

EMERGENCY PLANNING JOINT COMMITTEE

AGENDA

Wednesday 24th February 2016

1.00 pm

At the Emergency Planning Annex,
Stockton Police Station, Bishop Street,
Stockton-On-Tees, Cleveland, TS18 1SY

EMERGENCY PLANNING JOINT COMMITTEE:

Hartlepool Borough Council:-
Councillor Marjorie James

Middlesbrough Borough Council:-
Councillor Charles Rooney

Redcar and Cleveland Borough Council:-
Councillor Helen McLuckie

Stockton Borough Council:-
Councillor Mike Smith

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 2nd December 2015 (previously circulated)**



4. ITEMS FOR DECISION/INFORMATION

- 4.1 2014/15 Annual Return and Audit Report – *Chief Finance Officer*
- 4.2 Financial Management Report – as at 30th September 2015 – *Chief Finance Officer and Chief Emergency Planning Officer*
- 4.3 Financial Management Report – as at 31st December 2015 - *Chief Finance Officer and Chief Emergency Planning Officer*
- 4.4 CEPU Action Plan 2015/16 – *Chief Emergency Planning Officer*
- 4.5 Reported Incidents and Warnings Received – *Chief Emergency Planning Officer*

5. ANY OTHER BUSINESS WHICH THE CHAIR CONSIDERS URGENT



EMERGENCY PLANNING JOINT COMMITTEE

24th February, 2016



Report of: Chief Finance Officer

Subject: 2014/15 ANNUAL RETURN AND AUDIT REPORT

1. PURPOSE OF REPORT

1.1 The purposes of this report are to: -

- (i) enable Members to approve the Annual Return for 2014/15 (which includes the Accounting Statements); and
- ii) present the external audit report by BDO LLP.

2. BACKGROUND

2.1 The audit of the 2014/15 Small Bodies Annual Return for the year ending 31st March 2015 has now been completed.

2.2 The Accounts and Audit Regulations 2011 require all smaller relevant bodies in England to complete an annual return summarising the committee's annual activities. . The return covers:

- Accounting statements
- An annual governance statement
- An annual internal audit report

2.3 This return was approved by the committee on 17th June and then sent to the BDO LLP for audit.

3. ANNUAL RETURN

3.1 The completed Annual Return, including the completed auditor certificate is attached at Appendix A. This confirms that the annual return has been completed in accordance with proper practices and there are no matters of concern that relevant legislation and regulatory requirements have not been met.

- 3.2 A key positive result of the audit was that no adjustments were required to Accounting Statements included in the annual return submitted.
- 3.3 In line with Accounting and Audit Regulations 2011, Members are requested to formally approve and accept the audited Annual Return.

4 ISSUES ARISING REPORT

- 4.1 The auditor's 'Issues Arising' Report is attached at Appendix B. This contains a number of issues and recommendations which have subsequently been addressed as detailed in the Management Responses included in the Action Plan, attached at Appendix C.
- 4.2 Members are requested to note the contents of the report and approve the management responses provided.

5. RECOMMENDATIONS

- 5.1 That Members note the contents of the above report and:
 - (i) approve the Annual Return; and
 - (ii) note the 'Issues Arising' and approve the management responses as detailed in Appendix C.

6. REASONS FOR RECOMMENDATIONS

- 6.1 To comply with the Accounts and Audit Regulations 2011 and meet statutory requirements.

7. BACKGROUND PAPERS

- 7.1 None.

8. CONTACT OFFICER

Chris Little
Chief Finance Officer
Tel: 01429 523003
Email: chris.little@hartlepool.gov.uk

Small Bodies in England

Annual return for the financial year ended 31 March 2015

Small relevant bodies in England with an annual turnover of £6.5 million or less must complete an annual return in accordance with proper practices summarising their annual activities at the end of each financial year.

The annual return on pages 2 to 5 is made up of four sections:

- Sections 1 and 2 are completed by the person nominated by the body.
- Section 3 is completed by the external auditor appointed by the Audit Commission.
- Section 4 is completed by the body's internal audit provider.

Each body must approve this annual return no later than 30 June 2015.

Completing your annual return

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

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

Send the annual return, together with your bank reconciliation as at 31 March 2015, an explanation of any significant year on year variances in the accounting statements and any additional information requested, to your external auditor by the due date.

Your external auditor will identify and ask for any additional documents needed for their work. Therefore, unless requested, do not send any original financial records to the external auditor.

Once the auditor has completed their work, certified annual returns will be returned to the body for publication or public display of sections 1, 2 and 3. You must publish or display the annual return, including the external auditor's report, by 30 September 2015.

It should not be necessary for you to contact the external auditor 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 2014/15 for:

Enter name of reporting body here:

CLEVELAND EMERGENCY PLANNING JOINT COMMITTEE

	Year ending		Notes and guidance
	31 March 2014 £	31 March 2015 £	
1 Balances brought forward	211,896	261,331	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	620,225	600,769	Total income or receipts as recorded in the cashbook less the taxation and/or levy (line 2). Include any grants received here.
4 (-) Staff costs	370,825	408,383	Total expenditure or payments made to and on behalf of all 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	199,965	165,604	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	261,331	288,113	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 plus other long term investments and assets	0	0	The original Asset and Investment Register value of all fixed assets, plus other long term assets owned by the body as at 31 March
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 2015 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:

e. Latta

Date 7.5.2015

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

17/06/2015

and recorded as minute reference:

31

Signed by Chair of meeting approving these accounting statements:

M A James

Date 17/6/15.

Section 2 – Annual governance statement 2014/15

We acknowledge as the members of **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 2015, that:

	Agreed –		'Yes' means that the body:
	Yes	No*	
1 We 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 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 took all reasonable steps to assure ourselves that there are no matters of actual or potential non-compliance with laws, regulations and proper practices that could have a significant financial effect on the ability of the body to conduct its business or on its finances.	✓		has only done what it has the legal power to do and has complied with proper practices in doing so.
4 We 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 carried out an assessment of the risks facing the body and took 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 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 took 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 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

31 MINUTE REFERENCE

dated **17/06/2015**

Signed by:

X Chair **MA James**

dated **17/6/15**

Signed by:

X Clerk **ARMSTRONG**

dated **17.6.15.**

*Note: Please provide explanations to the external auditor on a separate sheet for each 'No' response. Describe how the council will address the weaknesses identified.

Section 3 – External auditor certificate and report 2014/15 Certificate

We certify that we have completed our review of the annual return, and discharged our responsibilities under the Audit Commission Act 1998 as transitionally saved, for the year ended 31 March 2015 in respect 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 2015; and
- confirms and provides assurance on those matters that are important to our audit responsibilities.

Our responsibility is to review the annual return in accordance with guidance issued by the Audit Commission (see note below). Our work does not constitute an audit carried out in accordance with International Standards on Auditing (UK & Ireland) and does not provide the same level of assurance that such an audit would do.

External auditor report

~~(Except for the matters reported below)*~~ on the basis of our review of the annual return, 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:

Please see enclosed report

**BDO LLP Southampton
United Kingdom**

(continue on a separate sheet if required)

External auditor signature BDO LLP

External auditor name **BDO LLP Southampton
United Kingdom**

Date 19/9/15

BDO LLP is a limited liability partnership registered in England and Wales (with registered number OC305127).

Note: The Audit Commission issued guidance in its Standing Guidance, which is applicable to external auditors' work on 2014/15 accounts.

