L A P
Local Authorities' Panel

LONDON Resilience

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Paper 03f

Interim Assurance Process

## 1. Introduction

This paper provides LAP with an update on the development of an Interim Assurance Process (IAP), which it approved in July 2018.

The IAP encapsulates capacities and capabilities identified through a review of Risk Assessments and Planning Assumptions and existing national and regional standards and expectations. It has been developed in consultation with a range of practioners, including members of LAPIG and the Minimum Standards for London (MSL) Working Group and it was approved at LAPIG on 26th September 2018.

The IAP comprises two documents, which are enclosed in this pack as Appendix A and B:

A. IAP Guidance – instructions on how boroughs should complete the IAP self-assessment return
B. IAP Self-Assessment Record – a spreadsheet, into which boroughs and London Resilience Group (LRG) record their current situation

Following approval by LAP, the IAP will be circulated to boroughs and LRG to complete and return by Friday 2nd November. Returns will be subject to a Director-led peer challenge at the sub-regional group meetings, before returning to LAP in early 2019.

**Recommendations**

- **LAP endorse the interim assurance approach detailed in this Paper.**

- **LAP notes the next steps of a sub-regional peer challenge before the outcomes of the IAP return to LAP in early 2019.**

## 2. Conclusion

If endorsed, and subject to completion by boroughs and LRG, and subsequent peer challenge, the IAP will offer assurance to chief officers of the level their borough's capacity and capabilities to respond to an emergency. It will also offer assurance on the collective ability of Local Authorities to respond to an emergency, which inlcudes the key role provided by LRG. Lastly, the process will also highlight areas of good practice from which boroughs may further develop their arrangements.

# London Local Authorities

# Interim Assurance Process: Guidance

London Local Authorities Assurance Development
(Stage 2 Initial Activity)

Version 0.6 DRAFT

October 2018

# Interim Assurance Process: Guidance

# Introduction

The Sean Ruth Report (February 2018, Recommendation 14) identified the need for London Local Authorities (LLAs) to enhance the assurance of their preparedness and capability to provide a response in support of members of public to, and lead the recovery of the community from, Emergencies[1] in their administrative areas. As a result, LAP approved significant changes to the current Minimum Standards for London (MSLs) and set in motion a process to replace them with Resilience Standards for London by the autumn of 2019. More than just a change of name, the RSLs will focus on operational capacity and capability (i.e. assuring a Borough's response rather than that it has followed due process in developing its response arrangements). The RSLs will be developed over an 18-month period, including in-depth consultation with a range of key stakeholders.

While RSLs are developed, LAP agreed that Boroughs will complete an Interim Assurance Process (IAP) to maintain the momentum with developments identified in the light of Grenfell, London Bridge and other recent major incidents. The IAP itself will offer Boroughs their first taste of the revised assurance standards, with a focussing 'Immediate Response Capabilities'[2]. It draws on range of sources, including the National Risk Assess and National Resilience Planning Assumptions, London Local Authorities (LLA) Concept of Operations (CONOPS) and EP2020.

## Aim

To give assurance that London Local Authorities have the base level capacity and capability to provide an immediate response to civil emergencies, in line with their statutory responsibilities, while a longer-term, strategic view of resilience standards takes place.

## Objectives

- That the time required from Boroughs to complete the IAP is proportionate to both its 'interim' status and the time requirements for Boroughs created by Standardisation
- To help Borough transition towards RSLs
- To help verify Borough progress towards Standardisation
- To help verify Borough progress towards the EP2020 targets

## The IAP timeline

- LAPIG review of IAP (26th September)
- LAP review of IAP (10th October)
- IAP published (11th October)
- Complete the IAP, gain organisational approval of the Borough's response and then submit to the London Resilience Group (by the end of October)
- Attend your respective sub-regional group meeting to participate in a peer challenge session (mid-November, dates to be confirmed by LRG)

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[1] In this paper, 'emergencies' and 'Emergency Planning' cover 'civil emergencies'( i.e. events that have a significantly negative impact on a combination of the health, environment, economic and social aspects to members of public in your administrative area) instead of other emergency events such as a fire and evacuation of your council offices.

[2] 'Immediate Response Capabilities' – as identified in EP2020, Target 25 a).

## Interim Assurance Process: Guidance

# Guidance

## Layout of the IAP Record spreadsheet

Split into two tabs, the spreadsheet captures a Borough's response to the self-assessment. The tabs contain the following content:

1. **Document control** – key document information, such as version number, and the place to record the details of who has completed the self-assessment and those who participated in the organisational sign-off process.
2. **Self-Assessment Record** – contains the capacity and capability requirements and the space into which you provide your organisation's response.

In the worksheet 'Self-Assessment Record', columns A-E provide Boroughs with the following information:

A.  *#* – Reference number
B.  *Category* – the primary driver/source of the requirement, split into:
    - *EP2020*
    - *Preparatory work for Standardisation*
    - *Immediate Response Capabilities*
C.  *Requirement* – the expected Immediate Response Capability
D.  *Supporting information* – information to explain and set out more detail about the requirements
E.  Assurance expectations – to help Boroughs, this column offers a steer on what 'Meet Expectations', and in some cases 'Exceeds expectations, may look like. It also sets out 'evidence expectations', to achieve consistent substantiation of the situation in each Borough

Boroughs complete Columns F-H:

F.  Borough: Assurance Response – use the drop down list to record your answer from the available options
G.  Borough: Rationale and evidence – justify the answer given in column F and list evidence that supports your position
H.  Borough: Notes – space in which to record additional information not captured elsewhere.

## How to complete the 'Self-Assessment Record'

Read the information in columns A-E before populating columns F-H.

