

EMERGENCY PLANNING JOINT COMMITTEE

AGENDA

Friday, 20 May 2011

at 1.00 pm

**at The Emergency Planning Unit,
Aurora House, Middlesbrough**

MEMBERS: EMERGENCY PLANNING JOINT COMMITTEE:-

Hartlepool Borough Council:-

The Mayor, Stuart Drummond

Middlesbrough Borough Council:-

Councillor Julia Rostron

Redcar and Cleveland Borough Council:-

Councillor Dave McLuckie

Stockton Borough Council:-

Councillor Terry Laing

1. **APOLOGIES FOR ABSENCE**
2. **TO RECEIVE ANY DECLARATIONS OF INTEREST BY MEMBERS**
3. **TO RECEIVE THE RECORD OF DECISION IN RESPECT OF THE MEETING HELD ON 4 MARCH 2011** (Previously circulated)

4. **ITEMS FOR DECISION**

- 4.1 Ambulance Service – *Chief Emergency Planning Officer*
- 4.2 Review on EPU Performance Indicators 2010/11 – *Chief Emergency Planning Officer*
- 4.3 CEPU Annual Plan 2011 – 2012 – *Chief Emergency Planning Officer*
- 4.4 Strategic Business Plan 2011 – 2014 – *Chief Emergency Planning Officer*
- 4.5 2010/11 Revenue Outturn Report – *Chief Finance Officer, Hartlepool BC*
- 4.6 2010/2011 Annual Audit Return – *Chief Finance Officer, Hartlepool BC*
- 4.7 Exercise Water mark Initial Findings - *Chief Emergency Planning Officer*
- 4.8 Reported Incidents / Cleveland Communications Strategy - *Chief Emergency Planning Officer*
- 4.9 Humanitarian Assistance Strategic Guidance - *Chief Emergency Planning Officer*
- 4.10 Keeping the Country Running: Natural Hazards and Infrastructure - *Chief Emergency Planning Officer*

5. **DATE AND TIME OF NEXT MEETING**

Next meeting date to be confirmed.

CLEVELAND EMERGENCY PLANNING UNIT

Report to: Emergency Planning Joint Committee

Report from: Chief Emergency Planning Officer

Date: 20th May 2011

Subject: **AMBULANCE SERVICE**

1. PURPOSE OF REPORT:

- 1.1 A discussion paper for Members of the Emergency Planning Joint Committee to consider the concerns of elected members and members of the public on the operation by the North East Ambulance Service (NEAS), particularly following the transfer of the Tees Control Room to Tyneside.

2. BACKGROUND

- 2.1 At the meeting of the Emergency Planning Joint Committee on 4th March 2011, Members discussed the operation of NEAS and it was agreed that Members would ascertain feedback from their within their respective local authorities and report back to the meeting.
- 2.2 Members will recall that the area of Cleveland has been serviced by three ambulance services over recent years, firstly the Cleveland Ambulance Service, then Tees East and North Yorkshire Ambulance Service (TENYAS) and from 2006 the North East Ambulance Service (NEAS). Until 2009, the Tees area had its own Control Room, firstly at Venture House in the grounds of St Luke's Hospital, Marton Road, Middlesbrough and for five years at Police Headquarters, Ladgate Lane, Middlesbrough. The NEAS Control at Bernicia House, Newburn, Newcastle now has responsibility for directing ambulances within the Tees Division.
- 2.3 The North East Ambulance Service (NEAS) Control Room at Bernicia House, Newburn was opened in March 2008 and initially controlled all ambulance response in Northumberland, Tyne and Wear and Durham and Darlington area. Since mid 2009, it has also controlled ambulance responses in the Cleveland area. The Control Room at Bernicia House replaced the old premises at Panther House, Amethyst Road, Scotswood, Newcastle, which is presently "mothballed".

AGENDA ITEM: 4.1

- 2.4 NEAS have also leased an industrial unit at Hebburn on Tyneside which will be used by various departments and be a multi-purpose unit housing internal training, CBRN commitment, HART Team, and also a multi-purpose Contact Centre as part of the "Gateway to Health" facility. This centre would also be used as the fall back Control Room if the service at Bernicia House was disrupted, having the capacity to take emergency response calls and dispatch ambulances. It can also be used to run major incidents and be the control of the Patient Transport Service (PTS).

3. AMBULANCE RESPONSE

- 3.1 At present there are 142 (full time equivalent) staff based at Bernicia House covering a three shift pattern (days, nights, day off) over a 24 hour period, 365 days per year. Shifts are 12 hours long.
- 3.2 The process is that when a person contacts the Ambulance Control, the call is picked up by a "Call Taker" who follows a set "question triage" procedure to determine caller's details, where they are calling from incident type and urgency of call. The message is then given to a "Dispatcher" who determines the nearest available ambulance/car and directs it to the incident. Within the Control Room, there are a number of Dispatchers designated to particular areas, for example a number of Dispatchers will have responsibility for the Cleveland area, whilst others will deal with Durham, etc. As such, it is believed that the 'Dispatchers' have obtained a wealth of knowledge of the local area to which they are designated.
- 3.3 Response times are 8 minutes from the first ring of the telephone in the Control Room to arrival at the scene for category "A" incidents. Examples of category "A" incidents include patients with chest pains, patients with breathing difficulties or who are unconscious. Response times are 19 minutes for other incidents – category "B".

4. FACTORS THAT MAY IMPACT UPON THE CLEVELAND AREA

- 4.1 There are a number of issues which Members may wish to consider:
- Is there evidence that the transfer of the Tees Control Room has compromised resilience in the Cleveland area?
 - Has the perceived loss of local knowledge of Control Room staff on Tyneside been realised?
 - Is there evidence that the Control Room operators do not understand the large and differing risks and risk scenarios within the Cleveland area?
 - Is there inadequate knowledge by Control Room staff of the risks and dangers associated with incidents at the chemical sites and/or

AGENDA ITEM: 4.1

nuclear power station, which are peculiar to Cleveland simply because of the number of top tier COMAH sites and the vast array of chemicals manufactured, processed or stored on these sites?

- In respect of health and safety of ambulance staff, do Control staff understand the need to obtain wind speed and direction and details of the chemicals involved to avoid exposing ambulance crews to potential harm and ensuring “safe routes” are sought?
- Has training been given to Control staff to overcome the issues raised?
- Ambulance Control is an integral contributor to the operation of both the Cleveland Communications Strategy and the Chemical Emergency Advice Scheme (CEAS). Is there evidence that this involvement has been lost or diluted, as there are not similar schemes within the rest of the area covered by NEAS?
- A mistake by a Dispatcher who does not have the necessary detailed knowledge of the area could escalate an incident and result in damage to the reputation of NEAS.
- The new legislation on Corporate Manslaughter is a factor which should have received consideration by NEAS management / board.

4.2 Risks associated with the Cleveland area include the following but the list is not exhaustive.

- Chemical Industry – 35 top tier sites regulated by the Control of Major Accident Hazard Regulations (COMAH). Cleveland is “home” to the second largest chemical complex in Europe.
- Chemical Transportation – previous surveys show that at least 700 road tankers, most carrying hazardous material, start and finish a journey in Cleveland each day. Further, the Wilton International site expects to cater for an estimated 1000 road tankers and other heavy goods vehicles arriving daily at the site in future years.
- Hartlepool Nuclear Power Station.
- Transportation of spent nuclear fuel rods.
- Flooding incidents, either from fluvial, tidal or coastal events. There are a number of identified “hot spots” across Cleveland which could suffer severe flooding.
- Oil and chemical pollution on land, river, sea or air which would affect people and the environment.
- Pipeline incidents – a large number of pipelines transverse the Cleveland area carrying various hazardous chemicals and gases either in liquid or gas form. Cleveland is “home” to three major ethylene pipelines. One of the main gas pipelines from the North Sea and the Ecofisk North Sea oil pipeline both come ashore in Cleveland.
- Rail movements – although not part of the main east coast rail line, there are several branch lines.

5. RECOMMENDATION:

5.1 This briefing report is for consideration by Members of the EPJC.

Report Author: Denis Hampson
Chief Emergency Planning Officer

Report dated: 6th May 2010

CLEVELAND EMERGENCY PLANNING UNIT

Report to: Emergency Planning Joint Committee
Report from: Chief Emergency Planning Officer
Date: 20th May 2011
Subject: **REVIEW ON EPU PERFORMANCE INDICATORS
2010/11**

1. PURPOSE OF REPORT:

To inform the Joint Committee of the results and progress made on achieving the performance indicators set in the 2010/11 Annual Plan of the Cleveland Emergency Planning Unit.

2. BACKGROUND:

- 2.1 To manage and continually improve our service and performance and determine if the Emergency Planning Unit is meeting its aims and objectives, a number of realistic and meaningful performance indicators were set through which we could monitor and review the progress and performance of the EPU.
- 2.2 This report details the progress made towards achieving those performance indicators during the period 1st April 2010 to 31st March 2011.
- 2.3 Administrative processes enable the performance indicators to be effectively monitored and the indicators are also a standing item on the agenda for the EPU team meetings. They also form part of the discussions on the three monthly work programme individually agreed between each of the Emergency Planning Officers and the Chief Emergency Planning Officer.
- 2.4 There were a total of 24 performance indicators shown in the Annual Plan for 2010/11 and all indicators have been achieved, either in full or in part. All of the indicators had several targets within them. However, all the significant targets being achieved satisfactorily.
- 2.5 Emergency Planners have striven to achieve these performance indicators and this provides evidence of the commitment of the staff within the Emergency Planning Unit, especially as the three Emergency Planning Officers all had less than 12 months service with the EPU and are still on a steep learning curve.

- 2.6 Further, several of the indicators were strengthened and enhanced from the previous year, especially to meet the requirements shown in the new Expectations and Indicators of Good Practice document produced by the Civil Contingencies Secretariat. Additionally, there were new commitments placed upon the Local Resilience Forum and Local Authorities by the Cabinet Office and other Government departments, for example Defra placed additional demands upon emergency planners in respect of animal diseases' planning and Reservoir Inundation planning. Further a new 'Influx of British Nationals' plan was produced to meet national capability standards.
- 2.7 The annual plan also included three cross cutting indicators which compare points of the Emergency Planning Unit with the Regeneration and Neighbourhood Services Department of Hartlepool Borough Council, who are the 'host' authority for emergency planning. The EPU results were in line with or better than those of the Department.

3. POINTS OF NOTE

- 3.1 Indicator 8 in respect of the Tall Ships Race in Hartlepool was completed on schedule. Details were reported to the Joint Committee at the meeting in September 2010.
- 3.2 Three indicators were not fully achieved, although all had a number of targets within each indicator.
- Three out of four local authorities conducted a callout/contact exercises 'out of hours'. Arrangements are in place for an exercise to be conducted in the other local authority. (indicator 1)
 - Regional impact on COMAH plans (indicator 3) not completed as the EPU is awaiting further information from HSE/Buncefield Working Groups and also changes to "regional" structures.
 - Whilst invitations are extended to elected members to attend seminars / training days, the take up is disappointing.
- 3.3 The sickness absence record of staff within the EPU remains extremely good. There was a total of 61 days absence during the year across thirteen (13) staff, including two job share staff, giving an average of 4.7 days per staff. However that is not a true figure as 49 days were attributed to one member of staff, so the average for the remaining staff is 1 day, which is particularly impressive when considering the amount of influenza that was prevalent during the winter months.
- 3.4 The previous target of 40 working days to write a COMAH or Pipelines Safety Plan was reduced to 30 days for the 2010/11 year and this has been achieved. This is primarily due to the knowledge and experience that the Senior Emergency Planning Officer with responsibility for industrial liaison has gained over the past 12 months.

- 3.5 Twelve local authority staff attended external courses which exceeded the full year target, with four of these attending the IOSH course in January 2011 on Event Planning and Safety which the EPU hosted, but delivered by External Trainers. The national Emergency Planning College use the same training providers to deliver the same course that was held in Cleveland but the cost of the course delivered at the EPU to 12 persons was the same as the cost of sending only 3 persons on the course at the Emergency Planning College. Other attendees on the IOSH course included three EPU staff, together with Police, Fire and Ambulance emergency planners.
- 3.6 Whilst both the multi-agency Cleveland Flood Plan and Reservoir Inundation plan (indicator 20) were completed on time, new information received from the Environment Agency and new flood warning codes implemented by the EA as from late 2010 has meant that both these plans will need to be reviewed and updated within the next 12 month period.
- 3.7 All targets shown in indicator 14 which relates to partnership working and sharing of information were achieved but were more difficult to achieve as the agendas of the three principle forums are constantly being driven by the Chief Emergency Planning Officer and staff within the EPU, despite efforts to get other category 1 responders to bring items forward. (the same applies to the sub groups which are chaired by EPU officers). This does however ensure that the EPU remains as the central 'force' of all emergency and civil contingencies planning across the Cleveland area.
- 3.8 The provision of an effective Duty Officer Scheme is considered to be a notable achievement and has received favourable comment from the Emergency Services who have been able on all occasions to inform the Duty Officer of an incident and receive the appropriate response.
- 3.9 All staff appraisals and training reviews for 2010 have been completed.

4. RECOMMENDATION:

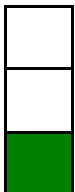
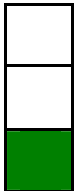
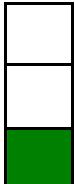
- 4.1 That Members note the report and the notable achievements of the Emergency Planning Unit.

Report Author: Denis Hampson
Chief Emergency Planning Officer & LRF Manager

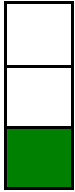
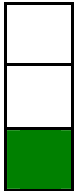
Date: 27th April 2010

AGENDA ITEM: 4.2

PROGRESS ON THE PERFORMANCE INDICATORS FOR 2010/11

NO	INDICATOR	OUTCOME	2010 / 11 TARGET	PROGRESS
1 	Develop and review emergency planning arrangements in each local authority	<ul style="list-style-type: none"> To ensure each authority has an effective and up to date Major Incident Response Plan To ensure departments / service areas have effective plans which are an integral part of the Councils Major Incident Response Plan Staff are aware of their roles and responsibilities 	a) Each Local Authority Major Incident Response Plan to be reviewed within the 12 month period, taking into account the departmental / service plans. b) Conduct one call out / contact after hours exercise in each local authority	a) Achieved - all four plans have been reviewed. b) Exercises conducted in 3 local authorities. Exercise will take place in the other authority in first quarter of 2011/12
2 	Provision of an effective Cleveland Community Risk Register (CRR)	<ul style="list-style-type: none"> To ensure the local authorities' have identified and prioritised emergency risks in their area Allows the public to be made more aware of the risks that could lead to a major incident Provision of Project Leader who will chair the Risk Sub Group and further develop the community risk register 	a) Ensure all significant local risks are addressed in CRR b) Review the CRR on EPU & LRF web sites 6 monthly c) Hold 4 meetings of Risk Sub Group to monitor and review the register d) Report to Local Resilience Forum annually	a) Achieved - all local risks shown in CRR and are subject to quarterly review b) Achieved - reviewed in September 2010 and March 2011 c) Achieved - 4 meetings held d) Achieved - report taken to LRF in February 2011
3 	Number of plans produced / reviewed for COMAH establishments (as at 01.04.09 Cleveland has 38 top tier COMAH sites – 11% of national total)	<ul style="list-style-type: none"> Meet statutory duties under the Control of Major Accident Hazard Regulations Ensure Operator, Emergency Services Local Authority and other responders effectively deal with incidents Validity of plans produced to satisfaction of Competent Authority 	a) 8 plans to be reviewed or produced b) Assess regional impact on all COMAH plans (Buncefield recommendation)	a) Achieved – 10 plans reviewed b) Not achieved - waiting information from HSE and impact of changes to regional

AGENDA ITEM: 4.2

				resilience structure
NO	INDICATOR	OUTCOME	2010 / 11 TARGET	PROGRESS
4 	Provide an efficient duty officer scheme – 24/7 x 365	<ul style="list-style-type: none"> • Best Value • Ensure Local Authority are alerted to incidents so they can respond effectively • Provide effective response by Emergency Planning Officer(s) 	a) 98% b) Annual review of EPU telephone contacts and agency lists c) Review of each local authority / EMRT contacts lists at least ¼ly or w hen significant changes occur	a) Achieved - good commitment being shown by staff b) Achieved – review completed in February 2011 c) Achieved - quarterly review being achieved
5 	Provide information to the public / residents on responding to and dealing with emergencies	<ul style="list-style-type: none"> • To ensure everyone is more aware of emergency and contingency planning so they are better prepared and aware • Provision of advice and guidance • Assist in meeting the statutory requirements of the Civil contingencies Act 	a) Produce 3 pieces of information material b) Material made available on CEPU and LRF websites c) Briefing note to responders on 3 subject matters, e.g. COMAH review , pandemic flu and resilient telecommunications	a) Achieved – EPU new sletter produced, plus articles on Ex Water mark and Evacuation Plan b) Achieved – websites being reviewed quarterly c) Achieved – notes on COMAH, Airw ave interoperability and specific risks (Polymers Site)

AGENDA ITEM: 4.2

6	Provision of an effective internet website for both the Cleveland Emergency Planning Unit and the Cleveland Local resilience Forum (LRF)	<ul style="list-style-type: none"> Improved interaction with public / customers Provision of system to inform the public of the risks associated with the area, allowing them to take any preventative actions felt appropriate Provide focal point for public to gain information on emergency and civil contingencies planning 	a) Web site reviewed at least every 28 days b) New 'cover story' on CEPU website on a quarterly basis c) Project Leader to place new items on website within 5 days of receipt d) Publish events/training of LRF partners on website	a) Achieved - reviewed monthly b) Achieved - different stories being displayed c) Achieved d) Achieved when information from LRF partners is provided (not always forthcoming)
NO	INDICATOR	OUTCOME	2010 / 11 TARGET	PROGRESS
7	Rest Centre procedures and exercises	<ul style="list-style-type: none"> To ensure staff, especially social services & voluntary agencies are better equipped to respond to incidents 	a) One exercise/training event in each Council b) Review Rest Centre boxes c) Review Transport Plan	a) Achieved – exercises completed, last one being on 31.03.11 b) Achieved - review completed c) Achieved - completed in December 2010
8	Planning for the Tall Ships Race in Hartlepool in August 2010	<ul style="list-style-type: none"> To ensure the safety of public attending the event To gain 'buy-in' from appropriate responders, particularly the emergency services and first aid providers To ensure that an adequate event safety plan is prepared To ensure that Command and Control facilities are created, together with an Event Control plan 	a) CEPO to chair Safety Advisory Group and EPU to provide Secretariat for SAG b) Hold bi-monthly meetings of SAG c) Meet targets set in the Tall Ship's Project plan d) Produce Event Safety Plan by 31st May e) Complete Event Control plan by 31st May	Achieved successfully in readiness for the Tall Ships event.