Section 4 – Annual internal audit report 2014/15 to

CLEVELAND EMERGENCY PLANNING JOINT COMMITTEE

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 2015.

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 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, all 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, all 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: NOEL ADAMSON

Signature of person who carried out the internal audit: N Adams Date: 18/05/2015

*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 2014/15 annual return

- 1 You must apply proper practices for preparing this annual return. Proper practices are found in the Practitioners' Guides* which are updated from time to time and contain everything you should need to prepare successfully for your financial year-end and the subsequent audit. Both NALC and SLCC have helplines if you want to talk through any problem you may encounter.
- 2 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 drawn to the attention of and approved by the body, properly initialled and an explanation is provided to the external 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 to the external auditor.
- 4 Do not send the external auditor any information not specifically asked for. Doing so is not helpful. However, you must notify the external auditor of any change of Clerk, Responsible Financial Officer or Chair.
- 5 Make sure that the copy of the bank reconciliation which you send to your external auditor with the annual return covers all your bank accounts. If your body holds any short-term investments, note their value on the bank reconciliation. The external auditor must be able to agree your bank reconciliation to Box 8 on the Accounting statements. 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 Explain fully significant variances in the accounting statements on page 2. Do not just send in a copy of your detailed accounting records instead of this explanation. The external auditor wants to know that you understand the reasons for all variances. 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 external 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 Make sure that your accounting statements add up and the balance carried forward from the previous year (Box 7 of 2014) equals the balance brought forward in the current year (Box 1 of 2015).
- 9 Do not complete section 3. The external auditor will complete it at the conclusion of the 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 2015 agreed to Box 8?	N/A
	An explanation of any difference between Box 7 and Box 8 is provided?	N/A
Section 2	For any statement to which the response is 'no', an explanation is provided?	N/A ✓
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.

ISSUES ARISING REPORT FOR
Cleveland Emergency Planning Joint Committee
Audit for the year ended 31 March 2015

Introduction

The following matters have been raised to draw items to the attention of Cleveland Emergency Planning Joint Committee. These matters came to the attention of BDO LLP during the audit of the annual return for the year ended 31 March 2015.

The audit of the annual return may not disclose all shortcomings of the systems as some matters may not have come to the attention of the auditor. For this reason, the matters raised may not be the only ones that exist.

The matters listed below are explained in further detail on the page(s) that follow;

- Internal audit report
 - External auditor's report not minuted
 - Minutes
-

The following issue(s) have been raised to assist the body. The body is recommended to take action on the following issue(s) to ensure that the body acts within its statutory and regulatory framework.

Internal audit report

What is the issue?

The body relies upon the internal controls of the host authority.

Why has this issue been raised?

Internal audit procedures are carried out on a risk based approach on a cyclical basis and are considered proportionate to the needs, the size and circumstances of the body. The internal auditor has completed section 4 of the annual return on the basis of his review of the host authorities records and did not cover the specific tests in the year. Proper practice states that it is good practice for internal audit to be undertaken regularly throughout the financial year to test the continuing existence and adequacy of internal controls.

What do we recommend you do?

The body documents each year that it has considered the requirements of the regulations and are satisfied it has complied with those and that the specific internal audit work is appropriate.

Further guidance on this matter can be obtained from the following source(s):

Governance and Accountability in Local Councils in England - A Practitioners' Guide, NALC/SLCC

External auditor's report not minuted

What is the issue?

The external auditor's report for the year to 31 March 2015 has not been minuted as considered by the body.

Why has this issue been raised?

The body are not acting in accordance with the Audit Commission Act 1998. It is a requirement of the Audit Commission Act 1998, para 11, that all reports and/or recommendations made by the auditors are considered by the body.

What do we recommend you do?

The body must ensure all subsequent audit reports are reported to the body and minuted as received. If recommendations are made, an action plan should be drawn up to ensure that the recommendations are carried out.

Further guidance on this matter can be obtained from the following source(s):

Audit Commission Act 1998 - Office of Public Sector Information website
Local Council Administration, 8th Edition, Charles Arnold-Baker, Chapter 18.15 to 18.18

Minutes

What is the issue?

The body produced printed minutes, which were submitted for audit purposes. The pages were not

initialled by the person signing the minutes.

Why has this issue been raised?

This body submitted minutes for audit purposes which were not maintained in accordance with schedule 12, paragraph 41(2) of the Local Government Act 1972.

What do we recommend you do?

The body should ensure with immediate effect that if a loose leaf minute book is maintained the loose leaf pages are consecutively numbered and initialled by the person signing the minutes.

Minutes must be maintained in accordance with the Local Government Act 1972. Loose leaf minute books are lawful but the loose leaf pages must be consecutively numbered and each page must be initialled by the person signing the minutes.

Further guidance on this matter can be obtained from the following source(s):

Local Council Administration, 8th Edition, Charles Arnold-Baker, Chapter 7

No other matters came to our attention.

For and on behalf of
BDO LLP

Date: 19 August 2015

Recommendation	Management Response
<p>Internal Audit The body documents each year that it has considered the requirement of the regulations and are satisfied with those and that the specific internal audit work is appropriate.</p>	<p>Internal audit of the host bodies fundamental systems are carried out on an annual basis to ensure the continuing existence of an adequate control environment. This covers the systems of control that apply to the bodies main administrative arrangements. Reliance is placed on the outcome of this work and is proportionate to the risk faced by the organisation. In addition to this a full cyclical review of the operation of the body is carried out. The timing of this review is based on an assessment of risk and is undertaken in line with Public Sector Internal Audit Standards and on completion is reported to the body. Based on a initial assessment of risk this is next due to be undertaken in 2016/17, the outcome of which will be reported to the body.</p> <p>In order to comply with the recommendation made, the body will document each year that it has considered the compliance with regulations and is satisfied internal audit work is appropriate.</p>
<p>External Auditors Report The body must ensure all subsequent audit reports are reported to the body and minuted as received. If recommendations are made, an action plan should be drawn up to ensure the recommendations are carried out.</p>	<p>This report meets these requirements.</p>
<p>Minutes The body should ensure with immediate effect that if a loose leaf minute book is maintained the loose leaf pages are consecutively numbered and initialled by the person signing the minutes.</p>	<p>The minutes are available to all Cleveland residents via the Hartlepool Borough Council website. In addition a loose leaf book is produced for record keeping and hard copies can be provided if required.</p>

EMERGENCY PLANNING JOINT COMMITTEE

24 February, 2016



Report of: Chief Finance Officer and Chief Emergency Planning Officer

Subject: FINANCIAL MANAGEMENT REPORT - AS AT 30th SEPTEMBER 2015

1. PURPOSE OF REPORT

- 1.1 To provide details of progress against the Joint Committee's overall revenue budget for 2015/2016.
- 1.2 To provide a medium term financial forecast for the five year period covering 2016/17 to 2020/21 and make recommendations for addressing the effect of annual 5% reductions in Local Authority contributions and a potential removal of Local Levy Fund income in 2017/18.

2. BACKGROUND AND REPORTING ARRANGEMENTS 2015/16

- 2.1 The report provides an overall picture of performance and progress of the Emergency Planning Unit (EPU) against the approved 2015/2016 revenue budget.
- 2.2 The Committee provides political accountability for the Joint EPU and oversees the EPU from a political viewpoint. The Committee itself does not have a budget but oversees the Unit on behalf of four local authorities within the Tees Valley (excluding Darlington) to ensure accountability and to provide a strategy for addressing financial issues. This Committee will continue to receive regular reports which will provide an update of forecast outturns and explanation of any significant budget variances and any other financial issues arising.