### Column F – Assurance response

Using the enclosed spreadsheet, complete each line based on the current situation (e.g. staff, resources and plans) and not an expected future position. Use the following scoring criteria:

| Criteria | Description |
| --- | --- |
| Developing | Work in progress to develop and embed the capacity and/or capability |
| Established | The capacity or capability meets the stated requirements and is embedded within the organisation |
| Advanced | Has a capacity or capability over and above that which is stated in the IAP. This does not mean a council is over-prepared, as the scale may be linked to a particular local risk. What is important is that there is accepted rationale for the capacity and capability. |
| Not applicable | This requirement is not applicable to the borough. Even here, provide rationale to support your response. |

A key part of 'established' is that documentation (policies, plans, procedures, etc.) is up-to-date and training and exercises have taken place recently. This means within the last 12 months or within a reasonable period following major incident.

# Interim Assurance Process: Guidance

## Column G - Rationale and Evidence

Provide rationale for every response, even where you determine that a requirement is 'not applicable' to your Borough. List all supporting evidence, too. Note: do not submit copies of your evidence with the spreadsheet. Instead, evidence should be available for subsequent scrutiny, including at the sub-regional peer challenge sessions.

## Column H - Notes

Record in this column any other additional information. This may include questions that you wish to be raised as part of the Sub-Regional Peer Challenge process.

## Additional information

Throughout, references to **'core emergency response roles'** cover: Council Gold; Council Silver; Resilience Advisor; Loggist; LALO; BECC Manager; BECC Message Handler; BECC Loggist; BECC Info Officer; BECC Officer; Comms Link Officer; Service Link Officer. It also includes Emergency Centre Manager & Senior Humanitarian Assistance Officer, which are due for roll out in 2019 and, therefore, it is acknowledged that returns in this area may lean towards 'developing'.

## Pre-submission checklist

Before submitting your completed self-assessment, check the following list of expected activity:

- ☐ Have you filled in the details of the person completing the self-assessment?
- ☐ Have you filled in the details of the senior management approval and elected member review?
- ☐ Have you provided a response to every line of the self-assessment, including any you believe to be 'not applicable'?
- ☐ Have you provided rationale for every line of the self-assessment?
- ☐ Have you provided a list of evidence to support your response and rationale?
- ☐ Have you gained approval from senior management?
- ☐ Have you received political oversight to the self-assessment return?

# Document Control

| Document title | IAP Self-Assessment Record (Borough Name) |
|---|---|

| Template Document Control | |
|---|---|
| Template Version | 0.6 |
| Template Status | DRAFT |

Official use only

| Borough Document Control (sefl-assessment submission) | |
|---|---|
| Borough's version number | |
| Borough's status (DRAFT/APPROVED) | |
| Date of last update | |

For boroughs to remaintain version control while completing the self-assessment (prior to submission for peer challenge)

| Completion Record (self-assessment) | |
|---|---|
| Name of person completing the self-assessment: | |
| Role of person completing the self-assessment: | |
| Date of completion: | |

For boroughs to record details of the person who completes the self-assessment (prior to submission for peer challenge)

| Organisational Approval Record (self-assessment) | |
|---|---|
| Name of Chief Executive or delegated authority who approved the self-assessment | |
| Role of approver | |
| Date of approval | |

For boroughs to record the details of the person who approves the self-assessment return (prior to submission for peer challenge)

| Borough Document Control (peer challenge) | |
|---|---|
| Borough's version number | |
| Borough's status (DRAFT/APPROVED) | |
| Date of last update | |

For boroughs to maintain version control during the peer challenge process, where their responses may need to change

| Member Awareness (after peer challenge process) | |
|---|---|
| Name of elected Member breiefed about the self-assessment return | |
| Role of elected Member (e.g. Leader of the Council or portfolio holder for Emergency Planning) | |

For boroughs to record which elected Member(s) have scrtutised/been briefed on the final version of the self-assessment (after peer

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# IAP Self-Assessment Record (Borough)

