



**CabinetOffice**

# Expectations and Indicators of Good Practice Set for Category 1 and 2 Responders

The Civil Contingencies Act (2004), its associated Regulations (2005) and guidance, the National Resilience Capabilities Programme, and emergency response and recovery

# Contents

	Page
<b>Introduction</b>	<b>4</b>
How to use this document	5
<b>Part 1: Expectations relating to the CCA, Regulations and guidance</b>	<b>6</b>
A: Duty to assess risk	7
Mandatory requirements	7
Issues to consider	9
Indicators of good practice	10
B: Duty to maintain plans – Emergency Plan	11
Mandatory requirements	11
Issues to consider	14
Indicators of good practice	15
C: Duty to maintain plans – Business Continuity	16
Mandatory requirements	16
Issues to consider	19
Indicators of good practice	20
D: Duty to communicate with the public	21
Mandatory requirements	21
Issues to consider	24
Indicators of good practice	27
E: Business Continuity Promotion	28
Mandatory requirements	28
Issues to consider	30
Indicators of good practice	31
F: Information sharing	32
Mandatory requirements	32
Issues to consider	33
Indicators of good practice	34
G: Cooperation – Category 1 responders	35
Mandatory requirements	35
Issues to consider	37
Indicators of good practice	39

H: Cooperation – Category 2 responders	40
Mandatory requirements	40
Indicators of good practice	40
<b>Part 2: Expectations relating to the Resilience Capabilities Programme</b>	<b>41</b>
A. Maintaining Essential Services (Category 1 and 2 responders)	42
B. Functional workstreams (Category 1 responders)	43
<b>Part 3: Expectations for emergency response and recovery</b>	<b>46</b>
How to use this section	46
A: Anticipation	48
B: Preparedness	49
C: Subsidiarity	54
D: Direction	55
E: Information management	56
F: Cooperation	57
G: Integration	58
H: Continuity	59
I: Resilience	60
J: Sustainability	63
Annex A: Glossary of terms and acronyms	64
Annex B: References	71

# Introduction

1. This document aims to clarify what is expected of Category 1 and 2 responders in England and Wales in relation to:
  - the duties within the Civil Contingencies Act 2004 (CCA)<sup>1</sup>;
  - the associated Contingency Planning Regulations 2005 (Regulations) and guidance<sup>2</sup>;
  - the National Resilience Capabilities Programme; and
  - emergency response and recovery.

(Different arrangements apply in Northern Ireland and Scotland. Details on the Northern Ireland Civil Contingencies Framework can be found on: <http://cepu.nics.gov.uk/pubs/NI%20CCF.pdf>)
2. In Scotland, *Preparing Scotland* sets out practical generic guidance on preparation and response. This sets out the principles of integrated emergency management (IEM) which are used to underpin the detailed response structures and arrangements at local, regional and national level. The Resilience Advisory Board for Scotland (RABS) provides strategic policy advice to Scottish Ministers and others on emergency preparedness and response. The Scottish Capabilities Programme contributes to the development of resilience across Scotland. At the local level in Scotland, a number of constabulary area-based Strategic Co-ordinating Groups<sup>3</sup> determine local responder arrangements for planning, response and recovery.
3. We hope this document will provide responders with the additional clarity and guidance that they and other stakeholders (including lead government departments and regulators<sup>4</sup>) have been asking for, and will identify what responders can expect of their Local Resilience Area partners.
4. This document also aims to encourage and support responders in continuing to develop their capabilities in civil contingencies and emergency preparedness and touches on some elements of response and recovery, where relevant, by highlighting indicators of good practice. The examples are by no means exhaustive and we would be interested to hear from you if you feel that you have further examples of good practice to contribute<sup>5</sup>.
5. As part of a wider programme focusing on CCA implementation, the Civil Contingencies Secretariat (CCS) hope to collate a more extensive and detailed list of case studies which can be disseminated throughout the responder community. (The Secretariat is piloting a self-assessment tool, which will enable responders to measure their compliance against the expectations set out in this document and which will sign-post them to relevant case studies and guidance).

<sup>1</sup> [www.statutelaw.gov.uk](http://www.statutelaw.gov.uk) provides details.

<sup>2</sup> See above.

<sup>3</sup> These are similar to the Local Resilience Forums in England and Wales.

<sup>4</sup> Regulators include the Audit Commission, Her Majesty's Inspectorate of Constabularies (HMIC), Care Quality Commission, Health Protection Agency and the Wales Audit Office (WAO).

<sup>5</sup> To alert us to further examples of good practice please contact [ncs@cabinet-office.x.gsi.gov.uk](mailto:ncs@cabinet-office.x.gsi.gov.uk).

## How to use this document

6. The advice in this document is not intended to supplant the need for responders to be familiar and compliant with their legislative obligations. Instead, it aims to pull together advice and guidance on the [CCA](#) and Regulations, produced by both CCS and lead government departments, into one useful reference document. This document sign-posts you to the relevant legislative provisions and more detailed guidance, if required.
7. This document is split into three parts as follows:
  - **Part 1** relates to the CCA and its associated Regulations and guidance;
  - **Part 2** focuses on the National Resilience Capabilities Programme; and
  - **Part 3** provides a check-list of considerations for emergency response and recovery, including requirements for resilient telecommunications. This section also aims to highlight the link between (a) statutory preparation and (b) emergency response and recovery.
8. Throughout this document we use the term **'emergency'**. By emergency we mean:
  - An event or situation which threatens serious damage to **human welfare** – An event or situation should only be considered to threaten damage to human welfare if it involves, causes or may cause loss of human life, human illness or injury, homelessness, damage to property, disruption of supply of money, food, water, energy or fuel, disruption of a system of communication, disruption of facilities for transport or disruption of services relating to health.
  - An event or situation which threatens serious **damage to the environment** – An event or situation should only be considered to threaten damage to the environment if it involves causes or may cause contamination of land, water or air with biological, chemical or radioactive matter or disruption or destruction of plant life or animal life.
  - War, or terrorism, which threatens serious damage to the **security of the UK**.

The Local Risk Assessment Guidance (LRAG), which is updated annually, includes a generic threat statement, as well as information on non-malicious hazards, that is based on information contained within the National Risk Assessment. Responders should use this information to drive planning locally (CCA section 1(1)) in conjunction with related documents including, in particular, the published National Risk Register (NRR) and the restricted National Resilience Planning Assumptions.
9. A full glossary of the terms and acronyms used in this document can be found in [Annex A](#). In addition to the hyperlinks found within this document, [Annex B](#) provides a list of useful references.

## Part 1: Expectations relating to the CCA, Regulations and guidance

10. This section focuses on the [CCA](#) and its associated Regulations and guidance (statutory and non-statutory). The content of this section builds upon the self-assessment tables in chapter 13 of [Emergency Preparedness](#). The information given in this document is in no way designed to encapsulate the statutory regime, but to provide a consistent framework for self-assessment, peer review and more formal assessments, carried out by regulatory organisations, for Category 1 and 2 responders.
  - **highlight how non-compliance can be identified** by various sources (including by Category 1 and 2 responders, regulators, Regional Resilience Teams (RRTs) and government departments<sup>6</sup>);
  - **outline informal mechanisms for early intervention and support**; and
  - **illustrate how an issue might be escalated** – The top-tier of this escalation process would be for Section 9 and/or 10 of the [CCA](#) to be deployed.
11. For each CCA duty, we highlight:
  - **What is involved** (red sections in the tables) – outlining any mandatory requirements relating to this duty (i.e. where we say you “must” do something). In the “what is involved” sections of the tables below we signpost you through the legal requirements for the CCA, its Regulations and statutory guidance.

Responders will be aware that sections 9 and 10 of the CCA make provision for monitoring, together with enforcement action if non-compliance is evident. (Section 9 gives Ministers a right to require information to be provided to them, and Section 10 gives Ministers or Category 1 or Category 2 responders a right to bring proceedings in the High Court.) CCS is currently drafting a monitoring and enforcement framework to complement Sections 9 and 10. This will:
  - **What you should consider** (orange sections in the tables) – these sections outline any optional elements of the [CCA](#) regime (i.e. where we say you “may” do something rather than “must”) and signpost any relevant non-statutory guidance relating to the duty.
  - **Examples of good practice** (green sections in the tables) – these sections outline examples of good practice in order to provide a picture of what performance over and above compliance with your statutory obligations might look like. (These examples of good practice have been submitted to us by responders and have been quality assessed by CCS.)

<sup>6</sup> In Wales the Welsh Assembly Government (WAG) fulfils a similar role to the RRTs.

## A: Duty to assess risk

CCA section 2 (1)(a) duty: From time to time assess the risk of an emergency occurring.

CCA section 2 (1)(b) duty: From time to time assess the risk of an emergency making it necessary for the person or body to perform any of his or its functions.

(Category 1 responders only)

### Mandatory requirements:

<b>Within your organisation</b>	1) Periodically assessing the risk of emergencies occurring which affect or may affect <b>the area in which your organisation exercises its functions</b> – Regulation 13.
	2) Considering whether it is necessary to include an emergency or type of emergency in risk assessments. It should be included if: <ul style="list-style-type: none"> <li>• the emergency would be likely to seriously obstruct the performance of your functions (section 2(2)(a) CCA); or</li> <li>• you would consider it necessary or desirable to take action to prevent the emergency, to reduce, control or mitigate its effects or take other action in connection with the emergency and your organisation would be unable to act without changing the deployment of resources or acquiring additional resources – section 2(2)(b) CCA.</li> </ul>
	3) Reviewing your risk assessment as often as is necessary to ensure that you are in a reasonable position to maintain and update your emergency and business continuity plans and comply with your CCA duties – 4.8 in <a href="#">Emergency Preparedness</a> .
	4) Reviewing your risk assessment from “ <i>time to time</i> ” (i.e. as and when necessary) to ensure that it is in line with any government guidance or assessment (e.g. Local Risk Assessment Guidance (LRAG) and Government Threat statements) on how likely a particular type of emergency is or the extent to which it may cause damage to human welfare, the environment or the security of the UK – Regulation 14. This guidance may say: <ul style="list-style-type: none"> <li>• you have to adopt their assessments as your own, in which case you must do so – 4.6 in <a href="#">Emergency Preparedness</a>; or</li> <li>• you must “have regard” to the assessments in which case you must conduct a subsequent risk assessment of your own to review whether you need to update your risk assessment – 4.7 in <a href="#">Emergency Preparedness</a>.</li> </ul>

<p style="writing-mode: vertical-rl; transform: rotate(180deg);"><b>Within your Local Resilience Area</b></p>	<p>5) Cooperating with other Category 1 responders in your local resilience area to maintain a Community Risk Register (CRR) – Regulation 15 (1). This involves:</p> <ul style="list-style-type: none"> <li>• from “<i>time to time</i>” sharing what you can of your individual risk assessments with other Category 1 responders in your local resilience area – Regulation 15(2);</li> <li>• having regard to the CRR when producing your own risk assessments – Regulation 15(4); and</li> <li>• collectively agreeing the CRR with your local resilience area partners – 4.9 <a href="#">Emergency Preparedness</a>.</li> </ul>
<p style="writing-mode: vertical-rl; transform: rotate(180deg);"><b>Outside your Local Resilience Area</b></p>	<p>6) Ensuring from “<i>time to time</i>” a copy of the CRR for your local resilience area is shared with neighbouring Category 1 responders in any neighbouring local resilience areas – Regulation 16(1) and 16(2).</p> <p>7) Ensure from “<i>time to time</i>” that a copy of the CRR for your Local Resilience Area is shared with the Secretary of State – Regulation 16(4), by this we mean your Regional Resilience Team (RRT) – 4.10 in <a href="#">Emergency Preparedness</a>.</p> <p>8) If in Wales, ensuring that from “<i>time to time</i>” a copy of the CRR for your local resilience area is shared with the Welsh Assembly – Regulation 16(3).</p>
<p style="writing-mode: vertical-rl; transform: rotate(180deg);"><b>Publishing assessments</b></p>	<p>9) Considering how to publish your assessments – see the section on communicating with the public (see <a href="#">part 1, section D</a> for details).</p>

Issues to consider:	
<b>Process</b>	<p>10) Adopting a systematic risk assessment process. <i>Emergency Preparedness</i> recommends the following six step process:</p> <ul style="list-style-type: none"> <li>• <b>Contextualisation</b> – Identify stakeholders and evaluation criteria and principles to be used during risk identification. Describe the characteristics of the area (e.g. social, environmental and the location of infrastructure and any hazardous sites).</li> <li>• <b>Identify hazards and allocate the assessment of these hazards</b> between the Category 1 responders operating in the areas at risk from these hazards. In identifying hazards LLAG and information from other responders should be used. See Annex 4B of <a href="#">Emergency Preparedness</a> for guidance on using LLAG. (Central government threat statement in LLAG and the National Risk Register (NRR) identifies and analyses threats).</li> <li>• <b>Risk analysis</b> – Lead responders for each hazard consider the likelihood of it occurring in the next 5 years and its impacts. These assessments should be in relation to a defined outcome (e.g. the size of the flood). See Annex 4C and D of <a href="#">Emergency Preparedness</a> for ideas on how to approach these assessments.</li> <li>• <b>Risk evaluation</b> – Collate likelihood and impact assessments for each hazard, the Central government threat statement and information from NRR to produce a CRR. This should determine the level of each risk by plotting likelihood against impact. See Annex 4E and F of <a href="#">Emergency Preparedness</a> for guidance.</li> <li>• <b>Risk treatment</b> – Prioritise risk reduction measures in accordance with the level of the risks and gaps in capabilities required to respond. Identify capability gaps and how they can be closed, identifying who is responsible for what (see <a href="#">Part 2</a> of this document).</li> <li>• <b>Monitor and review</b> – A full and formal review of all risks on a four yearly cycle is recommended (4.54 of <a href="#">Emergency Preparedness</a>).</li> </ul> <p>(See the summary in Annex 4A of <a href="#">Emergency Preparedness</a> for more details)</p>
<b>Collaboration</b>	<p>11) Collaboration – see the collaboration section (see <a href="#">part 1, section G</a> for details).</p> <p>12) Setting up a Risk Assessment Working Group (RAWG) to act as a forum for cooperation on risk assessment – 4.33 <a href="#">Emergency Preparedness</a>.</p>

Indicators of good practice:	
<b>Process</b>	<p>13) Being able to provide documentary evidence of a regular process for monitoring, reviewing and updating risk assessments. This should include:</p> <ul style="list-style-type: none"> <li>• audit trails recording any updates made;</li> <li>• version control;</li> <li>• a list of contributors; and</li> <li>• references and a list of sources used – (this should include LTAG and any other government guidance – see A3 above).</li> </ul> <p>This should enable you to ensure that you can demonstrate how the assessment derives from a rigorous investigation of local hazards and risks. It should also provide evidence on how your risk assessments align with national and regional risk assessments and government guidance on risk assessments.</p>
<b>Collaboration</b>	<p>14) Sharing risk assessment work between local resilience area partners in a way which maximises the use of relevant expertise and minimises the duplication of effort.</p> <p>15) Consulting widely (internally and externally) during the risk evaluation and analysis stages. This includes consulting with key officers responsible for delivering your organisation’s functions in an emergency and with Category 1 and 2 responders and those that are not responders.</p> <p>16) Where appropriate, encourage your local resilience area partners to share your CRR or sections of it with other non-neighbouring local resilience areas.</p>
<b>Risk assessment</b>	<p>17) Taking account of “out of area” hazards (including national, international and out of region) which could affect your organisation and its locality.</p> <p>18) Reflecting different risk levels within your area – for instance there are likely to be certain area-wide emergencies, such as flu pandemic, where the likelihood and impact is the same across your whole area. Other emergencies, for instance industrial hazards or flooding, are likely to have greater impacts or be more likely in some parts of your area than others.</p>

## B: Duty to maintain plans – Emergency Plan

CCA section 2 (1)(d) duty: Maintain plans for the purpose of ensuring that if an emergency occurs or is likely to occur, the person or body is able to continue to perform his or its functions so far as is necessary or desirable for the purpose of:

- i) preventing the emergency;
- ii) reducing controlling or mitigating its effects; or
- iii) taking other action in connection with it.