3. 2015/16 FORECAST OUTTURN AND QUARTER 2

- 3.1 As reported in the table overleaf, the overall forecast favourable outturn variance is £43,000. The main reasons for this are:

- Staff savings following an internal restructure in anticipation of future saving requirements in addition to one-off savings resulting from vacant posts.
- A higher level of COMAH Fee income compared to budget. This type of income is demand led in nature and can vary from year to year in terms of the volume and size of the exercise. The budget estimate is intended to reflect an average year. Most of the additional income is expected in the second half of the financial year.
- Reduced accommodation and ICT costs as a result of the move of the Unit in April 2015.
- Additional income from training courses compared to budget.

3.2 The forecast outturn includes costs of £16,000 in relation to the accommodation move which have been offset by a release of reserves, as approved as part of the 2014/15 outturn report.

3.3 It is proposed that any favourable variance at outturn is transferred to reserves to support future service delivery.

3.4 A summary of the overall Emergency Planning budget is shown in the table below:

Budget	Description	Annual Budget	Expected Budget to Date	Actual 30/9/15	Variance to Date Adverse/ (Favourable)	Projected Outturn Variance Adverse/ (Favourable)
		£'000	£'000	£'000	£'000	£'000
Emergency Planning	Direct Costs - Employees	359	180	161	(19)	(39)
	Direct Costs - Other	102	34	38	4	11
	Income	(445)	(304)	(301)	3	(12)
	Use of Reserve	(16)	(16)	(16)	0	0
Emergency Planning Total		0	(106)	(118)	(12)	(40)
Local Levy Fund	Direct Costs - Other	50	25	25	0	0
	Income	(50)	(25)	(25)	0	0
Environment Agency Total		0	0	0	0	0
Local Resilience Forum (LRF)	Direct Costs - Other	46	20	15	(5)	0
	Income	(46)	(46)	(46)	0	0
LRF Total		0	(26)	(31)	(5)	0
Enterprise	Direct Costs - Other	0	0	1	1	16
	Income	0	0	(3)	(3)	(19)
Enterprise Total		0	0	(2)	(2)	(3)
Training and Exercise	Direct Costs - Employees	0	0	2	2	15
	Use of Reserve	0	0	(2)	0	(15)
Training and Exercise Total		0	0	0	2	0
GRAND TOTAL		0	(132)	(151)	(17)	(43)

- 3.5 The latest forecast for the Training and Exercise Budget is to release £15,000 currently held within the earmarked reserve for this budget. The intention is to use all of this reserve by March 2017.

4 MEDIUM TERM FINANCIAL FORECAST 2016/17 TO 2020/21

- 4.1 The EPU faces some significant financial challenges in the coming years as a result of decreasing contributions from the four Local Authorities, following the agreement between the Councils to continue the annual 5% reduction until March 2018. The reductions in Council contributions are driven by significant cuts in Government funding, which have had a disproportionate impact on the four Tees Valley Authorities. In addition, there is uncertainty as to whether external income streams will continue. In particular, the current Local Levy Fund arrangements end on 31st March 2017.
- 4.2 There are also pressures on expenditure budgets as a result of the proposed annual 1% pay increase for 4 years, the National Insurance increase in 2016 and the potential impact from the phased implementation of a National Living Wage, particularly as staffing costs account for approximately 65% of running costs.
- 4.3 The Table overleaf shows the forecast financial position for the next five years, taking into account known funding reductions and expected levels of inflation, including 1% pay increases.
- 4.4 As shown by the table overleaf, the savings target resulting from reduced Local Authority contributions of 5% and impact of inflation has been addressed by measures taken to date. In particular, significant savings have already been achieved as a result of internal staffing restructures, with two recently vacated posts not being filled. The accommodation move from Aurora Court has also helped to reduce overheads. This has resulted in the phasing of savings being achieved in advance of reducing income – resulting in an under spend and contribution to reserves in the current year and the savings required for 2016/17.

	2016/17 £000	2017/18 £000	2018/19 £000	2019/20 £000	2020/21 £000	Notes
Expenditure						
Direct Costs - Employees	349	327	330	334	337	
Direct Costs - Running Expenses	142	110	110	110	112	
Expenditure Sub Total	491	437	440	444	449	
Income						
CFA & NEAS Accommodation Recharge	(7)	(7)	(7)	(7)	(7)	
COMAH Exercises	(20)	(20)	(20)	(20)	(20)	
LA Contributions	(332)	(315)	(315)	(315)	(315)	1
Local Resilience Forum (LRF)	(41)	(41)	(41)	(41)	(41)	
Local Levy Fund	(70)					2
Police Admin Recharge	(10)	(10)	(10)	(10)	(10)	
Training Fees	(18)	(20)	(20)	(20)	(20)	
Income Sub Total	(498)	(413)	(413)	(413)	(413)	
Annual Deficit/(Surplus)	(7)	24	27	31	36	
Further 5% Reductions from 18/19			16	15	15	3
Annual Deficit/(Surplus) with further 5% Reductions	(7)	24	43	58	73	

Notes

- 1/ Local Authority contributions reduce by 5% each until 31/3/18
- 2/ Current funding arrangement ends 31/3/17. Assumes a removal of post and reduced running costs in 2017/18 if funding is not continued.
- 3/ Shows the effect if 5% reductions to contributions continue beyond 2017/18.

5. RESERVES

5.1 The Table below shows the current level of reserves and proposed transfers in the current year as detailed in section 3 above.

Reserve	Balance as at 1st April 2015 £000	Transfers in £000	Transfers Out £000	Balance as at 31st March 2016 £000
Emergency Planning General Reserve	174	40	16	198
Beacon Authority	26			26
Enterprise	27	3		30
Training & Exercise Group	30		15	15
Local Resilience Forum	31			31
	288	43	31	300

5.1 The use of reserves will help the Unit during a period of transition as further savings need to be achieved. They will also help mitigate the risk of any measures taken not being successful, such as a reliance on increased income generation.

6. STAFFING

6.1 The Unit has few options for further reducing costs other than reducing staffing. It is the Chief Emergency Planning Officer's (CEPO) conclusion that under the statutory framework and non-statutory expectations, the existing staffing structure is the minimum level required to provide a service that reflects the risk profile of the area.

6.2 There is a concern that if the 5% reductions in contribution were to continue to be applied beyond the period up to March 2018, the reduction to staffing will undermine the viability of the unit. This would pose significant risks to the contributing authorities and significantly impact on the ability to prepare for, respond to and recover from an incident. In addition there is a risk of being unable to demonstrate compliance with the duties under COMAH (Control of Major Accident Hazards), REPIR (Radiation Preparedness and Public Information Regulations) and the Civil Contingencies Act (2004)

6.3 Members are asked to note the reduction in staffing that has already occurred in the period 2010/11 (12 posts) to 2015/16 (8 posts plus an apprentice). Members are also asked to note that this reduction has been undertaken against a background of greater efficiencies and increasing demands on staff, and the unit as a whole, throughout which the Unit has continued to deliver and perform well against its objectives. Current staffing levels compared to 2009/10 are shown in the table below.