| | | | | | Boroughs do not complete columns A-E | | Boroughs to complete columns F, G and, where required, H | | |
|---|---|---|---|---|---|---|---|---|---|
| # | Category | Requirement | Supporting information | Assurance expectations | | | Assurance Response | Rationale and Evidence | Notes |
| 1.1 | Governance | **The authority has taken to Corporate Management Board a paper that outlines how it will improve resilience, taking into account the EP2020 targets** | In doing so, the Local Authority has ensured senior management is aware of the pressures facing, and recommendations to enhance, Local Authority resilience in preparation for the anticipated challenges of the next decade.<br><br>April 2018 revised edition of EP2020 includes the recommendations from the Sean Ruth report. | **Established:** Paper to Corporate Management Board on the improvements required to resilience, which incorporates relevant EP2020 targets.<br><br>**Advanced:** Local, borough-level work plan to deliver EP2020 targets.<br><br>**Evidence expectations:** Minutes of Corporate Board meeting or email from CEO confirming approval of EP2020 targets. | | | |
| 1.2 | Governance | **The authority has a Director with responsibility for resilience** | Reporting into Corporate Management Board and holding budgetary responsibilities, Directors are best placed to drive forward improvements in resilience. This should include EP2020 targets that are for implementation at the local/borough level. This is likely to be the Director who attends the sub-regional grouping meetings. | **Established:** Board assigns the responsibility for resilience to a Board-level Director.<br><br>*Evidence expectations: Minutes of Corporate Management Board meeting or email from CEO confirming the lead Director for resilience* | - | | |
| 1.3 | Governance | **The authority has a suitable governance structure for resilience, under which it can implement resilience across the organisation** | A defined governance structure for resilience, with links to the Director with responsibility for resilience, through which the local-level improvement plan is monitor and steered. The structure may be stand-alone or incorporated into existing structures. For the latter, terms of reference should include responsibilities for resilience. | **Established:** An agreed governance structure for resilience.<br><br>*Evidence expectations: Documented governance structure, which may be in the form of a flow diagram, terms of reference for relevant groups and committee and/or an email from the CEO that confirms the governance structure for resilience .* | - | | |
| 2.1 | Standardisation | **Corporate Management Board has approved the transition to a standardised approach** | This includes:<br>• Amending the Borough's Generic Emergency Plan to align with the LLA Concept of Operations (CONOPS) and the Standardised Emergency Plans<br>• Introduction of the Standardised arrangements, covering:<br>  o BECC Management Procedures<br>  o Local Authority Liaison Officer Procedures<br>  o Emergency Centres Plan and the four Standard Operating Procedures (Survivor Reception Centre; Rest Centre; Family & Friends Reception Centre; and Humanitarian Assistance Centre)<br>• Training LA staff in the above Emergency Plans, using the standardised training course content<br><br>Transition must complete by September 2019. | **Established:** Board briefed on the timeline for standardisation and has approved the proposed changes and timescales.<br><br>*Evidence expectations: Minutes of Corporate Board meeting or email from CEO.* | - | | |
| 2.2 | Standardisation | **The authority has sufficient local resources to deliver the transition activity within the timetable agreed by the Local Authority Panel (LAP).** | Implementation is expected to take place from July 2018 to September 2019, concluding with Exercise Preparer 2019. LLA CONOPS (and amendments to Generic Emergency Plan), BECC Management Procedures and LALO in first tranche (July 2018-May 2019). Emergency Centres in second tranche (May-September 2019)<br><br>Transition must complete by September 2019. | **Established:** The organisation has evaluated that it has available the necessary resources required for transition to standardisation.<br><br>*Evidence expectations: Documented programme of work, identifying the volume of activity and the resource(s) designated to complete each phase of work.* | - | | |
| 3.1 | IRC - notification, situational awareness, assessment and activation | **The authority is able to maintain a 24/7 watching brief for signs of an incident. This includes a 24/7 single point of contact to whom notifications of emergencies may be issued by other agencies.** | Single point of contact may include a call centre, duty officer or similar. Where a caller leaves a message, it is returned within 5 minutes.<br><br>Links with 'Monitoring': LLA CONOPS, paragraph 24(i). | **Established:** A robust, 24/7 single point of contact that is trained to receive notifications of incidents and use METHANE to record and then forward the notification information.<br><br>*Evidence expectations: Detail of the 24/7 point of content within the Generic Emergency Plan, approved by Corporate Management Board. Records of staff training for relevant emergency response staff. Exercise record, validating the robustness of the process.* | - | | |

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|---|---|---|---|---|---|---|---|
| 3.2 | IRC - notification, situational awareness, assessment and activation | **Prior to activating its emergency response arrangements, the authority can gather information about a potential (nearby) incident and, where required:**<br>**- assess the strategic impact and brief Council Gold;**<br>**- give an early warning to its services; and**<br>**- share information about the incident with partner organisations (local and regional)** | This is likely to be carried out by a duty officer, such as Council Silver and/or LALO. This person receives the initial notification of a potential/nearby incident and take steps to understand its potential scale. Mechanisms exist to notify core council services of the incident. Core council services have a 24/7 single point of contact for incident notification. Mechanisms exist to assess the strategic impact and brief Council Gold. Mechanisms exist to be able to share information about the incident with other organisations within the borough and across London, including via the London Local Authority Coordination Centre (LLACC).<br><br>Links with 'Information Sharing and Communications': LLA CONOPS, paragraph 24(ii). | **Established:** Officers with this responsibility have been trained and the process tested to gather information about a new/potential incident and the deployment of a council response/activation of council resources.<br><br>*Evidence expectations: Generic Emergency plan or associated procedure details how the authority gathers information about an incident, assesses the impact of the incident and alerts its service areas/departments. Generic Emergency plan or associated procedure details how the authority shares information with partner organisations. Records of staff training for relevant emergency response staff. Exercise record, validating the robustness of the process.* | - | | |
| 3.3 | IRC - notification, situational awareness, assessment and activation | **Following declaration of a Major Incident, the authority can escalate its operational arrangements to Level 3 'Incident Response and Coordination' within 120 minutes/2 hours.** | Within this timescale, it is suggested the Boroughs can meet the following sub-timescales:<br>• 30 minutes - Council Gold and Council Silver to be available to receive a briefing about the incident, either over the telephone or face-to-face.<br>• 60 minutes - deploy a LALO to the scene to attend the Forward Control Point (MSL 2016)<br>• 120 minutes - provide the core BECC functions of borough Situational Awareness, Information Management and resource coordination (as defined in the standardised BECC Management Procedures and LLA CONOPS).<br>• 120 minutes - Council Gold and Silver Groups able to convene (teleconference or face-to-face)<br>• 120 minutes - notify, brief and deploy the department-level response<br><br>Links with 'Incident Response and Coordination': LLA CONOPS, paragraph 24(iii), with timings taken from MSL 2016 and LLACC Operating Procedures where previously defined.<br>Core command and control structure is detailed in the LLA CONOPS, Appendix A. | **Established:** Demonstrable evidence that the authority has a plan which it can implement to be able to activate its arrangements within the defined period of time following declaration of a Major Incident.<br><br>*Evidence expectations: Generic Emergency plan or associated procedures/plans sets out the organisation's C&C Structure, plus details the activation processes for the roles, including checklists/action cards providing details of staff initial and ongoing activities. Records of staff training for relevant emergency response staff. Exercise record, validating the robustness of the process.*<br>*NB. If your borough works to different timescales, please provide these in your response. This includes: Council Gold; Council Gold Group; Council Silver; Council Silver Group; Resilience Advisor; Loggist; BECC; LALO.* | | | |
| 3.4 | IRC - notification, situational awareness, assessment and activation | **The authority is able to deploy core departmental services in response to an emergency for at least the first 48 hours of an incident** | These services include:<br>• Communications<br>• Highways<br>• Building Control<br>• Environmental Health<br>• Social Care<br><br>Departments maintain Business Continuity Plans and other emergency procedures which define their role in the response to a civil emergency, while maintaining the provision of core services to residents outside the emergency response. | **Established:** Departments maintain a system/process by which they can be notified of and respond to an incident, and can maintain their response for at least 48 hours.<br><br>*Evidence expectations: Departmental plan(s) or associated procedures/sets out the way in which the Department activates and provides its services for 48 hours. Records of staff training for relevant Departmental emergency response staff, showing numbers to cover 48 hours. Exercise record, validating the robustness of the process to activate and then maintain services for up to 48 hours. Departmental Business Continuity Plans which detail critical services and how these will be maintained in the face of pressure from the emergency response and where a Department's operations are directly affected by the emergency e.g. total loss of a care home from fire.* | - | | |