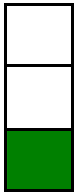
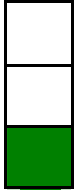
AGENDA ITEM: 4.2

9	Training of Local Authority and Emergency Planning Unit staff	<ul style="list-style-type: none"> • Best Value • Staff better able to respond effectively to incidents • Ensure effective use of resources 	a) 8 local authority staff to attend external courses b) 30 local authority staff in each Council to receive "in house" training c) Hold 4 Local Authority Exercises (1 per Borough) d) EP officers to receive average of 3 days training & Admin staff 1 day e) Hold 3 multi-agency training days	a) Achieved – 8 staff have attended external courses b) Achieved – several attended Ex Nemo on 26.11.10, Ex Watermark 10.03.11 and Climate Change c) Achieved – exercises held in each LA area d) Achieved - training provided e) Achieved – two evacuation events, Exercises Nemo, Plata, Slic and Watermark
NO	INDICATOR	OUTCOME	2010 / 11 TARGET	PROGRESS
10	Conduct / participate in multi-agency exercises under COMAH / Pipelines / REPPIR Regulations	<ul style="list-style-type: none"> • To ensure those involved are better prepared to respond • Ensure plans work in practice • Lessons learned and required actions are taken forward 	a) 10 COMAH exercises b) 3 level one Nuclear exercises c) Be major participants in planning for and response to major level 2 exercise on 19th May 2010 d) Member of HSE working group producing national guidance on exercising	a) Achieved – 10 exercises completed b) Achieved – 3 exercises held c) Achieved d) Achieved – CAP-EPLG and national Nuclear meeting (REPPIR)
11	Ensure compliance with the Pipeline Safety Regulations through the review and writing of emergency response plans for hazardous pipelines	<ul style="list-style-type: none"> • Ensure Operator, Emergency Services, Local authority and other responders react effectively to incidents. • Comply with statutory requirements • Be part of HSE working group 	a) Review 2 PSR plans b) Undertake 6 monthly review of Pipeline Overview	a) Achieved - 2 plans reviewed and 1 new plan completed b) Achieved – reviewed

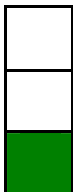
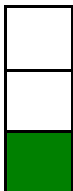
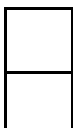
AGENDA ITEM: 4.2

		producing amended Regulations		in October 2010
12	Time to complete an off-site emergency plan under the Control of Major Accident Hazard Regulations (COMAH), Pipeline Safety Regulations or Radiation (Emergency Preparedness & Public Information) Regulations (REPPIR)	<ul style="list-style-type: none"> • Meet statutory duties under the COMAH Regulations/Pipeline Safety Regulations /REPPIR • Ensure plans are in place to assist the Operator, Emergency Services, Local Authority and other responders to deal effectively with incidents • Ensure the Operator, Emergency Responders and Competent Authority are consulted appropriately 	a) 30 working days (from commencement of writing plan to sending draft out for consultation)	a) Achieved within target
NO	INDICATOR	OUTCOME	2009/10 TARGET	PROGRESS
13	Increase awareness of emergency planning and the Civil Contingencies Act within the local authorities	<ul style="list-style-type: none"> • Best Value. • Crucial to ensure effective deliver & improvement of service • Provide awareness that Elected Members and Council employees can impart to persons within their community • Public through awareness are better prepared to protect themselves and their property and understand the reality of situations / emergencies. 	a) Elected / LSP Members invited to attend seminar / training days provided by EPU b) Minimum of three EMRT meetings to be held in each Borough where EMRTs are held c) EPU staff to attend 2 public events for promotional purposes d) Produce 1 article for inclusion on website of the local authorities	a) Partially achieved – whilst invitations offered, only limited take-up b) Achieved - meetings being held as per schedules c) Achieved – Stockton & Hartlepool summer events, EPU promotional trailer in R & C, Climate Change event d) Achieved - articles produced








AGENDA ITEM: 4.2

14	Effective partnership working on a multi-agency basis across the Tees Valley area, with particular reference to the Cleveland Local resilience Forum	<ul style="list-style-type: none"> • Sharing information and knowledge • Improve liaison, knowledge and understanding assisting agencies to work more closely • Provision of an effective Local Resilience Forum through the CEPO as Manager of the LRF • Provision of an effective secretariat to the Cleveland LRF • Meet requirements of the Civil Contingencies Act 	a) 4 meetings of the Local Resilience Forum b) 4 meetings of the Local Resilience Working Group c) 3 meetings of the Media Emergency Forum d) 4 Ad hoc meetings	a) – d) All targets achieved. However the agenda for all these groups is continually driven by the CEPO and EPU staff, despite efforts to get other category 1 responders to bring forward items
				
NO	INDICATOR	OUTCOME	2010/11 TARGET	PROGRESS
15	Promote Business Continuity Management to medium and small enterprises (SME's)	<ul style="list-style-type: none"> • Meet requirements of the Civil Contingencies Act • Promotes awareness to the wider community • Provision of shared information • Greater community involvement • SME's are more able to recover from the effects of an emergency 	a) Continue working relation with Tees Valley Business Link & North East Chamber of Commerce b) Produce 4 pieces of literature for dissemination to SME's c) Hold 3 meetings of the Business Continuity Sub Group d) Present at 2 seminar / conference for SME's e) Hold one half day seminar	a) Achieved – liaison is continuing with NECC b) Achieved – 2 pieces produced (10 minute assessment, BCM plan template) c) Achieved – meeting schedule completed d) Achieved – 2 town centre evacuation briefings (approx 150 businesses) e) Actual BCM seminar not held, but
				

AGENDA ITEM: 4.2

			f) Develop working relations with PCT's and other Cat 1 & 2 responder agencies	message delivered via other forums f) Achieved - good relations continue to be developed
16 	Increase involvement of the 'voluntary sector' in emergency planning	<ul style="list-style-type: none"> • Best Value • Improve liaison, knowledge and understanding between all parties • Meets central government guidance 	a) Hold 4 meetings with Voluntary Agencies b) Involve one or more agencies in 2 exercises c) 4 training sessions / presentations to or with Voluntary Agencies d) 1 'live play' rest centre exercise involving voluntary agencies e) Conduct 1 out of hours contact exercise	a) Achieved – 4 meetings held b) Achieved – Exercise Nemo (Red Cross) & Rest Centre Ex (WRVS) c) Achieved – 2 training sessions held re Tall Ships event and 2 rest centre training events d) Achieved - Exercise Plate e) Achieved – “Chit chat 2”
NO	INDICATOR	OUTCOME	2010/11 TARGET	PROGRESS
17 	Meetings with Partnership Agencies and Organisations within the North East region	<ul style="list-style-type: none"> • Sharing information • Improve liaison, knowledge and understanding, thereby assisting agencies to work more closely • Dissemination of minutes to interested parties 	a) 3 meetings with Regional Resilience Team (GONE) b) 8 meetings with regional operations groups e.g. CBRN, Media, Utilities c) 4 Ad hoc meetings	a) – d) Achieved - regular meetings being held with various partner agencies
18 	Business Continuity Plan for the Emergency Planning Unit	<ul style="list-style-type: none"> • Meet requirements of the Civil Contingencies Act guidance • Ensure staff can react effectively to an incident affecting the EPU • Best Value 	a) Review CEPU plan once per year b) Conduct an exercise involving the plan	a) Achieved - reviewed in February 2011 b) Achieved – 'walk-through exercise'





AGENDA ITEM: 4.2

				completed in March 2011
19   	Event Planning	<ul style="list-style-type: none"> • Ensure health and safety aspects at events are covered • Produce or ensure event emergency response plans are produced • Events include Mela, Cleveland show, Music Live, Tall Ships, large Firework Displays, etc 	a) Work with the Event Planning Teams to produce appropriate documents b) Meet 100% requests for assistance from Event teams c) Produce event plans for 10 events d) Provide SAG guidance in consultation with councils & emergency services	a) Achieved – number of documents produced but further work is planned b) Achieved - all requests being met c) Achieved - 10 plans produced e.g. Mela, Tall ships, 10k Road Race d) Achieved - guidance / involvement as appropriate
NO	INDICATOR	OUTCOME	2010/11 TARGET	PROGRESS
20   	Develop and review plans for flooding	<ul style="list-style-type: none"> • Meet requirements of integrated emergency management • Meet recommendations of the Pitt Report • Ensure plans are robust to deal with a variety of flooding incidents • Validity of plans produced to satisfaction of Defra and Environment Agency 	a) Review Adverse Weather protocol b) Produce multi agency flood response plan by Sept '10 c) Review plan by March '11 d) Conduct one exercise with flood scenario e) Produce generic Reservoir Inundation Plan by September 2010	a) Achieved - reviewed in March 2011 b) Achieved - but will be reviewed again in Autumn 2011 c) Achieved d) Achieved - Exercise Watermark on 10th March 2011




AGENDA ITEM: 4.2

				e) Achieved – will be reviewed in Autumn 2011 due to new information.
21 <div><div></div><div></div><div></div></div>	Recovery and Humanitarian Assistance planning	<ul style="list-style-type: none"> Meet requirements of integrated emergency management Have effective plans in place Meet Civil Contingencies Secretariat “Expectations and Indicators of Best Practice Set” Meet requirements set out in statutory guidance “Emergency Preparedness” Ensure responding / participating agencies are aware of their roles and responsibilities 	a) Produce ‘Influx of British Nationals’ plan by July 2010 b) Review both the Recovery Plan and the Humanitarian Assistance Plan by December 2010 c) Conduct 1 exercise or hold 1 multi agency training day	a) Achieved in timescale b) Achieved – but still subject to consultation exercise c) Achieved – exercise Nemo on 26.11.10
NO	INDICATOR	OUTCOME	2010/11 TARGET	PROGRESS
22 <div><div></div><div></div><div></div></div>	Number of written compliments or complaints received within the unit	<ul style="list-style-type: none"> Best Value Assists with Appraisals Good management practice 	a) All to be recorded and acknowledged within 3 days of receipt b) 10 written compliments c) 2 written complaints	a) Achieved – process in place b) Achieved - 11 compliments received c) Achieved - no complaints received
23 <div><div></div><div></div></div>	Circulation of minutes of meetings and other information received within the unit	<ul style="list-style-type: none"> Good administrative practice Allows information to be shared Actions are identified and dealt with Timely circulation of relevant information on emergency planning issues 	a) Circulated within 8 working days of meeting date b) Circulation of other material within 5 days	a) Achieved through good administrative practices. b) Achieved – date shown in page

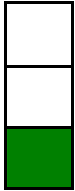
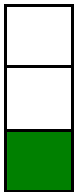
AGENDA ITEM: 4.2

				'footer'
24   	(a) Invoices received in Emergency Planning Unit processed & sent to finance section for payment. (b) Submission of requests for invoices for exercises and/or plans	<ul style="list-style-type: none"> • Best Value • Improve the internal administrative working of Emergency Planning Unit • Effective cost recovery 	a) Invoices processed/sent within 5 days b) EPO's to provide costing within 7 days of exercise or plan completion	a) Achieved b) Achieved

CROSS CUTTING INDICATORS

NO	INDICATOR	NEIGHBOURHOOD SERVICES DEPARTMENT 2009/10	EPU 2010/11	PROGRESS
1   	Percentage of appraisals carried out within the Emergency Planning Unit	100%	100%	Achieved - all appraisals for 2010 completed

AGENDA ITEM: 4.2

2 	Average number of days training per employee within the Emergency Planning Unit	3	3	Achieved – average of 3 days completed
3 	Average number of days lost to sickness within the Emergency Planning Unit	10.5	8.00	Achieved - average of 4.7 days

CLEVELAND EMERGENCY PLANNING UNIT

Report to: Emergency Planning Joint Committee

From: Chief Emergency Planning Officer

Date: 20th May 2011

Subject: **CEPU ANNUAL PLAN 2011 - 2012**

1. Purpose of the Report

- 1.1 To present to Members of the Cleveland Emergency Joint Committee the Annual Plan for the Cleveland Emergency Planning Unit for the year 2011-12.
- 1.2 The plan is attached to this report.

2. Background

- 2.1 The plan is prepared to inform the four Local Authorities of the service that the Cleveland Emergency Planning Unit intends to provide on behalf of the four "Cleveland" unitary local authorities for the twelve month period from 1st April 2011 to 31st March 2012.
- 2.2 It provides an overview of the EPU and the year ahead, together with the work-streams and priorities it will deliver over the next 12 months and how the Unit will measure its performance through a number of performance indicators. It will sit alongside the Strategic Business Plan 2011-14.
- 2.3 The Emergency Planning Unit is committed to the aims of:
 - Ensuring the four local authorities meet their statutory duties under primary legislation, in particular the:
 - Civil Contingencies Act 2004;
 - Civil Contingencies Act 2004 (Contingency Planning) Regulations 2005;
 - Control of Major Accident Hazard Regulations 1999 (COMAH);
 - Pipeline Safety Regulations 1996;
 - Radiation (Emergency Preparedness and Public Information) Regulations 2001 (REPPIR)
 - Working with local partner agencies, particularly those defined as category one responders under the Civil Contingencies Act to provide and maintain robust and resilient multi-agency response capabilities so that the public will be well served by their local authority prior to, during and after an emergency/major incident.

- Managing the Cleveland Local Resilience Forum (LRF) on behalf of multi-agency partners to ensure that through co-operation and information sharing, the LRF meets its statutory processes and is the strategic voice across Cleveland ensuring effective multi-agency delivery of duties under the Civil Contingencies Act, other legislation and statutory guidance.
- 2.4 The “Mission Statement” of the EPU remains unaltered and whilst it is still very reflective of what the EPU does, the significant themes / work-streams for the year ahead do reflect the changing priorities within emergency and resilience planning resulting from national and local trends and risks. Several of the work-streams compliment the requirements of the Civil Contingencies Act, together with the greater emphasis being placed on the Local Resilience Fora to locally drive issues forward. The plan has taken into account this new focus and the risks and challenges that lie ahead.
- 2.5 The introductory and overview of the year ahead sections emphasise the role undertaken by the EPU to ensure the local authorities are as well prepared as possible to respond adequately to a major incident or emergency and meet their statutory requirements in respect of resilience, contingency and emergency planning. It also highlights the increasing workload of the EPU and LRF at a time when capacity is reducing and budget pressures necessitate changing priorities. However this growth, particularly through the work-streams emanating from the duties under the Civil Contingencies Act and the Local Resilience Forum, shows no signs of abating and there is little, if any, spare capacity within the EPU. Further, the need to fulfill auditing requirements to demonstrate that the EPU is carrying out its functions effectively also places additional demands on the team.
- 2.6 Section 2 of the plan identifies 14 significant theme and work-streams upon which the EPU will focus during the year and which link with the objectives shown within the performance indicators. Many of the work-streams have specific performance indicators attached to them. We will pursue these work-streams and objectives to enhance the capabilities and reputation of the EPU.
- 2.7 Whilst all these fourteen themes/work-streams are important, four strands are at the forefront of the work of the EPU in 2011-12. They are:
- Firstly, the vast amount of work undertaken to ensure compliance with legislation, in particular the Civil Contingencies Act, Regulations and statutory guidance, cannot be overemphasised. The ‘headline’ duties under the Act create numerous strands of work and tasks, many of which also link and cut cross into other work-streams.
 - Secondly and intrinsically linked to the first point is the legislative requirement delegated to the EPU from the local authorities to

write or review the plans required under the Control of Major Accident Hazard Regulations (COMAH). Due to the large number of 'top tier' chemical and petro-chemical sites in the Cleveland area (35 sites) this places a huge demand on the resources of the EPU, particularly as there is also a need to ensure these plans are regularly tested and exercised and all elements of a plan are tested once every three years. The COMAH Regulations are stringently enforced by the Hazardous Installations Division of the Health and Safety Executive and therefore the work of the EPU strives to ensure that no enforcement actions are necessary from the competent authorities. There are also requirements to write/review the plans produced under the Pipeline Safety Regulations. Plans are required for each of the major pipeline operators in Cleveland, with several of them having numerous pipelines carrying a variety of hazardous chemicals or gases.

- Thirdly, the writing and reviewing of emergency plans. There are a number of plans identified as taking precedence during the forthcoming year, including the Borough Major Incident Response plans, Pandemic Flu plan, Rest Centre plans, Oil and Marine Pollution plan and the Flood Response plan. However, plans are of little use if once written they lie 'on the shelf' and persons are not made aware of their roles and responsibilities within the plans. Therefore training with the appropriate staff will follow on from the plan writing or review process.
- Fourthly, the increasing dominant role of the Cleveland Local Resilience Forum (LRF) in overseeing that multi-agency planning, response, information sharing and co-operation occurs. This is particularly relevant in the area of risk assessment and overseeing that civil contingencies legislative requirements are met by all Category 1 responders, including the four local authorities. The Chief Emergency Planning Officer as the LRF Manager is at the forefront of what the LRF does and is a primary driver of the LRF process and actions. The EPU also provides the secretariat function to the Cleveland LRF.

2.8 It is the intention of the EPU, working in partnership with other Category 1 responders involved in emergency and contingency planning, especially the emergency services, to ensure that the local authorities have the appropriate levels and standards of preparedness to be able to effectively respond to any major incident. This will be tested through a number of exercises and training events within each of the four boroughs. The exercise calendar for 2011-12 was approved by the Committee at their meeting in March 2011.

2.9 Section 3 of the plan details the staffing and structure of the EPU. This has changed slightly due to one of the emergency planning officers being designated as the Project Officer for the new Flood and Communities Project being undertaken by the EPU in conjunction with the Environment Agency, who are providing the whole financial contribution toward this project. Had it not been for this project being

resourced and the creation of the project officer position, then unfortunately one emergency planning officer would have been made redundant as of 31st March 2011. This project, whilst bringing a different impetus to the EPU, will necessitate the management of the project by the Chief Emergency Planning Officer and some involvement, albeit limited, from other members of the EPU. A 'year 1' implementation plan has been produced to the satisfaction of the Environment Agency who will oversee the project through a Steering Group.

- 2.10 Section 4 for the Plan relates to the budget required for the effective functioning of the EPU and which is also shown in the Strategic Business Plan 2011-14. This shows a 10% decrease (£47,643) due to austerity measures within the local authorities and will have an impact upon the service provided by the EPU. There was already budgetary pressures on the EPU for the forthcoming year, because although there is a 'pay freeze' most staff will be entitled to a salary increment and there are increased costs associated with the new premises at Aurora Court, primarily a four fold increase in rent and service charges compared to the 'old' premises at the Fire Station. Further, there is an anticipated 2½% inflationary increase on other goods and services and the cost of training courses held at the Emergency Planning College have risen by 4.5%. There are also new costs associated with the audit process.
- 2.11 The plan identifies some of the efficiency savings that are being taken to meet the reduced budget, including a reduction in working hours of the Administrative Assistant, savings from the change in the car allowance scheme and taking the post of the Chief Emergency Planning Officer out of the Chief Officer pay band. Throughout the year, the EPU will also focus on increased financial management and efficiencies.
- 2.12 The aims, objectives, ethos, values and culture of the EPU are described in Section 5 of the plan. The only change from the previous year is the greater emphasis placed on the provision of an effective management and secretariat function to the Local Resilience Forum.
- 2.13 There is little doubt that the current year will present new challenges, including possible changes that will result from the outsourcing of the Police Emergency Planning Section to 'Steria' which are likely to impact on the activities of the joint unit.
- 2.14 A set of realistic but meaningful performance indicators as shown in the final section of the plan will allow the performance of the EPU to be judged and monitored. A progress report will be given to the Emergency Planning Joint Committee in the third quarter of the year.

3. Brief Review of 2010 - 2011

3.1 Throughout 2010-11, there is evidence to show that the Cleveland Emergency Planning Unit moved progressively forward and delivered a full work programme on behalf of the local authorities. Looking back over the past year, the Unit performed well in striving to meet the aims, objectives and performance indicators, with targets exceeded in several cases.