CCA section 2 (1)(e) duty: Consider whether a risk assessment makes it necessary or expedient for the person or body to add to or modify emergency plans.

(Category 1 responders only)

### Mandatory requirements:

<b>Emergency planning</b>	<p>1) For the emergencies identified in risk assessments, considering:</p> <ul style="list-style-type: none"> <li>• <b>Whether they can be prevented</b> and what action you would need to take to do this – preventative actions may also be identified from the dynamic risk assessments made at the time of an emergency (See section 5.5 of <a href="#">Emergency Preparedness</a> for some examples of prevention. See <a href="#">part 3, section A</a>, for information on dynamic risk assessments during an emergency).</li> <li>• <b>Whether the effects of an emergency can be reduced, controlled or mitigated and how you might achieve this</b> – plans should address the disruption which is the impact of the emergency, include actions to stem the emergency at source and bring order to the response operation (5.7 – 5.11 of <a href="#">Emergency Preparedness</a>).</li> <li>• <b>Whether any other action in relation to the emergency needs to be taken</b> – Plans should address any secondary impacts arising from an emergency (e.g. media interest) and include subordinate arrangements (e.g. reliable internal communication systems) – 5.12 – 5.14 in <a href="#">Emergency Preparedness</a>).</li> </ul>
	<p>2) Considering the extent to which particular types of emergencies will place demands on your resources and capacity – 5.52 in <a href="#">Emergency Preparedness</a>.</p>

<b>Emergency planning</b>	<p>3) Having regard for the activities of any voluntary organisation operating in the area in which you function and which are relevant in an emergency. Voluntary organisations can be considered relevant if they carry out functions that help prevent emergencies, reduce, control or mitigate the effects of emergencies or take other action in connection with emergencies – Regulation 23. Guidance on how to involve the voluntary sector can be found in chapter 14 of <a href="#">Emergency Preparedness</a>.</p> <p>4) Producing written plans which set out what should occur in the event of an emergency. Guidance on the content and presentation of plans can be found at 5.55 and 5.108 – 5.110 <a href="#">Emergency Preparedness</a>. In summary, plans should include information on:</p> <ul style="list-style-type: none"> <li>• <b>Why the plan is needed</b> – plan description, its purpose and some reference to the risk assessment on which the plan is based.</li> <li>• <b>How the plan works</b> – the main elements of the plan in hierarchy of importance, how activities will be coordinated, main facilities, equipment, locations and communications, how additional resources may be obtained if required.</li> <li>• <b>Who has responsibility in the plan (by title)</b> – The main emergency teams (from both within and outside the organisation), their roles and responsibilities.</li> <li>• <b>When the plan will be activated</b> – procedures for alerting, placing on standby and activating teams and a procedure for determining when an emergency has occurred.</li> <li>• <b>What will be done and by whom</b> – specific actions to be taken and how these contribute to the overall response, check-lists or aide memoirs.</li> <li>• <b>How to communicate with stakeholders</b> – i.e. a communication plan, including contact details.</li> <li>• <b>How to support staff</b> – training, exercising, briefings.</li> <li>• <b>A measure or standard</b> against which performance can be assessed.</li> <li>• Crisis management from <b>response through to recovery</b>.</li> </ul> <p>A check-list of the minimum number of elements for a general plan appears in Annex 5b <a href="#">Emergency Preparedness</a>. A similar list for specific plans is in Annex 5c.</p> <p>You should also take into account the advice set out in <a href="#">Emergency Response and Recovery</a> and advice published by Lead Government Departments and Agencies such as ACPO, CFA and the LGA.</p>
---------------------------	---

<b>Emergency planning</b>	<p>5) Ensuring that plans:</p> <ul style="list-style-type: none"> <li>• <b>are concise and easy to use</b> – They will need to be read and understood in challenging situations. They should introduce the reader to the topic in logical steps;</li> <li>• <b>use consistent unambiguous terminology;</b></li> <li>• <b>include references to other sources of information and supporting documentation;</b> and</li> <li>• <b>have a change control process and version control.</b></li> </ul> <p>(6.83 <a href="#">Emergency Preparedness</a>)</p>
	<p>6) Giving vulnerable people (people who are less able to help themselves in the circumstances of an emergency) special consideration when producing plans. See 5.98-5.103 and Chapter 7 of <a href="#">Emergency Preparedness</a> for guidance. <a href="#">Identifying people who are vulnerable in a crisis – Guidance for Emergency Planners and Responders</a> provides further guidance.</p>
	<p>7) Giving those affected by emergencies, including survivors and families and friends of those directly affected by emergencies, special consideration when producing plans. See 5.104-5.106 and Chapter 7 of <a href="#">Emergency Preparedness</a> for guidance. <a href="#">Evacuation and Shelter and Humanitarian Assistance in Emergencies</a> provide guidance on this.</p>
	<p>8) Developing the plan with the full engagement and cooperation of the main parties who have a role in the plan and securing their agreement to its content– 5.111 <a href="#">Emergency Preparedness</a>.</p>
	<p>9) Treating emergency planning as a systematic and continuous process, and having a procedure for updating and maintaining plans to ensure that they reflect:</p> <ul style="list-style-type: none"> <li>• any changes in risk assessments (see the risk assessment section above);</li> <li>• lessons learned from exercises and emergencies;</li> <li>• restructuring and changes in organisations, their procedures and technical systems identified in the plan; and</li> <li>• changes in key personnel – 5.170 – 5.175 in <a href="#">Emergency Preparedness</a>.</li> </ul>

<b>Emergency Planning</b>	<p>10) Including a procedure for determining whether an emergency which makes it necessary or desirable for your organisation to take action to prevent the emergency, to reduce, control or mitigate its effects, or otherwise act in connection with it, has occurred. Where such action is required, the procedure must determine whether your organisation can take action without changing the deployment of resources or acquiring additional resources – Regulation 24 (2). This procedure must:</p> <ul style="list-style-type: none"> <li>• identify the person who should determine whether an emergency has occurred or enable that person to be identified;</li> <li>• specify the procedure that person should adopt in making the decision;</li> <li>• specify who should be consulted in making the decision; and</li> <li>• specify who should be informed once the decision has been made.</li> </ul>
<b>Exercises and training</b>	<p>11) Having provision for carrying out exercises which are designed to validate and test the plan to ensure that it is effective – Regulation 25(a) and paragraphs 5.143 – 5.161 of <a href="#">Emergency Preparedness</a> provides further guidance.</p> <p>12) Having debriefing sessions for exercises and any actual emergencies identifying lessons. A lessons learned report should be produced and published for each exercise – 5.167 in <a href="#">Emergency Preparedness</a>.</p> <p>13) Having the provision to train an appropriate number of suitable staff and anyone else for whom training would be appropriate for the purpose of ensuring that the plan is effective – Regulation 25(b).</p>
<b>Publishing plans</b>	<p>14) Considering how to publish your plans – see the section on communicating with the public in this document (see <a href="#">part 1, section D</a>, for details).</p>
<b>Issues to consider:</b>	
<b>Plans</b>	<p>15) Considering whether to produce generic plans which relate to more than one emergency, specific plans which relate to a particular emergency or type of emergency or a mixture of both – Regulation 21. The nature of the plans you produce must have regard to the risk assessments you have carried out – Regulation 19. 5.69 – 5.95 of <a href="#">Emergency Preparedness</a> provides further guidance on types of plans and Annex 5A gives examples of generic and specific plans.</p>
<b>Collaboration</b>	<p>16) Considering whether it is appropriate to produce, maintain and update an emergency plan in relation to a particular emergency or type of emergency in collaboration with other Category 1 responders, i.e. a multi-agency plan – Regulation 22. It is essential that any such plans contain arrangements for co-operation and coordination at management level – 5.54 in <a href="#">Emergency Preparedness</a>.</p> <p>For more details on collaboration options see the collaboration section of this document (<a href="#">part 1, section G</a>).</p>

Indicators of good Practice:	
Plans	17) Being able to prove that plans are regularly and systematically updated, based on sound assumptions. This can be achieved by filing associated documentation including: <ul style="list-style-type: none"> <li>• a record of key decisions made and agreed;</li> <li>• a record of changes and modifications; and</li> <li>• a programme and schedule for future updates.</li> </ul>
	18) Asking your peers to review and comment on your plans.
	19) Using identified good practice examples to develop emergency plans.
	20) Adopting plans which are flexible allowing for the unexpected and can be scaled up or down to cope with varying scales of emergency.
	21) Being able to demonstrate that lessons learned in exercises and emergencies have been taken forward.
	22) Being able to demonstrate that the people responsible for carrying out the roles in the plan are aware of those roles.
Training	23) Developing and documenting a training and briefing programme for staff and key stakeholders (including Elected Members, if applicable).
	24) Referring to the National Occupation Standards for Civil Contingencies ( <a href="http://www.skillsforjustice.com">www.skillsforjustice.com</a> ) and the <a href="#">EPS Core Competencies Framework</a> when identifying training needs.

## C: Duty to maintain plans – Business Continuity

CCA section 2 (1)(c) duty: Maintain plans for the purpose of ensuring, so far as is reasonably practicable, that if an emergency occurs the person or body is able to continue to perform his or its functions.

CCA section 2 (1)(e) duty: Consider whether a [risk assessment] makes it necessary or expedient for the person or body to add to or modify [business continuity plan].

(Category 1 responders only)

### Mandatory requirements:

<b>Business Continuity Planning</b>	<p>1) Considering how to continue your organisation’s functions (day-to-day functions as well those relating to civil contingencies) in the event of an emergency, insofar as is practical. This involves deciding:</p> <ul style="list-style-type: none"> <li>• <b>Which functions are critical?</b> Functions might be critical because they help prevent emergencies and/or reduce and mitigate the risk of them occurring. They might also be critical because they have an impact on human welfare, the environment or security or have legal or financial implications. Critical activities would also include those that if not performed would or might cause reputational damage.</li> <li>• <b>What is an acceptable level of service in the event of this type of emergency?</b> Some critical activities may need to be scaled up whilst other non-critical activities might need to be scaled down or suspended. What is acceptable will be related to capabilities, constraints (e.g. resources) and the needs of the community – 6.10 – 6.13 <a href="#">Emergency Preparedness</a>.</li> </ul>
	<p>2) Identifying in what way the emergencies in your risk assessments threaten the performance of your organisation’s functions, especially critical activities – 6.14 <a href="#">Emergency Preparedness</a>.</p>
	<p>3) Considering if there are any internal risks (i.e. business risks, as opposed to the risk of an emergency) that could threaten the performance of your organisation’s functions in an emergency – 6.15 <a href="#">Emergency Preparedness</a>.</p>

<b>Business Continuity Planning</b>	<p>4) Having regard for the activities of any voluntary organisation operating in the area in which you function are relevant in an emergency, in that they are carried out functions for the purpose of preventing an emergency, reducing, controlling or mitigating the effects of an emergency or taking other action in connection with an emergency (Regulation 23). Chapter 14 of <a href="#">Emergency Preparedness</a> provides guidance on how to involve the voluntary sector.</p>
	<p>5) Producing and maintaining plans which outline how your business will continue to perform its functions in the event of the emergencies occurring which are included in your risk assessments. These plans should be based on the considerations mentioned in C1, 2, 3 and 4 above and are likely to be in addition to existing business continuity management systems to deal with a wider range of disruptive challenges (not covered by the CCA) – 6.6 – 6.7 <a href="#">Emergency Preparedness</a>.</p>
	<p>6) Ensuring that plans:</p> <ul style="list-style-type: none"> <li>• <b>are short, simple and user friendly</b> – they will need to be read and understood in challenging situations;</li> <li>• <b>contain realistic assumptions;</b></li> <li>• <b>include references</b> to other sources of information and supporting documentation;</li> <li>• <b>outline what action plans and check-lists are required</b> and provide templates for producing these;</li> <li>• <b>allocate ownership for key tasks;</b></li> <li>• <b>have a change control process</b> and version control; and</li> <li>• <b>include a communications strategy.</b></li> </ul> <p>(6.83 Emergency Preparedness).</p>
	<p>7) Including a procedure in the plan(s) for determining whether an emergency has occurred which is likely seriously to obstruct your organisation in performing its day-to-day functions – Regulation 24(1). This procedure must:</p> <ul style="list-style-type: none"> <li>• identify the person who should determine whether an emergency has occurred or enable that person to be identified;</li> <li>• specify the procedure this person should adopt in making this decision;</li> <li>• specify who should be consulted in making this decision; and</li> <li>• specify who should be informed once the decision has been made.</li> </ul> <p>(Regulation 24(3) and 6.20 in <a href="#">Emergency Preparedness</a>).</p>

<b>Business Continuity Planning</b>	8) Ensuring officers’ commitment to the plan(s) and giving a member of the executive management board overall responsibility for the Business Continuity Management (BCM) process (6.48 – 6.50 <a href="#">Emergency Preparedness</a> ).
	<p>9) Updating and maintaining BCPs in line with:</p> <ul style="list-style-type: none"> <li>• any updates to your risk assessments (see the risk assessment section above);</li> <li>• staff changes;</li> <li>• organisational and structural changes;</li> <li>• any changes in your functions;</li> <li>• changes in supplier and contractual arrangements; and</li> <li>• changing business objectives and processes – 6.27 <a href="#">Emergency Preparedness</a>.</li> </ul> <p>BCM is a continuous process to help your organisation anticipate, prepare for, prevent, respond to and recover from disruptions (6.41 <a href="#">Emergency Preparedness</a>) and you should review your understanding of the business and BCPs, including lessons learned from exercises and emergencies.</p>
<b>Exercises and training.</b>	10) Having provision for carrying out exercises which are designed to validate and test BCPs to ensure that they are effective – Regulation 25(a). The frequency of these exercises will depend on the rate of change (if it is rapid, more frequent exercises will be needed) and the outcomes of previous exercises and emergencies (if weaknesses are identified, your BCPs may need to be updated and re-tested through exercise) – 6.23 <a href="#">Emergency Preparedness</a> .
	11) Having the provision to train an appropriate number of suitable staff and anyone else for whom training would be appropriate, to ensure BCPs are effective – Regulation 25(b). Training should include the contents of the plan, roles and responsibilities and the skills and knowledge required – 6.25 <a href="#">Emergency Preparedness</a> .
<b>Awareness</b>	12) Ensuring that staff and both external and internal stakeholders are aware of the BCM strategy – 6.85 and the table on page 90 of <a href="#">Emergency Preparedness</a> .
<b>Publishing plans</b>	13) How to publish your plans – see the section on communicating with the public of this document (see <a href="#">part 1, section D</a> for details).

