Expectations and indicators of good practice

The Civil Contingencies Act (2004), its associated Regulations (2005) and guidance, and the Resilience Capabilities Programme
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)\(^1\);
   - the associated Contingency Planning Regulations 2005 (Regulations) and guidance\(^2\); and
   - the Resilience Capabilities Programme.

   (Different arrangements apply in Northern Ireland and Scotland; details on the Northern Ireland Civil Contingencies Framework can be found on: http://www.ofmdfmni.gov.uk/nicivilcontingenciesframework.pdf).

2. In Scotland, *Preparing Scotland* sets out the underpinning philosophy of integrated emergency management and practical generic guidance on preparation and response. The Resilience Advisory for Scotland provides strategic policy advice to Scottish Ministers and others on emergency preparedness and response. At the local level in Scotland, a number of constabulary area-based Strategic Co-ordinating Groups\(^3\) determine local responder arrangements for planning, response and recovery.

3. The document 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.

---

\(^1\) See www.statutelaw.gov.uk for details.

\(^2\) See above.

\(^3\) These are similar to the Local Resilience Forums in England and Wales.
4. We hope this document will provide responders with the additional clarity and guidance that they and other stakeholders (including lead government departments and regulators\textsuperscript{4}) have been asking for and will identify what responders can expect of their Local Resilience Area (LRA) partners.

5. 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.

6. 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. (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, is being piloted.)

**How to use this document**

7. 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.

\textsuperscript{4} Regulators include the Audit Commission, Her Majesty’s Inspectorate of Constabularies (HMIC), Healthcare Committee, Health Care Protection Agency and the Welsh Audit Office (WAO).
8. This document is split into two parts. Part 1 relates to the CCA, Regulations and guidance, whilst Part 2 focuses on the Resilience Capabilities programme. CCS is currently developing a check-list of considerations for resilient communications and setting up or assessing the effectiveness of Strategic Coordination groups (SCGs) and Strategic Coordination Centres (SCCs). When rolled out, this check-list will form Part 3 of this document.

9. The table below provides a quick reference tool for navigating your way through this document.

<table>
<thead>
<tr>
<th>Part 1</th>
<th>Page 7-8</th>
</tr>
</thead>
<tbody>
<tr>
<td>Introduction</td>
<td>Section A – page 9-12</td>
</tr>
<tr>
<td>Duty to assess risk</td>
<td>o Mandatory requirements – page 9-10</td>
</tr>
<tr>
<td></td>
<td>o Things to consider – page 11</td>
</tr>
<tr>
<td></td>
<td>o Indicators of good practice – page 12</td>
</tr>
<tr>
<td>Duty to maintain plans – Emergency Planning</td>
<td>Section B – page 13-17</td>
</tr>
<tr>
<td></td>
<td>o Mandatory requirements – page 13-16</td>
</tr>
<tr>
<td></td>
<td>o Things to consider – page 16-17</td>
</tr>
<tr>
<td></td>
<td>o Indicators of good practice – page 17</td>
</tr>
<tr>
<td>Duty to maintain plans – Business Continuity</td>
<td>Section C – page 18-22</td>
</tr>
<tr>
<td></td>
<td>o Mandatory requirements – page 18-21</td>
</tr>
<tr>
<td></td>
<td>o Things to consider – page 21</td>
</tr>
<tr>
<td></td>
<td>o Indicators of good practice – page 22</td>
</tr>
<tr>
<td>Duty to communicate with the public</td>
<td>Section D – page 23-29</td>
</tr>
<tr>
<td></td>
<td>o Mandatory requirements – page 23-26</td>
</tr>
<tr>
<td></td>
<td>o Things to consider – page 26-28</td>
</tr>
<tr>
<td></td>
<td>o Indicators of good practice – page 29</td>
</tr>
<tr>
<td>Expectation and Indicators of Good Practice Set</td>
<td>Page</td>
</tr>
<tr>
<td>---------------------------------------------</td>
<td>------</td>
</tr>
<tr>
<td><strong>Business Continuity Promotion</strong></td>
<td>Section E – page 30-33</td>
</tr>
<tr>
<td>o Mandatory requirements –page 30-32</td>
<td></td>
</tr>
<tr>
<td>o Things to consider – page 32-33</td>
<td></td>
</tr>
<tr>
<td>o Indicators of good practice – page 33</td>
<td></td>
</tr>
<tr>
<td><strong>Information Sharing</strong></td>
<td>Section F – page 34-36</td>
</tr>
<tr>
<td>o Mandatory requirements –page 34-35</td>
<td></td>
</tr>
<tr>
<td>o Things to consider – page 36</td>
<td></td>
</tr>
<tr>
<td>o Indicators of good practice – page 36</td>
<td></td>
</tr>
<tr>
<td><strong>Cooperation – Category 1 Responders</strong></td>
<td>Section G – page 37-41</td>
</tr>
<tr>
<td>o Mandatory requirements –page 37-39</td>
<td></td>
</tr>
<tr>
<td>o Things to consider – page 39-40</td>
<td></td>
</tr>
<tr>
<td>o Indicators of good practice – page 41</td>
<td></td>
</tr>
<tr>
<td><strong>Cooperation – Category 2 Responders</strong></td>
<td>Section H – page 42</td>
</tr>
<tr>
<td>o Mandatory requirements –page 42</td>
<td></td>
</tr>
<tr>
<td>o Indicators of good practice – page 42</td>
<td></td>
</tr>
</tbody>
</table>

**Part 2**

| Introduction | Page 43 |
| Maintaining essential services | Page 44 |
| Functional workstreams | Page 45- 47 |

**Annexes**

| A: Glossary of terms and acronyms | Page 48 - 55 |
| B: References | Page 56- 57 |
10. 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.

Each year the Local Risk Assessment Guidance (LRAG) will include a generic threat statement, as well as information on non-malicious hazards, that is based on information contained within the National Risk Assessment. This information should be used in conjunction with related documents including in particular the published National Risk Register (NRR) and the restricted National Resilience Planning Assumptions to drive planning locally (CCA section 1(1)).