2009/10 CEPU Staffing	2015/16 CEPU Staffing
1 x Chief EPO / LRF Manager	1 x Chief EPO / LRF Manager
1 x Principal EPO	1 x Principal EPO
3 x Senior EPOs Boroughs	4 x Senior EPOs
1 x Senior EPO Industry	1 x LRF Coordinator (PT)
2 x EPOs	1 x Business Support Officer (PT)
1 x LRF Assistant	1 x EPO (Fixed Term – LLF)*
1 x Senior Administrator	1 x Apprentice**
1 x Administrative Assistants (Job Share)	

6.4 It is intended that the vacant Emergency Planning Officer* post (Local Levy Fund community resilience) will be restructured to a fixed term contract aligned to the current funding timescales of the local levy fund. Should the

project be extended beyond the existing timescale the contract can then be extended as appropriate.

- 6.5 The Local Levy Fund contribution has increased in 2016/17 by £20,000 as a result of additional funding earmarked for a specific project. The CEPO will seek to demonstrate the added value of the additional £20,000 to be provided to the project in 2016-17 with a view to gaining support for the extension of the project and increasing the amount available via these funding opportunities.
- 6.6 In a similar nature an apprentice** role has been built into the budget model for 2015-16 onwards. There are a number of benefits associated with bringing an apprentice into the role, in terms of support for a continually reducing administrative capacity and support for agencies within the Unit / LRF, however the commitment can be reviewed on an annual basis.

7 RISK IMPLICATIONS

7.1 To reduce the Unit's staffing further would:

- (i) Reduce the unit's ability to provide support to the Local Authorities in the event of a protracted incident such as that experienced in December 2013. This is particularly significant given the reducing pool of staff and experience that within each of authorities has to draw on in the event of an incident.
- (ii) Impact on the critical mass required to maintain knowledge and relationships across a wide number of risks and represent the authorities views at a number of fora.
- (iii) Hinder the ability of the unit to develop, administer and provide training. A point is likely to be reached whereby the development and running of training will become unviable.
- (iv) Take the focus away from prevention and risk removal, to the immediate statutory demands – whilst saving in the short term this is likely to increase the risk to the authority and Cleveland as an entity in the long term, as a result of increased disruptions.

8. MEDIUM TERM FINANCIAL STRATEGY

- 8.1 It is clear that there are a number of emerging strategic issues which may require a change in the way that resilience is delivered (recent consultations have included devolution, closer working between emergency services). However great uncertainty remains as to what the impact of these changes / proposals could mean for the area, the services we provide and the services we work with.
- 8.2 Given these significant unknowns it would appear prudent, given the reserves built up, that the existing Unit and way of working is maintained until such a

point where an informed decision can be made on the future provision of a resilience service. This will ensure that the expertise and capability is maintained within both the Unit and local authorities and that the Unit remains in a position to take advantage of opportunities, such as the community resilience project or projects associated with the risk profile of the area.

- 8.3 To address the longer term financial stability of the Unit It is recommended that the Unit seek agreement for the freezing of further reductions from the Local Authority contributions beyond 17/18. If such an agreement could be reached which provides future funding stability, there could be scope for giving Councils a one-off refund from the current level of reserves. It is therefore recommended that a report to the Leaders and Chief Executive of the four Councils is taken during 2016/17 which recommends a long term funding strategy which freezes the annual contribution in cash terms.
- 8.4 In the interim it is recommended that a number of measures be undertaken to address the projected 2017/18 budget deficit and medium term financial position of the Unit. These are:
- Seek agreement from the LRF for future funding 2016-19 on a par with existing funding. Funding was last reviewed in 2013 where the additional role in providing support for the LRF by CEPU staff was reflected in an increase in funding.
 - As with previous years the unit will look to reduce expenditure line by line within the budget. This may include reducing travel and freezing all non-essential training.
 - Increase income generation activities from locally produced training such as the Schools and Care Home packages.
 - Identify future grants where increases in funding can be obtained, and seek to secure additional funding opportunities.
 - Ensure that the contribution to the joint unit accommodation and administrative costs from Cleveland Fire Brigade and North East Ambulance Service of £7,000 are maintained. Consider if there is scope to further increase the profile and membership of the joint unit through additional partners.
 - That every opportunity to maintain the Community Resilience Project is maintained, and if possible that the additional £20,000 to be provided in 2016/17 is built into future iterations of the project.
 - Ensuring that all rechargeable expenses are claimed for work undertaken under legislation or where it falls outside the core remit of the Unit / LRF e.g. assisting partners with internal exercising.

9. RECOMMENDATIONS

9.1 That Members note the contents of the report and approve the following:

- Use £16,000 of reserves to fund the cost of the accommodation move and release £15,000 as part of the strategy to use up the Training & Exercising Group Reserve by March, 2017.
- Transfer any underspend to reserves to support future service delivery.
- Note that the savings requirement target for 2016/17 has been achieved
- To report to the Leaders and Chief Executives of the four Councils during 2016/17 to recommend a longer term financial strategy for the Unit including the proposal to fix the annual contribution in cash terms from 2017/18.
- Approve the measures detailed in section 8 for addressing the forecast deficit in the medium term.

10. REASONS FOR RECOMMENDATIONS

To support future service delivery of the Emergency Planning Unit.

11. BACKGROUND PAPERS

11.1 None.

12. CONTACT OFFICER

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EMERGENCY PLANNING JOINT COMMITTEE

24th February, 2016



Report of: Chief Finance Officer and Chief Emergency Planning Officer

Subject: FINANCIAL MANAGEMENT REPORT - AS AT 31st DECEMBER 2015

1. PURPOSE OF REPORT

- 1.1 To provide details of progress against the Joint Committee's overall revenue budget for 2015/2016.

2. BACKGROUND AND REPORTING ARRANGEMENTS 2015/16

- 2.1 The report provides an overall picture of performance and progress of the Emergency Planning Unit (EPU) against the approved 2015/2016 revenue budget.
- 2.2 The Committee provides political accountability for the Joint EPU and oversees the EPU from a political viewpoint. The Committee itself does not have a budget but oversees the Unit on behalf of four local authorities within the Tees Valley (excluding Darlington) to ensure accountability and to provide a strategy for addressing financial issues. This Committee will continue to receive regular reports which will provide an update of forecast outturns and explanation of any significant budget variances and any other financial issues arising.

3. 2015/16 FORECAST OUTTURN AND QUARTER 3

- 3.1 As reported in the table overleaf, the overall forecast favourable outturn variance is £61,000. This is greater than the £43,000 favourable variance reported at Quarter 2, because of an additional staffing vacancy resulting in £16,000 less expenditure on salaries on the Local Levy Fund budget. The remainder of the favourable variance is owing to the reasons reported last quarter. These include:

- Staff savings following an internal restructure in anticipation of future saving requirements in addition to one-off savings resulting from vacant posts.
- A higher level of COMAH Fee income compared to budget. This type of income is demand led and can vary from year to year in terms of the volume and size of the exercise. The budget estimate is intended to reflect an average year. Most of the additional income is expected in the second half of the financial year.
- Reduced accommodation and ICT costs as a result of the move of the Unit in April 2015.
- Additional income from training courses compared to budget.

3.2 The forecast outturn includes costs of £16,000 in relation to the accommodation move which have been offset by a release of reserves, as approved as part of the 2014/15 outturn report.

3.3 It is proposed that any favourable variance at outturn is transferred to reserves to support future service delivery.