Issues to consider:	
<b>Plans</b>	14) Whether you produce generic plans which relate to more than one type of emergency, specific plans which relate to a particular emergency or type of emergency or a mixture of both – Regulation 21. The nature of the plans you produce should be based on the risk assessments you have carried out – Regulation 19.
<b>BCM</b>	15) Aligning your organisation to <a href="#">British Standard 25999 – Business Continuity Management</a> .
	16) Appointing an overall BCM co-ordinator and incorporating BCM in every manager’s responsibilities (6.51 <a href="#">Emergency Preparedness</a> ), as well as having a Business Continuity Plan (BCP) with clearly defined roles and responsibilities and command and control processes (i.e. who has authority? How are these decisions communicated?) – 6.80 in <a href="#">Emergency Preparedness</a> .
	17) Ensuring the BCM coordinator is someone who has a good understanding of the business, BCM methodology, an awareness of relationships with other responders and has good communication, programme management, interpersonal and leadership skills.– 6.51 <a href="#">Emergency Preparedness</a> .
<b>Collaboration</b>	18) Collaboration – see the collaboration section ( <a href="#">part 1, section G</a> ) for further details.

Indicators of good Practice:	
Plans	19) Being able to provide documentary evidence that a systematic approach was taken when producing BCPs. This should include documentation of all assessments made under C1 to 4 above. Documentation should demonstrate an awareness of key personnel and where applicable membership and an understanding of the organisation's relationship with other Category 1 responders and other stakeholders.
	20) Being able to provide documentary evidence of a regular process for monitoring, reviewing and updating BCPs. This should include: <ul style="list-style-type: none"> <li>• audit trails recording any updates made;</li> <li>• version control;</li> <li>• a list of contributors; and</li> <li>• references and lists of sources used.</li> </ul>
Plans	21) Having a documented process for capturing and taking forward the lessons identified from exercises and emergencies. This should include identifying who will be responsible for taking each issue forward.
	22) Asking peers to review and comment on your plans.
BCM	23) Appointing a BCM coordinator who can demonstrate an understanding of BCM principles.
	24) Being able to provide evidence of a documented and agreed corporate strategy for building resilience across the organisation. Business continuity issues are mainstreamed in management processes, strategies and action plans across the organisation.
	25) Using identified good practice examples to develop BCM capabilities.
Training	26) Developing and documenting a training and briefing programme for staff and key stakeholders (including members, if applicable).
	27) Referring to the National Occupation Skills for Civil Contingencies ( <a href="http://www.skillsforjustice.com">www.skillsforjustice.com</a> ) and the <a href="#">EPS Core Competencies Framework</a> when identifying training needs.

## D: Duty to communicate with the public

CCA section 2 (1)(f) duty: Arrange for the publication of all or part of the assessments made and plans maintained insofar as publication is necessary or desirable for the purpose of: preventing an emergency; reducing, controlling or mitigating its effects; or enabling other action to be taken in connection with an emergency.

CCA section 2 (1)(g) duty: Maintain arrangements to warn the public, and to provide information and advice to the public, if an emergency is likely to occur or has occurred.

(Category 1 responders only)

### Mandatory requirements:

<b>Publishing plans and assessments</b>	1) Publishing plans and assessments as far as publication is necessary (see D2 below) or desirable (see D3 and D4 below) for the purpose of preventing an emergency; reducing, controlling or mitigating its effects; or taking other action in connection with an emergency.
	2) Considering what is necessary and desirable for the public to know in relation to preventing emergencies, reducing, controlling or mitigating their effects, or taking other action in relation to emergencies. This will involve considering whether or not publishing the material will enhance the public's response in an emergency. The public response may be enhanced because the mere fact that information is published often increases public confidence – 7.31 <a href="#">Emergency Preparedness</a> .
	3) Ensuring that in publishing plans and assessments you do not alarm the public unnecessarily – Regulation 27.
	4) Considering whether risk assessments and plans contain sensitive information which prevents publication. However, the mere fact that risk assessments and plans contain some sensitive information should not be used as an excuse to avoid disclosure of all of the assessment or plans. Those aspects of the assessment or plans which do not contain sensitive information should still be published. For more information on sensitive information please refer to D5 below.

Sensitive information	<p>5) Except where required to do so under the Regulations, not publishing or disclosing any sensitive information, unless adequate permission has been granted to do so – Regulation 51.</p> <p>Regulation 45 defines sensitive information as information that:</p> <ul style="list-style-type: none"> <li>• would, or would be likely to if disclosed to the public, adversely affect national security. A certificate signed by a Minister of the Crown is conclusive evidence of this fact (Regulation 46);</li> <li>• evidence supplied by intelligence services falls into this category;</li> <li>• would, or would be likely to if disclosed to the public, adversely affect public safety;</li> <li>• would, or would be likely to if disclosed to the public, prejudice the commercial interests of any person; or</li> <li>• is personal data within the meaning of the Data Protection Act 1998, and disclosure of it to the public would contravene that Act.</li> </ul> <p>Adequate permission for the publication of sensitive information means (Regulation 51):</p> <ul style="list-style-type: none"> <li>• <b>For information relating to national security or public safety supplied indirectly or directly by one of the intelligence services</b> – consent from a Minister of the Crown or the intelligence service which supplied the information.</li> <li>• <b>For information relating to national security or public safety NOT supplied indirectly or directly by one of the intelligence services</b> – consent from a Minister of the Crown or a) if the information is contained in a document created by a public authority, from that public authority or b) in other cases from the organisation that supplied the information.</li> <li>• <b>For information relating to business or affairs of a person or organisation where disclosure would harm the legitimate commercial interest of that person or organisation</b> – consent from the person or organisation to whom the information relates.</li> <li>• <b>For personal data</b> – consent from the person or organisation to which the information relates.</li> </ul> <p>(Figure 3.1 in <a href="#">Emergency Preparedness</a>.) Further guidance on data protection issues can be found in <a href="#">Data Protection and Sharing – Guidance for Emergency Planners and Responders</a>.</p> <p>Consent for sensitive information to be published may include conditions which must be adhered to (Regulation 51(4)(c)).</p> <p>Plans and assessments that contain some sensitive information should still be published as long as the sensitive sections are removed or appropriate consent (see above) is acquired.</p>
-----------------------	--

<b>Sensitive information</b>	<p>6) Identifying available information in your freedom of information publication scheme – 7.34 in <a href="#">Emergency Preparedness</a>. For more information visit <a href="http://www.informationcommissioner.gov.uk">www.informationcommissioner.gov.uk</a>.</p>
<b>Warning and informing – in relation to your emergency plans</b>	<p>7) Having regard to any relevant emergency plan which you maintain when complying with the duty to warn and inform the public – Regulation 28.</p> <p>8) Maintaining warning and informing arrangements for specific and/or generic emergencies – Regulation 29.</p> <p>9) Ensuring that when performing the duty to maintain arrangements to warn the public and provide information and advice to the public you do not alarm the public unnecessarily – Regulation 30.</p> <p>10) Having regard to the warning and informing arrangements maintained by other Category 1 responders, Category 2 responders and the MET Office, the Secretary of the State and the Food Standards Agency (but you need not maintain arrangements for warning and informing which would unnecessarily duplicate these other organisations’ arrangements) Regulation 35. You should also have regard for information produced by other organisations, including central government. (Box 7.3 and 7.4 in <a href="#">Emergency Preparedness</a> provides further guidance).</p> <p>11) Raising public awareness by informing and educating the public about risks and emergency preparedness (pre-event) – page 97 <a href="#">Emergency Preparedness</a>.</p> <p>12) Warning the public by using all appropriate means to alert members of the community whose immediate safety is at risk (at the time of emergency or when one is likely) – page 97 <a href="#">Emergency Preparedness</a>.</p> <p>13) Informing and advising the public by providing relevant timely information about the nature of the unfolding event (immediate and long term post-event) and about:</p> <ul style="list-style-type: none"> <li>• any immediate actions to be taken by responders to minimise risk to human health, animal welfare, the environment or property;</li> <li>• actions the public can take;</li> <li>• how further information can be obtained; and</li> <li>• the end of an emergency and the return to normal arrangements – page 97 in <a href="#">Emergency Preparedness</a>.</li> </ul>

Media	14) Having regard to the media (7.76 -7.80 <a href="#">Emergency Preparedness</a> ). For guidance on working with the media see the BBC's <i>Connecting in a Crisis initiative</i> ( <a href="http://www.bbc.co.uk/connectinginacrisis/index.shtml">http://www.bbc.co.uk/connectinginacrisis/index.shtml</a> )
Training	15) Including provision for carrying out exercises for the purpose of ensuring warning and informing arrangements are effective – Regulation 31.
	16) Providing training to an appropriate number of suitable staff of your organisation and other persons you consider appropriate for the purpose of ensuring the warning and informing arrangements are effective – Regulation 31.
<b>Issues to consider:</b>	
What to publish?	17) Having regard for guidance in <i>Emergency Response and Recovery and The Ten Step Cycle – an informal guidance note</i> .
	<p>18) Considering who is the target audience for each published communication and what particular sections of the public need to know. This should include considering the needs of:</p> <ul style="list-style-type: none"> <li>• <b>survivors</b> – those in the immediate vicinity and directly affected, possibly as wounded casualties;</li> <li>• <b>those who might be affected by the emergency</b> – those nearby who may need to take action to avoid further harm;</li> <li>• <b>local people</b> – those in the area who may be disrupted by the consequences of the emergency and clean-up process;</li> <li>• <b>friends and relatives</b> – those who are not directly affected but know or are related to those who might be;</li> <li>• <b>the general public</b> – those who are not affected but are concerned or alarmed about the wider implications or simply interested; and</li> <li>• <b>the media.</b></li> </ul> <p>See 7.61 to 7.79 in <a href="#">Emergency Preparedness</a> for guidance on the information needs of these groups.</p>
Presenting and publishing information	19) Presenting information in a way that is interesting so that people will want to read it –7.35 <a href="#">Emergency Preparedness</a> .
	20) Considering what methods of communication should be used and who will deliver it – 7.33 to 7.43, 7.84 to 7.86 <a href="#">Emergency Preparedness</a> .

<b>Effective communication</b>	<p>21) Considering how to address the needs of the following groups in your warning and informing arrangements:</p> <ul style="list-style-type: none"> <li>• <b>Survivors and possible victims</b> – focus on what they need to do or know immediately. Possible victims will need to know why the advice is being given. Procedures should include some form of audit trail for tracking who has and has not been contacted. The media may be used to reinforce these safety messages. 7.62 – 7.66 <a href="#">Emergency Preparedness</a>.</li> <li>• <b>Local people, friends and relatives</b> – utilising the local media to provide general information about the emergency. Information on how the public can help and advice on disruption to the area. 7.67 – 7.70 <a href="#">Emergency Preparedness</a>.</li> <li>• <b>The wider audience</b> – agree what the main public messages will be and provide the media with as much relevant material as possible. 7.80 – 7.86 <a href="#">Emergency Preparedness</a>.</li> </ul>
	<p>22) Identifying groups requiring special consideration (for instance those whose first language is not English or those with visual impairments) and producing warning and informing products which address their specific needs (for instance publications in other languages or in large print). These “hard-to-reach” groups include children, people with disabilities, the elderly, non-English speakers and those living in isolated communities – 7.57 – 7.60 <a href="#">Emergency Preparedness</a>.</p>
	<p>23) Evaluating the effectiveness of information campaigns, including research to investigate how well the campaign met the needs of the public or target audience – 7.39 <a href="#">Emergency Preparedness</a>.</p>
<b>Media</b>	<p>24) Involving media players in exercises – 7.87 – 7.93 in <a href="#">Emergency Preparedness</a>.</p>
	<p>25) Being familiar with the media organisations in the local resilience area and developing good relations with them – 7.80 <a href="#">Emergency Preparedness</a>. Box 7.7 lists the essential elements of media planning. These are:</p> <ul style="list-style-type: none"> <li>• liaising with other Category 1 and 2 responders and organisations not captured by the Act and media/public liaison teams;</li> <li>• identifying potential sites for media centres in the area;</li> <li>• providing media training for potential spokespeople;</li> <li>• providing suitable communications equipment for press office staff to work away from the office;</li> <li>• making arrangements for mutual aid;</li> <li>• providing for liaison with Communication Office of Information (COI) or with the Welsh Assembly Government Press Office in Wales; and</li> <li>• in the event of an emergency, establishing a media liaison point at or near the scene and a media Liaison centre close to the strategic coordinating group/overall commander and liaising with other responder bodies and COI regarding VIP and ministerial visits to the scene of an emergency.</li> </ul>

Media	26) Taking full advantage of the opportunities presented by the Regional Media Emergency Forums (RMEF) which link to the national Media Emergency Forum (MEF). In Wales there is the Wales Media Emergency Forum (WMEF). More information on MEF can be found on <a href="http://www.cabinetoffice.gov.uk/ukresilience/response/media/mef.aspx">http://www.cabinetoffice.gov.uk/ukresilience/response/media/mef.aspx</a> and in box 7.8 in <a href="#">Emergency Preparedness</a> .
Planning	27) Having arrangements in place for maintaining interactive systems for public enquiries during an emergency. These are likely to include telephone and email helplines. 7.71 – 7.74 <a href="#">Emergency Preparedness</a> .
	28) Considering how to make best use of existing helplines in the event of an emergency, with protocols outlining the arrangements being set up in advance. 7.71 – 7.74 <a href="#">Emergency Preparedness</a> .

Indicators of good Practice:	
<b>Effective communication</b>	29) Being able to prove that you have considered which target audience you are aiming at or addressing in publishing materials.
	30) Communicating with the public to encourage and empower the community to harness local resources and expertise to help themselves in the event of an emergency in a way which compliments the response of responders. This is especially important among vulnerable groups.
	31) Using identified good practice examples and research into the effectiveness of information campaigns run by other organisations (including those overseas) to develop warning and informing products.
	32) Using lessons learned from previous information campaigns to inform the development of future campaigns.
<b>Media</b>	33) Setting up protocols with the media for warning and informing.
	34) Having an agreed media strategy which identifies and trains key staff in dealing with the media.
<b>Warning and informing systems</b>	<p>35) Having a multi-agency warning and informing system which links to information sources, stores information and generates messages. To be effective this system should be:</p> <ul style="list-style-type: none"> <li>• <b>secure and foolproof</b> – with limits on who can access, update and send information in order to avoid false messages being sent;</li> <li>• <b>expandable</b> – so that it is able to adapt and expand as required;</li> <li>• <b>reliable</b> – 24 hour back-up so that messages can be sent and information uploaded when required. The system should also be regularly tested and properly supported by the technical provider;</li> <li>• <b>capable of coping with different types of data and information</b> – including pre-written generic messages, media sources and numeric data in a number of different formats;</li> <li>• <b>linked to a variety of communication channels;</b></li> <li>• <b>auditable;</b> and</li> <li>• <b>quick and simple to operate and update.</b></li> </ul>
<b>Planning</b>	36) Being able to demonstrate that publication of plans and assessments is part of a joined-up communications strategy and part of your work to warn and inform the community and to encourage community resilience.

## E: Business Continuity Promotion

CCA section 4(1) duty: Provide advice and assistance to the public in connection with the making of arrangements for the continuance of commercial activities by the public, or the continuance of the activities of bodies other than public or local authorities whose activities are not carried on for profit, in the event of an emergency.