11. 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: The CCA, Regulations and guidance

12. This section focuses on the CCA, Regulations and guidance. 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 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.) A monitoring and enforcement framework is in the process of being drafted, to complement Sections 9 and 10. This will:
  - 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);
  - 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.

- **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.

---

5 In Wales the Welsh Assembly Government (WAG) fulfils a similar role to the RRTs.
• **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.)
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)

<table>
<thead>
<tr>
<th>Mandatory requirements:</th>
</tr>
</thead>
<tbody>
<tr>
<td>1) Periodically assessing the risk of emergencies occurring which affect or may affect the area in which your organisation exercises its functions - Regulation 13.</td>
</tr>
<tr>
<td>2) Considering whether it is necessary to include an emergency or type of emergency in risk assessments. It should be included if:</td>
</tr>
<tr>
<td>o the emergency would be likely to seriously obstruct the performance of your functions (section 2(2)(a) CCA); or</td>
</tr>
<tr>
<td>o 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.</td>
</tr>
<tr>
<td>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 Emergency Preparedness.</td>
</tr>
</tbody>
</table>
4) Reviewing your risk assessment from “time to time” (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:
   - you have to adopt their assessments as your own, in which case you must do so - 4.6 in *Emergency Preparedness*, or
   - 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 *Emergency Preparedness*.

5) Cooperating with other Category 1 responders in your local resilience area (LRA) to maintain a Community Risk Register (CRR) - Regulation 15 (1). This involves:
   - from time-to-time sharing what you can of your individual risk assessments with other Category 1 responders in your local resilience area – Regulation 15(2).
   - having regard to the CRR when producing your own risk assessments - Regulation 15(4)
   - collectively agreeing on the CRR with your LRA partners – 4.9 *Emergency preparedness*

6) Ensuring from time-to-time a copy of the CRR for your LRA is shared with neighbouring Category 1 responders in any neighbouring LRAs - Regulation 16(1) and 16(2)

7) Ensure from time to time that a copy of the CRR for your Local Resilience Area is shared with your Regional Resilience Team (RRT) – 4.10 in *Emergency Preparedness*.

8) If in Wales, ensuring that from time-to-time a copy of the CRR for your LRA is shared with the Welsh Assembly - Regulation 16(3)

9) If in England, ensuring that from time-to-time a copy of the CRR for your LRA is shared with the Secretary of State - Regulation 16(4).

10) Considering how to publish your assessments – see the section on communicating with the public (section D, page 22) for details.
### Issues to consider:

<table>
<thead>
<tr>
<th>Issue</th>
<th>Description</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td><strong>Contextualisation</strong> – 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).</td>
</tr>
<tr>
<td></td>
<td><strong>Identify hazards and allocate the assessment of these hazards</strong> between the Category 1 responders operating in the areas at risk from these hazards. In identifying hazards LRAG and information from other responders should be used. See Annex 4B of <em>Emergency Preparedness</em> for guidance on using LRAG. (Central government threat statement in LRAG and the <em>National Risk Register</em> (NRR) identifies and analyses threats).</td>
</tr>
<tr>
<td></td>
<td><strong>Risk analysis</strong> – 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 <em>Emergency Preparedness</em> for ideas on how to approach these assessments.</td>
</tr>
<tr>
<td></td>
<td><strong>Risk evaluation</strong> – Collate likelihood and impact assessments for each hazard and the Central government threat statement and NRR to produce a CRR. This should determine the level of each risk by plotting likelihood against impact. See Annex 4E and F of <em>Emergency Preparedness</em> for guidance.</td>
</tr>
<tr>
<td></td>
<td><strong>Risk treatment</strong> – 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 Part 2 of this document).</td>
</tr>
<tr>
<td></td>
<td><strong>Monitor and review</strong> – A full and formal review of all risks on a four yearly cycle is recommended (4.54 of <em>Emergency Preparedness</em>).</td>
</tr>
<tr>
<td></td>
<td>(See the summary in Annex 4A of <em>Emergency Preparedness</em> for more details)</td>
</tr>
<tr>
<td>12)</td>
<td>Collaboration – see the collaboration section (Section G, page 36) for details</td>
</tr>
<tr>
<td>13)</td>
<td>Setting up a Risk Assessment Working Group (RAWG) to act as a forum for cooperation on risk assessment - 4.33 <em>Emergency Preparedness</em>.</td>
</tr>
</tbody>
</table>
### Indicators of good practice:

| Process                                                                 | 14) Being able to provide documentary evidence of a regular process for monitoring, reviewing and updating risk assessments. This should include:
|                                                                         |   
|                                                                         |   
|                                                                         | o audit trails recording any updates made;
|                                                                         | o version control;
|                                                                         | o a list of contributors; and
|                                                                         | o reference and list sources used – (this should include LRAG and any other government guidance – see A3 above).
|                                                                         |   
|                                                                         | This should enable you to ensure that you can demonstrate how the assessment derives from a rigorous investigation of local hazards and risks and provide evidence on how your risk assessments align with national and regional risk assessments and government guidance on risk assessments.
| 15) Risk assessment work is shared with and between LRA partners in a way which maximises the use of relevant expertise and minimises the duplication of effort. |   
| 16) 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. |   
| 17) Where appropriate encouraging your LRA partners to share your CRR or sections of it with other non-neighbouring LRAs. |   
| 18) Taking account of “out of area” hazards (including national, international and out of region) which could affect your organisation and its locality. |   
| 19) 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. |   
| Risk assessment |
B: Duty to maintain plans – Emergency Plans

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:**

<table>
<thead>
<tr>
<th>Emergency planning</th>
</tr>
</thead>
<tbody>
<tr>
<td>1) For the emergencies identified in risk assessments, considering:</td>
</tr>
<tr>
<td>o Whether they can be prevented 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 5.5 of <em>Emergency Preparedness</em> for some examples of prevention.</td>
</tr>
<tr>
<td>o Whether the effects of an emergency can be reduced, controlled or mitigated and how you might achieve this – 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 <em>Emergency Preparedness</em>).</td>
</tr>
<tr>
<td>o Whether any other action in relation to the emergency needs to be taken – 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 <em>Emergency Preparedness</em>).</td>
</tr>
<tr>
<td>2) Considering the extent to which particular types of emergencies will place demands on your resources and capacity – 5.52 in <em>Emergency Preparedness</em>.</td>
</tr>
</tbody>
</table>
3) 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 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. Guidance on how to involve the voluntary sector can be found in chapter 14 of *Emergency Preparedness*.