3.2 There were also a number of notable achievements during the year which reflect the standard and professionalism of the EPU staff, including:

- Two large table-top exercises, Nemo and Watermark, were held, both of which attracted over 70 participants from a variety of agencies, including the voluntary sector. Very positive feedback was received in respect of both exercises.
- The Chief Emergency Planning Officer was Vice Chair of the Emergency Planning Society Professional Working Group that creates and oversees best practice on behalf of emergency planners nationally in respect of COMAH and Pipeline Safety Regulations.
- The nuclear level 2 exercise held in May 2010 was very effective and received a positive report from the Nuclear Installations Inspectorate. The successful conclusion of this type of exercise is a condition of the operating licence of the Power Station.
- The structure, format and content of the emergency response plans produced by the CEPU for compliance with the Control of Major Accident Hazard Regulations (COMAH) has been adopted as best practice by the Health and Safety Executive within their internal guidance documents.
- The Chief Emergency Planning Officer at the request of the HSE Policy Division represented the United Kingdom at a seminar in Madrid in May 2010 and gave a presentation on the work undertaken in Cleveland to delegates representing all countries within the European Union in respect of COMAH.
- The multi-agency training days have continued to receive excellent feedback. Four events took place during the year and included scenarios on fuel shortages and town centre evacuation.
- The usage of the Unit's website continues to be an effective way of communicating with the public. There were over 5000 unique 'hits' recorded monthly. It is linked to the websites of the Cleveland Local Resilience Forum and the four Local Authorities. Two members of staff have received specialist training (Dreamweaver) on how to develop and best utilise the websites, resulting in the LRF website currently being redesigned.
- The Major Incident Procedures Manual was reviewed and published in 2010 and is acknowledged as a primary source document. This is reflected in the large number of times it has been downloaded from the EPU web site.

- 3.3 Again, like previous years, during 2011-12 there were numerous incidents, many of which had the potential to escalate into major emergencies but through planning, preparation and training by all concerned, the effects of those incidents were minimised. These were reported to the Joint Committee on a quarterly basis, together with details of flood and severe weather warnings and the messages received through the Cleveland Communications Strategy.

4. Recommendation

- 4.1 That Members' note the report.
- 4.2 That Members' endorse the 2011 - 2012 Annual Plan including the performance indicators and budget provision.

Report Author: Denis Hampson
Chief Emergency Planning Officer & LRF Manager

Report date: 27th April 2011

CLEVELAND EMERGENCY PLANNING UNIT

Report to: Emergency Planning Joint Committee

From: Chief Emergency Planning Officer

Date: 20th May 2011

Subject: **STRATEGIC BUSINESS PLAN 2011 - 2014**

1. PURPOSE OF REPORT

- 1.1 To present to Members of the Cleveland Emergency Joint Committee, the Strategic Business Plan for the next three years 2011 - 2014.

2. BACKGROUND

- 2.1 The plan is prepared to inform the four unitary local authorities of the services that the Cleveland Emergency Planning Unit intends to deliver on behalf of the Joint Committee to them over the forthcoming three years.
- 2.2 It provides details of what the Unit is doing now and the work-streams and priorities it will deliver over the next three years and beyond and how the Unit will do it. It sits alongside the Annual Plan which is produced on an annual basis. The work-streams will specifically ensure that the authorities meet their statutory requirements in respect of the Civil Contingencies Act, the Control of Major Accident Hazard Regulations (COMAH) and other legislation.
- 2.3 The plan reflects the changing priorities within emergency planning, much of which is resulting from national and local trends and risks, with many being a direct consequence of the Civil Contingencies Act and the greater emphasis on statutory guidance issued by the Civil Contingencies Secretariat in the Cabinet Office. The plan has taken into account this new focus and the risks and challenges that lie ahead.
- 2.4 Members will be aware that the CEPU on behalf of the four local authorities gained Beacon Status for Emergency Planning in 2007 and the legacy of that award continues. Further the Local Government Association recently sent out to all local authority's examples of best practice across emergency planning functions and Cleveland was again highlighted for the factors that assisted us to receive beacon status, namely the joint emergency planning unit and information processes to the public e.g. Z card. This has again generated additional visits by other planners from across the country. This highlights the large amount of good practice that exists within the EPU, together with the new initiatives we are consistently developing.
- 2.5 As the Cleveland Emergency Planning Unit is a central unit working on behalf of and to the four local authorities, the other main aim of the strategic plan is to acknowledge the budget requirements of the CEPU over the next three

years. This enables the Chief Emergency Planning Officer to plan ahead and set objectives and key work-streams for the Unit.

- 2.6 The budget for the first year 2011-12, has already been agreed and has seen a reduction of 10% from the local authorities to the budget of the EPU. This reduction is being met through efficiencies and improvements within the CEPU, as reported to the Joint Committee at the meeting in March.
- 2.7 As a consequence of the impact of the Comprehensive Spending Review on local authorities, the Chief Emergency Planning Officer has set out a further reduction of 5% in contributions from the local authorities for each of the following two years 2012-13 and 2013-14. This is not without risk as the cuts to the EPU budget leave the local authorities more vulnerable to not complying with statutory legislation; not having robust plans in place; plans not having been subject to testing or exercising, and the local authorities not providing an adequate response to emergencies and/or major incidents.
- 2.8 Should any of these risks occur, one or more of the local authorities could face a loss of reputation; financial or court sanctions; loss of public confidence and severe political and/or public criticism. This vulnerability is greater due to the significant risks which exist across Cleveland, many of them high profile, for example the largest grouping of chemical and petro-chemical sites within the UK. These cuts will place great strain on the services that the EPU is able to deliver, although all efforts will be made to find additional efficiencies and the EPU will look to generate income where possible.
- 2.9 Presently there are reserve funds which the EPU has accumulated over recent years and which are primarily retained to meet resource and financial demands and commitments should a major emergency / incident occur. It is however proposed, that subject to approval by the Joint Committee, some of these reserves are utilised to offset some of the budgetary pressures over the next three years. One example of the use of reserves is that whilst there is presently a 'pay freeze', most staff within the EPU will still be subject to yearly increments on their salaries and this would be met from the reserves. Salary costs amount for over 80% of the total budget.
- 2.10 The current apportionment arrangements regarding the contributions from the four authorities will continued as per previous years.
- 2.11 Over the past three years the workload of the CEPU has continued to increase, especially through work-streams created through the requirements of the Civil Contingencies Act and there is little, if any spare capacity to absorb further work that may be generated by new legislation or government initiatives. However, it is acknowledged that the present staffing levels will have to deal with both the present and future work-streams, although priorities will need to be adjusted.
- 2.12 It is considered that the present joint emergency planning unit, which is seen nationally as best practice, continues to deliver real benefits in terms of value for money, knowledge and expertise, together with the deliverance of

integrated emergency management and response arrangements. Certainly over the next 3 years, the Emergency Planning Unit intends to continue to enhance its capabilities and reputation and will continue to share its achievements and best practices with others across the country.

- 2.13 It is the intention of the CEPU, working in partnership with other Category 1 responders involved in emergency and resilience planning, especially the emergency services, to ensure that the local authorities have the appropriate levels and standards of preparedness to be able to effectively respond to any major incident. This includes having appropriate plans and procedures in place, including departmental/service area response plans in each council and with roles and responsibilities of staff clearly identified. The effectiveness of these plans and staff will be tested through a number of exercises within each of the four boroughs, together with training events.
- 2.14 The plan is attached at appendix 'A'

3. RECOMMENDATION

- 3.1 That Members endorse the report and Strategic Business Plan for 2011 - 2014.

Report Author: Denis Hampson
Chief Emergency Planning Officer & LRF Manager

Report dated: 9th May 2011



THE CHALLENGES OF EMERGENCY PLANNING

CLEVELAND EMERGENCY PLANNING UNIT STRATEGIC BUSINESS PLAN 2011 - 2014

INDEX

	Page
Front Page	1
Index	2
Executive Summary	3
Mission Statement	6
Section 1: Introduction	7
Section 2: What We Are Already Doing	9
Section 3: Work-streams and Priorities over the next 3 years & beyond	11
<ul style="list-style-type: none"> • Civil Contingencies Act • Cleveland Local Resilience Forum • Working with Industry • National Priorities • Promoting Emergency Planning • Flooding and Communities Project • Auditing and Monitoring of Performance • Joint Emergency Planning Committee • Impact on Functions 	
Section 4: Staffing and Structure	18
Section 5: Budget Requirements for 2011 - 2014	20

Appendices

Appendix 'A'	CEPU Aims and Objectives	22
Appendix 'B'	Flowchart showing links with other Agencies and Organisations	25
Appendix 'C'	Staffing and Structure	26
Appendix 'D'	CEPU Budget 2011 - 2014	27
Appendix 'E'	Constitution of the Emergency Planning Joint Committee	28

STRATEGIC BUSINESS PLAN 2011 - 2014

EXECUTIVE SUMMARY

The Cleveland Emergency Planning Unit (CEPU) is the central joint unit delivering a comprehensive civil contingencies, resilience and emergency planning service to the four constituent unitary local authorities of Hartlepool, Middlesbrough, Stockton-on-Tees and Redcar and Cleveland. It is financed through a joint arrangement with Hartlepool Borough Council being the 'lead / host' authority. The CEPU is co-located in offices at Aurora Court, Riverside Park, Middlesbrough, together with the Cleveland Police Emergency Planning Unit and Emergency Planning Officers from Cleveland Fire Brigade and the North East Ambulance Service. The premises are leased by the CEPU from Mouchel Management Services (Middlesbrough Council).

The CEPU is defined as an "outside body" under the terms of Section 101 of the Local Government Act 1972 and Section 19 of the Local Government Act 2000 with the CEPU undertaking the functions of the local authorities in respect of civil contingencies and emergency planning. Under section 101(5) of the 1972 Act, the local authorities discharge their civil contingencies and emergency planning function through a joint committee, namely the Cleveland Emergency Planning Joint Committee. The aim of any such arrangement is the better delivery of services, sharing of expertise and cost reduction.

The primary aims of the CEPU are to ensure through their activities that:

- There is an effective response to all major incidents and emergency situations regardless of their cause, and
- That the Local Authorities meet their statutory duties under primary legislation, in particular the:
 - Civil Contingencies Act 2004;
 - Civil Contingencies Act (Contingency Planning) Regulations 2005;
 - Control of Major Accident Hazard (COMAH) Regulations 1999 (as amended);
 - Pipeline Safety Regulations 1996 (PSR);
 - Radiation (Emergency Preparedness & Public Information) Regulations 2001 (REPPIR).
- There are effective working arrangements, information sharing and co-operation with partner agencies, particularly those defined as Category 1 responders under the Civil Contingencies Act, thereby maintaining robust and resilient multi-agency response and civil contingencies capabilities.
- That through the management and secretariat functions undertaken on behalf of the strategic multi-agency Cleveland Local Resilience Forum (LRF), the CEPU will ensure that co-operation and information sharing is enhanced and the LRF remains the strategic voice across Cleveland to ensure effective delivery of duties under the Civil Contingencies Act, other legislation and statutory guidance.

Through the work of the Emergency Planning Unit, the local authorities are at the forefront of the preparedness for emergencies, working in partnership with other Category 1 responders. The building of frontline responders' capabilities to effectively plan for and respond to emergencies is a crucial element of the local resilience activity that is undertaken by the CEPU on behalf of the four councils, with the objective to ensure safer communities through effective emergency planning.

There is great emphasis placed upon emergency planning and civil protection, both nationally and locally, with the Local Resilience Forum being seen at the helm and with a requirement for the public to be better prepared so they can sustain their own safety and that of their families and their neighbours. An essential pre-condition is that the public are aware of the risks in their area and know how they can protect themselves. A well informed public are considered to be better able to deal with the consequences of an emergency.

This increased emphasis on emergency planning is being reflected in the expectations and work-streams being placed on emergency planners through the Civil Contingencies Secretariat in central Government. The present CCA enhancement programme, national performance indicators and performance audit measures are all seeking evidence of the commitment by local authorities towards emergency and resilience planning.

The Cleveland Emergency Planning Unit delivers a valuable service to the four authorities and continues to develop through sustainable improvement, thus providing an emergency planning function that is fit for purpose to meet the changing local and national needs. This plan details the role, aims, objectives and structure of the CEPU, together with the future priorities and work programme that the CEPU intends to deliver over the next three years. It will continue to deliver value for money through the prioritisation of planning and available resources based on risk.

An important feature of the CEPU is the partnership arrangements that it embraces and the CEPU will continue to support and build upon existing arrangements, whilst developing new or enhanced partnerships as appropriate. Assessors for the Beacon Award in 2007 confirmed that there "is a unique and vibrant partnership between the authorities and a wide range of bodies in the public, private and voluntary sector and excellence was demonstrated in all areas" and the CEPU continues to demonstrate that partnership and multi-agency approach to many of the things they do. The legacy of the Beacon award is still prevalent, with practices and procedures identified still being taken up by others from across the country.

There has been a period of relative stability in respect of staff over the last 18 months, leading to the CEPU having experienced staff and the subsequent organisational capacity to deliver and achieve the strategic aims and objectives set. The CEPU has the least number of staff when compared with any of the neighbouring emergency planning units, albeit in an area with arguably the most risks, but this highlights that the CEPU provides excellent value for money.

Over the next 3 years it is acknowledged that the CEPU will receive reduced contributions from the four 'Cleveland' local authorities' due to reduction in council budgets as a result of the Comprehensive Spending Review. This is not without risk

as the cuts to the CEPU budget leave the local authorities more vulnerable to potentially not complying with statutory legislation; not having appropriate plans in place; plans not having been subject to robust testing or exercising, or the local authorities providing an inadequate response to emergencies and/or major incidents.

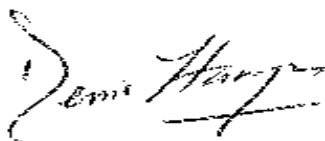
Should any of these risks occur, then one or more of the local authorities could face a loss of reputation; financial or court sanctions; loss of public confidence and severe political and/or public criticism. This vulnerability is greater due to the significant number of risks, many of them 'high profile' which exist across Cleveland, for example, this area has the largest grouping of chemical and petro-chemical sites within the United Kingdom.

A 10% reduction in the 2011-12 budget provision is already in place and the proposal is for a further 5% cut in each of the following two years. This will place strains on the service that the CEPU provides to both the local authorities and multi-agency partners. It will necessitate greater efficiencies and improvements to working practices, whilst providing the opportunity to seek areas for income generation. In real terms, the cuts are expected to be greater as it is forecast that inflation is likely to continue to rise over the next three years, with goods and services being more expensive.

Presently there are reserve funds that have been accumulated by the CEPU over recent years and are primarily retained to meet resource and financial demands and commitments should a major emergency or incident occur. However, some of these reserves will be utilised as appropriate, subject to approval by the Joint Committee, to offset some of the budgetary pressures over the next year years.

The projected budgets will allow figures to be built into budgetary systems of the local authorities for the next three financial years.

The present arrangements of a joint emergency planning unit covering all four authorities is seen nationally as 'best practice' and will continue to provide real benefits in terms of value for money and the deliverance of integrated emergency management and response.



Denis Hampson
Chief Emergency Planning Officer
& Local Resilience Forum Manager

27th April 2011

MISSION STATEMENT



Disasters or major emergencies can strike suddenly, unexpectedly and anywhere. We will therefore assess the risks, plan and prepare on behalf of the Local Authorities to ensure that our response is effective, efficient and protects the public from the effects of emergencies.

1. INTRODUCTION

- 1.1 Any serious or major incident, or even something that may be classed at the time as relatively minor, has the potential to impact dramatically on the commercial, economical, societal and/or environmental wellbeing of the Cleveland area and its communities. The consequences of such incidents can be far-reaching and long lasting and a local authority is likely to be at or near the forefront of the response and aftermath of any such incident.
- 1.2 Therefore our 'Mission Statement' is the strategic driver and platform for everything that the CEPU does and intends to do in the future to achieve an effective response to all major incidents and emergency situations regardless of their cause and have an effective and efficient emergency planning structure that ensures the local authorities meet both their statutory and non-statutory obligations towards emergency planning.
- 1.3 To ensure that the impact of any emergency situation is reduced or mitigated against, the CEPU will continue to provide a comprehensive emergency planning, resilience and civil contingencies service to the four local authorities in the former County of Cleveland area.
- 1.4 The cornerstone of much of what the CEPU does is the Civil Contingencies Act, Regulations and statutory guidance which create a set of legislative requirements for local authorities, as a Category 1 responder under the Act. The civil protection duties that fall on Category 1 responders are:
 - Ensuring co-operation between emergency responders;
 - Ensuring there is information sharing between emergency responders;
 - Completing national, sub national and local risk assessments and the production of a Community Risk register that is available to the public;
 - Emergency Planning arrangements;
 - Business Continuity management;
 - Maintaining public awareness and arrangements to warn, inform and advise the public.

Additionally, a seventh duty applies to local authorities alone:

- Promotion of business continuity management to the commercial sector, particularly small and medium sized enterprises and voluntary organisations.
- 1.5 The CEPU is working with its professional partners, particularly the emergency services, health community, Environment Agency and Health and Safety Executive, to ensure plans, protocols, processes and procedures are in place to comply with statutory requirements under the Act but also to meet other legislation. A dedicated emergency planner is dealing with the requirement to promote business continuity.

- 1.6 There are also new pressures due to the increased threat, real or otherwise, of both terrorism and pandemic flu. Further, public perception is that they expect a local authority to have plans in place, both to respond effectively to any emergency whilst also importantly continuing with their normal functions.
- 1.7 Therefore, to meet the challenges and demands of both the present and future requirements, there is the need for the CEPU to:
- Be a committed and resourceful unit with a competent and motivated workforce;
 - Have the correct structure with the right staffing levels;
 - Have the right tools, including ICT, to do the job;
 - Have the financial resources to be effective;
 - Ensure there is clarity of purpose;
 - Make 'Cleveland' a safe place by ensuring that:
 - Risks are identified and mitigation action is taken and/or control measures are put in place to alleviate or reduce those risks;
 - Plans are produced and reviewed;
 - Plans are tested and exercised;
 - Appropriate staff are identified within the local authority and their roles and responsibilities are known to them and they receive the right training.

2. WHAT WE ARE ALREADY DOING

2.1 Whilst this strategic business plan covers the next three years (2011 – 2014) and lays out the framework upon which the CEPU will deliver its services to the four local authorities and what we intend to achieve, it builds upon our existing work-streams, roles and strategies. What the CEPU does now in 2011 will still be very relevant in 2014 and beyond and none of the present duties and roles are likely to diminish, although priorities may change. The present and future role of the CEPU demands strong leadership committed to the management of change and achieving efficiencies.

2.2 We work towards achieving our strategy based around six principle aims:

- Act to minimise the actual or potential impact of major incidents on the local authority and community.
- Improve the local authority's overall response to incidents.
- Provide major incident response plans.
- Provide and develop staff training and exercising.
- Develop links and partnerships with other agencies in respect of emergency planning, both locally and nationally.
- Ensure local authority emergency plans, policies and protocols are effective and robust.

The aims and objectives of the CEPU are shown at appendix 'A'.

2.3 To assist us to comply with our duty to plan for a wide range of civil protection scenarios across the 'Cleveland' area, the CEPU has developed numerous links with partnership agencies, particularly the emergency services. It is involved in numerous arrangements that creates and provides close working relationships and co-operation, including:

- Management of the Local Resilience Forum (LRF) by the Chief Emergency Planning Officer, with the secretariat function provided through the CEPU
- Local Resilience Working Group, chaired by the Chief Emergency Planning Officer.
- Cleveland Media Emergency Forum, chaired by the Chief Emergency Planning Officer.
- Exercise Planning sub group
- Resilient Telecommunications sub group
- Risk Assessment sub group
- Temporary Mortuary sub group
- Voluntary Agency's sub group
- Flood Risk sub group

A flowchart showing all the groups and the full extent of the links and involvement that the CEPU has with partner agencies and others is shown at appendix 'B'.