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| 3.5 | IRC - decision making and recording incident information | **Gold and Silver levels can make and record decisions in a consistent manner** | A defined and documented decision making process, in which it is made clear what decisions need to be recorded and how decisions should be made and recorded. Process is applicable to the Gold and Silver levels within the local authority's command and coordination structure.<br><br>Example decision making processes included the JESIP JDM - https://www.jesip.org.uk/joint-decision-model<br><br>Good practices suggests the record of a decision should be uniquely numbered and, as a minimum, captures:<br>• The decision required<br>• Situation at the time of the decision (i.e. the context of the decision)<br>• The options and whether each option was chosen and the rationale for this<br>• Name, role and signature of the person making the decision<br>• Time & date of the decision | **Established:** A procedure that guides decision making, including a decision log template, for Gold and Silver level staff. Relevant staff have been trained in the procedure, and have demonstrated their ability to adhere to procedure.<br><br>*Evidence expectations: Generic Emergency plan or associated procedure details how the authority makes and records decisions. Template Decision Record. Records of staff training for relevant emergency response staff. Exercise record, validating the robustness of the process.* | - | | |
| 3.6 | IRC - decision making and recording incident information | **The authority maintains personal logs for decisions and actions** | Log should capture events and actions specific to a role in relation to an incident. It may be either electronic or paper based with a suitable back-up log available. There should be a clear process by which the authority can retain information relating to the incident (including the Incident Log). | **Established:** Incident Log (primary and backup) either paper or electronic, with staff trained in its use and a process by which the log is retained after the conclusion of the incident.<br><br>*Evidence: Template personal log (primary and backup). Training records for staff the BECC Loggist. Documented process through which incident information is retained, including the log. Exercise record, validating the quality of the log keeping. Repository of information relating to all previous incidents.* | - | | |
| 3.7 | IRC - decision making and recording incident information | **The authority is able to maintain an incident (BECC) log, detailing key events and actions for the organisation during an incident.** | Log should capture events and actions relating to the incident. It should adopted the expectations set out in the BECC Procedures. It may be either electronic or paper based with a suitable back-up log available. There should be a clear process by which the authority can retain information relating to the incident (including the Incident Log). | **Established:** Incident Log (primary and backup) either paper or electronic, with staff trained in its use and a process by which the log is retained after the conclusion of the incident.<br><br>*Evidence: Template log (primary and back-up). Training records for staff the BECC Loggist. Documented process through which incident information is retained, including the log. Exercise record, validating the quality of the log keeping. Repository of information relating to all previous incidents.* | | | |
| 3.8 | IRC - Coordination | **Council Gold is able to set, monitor and amend a working strategy for the emergency response.** | Those at Council Gold level can create a strategy that best fits the situation. They can monitor the success and continued suitability of the strategy and, where required, amend the strategy to fit a revised situation. | **Established:** Council Gold has been trained and tested in the writing, monitoring and amending of a working Strategy.<br><br>**Evidence** *expectations: Generic Emergency plan or associated procedures/sets out the responsibilities and associate actions for Council Gold in relation to setting, monitoring and amending Strategy. Records of staff training for relevant emergency response staff. Exercise record, validating the robustness of the process.* | | | |
| 3.9 | IRC - Coordination | **Council Silver is able to set, monitor and amend a tactical plan for the emergency response.** | Those at Council Silver level can develop a Tactical Plan that details how the organisation will strive to meet the Strategy set by Council Gold. Council Silver is able to monitor the success and continued suitability of the Tactical Plan and, where required, amend it to fit a revised strategy. | **Established:** Council Silver trained and tested in the writing, monitoring and amending of Tactical Plans.<br><br>**Evidence expectations:** *Generic Emergency plan or associated procedures/sets out the responsibilities and associate actions for Council Silver in relation to setting, monitoring and amending Tactical Plans. Records of staff training for relevant emergency response staff. Exercise record, validating the robustness of the process.* | | | |