3.4 A summary of the overall Emergency Planning budget is shown in the table below:

Budget	Description	Annual Budget	Actual 31//12/15	Projected Outturn	Projected Outturn Variance Adverse/ (Favourable)
		£'000	£'000	£'000	£'000
Emergency Planning	Direct Costs - Employees	359	235	308	(51)
	Direct Costs - Other	105	69	113	8
	Income	(448)	(305)	(448)	0
	Use of Reserve	(16)		(16)	0
Emergency Planning Total		0	(1)	(43)	(43)
Local Levy Fund	Direct Costs - Other	50	2	34	(16)
	Income	(50)	(34)	(50)	0
Environment Agency Total		0	(32)	(16)	(16)
Local Resilience Forum (LRF)	Direct Costs - Other	41	2	41	0
	Income	(41)	(36)	(41)	0
LRF Total		0	(34)	0	0
Enterprise	Direct Costs - Other	0	15	15	15
	Income	0	(8)	(17)	(17)
Enterprise Total		0	7	(2)	(2)
Training and Exercise	Direct Costs - Other	0	11	15	15
	Use of Reserve	0	0	(15)	(15)
Training and Exercise Total		0	11	0	0
GRAND TOTAL		0	(49)	(61)	(61)

3.5 The latest forecast for the Training and Exercise Budget is to release £15,000 currently held within the earmarked reserve for this budget. The intention is to use all of this reserve by March 2017.

4. RECOMMENDATIONS

4.1 That Members note the contents of the report and approve the following:

- Use £16,000 of reserves to fund the cost of the accommodation move and release £15,000 as part of the strategy to use up the Training & Exercising Group Reserve by March, 2017.
- Transfer any underspend to reserves to support future service delivery.

5. REASONS FOR RECOMMENDATIONS

To support future service delivery of the Emergency Planning Unit.

6. BACKGROUND PAPERS

6.1 None.

7. CONTACT OFFICER

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EMERGENCY PLANNING JOINT COMMITTEE

24th February 2016



Report of: Chief Emergency Planning Officer

Subject: CEPU Action Plan 2015 / 16

1. Purpose of the report

1.1 To provide members with an update on the progress of the Cleveland Emergency Planning Unit against the 2015 /16 action plan.

2. Introduction

2.1 A number of realistic and meaningful performance indicators were approved by the EPJC at the meeting held in May 2015, these are identified to manage and continually improve the service and performance, and determine if the Emergency Planning Unit is meeting its aims and objectives.

2.2 The performance indicators are effectively monitored throughout the year and are regularly reviewed during performance review meetings with the EPU team.

3. Areas of note

3.1 From the action plan the following items are of note:

- Major incident plans and training needs have been revised in each authority, it should be noted that this is against a background of frequent change as the authorities restructure in the face of austerity.
- A rest centre exercise is to be held on the morning of the 24th February voluntary agencies will be represented.
- Control of Major Accident Hazard Regulations 2015 - Legal compliance is maintained. A number of plans are currently awaiting information from operators before full publication. It is anticipated that this will be received by March 2016.
- The REPPiR Plan for the power station has been reissued in line with a 3 yearly review period. It will be tested in exercise Jackdaw May 2016. The unit continues to attend Pre-Level 1 exercise or Level 1 exercises at the PowerStation.
- Strategic Exercise – a strategic exercise is normally held every financial year to test the full multi-agency command structure. Due to the close proximity of Exercise Sandpiper (January 2015) and Exercise Jackdaw (May 2016) it was agreed that no strategic exercise would take place in the current financial year. A number of tactical multiagency exercises have taken place.

- Independent Safety Advisory Group (ISAG) training has been offered to all four authorities – limited uptake due to a combination of previous uptake and changing remits within the authorities. The offer will be maintained in future years.
- Community Resilience consent has been received from the LRF Chief Officer Group to progress with a Community Resilience sub-group. The intention is to further develop community resilience activities such as the Skinningrove Exercise and youth exercising with partners. This includes the youth safety award “Exercise Aurora 2016” and crucial crew.
- Engagement with voluntary sector remains high with all indicators due to be met by year end including attendance at meetings, assurance on capabilities, inclusion in joint exercises and out of hours contacts.
- Social media continues to be an evolving issue. Whilst advised against a proactive social media presence CEPU has started to develop skills within social media monitoring and this has provided a number of benefits.
- We intend to identify specific communities at risk of a range of risks on the community risk register however resources have been re-allocated to the development of a regional risk register and development of local planning assumptions. Ultimately this will improve the quality of the community level risk assessments undertaken and make better use of partners limited resources although it is likely it will delay the process.
- Signposting information to small and medium enterprises continues with sector specific information having been produced and provided for relay through existing business networks. This includes the publically available National Planning Assumptions.
- A new Business Continuity Plan (BCM) plan has been created by the unit to cover its new accommodation – this will be tested by year end.
- Administrative and financial procedures continue to develop and evolve within the unit – greater use of a range of ICT is being introduced.
- An Administrative Apprentice has recently been recruited.
- Income generation continues to evolve based upon the identified needs of partners and evolving packages. Following review of current income generation streams the unit will move away from single provider training to enable a greater range of courses in future. Support is being provided to a number of academies in the development of their internal plans and training of staff.
- External training has been secured for LRF partners on tactical / strategic command and media. An internal recovery training package is being developed.

4. Key Themes

4.1 As outlined in the original paper the following key themes are being progressed alongside the action plan.

Key Theme	Progress
Maintaining the capability of response by the four authorities (planning and training)	To support the generic capability a number of specific activities have been identified within the CEPU workplan e.g. walkthroughs, training of borough officers.
Restructure of the Unit	An additional restructure is being undertaken to change a

	vacant post from permanent to a fixed term contract in line with the Community Resilience funding. This will enable the project objectives to be met whilst not endangering the future budget savings/staffing.
Development of a sustainable strategy for community resilience	This remains ongoing with community resilience now clearly on the Local Resilience Forums agenda. Further information and direction will be sought from a dedicated LRF sub-group and following an LRF workshop in March.
Development of localised planning assumptions and benchmarking capability against these	The work undertaken on developing Local Planning Assumptions and common consequences is being progressed. The lead officer has recently been asked to contribute to developing national policy.
Implementation of COMAH 2015	Feedback has been received by the Competent Authority (Health and Safety Executive and Environment Agency) and this is currently being assessed against working practices. We remain compliant with the requirements of COMAH 2015.
Addressing the revised guidance on Humanitarian Assistance and Recovery	Work continues with a CEPU officer now chairing a north east group dedicated to meeting the needs of survivors and relatives. Outputs will include a training day for partners and documentation.
Development of peer work plan between Joint EPU stakeholders	Work of mutual benefit continues to be produced with a number of common areas of concern being addressed.

5. RECOMMENDATIONS

- 5.1 That Members note the report and seek clarification, or involvement, where appropriate.

6. REASONS FOR RECOMMENDATIONS

- 6.1 To ensure that members are aware of the role of CEPU and the range of work undertaken by the Unit.

7. BACKGROUND PAPERS

No background papers supplied.