(Local Authorities only)

### Mandatory requirements:

<b>BC Promotion</b>	1) Advising and assisting the businesses community as a whole within the area in which your organisation functions on the continuance of commercial activities, in the event of an emergency (Regulation 39(3)(a)).
	2) Advising and assisting appropriate voluntary sector organisations which operate in the area in which your organisation functions on making arrangements for the continuance of their activities in the event of an emergency (Regulation 40).
	3) Providing advice and assistance which will allow organisations (business and voluntary) to make judgements on: <ul style="list-style-type: none"> <li>• the risks associated with emergencies; and</li> <li>• their ability to positively affect their position in the event of an emergency.</li> </ul> (8.61 Emergency Preparedness). Information likely to help organisation make these judgements includes information on: <ul style="list-style-type: none"> <li>• the kind of disruptions which might occur as a result of the occurrence of emergencies;</li> <li>• the likely implications of arrangements in place to deal with these emergencies (including risk assessment, planning, recovery) for their organisation;</li> <li>• the steps they can take to prepare for or mitigate the effects of an emergency (e.g. implement BCM); and</li> <li>• sources of warnings, information and advice in the event of an emergency.</li> </ul> (8.62 <a href="#">Emergency Preparedness</a> ).
	4) Considering who within your organisation is responsible for Business Continuity (BC) promotion. A collaborative effort between staff involved in emergency planning and staff involved in economic development or voluntary sector support functions may be required (8.64 in <a href="#">Emergency Preparedness</a> ).
	5) Considering whether generic or specific BC advice is most appropriate. The table on page 119 and sections 8.69 to 8.76 <a href="#">Emergency Preparedness</a> provides guidance on ways to give generic and specific advice and assistance, respectively.

<b>Referral to third parties</b>	<p>6) Avoiding definitive recommendations when referring organisations to a third party for advice or assistance. Instead you should direct firms to organisations who could assist them and suggest criteria for selecting a service provider. This might include professional qualifications, membership of professional organisations, and experience in relevant aspects of BCM, track record and adequate professional indemnity insurance – 8.77 <a href="#">Emergency Preparedness</a>.</p> <p>The Business Continuity Institute (BCI) <a href="http://www.thebci.org">http://www.thebci.org</a> provides a certification scheme for business continuity professionals. It publishes a list of consultants it deems to be qualified and competent. The Continuity Forum <a href="http://www.continuityforum.org">http://www.continuityforum.org</a> provides a similar service – 8.78 <a href="#">Emergency Preparedness</a>.</p>
<b>Cooperation</b>	<p>7) Cooperating with other local authorities in your area in carrying out the duty (Regulation 41).</p> <p>8) In co-operating with other local authorities ensuring that:</p> <ul style="list-style-type: none"> <li>• the message given out is consistent;</li> <li>• the means of delivery are co-ordinated where appropriate;</li> <li>• external partners are not unduly burdened; and</li> <li>• lessons are learned and best practice is shared.</li> </ul> <p>(8.43 <a href="#">Emergency Preparedness</a>).</p> <p>9) Having regard to any advice or assistance to businesses or the voluntary sector provided by other responders which have functions in your area (but you need not do so if this would unnecessarily duplicate that advice and assistance (Regulation 43). The table on page 115 <a href="#">Emergency Preparedness</a> provides some guidance on the types of advice other Category 1 responders provide.</p> <p>10) Considering the merit of adopting formal cooperation to ensure coordinated BCM advice and assistance activity and the buy-in of all Local Authorities in your area. This could take the form of:</p> <ul style="list-style-type: none"> <li>• regular discussion at working-level liaison groups;</li> <li>• establishing an LRF subgroup; and</li> <li>• discussions at LRF meetings.</li> </ul> <p>(8.81 in <a href="#">Emergency Preparedness</a>).</p>

<b>Cooperation</b>	<p>11) Considering the merits of engaging with other partners as well as Local Authorities in the process of providing BC advice and assistance. These other partners might include:</p> <ul style="list-style-type: none"> <li>• representative groups;</li> <li>• individual businesses;</li> <li>• commercial BCM providers;</li> <li>• agenda groups;</li> <li>• professional bodies; and</li> <li>• public sector partners.</li> </ul> <p>(8.83 – 8.87 <a href="#">Emergency Preparedness</a>).</p>
<b>Issues to consider:</b>	
<b>BC advice and assistance to businesses</b>	<p>12) Considering whether to provide advice to individual business as well as to the business community as a whole (Regulation 39(3)(b)).</p> <p>13) When a targeted approach is adopted, considering whether the materials used are appropriate to the needs of the businesses targeted – 8.89 to 8.91 <a href="#">Emergency Preparedness</a>.</p>
<b>BC advice and assistance to voluntary organisations</b>	<p>14) Considering whether to provide advice to the voluntary community at large or provide advice to individual organisations separately (Regulation 40).</p> <p>15) Considering which voluntary sector organisations are appropriate recipients of advice and assistance? To decide this you must consider:</p> <ul style="list-style-type: none"> <li>• whether the organisation carries out functions in the area in which you operate as a responder;</li> <li>• whether their activities would contribute to the prevention of an emergency; the reduction, control or mitigation of its effects; otherwise taking action in relation to the emergency; or social welfare;</li> <li>• the number of staff employed by the organisation;</li> <li>• the turnover of the organisation;</li> <li>• the nature of the organisation – in particular whether advice and assistance is likely to improve the organisations ability to continue its activities in the event of an emergency (Regulation 40(5)).</li> </ul>

<b>Business continuity Consultants and Charging</b>	16) Considering whether to provide advice and assistance to voluntary organisations or to businesses in connection with identifying an appropriate “business continuity consultant” (Regulation 40(3) and (4) and regulation 39(3) and (4)).
	17) Whether it is necessary to charge for any business continuity advice that you provided on request under section 4(1) of the CCA. The charge must not exceed the direct costs of providing the advice or assistance and a reasonable share of any costs indirectly related to the provision of the advice or assistance (Regulation 44). You should consider the impact of charging on the take-up of your advice and assistance (8.35 <a href="#">Emergency Preparedness</a> ). Further guidance on charging policy can be found on <a href="http://www.hm-treasury.gov.uk">www.hm-treasury.gov.uk</a> .
<b>General</b>	18) Ensuring that BC advice dovetails with the business continuity work of other local responders with businesses and voluntary organisations – 8.49 <a href="#">Emergency Preparedness</a> .
<b>Indicators of good practice:</b>	
<b>BC promotion</b>	19) Having a clear policy for dealing with requests for detailed BC advice.
	20) Making best use of staff with existing experience and responsibilities in liaising with local businesses and voluntary organisations.
	21) Having a BC network or forums and regular meetings and engagement with key stakeholders.
	22) Identifying any lessons learned by consulting a full range of stakeholders and taking these forward, reviewing and updating BC promotion arrangements if appropriate.
	23) Making best use of the nationally provided promotional materials such as the Business Continuity Management Toolkit and examples of good practice.
	24) Being able to demonstrate that you consulted businesses and voluntary organisations to assess BC understanding and uptake and thus the level of advice required.
	25) Being able to demonstrate that you have assessed the profile and role of commercial and voluntary organisations in your area of responsibility and have targeted BC promotion work appropriately.
	26) Being able to demonstrate that you have targeted your BC promotion to the specific needs of the organisations being advised.

## F: Information sharing

Regulation 47(4) – A requesting responder (Category 1 or 2) may make a request for information to a receiving responder (Category 1 or 2) if satisfied that the following conditions are satisfied.

Regulation 47(2) and (3) – The conditions are that:

- (1) the requesting responder reasonably requires the information held by a Category 1 or 2 responder in connection with a duty under section 2(1) (a) to (d) or section 4(1) or in connection with the performance of another function which relates to an emergency; and
- (2) the requesting responder is satisfied that it does not hold the information and it is not reasonable to seek to obtain the information by other means.

(Category 1 and 2 responders)

### Mandatory requirements:

<b>For those requesting information</b>	1) Being satisfied that you cannot reasonably access this information by other means (that is through less formal means or by means established under other legislation). If you are able to access the information by other means you should use these other arrangements for sharing information – 3.8 in <a href="#">Emergency Preparedness</a> .
	2) Sending a legible written request for the information required. This may be a letter sent by electronic transmission. The letter should state the name of your organisation, an address for correspondence, describe the information requested and explain why it is required. The request should be capable of being used for subsequent reference and should demonstrate why you reasonably require the information in connection with: <ul style="list-style-type: none"> <li>• the performance of a duty under section 2(1)(a) to (d) or 4(1) of the CCA; or</li> <li>• the performance of another function which relates to an emergency (Regulations 47 and 48).</li> </ul> Annex 3A <a href="#">Emergency Preparedness</a> provides a full description for procedures for requesting information and annex 3B provides a template for such requests.

<b>Responding to information requests</b>	<p>3) Providing the information requested, unless the information is sensitive and disclosure would have adverse effects (Regulation 49). If necessary, obtaining consent to disclosure from a body which deals with security matters (Regulation 49(4)). Non-disclosure should be limited to exceptional circumstances and information only part of which is sensitive should be shared with the sensitive parts removed. (See D3 of this document for a definition of sensitive information).</p>
	<p>4) Responding to the request for information within a reasonable timescale as specified by the requesting responder and to the stated correspondence address (Regulation 50) or providing a reason for not sharing the information if you have reason not to do so (Regulation 49(3)).</p>
<b>Using and storing sensitive information</b>	<p>5) Only using sensitive information for the purpose of performing the function for which, or in connection with which, the information was requested, unless adequate permission has been granted otherwise (Regulation 52). (See D3 of this document for what is meant by adequate permission).</p>
	<p>6) Having arrangements in place for ensuring the confidentiality of sensitive information (Regulation 53(2)). This includes ensuring that:</p> <ul style="list-style-type: none"> <li>• sensitive information is clearly identified as such;</li> <li>• only persons involved in the performance of a duty under section 2 or 4 of the CCA or other function which relates to an emergency and who as a result need to have access to the information are able to have access to it;</li> <li>• sensitive information is stored in a secure manner; and</li> <li>• sensitive information is transferred (including by electronic transfer) in a secure manner (Regulation 53).</li> </ul> <p><i>Security vetting and protective markings: a guide for responders</i>, provides further guidance.</p>
<p><b>Issues to consider:</b></p>	
<b>Requesting information</b>	<p>7) Considering whether the information you want to request is available by other means (i.e. through other legislative arrangements, through normal business arrangements or on the internet).</p>

Indicators of good practice:	
Requesting information	8) Where possible, channelling formal information requests through as small as possible a number of known routes, to avoid confusion and duplication. This might mean sharing information through the LRF or through Regional Resilience Forums (RRFs) or the Wales Resilience Forum (WRF).
Sharing information	9) Having a systematic process for tracking information flows and logging information requests and being able to deal with multiple requests for information as part of your normal business processes.
	10) Collectively developing an information sharing protocol within your LRF.

## G: Cooperation – Category 1 Responders

Regulation 4 (1): General Category 1 responders which have functions which are exercisable in a particular local resilience area in England or Wales must co-operate with each other in connection with the performance of their duties in section 2(1).

(Category 1 responders only)

### Mandatory requirements:

<b>LRF</b>	1) Having a Local Resilience Forum (LRF) which meets at least every 6 months and is based on each police area (Regulation 3(1) and 4(2), (3) and (4)). The exception to this is London, where the LRF should operate to the boundaries stipulated in the Schedule to the Regulations (Regulation 3(1)).
	2) In organising LRF meetings members should have regard for those members who are likely to participate in more than one LRF – 2.6 <a href="#">Emergency Preparedness</a> .
	3) Attending LRF meetings or ensuring that you are effectively represented. To be effectively represented: <ul style="list-style-type: none"> <li>• Not every Category 1 organisation needs to be represented directly at every meeting unless their work is to be discussed.</li> <li>• Representatives should be senior and experienced enough to be able to speak with authority.</li> <li>• If representing more than one Category 1 responder, representatives should represent all organisations that they are representing. All responders should have authorised this representative. The representative should be able to explain current structures, policies, priorities and events in the area covered by the responders they are representing, be willing to take forward their issues and provide feedback on the meetings to those whom they represent.</li> <li>• Representatives should be aware of the proceedings of LRF subgroups (if they exist) and 2.10 <a href="#">Emergency Preparedness</a>).</li> </ul>
	4) Considering whether it is appropriate to invite all or selected Category 2 responders to each meeting and inviting them where appropriate – (Regulation (7)(c)).
	5) Making arrangements for Category 2 responders to attend when they wish to do so – (Regulation 4 (7)(b)).
	6) Keeping Category 2 responders informed of times, dates, locations and proposed agendas for planned LRF meetings and any appropriate sub-group meetings – (Regulation 4 (7)(a)).

<p style="writing-mode: vertical-rl; transform: rotate(180deg);"><b>LRF</b></p>	<p>7) Using LRF meetings to help you perform your duties under the Act which need to be delivered in a multi-agency environment. In particular, the LRF process should deliver:</p> <ul style="list-style-type: none"> <li>• the completion of agreed risk profiles, through a Community Risk Register;</li> <li>• a systematic, planned and coordinated approach to encourage Category 1 responders, according to their functions under section 2(1)(a) to (g) – (see above); and</li> <li>• support for the preparation by all or some of its members of multi-agency plans and other documents, including protocols and agreements (Regulation 7 – see below) and the coordination of multi-agency exercises and other training events.</li> </ul> <p>(2.7 <a href="#">Emergency Preparedness</a>).</p>
<p style="writing-mode: vertical-rl; transform: rotate(180deg);"><b>Outside the LRF</b></p>	<p>8) Outside the LRF, cooperating with other responders informally as part of day-to-day civil protection work. This cooperation may take the form of two or more Category 1 responders co-operating with each other (Regulation 4(2)(a)). Category 2 responders in a particular local resilience area must cooperate with Category 1 responders in the same area to help them perform their duties under the CCA. (Regulation 4(5)).</p> <p>Forms of direct and bilateral cooperation between two or more Category 1 and Category 2 responders may include:</p> <ul style="list-style-type: none"> <li>• risk assessment;</li> <li>• development of a plan for one responder;</li> <li>• development and agreement of a multi-agency plan;</li> <li>• exercising of one responder’s plan or a multi-agency plan and sharing lessons learned; and</li> <li>• warning and informing arrangements, including publicity in relation to plans.</li> </ul> <p>(2.20 -2.22 <a href="#">Emergency Preparedness</a>).</p> <p>9) Responders may also enter into formal collaborative arrangements outside the context of the LRF in relation to performing the duties in section 2(1) of the CCA. This may include;</p> <ul style="list-style-type: none"> <li>• sharing information in relation to risk assessments and plans, direct and bilateral cooperation;</li> <li>• considering the joint discharge and delegation of functions (Regulation 8);</li> <li>• considering setting up protocols for collaborative working (Regulation 7); and</li> <li>• adopting the lead responder principle (Regulations 9 to 11).</li> </ul>

Issues to consider:	
<b>Within the LRF</b>	10) Agreeing terms of reference for your LRF. Annex 2A <i>Emergency Preparedness</i> provides model terms of reference.
	<p>11) Collectively agreeing to set up subgroups or a working group which operate at the tactical level and which report to the LRF. Possible useful subgroups include:</p> <ul style="list-style-type: none"> <li>• a general working group;</li> <li>• risk assessment groups;</li> <li>• telecoms sub-groups;</li> <li>• capabilities groups;</li> <li>• area groups;</li> <li>• responder groups by sector;</li> <li>• specialist groups;</li> <li>• existing standing groups; or</li> <li>• project groups – further guidance can be found in 2.59 of <i>Emergency Preparedness</i>.</li> </ul> <p>Each subgroup should have a clear purpose.</p>
	<p>12) Collectively agreeing a LRF chair. The chair should be able to:</p> <ul style="list-style-type: none"> <li>• take on the job on a permanent basis;</li> <li>• speak with authority about the forum area and civil protection issues;</li> <li>• be able to commit sufficient time to prepare fully for forum meetings; and</li> <li>• act as a lead contact for information cascaded from the regional and national levels.</li> </ul> <p>(2.52 in <a href="#">Emergency Preparedness</a>).</p>