- 2.4 Cleveland, through the inherent risks associated with the chemical, petro-chemical and nuclear industry, has developed a good reputation within the wider emergency planning community and other agencies including the Health & Safety Executive and Cabinet Office. Several protocols and guidance documents produced by emergency planners in Cleveland have been accepted as national best practice. These include:
- The Cleveland Communications Strategy which is strongly featured in the public service strategy document entitled "Connecting in a Crisis" published by the BBC through the Cabinet Office.
 - Template and Guidance Documents for the testing and exercising of plans under the Control of Major Accident Hazard Regulations (COMAH).
- 2.5 Due to the industry and the geographical location of Cleveland, as well as ensuring that their statutory obligations under the Civil Contingencies Act and Regulations are met, a sizeable portion of the present work of the CEPU is ensuring that the local authorities also meet their statutory obligations under the:
- Control of Major Accident Hazard Regulations, 1999 (COMAH)
 - Pipelines Safety Regulations 1996 (PSR)
 - Radiation (Emergency Preparedness & Public Information) Regulations 2001 (REPPIR) (Nuclear industry)
- 2.6 The Duty Officer scheme is an important function of the CEPU and operates on a 365 day x 24 hour basis and provides a single point of contact for the emergency services and other agencies e.g. Environment Agency, Met Office, Food Standards Agency in respect of advise and for alerting and activating the local authority in the event of an incident. The CEPU acts as a filter for the local authorities, making judgements on the extent of the need for local authority involvement, whether it is for information purposes only or action is required. Duty Officers uses their wealth of experience, local knowledge and expertise in making such decisions.
- 2.7 Emergency planners will also act as an advisor to the Chief Executive and/or senior council officers during any incident and where appropriate attend 'Silver Command' and act as the local authority liaison officer. The Chief Emergency Planning Officer is likely to attend Strategic Command ('Gold').
- 2.8 A fundamental aspect of the emergency planners role is to ensure that a local authority is equipped to respond appropriately to incidents, thus providing confidence and re-assurance, both internally within the council and externally to other agencies and public they are involved with. This role also encompasses the function of ensuring service areas/departments of the council have adequate plans with requisite numbers of staff trained in their roles and responsibilities.
- 2.9 The CEPU has produced both its own internet website and an LRF website which are used to provide information and guidance. Both sites are well used with over 5,000 unique "hits" being recorded monthly.

3. WORK-STREAMS AND PRIORITIES OVER THE NEXT 3 YEARS AND BEYOND

- 3.1 As stated in section 2.1, the present work and priorities will not diminish and should be viewed alongside the issues raised in this section.

The role and workload of the CEPU on behalf of the four local authorities has significantly increased in recent years and it is anticipated that this will remain a feature. This is primarily as a result of:

- The Civil Contingencies Act, its accompanying Regulations and Guidance;
- Need to make the public more aware of emergency planning issues, the risks in their area and help them to be better prepared to meet the challenges faced when dealing with an emergency;
- Terrorism or the threat of terrorism;
- Cleveland Local Resilience Forum;
- National and sub-national requirements and influence;
- Auditing and Performance Review requirements of emergency planning and civil protection issues;
- Greater emphasis placed on inspection regimes by Competent Authorities under industrial legislation, for example, COMAH and REPPIR.

3.2 Civil Contingencies Act

The seven statutory duties placed upon local authorities by the Civil Contingencies Act are predominantly being undertaken by the CEPU on their behalf and are the primary driver of much of the work of the unit. These duties are:

3.2.1 Risk Assessment

Achievement of a risk assessment in relation to all the hazards and threats that might give risk to an emergency and how that risk could impact upon the local geographical area and the delivery of services by the local authority and other responders. The assessment should show what actions have been taken to mitigate the hazard or threat from occurring and the response mechanisms to such risks

Through this risk assessment process, a multi-agency Community Risk Register under the guardianship of the CEPU has been produced giving details of all assessments completed and is available to the general public. These risk assessments and the Community Risk Register ensures that emergency planning is risk based. The risks are constantly being reviewed, requiring close working with particular service areas of the local authorities and partner agencies.

3.2.2 Emergency Planning

Development of risk based major incident response plans which incorporate the responsibilities and functions to control or mitigate the effects of the emergency is an essential role of the CEPU. The primary plans that the CEPU produce and review are:

- An Emergency Response Plan for each of the four councils
- Rest Centre Plans
- Severe Weather and Flood Response Plans
- Humanitarian Assistance Centre Plan
- Pandemic Flu Plan

This duty also places an onus on the CEPU to produce additional plans, for example, town centre evacuation plans, temporary mortuary plan, reservoir inundation plan, etc.

Once plans are written, they need to be subject to regular review and must be tested and exercised. Therefore an integral part of emergency planning is the identification of appropriate staff and the training of those staff.

Plans are required in respect of 'vulnerable people' and diverse communities with special consideration being given to how they will be affected by specific emergencies and how they will be assisted during and after the event.

3.2.3 Co-operation

The Act imposes a duty on all Category 1 and Category 2 responders to co-operate and work together to address the full range of civil protection duties across their respective organisational boundaries. The CEPU will continue to strive towards maintaining and improving upon existing partnership arrangements, thus ensuring good co-operation is achieved. However, there is a need for it to be further enhanced with Category 2 responders and neighbouring LRF areas in respect of risk assessment, continuity planning and some emergency planning functions.

Compliance with this duty is greatly assisted by the CEPU being already co-located with the emergency planning teams from the Police, Fire and Ambulance. That arrangement has already allowed close working and co-operation to prosper.

The flowchart at appendix 'B' shows the full extent of the links and involvement that the CEPU has with partner agencies and others.

3.2.4 Information Sharing

All Category 1 responders have a duty to share information so as to allow emergency / civil contingency planning to be completed. This aspect is not always easy due to the sensitivities and security tag attach to some information. Good information sharing presently exists between the Category 1 responders in Cleveland i.e. emergency services and local authorities.

The duty to seek information from and share it with Category 2 responders e.g. utility company's, is more problematic as information may have commercial implications and sensitivities. This duty will continue to be managed sensitively.

More information is being placed on the Geographical Information System (GIS) utilised within the CEPU and that facility is allowing such information to be more easily available and retrievable.

3.2.5 Provision of Warning and Informing the Public

Local authorities are required to provide information to the public about risks and emergency arrangements, prior to, during and after a major incident/emergency. This includes arrangements to warn the public when an emergency occurs, to provide information about the progress of an emergency and advice on what to do.

More action is required on reviewing media plans and protocols, including mutual aid arrangements and the pre-identification of "lead communicator" to a range of emergencies. Local authorities will also need to develop the facility of 'help lines' for utilisation in an emergency situation.

The Cleveland Communications Strategy developed by the CEPU gives this area a distinct advantage over many others but it is in need of review and enlargement to meet new demands. Additional systems may need to be introduced to operate in tandem with it.

3.2.6 Internal Business Continuity Planning

The CEPU will continue to work with local authorities to ensure that business continuity plans are produced by them to ensure they can continue to provide essential services during a crisis. However the local authorities will also need to ensure through their own business continuity plans that they can also:

- deliver their emergency response capability;
- continue to provide their normal services whilst responding to the emergency and
- plans are reviewed, tested and exercised on a yearly basis.

3.2.7 Provision of Business Continuity Advice and Guidance to Commercial Bodies and the Voluntary Sector

The CEPU undertakes this duty on behalf of the local authorities and has produced plan templates, advice and information literature, held seminars and workshops and assisted a number of voluntary sector and small businesses to achieve plans for their own organisation. This strategy which has been developed to identify what businesses need to know, the means of delivery and targeting the message to its audience will continue. However, most small and medium sized enterprises do not see business continuity as a priority and achieving this duty is slow.

The CEPU has produced its own business continuity plan which is reviewed annually.

3.3 Cleveland Local Resilience Forum (LRF)

The Chief Emergency Planning Officer manages the LRF on behalf of multi-agency partners and the CEPU provides the secretariat function to the LRF. Under the Civil Contingencies Act, the LRF is seen as the principal mechanism for multi-agency co-operation and information sharing between category 1 responders. The LRF is not a statutory body but it is a statutory process and through the work of the Chief Emergency Planning Officer, the CEPU is at the forefront of what the LRF does and is a primary driver of the LRF process.

LRF work is an increasing but necessary feature of the work-streams within the CEPU, providing the effectively delivery of many of the duties under the Civil Contingencies Act and the strategies of the LRF, especially those that need to be developed in a multi-agency environment. The strategies of the LRF will be delivered through the Cleveland Local Resilience Working Group and the Cleveland Media Emergency Forum and their sub groups. Emergency planners actively participate in and undertake work and responsibilities associated with these groups and sub groups.

Several members of the LRF provide money to fund a part-time person to support the LRF secretariat functions carried on within the CEPU. This person is primarily an administrator, but also completes reports to be presented to the LRF and ensures processes and audit trails are evident.

3.4 Working with Industry

The Cleveland area is home to the largest group of chemical and petrochemical sites in the country and second largest grouping in Europe. Most sites fall under the requirements of the Control of Major Accident Hazard (COMAH) Regulations and the Pipeline Safety Regulations. Cleveland presently has 35 top tier sites and nine major pipeline operators. These regulations place a number of statutory requirements upon the local authority, for example to produce an off-site emergency response plan for each COMAH establishment, warn and inform the public within the public information zones around these sites and to test and exercise plans.

The CEPU fully undertake all the local authority responsibilities under these regulations (apart from hazardous substances planning consent), including the testing and exercising of plans and procedures. This work-stream places significant demands on the CEPU, especially in respect of time and commitment.

The Hartlepool Nuclear Power Station necessitates a significant commitment from the CEPU, especially in terms of plan production, the testing and

exercising of both on and off-site plans and expertise to be able to respond to incidents at the power station and provide advice to chief officers.

3.5 National Priorities

The CEPU will continue to undertake work to plan for and provide resilience arrangements in respect of priorities that central government consider relevant and form part of the Government's national risk strategy, particular in respect of infrastructure. The main priorities are:

- (a) **Terrorism and the threat of Terrorism**
- (b) **CBRN**
- (c) **Pandemic Flu**
- (d) **Flooding**
- (e) **Mass Casualties**
- (f) **Fuel Disruption.**

The resilience capabilities work programme emanating from the Government is determining that these threats must be planned for, with stand alone plans and these plans will be exercised. This has created the need to continue to develop and review plans and the CEPU is involved in working as a partner agency on several of these issues.

3.6 Promoting Emergency Planning

To meet the requirements of the Civil Contingencies Act and non-legislative indicators, but also to enhance the reputation of the CEPU and local authorities, the CEPU will continue to develop initiatives to ensure the public are made aware of emergency planning issues. This will enable the public to be better informed and better prepared to protect themselves. Existing Council surveys methods will be used to gather information from the public on their awareness of emergency planning issues.

Additional plans, protocols and procedures will continue to be worked upon to ensure the public are more aware about risks and prepared to respond to emergencies. This will involve publicity, advice information / leaflets, 'road shows', seminars, school visits, etc.

3.7 Flooding Project in liaison with the Environment Agency

The CEPU will, in liaison with the Environment Agency (EA), review and enhance the multi-agency Flood Response Plan which follows the national template produced by the Department for Food, Environment and Rural Affairs (Defra). The plan will be expanded to contain specific response elements covering known areas of flood risk, for example, Yarm, Port Clarence and Skinningrove. Ongoing work will continue to produce a generic Reservoir Inundation plan, with specific sections relating to the seventeen reservoirs within Cleveland, as defined by national criteria. The CEPU will also work with partners in respect of the new Flood and Waste Management Act as

it relates to emergency and resilience issues and planning, specifically surface water flooding.

The CEPU has been successful in receiving money from the Environment Agency to embark on a three year project from April 2011 to enhance the flood resilience of communities within Cleveland. This is a 'sister project' to successful pieces of work that have been delivered in Northumberland and Durham over recent years. Specific objectives include working with communities to increase their awareness and understanding of flood risk and improve their ability to respond effectively and safely. This project will be undertaken full time by one member of staff working to an implementation plan which contains milestones to be achieved. The project will be managed by the Chief Emergency Planning Officer and overseen by a Steering Group.

3.8 Auditing and Monitoring of Performance

Recent activities provide evidence of the Governments' stated aim that they will robustly audit the Civil Contingencies Act and emergency planning and civil contingencies arrangements through a number of auditing processes, conducted by both external and internal auditors. This includes new auditing processes for the Emergency Planning Joint Committee undertaken by external auditors.

The CEPU will continue the development of performance monitoring and review processes to ensure the emergency planning requirements placed on the local authority are met, leading to positive assessments by assessors. The CEPU will work closely with departments in each local authority tasked with performance review procedures.

In the yearly CEPU Annual Plan produced by the Chief Emergency Planning Officer, a number of realistic but meaningful performance indicators will be used to allow the Emergency Planning Joint Committee to determine that the CEPU is undertaking its role effectively and efficiently. Progress reports will be presented to the Committee on the performance indicators on a six monthly basis.

3.9 Joint Emergency Planning Committee

The executive Joint Emergency Planning Committee which meets quarterly will be kept abreast of activities within the CEPU through written reports from the Chief Emergency Planning Officer and their involvement with training events. Members of the committee are proactive in enhancing the profile of emergency planning.

The Constitution and Terms of Reference of the Committee are shown at appendix 'E'.

3.10 Impact on the Functions of the CEPU

The duties and work-streams as outlined will undoubtedly continue to place additional workloads on the staff within the CEPU and there is likely to be resultant additional financial implications in respect of ICT, training, stationary and equipment. Other aspects of the functions include:

- Identification and training of more staff in emergency response procedures.
- Greater co-operation and liaison with all Category 1 and Category 2 responders.
- Greater sharing of information with responder bodies.
- Improvements to systems and processes to warn and inform the public, before, during and after an emergency.
- Review of media plans and protocols, including 'helpline' provision.
- Production and delivery of public educational programme in respect of risks, preparedness and what to do in an emergency.

It is foreseen that the roles and responsibilities of the CEPU will continue to expand over the next 3 years but there are enormous benefits that emanate from having a joint Emergency Planning Unit and will ensure we continue to build resilience in the local area. Benefits of the joint unit include:

- Greater communication and involvement between all partners involved in emergency planning. This leads towards more 'joined up thinking' and engenders greater trust and confidence.
- Enhanced partnerships leading to greater collaboration, sharing of knowledge, expertise and a fuller integrated response to incidents.
- Developing improved protocols, linking into standard operating procedures and sharing best practice.
- Risk assessing to enable plans to be produced and reviewed with control measures identified to mitigate against major incidents.
- Horizon scanning and greater consultation to identify potential issues so that appropriate mitigation can be planned.

4. STAFFING AND STRUCTURE of the CEPU

4.1 The structure is:

- A Chief Emergency Planning Officer and Local Resilience Forum Manager (Head of Emergency Planning)
- A Principal Emergency Planning Officer
- Three Senior Emergency Planning Officers, each with dedicated responsibility to one of the local authorities
- A Senior Emergency Planning Officer, with responsibility for industrial liaison
- Two Emergency Planning Officers
- An Emergency Planning Officer delivering the Flooding and Communities Project (3 years)
- A Senior Administration Officer and Two Administrative Assistants (job share). The Administrative Assistant works 50% of time for Cleveland Police Emergency Planning Unit.
- A Resilience Forum Assistant (part time) – this post is wholly financed from contributions from multi-agency partners of the Cleveland Local Resilience Forum

The structure is shown at appendix 'C'.

- 4.2 The Cleveland Emergency Planning Unit has fewer staff than any of its neighbouring emergency planning units and many other units within the country. When compared to the numbers of staff in other emergency planning units and the risks associated with those areas against the numbers of emergency planners and risks within the 'Cleveland' area, it is clear that staff in Cleveland have a greater workload than many of their counterparts.
- 4.3 With the existing work commitments, there is little spare capacity within the CEPU to absorb further work which may be generated by new legislation or Government or local requirements. However in the current financial climate it is not envisaged that staff numbers could be increased to meet new demands and therefore greater work priorities will be instigated. Whilst any request for additional staff is not being proposed at this time, this should be borne in minds as workloads are generated to meet the demands of work created by the Civil Contingencies Act and from other directions i.e. terrorism.
- 4.4 CEPU staff are skilled, knowledgeable and professional in their specialist fields of work. Staff retention is essential as experienced emergency planners are difficult to recruit and it takes new staff between 18 months and 2 years in the role within Cleveland to undertake the role effectively. However, the salary grades of officers in the CEPU are on average lower than their counterparts in other EPUs and this presents a potential risk when seeking to attract the right calibre of applicant when posts become vacant or to retain existing staff.
- 4.5 The Principal and Senior Emergency Planning Officers have primary responsibility for one of the four councils and work between the CEPU and the designated Borough.

- 4.6 The two Emergency Planning Officers have lead responsibilities for several specific aspects of emergency planning, for example, the Community Risk Register, CBRN plans, Diseases of Animal plan and the Wam and Inform arrangements.
- 4.7 The Senior Emergency Planning Officer (Industrial Liaison) is fully committed to ensuring plans are written and reviewed in respect of the COMAH and Pipeline Safety Regulations. However, due to the large number of these plans, all emergency planners are actively involved in the testing and exercising of those plans as required to ensure compliance with the COMAH and Pipeline Safety Regulations. 'Cleveland' has thirty seven (35) top tier sites which is the largest amount of such sites covered by a single emergency planning unit in the country. This part of the work of the CEPU is a huge burden.
- 4.8 As mentioned at 2.6, the CEPU operates an effective Duty Officer scheme for the benefit of the local authorities.
- 4.9 All the Emergency Planning Officers work to a three monthly work schedule agreed with the Chief Emergency Planning Officer that is structured to meet the aims and objectives and performance indicators as set out in the annual plan.
- 4.10 A monthly team meeting takes place to assist in the management of the CEPU but also provides the opportunity to share information across all staff. The performance indicators are considered on a quarterly basis in the team meeting.
- 4.11 Clearly having a Joint Emergency Planning Unit serving all four local authorities is a great advantage, provides economies of scale, helps to stop duplication of effort, assists in co-operation and information sharing and greatly assists in undertaking many of the duties. Secondly, having the Emergency Planning Unit co-located with the emergency planners from the Police, Fire and Ambulance provides a distinct advantage over those authorities who do not have such a facility.
- 4.12 To achieve our future strategy, there must be the organisational capacity to deliver, with staff being professional, dedicated and possessing the requisite attributes and competencies, including being pro-active in their duties. They must be able to make professional judgements on behalf of the local authorities.

