP Media Plan.

REFERENCES & GLOSSARY OF TERMS

Where a plan uses other supporting documentation or has been developed to meet specific requirements e.g. Acts of Parliament, these should be listed within this annex. A glossary of key terms will also help the reader understand the plan content.

PART 3 - EMBEDDING WITHIN ORGANISATIONS

The following model is based on the 8 Step Change Model developed by Professor John Kotter of Harvard Business School⁴. This model is useful for implementing emergency plans.

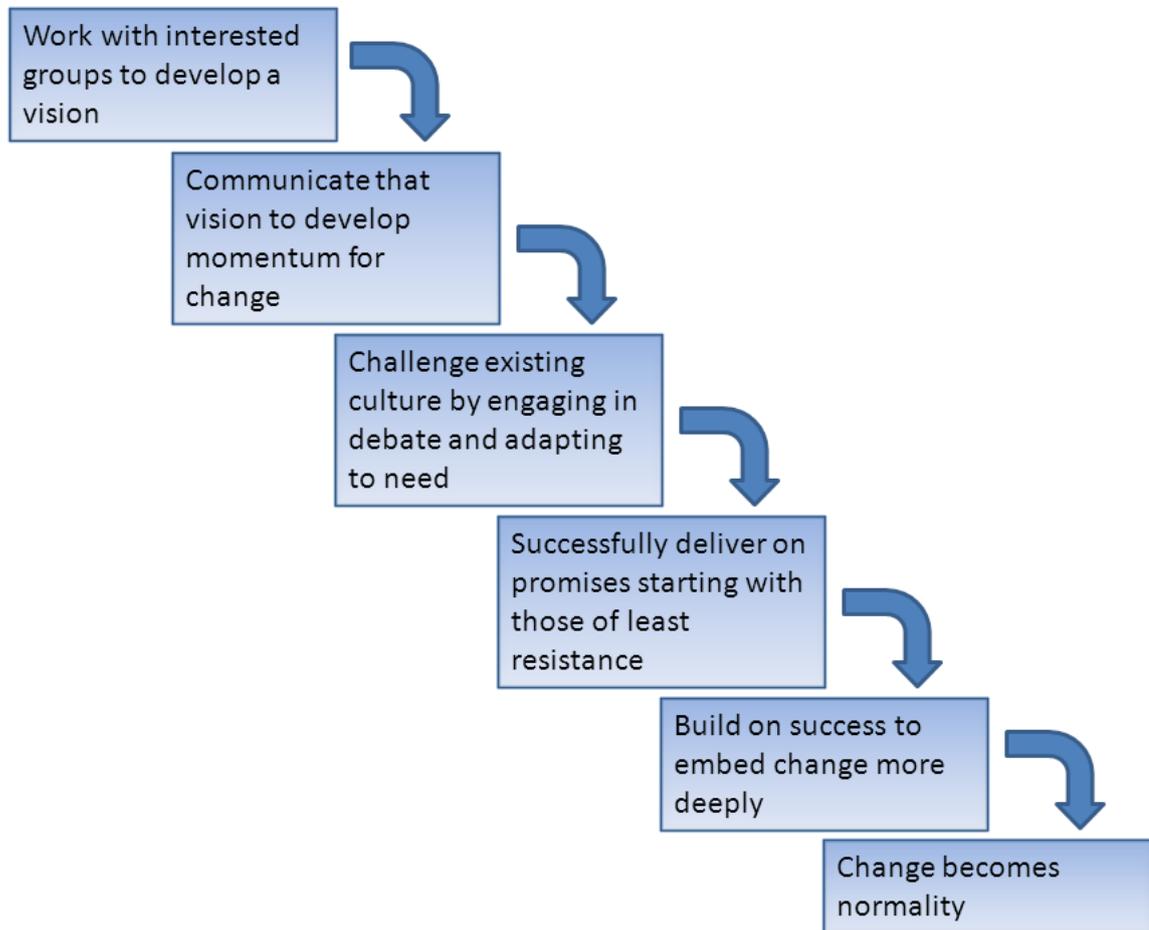


Figure 12. Change Management Model

This model is most effective when delivering a new plan or a significant change of approach. However, smaller changes should still be carefully implemented to mitigate the unintended consequences and also to ensure all changes become business as usual.

⁴ Kotter, John P. (1996). *Leading Change*. Harvard Business School Press. ISBN 978-0-87584-747-4.