8. CONTACT OFFICER

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Appendix 1 CEPU Action Plan 2015 -16

Objective	Justification	Indicators
A01 Review emergency planning arrangements in each local authority	Duty under the CCA	Review of plan in financial year
	Identified best practice	Feedback from officers / departments
	Significant change within LA structures	
A01 1 After Hours contact Exercise	Need for reassurance that all required roles can be filled out of hours.	All four authorities to undertake
		Number of persons able to attend location by position
		Identification of any key areas not contactable
		Response times
A01 2 Each Local Authority Major Incident Plan to be reviewed	Need for assurance that plans remain effective	Each borough plan to be reviewed using is it Complete, Accurate and Practicable criteria.
A01 4 Walkthrough of each Borough Major Incident Plan	Provides staff new to roles in MIPs with confidence	Number of attendees
	Provides an opportunity to identify errors in plans	Feedback from participants
		Issues identified at sessions
A01 5 Training Needs Analysis undertaken by each borough against plan	To ensure that staff with an emergency function have relevant and recent training	Job descriptions to be produced for key roles - this to then be compared against existing staff on list cognisance of Nos required.
A01 6 Provision of Command Training to all 4 local authorities	Ensuring that staff within command centres have shared understanding with partner agencies.	Expectation that 75% of staff identified for Tactical and Strategic functions will have attended in last 3 years
A01 7 Provision of loggist training sessions	Increasing need for transparency and the ability to prove that decisions made were appropriate.	Number of loggists trained adequate to provide 24 hour cover at tactical and operational levels.
A02 Review guidance for Duty Officer (6 monthly)	Ensure that the role of duty officer is structured and that learning is incorporated into the function.	Reviews undertaken of the document (minimum 6 monthly)
		Feedback from officers and partners.
A03 Provision of conduit for the LA	Need for access by council officers and partners to tactical advice 24 / 7	Internal monitoring of availability of cover.
		Duty officer rota
		Feedback from partners and incidents
A04 Test of Each Borough Emergency Centre's process and procedures	The need to demonstrate that plans are effective against realistic scenarios. (CCA Duty)	Feedback from exercises against complete accurate and practicable criteria.
A05 Rest Centre procedures and exercises	Expectation and duty on local authority to assist those made homeless as a result of an emergency	Ability to respond to requests for assistance from residents and emergency services.
		Feedback following incidents
A05 1 Two Training Sessions on Rest Centres	Need for staff to understand and have confidence in their roles in the emergency accommodation plan. Open to staff from across Cleveland.	Feedback from training sessions
		Attendance at sessions
A05 2 Provision of a rest centre exercise	Need to test in real time the effectiveness of the emergency accommodation plans	Feedback from staff
		Feedback from partners
		Feedback from peers
A05 3 Review Rest Centre	Confirmation that cases are accessible and are	Plan assessed against Accurate, Practicability and Complete criteria
		How accessible cases are

Boxes in each LA	ready for use	Contents of cases
A05 4 Review Transport Plan	Need for confidence that the plans are accurate, complete and practicable	Review and re-issue of the plan.
A06 COMAH Offsite Emergency Response Plans	Legal duties are met under the Control of Major Accident Hazard Legislation (COMAH)	Internal monitoring and feedback from the Competent Authority (HSE and EA)
A06 1 All COMAH OFSERP plans written reviewed within legal timescales	Requirement under COMAH Legislation for the local authority to produce and review offsite emergency plans pre-scribed time scales	Constant review of plans against deadlines.
A06 2 Annual Meeting with HSE / EA ref COMAH	Ensures that CEPU are aware of any changes to the legislation and views of the competent authority.	Notes from meetings, action plans produced as a result of the meeting.
A06 3 Annual review of COMAH plan Structure	Ensure that the plans take account of changes in legislation, guidance and recommendations following local and international learning.	Feedback from the competent authority and responders.
		Meeting to be documented and action plan developed as required.
A06 4 COMAH Overview Document Review 1	The COMAH Overview provides a concise guide to hazardous industry in Cleveland and has been requested by partners as a valuable addition to COMAH planning.	6 monthly update period on the document.
A06 5 COMAH Overview Document Review 2	The COMAH Overview provides a concise guide to hazardous industry in Cleveland and has been requested by partners as a valuable addition to COMAH planning.	6 monthly update period on the document.
A06 6 Plan sign off processing place	Need for process to ensure that plans are scrutinised by officers to ensure that any significant changes to LRF process are incorporated and to ensure that quality is managed across all plans.	Developed process for sign off within CEPU incorporating key stakeholders. Operation of the system in 2013-14.
A07 To seek continued compliance with the Pipeline Safety Regs		
A07 1 All plans to be written / reviewed within legal timescales	Requirement under PSR Legislation for the local authority to produce and review Major Accident Hazard plans pre-scribed time scales	Constant review of plans against deadlines.
A07 2 Annual review of pipelines structure	Ensure that the plans take account of changes in legislation, guidance and recommendations following local and international learning.	Feedback from the partner agencies.
		Meeting to be documented and action plan developed as required.
A07 3 Undertake 6 monthly review of pipelines overview (1)	The Major Accident Hazard Pipeline Overview provides a concise guide to hazardous pipelines in Cleveland and has been requested by partners as a valuable addition to the Plans developed under PSR.	6 monthly update period on the document.
A07 4 Undertake 1 exercise of a Major Accident Hazard Pipeline	The Pipeline Safety Regulations do not require a test of the plans however to test the effectiveness of the plans CEPU will endeavour to work with the emergency services and pipeline operators to undertake at the minimum one test of a PSR plan.	Multi-agency test of the plan
	This will assess the plan against Completeness, Accuracy and Practicality.	Feedback from participants
		Amendments made to plans
A08 Maintain understanding of Seveso III and COMAH	Allows CEPU to undertake forward planning and if appropriate influence potential changes to legislation.	Attendance at briefings and consultation sessions.
A08 1 Maintain Seat on regional COMAH meeting	Allows CEPU to gain learning and benchmark against national colleagues.	Attendance at briefings and consultation sessions.
		Follow up actions incorporated into review of

		plans and procedures.
A09 REPIIR	Compliance with the regulations is required under the Radiation Emergency Preparedness Public Information Regulations	Non-compliance may result in improvement notice or other action by the Office Nuclear Regulation.
A09 1 Attendance at 4 Local Community Liaison Councils or EPCC	Ensures that good communication between the CEPU and members of the LCLC are maintained allowing CEPU to adapt plans and procedures to emerging needs.	Attendance, minutes and actions from meetings.
A09 2 Two emergency planning liaison meetings	Ensures that CEPU maintain awareness of partners needs and effective liaison.	Attendance, minutes and actions from meetings.
A09 3 Meet legal duties ref REPIIR Plan	Legal duty on each local authority to produce a plan under REPIIR	Ability to demonstrate compliance by all authorities to this duty.
A09 4 Participation in/observation of level 1 exercises	Ensures that CEPU maintains good communication and awareness of the power stations response. Allows identification of issues to develop the Offsite REPIIR plan.	Attendance at exercises. Feedback from participants.
A10 Conduct / Participate in multi-agency exercises under COMAH / Pipelines / REPIIR	Ensures that plans are tested against Complete, Accurate and Practicable Criteria and where required are updated to reflect issues identified.	Exercise report issued via the LRF. Excel monitoring and action recording.
A10 1 All COMAH sites offsite emergency response plans to have been exercised within 3 year period	Legal duty under COMAH to test each offsite emergency response plan within 3 year period.	Continually monitored by CEPU for 100% compliance
	Allows confidence in the effectiveness of the offsite plan and its dovetailing with the onsite plan	Exercise calendar
		Debrief reports and testing matrices for each site detail period of testing and any identified issues
		Regular communication with HSE, EA and Operators.
A10 2 Annual report submitted to the LRF Business and Policy Group.	Provides assurance to partners that the response to the range of priority risks identified by the CLRF have been tested.	Report submitted.
	Identifies key issues arising from the exercise calendar both regards to the response and to the planning of exercises.	Feedback from members.
A10 3 CEPU attendance at Level 1 and Pre-Level 1 on site exercises at power station.	Ensures that CEPU maintains good communication and awareness of the power stations response. Allows identification of issues to develop the Offsite REPIIR plan.	Attendance at exercises.
		Feedback from participants.
A10 4 Key learning points and actions submitted into Excel	Documents where issues have been identified and that the learning from such events can be documented.	Number of identified actions recorded. Number of actions recorded as successfully completed.
A11 Attendance and participation in Independent Safety Advisory Groups (ISAG)	Provides input on emergency planning to event organisers and partners within ISAGs	Responses to events submitted to CEPU as part of the ISAG process.
		Attendance at ISAG meetings.
A11 1 Assistance to event organisers / event teams	Ensures that event organisers are aware of the expectations of emergency planning with regard to public events.	Pre-meetings and advice issued to event organisers.
	Ensures dovetailing between event organisers and emergency planners.	Increased awareness amongst event organisers of the need for emergency plans to be developed.
A11 2 Produce standardised guidance for CEPU officers attending ISAGS	Provides consistency between CEPU representatives to both ISAGs and event organisers.	Production of guidance.
		Minutes from ISAGs
A11 3 ISAG Training to be delivered on request by Boroughs in conjunction with events team / borough staff.	Provide event organisers with an understanding of event safety, liability and the ISAG process. To encourage community events to continue whilst reducing the risks to the community.	Number of events passing through ISAGs without additional input from agencies.
		Attendance and feedback from the pilot study.