5. BUDGET REQUIREMENTS FOR THE CEPU 2011 - 2014

- 5.1 In line with joint arrangements for emergency planning, Hartlepool Borough Council as the lead/host authority administers the CEPU budget, including the financial contributions towards the CEPU from the four local authorities.
- 5.2 Funding for emergency planning mainly derives from contributions from the four local authorities which are allocated resources from Government through the annual grant settlement.
- 5.3 Contributions are recovered from Cleveland Police, Cleveland Fire Brigade and the North East Ambulance Service to meet costs associated with the shared accommodation at the Emergency Planning Unit. Cleveland Police also meet half the salary of the Administrative Assistant.
- 5.4 The offices occupied by the CEPU are leased through Mouchel Management Services (Middlesbrough Council) and are subject to a 10 year lease which started on 1st July 2010.
- 5.5 The non-salary budget for the CEPU has been kept at below inflation figures over the past 3 years. Over 80% of the budget is used to meet salary costs.
- 5.6 As discussed in the Executive Summary, the CEPU will work to a reduced budget over the next three years with contributions reducing by 10% in 2011-12 and 5% each year for the following two years. In 'real terms', it is a larger decrease as it is anticipated that there will be an inflationary increase of 2½% in the first year in respect of goods and services.
- 5.7 Money from CEPU reserves will be used, as appropriate and with the approval of the Joint Emergency Planning Committee, to offset some of the reduction in the money received from the local authorities.
- 5.8 The costs associated with the 3 year Flooding and Communities Project will be met in full by money received from the Environment Agency. This money is provided solely for the project and is not available for other CEPU or council activities.
- 5.9 The total budgetary requirements from the four local authorities over the next three years are:
- | | |
|-----------|----------|
| 2011 – 12 | £428,795 |
| 2012 – 13 | £407,355 |
| 2013 – 14 | £386,987 |
- 5.10 The district contributions are based on population figures and apportioned at a percentage rate of Band D council tax. This formula was agreed by the Chief Finance Officers in 2005 and has been used over the past six years. It provides an equitable and robust principal for apportionment based on the risks and work performed in each of the local authorities. As previously agreed

by the Chief Finance Officers, this same principal will be used in future years to fix the impact at a standard amount based on band D council tax.

- 5.11 The annual cost of the CEPU is equivalent to 76p per head of population across Cleveland which highlights value for money.
- 5.12 The CEPU budget for 2012-13 and 2013-14 are based on projected decreases of 5% each year due to budgetary constraints within the local authorities.
- 5.13 Money from reserves will be used to cater for presently unaccounted for demands that may be placed on the CEPU by new legislation or external pressures e.g. additional demands from Government.
- 5.14 The Chief Finance Officer in each of the local authorities will need to make provision for the allocation of financial resources to the host authority (Hartlepool) to meet the agreed budget of the CEPU.
- 5.15 To meet the reduced budgets, efficiency saving will need to be achieved. These include:
 - 2011 - 12 Reduction in the hours of work of the Administrative Assistant; replacement of the essential car user allowance with the casual user rate; taking the post of the Chief Emergency Planning Officer out of the Chief Officer pay band and replacing it with Band 15.
 - 2012 – 13 Reduction in hours of the cleaner; non renewal of furniture or office equipment; savings on paper, printing and travel. Generate income e.g. hire of conference room to external agencies.
 - 2013 – 14 Further reductions in office and administration and greater income generation.

Appendix 'A'

AIMS and OBJECTIVES of the CLEVELAND EPU

AIMS

The primary aims of emergency planning are:

1. To provide a comprehensive and effective resilience, civil contingencies and emergency planning service to the four local authorities'.
2. To achieve an effective response to all major incidents and emergency situations regardless of their cause.
3. To ensure emergency response plans are produced, reviewed, tested and exercised.
4. To ensure the local authorities' meet their statutory obligations and duties under primary legislation, including:
 - (a) The Civil Contingencies Act 2004
 - (b) The Civil Contingencies Act (Contingency Planning) Regulations 2005
 - (c) The Control of Major Accident Hazard Regulations 1999, as amended
 - (d) The Pipelines Safety Regulations 1996
 - (e) The Radiation (Emergency Preparedness & Public Information) Regulations 2001
5. To provide effective management of the Cleveland Local Resilience Forum (LRF) to ensure delivery of those duties that need to be developed in a multi-agency environment.
6. To ensure communities are well prepared to respond to emergency incidents.

To achieve these aims we must also:

- Ensure we have planned and prepared an organised and practical response by the Emergency Planning Unit and Councils we service.
- Effectively contribute to the combined response of all the emergency services and other agencies.
- Have plans that are sufficiently flexible to deal with a range of situations that may increase in significance, duration and complexity.
- Be able to respond to incidents that are outside the normal experience of the local authority.
- Ensure that appropriate staff are identified, have the knowledge and expertise to enable them to respond effectively to a major emergency and receive the right training.

- Ensure the provision of a facility (emergency control centre) within each local authority from which co-ordination of an emergency would take place.
- Be an integral part of the Cleveland Local Resilience Forum structure.

OBJECTIVES

We will work towards a number of objectives, thus contributing to the achievement of the aims of the Emergency Planning Unit and the Local Authorities. Our primary objectives are:

- To ensure that the emergency planning service provided meets the needs of the four local authorities.
- To develop and review the emergency planning arrangements and response plans within the local authorities.
- To assess hazards and risks and plan accordingly, ensuring those risks are adequately represented in the Community Risk Register and the awareness of the public is raised to the risks within their area.
- To ensure that Emergency Planning Officers and appropriate local authority personnel receive appropriate training that allows them to develop the necessary knowledge and expertise, thereby enabling them to respond effectively to incidents.
- To establish, consolidate or improve partnerships with the emergency services and other agencies, particularly Category 1 and Category 2 Responders under the Civil Contingencies Act.
- To provide a robust and effective Secretariat function to the Cleveland Local Resilience Forum.
- To meet the statutory obligations placed on Local Authorities in respect of resilience and civil protection.
- To develop a robust and effective assessment and monitoring regime.
- To provide information to the general public on responding to and dealing with emergencies, thus ensuring they are better prepared for and can protect themselves and others in the event of a major incident.
- To ensure communication strategies and procedures are in place to deal with major incidents and service continuity planning.
- To provide an effective duty officer scheme, thereby ensuring an Emergency Planning Officer is always available.

- To address the strategic risks in respect of the EPU as shown in the EPU Strategic Risk Register.
- To ensure Senior Managers and Elected Members are informed of emergency planning and procedures and identified risks.
- To promote business continuity management within the local authorities but also to businesses and voluntary agencies through the provision of provide advice and assistance.

ETHOS

The characteristic spirit of the Cleveland Emergency Planning Unit is epitomised by our values and culture.

VALUES

To provide a professional and efficient service we will follow a number of core values that will be applied to all our activities.

- We will act with integrity, openness and respect to all users of our service.
- We accept responsibilities that flow from our work.
- We will continually strive to improve our service and performance.
- We will foster good working relationships with the emergency services, together with other agencies and stakeholders involved in the emergency planning process.
- We are conscientious, hard working, loyal and positive in all our tasks.

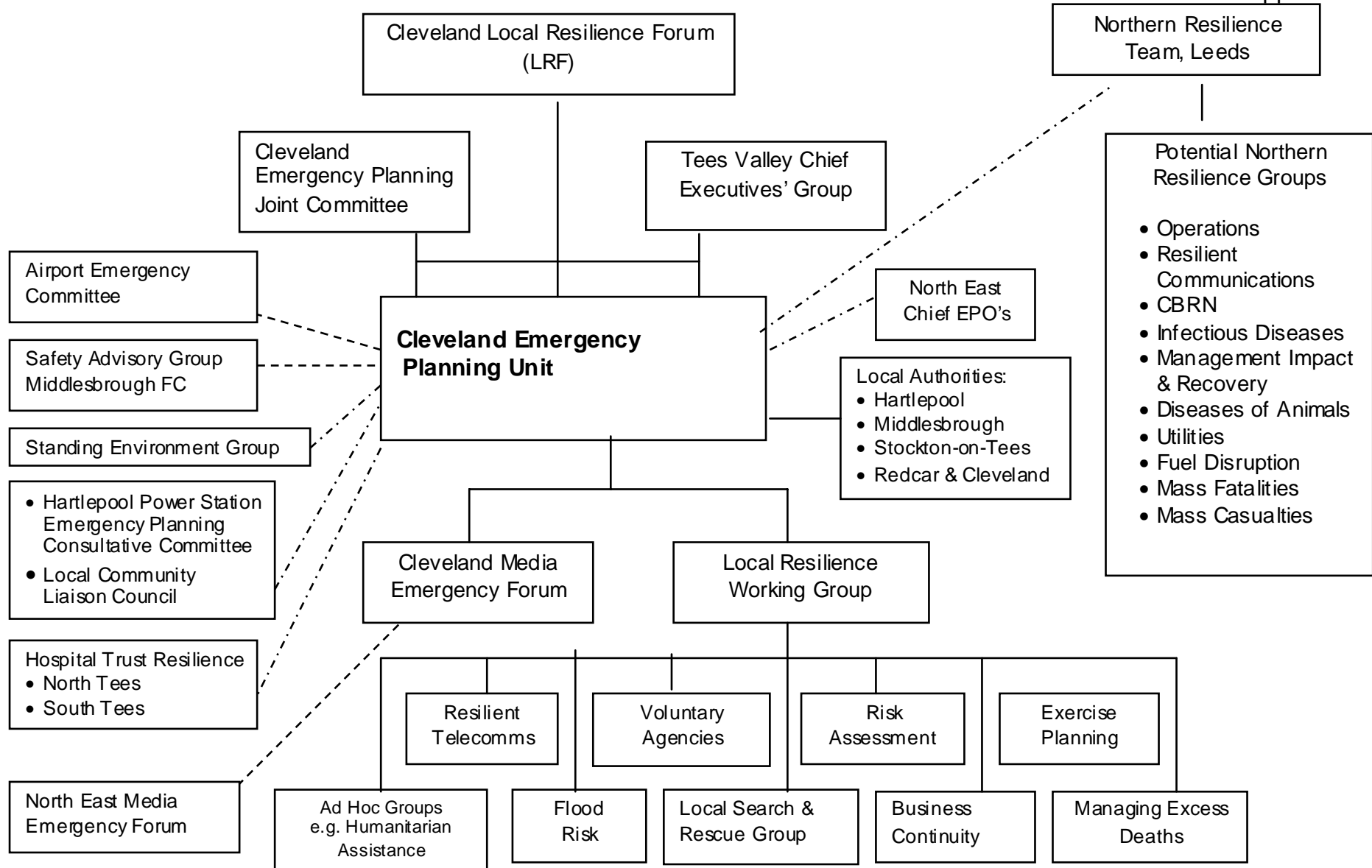
CULTURE

Culture is “the way things are done”. Within the Emergency Planning Unit our culture is based upon the following principles:

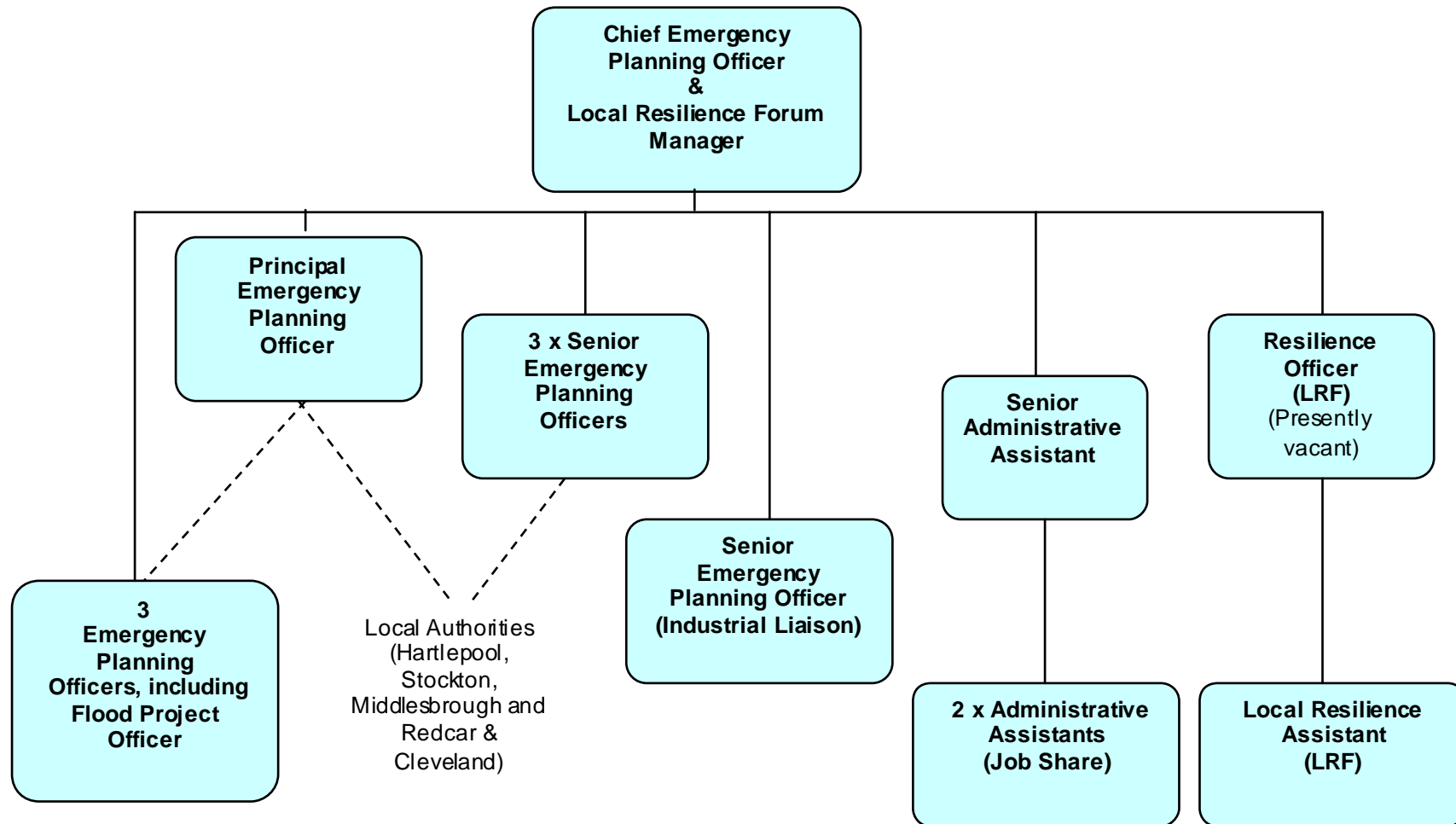
- A “can do” organisation
- Team working and collaboration
- Effective partnership working
- Empowerment of staff
- Openness to new ideas and initiatives
- Ability to work unsupervised, displaying flair, imagination and creativity.

AGENDA ITEM: 4.4

Appendix 'B'



STRUCTURE



Appendix 'D'

BUDGET 2011 - 12

Total of money to be received from local authorities: £428,795

Individual local authority contributions:

Hartlepool	£ 73,710	(81,900)
Middlesbrough	£116,503	(129,448)
Redcar and Cleveland	£103,983	(115,536)
Stockton-on-Tees	£134,599	(149,554)

2010-11 contributions shown in brackets.

PROJECTED BUDGET 2012 - 13

Money received from local authorities: £407,355

Individual local authority contributions:

Hartlepool	£ 69,658
Middlesbrough	£110,801
Redcar and Cleveland	£ 98,987
Stockton-on-Tees	£127,909

PROJECTED BUDGET 2013 - 14

Money received from local authorities: £386,987

Individual local authority contributions:

Hartlepool	£ 66,175
Middlesbrough	£105,260
Redcar and Cleveland	£ 94,038
Stockton-on-Tees	£121,514

Appendix 'E'**Constitution and Terms of Reference – Emergency Planning Joint Committee****Introduction**

The Emergency Planning Joint Committee is an Executive Committee of the four constituent unitary Local Authorities in the former area of the County of Cleveland, namely Hartlepool Borough Council; Stockton-on-Tees Borough Council; Middlesbrough Borough Council and Redcar & Cleveland Borough Council.

Hartlepool Borough Council have been nominated as the “host / lead” authority for the Cleveland Emergency Planning Unit (CEPU) and provide the following services and facilities for/to the CEPU:

- Human Resources
- Finance
- Democratic Services
- Legal Services
- Information Technology (IT)

Legal and Constitutional Position

The Cleveland Emergency Planning Unit is a “Joint Unit” established under articles in the constitution of each of the four local authorities, for example, article 11 and part 7, schedule ‘A’ of the constitution of Hartlepool Borough Council provide the power to establish a joint arrangement with one or more local authority and to exercise executive functions.

The power to establish a joint arrangement under the constitution of the four local authorities is conferred from Section 101 of the Local Government Act 1972 - ‘Arrangements for discharge of functions by local authorities’. Section 102 – ‘Appointment of Committees’ allows local authorities (two or more) to appoint a Joint Committee with respect to any joint arrangement made under section 101.

The definition of ‘public authority’ is set out in Schedule 1 of the Freedom of Information Act 2000. Whilst the definition is lengthy it does include at Part II section 25 that a public authority includes a joint committee constituted in accordance with sections 101 and 102 of the Local Government Act

Therefore, the legal position is that both the Emergency Planning Joint Committee and Cleveland Emergency Planning Unit are a public authority for the purposes of the Local Government Act and the Freedom of Information Act and are classed as and “outside body”.

Membership of the Emergency Planning Joint Committee

On a yearly basis the four constituent Local Authorities elect an Elected Member (Councillor) to act on their behalf as a member of the Joint Committee.

Due to the Committee having executive powers, membership is made up of a leading/senior Councillor from each of the four Local authorities, for example, a Portfolio Holder or Cabinet member.

The Joint Committee meets on a quarterly basis to meet the terms of reference of the committee. Meetings are arranged and administered through the Democratic Services Officer of Hartlepool Borough Council.

The Chair of the Committee is elected on a yearly basis from the membership of the committee. This election occurs at the first meeting in the fiscal year.

2010 – 2011 membership is:

- Elected Mayor Stuart Drummond, Hartlepool Borough Council
- Councillor Terry Laing, Stockton-on-Tees Borough Council
- Councillor Dave McLuckie, Redcar and Cleveland Borough Council
- Councillor Julia Rostrum, Middlesbrough Borough Council

Terms of Reference:

To exercise the executive duties and functions of the four unitary authorities in relation to the following matters:

1. To approve for each Borough the annual budget required by the Cleveland Emergency Planning Unit to fulfill its duties and responsibilities on behalf of the four unitary authorities and the basis of disaggregation to be met by the constituent authorities.
2. To approve 'year end' reports on the budgetary performance of the Emergency Planning Unit, in accordance with financial regulations and procedures, including requests to place unspent money in 'reserves' or carry money forward.
3. To approve the Annual Plan of the Emergency Planning Unit and receive a report thereon at each year end.
4. To oversee the performance and effectiveness of the Emergency Planning Unit and its value to the four unitary authorities.
5. To draw to the attention of each of the constituent authorities best practice in the field of emergency planning and the impact of new legislation and regulations.

CLEVELAND EMERGENCY PLANNING UNIT

6. To undertake the appointments procedure in relation to the post of Chief Emergency Planning Officer.
7. To get and review the staffing establishment of the Emergency Planning Unit in accordance with the budget provision approved by the four constituent authorities.
8. To be responsible for, and keep under review, the accommodation and provision of equipment / facilities in the Emergency Planning Unit.
9. To approve the holding of Members Seminars in relation to emergency planning responsibilities and activities.
10. The Committee should meet at least 4 times per year at times to be determined by the Chair of the Joint Committee.
11. The quorum for meetings of the Joint Committee is 3.
12. The Chair of the Joint Committee will be appointed for the following 12 months at the first meeting in each fiscal year.

Last reviewed: July 2010

CLEVELAND EMERGENCY PLANNING JOINT COMMITTEE

Report to: Cleveland Emergency Planning Joint Committee

Report from: Chief Finance Officer

Date: 20th May 2011

Subject: 2010/11 Revenue Outturn Report

1. PURPOSE

- 1.1 To provide details of the revenue outturn for the Cleveland Emergency Planning Joint Committee for the year 2010/2011.

2. BACKGROUND

- 2.1 The Accounts and Audit (Amendment) (England) Regulations 2011 requires accounts to be approved by 30th June each year.
- 2.2 At the end of each financial year an annual revenue outturn report is submitted to this committee. Details of the outturn are included in the Statement of Accounts detailed at Appendix A.