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 *Emergency Preparedness*. In summary, plans should include information on:
   - **Why the plan is needed** – plan description, its purpose and some reference to the risk assessment on which the plan is based.
   - **How the plan works** – 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.
   - **Who has responsibility in the plan (by title)** – The main emergency teams (from both within and outside the organisation), their roles and responsibilities.
   - **When the plan will be activated** – procedures for alerting, placing on standby and activating teams and a procedure for determining when an emergency has occurred.
   - **What will be done and by whom** – specific actions to be taken and how these contribute to the overall response, check-lists or aide memoirs.
   - **How to communicate with stakeholders** – i.e. a communication plan, including contact details.
   - **How to support staff** – training, exercising, briefings.
   - **A measure or standard** against which performance can be assessed.
   - **Crisis management from response through to recovery**.

A check-list of the minimum number of elements for a general plan appears in Annex 5b *Emergency Preparedness*. A similar list for specific plans is in Annex 5c.

You should also take into account the advice set out in Emergency Response and Recovery and advice published by Lead Government Departments and Agencies such as ACPO, CFOA and the LGA.
5) Ensuring that plans:
   - are concise and easy to use – They will need to be read and understood in challenging situations. They should introduce the reader to the topic in logical steps;
   - use consistent unambiguous terminology;
   - include references to other sources of information and supporting documentation; and
   - have a change control process and version control

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 *Emergency Preparedness* for guidance. *Identifying people who are vulnerable in a crisis – Guidance for Emergency Planners and Responders* provides further guidance.

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 *Emergency Preparedness* for guidance. *Evacuation and Shelter* and *Humanitarian Assistance in Emergencies* provides guidance on this.

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 *Emergency Preparedness*.

9) Treating emergency planning as a systematic and continuous process, and having a procedure for updating and maintaining plans to ensure that they reflect:
   - any changes in risk assessments (see the risk assessment section above);
   - lessons learned from exercises and emergencies
   - restructuring and changes in organisations, their procedures and technical systems identified in the plan; and
   - changes in key personnel - 5.170 - 5.175 in *Emergency Preparedness*
## Expectation and Indicators of Good Practice Set

### Emergency Planning

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 it without changing the deployment of resources or acquiring additional resources – Regulation 24 (2). This procedure must:
   - identify the person who should determine whether an emergency has occurred or enable that person to be identified;
   - specify the procedure that person should adopt in making the decision;
   - specify who should be consulted in making the decision; and
   - specify who should be informed once the decision has been made.

### Exercises and training

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 *Emergency Preparedness* provides further guidance.

12) Having debriefing sessions for exercises and any actual emergencies identifying lessons learnt. A lessons learned report should be produced and published for each exercise – 5.167 in *Emergency Preparedness*.

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).

### Publishing plans

14) Considering how to publish your plans – see the section on communicating with the public in this document (section D, page 22) for details.

### Issues to consider:

#### Plans

15) Considering whether to produce generic plans which relate to more than one emergency or type of emergency or whether to produce specific plans which relate to a particular emergency or type of emergency or whether to produce 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 *Emergency Preparedness* provides further guidance on types of plans and Annex 5A gives examples of generic and specific plans.
### Collaboration

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 *Emergency Preparedness*.

For more details on collaboration options see the collaboration section of this document (Section G, page 36).

### Indicators of good Practice:

<p>| | |</p>
<table>
<thead>
<tr>
<th></th>
<th></th>
</tr>
</thead>
</table>
| 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:
|   |   |
|   | o a record of key decisions made and agreed;  
|   | o a record of changes and modifications; and
|   | o a programme and schedule for future updates. |
| 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. |
| 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 ([www.skillsforjustice.com](http://www.skillsforjustice.com)) 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)

<table>
<thead>
<tr>
<th>Mandatory requirements:</th>
</tr>
</thead>
<tbody>
<tr>
<td>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:</td>
</tr>
<tr>
<td>o <strong>Which functions are critical?</strong> 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.</td>
</tr>
<tr>
<td>o <strong>What is an acceptable level of service in the event of this type of emergency?</strong> 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 <em>Emergency Preparedness</em>.</td>
</tr>
<tr>
<td>2) Identifying in what way the emergencies in your risk assessments threaten the performance of your organisation’s functions, especially critical activities – 6.14 <em>Emergency Preparedness</em>.</td>
</tr>
<tr>
<td>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 <em>Emergency Preparedness</em>.</td>
</tr>
</tbody>
</table>
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 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 *Emergency Preparedness* provides guidance on how to involve the voluntary sector.

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 *Emergency Preparedness*.

6) Ensuring that plans:
   - are short, simple and user friendly – they will need to be read and understood in challenging situations;
   - contain realistic assumptions;
   - include references to other sources of information and supporting documentation;
   - outline what action plans and check-lists are required and provide templates for producing these;
   - allocate ownership for key tasks;
   - have a change control process and version control; and
   - include a communications strategy (6.83 *Emergency Preparedness*).