<p style="writing-mode: vertical-rl; transform: rotate(180deg);"><b>Within the LRF</b></p>	<p>13) Collectively agreeing to have an LRF secretariat which is responsible for:</p> <ul style="list-style-type: none"> <li>• fixing meeting dates;</li> <li>• agreeing agendas;</li> <li>• organising the production and circulation of any papers;</li> <li>• briefing the chair;</li> <li>• taking minutes;</li> <li>• following up matters arising and action points;</li> <li>• ensuring LRF sub-group meetings are effectively organised and recorded and do not clash with other subgroup meetings or the LRF meeting; and</li> <li>• ensuring relevant matters from these subgroups are raised in the LRF meeting.</li> </ul> <p>(2.54 Emergency Preparedness).</p> <p>The secretariat should be able to:</p> <ul style="list-style-type: none"> <li>• take on the job on a permanent basis;</li> <li>• be of a level of seniority to support the chair;</li> <li>• have a back-up administration team; and</li> <li>• be competent to organise or support officers from other organisations.</li> </ul> <p>(2.55 Emergency Preparedness).</p>
<p style="writing-mode: vertical-rl; transform: rotate(180deg);"><b>Collaboration outside the LRF</b></p>	<p>14) Whether co-operation with other responders in any particular case is best achieved directly with fellow Category 1 and Category 2 responders in your local resilience area or under the framework of the LRF.</p> <p>15) Whether to set up protocols with other responders (both within and outside your local resilience area as appropriate) to support plans and to ensure a more reliable delivery of needed resources in the context of an emergency.</p> <p>16) Whether to jointly carry out a duty under 2(1) with another responder (Regulation 8).</p> <p>17) Whether to make an arrangement with another responder for them to perform a duty on your behalf or vice versa (Regulation 8) or for one responder to take the lead on performing the duty (Regulation 9) If a lead is agreed:</p> <ul style="list-style-type: none"> <li>• Lead responders should cooperate, consult and keep other Category 1 responders in the local resilience area informed (Regulation 10).</li> <li>• Non-lead responders should cooperate with the lead, provide information if requested, assist them in performing the duty and not duplicate what the lead responder is doing.</li> </ul>

Indicators of good practice:	
<b>Within the LRF</b>	18) Treating the LRF as a strategic level group.
	19) Ensuring there is a clear agenda for LRF and sub-group meetings and that papers are circulated sufficiently in advance to allow for proper discussion. Regardless of how responders are represented at the LRF, meeting papers should be circulated to all Category 1 and 2 responders which have functions within the LRF area.
	20) Taking lessons learned from all resilience activities and using the LRF to share good practice (including examples from outside the LRF area and outside the UK).
	21) Using the LRF to consider policy initiatives set at the regional or national level, using the Regional Resilience Team (RRT) as a conduit for information.
	22) Identifying useful lessons learned from your own practice and from strategic thinking within your own organisation and using the LRF to share them with colleagues.
	23) Identifying lessons learned from collaboration with other responders and drawing these to the attention of the LRF.
	24) Having a list of contacts among both Category 1 and 2 responders within the LRF area.
<b>Outside the LRF</b>	25) Organising stakeholder satisfaction surveys to measure how well you are working with them.
	26) Engaging with responders, other organisations involved in civil protection (e.g. voluntary organisations and the military) and LRFs outside your local resilience area.
	27) Engaging with responders, other organisations involved in civil protection (e.g. voluntary organisations and the military) as part of normal business practice.
	28) Establishing mutual aid agreements. For guidance on local authority mutual aid agreements see <a href="#">Mutual Aid: A short guide for Local Authorities</a> .
	29) Through direct and bilateral collaboration, requesting that other Category 1 and 2 responders take part in your exercises.

## H: Cooperation – Category 2 responders

Regulation 4 (5): General Category 2 responders which have functions which are exercisable in a particular local resilience area in England or Wales must co-operate with each general Category 1 responder which has functions that are exercisable in that local resilience area in connection with the performance by that general Category 1 responder of its duties under section 2(1).

(Category 2 responders only)

### Mandatory requirements:

Inside and outside LRF	Cooperating directly with Category 1 responders to assist them in the performance of all aspects of their duties under the CCA (2.21 <a href="#">Emergency Preparedness</a> ).
	As far as is reasonably practical attending LRF meetings or sending an appropriate representative, if invited to do so (Regulation 4).

### Indicators of good practice:

Inside the LRF	Taking lessons learned from all resilience activities and using the LRF to share good practice (including examples from outside the LRF area and outside the UK).
	Identifying useful lessons learned from your own practice and from strategic thinking within your own organisation and using the LRF to share them with colleagues.
Outside the LRF	Organising stakeholder satisfaction surveys to measure how well you are working with them.

## Part 2: Expectations relating to the Resilience Capabilities Programme

12. The Resilience Capabilities Programme is the core framework through which the Government is seeking to build resilience to emergencies across all parts of the United Kingdom and aims to continually identify, challenge and monitor the current levels of resilience in each of 19 workstreams. These fall into three groups:
  - **structural** – dealing with local, regional and national response capability respectively;
  - **the maintenance of essential services during emergencies** – food and water, transport, health services, financial services and utilities; and
  - **the assessment of risks and consequences for 11 functional issues** (chemical, biological, radiological and nuclear (CBRN) resilience; site clearance; infectious diseases (human); infectious diseases (animal and plant); mass casualties; evacuation and shelter; warning and informing the public; mass fatalities; humanitarian assistance; flooding, and recovery).
13. Although responders are not responsible for these workstreams, the Resilience Capabilities Programme has links to CCA duties and associated Regulations as it aims to ensure that there is a robust infrastructure in place to deal with a wide range of emergencies. In assessing risk and updating and maintaining plans, Category 1 responders should be aware of developments within the programme. The Programme will in turn find ways of regularly informing LRFs as appropriate of developments.
14. The tables below outline a list of things that you should consider in relation to each of the functional and essential services workstreams. You should also refer to the restricted National Resilience Planning Assumptions sent out with the Local Risk Assessment Guidance each year.

A. Maintaining Essential Services (Category 1 and 2 responders)	
Food and Water	1) Be familiar with <b>local water companies'</b> and the <b>local food industries' business continuity planning arrangements</b> .
	2) Be aware of <a href="#">Planning for Major Water and Wastewater Incidents in England and Wales: Generic Guidance</a> (Guidance No. NSE 141).
Transport	3) Responders should familiarise themselves with <b>local transport operators' business continuity planning arrangements</b> .
Health	4) Be familiar with local <b>health services' business continuity planning arrangements</b> .
Financial services	5) Be aware of <b>business continuity arrangements</b> in this sector.
Utilities	6) Be aware of the National Emergency Plan for Fuel. In particular, Category 1 and 2 responders need to be aware of the local arrangements required to implement this plan and the fuel plan revision of designated filling stations. Guidance is provided in the <a href="#">Loss of utilities and communications in an emergency</a> at Directgov – Government, citizens and rights
	7) Be aware of the <b>Electricity and Gas Priority User Arrangements and how local utility providers</b> feature in them.
	8) Be familiar with local utility providers' business continuity planning arrangements.

B. Functional workstreams (Category 1 responders)	
Humanitarian Assistance	1) Be familiar and to have regard to the non-statutory <a href="#">Humanitarian Assistance in Emergencies</a> guidance and in particular Humanitarian Assistance Centre arrangements.
	2) Be aware of the functions of the voluntary and business sector in your area.
	3) Engage with both adult and children’s social care departments in developing humanitarian assistance plans.
Flooding	4) Have specific flood plans – a multi-agency plan is likely to be the most appropriate.
	5) Link flood plan activation procedures to specified triggers, for example severe weather warnings and flood warnings.
	6) Share information in accordance with good practice and statutory procedures on the location of vulnerable people and facilities that are in danger of flooding.
	7) Maintain specific evacuation procedures for all communities within Flood Zone 2 areas.
	8) Set up mutual aid arrangements with other responders, including trained personnel and equipment, which can be put into place to enable water rescue of all flooded victims within 36hrs of the emergency.
	9) Have effective humanitarian aid arrangements in place to provide shelter and temporary accommodation to those affected by flooding for up to 12 months.
	10) Maintain on-site and off-site emergency plans to mitigate flood risks to critical infrastructure (all essential service assets) within Flood Zone 2.
	11) Adequately cover the risk of losing essential services due to ‘severe flooding’ in emergency and business continuity plans.
Infectious Disease	12) Establish a multi disciplinary planning committee which specifically addresses Pandemic Influenza preparedness planning and preparedness testing.
	13) Have regard to <a href="#">public health emergencies</a> in maintaining and updating emergency plans.
Animal and Plant Disease	14) Have regard to DEFRA’s generic Statutory Bluetongue Plan and Statutory Rabies Plan guidance when planning for major animal diseases.
	15) Engage with Animal Health.
	16) Understand the structure for crisis management of an animal disease outbreak which is different than that for other kinds of civil contingencies.

Mass Casualties	17) Have Mass Casualties Plans – multi-agency plans are likely to be most appropriate.
	18) Include surge capacity <sup>8</sup> to allow for increased capacity in critical clinical specialities, e.g. burns, paediatrics, in Mass Casualty Plans.
	19) Incorporate existing BC plans for mass casualty situations in your Mass Casualty Plan or, if you do not have a Mass Casualty Plan, include mass casualty provisions in your BC plan.
Mass Fatalities	20) Establish a LRF Mass Fatalities Planning Group to develop strategic planning and response.
	21) Have Mass Fatalities Plans which identify: <ul style="list-style-type: none"> <li>• the level of fatalities that can be managed at a local level without mutual aid or central assistance;</li> <li>• special local and regional arrangements to supplement local arrangements;</li> <li>• the designated Senior Identification Managers (SIMs), coroners and Local Authority personnel who, in the event of local resources being overwhelmed, would form a Mass Fatalities Coordination Group.</li> </ul>
Evacuation & Shelter	22) Have evacuation and shelter plans – multi-agency plans are likely to be most appropriate. These should have regard to the non statutory <a href="#">Evacuation and Shelter</a> guidance and should reflect the local risk priorities identified in the CRR.
	23) Ensure that relevant staff are sufficiently trained for evacuation procedures and the provision of shelter. Training should be refreshed on a regular basis.
Site Clearance	24) Have Site Clearance Plans which are compatible with the <a href="#">Guidance on development of a site clearance capability in England and Wales</a> .
Informing, Warning and Alerting	25) Follow The Ten Step Cycle – an informal guidance note to ensure effective warning, informing and awareness raising measures are in place.
	26) Ensure that a Lead Responder has been identified for all areas of public messaging.
CBRN	27) Have CBRN plans – multi-agency plans are likely to be most appropriate. These plans should be in line with the <a href="#">National Security Strategy</a> .
	28) Establish mutual aid arrangements with other responders and LRFs.
Recovery	29) Have Recovery Plans that are in line with the <a href="#">National Recovery Guidance</a> , (using the Recovery Plan Guidance Template as a guide).

<sup>8</sup> Surge capacity is a health care system's ability to expand quickly beyond normal services to meet an increased demand for medical care in the event of bioterrorism or other large-scale public health emergencies.

15. All plans referred to in this table should be reviewed, updated and tested through exercises as outlined in Part 1 of this document.
16. Although the expectations in this section only strictly apply to Category 1 Responders, Category 2 responders should cooperate in order to enable them to fulfil these expectations.

## Part 3: Expectations for emergency response and recovery

17. This section focuses on our expectations relating to response to, and recovery from, emergencies; and detailed operational requirements that need to be addressed as part of preparing for emergencies.
18. Since emergency response and recovery are not duties under the Act, the expectations outlined in this section are not mandatory. However, the Act is intended to ensure better preparedness to enable more effective response and recovery. Indeed, responders should view the Act in the wider context of Integrated Emergency Management (IEM) – an holistic approach to preventing and managing emergencies that entails six key steps: anticipation; assessment; prevention;<sup>9</sup> preparation; response and recovery. The expectations outlined in this section represent a list of practical considerations which must be thoroughly acted on if emergency response and recovery is to be effective.
19. The content of this section is based on the non-statutory [Emergency Response and Recovery \(ERR\) guidance](#), which focuses on practical arrangements and operational doctrine, and information and guidance displayed on the [UK resilience section of the Cabinet Office website](#). Throughout this section, cross references to associated, more detailed, guidance are provided in case you require more detail. Details on our most-up-to-date advice on specific aspects of emergency response and recovery can be found on: <http://www.cabinetoffice.gov.uk/ukresilience/response.aspx>.
20. This section is organised around 10 guiding principles that underpin effective emergency management. [Emergency Response and Recovery](#) outlines eight of these principles; these are:
  - **Anticipation** – continuous risk identification and analysis so that you have a good appreciation of the dynamic risk environment in which you operate and are able, as far as is reasonable, to foresee potential consequences (direct, indirect and interdependent) and arrangements for managing these.
  - **Preparedness** – having a plan for identified risks, identifying the resources required and any gaps, training and exercising, having a process for updating plans and capability assessments, and being ready to respond.
  - **Subsidiarity** – making decisions at the lowest appropriate level and coordinating response at the highest necessary level. Local agencies are the building blocks for response and recovery operations of all scales. The role of central Government and the regional tier is normally to support and supplement the efforts of local responders through the provision of resources and coordination.
  - **Direction** – collectively agreeing clear strategic aims and supporting objectives to enable prioritisation and preserve the focus of the response and recovery effort.
  - **Information management** – having a system to collate, assess, verify and disseminate information. These systems should support single and multi-agency decision making and the external provision

<sup>9</sup> Although the CCA Regime includes the duty to plan for emergencies so far as is necessary or desirable for the purpose of preventing the emergency; reducing, controlling or mitigating its effects; or taking other action in connection with it, it does not cover taking preventative action (such as building coastal defences).

of data which will allow members of the public to make informed decisions to ensure their safety.

- **Integration** – ensuring that there is effective cooperation between all response and recovery levels (i.e. Local, Regional and National) in order to ensure a coherent, integrated effort.
  - **Cooperation** – positively engaging and sharing information between all agencies and all levels during emergency response and recovery. This engagement should help make arrangements effective.
  - **Continuity** – grounding emergency response and recovery in the existing functions of organisations and familiar ways of working, albeit on a larger scale, to a faster tempo and in more testing circumstances.
21. In addition, the following two principles are considered important for emergency response and recovery:
- **Sustainability** – the ability to sustain the use of facilities, equipment and staffing arrangements, which is important because emergencies sometimes require a prolonged response and/or recovery effort.
  - **Resilience** – the ability to ensure facilities, equipment (including telecommunications) and staffing arrangements can withstand the unexpected, which is important because emergencies often lead to essential services being compromised.
22. A sub-section is dedicated to each of these 10 principles. Within each sub-section we:
- highlight the relevant expectations from *Parts 1* and *2* of this document;
  - explain the link between mandatory processes and desired outcomes; and
  - provide a check-list of additional practical considerations which are considered essential to effective response and recovery. These check-lists are designed to be generic so that they apply to different levels of emergencies.<sup>10</sup>
23. Through out this section, the generic term “**facilities**” is often used. This is because there are several types of emergency operational facilities. Each responder typically has its own emergency control centre which, where appropriate, feeds into multi-agency facilities at the tactical or strategic level (e.g. Strategic Coordination Centres or Recovery Coordination Centres). Operational facilities may also be provided in the form of, for example, rest centres and temporary mortuaries. Where the term facility is used, we are referring to all types of facility; we are only specific when an expectation applies to some but not other types of facility.
24. Similarly, in this section we also use the generic term “**coordinating group**” to cover both single and multi-agency groups, and groups which operate at a strategic, tactical or operational level for response or recovery.