STEPS

1) WORKING WITH INTERESTED GROUPS TO DEVELOP A VISION

This step is the culmination of planning stages 1, 2 and the Project Initiation Stage. The emergency plan will need support from all interested parties in order to be successful. Planning Stage 3 engages all stakeholders to achieve an agreement regarding the need for the plan, and their support for its delivery and implementation. Initially, commitment from a Senior Lead from within the group of interested parties who supports the plan and is willing to sell the concept to their colleagues is needed.

The key outcome of this step is a clear and agreed vision of what the plan should achieve and a mandate to commit resource to its delivery.

RECOMMENDED TASKS

- Project Mandate
- Organisation & governance
- Assess the feasibility
- Appoint a team to start taking work forward
- Outline a project plan for delivery
- Stakeholder engagement

2) COMMUNICATE THAT VISION TO DEVELOP MOMENTUM FOR CHANGE

Step two of embedding the plan into the organisation advocates and adapts the plan mandate through communications with all interested parties. Starting with the Project Definition stage and Planning Stage 3, a dialogue is opened with all interested parties regarding the plans intent and scope. This dialogue needs to be two way and any reasonable changes must be taken on board. This activity would be supported by staff who would start documenting systems and support the development of the mandate, models and assumptions into a programme of work.

The key outcome of this step is a commitment from all interested parties to support the planning effort and embed the plan when complete.

RECOMMENDED TASKS

- Appoint Liaison Officers or a Single Point of Contacts (SPOCs) to represent organisations on the Multi-Agency Working Group
- Establish the Multi-Agency Working Group with TORs and a work schedule
- Engage with local organisations to develop the plan and build momentum for changes.
- Define the requirements of the system to be delivered
- Agree acceptance criteria
- Set up projects controls (tolerances)
- Detailed project planning of next stage
- Configuration control (version control etc.)
- Risk Management
- Issues Log

3) CHALLENGE EXISTING CULTURE BY ENGAGING IN DEBATE AND ADAPTING TO NEED

Dialogue must be maintained throughout the Designing and Documenting the System phases, Planning Stages 4 to 9. Each of these stages should be developed in consultation with relevant interested parties and agreed with the Governance team. Ownership of the plan by all interested parties will help to remove barriers to embedding the plan in step 4. Through ever wider dialogue, people will become aware that change is imminent. Their expectations will begin to build that problems are going to be solved, things are going to get better, and the situation is going to change.

The key outcome of this step is a documented system each component of which has been developed and agreed with all appropriate interested parties.

RECOMMENDED TASKS

- Cross-organisational (multi-agency) information sharing
- Define Roles & Responsibilities
- Resources & Controls including Phases
- Command & Control Structure (C2 & R2)
- Establish Activation Triggers and Procedures
- Contact Details and Communication Methods
- Document the Plan and Distribute
- Overcome apathy through positive understanding of the benefits, community action and accountability.

4) SUCCESSFULLY DELIVER ON PROMISES STARTING WITH THOSE OF LEAST RESISTANCE

The last three steps all transpire within Planning Stage 10. Through the engagement of the previous phase the principles and deliverables of the plan will have been discussed and scrutinised. This process will have raised expectations with interested parties about what the plan will mean for them. Now the plan will need to start delivering changes to meet those expectations.