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:
   - identify the person who should determine whether an emergency has occurred or enable that person to be identified
   - specify the procedure this person should adopt in making this decision;
   - specify who should be consulted in making this decision; and
   - specify who should be informed once the decision has been made (Regulation 24(3) and 6.20 in *Emergency Preparedness*).
<table>
<thead>
<tr>
<th>Expectation/Indicator</th>
<th>Description</th>
</tr>
</thead>
<tbody>
<tr>
<td>8)</td>
<td>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 <em>Emergency Preparedness</em>).</td>
</tr>
</tbody>
</table>
| 9)                     | Updating and maintaining BCPs in line with:  
  - any updates to your risk assessments (see the risk assessment section above),  
  - staff changes,  
  - organisational and structural changes,  
  - any changes in your functions,  
  - changes in supplier and contractual arrangements; and  
  - changing business objectives and processes - 6.27 *Emergency Preparedness*. |
|                        | BCM is a continuous process to help your organisation anticipate, prepare for, prevent, respond to and recover from disruptions (6.41 *Emergency Preparedness*) and you should review your understanding of the business and BCPs, including lessons learned from exercises and emergencies. |
| 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 *Emergency Preparedness*. |
| 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 *Emergency Preparedness*. |
| 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 *Emergency Preparedness*. |
### Publishing plans

13) How to publish your plans – see the section on communicating with the public of this document (section D, page 22) for details.

### Issues to consider:

#### Plans

14) Whether you produce generic plans which relate to more than one type of emergency or specific plans which relate to a particular emergency or type of emergency or you produce 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


16) Appointing an overall BCM co-ordinator and incorporating BCM in every manager’s responsibilities (6.51 [Emergency Preparedness](https://www.gov.uk/government/publications/contingency-plans-for-emergencies-uk)), 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 [Emergency Preparedness](https://www.gov.uk/government/publications/contingency-plans-for-emergencies-uk).

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 [Emergency Preparedness](https://www.gov.uk/government/publications/contingency-plans-for-emergencies-uk).

#### BCM

18) Collaboration – see the collaboration section (Section G, page 36) for further details.
<table>
<thead>
<tr>
<th>Indicators of good Practice:</th>
</tr>
</thead>
<tbody>
<tr>
<td><strong>Plans</strong></td>
</tr>
<tr>
<td>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.</td>
</tr>
</tbody>
</table>
| 20) Being able to provide documentary evidence of a regular process for monitoring, reviewing and updating BCPs. This should include:  
  - audit trails recording any updates made;  
  - version control;  
  - a list of contributors; and  
  - references and lists of sources used. |
| 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 ([www.skillsforjustice.com](http://www.skillsforjustice.com)) 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 in so far 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:**

<table>
<thead>
<tr>
<th>Publishing plans and assessments</th>
</tr>
</thead>
<tbody>
<tr>
<td><strong>1)</strong> 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.</td>
</tr>
</tbody>
</table>

| **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 *Emergency Preparedness*. |

| **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. |
5) Except where required to do so under the Regulations, not publishing or disclosing any sensitive information, except where required to do so under the Regulations, unless adequate permission has been granted to do so – Regulation 51.

Regulation 45 defines sensitive information as information that:
- 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).
- Evidence supplied by intelligence services falls into this category;
- would, or would be likely to if disclosed to the public, adversely affect public safety;
- would, or would be likely to if disclosed to the public, prejudice the commercial interests of any person; or
- is personal data within the meaning of the Data Protection Act 1998, and disclosure of it to the public would contravene that Act.

Adequate permission for the publication of sensitive information means (Regulation 51):
- For information relating to national security or public safety supplied indirectly or directly by one of the intelligence services – consent from a Minister of the Crown or the intelligence service which supplied the information.
- For information relating to national security or public safety NOT supplied indirectly or directly by one of the intelligence services - 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.
- 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 – consent from the person or organisation to whom the information relates.
- For personal data – consent from the person or organisation to which the information relates.

(Figure 3.1 in Emergency Preparedness.) Further guidance on data protection issues can be found in Data Protection and Sharing – Guidance for Emergency Planners and Responders.

Consent for sensitive information to be published may include conditions which must be adhered to (Regulation 51(4)(c)).

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.
<table>
<thead>
<tr>
<th>Warning and informing — in relation to your emergency plans</th>
</tr>
</thead>
<tbody>
<tr>
<td><strong>Sensitive information</strong></td>
</tr>
<tr>
<td>7) Having regard to any relevant emergency plan which you maintain when complying with the duty to warn and inform the public - Regulation 28.</td>
</tr>
<tr>
<td>8) Maintaining warning and informing arrangements for specific and/or generic emergencies - Regulation 29.</td>
</tr>
<tr>
<td>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.</td>
</tr>
<tr>
<td>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 <em>Emergency Preparedness</em> provides further guidance).</td>
</tr>
<tr>
<td>11) Raising public awareness by informing and educating the public about risks and emergency preparedness (pre-event) – page 97 <em>Emergency Preparedness</em>.</td>
</tr>
<tr>
<td>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 <em>Emergency Preparedness</em>.</td>
</tr>
<tr>
<td>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:</td>
</tr>
<tr>
<td></td>
</tr>
<tr>
<td></td>
</tr>
<tr>
<td></td>
</tr>
<tr>
<td></td>
</tr>
</tbody>
</table>
| 14) Having regard to the media (7.76 -7.80 *Emergency Preparedness*). For guidance on working with the media see the BBC’s *Connecting in a Crisis*.
### 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.

### Issues to consider:

17) Guidance in *Emergency Response and Recovery* and *The Ten Step Cycle – an informal guidance note*.

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:

- *survivors* – those in the immediate vicinity and directly affected, possibly as wounded casualties;
- *those who might be affected by the emergency* – those nearby who may need to take action to avoid further harm;
- *local people* – Those in the area who may be disrupted by the consequences of the emergency and clean-up process;
- *friends and relatives* – Those who are not directly affected but know or are related to those who might be;
- *the general public* – Those who are not affected but are concerned or alarmed about the wider implications or simply interested; and
- *the media.*

See 7.61 to 7.79 in *Emergency Preparedness* for guidance on the information needs of these groups.