3. OUTTURN POSITION

- 3.1 As previously reported to this committee, the projected outturn variance was expected to be favourable by £10,500. The final outturn position is an adverse variance of £8,000 and will be funded from reserves. The adverse variance primarily relates to the accrued costs of funding the early retirement of the Chief Emergency Planning Officer which originally was not anticipated until 2011/2012.

3. RECOMMENDATION

- 3.1 That Members approve the 2010/2011 revenue outturn.

Cleveland Emergency Planning Joint Committee

Statement of Accounts 2010/2011

Appendix A

TABLE OF CONTENTS

Explanatory Foreword

Income & Expenditure Account

Balance Sheet

Notes to the Financial Statements

Explanatory Foreword

This foreword provides details of the 2010/2011 outturn position for the Cleveland Emergency Planning Unit. The Unit is involved in several initiatives and these include the standard operation of the unit, its function as a Beacon Authority and as the lead for the Local Resilience Forum. Each of these initiatives has its own funding arrangements and these are detailed below.

Standard Operations of the Unit

The majority of the funding of the Unit derives from contributions from the four local authorities, each of which is allocated resources from the Government through the annual grant settlement.

The authorities contributions to the joint services are calculated according to an agreed arrangement based on population. For 2010/2011 the contributions were as follows: -

Hartlepool	£82,000
Middlesbrough	£129,000
Stockton-on-Tees	£150,000
Redcar & Cleveland	£116,000

The contributions from the authorities were supplemented by contributions from Cleveland Police to meet the costs associated with the shared accommodation at the Emergency Planning Unit and the half salary of an administrative assistant.

Additional income was received during 2010/2011 from charges made to those local companies that are subject to the Control of Major Accident Hazard (COMAH) Regulations 1999, although this was less than anticipated. Total income from all sources received in 2010/2011 including planned contributions from reserves totalled £585,000.

Expenditure was £593,000 and this was more than expected owing to the accrued cost of the early retirement of the Chief Emergency Planning Officer which was not anticipated until 2011/2012, resulting in a net adverse variance at outturn of £8,000. This variance was funded from the Emergency Planning MRU (Managed Revenue underspend) Reserve. Details of expenditure and income are set out overleaf:

Agenda item 4.5

EMERGENCY PLANNING - REVENUE OUTTURN REPORT 2010/2011

Line No	Description of Expenditure	2010/11 Approved Budget	Actual Expenditure/ (Income)	Variance Adverse/ (Favourable)
Col. A	Col. B	Col. C	Col. D	Col. E (E=D-C) £'000
		£'000	£'000	£'000
	EMERGENCY PLANNING EXPENDITURE			
1	Employees	410	408	(2)
2	Premises	71	76	5
3	Transport	20	16	(4)
4	Supplies & Services	53	62	9
5	Third Party Payments	5	4	(1)
6	Support Services	30	27	(3)
7	TOTAL EMERGENCY PLANNING EXPENDITURE	589	593	4
	EMERGENCY PLANNING INCOME			
8	Local Authority Contributions	(477)	(477)	0
9	Fee - COMAH Regulations	(31)	(23)	8
11	Other Income	(48)	(52)	(4)
10	Planned Use of Reserve	(33)	(33)	0
12	TOTAL EMERGENCY PLANNING INCOME	(589)	(585)	4
13 (7+12)	GROSS OUTTURN	0	8	8
14	Transfer from Reserve Account	0	(8)	(8)
15	NET OUTTURN	0	0	0

Beacon Authority

The Beacon Scheme identifies excellence and innovation in local government. It is unique amongst award schemes because not only is it an accolade for excellence and new ways of working, it is also about sharing knowledge and experience for the benefit of everyone. The Unit joined forces with Cleveland Police and Cleveland Fire Brigade to highlight the successful inter-agency partnership arrangements operating in the area, and was awarded Beacon status.

A grant of £102,500 was received in 2007/2008 and is held by the unit on behalf of the successful partnership. Costs in 2010/11 of £16,000 were funded from the grant, leaving a total balance of unspent grant of £22,000. An earmarked reserve has been established and this is expected to be fully spent in 2011/12.

Local Resilience Forum (LRF)

The Forum is the body that oversees emergency planning and civil contingencies across the four unitary local authority areas of Hartlepool, Stockton, Redcar and Cleveland and Middlesbrough and is co-terminous with the boundary of Cleveland Police and Cleveland Fire Brigade. It comprises of senior officials representing all Category 1 Responders, as defined under the Civil Contingencies Act, together with key partners.

The costs of the Forum totalled £21,000 in 2010/2011 which included a contribution to reserves of £8,000. This was fully funded by income from other local bodies. This leaves a balance on the reserve of £21,000 to fund future years' expenditure.

Agenda item 4.5

The Unit is the lead for the Local Resilience Forum, and as such is responsible for administering the funding. All decisions regarding the use of this funding are made by the Forum members, as defined under the Civil Contingencies Act.

Income & Expenditure Account

2009/2010 Net Expenditure £000		2010/2011 Gross Expenditure £000	2010/2011 Gross Income £000	2010/2011 Net Expenditure £000
(33)	Central Services to the Public	593	585	8
(33)	Net Cost of Services	593	585	8
(33)	Net Operating Expenditure			8
(33)	(Surplus) / Deficit for the Year			8

Balance Sheet as at 31st March 2011

31st March 2010 £000		31st March 2011 £000	31st March 2011 £000	NOTE
	CURRENT ASSETS			
0	Debtor	8		1
168	Bank	128		
168			136	
	CURRENT LIABILITIES			
3	Creditors and other balances	20	20	2
165	TOTAL ASSETS LESS LIABILITIES		116	
165	Earmarked Reserves	116		3
165	TOTAL EQUITY		116	

Notes to the Financial Statements

1. Current Debtors

2009/2010 £000		2010/2011 £000	NOTE
0	General & Other Debtors	8	a
0	Total	8	

- a. General Debtors represent amounts accrued to reflect services delivered where invoices have yet to be sent and paid.

2. Creditors and Other Balances

2009/2010 £000		2010/2011 £000	NOTE
	3 General & Other Creditors	20	b
	3 Total	20	

- b. General Creditors represent amounts accrued to reflect services received where invoices have yet to be received and paid.

3. Earmarked Reserves

Balance at 31st March 2010 £000		Receipts in Year £000	Payments in Year £000	Balance at 31st March 2010 £000	Note
	81 Emergency Planning General Reserve	0	8	73	c
	13 Local Resilience Forum	8	0	21	d
	38 Beacon Authority	0	16	22	e
	33 Emergency Planning - Aurora Court	0	33	0	f
	165 Total	8	57	116	

- c. This reserve is earmarked to allow the Unit to manage its budget over more than one year.
- d. This reserve is held on behalf of the Local Resilience Forum and will be used to fund future costs. Forum Members will consider the use of this funding and must approve any plans for its application.
- e. This is Grant Funding allocated in advance and it is anticipated that this will be fully spent in 2011/2012.
- f. This reserve was earmarked to fund the cost of the Unit's move to Aurora Court and has been fully used in 2010/2011.

CLEVELAND EMERGENCY PLANNING JOINT COMMITTEE

Report to: Cleveland Emergency Planning Joint Committee

Report from: Chief Finance Officer

Date: 20th May 2011

Subject: 2010/2011 Annual Audit Return

1. PURPOSE

- 1.1 To provide details of the Annual Audit Return to the Audit Commission for the Cleveland Emergency Planning Joint Committee for the year 2010/2011.

2. BACKGROUND

- 2.1 The Accounts and Audit Regulations 2011 require all smaller relevant bodies in England to complete an annual return summarising the committee's annual activities. This return must be approved by your committee by 30th June and then sent to the Audit Commission for auditing.
- 2.2 The Audit Commission return is a paper document that must be completed and signed, by the appropriate responsible Officers and Members. A copy of the return is included as Appendix A. The return covers: -
- Accounting statements
 - An annual governance statement
 - An annual internal audit report
- 2.3 A key requirement of the audit is ensuring that the revenue outturn is approved by the committee. Details of this are included in a separate report on this agenda.

3. RECOMMENDATION

- 3.1 That Members approve the 2010/2011 Annual Audit Return.

Small Bodies in England

Annual return for the year ended 31 March 2011

Small relevant bodies in England with an annual turnover of £1 million or less must complete an annual return summarising their annual activities at the end of each financial year.

The annual return on the following pages is made up of four sections:

- **Sections 1 and 2** are to be completed by the person nominated by the body.
- **Section 3** will be completed by the external auditor.
- **Section 4** is to be completed by the body's internal audit provider.

Each body must ensure this annual return is approved no later than 30 June 2011.

Completing your annual return

Guidance notes, including a completion checklist, are provided on page 6 and at relevant points in the annual return.

Please complete all sections highlighted in red. Do **not** leave any red box blank. Incomplete or incorrect returns may require additional external audit work and incur additional costs.

Please send the annual return, together with your bank reconciliation as at 31 March 2011, an explanation of any significant year on year variances in the accounting statements and any additional information requested, to your appointed external auditor by the due date.

If required, your auditor will identify and ask for any documents needed for audit. Unless requested, please do **not** send any original financial records to the external auditor.

Audited and certified annual returns will be returned to the body for publication or public display of sections 1, 2 and 3.

It should not be necessary for you to contact the external auditor or the Audit Commission directly for guidance.

More guidance on completing this annual return is available in the Practitioners' Guides for either local councils or internal drainage boards. These publications may be downloaded from the National Association of Local Councils (NALC) or Society of Local Council Clerks (SLCC) websites (www.nalc.gov.uk or www.slcc.co.uk) or from the members area of the Association of Drainage Authorities website (www.ada.org.uk).

Section 1 – Accounting statements for:

CLEVELAND EMERGENCY PLANNING JOINT COMMITTEE

	Year ending		Notes and guidance
	31 March 2010 £	31 March 2011 £	
1 Balances brought forward	176,717	164,870	Total balances and reserves at the beginning of the year as recorded in the body's financial records. Value must agree to Box 7 of previous year.
2 (+) Income from local taxation and/or levy	0	0	Total amount of local tax and/or levy received or receivable in the year including funding from a sponsoring body.
3 (+) Total other receipts	496,210	572,686	Total income or receipts as recorded in the cashbook less income from taxation and/or levy (line 2). Include any grants received here.
4 (-) Staff costs	380,819	424,988	Total expenditure or payments made to and on behalf of all body employees. Include salaries and wages, PAYE and NI (employees and employers), pension contributions and employment expenses.
5 (-) Loan interest/capital repayments	0	0	Total expenditure or payments of capital and interest made during the year on the body's borrowings (if any).
6 (-) All other payments	127,238	196,538	Total expenditure or payments as recorded in the cashbook less staff costs (line 4) and loan interest/capital repayments (line 5).
7 (=) Balances carried forward	164,870	116,030	Total balances and reserves at the end of the year. Must equal (1+2+3) – (4+5+6)
8 Total cash and short term investments	0	0	The sum of all current and deposit bank accounts, cash holdings and short term investments held as at 31 March – to agree with bank reconciliation.
9 Total fixed assets and long term assets	0	0	The recorded book value at 31 March of all fixed assets owned by the body and any other long term assets e.g. loans to third parties and any long-term investments.
10 Total borrowings	0	0	The outstanding capital balance as at 31 March of all loans from third parties (including PWLB).

I certify that for the year ended 31 March 2011 the accounting statements in this annual return present fairly the financial position of the body and its income and expenditure, or properly present receipts and payments, as the case may be.

Signed by Responsible Financial Officer:

SIGNATURE REQUIRED

Date 09/05/2011

I confirm that these accounting statements were approved by the body on:

DD/MM/YYYY

and recorded as minute reference:

MINUTE REFERENCE

Signed by Chair of meeting approving these accounting statements:

SIGNATURE REQUIRED

Date DD/MM/YYYY

Section 2 – Annual governance statement

We acknowledge as the members of **CLEVELAND EMERGENCY PLANNING JOINT COMMITTEE** our responsibility for ensuring that there is a sound system of internal control, including the preparation of the accounting statements. We confirm, to the best of our knowledge and belief, with respect to the accounting statements for the year ended 31 March 2011, that:

	Agreed – Yes or No*	'Yes' means that the body:
1 We have approved the accounting statements prepared in accordance with the requirements of the Accounts and Audit Regulations and proper practices.		prepared its accounting statements in the way prescribed by law.
2 We have maintained an adequate system of internal control, including measures designed to prevent and detect fraud and corruption and reviewed its effectiveness.		made proper arrangements and accepted responsibility for safeguarding the public money and resources in its charge.
3 We have taken all reasonable steps to assure ourselves that there are no matters of actual or potential non-compliance with laws, regulations and codes of practice that could have a significant financial effect on the ability of the body to conduct its business or on its finances.		has only done things that it has the legal power to do and has conformed to codes of practice and standards in the way it has done so.
4 We have provided proper opportunity during the year for the exercise of electors' rights in accordance with the requirements of the Accounts and Audit Regulations.		during the year has given all persons interested the opportunity to inspect and ask questions about the body's accounts.
5 We have carried out an assessment of the risks facing the body and taken appropriate steps to manage those risks, including the introduction of internal controls and/or external insurance cover where required.		considered the financial and other risks it faces and has dealt with them properly.
6 We have maintained throughout the year an adequate and effective system of internal audit of the body's accounting records and control systems.		arranged for a competent person, independent of the financial controls and procedures, to give an objective view on whether internal controls meet the needs of the body.
7 We have taken appropriate action on all matters raised in reports from internal and external audit.		responded to matters brought to its attention by internal and external audit.
8 We have considered whether any litigation, liabilities or commitments, events or transactions, occurring either during or after the year-end, have a financial impact on the body and where appropriate have included them in the accounting statements.		disclosed everything it should have about its business activity during the year including events taking place after the year-end if relevant.

This annual governance statement is approved by the body and recorded as minute reference

MINUTE REFERENCE

dated DD/MM/YYYY

Signed by:

Chair SIGNATURE REQUIRED

dated DD/MM/YYYY

Signed by:

Clerk SIGNATURE REQUIRED

dated DD/MM/YYYY

***Note:** Please provide explanations to the external auditor on a **separate sheet** for each 'No' response that has been given; and describe what action is being taken to address the weaknesses identified.

Section 3 – External auditor's certificate and opinion

Certificate

We certify that we have completed the audit of the annual return for the year ended 31 March 2011 of

CLEVELAND EMERGENCY PLANNING JOINT COMMITTEE

Respective responsibilities of the body and the auditor

The body is responsible for ensuring that its financial management is adequate and effective and that it has a sound system of internal control. The body prepares an annual return in accordance with proper practices which:

- summarises the accounting records for the year ended 31 March 2011; and
- confirms and provides assurance on those matters that are important to our audit responsibilities.

Our responsibility is to conduct an audit in accordance with guidance issued by the Audit Commission and, on the basis of our review of the annual return and supporting information, to report whether any matters that come to our attention give cause for concern that relevant legislation and regulatory requirements have not been met.

External auditor's report

(Except for the matters reported below)* on the basis of our review, in our opinion the information in the annual return is in accordance with proper practices and no matters have come to our attention giving cause for concern that relevant legislation and regulatory requirements have not been met. (*delete as appropriate).

(continue on a separate sheet if required)

Other matters not affecting our opinion which we draw to the attention of the body:

(continue on a separate sheet if required)

External auditor's signature

External auditor's name

Date

Note: The auditor signing this page has been appointed by the Audit Commission and is reporting to you that they have carried out and completed all the work that is required of them by law. For further information please refer to the Audit Commission's publication entitled *Statement of Responsibilities of Auditors and of Audited Small Bodies*.

Section 4 – Annual internal audit report to

ENTER NAME OF REPORTING BODY HERE

The body's internal audit, acting independently and on the basis of an assessment of risk, carried out a selective assessment of compliance with relevant procedures and controls expected to be in operation during the financial year ended 31 March 2011.

Internal audit has been carried out in accordance with the body's needs and planned coverage. On the basis of the findings in the areas examined, the internal audit conclusions are summarised in this table. Set out below are the objectives of internal control and alongside are the internal audit conclusions on whether, in all significant respects, the control objectives were being achieved throughout the financial year to a standard adequate to meet the needs of the body.

Internal control objective	Agreed? Please choose from one of the following Yes/No*/Not covered**
A Appropriate accounting records have been kept properly throughout the year.	
B The body's financial regulations have been met, payments were supported by invoices, expenditure was approved and VAT was appropriately accounted for.	
C The body assessed the significant risks to achieving its objectives and reviewed the adequacy of arrangements to manage these.	
D The annual taxation or levy or funding requirement resulted from an adequate budgetary process; progress against the budget was regularly monitored; and reserves were appropriate.	
E Expected income was fully received, based on correct prices, properly recorded and promptly banked; and VAT was appropriately accounted for.	
F Petty cash payments were properly supported by receipts, expenditure was approved and VAT appropriately accounted for.	
G Salaries to employees and allowances to members were paid in accordance with body approvals, and PAYE and NI requirements were properly applied.	
H Asset and investments registers were complete and accurate and properly maintained.	
I Periodic and year-end bank account reconciliations were properly carried out.	
J Accounting statements prepared during the year were prepared on the correct accounting basis (receipts and payments or income and expenditure), agreed to the cash book, were supported by an adequate audit trail from underlying records, and, where appropriate, debtors and creditors were properly recorded.	

For any other risk areas identified by the body (list any other risk areas below or on separate sheets if needed) adequate controls existed:

Name of person who carried out the internal audit:

PRINT NAME

Signature of person who carried out the internal audit:

SIGNATURE REQUIRED

Date:

DD/MM/YYYY

***Note:** If the response is 'no' please state the implications and action being taken to address any weakness in control identified (add separate sheets if needed).

****Note:** If the response is 'not covered' please state when the most recent internal audit work was done in this area and when it is next planned, or, if coverage is not required, internal audit must explain why not (add separate sheets if needed).

Guidance notes on completing the 2011 annual return

- 1 Proper practices for preparing this annual return are found in the *Practitioners' Guides**. These publications are regularly updated and contain everything you should need to prepare successfully for your financial year-end and the subsequent audit. Both NALC and SLCC have helplines should you wish to talk through any problem you may encounter.
- 2 Please make sure that your annual return is complete (i.e. no empty red boxes), and is properly signed and dated. Avoid making any amendments to the completed return. But, if this is unavoidable, make sure the amendments are approved by the body, properly initialled and an explanation for them is provided to the auditor. Annual returns containing unapproved or unexplained amendments will be returned unaudited and may incur additional costs.
- 3 Use the checklist provided below. Use a second pair of eyes, perhaps a member or the Chair, to review your annual return for completeness before sending it off to the auditor.
- 4 Please do not send the auditor any information not specifically asked for. Doing so is not helpful. However, you must advise the auditor of any change in Clerk, Responsible Financial Officer or Chair.
- 5 Make sure that the copy of the bank reconciliation which you send to your auditor with the annual return covers **all** your bank accounts. If your body holds any short-term investments, please note their value on the bank reconciliation. The auditor should be able to agree your bank reconciliation to Box 8 on the Statement of Accounts. **You must provide an explanation for any difference between Box 7 and Box 8.** More help on bank reconciliation is available in the *Practitioners' Guides**.
- 6 Please **explain fully** significant variances in the accounting statements. Do not just send in a copy of your detailed accounting records instead of this explanation. The auditor wants to know that **you** understand the reasons for all variances. Please include a complete analysis to support your explanation. There are a number of examples provided in the *Practitioners' Guides** to assist you.
- 7 If the auditor has to review unsolicited information, or receives an incomplete bank reconciliation, or you do not fully explain variances, this may incur additional costs for which the auditor will make a charge.
- 8 Please make sure that your accounting statements add up! Also please ensure that the balance carried forward from the previous year (Box 7 of 2010) equals the balance brought forward in the current year (Box 1 of 2011).
- 9 **Do not complete section 3.** The external auditor will complete it at the conclusion of their audit.