<sup>10</sup> i.e. level 1 or significant emergency; level 2 or serious emergency and level 3 or catastrophic emergency – see: <http://www.cabinetoffice.gov.uk/media/132685/conops.pdf> for detailed definitions.

## A: Anticipation

25. The duty to assess risk (s2(1)(a) and (b) of the CCA) provides a common framework for continuous risk identification and analysis for preparing for emergencies (see [part 1, section A](#), for further details). This framework should help provide a solid platform from which preparations for responding to and recovering from emergencies can be made.
26. In addition to being important in normal circumstances, anticipation is also important during both emergency response and recovery (see below):

**A: Anticipation— ongoing risk identification and analysis so that you have a good appreciation of the dynamic risk environment in which you operate and are able, as far as reasonable, to foresee potential consequences (direct, indirect and interdependent) and arrangements for managing these.**

**(Category 1 responders only)**

Continuing to assess and manage risk during any emergencies that occur – this assessment should assist rather than obstruct effective operations. The assessment should therefore provide an analysis of, and possible solutions to, anticipated problems before they arise.

All emergencies have disparate direct and indirect impacts that may not be immediately apparent amidst the pressure, uncertainties and demanding circumstances of emergencies. Risks are dynamic and, during emergencies, new risks emerge, established risk recedes and the balance between risks changes.

## B: Preparedness

27. The CCA and its supporting Regulations and guidance provide a consistent framework for preparing for emergencies at a local level. In summary this covers:
- **risk assessment** – see [part 1, section A](#), for details;
  - **maintaining emergency and business continuity plans** – see [part 1, sections B and C](#) respectively for details;
  - **communicating with the public** – see [part 1, section D](#), for details;
  - **sharing information** – see [part 1, section F](#), for details;
  - **cooperating with other responders** – see [part 1, sections G and H](#) for details;
  - **promoting business continuity**, if you are a Local Authority – see [part 1, section E](#), for details.
28. The cooperation and information sharing processes included in this list are designed to ensure there is a coordinated and consistent approach to emergency preparedness. These processes also help ensure that unnecessary duplications are avoided and capability gaps are filled.
29. For instance, capability gaps may be addressed by setting up mutual aid agreements. (See [Mutual Aid: A short Guide for Local Authorities](#) and the [Mutual Aid Sheet in the National Recovery Guidance](#) for further details), by establishing formal cooperation protocols or by utilising the LRF. Informal cooperation and knowledge sharing can also help address capability gaps.
30. As some capability gaps need to be addressed at the Regional and/or National level, Local responders should feed into the [National Resilience Capabilities Programme](#). (Expectations relating to this are outlined in [part 2](#) of this document).
31. Preparedness, however, is not just about having risk assessments, plans and arrangements in place; it is about being able to respond efficiently and effectively to emergencies (foreseen or unforeseen). Consequently, the CCA outlines a number of processes that help ensure that emergency management arrangements will work. These are:
- **exercising plans so as to ensure that they are effective** (see [part 1, B11 and C10](#));
  - **identifying and learning lessons from exercises and emergencies, through the use of de-briefs** (see [part 1, B9,11 and 12](#) and [C10](#) for details);
  - **training staff that will play a role in response and/or recovery** (see [part 1, B13, 23 and 24](#) for details); and
  - **periodically, reviewing, updating and maintaining plans and assessments** to ensure they reflect, as far as possible, the current situation (see [part 1, A3, 4 and 11, B9, C9, D7, 10, 35 and 36](#) for details).
32. The [National Recovery Guidance](#) shows how these processes listed above can be applied to recovery planning. This guidance also provides further details on, and some templates for, the recovery planning process.

33. In addition to these overarching processes outlined above, there are also a number of detailed practical considerations and other processes not strictly covered by the CCA regime, which are also necessary to ensure effective emergency management. These additional considerations are outlined in the table below:

B: Preparedness – having a plan, identifying the resources required and any gaps, training and exercising, having a process for updating plans and capability assessments and being ready to respond. (Category 1 responders only)	
<b>Planning</b>	1) Ensuring emergency plans include appendices that cover the following considerations <sup>11</sup> : <ul style="list-style-type: none"> <li>• <b>proposed locations or plans for providing primary and back-up locations for strategic, tactical and operational response;</b></li> <li>• <b>who is required and secretariat support arrangements</b> for strategic operational functions;</li> <li>• <b>a protocol for dealing with sensitive information</b> (see <a href="#">D 5-6 in part 1</a> of this document for details); and</li> <li>• a telecommunications plan.</li> </ul>
	2) Carefully considering <b>roles and responsibilities</b> for each level of response (i.e. strategic, tactical and operational) and for single and multi-agency coordination groups. At the strategic and tactical levels, staff should be adequately senior and experienced to be able to make decisions. At the operational level, staff should be adequately skilled to provide the service or response required. The Cabinet Office website provides further guidance on the roles and responsibilities of the main <a href="#">responding agencies</a> and sectors that are likely to become engaged in the response to emergencies and the <a href="#">Management and Coordination of Local Operations Guidance</a> provides further details. Details of agencies and sectors likely to become involved in recovery can be found in the <a href="#">National Recovery Guidance</a> , <a href="#">Recovery Plan Guidance Template</a> .

<sup>11</sup> Where more than one plan is in existence, it is acceptable to have these details in just one plan or in a separate document as long as within each plan, the existence of this information is clearly referenced and this information is easily accessible.

<b>Planning</b>	<p>3) Having recovery plans in place, which cover all of the aspects highlighted in B1 and B2 above. Recovery Coordinating Groups (RCGs) are the equivalent of Strategic Coordination Groups and will need to operate in parallel to the SCG, until the SCG stands down and responsibility is transferred to the RCG. Having a sign-off certificate for this transfer in responsibility is highlighted as an example of good practice in the <a href="#">National Recovery Guidance</a>. This guidance provides further details on, and some templates for, the recovery planning process.</p>
	<p>4) Having plans in place for setting up, activating and accommodating a Science and Technical Advice Cell (STAC) if the nature of the emergency requires it. These plans should cover who would need to be involved, roles and responsibilities, any equipment requirements, where and how it will be accommodated within the Strategic Coordination Centre (SCC) and how it will be activated. See <a href="#">Provision of Scientific and Technical Advice in the Strategic Coordination Centre – Guidance to local responders</a> for further information.</p>
	<p>5) Complying with other statutory regimes in the field of civil protection (as required). A particular set of risks is excluded from the CCA regime because they are covered by other legislation. These are:</p> <ul style="list-style-type: none"> <li>• the Control of Major Accidents Hazards (COMAH) regulations 1999;</li> <li>• The Pipeline Safety Regulations 1996; and</li> <li>• The Radiation (Emergency Preparedness and Public Information) Regulations 2001.</li> </ul> <p>(For details see <a href="http://www.statutelaw.gov.uk">www.statutelaw.gov.uk</a>)</p>
<b>Readiness planning</b>	<p>6) Having a clear, well tried and robust process for:</p> <ul style="list-style-type: none"> <li>• getting facilities up and running;</li> <li>• setting up meetings;</li> <li>• contacting on-call staff; and</li> <li>• briefing staff.</li> </ul> <p>Ideally this should include crisis coordination arrangements that are consistent with those used in other areas.</p>
	<p>7) Setting activation targets for your facilities. In setting these targets, you should clearly define what you mean by “activated”.</p> <p>You should ensure that the activation targets you set are coherent with those of other responders at local, regional and (if relevant to your organisation) national level.</p>

<b>Capabilities</b>	<p>8) Ensuring that the SCC is able to support and accommodate a Government Liaison Team (GLT) if it is necessary<sup>12</sup>.</p> <p>The GLT would require secure space (potentially up to Secret level) plus access to at least one telephone line, broadband line (not necessarily WiFi) and ISDN (digital) line. Space to put up a satellite dish may also be required.</p>
	<p>9) Having integrated and resilient telecommunications and IT equipment within <b>your organisation</b> and your <b>response and recovery facilities</b>. This should enable you to:</p> <ul style="list-style-type: none"> <li>• share data (e.g. computers with network access links, extranet, networked printers, email) within your organisation and with partners;</li> <li>• communicate with on-call staff (e.g. mobiles, pagers, landline);</li> <li>• communicate with the central and regional tiers (e.g. video conference and teleconference links, email); and</li> <li>• communicate with relevant stakeholders.</li> </ul> <p>See the section on resilient communications (<a href="#">section 1, part 3</a>) for further details.</p>
	<p>10) Having additional security controls for any dedicated high security telecommunication rooms.</p>
<b>Capabilities</b>	<p>11) Developing a training programme for staff that will play a role in response and/or recovery which will ensure that they are adequately trained for proposed roles. Training might include:</p> <ul style="list-style-type: none"> <li>• familiarising staff with the community risk register and emergency plans;</li> <li>• familiarising staff with their proposed roles during response and recovery;</li> <li>• logistical planning capabilities;</li> <li>• leadership skills for those chairing meetings; and</li> <li>• familiarisation with how to use telecommunications equipment such as Satellite and Airwave technology.</li> </ul> <p>For further guidance on training, the <i>National Occupational Standards for Civil Contingencies</i> outline the skills required for Strategic, Tactical and Operational level response (see <a href="http://www.skillsforjustice.co.uk">www.skillsforjustice.co.uk</a>). The <a href="#">EPS Civil Contingencies Core Competencies Framework</a> also provides further guidance.</p>

<sup>12</sup> In all types of emergency, there is the potential for a GLT being deployed, if required. This team would be lead by a Government Liaison Officer (GLO). The department providing the GLO and the members of the GLT would vary depending on the type of emergency. In most cases in England, a GLT from the relevant regional Government Office would be deployed to the SCC. In most cases in Wales, a Welsh Assembly Government Liaison Team could be deployed to SCCs in Wales. The role of this team would largely relate to consequence management issues. However in a sufficiently serious emergency, it is possible that a central government GLT would be deployed to the WAG crisis response centre.

<b>Readiness – capabilities</b>	12) Checking that all equipment within response and recovery facilities works. This can be achieved through frequent exercises based in your various facilities or by using these facilities for other purposes during normal working. Recording any faults that are identified and taking and recording actions to rectify them.
	13) Ensuring that strategic, tactical and operational facilities are accessible to the on-call staff that will be deployed there.
<b>Processes</b>	14) Identifying any capability gaps within your organisation that mean you will be unable to treat risk identified in your risk assessment (see <a href="#">part 1, section A</a> ) and devising an action plan to fill these gaps where possible. This might include training, recruitment, and/or mutual aid agreements.

## C: Subsidiarity

34. The UK’s approach to emergency response and recovery is founded on a bottom-up principle in which operations are managed and decisions are made at the lowest possible level. In all cases, local agencies are the building blocks of response and recovery operations. Indeed, the local level deals with most emergencies with little or no input from the regional or national levels.
35. The role of central government and the regional tier is normally to support and supplement the efforts of local responders through the provision of resources and coordination. The central and regional tiers will only become involved in emergency response and recovery efforts where it is necessary and helpful to do so.
36. For this to work it is important that each tier understands and has respect for this principle and understands their role and the role of others within this framework. The Government runs a programme of *Central Government Emergency Response Training (CGERT)* which, among other things aims to familiarise the local and regional tier with the *Central Government Arrangements for responding to an Emergency – Concept of Operation (CONOPS)*. The table below highlights expectations in relation to subsidiarity:

**C: Subsidiarity – Taking decisions at the lowest appropriate level while coordinating at the highest necessary level. This should ensure that response and recovery efforts have regard for specific local issues, whilst ensuring that local responders receive the necessary level of support and coordination from the regional and national tiers.**

**(Category 1 and 2 responders)**

<b>Subsidiarity</b>	1) Being aware of and respecting the concepts set in: <i>Central Government Arrangements for responding to an Emergency – Concept of Operation (CONOPS)</i> .
---------------------	---

## D: Direction

37. To some degree, strategic aims for response and recovery can be anticipated and your plans should cover this. In order to ensure that these aims are consistent with your organisation's functions, these plans should be signed off and owned by senior staff (see [part 1, sections B and C for details](#)).
38. As the exact circumstances of an emergency cannot be fully anticipated, those responsible for managing the response to, and recovery from an emergency will face an array of competing demands and pressures, which will vary according to the situation. Information available will often be incomplete, inaccurate or ambiguous, and perceptions of the situation may differ within and between organisations. Furthermore, the response to, and recovery from an emergency may involve a wide range of organisations, potentially from across public, private and voluntary sectors, and each will have its own responsibilities, capabilities and priorities that require coordination.
39. These challenges make it essential to assess the situation and to quickly agree unambiguous, strategic aims in the event of an emergency. The table below outlines some expectations in relation to direction for both category 1 and 2 responders:

### D: Direction– collectively agreeing clear strategic aims and supporting objectives to enable the prioritisation and focus of the response effort.

#### (Category 1 and 2 responders)

- 1) Being aware of *Central Government Arrangements for Responding to an Emergency – Concept of Operations (CONOPS)*.
- 2) Being familiar with the direction section in Chapter 2 of [Emergency Response and Recovery](#) which outlines what your strategic aims might be in relation to sudden impact emergencies, slow-onset emergencies and in relation to the media.
- 3) Being aware of the responsibilities, capabilities and priorities of other category 1 and 2 responders, especially those within your local resilience area.

## E: Information management

40. The communicating with the public, collaboration and information sharing requirements set out in the CCA regime are designed to help ensure that there is effective information management. (Part 1, sections D, F, G and H of this document and [The Civil Contingencies Act \(2004\) Duty to Communicate with the Public: The Ten Step Cycle – an informal guidance note](#) provide further details). All of these processes require some detailed practical considerations during normal times. These considerations are listed in the table below.
41. Effective information management is necessary for effective response and recovery operations. Effective information management should ensure that response and recovery operations are coordinated, and that unnecessary duplications and unwanted gaps are avoided. Good communication should also help reassure the public that something is being done, and provide them with advice about what they should do.
42. A checklist of additional considerations for information management, not covered in [parts 1 and 2](#) is shown below:

**E: Information management – having an information management system to collate, assess, verify and disseminate information. These systems should support single and multi-agency decision making and the external provision of data which will allow members of the public to make informed decisions to ensure their safety.**

**(Category 1 and 2 responders)**

<b>Information management</b>	1) Complying with the information sharing, provisions (see <a href="#">part 1, section D, F, G and H</a> , of this document) <b>during response and recovery operations</b> as well as during normal times.
	2) Having a protocol for managing and presenting information which: <ul style="list-style-type: none"> <li>• is easy to use;</li> <li>• tracks incident and resources to provide a strategic picture;</li> <li>• is standardised and consistent; and</li> <li>• which ensures public safety is considered.</li> </ul> <p>In doing this you should use appropriate nationally produced templates, as a guide, if they are provided.</p>
	3) Being aware of who to contact at each different tier, including communicating with the regional and the national tier (via the regional tier) in accordance with your communication plans.