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| 3.11 | IRC - Humanitarian Support | The authority is able to maintain a sufficient number of staff for core emergency response roles to respond for 48 hours. These staff are suitably trained, equipped and empowered to fulfil their respective role. | Core emergency response roles (minimum number in brackets):<br>• **Council Gold** (4)<br>• **Council Silver** (4)<br>• **Resilience Advisor** (varies by the size of the Emergency Planning team)<br>• **Loggist** (one for Council Gold, another for Council Silver = 8)<br>• **LALO** (4)<br>• **BECC Manager** (4)<br>• **BECC staff** (4 per role: BECC Message Handler; BECC Loggist; BECC Info Officer; BECC Officer)<br>• **Comms Link Officer** (4)<br>• **Service Link Officer** (4 trained in each department)<br><br>Training provided meets the Training Needs Analysis expectations of frequency, quality and quantity. Equipment Needs Analysis identified the required equipment and other supporting resources.<br><br>* Staff numbers per role per 24 hours based on 3 staff working 8-hour shifts plus 1 reserve. Assumes 'on-call' role. If a pooling approach is used, the number of required staff is likely to increase, and should be based on risk assessment. | **Established:** Roles are documented, staff are trained and the robustness of the procedures for each role has been tested.<br><br>*Evidence expectations: Documents detailing the roles and responsibilities. Up-to-date Training and Equipment Needs Analyses for each role. Records of staff training for relevant emergency response staff, showing number of staff available for each role. Duty rosters, where relevant.* | - | |
| 3.12 | IRC - Humanitarian Support | The borough has identified suitable emergency centre locations across its area and has in place arrangements to use these locations | Pre-identified locations, with arrangements in place to contact the keyholder/gain access to the venue, may help ensure Emergency Centres can be opened without delay. | **Established:** A list of locations within the borough that includes keyholder/access details, which regularly updated and is held by relevant emergency response staff (e.g. Council Silver and the BECC)<br><br>*Evidence expectations: A list of venues, which includes contact and access details, the address and capacity and limitations of the venue. List updated regularly (annually as a minimum) and available to emergency response staff in either hard or soft copy.* | - | |
| 3.13 | IRC - Humanitarian Support | The authority is able to open and operate a Rest Centre, and support the Police in their operation of a Survivor Reception Centre and Family and Friends Reception Centre (FFRC), for 48 hours:<br>• SRC, staff deployed at earliest opportunity, maximum deployment-to-site time of 3 hours<br>• RC, open within 3 hours<br>• FFRC, timings in line with opening of the Police Casualty Bureau | Minimum number of trained staff* for the combined requirements of SRC, RC and FFRC:<br>- **Emergency Centre Manager** (12)<br>- **Emergency Centre Officer** (36, which assumes a minimum of 3 ECOs per centre<br><br>RC: Local Authorities are responsible for setting up and operating this centre type.<br><br>SRC and FFRC: The Police are the lead organisation, with the Local Authority playing a crucial supporting role. The Police should set up the centre, with Local Authorities providing staff for a range of roles that support centre users.<br><br>Source: Emergency Centres Plan and associated Standard Operating Procedures<br><br>* Staff numbers per role per 24 hours based on 3 staff working 8-hour shifts plus 1 reserve. Assumes 'on-call' role. If a pooling approach is used, the number of required staff is likely to increase, and should be based on risk assessment. | **Established**: Demonstrable evidence that the timescales can be met and all roles suitably filled, trained and equipped. Rationale and organisational approval for any deviations from the recommended number of staff.<br><br>*Evidence expectations: Emergency Centre Plans, that detail how the authority opens and operates a SRC, RC and FFRC. Action cards for staff roles. Records of staff training for relevant emergency response staff. Exercise record, validating the robustness of the process to activate within timescales.* | - | |
| 3.14 | IRC - Humanitarian Support | The authority is able to open and operate a Humanitarian Assistance Centre within the agreed timescale of 72 hours | Local Authorities are responsible for setting up and operating this centre type. Boroughs use the services of voluntary agencies, primarily the British Red Cross, in addition to other relevant agencies e.g. transport provider involved in the incident, Cruse Bereavement Care, the Association of British Insurers and Citizens Advice Bureau.<br><br>Minimum number of trained staff* for the HAC:<br>- **Senior HA Officer** (4)<br>- **Emergency Centre Manager** (as there is limited overlap with SRC, RC and FFRC, boroughs do not require additional ECMs for the HAC)<br><br>Source: Emergency Centres Plan and associated Standard Operating Procedures<br><br>* Staff numbers per role per 24 hours based on 3 staff working 8-hour shifts plus 1 reserve. Assumes 'on-call' role. If a pooling approach is used, the number of required staff is likely to increase, and should be based on risk assessment. | **Established:** Demonstrable evidence that the timescales can be met and all roles suitably filled, trained and equipped. Rationale and organisational approval for any deviations from the recommended number of staff.<br><br>*Evidence expectations: Emergency Centre Plans, that detail how the authority opens and operates a HAC. Action cards for staff roles. Records of staff training for relevant emergency response staff. Exercise record, validating the robustness of the process to activate within timescales (noting unlikely to be 'live play' exercise due to comparatively high costs of activating a HAC)* | - | |