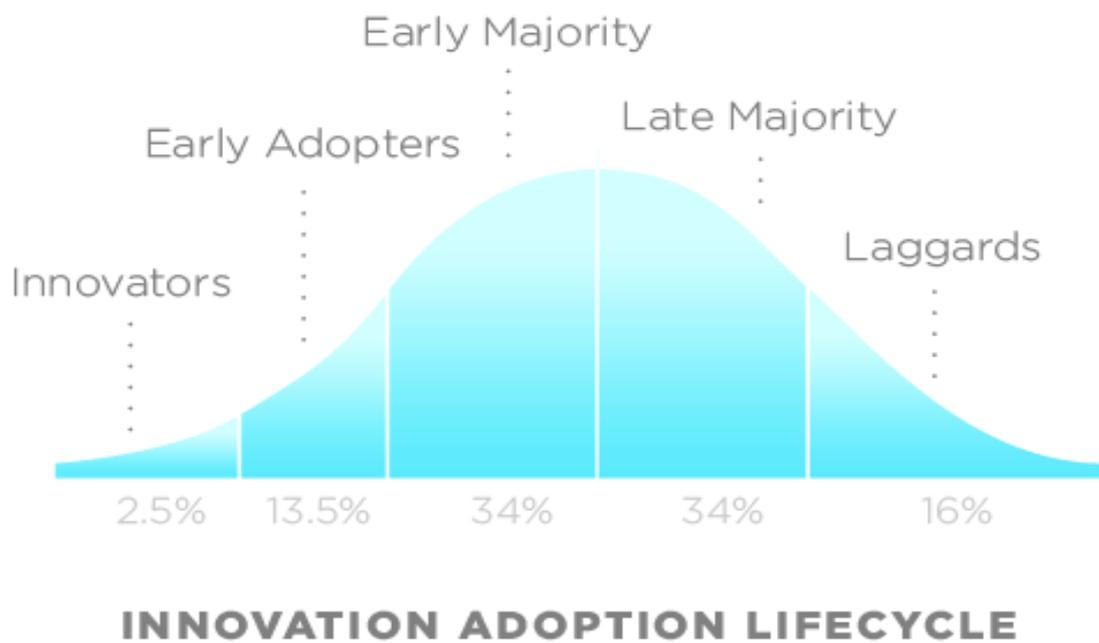


Figure 13. The Innovation Adoption Lifecycle (Rogers, 1962)⁵

Initial delivery plans need to be focused on areas most likely to succeed and where resistance to the proposed changes will be less. Figure 13 illustrates how people resist or accept change. Therefore, finding those teams and leaders willing to start adopting the changes in the plan is essential. The plan will need the support from leaders who are willing to pilot the changes within their teams and organisations.

⁵ Rogers, Everett M. (1962). Diffusion of Innovations, Glencoe: Free Press

The key outcome of this step is some changes are implemented and momentum for further changes builds.

RECOMMENDED TASKS

- Identify areas/teams where change will be most easily embedded
- Open a dialogue with those teams
- Deliver initial training or workshops to inform, educate and prepare. At this stage there is still the potential that issues raised may undermine the whole premise of the plan. The issue(s) must be resolved before the project goes any further forward. However, all planning and consultation up to this point should have minimised this risk.
- Arrange for any resource/infrastructure changes to be delivered and training specific to that resource/infrastructure.
- Arrange for changes in management controls to be implemented.
- Select an appropriate “go live” date from which time that team operates to the new plan.
- Appropriate tests and exercises should be scheduled to provide assurance and learning.
- Publicise the changes to other interested parties

5) BUILD ON SUCCESS TO EMBED CHANGE MORE DEEPLY

As outputs are successfully delivered their success needs assessing. The plan may need to be adjusted in light of learning as the plan is embedded into more teams. Ultimately, any changes need to be managed so that they deliver the desired outcomes and achieve the overall benefit for the organisations and teams. Successful pilot schemes need to be used as examples for other teams so that team leaders and interested parties positively seek to engage with the plan because the benefits are well understood and there are case studies that show they are achievable.

RECOMMENDED TASKS/PROJECTS

- Identify areas where the changes will most easily be embedded.
- Open a dialogue with those teams
- Deliver initial training or workshops to inform, educate and prepare. At this stage there is still the potential that an issues raised is realised that undermines the whole premise of the plan. This issue must be resolved before the project goes any further forward; however, all planning and consultation up to this point should have minimised this risk.
- Arrange for any resource/infrastructure changes to be delivered and training specific to that resource/infrastructure.
- Arrange for changes in management controls to be implemented.
- Select an appropriate “go live” date from which time that team operates to the new plan.
- Appropriate tests and exercises should be scheduled to provide assurance and learning.
- Publicise the changes to other interested parties