## F: Cooperation

43. The collaboration requirements set out in the CCA regime are designed to ensure that responders work together in supportive partnerships, in order to ensure that their civil protection work is both coordinated and free from any duplication of effort or unaddressed gaps (see [part 1, sections G and H](#) for details).
44. Collaboration requires detailed practical consideration during the planning phase and one that is necessary to effective response and recovery. Additional expectations relating to cooperation, not covered in [parts 1 and 2](#) are outlined below:

**F: Cooperation– positively engaging and sharing information between all agencies and all levels during emergency response and recovery.**

**(Category 1 and 2 responders)**

<b>Cooperation, understanding and trust</b>	1) Complying with the cooperation provisions in the Contingency Planning Regulations (see <a href="#">part 1, section G and H</a> of this document) <b>during response and recovery operations</b> as well as during peacetime.
	2) Understanding the functions, ways of working and priorities of your partners. This will help facilitate the genuine dialogue that is essential to establishing shared aims and objectives.
	3) Being open and honest with your partners and dealing with sensitive information appropriately (see <a href="#">part 1, section D</a> of this document). See <a href="#">Data Protection and Sharing – Guidance for Emergency Planners and Responders</a> and Security vetting and protective markings: a guide for responders for further guidance.

## G: Integration

45. Responding to, and recovering from emergencies is a multi-agency activity that may involve many organisations. Their involvement, role and relative prominence may change between phases of the emergency. Furthermore, depending on the nature and severity of the emergency, there may be involvement from regional and national levels. It is therefore crucial that the contributions of respective organisations are integrated.
46. The collaboration requirements set out in the CCA regime provide a basis for, and help support, effective integration (see [part 1, sections G and H](#) and [part 3, section F](#) for details). There are a number of detailed considerations for category 1 and 2 responders which relate to the integration of the activities during response and recovery operations. These are outlined below:

**G: Integration – ensuring that there is effective cooperation between all response and recovery levels (i.e. Local, Regional and National) in order to ensure a coherent, integrated effort.**

**(Category 1 and 2 responders)**

<b>Integration</b>	1) Understanding and having respect for the subsidiarity principle (see <a href="#">part 3, section C</a> for details).
	2) Being familiar with how the different tiers will liaise – see <a href="#">CONOPS</a> for details.
	3) Being aware of the role of the national and regional tiers and being clear in what circumstances their assistance is required. (For details see <a href="#">CONOPS</a> , <a href="#">The role of Lead Government Departments in planning for and managing crises</a> and <a href="http://www.cabinetoffice.gov.uk/ukresilience/response/englishregions.aspx">http://www.cabinetoffice.gov.uk/ukresilience/response/englishregions.aspx</a> ).

## H: Continuity

47. The [CCA](#) imposes a duty to plan for emergencies in respect of your organisation's functions (i.e. every-day activities). Effective response and recovery relies not just on this but on responders being familiar with the ways in which other organisations operate, and of the national

framework for managing emergencies as outlined in Central Government Arrangements for Responding to an Emergency – Concept of Operations ([CONOPS](#)). The table below outlines expectations relating to continuity for category 1 responders.

### Continuity – grounding emergency response and recovery in the existing functions of organisations and familiar ways of working

(Category 1 responder only)

Continuity	1) Proposing roles and responsibilities for staff during emergency response and recovery that are not dramatically different to their day-to-day roles.
	2) Ensuring that new staff are properly inducted so that they are familiar with your normal ways of working.
	3) Ensuring that you are aware of response and recovery procedures used by other responders.
	4) Ensuring that you are aware of the role of the national and regional tier and how your organisation fits into response and recovery arrangements – see <i>Central Government Arrangements for Responding to an Emergency – Concept of Operations</i> ( <a href="#">CONOPS</a> ) for details.

48. The table below outlines expectations relating to continuity for category 2 responders.

### Continuity – grounding emergency response and recovery in the existing functions of organisations and familiar ways of working.

(Category 2 responders only)

Continuity	1) Ensuring that you are aware of response and recovery procedures
	2) Ensuring that when your involvement in emergency response and recovery is required, you send staff whose day-to-day role is not dramatically different to the role that is required of them.

## I: Resilience<sup>13</sup>

49. There are a number of detailed considerations that relate to resilient telecommunications that both category 1 and 2 responders should consider (see the tables below):

Resilience – ensuring that facilities, equipment and staffing arrangements can withstand the unexpected. (Category 1 and 2 responders)	
Telecommunications	<p>1) Enhancing the resilience of everyday commercially available telecommunications. Ideally you should have the ability to implement telecommunication systems that are resilient against loss of the Public Switched Telephone Network (PSTN) (for instance BT or equivalent) and to the loss of the Wide Area Network (WAN) for up to 5 hours. This can be achieved by:</p> <ul style="list-style-type: none"> <li>• <b>Understanding the systems</b> available and their respective strengths and weaknesses – see <a href="#">Telecommunications Networks – a vital part of the Critical National Infrastructure</a> for further guidance.</li> <li>• <b>Identifying and reviewing the critical communication activities</b> that underpin your response arrangements – critical activities are those that are essential to the effectiveness of response arrangements. See <a href="#">Towards Achieving Resilient Telecommunications Guidance</a> for more details.</li> <li>• <b>Avoiding reliance on any one telecommunications system</b> as this carries a significant inherent risk;</li> <li>• <b>Adopting layered fall-back arrangements</b> in order to help mitigate unavailability. A fall back system does not have to provide the same ‘richness’ of communication and the primary option – <a href="#">Ensuring Resilient Telecommunications: A Survey of some Technical Solutions</a> provides guidance.</li> <li>• <b>Planning for appropriate interoperability</b> to enable seamless communications between different telecommunications systems. This is especially important for point-to-multipoint communications.</li> <li>• <b>Agreeing and adhering to communication protocols and procedures</b> – This may take the form of call-signs and radio discipline (particularly for mobile radio communications) or procedures for managing conference calls.</li> </ul> <p><b>Following advice from the Centre for the Protection of National Infrastructure (CPNI) on data security.</b> For details see the guidance on enhancing the resilience of telecommunications networks and services.</p> <p><i>Local Risk Assessment Guidance (LRAG) and National Resilience Planning Assumptions</i> provide details on the risk that we face nationally in regards to the loss of telecommunication systems.</p>
	<p>2) Where appropriate, adopting the good practice examples set out in <a href="#">Good Practice Guide to Telecommunications Resilience</a>.</p>

<sup>13</sup> For updates on resilient telecommunications, visit [http://www.cabinetoffice.gov.uk/ukresilience/preparedness/resilient\\_telecommunications.aspx](http://www.cabinetoffice.gov.uk/ukresilience/preparedness/resilient_telecommunications.aspx)

<b>Telecommunications</b>	<p>3) Improving the management, take-up and resilience of privileged telecommunications schemes that are accessible only to emergency responders. The four schemes are:</p> <ul style="list-style-type: none"> <li>• <i>Privileged access to the fixed-line telephone system;</i></li> <li>• <i>Privileged access to mobile telephone networks;</i></li> <li>• <i>Access by those outside the Emergency Services to mobile communications using Airwave; and</i></li> <li>• <i>Commercially available satellite communications equipment made available to responders through a centrally-negotiated catalogue.</i></li> </ul> <p>The resilient telecommunications section on <a href="http://www.cabinetoffice.gov.uk/ukresilience/preparedness/resilient_telecommunications.aspx">http://www.cabinetoffice.gov.uk/ukresilience/preparedness/resilient_telecommunications.aspx</a> provides further information on these schemes.</p>
	<p>4) Being aware of and engaging with the High Integrity Telecommunication Systems (HITS) work which may provide connectivity and service to other responders within your local response area and does provide connectivity and service to the regional and national tiers. Updates on this programme can be found in the resilient telecommunication section on <a href="http://www.cabinetoffice.gov.uk/ukresilience/preparedness/resilient_telecommunications.aspx">http://www.cabinetoffice.gov.uk/ukresilience/preparedness/resilient_telecommunications.aspx</a></p>

50. In addition for category 1 responders, there are also a number of detailed considerations relating to telecommunications, the resilience of emergency facilities, data and staffing arrangements (see table below).

<b>Resilience – ensuring that facilities, equipment and staffing arrangements can withstand the unexpected</b> <b>(Category 1 responders only).</b>	
<b>Telecommunications</b>	i) Implementing multi-agency private networks at a local level.
	ii) Collaborating with other responders, setting up mutual aid agreements, and ensuring interoperability between the different telecommunication systems used.
	iii) Participate in your Local Area Telecommunications Sub-Group (TSG). The Chair or point of contact for all TSGs can be found in the <i>TSG Contact Directory</i> :
	iv) Having dedicated & separate telecommunications equipment – that is telephone private branch exchanges for the communication room in tactical and strategic facilities.

Facilities	v) Ensuring that, where possible, primary and back-up facilities are located in areas that are at minimal risk from high risk hazards (for instance flooding).
	vi) Having back-up power systems. This could include: <ul style="list-style-type: none"> <li>• <b>having a back up generator</b> – To be High Integrity Telecommunication Systems compliant, you should have sufficient fuel available for on-site generators for 10 days full-load use. These generators should cover all critical functions.</li> <li>• <b>using an uninterruptible power supply (UPS)</b> which ensures a smooth and constant transfer of power to IT equipment, preventing damage resulting from power surges and/or restarts.</li> </ul>
	vii) Having arrangements or a plan in place for water and sewerage systems failure at your response and recovery facilities. To be High Integrity Telecommunication Systems compliant, you should have sufficient water supplies for 3 days and be able to cope for 3 days without water services.
Data	viii) Backing up all critical data and securely storing at least one back-up copy of all information off-site of operational facilities.
Staffing	ix) Ensuring that staffing arrangements for emergency response and recovery do not rely on particular individuals and include suitable arrangements for deputising.
	x) Having succession plans in place for the loss of key staff.

## J: Sustainability

51. There are a number of detailed considerations relating to the sustainability of emergency facilities, data and staffing arrangements that category 1 responders should consider. These are listed below:

Sustainability – ensuring that facilities, equipment and staffing arrangements can be sustained. (Category 1 responders only)	
<b>Facilities</b>	<p>1) Setting sustainability targets for your facilities. These should relate to the period of time which you aim to be able to:</p> <ul style="list-style-type: none"> <li>• sustain 24/7 working arrangement; and</li> <li>• sustain extended working hours arrangements.</li> </ul> <p>You should ensure that the sustainability targets you set are coherent with those of other responders at local, regional and (if relevant to your organisation) national level.</p>
<b>Staff</b>	<p>2) Augmenting staff rotas to reduce the burden on individuals and avoid burn-out.</p> <p>3) Having clearly defined staff change-over procedures.</p>
<b>Planning</b>	<p>4) Considering the heating, eating and sleeping arrangements for staff during emergency response and recovery. (In most cases, staff are likely to return to their own homes to sleep at the end of their shift. However, in some instances, this may not be possible).</p> <p>5) Considering the provision of heating, eating and sleeping arrangements for operational facilities.</p>

## Annex A: Glossary of terms and acronyms

### **ACPO**

Association of Chief Police Officers

### **Anticipation**

One of the eight principles outlined in Emergency Response and Recovery – ongoing risk identification and assessment (see Risk Assessment below).

### **BCI**

Business Continuity Institute

### **Business Continuity Management (BCM)**

A management process that helps manage the risks to the smooth running of an organisation or delivery of service, ensuring that it can operate to the extent required in the event of a disruption.

### **Business Continuity Plan (BCP)**

A documented set of procedures and information intended to deliver continuity of critical activities in the event of an emergency.

### **Business Impact Analysis**

A method of assessing the impacts that might result from an incident and the levels of resources and time required for recovery.

### **Capabilities Programme**

The UK Capabilities Programme comprises a range of capabilities that underpin the UK's resilience to disruptive challenges. These capabilities are either structural, functional or essential services.

### **Capability**

A demonstrable capacity or ability to respond to and recover from a particular threat or hazard. Originally a military term, it includes personnel, equipment, training and such matters as plans, doctrine and the concept of operations.

### **Capability gap**

The gap between the current ability to provide a response and the actual response assessed to be required for a given threat or hazard. Plans should be made to eliminate this gap, if the risk justifies it.

### **Capability status**

Assessment of the level of capability in place.

### **Capability Target**

The level of capability that the planning assumptions and the plan require.

### **Category 1 responder**

A person or body listed in Part 1 of Schedule 1 to the Civil Contingencies Act. These bodies are likely to be at the core of the response to most emergencies.

### **Category 2 responder**

A person or body listed in Part 3 of Schedule 1 to the Civil Contingencies Act. These are cooperating responders who are less likely to be involved in the heart of multi-agency planning work but will be heavily involved in planning for and responding to emergencies that affect their sector.

**CBRN**

Chemical, Biological, Radiological, Nuclear

**CCA**

Civil Contingencies Act (2004)

**CCS**

Civil Contingencies Secretariat

**CFOA**

Chief Fire Officer Association

**CGERT**

Central Government Emergency Response Training

**CPNI**

Centre for the Protection of National Infrastructure

**COI**

Central Office of Information – The Government’s centre of excellence for marketing and communications

**Command and control**

Principles adopted by an agency acting with full authority to direct its own resources (both personnel and equipment).

**Communication**

One of the eight principles outlined in Emergency response and Recovery. Having good two-way communication and passing reliable information without delay to those who need to know, including the public.

**Community resilience**

The ability of a local community to respond and recover from emergencies.

**Community Risk Register (CRR)**

An assessment of the risks within a local resilience area agreed by the local resilience forum as a basis for supporting emergency plans.

**CONOPS**

Central Government Arrangements for Responding to an Emergency – Concept of Operations

**Continuity**

One of the eight principles outlined in Emergency Response and Recovery. The grounding of emergency response and recovery in the existing functions of organisations and familiar ways of working.

**Cooperation**

One of the eight principles outlined in Emergency Response and Recovery. Positively engaging and sharing information between all levels during emergency response and recovery.

**Coordinating Group**

In the context of this document the generic term ‘coordinating group’ is used to cover both single and multi agency groups and groups which operate at a strategic, tactical or operational level for response and recovery.

**Critical function**

A service or operation the continuity of which a category 1 responder needs to ensure in order to meet business objectives.

**Direction**

One of the eight principles outlined in Emergency Response and Recovery. Collectively agreeing clear strategic aims and supporting objectives to enable prioritisation and focus of the response and recovery effort.

### **Emergency**

An event or situation which threatens serious damage to human welfare in a place in the UK; to the environment of a place in the UK; or war or terrorism which threatens the security of the UK, as defined by the CCA. To constitute an emergency the event or situation must require the implementation of special arrangements by one or more category 1 responder.

### **Emergency planning**

Development and maintenance of agreed procedures to prevent, reduce, control, mitigate and take other actions in the event of an emergency.

### **Emergency planning cycle**

A continuous process of assessing risk and preparing for emergencies supported by procedures to keep staff in readiness and validate plans. Plans should be reviewed and if necessary, revised when they have been activated in response to an emergency.

### **Event or situation with threatens to damage human welfare**

An event should only be considered to threaten damage to human welfare if it involves causes or may cause loss of human life, human illness or injury, homelessness, damage to property, disruption of supply of money, food, water, energy or fuel, disruption of a system of communication, disruption of facilities for transport, or disruption of services relating to health.