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| 3.15 | IRC - Humanitarian Support | **Able to identify vulnerable people or other special interest groups who require targeted information** | Special interest groups e.g. schools and care homes along high-pressure pipeline routes under Pipeline Safety Regulations (see PSR 'Further guidance on emergency plans for major accident hazard pipelines' para 39).<br>This may see the BECC collating information from a range of service areas include Social Care and Housing.<br><br>It is a given that this activity complies with any GDPR and Information/IT Security expectations. | **Established:** A process detailing the roles responsible for the identification of vulnerable people and special interest groups, the robustness of which has been demonstrated.<br><br>*Evidence expectations:* *Generic Emergency plan or associated procedure details how the authority identifies vulnerable people and other special interest groups. Records of staff training for relevant emergency response staff. Exercise record, validating the robustness of the process.* | - | | |
| 3.16 | IRC - Humanitarian Support | **The authority is able to process the receipt, storage and onward dissemination of physical donations.** | Part of the humanitarian and community assistance response, Boroughs should expect to receive physical (as well as financial) donations. The scale of physical donations has shown to overwhelm the responders e.g. following London riots in 2010.<br><br>Links with EP2020 Target 19 | **Established:** A documented process to receive, sort, store and disseminated physical donations, with clarity around responsible council teams. Process has been demonstrated to be robust.<br><br>*Evidence expectations:* *Generic Emergency plan or associated procedure details how the authority will receive, store and disseminated physical donations. Storage locations may have been identified and documented, or, instead, a process to identify storage locations at the time of the incident. Records of staff training for relevant emergency response staff in the use of the process. Exercise record, validating the robustness of the process.* | - | | |
| 3.17 | IRC - Humanitarian Support | **The authority is able to complete a Humanitarian Assistance Impact Assessment** | The requirement to complete a Humanitarian Assistance Impact Assessment forms part of the Humanitarian Assistance framework. It forms a core part of the process through which the need to activate various types of Humanitarian Assistance is made. | **Established:** A documented process to complete a Humanitarian Assistance Impact Assessment, with staff trained in the process, and have tested the robustness of these processes.<br><br>*Evidence expectations:* *Generic Emergency plan or associated procedure details how the authority completes a Humanitarian Assistance Impact Assessment. Responsible emergency response role identified in the procedure. Template form. Records of staff training for relevant emergency response staff in the use of the process. Exercise record, validating the robustness of the process.* | - | | |
| 3.18 | IRC - Augmenting the emergency response | **The authority is able to coordinate convergent volunteer council staff and re-task staff to support the emergency response.** | Convergent volunteers are those who are not part of a pre-identified group. Instead, they are staff who, at the time of an incident, make it known that they are available and would like to assist.<br><br>This assumes the organisation has an agreed process by which it can instruct staff who are not carrying out a critical business activity to support the response to an emergency. In addition, it assumes there is supporting policy and job descriptions/contracts that permit the movement of staff around the organisation as required during an emergency.<br><br>From a practical perspective, training, equipment and other requirements may limit the ability to re-tasking someone at the time of an incident to another task/role. Therefore, re-tasking of staff should be guided by risk assessment.<br><br>e.g. Camden instructed all staff in non-critical roles to support the response to Chalcots Tower fire. | **Established:** A process that describes who is responsible for collating offers of support from council staff, before coordinating the deployment of the volunteers. The process should include a risk assessment. The robustness of the process has been demonstrated.<br><br>*Evidence expectations:* *Generic Emergency plan or associated procedure details how the authority coordinates convergent council volunteers. Records of staff training for relevant emergency response staff. Exercise record, validating the robustness of the process.* | - | | |

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| | | | | Established: Scheme of Delegations or similar empowers the LALO to represent the organisation and coordinate resources. LALOs have demonstrated their ability to act in such as role.<br><br>Evidence expectations: Generic Emergency plan, associated procedure or Scheme of Delegations which details the role of LALO and its level of authority, approved by Corporate Management Board. Records of staff training for relevant emergency response staff. Exercise record, validating the robustness of the LALO role to represent the council and coordinate its resources at the scene of an incident. | | | |
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| 3.19 | IRC - Coordination | LALO is empowered to represent the organisation and is suitably competent to coordinate on-scene local authority resources | Source: LLA CONOPS and LALO Procedures. | | | | |
| 3.2 | IRC - Coordination | The authority is able to establish and maintain a control centre for the duration of an incident. | In line with LLA CONOPS and BECC Management Procedures, the Borough Emergency Control Centre coordinates local authority resources, manages information, maintains situational awareness, produces situation reports and processes requests for mutual aid. The authority maintains primary and secondary/fall back BECC locations<br><br>Minimum staffing: BECC Manager and BECC Officer.<br>Full staffing: BECC Message Handler; BECC Loggist; BECC Info Officer; BECC Officer; Comms Link Officer; Service Link Officer. | Established: All BECC roles exist in procedures, staff have been trainined in their roles and the robustness of procedures and the BECC locations tested via exercise.<br><br>Advanced: e.g. Most, if not all, BECC roles are on-call. All standardised BECC roles adopted, with staff trained.<br><br>Evidence expectations: Borough Emergency Control Centre procedures which details how the authority sets up and operates its control centre. Staff cards, with initial and ongoing actions for BECC roles. Clarity on areas such as Information Management and Situational Awareness. Records of staff training for relevant emergency response staff. Exercise record, validating the robustness of the procedure and function of the BECC. | - | | |
| 3.21 | IRC - Communication | The authority has a communications strategy to enable the scaling up of communications arrangements for the purpose of warning and informing members of the public about the risks of the emergency and the available (council) support services using a range of media. | Be able to produce regular messages and communicate these to members of public in your administrative area via the most appropriate tools, which include social media, council website, news media and face-to-face via street walkers.<br><br>Other communications objectives include the ability to carry out the following on a 24/7 basis:<br>• monitor and, where appropriate, communicate via social media<br>• provide interviews via radio, television or other medium<br>• release a holding statement at the earliest stages of an incident (i.e. within 1 hour)<br>• amend the council website<br>• receive and respond to media enquiries | Established: A communications officer on-call and able to escalate a full comms response within 2 hours of notification.<br><br>Evidence expectations: Communications Strategy, approved by Corporate Management Board (may be included in the Generic Emergency Plan and or a Corporate Crisis Communications Plan). Plans/Procedures which detail how the authority produces regular messages and the various options to communicate these with members of the public. Records of staff training for relevant emergency response staff. Exercise record, validating the robustness of the communications process. | - | | |
| 3.22 | IRC - Communication | The authority has the means by which it ensure senior politician(s) are notified of and can remain sighted on the incident impact and the borough's response | Senior politicians may include the Leader of the Council, Deputy Leader or other member of Cabinet including the Portfolio Holder(s) for Emergency Planning and Business Continuity. Initial notification by Council Gold, with ongoing briefings by either Council Gold or the Council's Communications Team. | Established: Council Gold role includes responsibility to brief senior politicians.<br><br>Evidence expectations: Generic Emergency plan or associated procedure details the role of, and to activate, a senior elected Member. Records of training for relevant senior elected Members in their role. Exercise record, validating the robustness of the process. | - | | |
| 3.23 | IRC - Communication | The authority has the means by which it can communicate at any time of the day or night with all staff about an incident | This may include notifying staff of an incident in order to seek volunteers to support the response or to be able to provide updates to all staff on the impact of the incident to the community or council operations. | Established: A formalised process to communicate with staff, which has been shown to be robust. Staff with responsibilities within the process are appropriately trained and equipped.<br><br>Evidence expectations: Documented process to communicate with staff, including procedure for responsible staff to follow. Staff training records. Record of its successful use, either in exercise or real incident. | - | | |