A12 Develop a programme of community resilience initiatives	Community resilience will allow a more effective response by both communities and responders.	Increased awareness of risk
	To ensure that effective use of resources is maintained and that the initiative is sustainable CEPU will coordinate Community resilience activities as a structured project.	Development of a longer term community resilience strategy.
A12 1 Identify communities at risk	Allows targeting of specific messages to communities at risk as oppose to blanketing with generic information. (Duty under CCA)	Identification of communities at risk from specific risks both geographical and thematic.
		Development of action plan to address communities at specific risk.
A12 2 Produce information including household and community plan templates	Will reduce the impact of incidents upon residents.	Uptake of the templates
	May reduce the demand on responders.	Feedback from community and residents.
	Will prepare the community to assist itself in a response.	Download of materials from CEPU website
A12 3 Work with existing community groups and partners to raise awareness of risk and associated actions	Engaging through existing groups is likely to be more effective than trying to establish specific groups / meetings.	Number of groups / forums that CEPU are engaged with.
	Groups will be able to advise on their specific needs as oppose to CEPU assuming what is required.	Feedback from groups following CEPU engagement.
	By working with existing groups action is likely to be more sustainable.	Downloads / provision of Community Risk Register and associated templates
A12 4 Provide a range of information to local residents via established media	Increases the range and number of residents that are likely to receive the information as oppose to CEPU direct mailing.	Number of articles produced and printed in media / broadcast / published on websites.
	Allows information to be issued without raising undue concern.	Feedback via forums and residents.
	Increases the transparency of CEPU and emergency planning.	Circulation figures.
A12 5 Support for the implementation of the Duke of Cornwall's Award	Reinforces community resilience with youth groups.	Feedback from the award pilots
		Number of participants achieving the award within Cleveland
A12 6 Develop a sustainable community resilience model appropriate to Cleveland	Will ensure the continuation of the work undertaken by the Unit / wider LRF in the event of funding ceasing.	Approval and sign up to plan by LRF / wider partners.
A13 Working with the voluntary sector in emergency planning	The voluntary sector provide an essential function in emergency response and bring a range of specialised skills to the response.	Ongoing dialogue between the voluntary sector and CEPU officers.
A13 1 1 Live play rest centre exercise involving voluntary agencies	Ensures that the local authority and partners understand the roles and capabilities of the voluntary sector.	Feedback from all participants.
	Allows the plans and related assumptions to be tested in realistic manner.	Identification of actions following the exercise.
A13 2 4 x Training sessions / presentations to or with voluntary agencies	Ensures that the strong relations between the voluntary sector and CEPU are maintained.	Presentations
	Ensures communication and understanding of roles and procedures.	Feedback from attendees
		Action plans as required
A13 3 Conduct one out of hours contact exercise	Confirms the communications routes and the resources which the voluntary sector can call on for an out of hours incident at a location within Cleveland.	Ability to contact volunteer groups
		Number of volunteers by group
		Response time to a prescribed location
A13 4 Hold 4 meetings with the voluntary sector	Ensures that the good relationship between the voluntary sector and CEPU is maintained.	Minutes
	Ensures that changes in response and capability are communicated.	Attendance
		Action plan

A13 5 Involve one or more voluntary agencies in 2 exercises	Provides an opportunity for partners and voluntary organisations to understand roles and capabilities against a realistic scenario.	Involvement of voluntary organisations in exercises. Feedback from Voluntary Organisations.
A13 6 Review the voluntary sector register of capabilities	Ensures that CEPU has the ability to contact voluntary organisations to support an emergency. Ensures clarity of role and access to resources.	Review of document. Correction and additions made.
A14 Provision of internet sites	Provision of a website for use by partners and the public both for CEPU and for CLRF.	Access to professional the website(s) 24 / 7 that comply with council policy on accessibility.
A14 1 Web site reviewed every 28 days	The website provides a point of contact for the unit.	Sign off from officer tasked to review
	It assists with the transparency and warning and informing functions of the unit.	Increased relevant content – irrelevant content removed from site
		Easier access by members of the public to information of relevance.
		Confidence that all material is accurate and up to date.
A14 2 Greater use of social media by the CEPU / LRF	Will assist in developing awareness and reinforcing key messages via partners (non-response).	Scoping to be undertaken with HBC Media Team.
A15 Promote BCM to SMEs	Duty under the CCA	Increased awareness of BCM and the benefits to business within CLRF area.
	Reduces the impact of incidents on the business but also on the responders and wider community.	Increased requests for assistance / signposting from SMEs to CEPU.
A15 1 Promote BCM in appropriate forums	Duty under the CCA – targeting of forums likely to have greater impact than approaching individual SMEs.	Increased awareness of BCM and the benefits to business within CLRF area.
		Number of forums attended.
A15 2 Signpost SMEs to further information advice and templates	Reduces the need for CEPU to develop / reproduce existing BCM materials when national / international materials are readily available via professional bodies.	Use of links on websites.
		Engagement with business networks e.g. NECC
		Feedback from SMEs
A15 3 Rollout the BCM packages for the caring sectors.	Will make BCM and the benefits more tangible to the sectors concerned education and social care. Will allow CEPU to collate shared learning that can be further used to promote BCM to SMEs	Feedback from attendees
		Number of times the package has been run
		Collation of key learning
A16 BC Plan for CEPU	Allows CEPU to ensure that priority services are maintained.	Compliance with key statutory and operational duties in the event of disruption.
A16 1 Conduct an annual exercise involving the plan	Ensures that CEPU has an effective understanding of its critical business, the threats to it and how these will be maintained.	Feedback from the exercise. Identification of areas of weakness and strength.
A16 2 Review CEPU BCM Plan	Ensures that the CEPU BCM plan is accurate, practicable and complete.	Incorporate learning from the exercise. Ensure that any changes to the plan are undertaken.
A17 CEPU Strategic Risk Register		
A17 1 Review the EPU strategic Risk Register	Ensures that CEPU is aware of what risks may impact on its ability to deliver an effective resilience service to residents, authorities and partners.	Identification and analysis of key risks. Action plans to prevent, mitigate and recover from risks.
A18 Circulation of minutes of meetings and	Good administrative practice	Circulated within 8 working days of meeting date