### **Event or situation with threatens to damage to the environment**

An event or situation should only be considered to threaten damage to the environment if it involves causes or may cause contamination of land, water or air with biological, chemical or radioactive manner or disruption of destruction of plant life or animal life.

### **Exercise**

A simulation to validate an emergency or business continuity plan, rehearse key staff or test systems or procedures.

### **Generic Plan**

A single plan designed to cope with a wide range of emergencies.

### **GLT**

Government Liaison Team

### **GLO**

Government Liaison Officer

### **GO**

Government Office

### **Hazard**

An accident or naturally occurring event or situation with potential to cause damage to human welfare in a place in the UK or to the environment of a place in the UK.

### **HITS**

High Integrity Telecommunication Systems

### **HMIC**

Her Majesty's Inspectorate of Constabulary.

### **Integrated Emergency Management (IEM)**

A holistic approach to preventing and managing emergencies that entails six key steps: anticipation; assessments; prevention; preparation; response and recovery. (The CCA regime does not cover taking preventative action). The underlying aim of IEM is to develop flexible and adaptable arrangements that will enable effective joint response to any crisis whether foreseen or unforeseen. This is achieved by focusing on the consequences of events rather than their specific cause.

### **Integration**

One of the eight principles outlined in Emergency Response and Recovery. Ensuring that there is effective cooperation between all response and recovery levels (i.e. Local, Regional and National) in order to ensure a coherent, integrated effort.

### **Interoperability**

In relation to resilient telecommunications this is defined as the ability to enable seamless communications between different communication systems.

### **LA**

Local Authority

### **Lead Government Department (LGD)**

The Government department which, in the event of an emergency, coordinates central government activity. The department which will take the lead varies depending on the nature of the emergency. The government regularly publishes a full list of LGDs.

### **Lead responder**

A category 1 responder charged with carrying out a duty under the act on behalf of a number of responder organisations, so as to coordinate its delivery and avoid unnecessary duplication.

### **LGA**

Local Government Association

### **Local Resilience Area**

The Civil Contingencies Act requires Category 1 and 2 responders to cooperate with other category 1 and 2 responders in their local resilience area. Each local resilience area (with the exception of London) is based on a police area.

### **Local Resilience Forum (LRF)**

A process for bringing together all Category 1 and 2 responders within a Local Resilience Area for the purpose of facilitating cooperation in fulfilment of their duties under the Act.

### **Local responder**

Organisation which responds to emergencies at the local level, these may include Category 1 and 2 responders or organisations not covered by the Act.

### **Local Risk Assessment Guidance (LRAG)**

A document provided by central government with information on generic hazards and threats that should assist Category 1 responders in performing their local risk assessment duty of the Civil Contingency Act.

### **Media plan**

A key plan for ensuring cooperation between Category 1 and 2 responders and the media in communicating during and after an emergency.

### **Minister (of the Crown)**

Government Minister with the power, amongst other things, to make regulations, issue guidance and monitor performance under Part 1 of the CCA.

### **Multi-Agency Plan**

A plan, usually prepared and maintained by a lead responder, on behalf of a number of organisations who need to coordinate and integrate their preparations for an emergency.

### **Mutual Aid**

An agreement between Category 1 and 2 responders and other organisations not covered by the Act, within the same sector or across sectors and across boundaries, to provide assistance with additional resources during an emergency which may go beyond the resources of an individual organisation.

**National Media Emergency Forum (MEF)**

See Regional Media Emergency Forum (RMEF) for details.

**NRR**

National Risk Register

**Plan maintenance**

Procedures for ensuring plans are kept in readiness for emergencies and that planning documents are up-to-date.

**Plan validation**

Measures to ensure that a plan meets the purpose for which it was designed, through exercises, tests, staff buy-in and so on.

**Planning assumptions**

Descriptions of the types of scales of consequences for which organisations should be prepared to respond.

**Preparedness**

One of the eight principles outlined in Emergency Response and Recovery. Preparedness is achieved by having a plan for identified risks; identifying the resources required and any gaps, training and exercising; having a process for updating plans and capability assessments; and being ready to respond.

**PSTN**

Public Switched Telephone Network

**RABS**

The Resilience Advisory Board for Scotland

**RAWG**

Risk Assessment Working Group

**Recovery**

The process of rebuilding, restoring and rehabilitating the community following an emergency.

**RCG**

Recovery Coordinating Group

**Regional Media Emergency Forum (RMEF)**

Group of representatives from the media (editors, journalists), government, emergency services and other organisations involved in dealing with an emergency, meeting to plan and discuss communications challenges and common interests in planning and responding to emergencies.

**Regional Resilience Director (RRD)**

Head of a Regional Resilience team (see below)

**Regional Resilience Team (RRT)**

Small teams of civil servants within a Government Office region working on civil protection issues.

**Regulations**

Contingency Planning Regulations (2005)

**Resilience**

The ability of the community, services, area or infrastructure to withstand the consequences of an emergency. In the context of emergency response and recovery resilience is defined as facilities, equipment and staffing arrangements that can withstand the unexpected.

**Risk**

Risk measures the significant of a potential event in terms of likelihood and impact. In the context of the Civil Contingencies Act, the events in question are emergencies.

**Risk appetite**

Willingness of an organisation to accept a defined level of risk.

**Risk assessment**

A structured and auditable process of identifying potentially significant events, assessing their likelihood and impacts and combining these to provide an overall assessment of risk, as a basis for further decisions and actions.

**Risk management**

The culture, process and structures that are directed towards the effective management of risk.

**Risk priority**

The relative importance of the treatment(s) required for the management of risk, based on the risk rating and capabilities required to manage the risk.

**Risk rating matrix**

Matrix of impact and likelihood for an event, to ascertain the risk.

**Risk treatment**

A systematic approach of deciding which risks can be eliminated or reduced by remedial action and which must be tolerated.

**SCC**

Strategic Coordination Centre

**SCG**

Strategic Coordinating Group

**Sensitive information**

Information that is not reasonably accessible to the public because its disclosure to the public would, or would be likely to a) adversely affect national security, b) adversely affect public safety, c) prejudice the commercial interest of any person, or information that is personal data, within the meaning of section 1(1) of the Data Protection Act 1998, disclosure of which would breach that Act.

**SIMs**

Senior Identification Managers

**SOLACE**

Society of Local Authority Chief Executives

**Specific Plan**

A plan designed to cope with a specific type of emergency, where the generic plan is likely to be insufficient.

**STAC**

Science and Technical Advice Cell

**Subsidiarity**

One of the eight principles outlined in Emergency Response and Recovery. Making decisions at the lowest appropriate level and coordinating response at the highest necessary level.

**Surge capacity**

A health care system's ability to expand quickly beyond normal services to meet an increased demand for medical care in the event of bioterrorism or other large-scale public health emergencies.

**Sustainability**

In the context of emergency response and recovery, sustainability is defined as facilities, equipment and staffing arrangements that can be sustained over a period of time.

**Threat**

The intent and capacity to create loss of life or create adverse consequences to human welfare, the environment or security.

**Threats Statement**

A component of the Local Risk Assessment Guidance.

**TSG**

Telecommunications Sub-Group

**Utilities**

Companies providing essential services e.g. water, energy, telecommunications.

**UPS**

Uninterruptible Power Supply

**Voluntary Sector**

Bodies, other than public authorities of local authorities, which carry out activities otherwise than for profit.

**Vulnerability**

The susceptibility of a community, services or infrastructure to damage or harm by a realised hazard or threat.

**Vulnerable people**

People less able to help themselves in the event of an emergency.

**WAG**

Welsh Assembly Government

**WAN**

Wide Area Network (telecommunications)

**WAO**

Wales Audit Office

**Wales Media Emergency Forum (WMEF)**

See Regional Media Emergency Forum (RMEF) above

**Wales Resilience Forum (WRF)**

The forum is a multi-agency group providing the mechanism for national multi-agency cooperation and strategic advice on civil protection and emergency planning.

**Warning and informing the public**

Establishing arrangements to warn the public when an emergency is likely to occur or has occurred and to provide them with information and advice subsequently.

**Welsh Borders Resilience Group (WBRG)**

A group that brings together the Welsh Assembly Government and the Regional Resilience Teams for the Government Offices for the South West, West Midlands and the North West to facilitate cooperation and information sharing between Wales and England.

## Annex B: References

### **BBC Connecting in a Crisis**

<http://www.bbc.co.uk/connectinginacrisis/index.shtml>

### **BS 25999 Business continuity standard**

<http://www.bsi-global.com/en/Assessment-and-certification-services/management-systems/Standards-and-Schemes/BS-25999/>

### **Business Continuity Management for Fuel Shortages: Guidance for Organisations,**

Cabinet Office and Department for Energy and Climate Change, November 2008,

[http://www.cabinetoffice.gov.uk/media/132628/bcp\\_fuel\\_nov2008.pdf](http://www.cabinetoffice.gov.uk/media/132628/bcp_fuel_nov2008.pdf)

### **Central Government Arrangements for Responding to an Emergency – Concept of Operations,**

Cabinet Office,

<http://www.cabinetoffice.gov.uk/media/132685/conops.pdf>

### **Central Government Emergency Response Training (CGERT),**

Cabinet Office,

<http://www.cabinetoffice.gov.uk/ukresilience/response/ukgovernment/cgert.aspx>

### **Civil Contingencies Act (2004) Duty to Communicate with the Public: The Ten Step Cycle**

– an informal guidance note, Cabinet Office,

[http://www.cabinetoffice.gov.uk/media/132422/10\\_step\\_cycle.pdf](http://www.cabinetoffice.gov.uk/media/132422/10_step_cycle.pdf)

### **Data Protection and Sharing– Guidance for Emergency Planners and Responders: Non-statutory guidance to complement *Emergency Preparedness and Emergency Response & Recovery*,**

Cabinet Office November 2005,

<http://www.cabinetoffice.gov.uk/media/132709/dataprotection.pdf>

### **Emergency Preparedness – Guidance on Part 1 of the Civil Contingencies Act 2004,**

Cabinet Office November 2005, <http://www.cabinetoffice.gov.uk/ukresilience/preparedness/ccact/eppdfs.aspx>

### **Emergency Response and Recovery: Non-statutory guidance to complement *Emergency Preparedness*, associated Regulations and non-statutory arrangements,**

Cabinet Office November 2005, <http://www.cabinetoffice.gov.uk/ukresilience/preparedness/ccact/errpdfs.aspx>

### **Evacuation and Shelter Guidance: Non-statutory guidance to complement *Emergency Preparedness and Emergency Response & Recovery*,**

Cabinet Office November 2005, [http://www.cabinetoffice.gov.uk/media/132739/evac\\_shelter\\_guidance.pdf](http://www.cabinetoffice.gov.uk/media/132739/evac_shelter_guidance.pdf)

### **Freedom of information advice:**

[www.informationcommissioner.gov.uk](http://www.informationcommissioner.gov.uk)

### **Guidance on development of a Site Clearance Capability in England and Wales,**

Office of the Deputy Prime Minister and the Welsh Assembly Government, October 2005 <http://www.communities.gov.uk/publications/fire/guidancedevelopment>

**Humanitarian Assistance in Emergencies: Non-statutory guidance on establishing Humanitarian Assistance Centres**, Cabinet Office, [http://www.cabinetoffice.gov.uk/media/132796/hac\\_guidance.pdf](http://www.cabinetoffice.gov.uk/media/132796/hac_guidance.pdf)

**Lead Government Department Responsibilities**, Cabinet Office, <http://www.cabinetoffice.gov.uk/ukresilience/response/ukgovernment/responsibilities.aspx>

**Management and Coordination of Local Operations**, Cabinet Office, <http://www.cabinetoffice.gov.uk/ukresilience/response/localoperations.aspx>

**National Occupational Standards for Civil Contingencies**, Skills for Justice [www.skillsforjustice.com](http://www.skillsforjustice.com)

**National Recovery Guidance**, Department of Communities and Local Government and Cabinet Office, October 2007, [http://www.cabinetoffice.gov.uk/ukresilience/news/recovery\\_guidance.aspx](http://www.cabinetoffice.gov.uk/ukresilience/news/recovery_guidance.aspx)

**National Risk Register**, Cabinet Office, August 2008 [http://www.cabinetoffice.gov.uk/reports/national\\_risk\\_register.aspx](http://www.cabinetoffice.gov.uk/reports/national_risk_register.aspx)

**National Security Strategy – Security in an interdependent world**, Cabinet Office, March 2008, [http://www.cabinetoffice.gov.uk/reports/national\\_security\\_strategy.aspx](http://www.cabinetoffice.gov.uk/reports/national_security_strategy.aspx)

**Northern Ireland Civil Contingencies Framework** <http://cepu.nics.gov.uk/pubs/NI%20CCF.pdf>

**Planning for Major Water and Wastewater Incidents in England and Wales: Generic Guidance**, DEFRA, October 2006, [http://www.cabinetoffice.gov.uk/ukresilience/preparedness/ccact/cat2\\_info/water.aspx](http://www.cabinetoffice.gov.uk/ukresilience/preparedness/ccact/cat2_info/water.aspx)

**Preparing Scotland – Scottish guidance on preparing for emergencies**, Scottish Government, March 2006, <http://www.scotland.gov.uk/Publications/2006/02/27140215/0>

**Provision of scientific and technical advice to Strategic Co-ordinating Groups during a major incident**, Cabinet Office, [http://www.cabinetoffice.gov.uk/ukresilience/news/stac\\_guidance.aspx](http://www.cabinetoffice.gov.uk/ukresilience/news/stac_guidance.aspx)

**Resilient Telecommunications – Enhancing the Resilience of Communications. Getting Started**, Cabinet Office, [http://www.cabinetoffice.gov.uk/ukresilience/preparedness/resilient\\_telecommunications/enhancing/getting\\_started.aspx](http://www.cabinetoffice.gov.uk/ukresilience/preparedness/resilient_telecommunications/enhancing/getting_started.aspx)

**Statute Law** [www.statutelaw.gov.uk](http://www.statutelaw.gov.uk)

**The Emergency Planning Society Core Competencies Framework**, The Emergency Planning Society, <http://www.the-eps.org/fs/doc/The%20EPS%20Core%20Competences%20Framework.pdf>

**The Role of Lead Government Departments in Planning for and Managing Crises**, Cabinet Office, [http://www.cabinetoffice.gov.uk/media/132847/lgds\\_framework.pdf](http://www.cabinetoffice.gov.uk/media/132847/lgds_framework.pdf)

**The Role of the Regional Tier**, Cabinet Office <http://www.cabinetoffice.gov.uk/ukresilience/response/englishregions.aspx>

**The Role of Responding Agencies**, Cabinet Office, <http://www.cabinetoffice.gov.uk/ukresilience/response/respondingagencies.aspx>



Cabinet Office  
22 Whitehall  
London SW1A 2WH

Telephone: 020 7276 5117

E-mail: [david.kavanagh@cabinet-office.x.gsi.gov.uk](mailto:david.kavanagh@cabinet-office.x.gsi.gov.uk)  
Web address: [www.cabinetoffice.gov.uk](http://www.cabinetoffice.gov.uk)

Publication date: April 2009  
© Crown copyright 2009

The text in this document may be reproduced free of charge in any format or media without requiring specific permission. This is subject to the material not being used in a derogatory manner or in a misleading context. The source of the material must be acknowledged as Crown copyright and the title of the document must be included when reproduced as part of another publication or service.

Ref: 2940268/0409

Prepared for Cabinet Office by COI