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| 3.24 | IRC - Augmenting the emergency response | **The authority is able to make an appropriately authorised bilateral or multilateral mutual aid request within 2 hours of identifying the need for support.** | Bilateral mutual aid requests are direct between two boroughs<br><br>Multilateral mutual aid is disseminated across London by the LLACC. The LLACC collates responses, which are passed back to the requesting borough.<br><br>Use the approved mutual aid form. Local discretion on the level of authorisation, though this is likely to be the CEO, Council Gold or someone with delegated authority.<br><br>Out of scope: the process by which mutual aid staff and resources are received, inducted and used to support the council's response to the emergency, as this is unlikely to form part of the immediate response. | **Established:** Documented mutual aid process underpinned by Council Silver, Council Gold and BECC roles available to implement the process.<br><br>***Evidence expectations:*** *Generic Emergency plan or associated procedure details how the authority makes a request for mutual aid, before coordinating the responses and then any loaned staff or other resources. The process includes references to the role of Council Gold to authorize requests. Records of staff training for relevant emergency response staff in the use of the process. Exercise record, validating the robustness of the process.* | - | | |
| 3.25 | IRC - Augmenting the emergency response | **When sharing staff with other authorities, the authority is able to quickly confirm the training history its staff** | It is essential that, when loaning staff to other authorities, you can verify their suitability for the requested role. This includes the ability to check training records in short order. | **Established:** BECC has access to training records of core Emergency Response roles.<br><br>**Advanced:** Without delay, the BECC can obtain the training records of all staff.<br><br>***Evidence expectations:*** *Generic Emergency plan or associated procedure details how the authority can confirm its staff emergency response training records as part of the mutual aid process. Records of staff training for relevant emergency response staff in the use of the process, which may include HR staff if they have a role in this process. Exercise record, validating the robustness of the process.* | - | | |
| 3.26 | IRC - Augmenting the emergency response | **The authority has agreed its approach to using voluntary organisations as part of its response to emergencies** | Voluntary agencies offer great value to the response, augmenting that which is provided by a local authority. Like any external organisation representing the authority, use of voluntary organisation's should be define within emergency response plans and joint training and exercising to demonstrate the robustness of the voluntary sector involvement.<br><br>Engagement with voluntary sector is direct or via the Borough Resilience Forum. | **Established:** Where voluntary organisations form a part of the emergency response, the Generic Emergency Plan or associated procedure details how they will be part of the response, including their role and scope of involvement. Joint training and exercises have taken place.<br><br>***Evidence expectations:*** *Generic Emergency plan or associated procedures details how the authority involves voluntary organisations in their response to emergencies. Where the role is formalise, records of joint staff training for relevant emergency response staff in the use of the process. Record of joint exercising, validating the robustness of the use of voluntary organisations. Minutes of BRF meetings where relevant.* | - | | |
| 3.27 | IRC - Community Engagement | **The Prevent Lead or equivalent is able to monitor, identify and report on community tension** | Tensions may lead to conflict, which has implications to emergency planning. Cohesion contingency plans exist to prevent the threat of imminent cohesion-related disorder from becoming a reality and to limit the extent and impact of cohesion related disorder when it does occur. Community tension can be reported into the council's Major Incident response and recovery structures.<br><br>Links to Guidance for local authorities on community cohesion contingency planning and tension monitoring, 2008. | **Established:** Has a multi-agency tension monitoring group, led by officer(s) from the local authority and/or the local police force, which feeds information into Council Silver via the BECC. Relevant council staff are trained on their role and the plan validated via exercise.<br><br>***Evidence expectations:*** *Documented capability in relation to the process of monitoring, identifying and reporting on community tension in partnership with local stakeholders. Staff training records. Record of the exercise or real incident that demonstrates of the robustness of the plan.* | - | | |

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| 3.28 | IRC - Community Engagement | **The authority has a plan for how it would engage with and support a community response** | For example, the authority maintains details of key networks and stakeholders in its faith and voluntary sectors, has identified their capacities, capabilities and resources and can communicate with the community.<br><br>Linked to EP2020 Target 6. | **Established:** Engagement with key networks and stakeholders means information, including contact details the key networks and stakeholders in the community and an awareness of the way in, and extent to, which the community can respond to an incident, is available to emergency response staff. The plan also details how the council should work with the community during times of emergency.<br><br>*Evidence expectations: Documented details of key networks and individual stakeholders from faith and voluntary sectors, which are available to emergency response staff. Staff training records in relation to the community engagement plan. Robustness of the community engagement arrangements validated by exercise.* | - | | |