### Presenting and publishing information

19) Present information in a way that is interesting so that people will want to read it. –7.35 *Emergency Preparedness.*

20) Consider what methods of communication should be used and who will deliver it. – 7.33 to 7.43, 7.84 to 7.86 *Emergency Preparedness.*
21) Considering how to address the needs of the following groups in your warning and informing arrangements:

- **Survivors and possible victims** – focus on what they need to do 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 *Emergency Preparedness*.

- **Local people, friends and relatives** – 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 *Emergency Preparedness*.

- **The wider audience** – agree what the main public messages will be and provide the media with as much relevant material as possible. 7.80 - 7.86 *Emergency Preparedness*.

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 *Emergency Preparedness*.

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 *Emergency Preparedness*.
### Media

24) Involving media players in exercises - 7.87 – 7.93 in *Emergency Preparedness*.

25) Being familiar with the media organisations in the LRA and developing good relations with them – 7.80 *Emergency Preparedness*. Box 7.7 lists the essential elements of media planning. These are:
- liaising with other Category 1 and 2 responders and organisations not captured by the Act and media/public liaison teams;
- identifying potential sites for media centres in the area;
- providing media training for potential spokespeople;
- providing suitable communications equipment for press office staff to work away from the office;
- making arrangements for mutual aid;
- providing for liaison with the appropriate Government News Network (GNN) regional office (WAG Press Office in Wales); and
- 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 GNN regarding VIP and ministerial visits to the scene of an emergency.

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 [http://www.ukresilience.gov.uk/response/media/mef.aspx](http://www.ukresilience.gov.uk/response/media/mef.aspx) and in box 7.8 in *Emergency Preparedness*.

### 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 *Emergency Preparedness*.

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 *Emergency Preparedness*. 
<table>
<thead>
<tr>
<th>Indicators of good Practice:</th>
<th></th>
</tr>
</thead>
<tbody>
<tr>
<td>29) Being able to prove that you have considered which target audience you are aiming at or addressing in publishing materials.</td>
<td></td>
</tr>
<tr>
<td>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 complements the response of responders. This is especially important among vulnerable groups.</td>
<td></td>
</tr>
<tr>
<td>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.</td>
<td></td>
</tr>
<tr>
<td>32) Using lessons learned from previous information campaigns to inform the development of future campaigns.</td>
<td></td>
</tr>
<tr>
<td>33) Setting up protocols with the media for warning and informing.</td>
<td></td>
</tr>
<tr>
<td>34) Having an agreed media strategy which identifies and trains key staff in dealing with the media.</td>
<td></td>
</tr>
<tr>
<td>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:</td>
<td></td>
</tr>
<tr>
<td>o <strong>secure and foolproof</strong> – with limits on who can access, update and send information in order to avoid false messages being sent;</td>
<td></td>
</tr>
<tr>
<td>o <strong>expandable</strong> – so that it is able to adapt and expand as required;</td>
<td></td>
</tr>
<tr>
<td>o <strong>reliable</strong> – 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;</td>
<td></td>
</tr>
<tr>
<td>o <strong>capable of coping with different types of data and information</strong> – including pre-written generic messages, media sources and numeric data in a number of different formats;</td>
<td></td>
</tr>
<tr>
<td>o <strong>linked to a variety of communication channels</strong>;</td>
<td></td>
</tr>
<tr>
<td>o <strong>auditable</strong>; and</td>
<td></td>
</tr>
<tr>
<td>o <strong>quick and simple to operate and update.</strong></td>
<td></td>
</tr>
<tr>
<td>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.</td>
<td></td>
</tr>
</tbody>
</table>
### 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)

<table>
<thead>
<tr>
<th>Mandatory requirements:</th>
</tr>
</thead>
<tbody>
<tr>
<td>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)).</td>
</tr>
<tr>
<td>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).</td>
</tr>
</tbody>
</table>
| 3) Providing advice and assistance which will allow organisations (business and voluntary) to make judgements on:  
  - the risks associated with emergencies; and  
  - their ability to positively affect their position in the event of an emergency  
  (8.61 *Emergency Preparedness*). |

Information likely to help organisation make these judgements includes information on:  
- the kind of disruptions which might occur as a result of the occurrence of emergencies;  
- the likely implications of arrangements in place to deal with these emergencies (including risk assessment, planning, recovery) for their organisation;  
- the steps they can take to prepare for or mitigate the effects of an emergency (e.g. implement BCM); and  
- sources of warnings, information and advice in the event of an emergency  
(8.62 *Emergency Preparedness*).
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 *Emergency Preparedness*).

5) Considering whether generic or specific BC advice is most appropriate. The table on page 119 and sections 8.69 to 8.76 *Emergency Preparedness* provides guidance on ways to give generic and specific advice and assistance, respectively.

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 *Emergency Preparedness*.


7) Cooperating with other local authorities in your area in carrying out the duty (Regulation 41).

8) In co-operating with other local authorities ensuring that:
   - the message given out is consistent;
   - the means of delivery are co-ordinated where appropriate;
   - external partners are not unduly burdened; and
   - lessons are learned and best practice is shared (8.43 *Emergency Preparedness*).

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 *Emergency Preparedness* provides some guidance on the types of advice other Category 1 responders provide.
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:
- regular discussion at working-level liaison groups;
- establishing an LRF subgroup; and
- discussions at LRF meetings
(8.81 in *Emergency Preparedness*).

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:
- representative groups;
- individual businesses;
- commercial BCM providers;
- agenda groups;
- professional bodies; and
- public sector partners.
(8.83 - 8.87 *Emergency Preparedness*).