6) CHANGE BECOMES NORMALITY

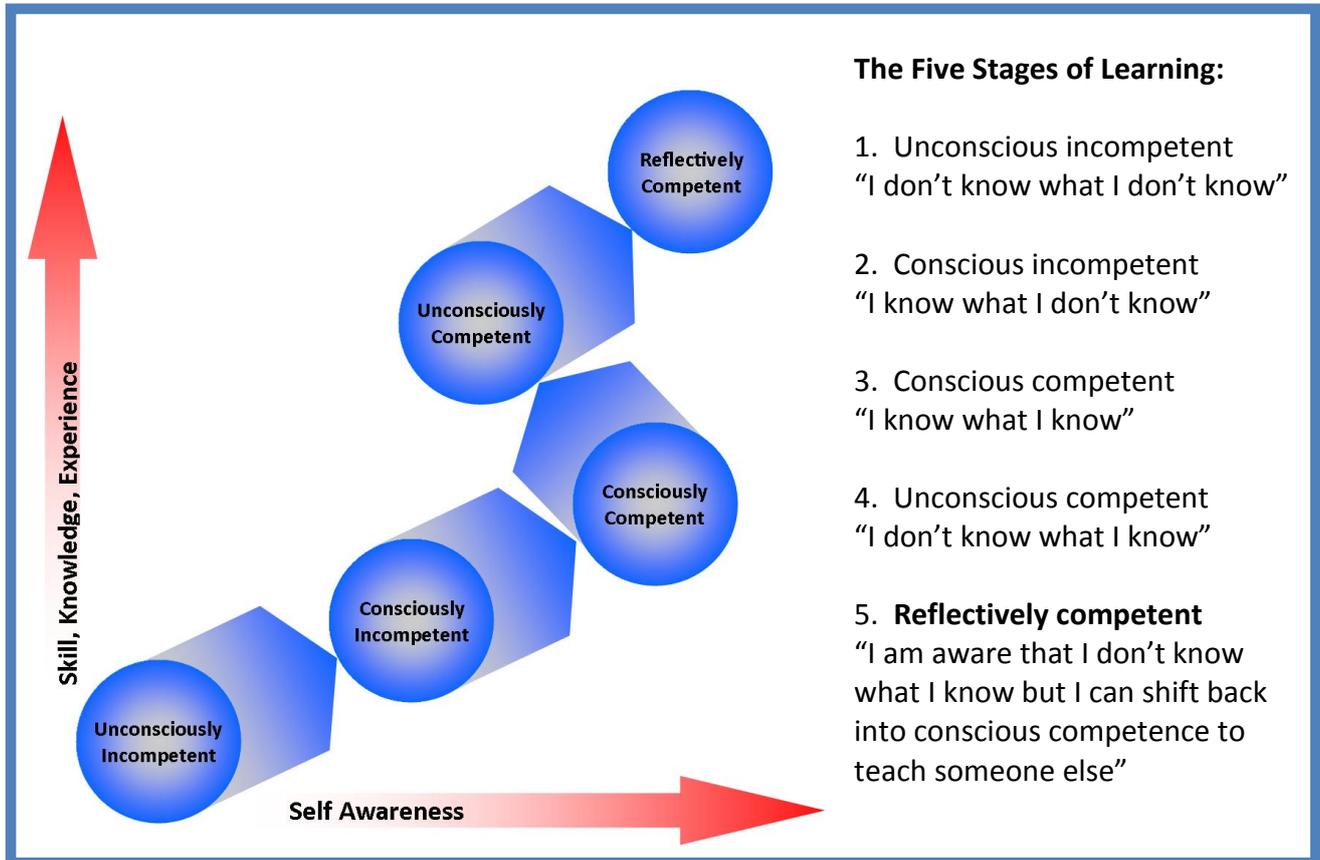


Figure 14. The Five Stages of Learning (adapted from Taylor, 2007)⁶

There are five stages to learning as illustrated in Figure 14. Anecdotal evidence suggests that within each team there are people who are at each stage of learning and indeed there are some who are already at stage 5, Reflectively Competent. The plan needs to increase the number of people at stage 5 and empower them to feed their learning back into their team and the wider group of interested parties. As the plan becomes embedded within teams and organisations, the proportions of the population within stages 3, 4 and 5 should increase and those within stages 1

⁶ W Taylor. (2007) Chair, Department of Homeopathic Medicine, National College of Natural Medicine, Portland, Oregon, USA.

and 2 should reduce. Ultimately, the plan should become a self-sustaining agenda within the team or organisation as learning is passed on and all interested parties are included.