Completion checklist – 'No' answers mean you may not have met requirements		Done?
All sections	All red boxes have been completed?	
	All information requested by the external auditor has been sent with this annual return? Please refer to your notice of audit.	
Section 1	Approval by the body confirmed by signature of Chair of meeting approving the accounting statements?	
	An explanation of significant variations from last year to this year is provided?	
	Bank reconciliation as at 31 March 2011 agreed to Box 8?	
	An explanation of any difference between Box 7 and Box 8 is provided?	
Section 2	For any statement to which the response is 'no', an explanation is provided?	
Section 4	All red boxes completed by internal audit and explanations provided?	

***Note:** *Governance and Accountability for Local Councils in England – A Practitioners' Guides*, is available from NALC and SLCC representatives or *Governance and Accountability for Internal Drainage Boards in England – A Practitioners' Guides*, is available from the ADA at The Association of Drainage Authorities, 12 Cranes Drive, Surbiton, Surrey, KT5 8AL or from the NALC, SLCC or ADA websites - see page 1 for addresses.

CLEVELAND EMERGENCY PLANNING UNIT

Report to: Emergency Planning Joint Committee
Report from: Chief Emergency Planning Officer
Date: 20th May 2011
Subject: Exercise Watermark Initial Findings

1. Purpose of the Report

- 1.1 To inform Members of the Emergency Planning Joint Committee about Exercise Watermark which was the national exercise to test flood response plans and which was organised by Defra.
- 1.2 To inform Members of the initial findings from the Exercise Watermark which was conducted in Cleveland on 10th March as a 'bolt-on exercise' to the one held nationally.

2. Background

- 2.1 The Cleveland LRF requested the Exercise Planning Group chaired by the EPU Principal Emergency Planning Officer to be involved in Exercise Watermark which was a national exercise testing the flood response plans developed to DEFRA guidance following the Pitt Review and findings following the 2007 floods.
- 2.2 Cleveland agreed to hold a bolt on exercise to the national exercise, using some of the national scenario i.e. all exercise involvement was within the Cleveland boundary with no involvement from Central Government. The exercise was coordinated by the local authority emergency planners with assistance from a range of parties. The exercise was run as a continuous storyline incorporating preparation, response and some elements of recovery.
- 2.3 The exercise was held at Cleveland Fire Brigade Headquarters on Thursday 10th March 2011 and was attended by over 70 delegates from most responder agencies, together with representatives from industry and the voluntary agencies.
- 2.4 Players were requested to use realistic resourcing and where appropriate contact departments for real-time information on deployment, the resources available, solutions etc.

3. Exercise Mechanics

- 3.1 The exercise was opened with a briefing on how the exercise would operate, followed by a situation report from the Met Office and Environment Agency. Following this the exercise was run in real time until conclusion. Players were located on tables representing geographic / thematic areas and in addition a media cell and a silver group were operating.
- 3.2 Injects were provided to players for discussion between relevant parties, actions decided and injects fed back to exercise control.

Whilst considered successful the planners have identified a number of areas that need to be considered for similar future exercises:

- Provide more 'responsive injects' – i.e. injects to reflect responses previously provided by players e.g. rest centre locations, control points.
- Use of actual working environment (Command Room, Borough Emergency Centres etc) to ensure real time communications and resources.
- The inclusion of more background injects – the majority of injects directly tested players knowledge of information / procedures in the Multi-Agency Flood Plan. To aid players in understanding the scenario, it would have been advantageous if additional injects had been available detailing depths of water by time for each area of interest.
- Staffing – it was agreed at an early stage to use a Tactical (Silver) cell due to the demands on senior staff despite the strategic nature of the incident.

4. Aims and Objectives

The stated aims of the exercise were to:

- Test the local multi-agency flood plan
- Test accompanying plans and procedures

These initial aims were further broken down as per the table below. All the 16 aims / objectives were at tested, although some to a greater depth than others. Whilst a number of actions have been identified, these however should be taken in the context of an overall successful response. This is reflected in the players feedback (see appendix 1) with the majority of agencies feeling that involvement in the exercise was of benefit.

Table 1: Aims and Objectives tested in Exercise Watemark in Cleveland.

1) Test the Local Multi-Agency Flood plan specifically	Tested	Comments
1.1) It's benefit to decision making (what additional information is required, is the format accessible etc)	Tested	Some minor areas identified as requiring further attention but overall players found the plan of value. More information required in the plan on tidal surges and surface water flooding.
1.2) Test the warning and informing mechanisms for a coastal surge around the Tees Estuary	Partially tested	Due to the final nature of the exercise, this element was only partially tested. However players obtained a greater awareness of systems operated by EA and MET Office. Whilst the media cell sat and there was a cross flow of information amongst responding agencies, it did not test the physical receipt and relaying of warnings to the media.
1.3) Coastal surge warning identification and warning of local vulnerable populations and industry	Tested	Identification of key bodies and risk undertaken. Identified that more guidance is needed for COMAH sites. Several sites are not signed up to receive flood warnings from the EA.
1.4) Initial assessments and decision making by responding agencies based upon limited prior information e.g. pre-deployment of scouts and resources.	Tested	Generally good, with key aspects being considered by players. However time frames were condensed leading to artificialities and scripting was not precise (exercise dynamics).
1.5) Identification of the Health and Safety requirements of responders and shift staff	Tested	The health and safety of responders was a priority for most agencies.
1.6) Review the integration of search and rescue teams.	Tested	It was identified that whilst agencies, both professional and voluntary, have a good level of skills the integration of these teams requires better co-ordination.
1.7) Test the dovetailing of the COMAH on and offsite plans and possibly the REPPIR Plan with the Multi-Agency Flood Plan	Tested	It was identified that whilst agencies and operators have flood plans in place these could be further integrated. A key area of weakness is the communication between several COMAH sites and the command system. This could be applicable to a number of incidents not just flooding.
1.8) Flood Rescue Capability register.	Tested	The exercise identified there was missing and/or erroneous information within the register. This has been rectified.
2) Test accompanying plans and procedures	Tested	Comments
2.1) Identification of resources available and the time to mobilise – (no resources to be mobilised on the ground).	Tested	Players to be commended for realistic assumption of resources and making calls in real time to establish assets, response times, available staffing etc. However additional actions are required by several agencies.

2.2) Coordination strategy e.g. location of bronzes, RVP points, cordon control etc	Tested	Assumptions made and these were raised with partner agencies. A number of players assumptions were clarified e.g. lead on media etc
2.3) Test linkages to all plans cross referenced in the MAFP	Tested	Water rescue register, reservoir inundation, borough major incident plans, emergency accommodation plans and media plan tested.
2.4) Evacuation of industrial and residential areas.	Tested	Exercise identified that further work is required in respect of coordination between statutory agencies and industry and response actions pre-planned – suggestion of industry cell to support command framework.
2.5) Warning and informing of industry.	Tested	The majority of industry representatives were aware of the flood warning scheme – however uptake could be increased.
2.6) Emergency Accommodation (Rest Centre).	Tested	Exercise identified that some information in the rest centre plans was not up to date due to the organisational changes that have occurred recently within local authorities and staff turnover. Staff awareness needs to be heightened.

5. Community and media involvement

- 5.1 It should be noted that the national aims of raising awareness and community involvement were not specific objectives of the Cleveland exercise. The planners took the approach that they would support members of the community if assistance was requested but due to limited resources and lack of clarity from the national planning team, planners in Cleveland took the decision not to actively promote community involvement within the exercise.
- 5.2 There was significant local media interest resulting in press releases and a radio interview during which the key messages of the national exercise were relayed (i.e. check if you are at risk of flooding, register for flood warnings, the lessons of 2007 have been learnt etc).

6. Findings requiring actions

- 6.1 Comprehensive findings will be addressed and taken forward by either the LRF Exercise Planning Group or Flood Risk Group as appropriate once they are fully compiled. However, the key issues are summarised as follows.
- The multi-agency flood plan needs to contain more specific information on flooding from tidal surges or surface water.
 - Communication with multiple industrial partners needs to be reviewed and coordinated.
 - Requirement to address a lack of integration of specialised assets such as Water Rescue Teams.

- Review of accompanying plans and procedures is required to update them with currently information, specifically rest centre plans and water rescue capabilities.
- Clarification on the mechanism for calling out of special constables as this was unclear.
- Responding staff and volunteers identified the need to have access to emergency documents including the Multi-Agency Flood Plan.

6.2 A comprehensive action plan is being prepared by the Emergency Planning Unit so that the actions can be taken forward to the appropriate working group.

7. Conclusions

7.1 Following the exercise a number of conclusion can be drawn:

- The exercise was a valid test of the Multi-Agency Flood Plan.
- The exercise was felt to be of benefit by the vast majority of participants who stated that their agencies were prepared for flooding.
- The multi-agency flood plan is of significant benefit to responders and provides clarity on roles and responsibilities and identifies areas at risk.
- The multi-agency flood plan is a living document and will be updated as more information on surface water flooding becomes available.

8. Recommendations

8.1 Members note the report.

8.2 Members note that a detailed action plan is being prepared that will be implemented via the Flood Risk Working Group and CEPU lead officers as appropriate.

8.3 Members note that the Exercise Planning Group will review the action plan at 6 and 12 months post exercise.

Report by:

Denis Hampson, Chief Emergency Planning Officer

&

Stuart Marshall, Principal Emergency Planning Officer

Appendix 1**Feedback from participants**

	Statement	Strongly Agree	Agree	Disagree	Strongly Disagree	Total
1	Involvement in this exercise was beneficial for my organization	43	16	1	0	60
2	The structure of the exercise and injects tested my knowledge & understanding of flood response in Cleveland	24	32	1	0	57
3	The multi-agency flood plan is a robust and usable plan	16	28	7	0	51
4	The information in the plan is easy to find and access	12	26	11	0	49
5	I am aware of the multi-agency response to major incidents	35	20	3	0	58
6	I would benefit from additional training	16	22	14	3	55
7	I think that my agency is prepared for a significant flooding event	19	38	3	0	60
8	I think that more work is required to ensure that my agency is ready to respond and withstand flooding	9	25	16	7	57
9	My agencies role in flooding is sufficiently documented in the plan	20	26	6	3	55
10	Partner agencies and organisations understand my agencies role and means of operating in the event of an incident	17	25	15	1	58
	Total	211	258	77	14	

CLEVELAND EMERGENCY PLANNING UNIT

Report to: Emergency Planning Joint Committee
Report from: Chief Emergency Planning Officer
Date: 20th May 2011
Subject: **REPORTED INCIDENTS / CLEVELAND COMMUNICATIONS STRATEGY**

1. Purpose of the Report

- 1.1 To inform Members of the Emergency Planning Joint Committee of the incidents reported, severe weather and flood risk warnings received and communications strategy faxes received and dealt with by the Cleveland Emergency Planning Unit. The report covers the period between 20th February 2011 and 8th May 2011 (12 week period).

2. Flood and Weather Warnings

- 2.1 During this period the Emergency Planning Unit has only received 4 warnings from the Met Office relating to adverse weather conditions. The latter two were in respect of heavy rain and potential thunderstorms which could have caused surface water flooding. This small number of warnings is unusual, but for the past 12 weeks the weather has been relatively mild.
- 2.2 There were two Flood Alerts messages received relating to potential coastal flooding at Redcar, Saltburn and Staithes.
- 2.3 Since November 2010 the Environment Agency has new flood codes in operation. They are:
- Flood Alert – this is issued when flooding is possible and will be given at least 2 hours in advance of the potential flooding event.
 - Flood Warning – issued when flooding is expected and immediate action is required by the local authorities, emergency services and public. Issued at least 30 minutes to one day in advance of the expected flooding event.
 - Severe Flood Warning – issued when there is severe flooding expected and there is danger to life. Issued when flooding poses a significant threat to life and urgent actions, e.g. evacuation, are required.
 - Warning no longer in force – issued when the risk has subsided.

There is regular dialogue between the EA and EPU during these potential incidents.

- 2.4 The Cleveland Emergency Planning Unit are recipients of messages from the Met Office in relation to their Severe Weather Emergency Response Service and can view satellite pictures of rain and/or snow on their Hazard Manager system. Both these services is available to emergency planners through a secure web based browser, password protected, on the Met Office website. The Duty Emergency Planning Officer receives this information from the Met Office both by fax and text message. This scheme is in addition to the traditional Flood Warnings issued by the Environment Agency.

3. Communications Strategy

- 3.1 During the period the Emergency Planning Unit received and dealt with 12 'blue' faxes which had been issued by the Operators or Agencies involved with the strategy. They were mainly in respect of excessive flaring which caused noise and brightness at night but other faxes provided information about:
- Unexpected alarms sounding which can be heard off site
 - Small releases of chemicals.
 - Unexpected fumes / smoke from chimneys / plants / steam
- 3.2 Of these faxes, several were received and dealt with by the Duty Emergency Planning Officer outside normal office hours.
- 3.3 Whilst all were 'blue faxes', some of the incidents did generate contact between the Emergency Planning Officer and the Operator or Emergency Services to give advise or gather more information. Where appropriate, the local authorities were advised and therefore able to 'field' questions from either the media or the public.
- 3.4 There were no red faxes issued.

4. Incidents of Note (20th February 2011 to 8th May 2011)

- 4.1 On the 11th March 2011 the earthquake and resultant tsunami occurred in Northern Japan which caused thousands of deaths and severely damaged the Fukushima nuclear facility. 23 top line briefings were received by the EPU from the Cabinet Office and these were circulated to all emergency responder agencies to ensure all agencies had the same information and could answer queries from any worried members of the public.
- 4.2 In the past twelve weeks there have been 7 incidents of note in which the Emergency Planning Unit became involved and on some occasions saw the deployment of staff to the scene or Incident Command Rooms to represent the Local Authorities. This does not include the severe weather and flood risk incidents as discussed earlier in the report.
- 4.3 The table at appendix 'A' gives brief details of these incidents.

- 4.4 A small number of other minor incidents were also reported to Cleveland Emergency Planning Unit, some of which were dealt with by the Duty Officer 'out of hours'.

5. Recommendation

- 5.1 That Members note the report

Report Author: Denis Hampson
Chief Emergency Planning Officer

Report dated: 9th May 2011

AGENDA ITEM : 4.8

Appendix 'A'

Incidents 20th February 2011 to 8th May 2011

Date	Location	Type of Incident (i)	Type of Incident (ii)	Brief Description
20th February 2011	Seal Sands	Toxic Release	Public safety / Environment	Small release of toxic chemical from COMAH site necessitated road closure and workers placed in 'toxic refuges' for short period.
25th February 2011	Albert Road, Middlesbrough	Suspect Package / Bomb Scare	Public Safety	Suspicious package found. Town Hall and One North East building evacuated. Bomb Disposal Unit carried out controlled explosion. False alarm – good intent.
11th March 2011	Park Avenue Redcar	Road Accident	Public Safety	Car crashed into Fish and Chip shop, causing gas leak and making frontage of building unsafe. Structural engineer from council attended scene. Road closure.
12th March 2011	Wilton International Site	Fire on COMAH site	Public Safety / Environment	Fire in wheat dryer on COMAH site. Large volume of smoke but no off-site consequences.
19th April 2011	South Gare	Evacuation of Vessel	Public Safety	Excavation barge anchored in Tees estuary had to be evacuated as two of its legs became trapped on the seabed and the rising tide had potential to swamp the barge.
2nd May 2011	Roseberry Lane, Redcar	Sewerage overflow	Public Safety / Environment	Blocked drains caused raw sewerage to overflow through manholes onto public highway. Area cordoned off whilst repairs effected.
1st May 2011	River Tees, Middlesbrough	Ship Sinking	Public Safety / Environment	Tuxedo Royale tied up at Able Berth on River Tees began to sink and finally sunk 3 days later.

CLEVELAND EMERGENCY PLANNING UNIT

Report to: Emergency Planning Joint Committee

From: Chief Emergency Planning Officer

Date: 20th May 2011

Subject: **Humanitarian Assistance Strategic Guidance**

1. Purpose of Report

- 1.1 To inform members of the Joint Committee of the new strategic guidance on Humanitarian Assistance published by the Department for Culture, Media and Sport.
- 1.2 To inform Members that this guidance seeks to provide a framework to assist responding organisations build an effective Humanitarian Assistance (HA) capability.
- 1.3 To inform Members that the Humanitarian Assistance Strategic Guidance ties in with Humanitarian Assistance in Emergencies – non-statutory guidance on establishing Humanitarian Assistance Centres published in November 2006.
- 1.4 To provide members with a synopsis of the new guidance.

2. Background to the Report and Synopsis of the New Guidance

- 2.1 The Humanitarian Assistance Strategic Guidance provides a model for those who have responsibility for developing and maintaining a HA capability. This may be in a Local Resilience Forum or HA Working Group, but the ideas could also be adopted by other organisations.
- 2.2 The aim of the guidance is to provide an agreed definition of humanitarian assistance and suggestions on how to develop the capability to meet the needs of people affected by terrorist attacks and major emergencies, both in the aftermath of the incident but with the emphasis on the months and years that follow. It also addresses the issues of how and when to exit from provision of care.

AGENDA ITEM : 4.9

- 2.3 The 2008 National Capability Survey (NCS) suggested that over 80% of LRF's have a Humanitarian Assistance Centre (HAC) plan in place and over 60% have been testing this as part of their exercise programme. In the 2010 NCS results show that this has further improved.
- 2.4 Humanitarian Assistance goes beyond setting up a HAC and this guidance looks to take the capability further and in particular to encourage a greater focus on the need to be ready to provide a range of services, particularly the ability to provide access to psychosocial support in the medium and longer term.
- 2.5 Medium Term Support
The medium term support is considered as between two and eighteen months after an incident and it is recommended that ongoing access to emotional and practical support is available for a significant period of time following an incident. Flexible plans are best to ensure that those who need help are able to access assistance and support via the core services already in place, e.g. through social services and local health providers.
- 2.6 Longer Term Support
Longer term support is considered 18 months onwards following an incident. This support may include the need for carers, medication and complications from injuries which will require additional support long after an incident. Clear objectives for the bespoke services relating to a particular incident should indicate when it is an appropriate time to end these services. Early planning should ensure those who continue to be affected in the longer term, will be able to secure the support they require through health and social services.
- 2.7 Governance Arrangements
National Guidance indicated a Local Authority, particularly those with Social Care departments, should lead on HA work. It recommends that a working group is established who are tasked with developing and maintaining a HA plan and implementing this plan in the event of an emergency.
- 2.8 Embedding Humanitarian Assistance
Embedding HA is about building on existing services such as core social care services, as well as supporting organisations and individuals to address the needs of those affected by an emergency. The HA capability is embedded when arrangements are in place to build on existing resources in order to respond to people's needs following an emergency, and to ensure they are able to access the appropriate core services.

2.9 Understanding the Community's Needs

Before, during and after an emergency any assistance given to the local community must be responsive to their needs and environment, and planners should research and respond to the suggestions of the community. The first step of this component is to undertake an analysis of existing community profiles compiled by LRF members such as police and local authorities.