other information received by the unit	Allows information to be shared	Circulation of other material within 5 days
	Actions are identified and dealt with	
	Timely circulation of relevant information on emergency planning issues	
A19 Submission of requests for invoices for exercises and / or plans.	Best value	EPO's to provide costing within 7 days of exercise or plan completion
	Improve the internal administrative working of emergency planning unit	
	Effective cost recovery	
A20 Develop and review admin procedures within the unit.	Improve internal admin within the unit	Review every 6 months
	Ensure effective administrative practice	Update office procedure manual every month
		Minutes from weekly admin meetings
A21 Income Generation		
A21 1 Income generation increased	Best value	Review existing recharges to industry to ensure that all costs are identified and recovered.
	Secure funding for the unit	Increase in number of cost neutral courses / seats on courses
	Scope out specific sources of funding for EP related work	Development of additional income generation activities.
A21 2 Update the marketing Plan for CEPU income generation	Spreads the risk of reliance on a limited number of income streams and ensures that effort is spent in the most effective areas.	Production of the plan in line with new income streams and experience from previous income generation activities.
		Identification of areas that can produce an effective income
		Ensures that products are relevant for the end users
A22 Exercising and Testing		
A22 1 DTVA Airport Exercise	Civil Aviation Authority licensing requires the testing of the emergency procedures for the airport which include the Local Authority.	Independently observed by CAA
		Debrief report
		Action plan / lessons learnt
A22 2 Strategic Exercise	Duty to plan for emergencies under the CCA requires that plans prepared are tested.	Number of strategic officers engaged
	The strategic exercise will test a number Local Authority plans required by the CCA with partners both from neighbouring boroughs and from partner agencies.	Debrief report
	The exercise will be debriefed both internally and externally allowing continual improvement of plans.	Action plan / lessons learnt
A22 3 Recovery Exercise	Undertake a recovery exercise that ensures familiarity of staff with the models and frameworks included in the plan	Debrief report and findings will ensure that future training meets needs.
A22 4 Elected Members Seminar	Provision of central training and testing seminar to ensure clarity and provide assurance to members on the recovery process.	Feedback from the event Attendance

**EMERGENCY PLANNING JOINT
COMMITTEE**
24th February 2016



Report of: Chief Emergency Planning Officer

Subject: REPORTED INCIDENTS AND WARNINGS
RECEIVED

1. PURPOSE OF REPORT

1.1 To inform members of the Emergency Planning Joint Committee (EPJC) of the incidents reported and warning communications received and dealt with by the Cleveland Emergency Planning Unit (CEPU). The report covers the period between 19th November 2015 and 31st January 2016.

2. BACKGROUND

2.1 CEPU provide both a 24 hour point of contact for partners requesting assistance, and for the provision of tactical advice to the four local authorities.

2.2 There are a number of mechanisms in place to ensure that CEPU are made aware of incidents both in and out of normal office hours.

3 National Severe Weather Warning Service

3.1 These alerts are issued by the Meteorological Office as part of the National Severe Weather Warning Service and include warnings of strong winds, heavy rainfall, snow and ice.

3.2 The warnings are supported 24 hours per day by the Meteorological Office both at their Headquarters in Exeter and locally Via a Public Weather Service Advisor co-located with the Environment Agency in Newcastle. Additionally all CEPU on-call officers have access to the Met Office Hazard Manager Internet Site allowing them to monitor weather in near real time.

3.3 During the period there were 5 weather warnings issued for heavy rain (1), Snow (1) and winds (3). In addition 3 cold weather alerts were issued and plans activated with partners in Health and Social Care.

4 Environment Agency Flood Warnings

4.1 Flood Warnings are issued by the Environment Agency to raise the public and responders awareness of potential / actual flooding as a result of coastal and river flooding. The service does not currently include warnings of surface water flooding due to variation and localised nature of the events (an advanced warning is issued in conjunction with the Met Office as a separate service under the Flood Forecasting Centre).

4.2 The system has several stages:

Flood Alert – issued when flooding is possible and will be issued at least 2 hours in advance of the potential flooding event. (Note 2 hour warning is dependant on the topography of the river basin).

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.

4.3 During the period 10 flood alerts and 2 flood warnings (Lustrum Beck Stockton) were issued by the Environment Agency within the Cleveland LRF boundary. Of note issues were reported on the closure of flood gates within Yarm (seals on the gates, notification to the public and trapping of cars within a car park) these issues have been reported to the Environment Agency and are being actioned.

4.4 No severe flood warnings were issued during this period.

5 Industrial Communications System

5.1 The e-mail based industrial communications strategy is used to alert responders and members of the public in the event of an incident on an industrial site.

5.2 There are two levels associated with the system: 1) Blue – for information only issued to partners and contact centres and 2) Red – where action is required (e.g. shelter within prescribed areas) broadcast via BBC Radio Tees. Each issue of an alert is followed by a close out notification indicating the incident is over. Awareness of the system remains high with ongoing testing undertaken as a routine in both Control of Major Accident Hazard Regulations Tests and under the Radiation Emergency Preparedness Public Information Regulations.

- 5.3 Whilst the majority of alerts were in relation to site processes that may cause alarm such as flaring, a number required additional contact between CEPU, the operator and emergency services to seek clarification, give advice or gather further information.
- 5.4 During the period 7 notification blue alerts were issued (not including close outs) by the operators or agencies involved in the strategy.
- 5.5 No red alerts were issued during this period

6 Pollution Reports

- 6.1 During the period no “polrep” were issued by the Coastguard.

7 Incidents of Note

- 7.1 In the period 6 incidents of note have occurred these are outlined in Appendix 1.
- 7.2 A small number of other incidents were also reported to Cleveland Emergency Planning Unit, some of which were dealt with by the Duty Officer ‘out of hours’. These included 3 instances of potential flooding including the severe weather that impacted colleagues in Cumbria and York and a potential tidal surge. Officers continued to monitor and coordinate with partners within the LRF until the threat had subsided.

7. PROPOSALS

- 7.1 No options submitted for consideration other than the recommendation that this standard report is increased to encompass a number of other indicators relating to the core business of the Cleveland EPU. If agreed the Chief Emergency Planning Officer to develop the report structure for the next EPJC meeting.

8. RECOMMENDATIONS

- 8.1 That Members note the report and advise if a wider report would be beneficial.

9. REASONS FOR RECOMMENDATIONS

- 9.1 To ensure that members are aware of the role of CEPU and the scale of incidents which continue to occur within the Cleveland area.

10. BACKGROUND PAPERS

No background papers supplied.

11. CONTACT OFFICER

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Appendix 1 Incidents occurring within CEPU Area 19/11/2015 – 31/01/2016

Date	Area	Type of Incident	Notes
21/11/2015	Redcar & Cleveland	Unsafe structure	High winds leading to unsafe structure localised evacuation however did include nursing home
5/12/2015	Hartlepool	Fire	Fire at waste handling facility (10 pumps attended)
25/12/2015	Stockton	Flooding	Flood warning (2 nd Highest level of warning) for Lustrum beck (potential 600 houses) rest centre staff on standby defences did hold.
26/12/2016	Stockton	Fire	Fire at waste handling facility
4/01/2016	Redcar & Cleveland	Fire	Fire at lower tier COMAH site on Wilton chemical complex
5/1/2016	Redcar & Cleveland	Flooding	Flooding at Carling Howe minor small scale evacuation