GLOSSARY OF TERMS

Organisation

Agency

Multi-agency

Resilience

Emergency

Incident

Recovery

Response

Capabilities

Project

Plan

R2 – Reports & Returns

C2 – Command & Control

ORGANISATION AND ENVIRONMENTAL INFLUENCES ON EMERGENCY PLANNING

Organisational and Environmental influences

<p>Consequence Based Approach to Emergency Planning</p> <ul style="list-style-type: none"> Stage 1 Consequences & implications of hazards Stage 2 Scope and context Stage 3 Coordinate with stakeholders Stage 4 Define roles and responsibilities Stage 5 Resources and controls including phases Stage 6 Command, control and communication Stage 7 Establish activation triggers and procedures Stage 8 Contact details and telecommunications Stage 9 Document the plan and distribute Stage 10 Train teams and pre-position resources/controls Stage 11 Test and exercise teams and procedures Stage 12 Learn lessons 	<p>Some Operational Environment Influences</p> <ul style="list-style-type: none"> Demographics Religion Population Morality Culture Environment Legislation Regulation Money & markets Political Economics Sociological Security Technology Local Government Ethnicity/Diversity Workforce Infrastructure Safety Rivals Competitors Supply chain Health Partners Education Utilities Additional <ul style="list-style-type: none"> Globalisation Climate change Peak oil and other resource depletion Aging world population World population growth Changes in Economic Power and Geo-political stability Fresh Water Energy demand Technology – Graphene, Bio-processors, Genetic Engineering, AI? Gap between rich and poor – political instability Anti-microbial resistance
<p>Response Power (adapted from British Defence Doctrine)</p> <ul style="list-style-type: none"> Moral Component Intellectual Component Physical Component 	
<p>Adapted from John Adair's model of team dynamics</p> <ul style="list-style-type: none"> Task needs Self (Individual) needs and wants Team needs and wants 	
<p>Organisational Influences (Internal)</p> <ul style="list-style-type: none"> Leadership Governance Politics Stakeholders Marketing Brand Customers Communication Equipment ICT Work environment Resources Operations Human resource management Infrastructure Estates Finance Capital Security Change programmes Organisational structure Strategy 	



EXAMPLE ACTION CARD

Major Incident Action Card

Ser No.	002	Title	Local Authority Response Planning & Coordination
1	Responsible Authority	Business Continuity & Emergency Planning Team	
2	Purpose	To strategically plan and coordinate the Local Authorities preparation to respond to major incidents. Activate the Council's emergency response and support the command & control structure through to the conclusion of the incident or hand over to other Council services during recovery.	
3	Outcomes, Tasks & Timescales	Pre Incident	<ul style="list-style-type: none"> • Develop & Publish a Community Risk Register. • Support activities to promote community resilience. • Develop and implement a strategic plan outlining the Council's response to major incidents including business continuity. • Develop and implement plans where necessary to ensure the Council meets its statutory duties in an emergency. • Train, test and exercise the Council to ensure staff know how to respond to emergencies and to provide assurance that plans are fit for purpose. • Maintain procedures to activate a Council emergency response. • Maintain key equipment and stores. • Develop and maintain relationships with emergency response partners and voluntary agencies
4	Reaction	In the initial reaction phase	<ul style="list-style-type: none"> • Activate the Council's emergency response • Warn off all appropriate teams • Establish an Incident Management Team (IMT) drawing on support as necessary. • Support the command & control structure with communications, administrative support, reporting, advice and guidance. • Ensure decisions are effectively communicated. • Ensure links with SCG and TCGs are established • Ensure situational awareness is maintained. • Ensure an emergency log is maintained of decisions and situational developments
5	Rescue	In support of Emergency services rescue operation	<ul style="list-style-type: none"> • Support the command & control structure with communications, administrative support, reporting, advice and guidance. • Ensure decisions are effectively communicated. • Ensure links with SCG and TCG(s) are established • Ensure situational awareness is maintained. • Ensure an emergency log is maintained of decisions and situational developments.

6	Relief	In support of the community	As above + <ul style="list-style-type: none"> Ensure a Recovery Coordination Group (RCG) is established. Ensure options are reviewed for expanding the command & control structure to meet the operational need.
7		In support of the Police investigation	As per Rescue Phase
8	Retrieval & Investigate Remediation	In support of the community reoccupation	<ul style="list-style-type: none"> Close down the IMT and ensure effective handover from emergency command to RCG. Support the RCG with communications, administrative support, reporting, advice and guidance. Ensure situational awareness is maintained. Ensure an emergency log is maintained of decisions and situational developments. Once the reoccupation phase is complete, close down the emergency log.
9	Regeneration	In support of Regeneration of the affected area	<ul style="list-style-type: none"> Support the RCG with communications, administrative support, reporting, advice and guidance until disbanded or it has alternative resource allocated.
10	Resources	Staff	2 x Duty Emergency Planning Officers (24hr 365 cover) 3 x IMT (minimum for each 8 hours of the incident) Log Keeper Watch Keeper Coordinator 1 x Representative at incident location (minimum for each 8 hours of the incident) Require a pool of trained staff to ensure the IMT can be expanded to meet the needs of the incident and can operate on a 24/7 basis.
11		Equipment	CCTV Access Emergency Equipment e.g. camp beds, etc.
12		Buildings/Facilities	Office with Conference facilities Refreshments
13		Information	Accurate situational information Status reports from critical council services Expert advice and guidance Emergency contact information
14		IT	GIS M Science SMS messaging Contacts Database Usual Hardware & Software provision CCTV hardware and software
15		Supplies	Usual stationery consumables Emergency consumable supplied Refreshments