2.10 Determine Humanitarian Assistance Capability

Agreeing roles and responsibilities is an essential component of any good humanitarian response. Planners must ensure responsibilities are identified and responders have the competence to fulfil their role. All responders should have access to a comprehensive training programme, to ensure they are competent in planning for, responding to, and assisting people recover from, an emergency.

2.11 Develop Humanitarian Assistance Arrangements

Once roles and responsibilities have been assigned, potential resources identified and the anticipated needs of the community have been considered, it is important to document this information in plans and procedures. Plans should be flexible and adaptable to the scale of the emergency. Since HA cuts across all elements of emergency planning these documents should be integrated with other response plans, business continuity and recovery arrangements.

2.12 Exercising, Maintaining and Reviewing Arrangements

This part of the guidance looks at the need to validate HA plans through an exercising programme. The guidance acknowledges that a full HA exercise would be challenging and therefore recommends that the plans elements are tested separately such as;

- The Activation Process and Set up Procedures
- Contact Lists
- Information Management and Telephone Handling

It also suggests validation through peer reviews, which should be documented, debriefed and evaluated, so lessons identified can be implemented and changes made in the plan review.

3. Impact on Cleveland

- 3.1 Cleveland has had a Humanitarian Assistance plan for the past three years, produced by the Cleveland Emergency Planning Unit. Roles and responsibilities amongst various agencies have been agreed. The plan is considered to be flexible to meet a variety of incident scenarios.

AGENDA ITEM : 4.9

- 3.2 Having reviewed the new strategic guidance as described above, there is nothing that necessitates an urgent review of the existing Cleveland Humanitarian Assistance Plan. However, the Cleveland Plan is reviewed on an annual basis and at the next review any points that it would be advantageous to include from the new guidance will be taken forward in the revised plan. The plan is written and reviewed in conjunction with those agencies who would be involved in humanitarian assistance.
- 3.3 Cleveland has a 'Lead Officer' for Humanitarian Assistance planning who liaises on a regular basis with responders and agencies involved in this matter and there is an LRF Humanitarian Assistance sub group under the chair of the Lead Officer which meets on an ad hoc basis, as and when necessary.
- 3.4 Whilst the guidance suggests that the Social Care Departments of local authorities should lead on humanitarian assistance, in Cleveland the lead is the EPU supported by Social Care. However, as written into the local authority major incident plans, social care providers will be heavily involved in any response, whether it be in respect of setting up a Humanitarian Assistance Centre or responding to the needs of those affected by the major incident. They are aware of community profiles.
- 3.5 The Cleveland HAC plan or parts thereof has been exercised on several occasions and a large seminar was held in 2009 at the Wynyard Rooms with national speakers.

4. Recommendations

- 4.1 Members note the report.
- 4.2 The Lead Office for Humanitarian Assistance planning considers the new guidance at the next review of the Cleveland HAC plan in 2011.

Report Authors: Denis Hampson
Chief Emergency Planning Officer and LRF Manager

Report dated: 6th May 2011

CLEVELAND EMERGENCY PLANNING UNIT

Report To: Emergency Planning Joint Committee

From: Chief Emergency Planning Officer

Date: 20th May 2011

Subject: **Keeping the Country Running: Natural Hazards and Infrastructure.**

1. Purpose of Report

- 1.1 To inform Members of the new “Guide to Improving the Resilience of Critical Infrastructure and Essential Services” issued by the Cabinet Office for consultation.
- 1.2 To inform Members how the guidance could impact on agencies in the Cleveland, particularly the local authorities and the EPU.
- 1.3 To inform Members that the Chief Emergency Planning Officer submitted a response to the consultation documents on behalf of the Joint Committee to the Cabinet Office by the deadline of Friday 6th May 2011.

2. Section A: Introduction and Definitions

- 2.1 The National Security Strategy (NSS) identifies as a priority the need to improve resilience of the infrastructure that is most critical to keeping the country running against attack, damage, or destruction. The top risks identified in the NSS include those from natural hazards. Section ‘A’ of the guidance provides an introduction to infrastructure resilience and sets out the background and definitions.
- 2.2 The guidance aims to encourage infrastructure owners and operators, emergency responders, industry groups, regulators, and government departments to work together to improve the resilience of critical infrastructure and essential services.
- 2.3 The guidance supplements existing guidance and aims to fill gaps identified during the consultation on the Strategic Framework and Policy Statement issued in March 2010 and embodies the Pitt recommendations following the floods of 2007.
- 2.4 The guidance emphasises the cost to the UK economy should natural hazards occur and strongly recommends that a tri-partite arrangement is

necessary within each identified sector between infrastructure owner, regulators and government to explore the optimum mechanisms and strategy to provide security for the infrastructure. The nine infrastructure sectors are:

- Communications
- Energy/ Power Supply
- Transport
- Food
- Health
- Emergency Services
- Finance
- Government.
- Water and Sewage (Climate Change)

3. Section B: Building Resilience

3.1 This section of the guidance document provides a range of guidance on building resilience, which is summarised below.

3.2 Identify Risks and Assess Resilience: Natural Hazards

The guidance provides an explanation of the National Risk Assessment (NRA) process, outlines the initial and secondary impacts of natural hazards and the longer term risks of disruption caused by changes in climate in the UK.

3.3 Address Resilience Standards

Focuses on the Pitt Review recommendations highlighting that specifying a flood resilience standard in terms of probability ensures that the standard stays relevant in a changing climate, however it notes that this creates an evolving target. This section also states that it is unnecessary to set ambitions for standards for every hazard for all assets, all sectors, and all durations as it risks duplication of existing British and International Standards with associated cost implications.

3.4 Review Resilience: Sector Resilience Plans (SRP)

The first plans were produced in December 2009 and are updated annually by each lead government department, working with regulators and industry, as part of an ongoing assessment to increase governments understanding of the level of resilience of the UK's most critical infrastructure to natural hazards. Sector Resilience Plans are developed for the nine infrastructure sectors to enable lead Government Departments to have a concise report on the current level of vulnerability and resilience in their sector, and a programme of measures to improve resilience where necessary. Although SRP's are classified, the Cabinet Office will publish a summary of the plans to encourage collective resilience in the UK's CNI.

3.5 Governance and Organisational Resilience

This section recommends an 'organisational resilience strategy' that sets out how an organisation will identify, assess and manage the changing risks that will support delivery of resilience. It states that the dynamic and changing nature of risks mean that to achieve resilience, a longer term commitment is necessary as part of a continuous improvement cycle. A key recommendation is that organisations should design, implement and review resilience at Board Level and embed it in their corporate governance process.

3.6 Guidance for Regulated Sectors

This section emphasises that Regulators have a key role to play in supporting the resilience agenda. This is in line with the Pitt Review recommendation of 'placing a duty on economic regulators to build resilience'. In March 2010 'Interim Guidance to the Economic Regulated Sectors' was published to assess whether new resilience duties should be assigned to regulators. This section contains the eight considerations that came out of the initial guidance with updates based on the responses from regulators, but also recommends further discussion between Government, regulators and industry as regulatory duties evolve. The section details the duty to build resilience, provide sufficient finance for resilience work and the engagement of unregulated sectors. A key recommendation from this is the use of a memorandum of understanding approach with lightly or unregulated industry to encourage and predefine collaboration during emergencies.

3.7 Sharing Information and Assessing Dependencies

Covers the Pitt finding of the need for a shift in thinking from "need to know" to "need to share" but concedes the barriers to this involve a mix of classified information, commercial sensitivities and knowing what information is needed and what it will be used for.

Key recommendations include building effective relationships between responders and infrastructure owners and operators; improving LRF agencies understanding of critical infrastructure; and the updating of emergency plans. The guide highlights an example of best practice in Lincolnshire which involves work with asset owners to identify assets; their ability to continue to provide services during a flood; interdependencies between owners; and service restoration time frames. The importance of understanding dependencies between critical infrastructure both physical and geographical is highlighted with a recommendation to bring organisations together in greater consultation.

4. Section C: Practical Guidance

4.1 Guide 1: Guidance on Natural Hazards

Aimed at all those with a stake in the delivery of essential services (including regulators, suppliers, and emergency planners), the guidance provides examples of reasonable worst case scenarios for those natural hazards most likely to disrupt the UK's critical infrastructure. Split into three sections the guidance covers:

- interconnectivity of natural hazards providing reasonable worst case scenarios for hazards in the National Risk Register, as well as the impact of volcanic ash and severe space weather because of their potential impact on critical infrastructure
- some geological hazards for infrastructure owners and resilience partners
- provides advice for infrastructure owners on next steps

4.2 Guide 2: Checklist for Infrastructure Owners and Operators

Lists questions for owners and operators to identify; assess; address and review resilience issues for their organisations.

4.3 Guide 3: Guidance on Information Sharing

Outlines the "Right issue, right time, right level" Assessment and the importance of information obtained for civil emergency planning not being shared further or wider within organisations beyond the immediate 'need to know'. Also highlights the importance of establishing effective working relationships between responders and infrastructure operators and owners. Eight recommendations are made as a way to improve information sharing.

4.4 Guide 4: Guidance on Assessing Dependencies

Outlines differences between physical and geographical dependencies for infrastructure, as well as different approaches to undertake assessments.

4.5 Annex

Contains the Pitt Review recommendations on critical infrastructure; related legislation; and example terms of reference for a Utilities sub-group.

5. How it will affect Cleveland

- 5.1 Whilst the document under discussion is a consultation paper, it follows on from the National Security Strategy and Strategic Defence and Security Review and previous consultation documents, and therefore is extremely likely to become adopted as strategic guidance within the next six months, with few if any significant changes.

AGENDA ITEM: 4.10

- 5.2 Within Section B of the document there are a number of recommendations that individual LRF organisations, including the Local Authorities, will need to address within their respective work areas. Several of the recommendations are already being met through existing work-streams within the Emergency Planning Unit, for example the production of a community risk register and sharing information on resilience with other relevant parties.
- 5.3 There are a number of recommendations that will require action:
- 5.3.1 The individual Category 1 responders, for example Local Authorities, “should design, implement and review resilience at Senior Management level and embed it in their own corporate governance process, if they do not already do so. This would encompass the recommendation in the guidance that organisations/agencies should have an organisational resilience strategy that identifies and manages the risks that support the delivery of resilience.
- 5.3.2 A greater involvement with ‘unregulated industry’ to encourage and pre-define collaboration during emergencies. It is considered that this can be scoped through increased liaison in the first instance between the Counter Terrorism Security Advisors and the Chief Emergency Planning Officer which could lead to greater links into industry. This would build on the existing relationships that already exist between various strands of industry and the Emergency Planning Unit, for example the petro-chemical industries and nuclear power station.
- 5.3.3 Creating an ‘organisational resilience strategy’ that sets out how local authorities and other Category 1 responders identify, assess and manage the changing risks that support the delivery of resilience. It is considered that this could in the first instance be scoped by the LRF Risk Assessment Working Group who can make future recommendations to the Chief Emergency Planning Officer for him to take forward into the individual local authorities.
- 5.3.4 Developing ‘local planning assumptions’ that should link to the risk register and drive planning that is in place. Whilst we have local planning assumptions, there may be the need to have a more structured approach. It is considered that this could in the first instance be scoped by the LRF Risk Assessment Working Group who can make future recommendations.
- 5.3.5 Improving the understanding of local authorities and other Category 1 responders of critical infrastructure and building effective relationships with infrastructure owners etc. It is considered that this can be scoped through increased liaison in the first instance between the Counter Terrorism

AGENDA ITEM: 4.10

Security Advisors and the Chief Emergency Planning Officer and then developed through the LRF Officer Working Group.

- 5.4 Some areas are considering forming Critical National Infrastructure Working Sub Groups to deliver on this guidance. It is considered that should the category 1 responders in Cleveland, including the local authorities, undertake the actions as described above at 5.3, then the forming of another sub-group is unnecessary at this time.

6. Recommendations

- 6.1 That Members' note that the action at 5.3.1 will be taken forward by the Chief Emergency Planning Officer to Tees Valley Chief Executives Group.
- 6.2 That Members agree the actions as considered in sections 5.3.2 to 5.3.4 and 5.4 above.
- 6.3 That Members' note that the recommendations in Guide 3 on Information Sharing and Co-operation are being adequately addressed through having a joint Emergency Planning Unit on behalf of the four local authorities.
- 6.4 That the EPU continues to involve utilities, industry, and infrastructure operators/owners in exercises such as Watemark and Nemo. This will help to build effective working relationships and utilise the knowledge and experience of industry representatives in exercising and reviewing emergency plans.
- 6.5 Members note the consultation response document completed by the Chief Emergency Planning Officer attached at Annex A and returned to the Cabinet Office by the deadline of 6th May.

Report Author: Denis Hampson
Chief Emergency Planning Officer and LRF Manager

Report Dated: 29th April 2011

Annex A

Organisation: Cleveland Emergency Planning Joint Committee (Cleveland EPU)	
Contact details : Denis.Hampson@hartlepool.gov.uk	
Group	Questions
Section A: Chapter 2 Definitions	1. Are these definitions for infrastructure clear and appropriate?
	Yes
	Additional comments: Someone seeking to gain an understanding in resilience for planning purposes would find these definitions sufficiently clear.
	2. Does the use of the four components of resilience (figure 2) help to convey the need to think in broader terms than 'protection' when building resilience?
	Yes
	Additional comments: It is particularly useful in conveying the potential cost effectiveness to an organisation of building a resilience capability. It would be useful as a guide for an organisation with no background in resilience planning.
Section B: Building Resilience	3. Is the structure and content of the Guide helpful and clear? Please suggest how either can be improved.
	Yes
	Additional comments: The section format of the document makes clear references and resilience planners can consult relevant sections as required.
	4. Does the Infrastructure Resilience Model clarify the

AGENDA ITEM: 4.10

	process of building infrastructure resilience?
	Yes
	Additional comments: It provides a quick and clear reference for understanding organisational resilience. It also places information sharing at the centre, which is a key theme in the document.
	5. Should this Guide be published electronically on the UK Resilience website and National Resilience Extranet in parts to enable different audiences to access the relevant guidance / chapters?
	Yes
	Additional comments:
Section B: Chapter 3 Natural hazards	6. Does the 'unrestricted' information on the hazards from the National Risk Assessment provide a reasonable basis for civil emergency planning for infrastructure?
	Yes
	Additional comments: However it is only one element of the planning process and close liaison/cooperation with infrastructure owners is ultimately the only way to ensure adequate planning against hazards as they can provide the information and assessments of the resilience of the infrastructure.
	7. Should this information on hazards be linked to the National Risk Assessment to ensure new risks are included in future updates of this guidance?
	Yes
	Additional comments:
	8. Is information required on any other risks not included in this current version of the Guide? If yes, please state which natural hazards?

AGENDA ITEM: 4.10

	No
	Additional comments:
Section B: Chapter 4 Standards	9. Do you agree that a blanket standard for all hazards and all sectors would be disproportionate and unachievable?
	Yes
	Additional comments: Due to the differing nature of sectors, differing professional/regulatory standards and different costs across sectors.
	10. Is this flexible approach that builds upon existing industry standards workable in practice?
	Yes
	Additional comments: It stands the best chance of gaining cooperation from industry by not placing a rigid standard which could have uneven cost effects on different sectors. A flexible approach may be the best opportunity to raise resilience standards of industry relatively quickly to meet an evolving target mentioned in the document.(p.27)
Section B: Chapter 5 Sector Resilience Plans	11. Are Sector Resilience Plans a helpful method to gain a regular high-level assessment of the overall resilience of infrastructure in each Sector? Please explain your answer, and suggest any further or alternative methods of assessing infrastructure resilience and/or monitoring progress.
	Yes
	Additional comments: They give a summary overview of each sectors' resilience for information purposes only. For local planning they are not relevant as they do not detail specific locations. This is understandable due to the sensitive nature of the contents but

	an understanding with owners/operators to gain access to this information when an event occurs would be useful in order to effectively implement emergency plans.
Section B: Chapter 6 Governance and Organisational Resilience	12. Do you agree with the need to ensure resilience is incorporated into corporate governance? Please explain your answer, and suggest any further action that would help to achieve this.
	Yes
	Additional comments: There is a primary need to ensure resilience is incorporated into the corporate governance arrangements of the Category 1 responders. However, practically it may be very difficult to get companies/industry/category 2 responders to act on this if there is not a clear cost benefit. It will probably be much easier for those companies/industry that have been affected in some way to see the utility of this approach. Perhaps some form of free publicity on government websites for companies/departments that embed it e.g. online register, or a badge of endorsement from government/Cabinet Office for companies that comply, it could be linked to raising the profile of BS25999. However, electronic/online endorsement should be used to minimise costs to government.
Section B: Chapter 7 Guidance for regulated sectors	13. Is this guidance helpful for organisations in the economically regulated sectors?
	Yes
	Additional comments: This will likely depend on level of awareness of previous work and on their history in dealing with natural hazards. This guidance summarises some issues (Box 7) removing the need to start over again with some assessments and preceding guidance which should be highlighted so economically regulated sectors are not inundated with guidance and recommendations which may appear to be repeated in later guidance.
	14. Is there any further support needed from Government to enable regulated sectors to build resilience in infrastructure?
	Yes

AGENDA ITEM: 4.10

	<p>Additional comments:</p> <p>Ensure that if government becomes aware of any particularly good and cost effective measures implemented/thought of by companies/industry, LRF's, etc. this is shared with companies/industry in the economically regulated sectors.</p>
Section B Chapter 8 Sharing information and assessing dependencies	<p>15. Do you consider that this approach is suitable for Cat 1 and Cat 2 responders who do not already have arrangements in place to share information on critical infrastructure? Please explain your answer, and suggest any further clarification that is necessary.</p> <p>Yes</p> <p>Additional comments:</p> <p>Recommendations such as establishing effective relationships are important to increase effectiveness. Further clarification could be given for some sections e.g. 8.9 (d) Improve knowledge of Critical Infrastructure- this does not give enough detail to those with little or no knowledge of Critical Infrastructure, examples of how this may be done, what organisations should be looking for could be given i.e. <i>XX no. of households will be affected by the loss of this sub station therefore LRF's should be aware.</i> Exercising with infrastructure owners is also of use in building good relationships and increasing knowledge of infrastructure resilience as was done in Cleveland through Exercise Watemark which involved representatives from local top tier COMAH sites and utilities.</p> <p>16. The process for information sharing includes a step to determine planning assumptions for the loss of essential services in an LRF area. Would it be helpful for the Cabinet Office to produce national planning assumptions for loss of essential services?</p> <p>Yes</p> <p>Additional comments:</p> <p>It would provide a good starting point for LRF areas with little or no planning in place and generally help to raise the national standard of resilience preparation around the UK.</p>
Other	<p>17. Please provide any other comments you have on the consultation document.</p>

AGENDA ITEM: 4.10

	Yes
	<p>Additional comments:</p> <p>A greater emphasis on regular exercising with infrastructure owners in order to gather information on Critical Infrastructure for responders should be made. Examples such as Lincolnshire in Box 8 should continue to be emphasised as a good method of gathering information and building effective working relationships.</p>
	<p>18. The Cabinet Office would like to receive examples of good practice of embedding resilience into corporate governance and/or approaches to creating organisational resilience that can be shared within the resilience community.</p> <p>Response:</p> <p>The Cleveland Emergency Planning Unit has developed a strategic risk register for the EPU to assist with corporate governance and which is monitored by an elected members committee. For example, one of the main risks to the EPU is a reduction in financial contributions to the EPU from the Local Authorities which would dilute or limit the emergency planning/civil contingencies service that could be delivered. Mitigation is shown against that risk plus additional actions.</p>