# IAP Self-Assessment Record (LRG)

| | | | | | LRG does not complete columns A-E | | | LRG completes columns F, G and, where required, H | |
|---|---|---|---|---|---|---|---|---|---|
| # | Category | Requirement | Supporting information | | Assurance expectations | Assurance Response | Rationale and Evidence | | Notes |
| 1.0 | IRC - notification, situational awareness, assessment and activation | Able to maintain situational awareness and receive notifications about incidents, and assess severity of incident and activate appropriate level of response | LRG able to receive information about incidents 24/7, make an assessment about the severity and role of LLACC and LLAG. Where necessary, activate LLACC and LLAG within timescales and to the level agreed in LLACC and LLAG procedures. In other words, LLACC at Level 1. | | **Established:** 24/7 point of contact arrangements. Documented notification, assessment and activations procedures, on which staff have been trained and the robustness of the procedures tested by exercise. *Evidence expectation: Up-to-date procedures. Staff training records, showing recent training. Exercise records, showing recent exercises* | - | | | |
| 1.1 | IRC - notification, situational awareness, assessment and activation | From activation by the LLACC Manager, the maximum time for the LLACC to escalate operational arrangements from Level 1 to 3 will be two hours | Levels defined in LLAG Operations – Guidance for Boroughs and LLACC Operating Procedures, version 9: *Level 3 - "An incident has occurred and regional mutual aid coordination is required and/or a Strategic Coordination Group (SCG) has been convened Descriptor:* *- The LLACC establishes a formal situation reporting tempo* *- The LLACC coordinates mutual aid* *- The LLACC deploys appropriate resources to support LLAG at SOR or alternative SCG location"* Note: This links to IAP requirement 1.3 below. | | **Established:** Documented activation procedures, on which staff have been trained and the robustness of the procedures tested by exercise. *Evidence expectation: Up-to-date procedures. Staff training records, showing recent training. Exercise records, showing recent exercises which validate activation timings.* | - | | | |
| 1.2 | IRC - Communication | Able to message all boroughs about potential or occurring pan-London emergencies within 10 minutes of the decision to activate | Maintain sufficient staff who can access the mass messaging system, who are trained on the procedure to use the system for communicating with boroughs. Use of the system is controlled by a procedure to gain appropriate authorisation for an all borough message. | | **Established:** Documented procedure, with training records for staff who have been granted access to the mass messaging system. A mass messaging system with adequate levels of system resilience. Mass messaging process and system tested via exercise within last 6 months. *Evidence expectations: Up-to-date procedures. Staff training records, showing recent training. Exercise records, showing recent exercises* | | | | |
| 1.3 | IRC - Coordination | Maintain the London Local Authority Coordination Centre (LLACC), a control centre that supports the collective Local Authority response to an incident | The LLACC shall be equipped to meet the agreed communication tools, including: • Broadband Internet (independent of WAN with a direct exchange powered line). • Landline Phone (direct exchange-powered line) • Landline Fax (direct exchange-powered line) • Airwave (with LA Interop Talk groups) • Satellite phone (optional) • London Situational Awareness Tool • Resilience Direct • Resilience Direct Mapping It shall have responsibility to shared situational awareness for London's Local Authorities, on behalf of LLAG. There shall be a fallback solution, which offers core functions of the LLACC. | | **Meets expectations:** A nominated venue and fallback option, for which procedures detail how to access the venue and operate the LLACC's equipment and systems. Staff trained on operating the LLACC. Robustness of LLACC procedures tested via exercise. *Evidence expectations: Up-to-date procedures for the LLACC, covering location, opening and operating procedures and guidance on using the equipment. Staff training records, showing recent training. Exercise records, showing recent exercises* | - | | | |

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| 1.4 | IRC - Coordination | **LRG maintains suitably trained and equipped emergency response staff, who are able to deploy within expected timescales** | Staff includes:<br>- LLACC Manager (4, of which sufficient are available to support the opening of the LLACC within 2 hours)<br>- LLACC Officers (24, of which sufficient are available to support the opening of the LLACC within 2 hours)<br>- LLACC Manager (able to deploy to the SCG within 2 hours)<br>- LLACC Advisors (cadre of 8 trained officers)<br><br>All roles holders have been suitably trained and have access to information and equipment deemed necessary to fulfil the role. | **Established:** Roles are documented, staff are trained and the robustness of the procedures for each role has been tested. 2-hour deployment time to SCG has been proven.<br><br>*Evidence expectations: Documents detailing the roles and responsibilities. Up-to-date Training, Information and Equipment Needs Analyses for each role. Records of staff training for relevant emergency response staff, showing number of staff available for each role. Duty rosters, where relevant.* | - | | |
| 1.5 | IRC - Coordination | **Maintain a cadre of London Local Authority Gold (LLAG) Chief Executive Officers** | Includes:<br>- LLAG Operating Procedures<br>- training and exercises on the LLAG role for Chief Executives,<br>- a 24/7 roster of Duty LLAGs (primary and secondary). | **Meets expectations:** Documented procedures for LLAG role, with associated training and exercises to verify the robustness of the procedures.<br><br>*Evidence expectations: LLAG Procedure, recently reviewed. Training records for Chief Executives. LLAG roster, providing primary and secondary LLAGs. Exercise record for the LLAG role.* | - | | |
| 1.6 | IRC - Coordination | **LRG maintains the capability to provide strategic support and guidance to LLAG, remotely or at the Special Operations Room (SOR)** | Maintain a suite of LLAC Operating Procedures, and the following resources:<br>• Laptop computer with interne access<br>• LFB network access<br>• Airwave handset with LLAG talk group<br>• London Situational Awareness Tool (LSAT)<br>• Resilience Direct access including mapping tool<br><br>Staff must be trained in their role and the use of the above equipment. Testing via exercise of staff procedures and the equipment.<br><br>The LLACC Manager can provide support to the LLAG in terms of knowledge about and access to partnership and LA pan-London frameworks and processes. Detail on Local Authority services from LLAG and Deputy LLAG. | **Established:** Roles and resource processes are documented, staff are trained and the robustness of the procedures for each role has been tested.<br><br>*Evidence expectations: Documents detailing the roles and responsibilities. Up-to-date Training and Equipment Needs Analyses. Records of staff training for relevant emergency response staff, showing number of staff available for each role. Duty rosters, where relevant.* | - | | |
| 1.7 | IRC - Augment the emergency response | **LRG able to support local authority multi-lateral mutual aid process** | Provision of staff and other resources to coordinate requests for and offers of mutual aid. | **Meets expectations:** Documented procedure, on which staff are trained and have tested, detailing the role of LRG to support multi-lateral mutual aid.<br><br>*Evidence expecations: Up-to-date procedures. Staff training records, showing recent training. Exercise records, showing recent exercises* | - | | |

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