<table>
<thead>
<tr>
<th>Issues to consider:</th>
</tr>
</thead>
<tbody>
<tr>
<td>12) Whether to provide advice to individual business as well as to the business community as a whole (Regulation 39(3)(b)).</td>
</tr>
<tr>
<td>13) Whether a targeted approach is adopted, considering whether the materials used are appropriate to the needs of the businesses targeted - 8.89 to 8.91 <em>Emergency Preparedness</em>.</td>
</tr>
<tr>
<td>14) Whether to provide advice to the voluntary community at large or provide advice to individual organisations separately (Regulation 40).</td>
</tr>
</tbody>
</table>
| 15) Which voluntary sector organisations are appropriate recipients of advice and assistance? To decide this you must consider:
  - whether the organisation carries out functions in the area in which you operate as a responder;
  - 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;
  - the number of staff employed by the organisation;
  - the turnover of the organisation;
  - 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)). |
### Expectation and Indicators of Good Practice Set

<table>
<thead>
<tr>
<th>Business continuity, Consultants and Charging</th>
</tr>
</thead>
<tbody>
<tr>
<td>16) 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)).</td>
</tr>
<tr>
<td>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 Emergency Preparedness). Further guidance on charging policy can be found on <a href="https://www.hm-treasury.gov.uk">www.hm-treasury.gov.uk</a>.</td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th>General</th>
</tr>
</thead>
<tbody>
<tr>
<td>18) Ensuring that BC advice dovetails with the business continuity work of other local responders with businesses and voluntary organisations – 8.49 Emergency Preparedness.</td>
</tr>
</tbody>
</table>

#### Indicators of good practice:

<table>
<thead>
<tr>
<th>BC promotion</th>
</tr>
</thead>
<tbody>
<tr>
<td>19) Having a clear policy for dealing with requests for detailed BC advice.</td>
</tr>
<tr>
<td>20) Making best use of staff with existing experience and responsibilities in liaising with local businesses and voluntary organisations.</td>
</tr>
<tr>
<td>21) Having a BC network or forums and regular meetings and engagement with key stakeholders.</td>
</tr>
<tr>
<td>22) Identifying any lessons learned by consulting a full range of stakeholders and taking these forward, reviewing and updating BC promotion arrangements if appropriate.</td>
</tr>
<tr>
<td>23) Making best use of the nationally provided promotional materials such as the Business Continuity Management Toolkit and examples of good practice.</td>
</tr>
<tr>
<td>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.</td>
</tr>
<tr>
<td>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.</td>
</tr>
<tr>
<td>26) Being able to demonstrate that you have targeted your BC promotion to the specific needs of the organisations being advised.</td>
</tr>
</tbody>
</table>
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)

<table>
<thead>
<tr>
<th>Mandatory requirements:</th>
</tr>
</thead>
<tbody>
<tr>
<td>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 <em>Emergency Preparedness</em>.</td>
</tr>
</tbody>
</table>
| 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:
  - the performance of a duty under section 2(1)(a) to (d) or 4(1) of the CCA; or
  - the performance of another function which relates to an emergency (Regulations 47 and 48). |

Annex 3A *Emergency Preparedness* provides a full description for procedures for requesting information and annex 3B provides a template for such requests.
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).

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)).

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).

6) Having arrangements in place for ensuring the confidentiality of sensitive information (Regulation 53(2)). This includes ensuring that:
   - sensitive information is clearly identified as such;
   - 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;
   - sensitive information is stored in a secure manner; and
   - sensitive information is transferred (including by electronic transfer) in a secure manner (Regulation 53).

*Security vetting and protective markings: a guide for responders* provides further guidance.
### Issues to consider:

<p>| | |</p>
<table>
<thead>
<tr>
<th></th>
<th></th>
</tr>
</thead>
<tbody>
<tr>
<td>7)</td>
<td>Whether the information you want to request is available by other means (i.e. through other legislative arrangements or through normal business arrangements)</td>
</tr>
</tbody>
</table>

### Indicators of good practice:

<table>
<thead>
<tr>
<th>Requesting information</th>
<th></th>
</tr>
</thead>
<tbody>
<tr>
<td>8)</td>
<td>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).</td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th>Sharing information</th>
<th></th>
</tr>
</thead>
<tbody>
<tr>
<td>9)</td>
<td>Where possible, channelling formal information requests through as small as possible a number of routes to avoid duplication. This might mean sharing information through the LRF or through Regional Resilience Forums (RRFs) or the Wales Resilience Forum (WRF).</td>
</tr>
</tbody>
</table>

<p>| | |</p>
<table>
<thead>
<tr>
<th></th>
<th></th>
</tr>
</thead>
<tbody>
<tr>
<td>10)</td>
<td>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.</td>
</tr>
<tr>
<td>11)</td>
<td>Collectively developing an information sharing protocol within your LRF.</td>
</tr>
</tbody>
</table>
### 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)

<table>
<thead>
<tr>
<th>Mandatory requirements:</th>
</tr>
</thead>
<tbody>
<tr>
<td>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)).</td>
</tr>
<tr>
<td>2) In organising LRF meetings members should have regard for those members who are likely to participate in more than one LRF - 2.6 <em>Emergency Preparedness</em>.</td>
</tr>
<tr>
<td>3) Attending LRF meetings or ensuring that you are effectively represented.</td>
</tr>
<tr>
<td>To be effectively represented:</td>
</tr>
<tr>
<td>o Not every Category 1 organisation needs to be represented directly at every meeting unless their work is to be discussed.</td>
</tr>
<tr>
<td>o Representatives should be senior and experienced enough to be able to speak with authority.</td>
</tr>
<tr>
<td>o 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.</td>
</tr>
<tr>
<td>o Representatives should be aware of the proceedings of LRF subgroups (if they exist) and 2.10 <em>Emergency Preparedness</em>).</td>
</tr>
<tr>
<td>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)).</td>
</tr>
</tbody>
</table>
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)).

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:
   - the completion of agreed risk profiles, through a Community Risk Register;
   - 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
   - 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.
   (2.7 *Emergency Preparedness*).

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)).