16		Communications	<p>All figures are minimums</p> <p>8 x Telephone lines</p> <p>7 x Telephones</p> <p>1 x Conference Telephone</p> <p>8 X Radios (secure)</p> <p>2 x Blackberrys</p> <p>4 x Mobile Telephones</p>
17		Finance	Facility to make emergency purchases (e.g. accommodation, food)
18	Command & Control		The IMT acts as the central hub for the flow of information and decisions during an incident. The IMT supports the Council's command and control at bronze, silver and gold level and provides the link to the SCG and TCGs when established.
19	Reporting		The IMT receives status reports from Council services and teams and sends situational reports to the SGC/TCGs.
20	Liaison		The IMT needs to liaise with all Council services and partners necessary to effect an emergency response
21	Constraints		<p>Trained staff</p> <p>Budget</p> <p>Back up facilities</p>
22	User Expectations		The critical user of the IMT and BC&EP team is the Senior Council Officer coordinating the Council's emergency response. This Officer should expect to have their information requests met quickly and efficiently, any questions answered in a prompt and concise manner, their decisions and actions should be logged and passes with complete information as quickly as possible to the right people and any advice should be accurate and concise.
23	Risks		<p>Telecommunications Failure</p> <p>Security breaches</p> <p>Offices out of use due to incident</p> <p>Unable to establish IMT out of hours.</p> <p>Unable to connect to IT network and send/receive information</p>
24	Reference Documents		<p>Major Incident Plan</p> <p>IMT Plan</p> <p>Community Resilience Strategy</p>

EXAMPLE SITUATION REPORT TEMPLATE

This Situation Report is **RESTRICTED** when complete.

SITUATION REPORT

Serial No.

Sit Rep Tracking

From:	To:
Time:	
Date:	
Service / Team:	
Description of situation:	
External / Internal Incident: Casualties, Hazards, Access routes, Location(s), Emergency Services, Type of Incident. Business Continuity Impacts: Staff, Premises, IT / Telephones, Data, Suppliers, Equipment, Transport, Utilities	
Other Considerations:	
Please see notes overleaf.	
Action being taken:	
By you/your team	
By the Emergency Services	
By other Welfare & Support Agencies	
By the Community	
Support Required by you/your service:	

When will your next situation report be provided?		
Please consider the following when completing your situation report:		
Business Continuity <ul style="list-style-type: none"> • Staff • Premises • IT / Telephones • Data • Suppliers • Equipment • Transport • Utilities In terms of affected & needed	Police & Fire use CHALET <ul style="list-style-type: none"> C – Casualties H – Hazards A – Access routes L – Location(s) E – Emergency Services T – Type of Incident 	Health Svcs use METHANE <ul style="list-style-type: none"> M – Major Incident E – Exact Location T – Type of Incident H – Hazard A – Access Routes N – Number of Casualties E – Emergency Services
Other consideration:		
Immediate Action Drills - on discovering a hazard <ul style="list-style-type: none"> • Confirm – the hazard • Clear – the area • Cordon – the area • Control – the cordon • Communicate – raise the alert Key Response Planning Questions <p>What is happening and how? What needs to be done? What are the options? Which is the best option and why? What resources are needed? When and where? Who do you need to talk to, to make it happen? What are the risks and hazards? What controls need to put in place? From where can the situation be best resolved? Are you in danger or a target? Are there any secondary hazards? What is the best way to communicate? What critical infrastructure is affected? What resources have already been deployed? How many people have been displaced? Road closures? What are you trying to achieve? Is there a media presence? Do you need further supplies?</p>	Ten Essentials of Response <ol style="list-style-type: none"> 1. Get eyes on the situation as soon as possible 2. Don't fully commit resources based on unconfirmed information 3. Establish "command & control" early ensuring situational awareness 4. Make decisions and base them on the best possible information 5. Delegate and give others freedom of action with clear aims 6. Ensure mutual understanding and rapid transfer of information 7. Focus on the preservation of life and property 8. Be proactive, anticipate what will happen next 9. Think Business Continuity and maintain a reserve 10. Be resourceful and flexible in ensuring you can access and deploy your capabilities 	

This Situation Report is **RESTRICTED** when complete.