Forms of direct and bilateral cooperation between two or more Category 1 and Category 2 responders may include:
   - risk assessment;
   - development of a plan for one responder;
   - development and agreement of a multi-agency plan;
   - exercising of one responder’s plan or a multi-agency plan and sharing lessons learned; and
   - warning and informing arrangements, including publicity in relation to plans
   (2.20 -2.22 *Emergency Preparedness*).
Outside the LRF

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:
   - sharing information in relation to risk assessments and plans, direct and bilateral cooperation;
   - considering the joint discharge and delegation of functions (Regulation 8);
   - considering setting up protocols for collaborative working (Regulation 7); and
   - adopting the lead responder principle (Regulations 9 to 11).

Issues to consider:


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:
   - a general working group;
   - risk assessment groups;
   - telecoms sub-groups;
   - capabilities groups;
   - area groups;
   - responder groups by sector;
   - specialist groups;
   - existing standing groups; or
   - project groups – further guidance can be found in 2.59 of *Emergency Preparedness*.
   Each subgroup should have a clear purpose.

12) Collectively agreeing a LRF chair. The chair should be able to:
   - take on the job on a permanent basis;
   - speak with authority about the forum area and civil protection issues;
   - be able to commit sufficient time to prepare fully for forum meetings; and
   - act as a lead contact for information cascaded from the regional and national levels (2.52 in *Emergency Preparedness*).
13) Collectively agreeing to have an LRF secretariat which is responsible for:
   - fixing meeting dates;
   - agreeing agendas;
   - organising the production and circulation of any papers;
   - briefing the chair;
   - taking minutes;
   - following up matters arising and action points;
   - ensuring LRF sub-group meetings are effectively organised and recorded and do not clash with other subgroup meetings or the LRF meeting; and
   - ensuring relevant matters from these subgroups are raised in the LRF meeting

(2.54 Emergency Preparedness).

The secretariat should be able to:
   - take on the job on a permanent basis;
   - be of a level of seniority to support the chair;
   - have a back-up administration team; and
   - be competent to organise or support officers from other organisations

(2.55 Emergency Preparedness).

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.

15) Whether to set up protocols with other responders (both within and outside your LRA as appropriate) to support plans and to ensure a more reliable delivery of needed resources in the context of an emergency.

16) Whether to jointly carry out a duty under 2(1) with another responder (Regulation 8).

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:
   - Lead responders should cooperate, consult and keep other Category 1 responders in the LRA informed (Regulation 10).
   - 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.
## Indicators of good practice:

<table>
<thead>
<tr>
<th>Within the LRF</th>
<th>Outside the LRF</th>
</tr>
</thead>
<tbody>
<tr>
<td>18) Treating the LRF as a strategic level group.</td>
<td>25) Organising stakeholder satisfaction surveys to measure how well you are working with them.</td>
</tr>
<tr>
<td>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.</td>
<td>26) Engaging with responders, other organisations involved in civil protection (e.g. voluntary organisations and the military) and LRFs outside your LRA.</td>
</tr>
<tr>
<td>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).</td>
<td>27) Engaging with responders, other organisations involved in civil protection (e.g. voluntary organisations and the military) as part of normal business practice.</td>
</tr>
<tr>
<td>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.</td>
<td>28) Establishing mutual aid agreements. For guidance on local authority mutual aid agreements see Mutual Aid: A short guide for Local Authorities (due to be published in December 2008).</td>
</tr>
<tr>
<td>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.</td>
<td>29) Through direct and bilateral collaboration, requesting that other Category 1 and 2 responders take part in your exercises.</td>
</tr>
<tr>
<td>23) Identifying lessons learned from collaboration with other responders and drawing these to the attention of the LRF.</td>
<td></td>
</tr>
</tbody>
</table>
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)

<table>
<thead>
<tr>
<th>Mandatory requirements:</th>
<th></th>
</tr>
</thead>
<tbody>
<tr>
<td>Inside and outside LRF</td>
<td>1) Cooperating directly with Category 1 responders to assist them in the performance of all aspects of their duties under the CCA (2.21 Emergency Preparedness).</td>
</tr>
<tr>
<td></td>
<td>2) As far as is reasonably practical attending LRF meetings or sending an appropriate representative, if invited to do so (Regulation 4).</td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th>Indicators of good practice:</th>
<th></th>
</tr>
</thead>
<tbody>
<tr>
<td>Inside the LRF</td>
<td>3) 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).</td>
</tr>
<tr>
<td></td>
<td>4) 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.</td>
</tr>
<tr>
<td>Outside the LRF</td>
<td>5) Organising stakeholder satisfaction surveys to measure how well you are working with them.</td>
</tr>
</tbody>
</table>
Part 2: Expectations relating to the Resilience Capabilities Programme

13. The Resilience Capabilities Programme is the core framework through which the Government is seeking to build resilience 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).

14. 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.

15. 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)

<table>
<thead>
<tr>
<th>Category</th>
<th>Requirements</th>
</tr>
</thead>
</table>
| Food and Water    | ⇒ Be familiar with local water companies' and the local food industries' business continuity planning arrangements.  
                     ⇒ Be aware of *Planning for Major Water and Wastewater Incidents in England and Wales: Generic Guidance* (Guidance No. NSE 141). |
| Transport         | ⇒ Responders should familiarise themselves with local transport operators' business continuity planning arrangements. |
| Health            | ⇒ Be familiar with local health services' **business continuity planning arrangements**.         |
| Financial services| ⇒ Be aware of **business continuity arrangements** in this sector.                                |
| Utilities         | ⇒ 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 *Business Continuity Management for Fuel Shortages Guidance for organisations*.  
                     ⇒ Be aware of the **Electricity and Gas Priority User Arrangements** and how local utility providers feature in them.  
                     ⇒ Be familiar with local utility providers' **business continuity planning arrangements**. |
### B. Functional workstreams (Category 1 responders)

<table>
<thead>
<tr>
<th>Category</th>
<th>Expectations</th>
</tr>
</thead>
<tbody>
<tr>
<td>Humanitarian Assistance</td>
<td>⇒ Be familiar and have regard to the non-statutory <em>Humanitarian Assistance in Emergencies</em> guidance and in particular <em>Humanitarian Assistance Centre arrangements</em>.&lt;br&gt;⇒ Be aware of the functions of the voluntary and business sector in your area&lt;br&gt;⇒ Engage with both adult and children’s social care departments in developing humanitarian assistance plans.</td>
</tr>
<tr>
<td>Flooding</td>
<td>⇒ Have specific flood plans – a multi-agency plan is likely to be the most appropriate.&lt;br&gt;⇒ Link flood plan activation procedures to specified triggers, for example severe weather warnings and flood warnings.&lt;br&gt;⇒ Share information in accordance with good practice and statutory procedures on the location of vulnerable people and facilities that are in danger of flooding.&lt;br&gt;⇒ Maintain specific evacuation procedures for all communities within Flood Zone 2 areas.&lt;br&gt;⇒ 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.&lt;br&gt;⇒ Have effective humanitarian aid arrangements in place to provide shelter and temporary accommodation to those affected by flooding for up to 12 months.&lt;br&gt;⇒ Maintain on-site and off-site emergency plans to mitigate flood risks to critical infrastructure (all essential service assets) within Flood Zone 2.&lt;br&gt;⇒ Adequately cover the risk of losing essential services due to 'severe flooding' in emergency and business continuity plans.</td>
</tr>
<tr>
<td>Infectious Disease</td>
<td>⇒ Establish a multi disciplinary planning committee which specifically addresses Pandemic Influenza preparedness planning and preparedness testing.&lt;br&gt;⇒ Have regard to <em>Pandemic Influenza planning guidance</em> in maintaining and updating emergency plans.</td>
</tr>
<tr>
<td>Expectation and Indicators of Good Practice Set</td>
<td></td>
</tr>
<tr>
<td>---</td>
<td>---</td>
</tr>
</tbody>
</table>
| **Animal and Plant Disease** | ⇒ Have regard to DEFRA’s generic Statutory Bluetongue Plan and Statutory Rabies Plan guidance when planning for major animal diseases.  
⇒ Engage with Animal Health.  
⇒ Understand the structure for crisis management of an animal disease outbreak which is different than that for other kinds of civil contingencies. |
| **Mass Casualties** | ⇒ Have Mass Casualty Plans – multi-agency plans are likely to be most appropriate.  
⇒ Include surge capacity to allow for increased capacity in critical clinical specialities e.g. burns, paediatrics in Mass Casualty Plans.  
⇒ 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** | ⇒ Establish a LRF Mass Fatalities Planning Group to develop strategic planning and response.  
⇒ Have Mass Casualty Plans which identify:  
  • the level of fatalities that can be managed at a local level without mutual aid or central assistance;  
  • special local and regional arrangements to supplement local arrangements;  
  • 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. |
| **Evacuation & Shelter** | ⇒ Have evacuation and shelter plans – multi-agency plans are likely to be most appropriate. These should have regard to the non statutory Evacuation and Shelter guidance and should reflect the local risk priorities identified in the CRR.  
⇒ 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** | ⇒ Have Site Clearance Plans which are compatible with the Guidance on development of a site clearance capability in England and Wales. |

---

6 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.
| **Informing, Warning and Alerting** | ⇒ Follow *The Ten Step Cycle – an informal guidance note* to ensure effective warning, informing and awareness raising measures are in place.  
⇒ Ensure that a Lead Responder has been identified for all areas of public messaging. |
| **CBRN** | ⇒ Have CBRN plans – multi-agency plans are likely to be most appropriate. These plans should be in line with the *National Security Strategy*.  
⇒ Establish mutual aid arrangements with other responders and LRFs. |
| **Recovery** | ⇒ Have Recovery Plans that are in line with *National Recovery Guidance*, (using the Recovery Plan Guidance Template as a guide.) |

16. All plans referred to in this table should be reviewed, updated and tested through exercises as outlined in Part 1 of this document.

17. 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.
Annex A: Glossary of terms and acronyms.

**ACPO**
Association of Chief Police Officers

**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 emergencies that affect their sector.

**CBRN**
Chemical, Biological, Radiological, Nuclear

**CCA**
Civil Contingencies Act (2004)

**CCS**
Civil Contingencies Secretariat

**CFOA**
Chief Fire Officer Association

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

**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.

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

**Emergency**
An event or situation which threatens serious damage to human welfare in a place in the UK or to the environment of a place in the UK or war or terrorism which threatens the security of the UK. 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 emergency.

GNN
Government News Network

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.

HMIC
Her Majesty’s Inspectorate of Constabulary.

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 (LRA)
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 under 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 to act under the Civil Contingencies Act, usually relating to the issuing of guidance, regulation and monitoring.

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.

RAWG
Risk Assessment Working Group

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

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.

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 Coordination 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 assessment, 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.
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.

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.

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

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

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
www.bbc.co.uk/connections


Freedom of information advice:
www.informationcommissioner.gov.uk


National Occupational Standards for Civil Contingencies, Skills for Justice
www.skillsforjustice.com

National Recovery Guidance, Department of Communities and Local Government and Cabinet Office, October 2007,

National Risk Register, Cabinet Office, August 2008

National Security Strategy - Security in an interdependent world, Cabinet Office, March 2008,
http://www.cabinetoffice.gov.uk/reports/national_security_strategy.aspx

Northern Ireland Civil Contingencies Framework
http://www.ofmdfmni.gov.uk/nicivilcontingenciesframework.pdf

Planning for Major Water and Wastewater Incidents in England and Wales: Generic Guidance, DEFRA, October 2006,
http://www.ukresilience.gov.uk/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

Statute Law
www.statutelaw.gov.uk