



# A FRAMEWORK FOR MAJOR EMERGENCY MANAGEMENT



WORKING DRAFT

GUIDANCE DOCUMENT 9

A GUIDE TO UNDERTAKING AN  
APPRAISAL



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*(revised December 2008)*

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## INTRODUCTION TO A GUIDE TO UNDERTAKING AN APPRAISAL

'A Framework for Major Emergency Management' (2006) replaces the *Framework for Co-ordinated Response to Major Emergency*, which has underpinned major emergency preparedness and response capability since 1984.

The Framework sets out the arrangements by which the principal response agencies will work together in the management of large-scale incidents.

This *Guide to Undertaking an Appraisal* is intended to support the Framework text and to provide additional guidance on the appraisal process.

This document is presented as a working draft and as such it is requested that comments and insights that arise during the implementation of the appraisal process are fed back to the national level. Comments should be addressed to:

MEM Project Team,  
Fire Services and Emergency Planning Section  
Department of the Environment, Heritage & Local Government,  
Custom House,  
Dublin 1.

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## INTRODUCTION

### Agency Appraisal

“A Framework for Major Emergency Management” (2006) requires, in section 4.7, that an assessment of preparedness is carried out by each principal response agency as part of a programme to develop its level of preparedness. The assessment process should assist agencies to review, monitor and assess their own activities, to identify issues which may need to be addressed and consider what measures they could adopt to improve preparedness, as part of the major emergency development programmes.

The Framework requirement is that:

**Each principal response agency should carry out and document an annual appraisal of its preparedness for major emergency response when the Framework is in use.**

The expectation is that the first series of agency appraisals will take place in 2008 at the end of the initial two year implementation programme.

An assessment tool has been prepared to assist agencies in the task of undertaking this appraisal. It is anticipated that each principal response agency will complete the appraisal on a self assessment basis. While the format is self assessment, answers should be evidence based – written evidence should be referenced which supports the answers (e.g., exercise reports, etc.).

### Regional Inter-Agency Appraisal

The Framework also requires that the level of inter-agency preparedness in each region should be appraised annually by the principal response agency holding the chair of the Regional Steering Group on Major Emergency Management.

The Framework requirement is that:

**An annual appraisal of the regional level of preparedness for inter-agency major emergency response should be prepared by the principal response agency holding the chair of the Regional Steering Group on Major Emergency Management when the Framework is in use.**

An assessment tool has also been prepared to assist in the undertaking of the regional inter-agency appraisal. The format of this assessment tool and the arrangements for its completion (i.e., self assessment with answers evidence based, supported by references) are similar to those of the agency assessment tool.

### Review and Validation of the Appraisals

The Framework also requires that the output from each principal response agency's preparedness appraisal should be reported to and considered by relevant bodies, which should identify any necessary actions and highlight these to the agency involved.

The Framework requirement is that:

**Each principal response agency's appraisal should be reviewed and validated by the relevant Regional Steering Group on Major Emergency Management. Each agency's appraisal should also be reviewed and validated by the relevant parent Department in the case of the Local Authorities and by the national headquarters, in consultation with the parent Department, in the case of Divisions of An Garda Síochána and Health Service Executive Areas, in accordance with the normal appraisal/reporting relationships within that sector. Any issues arising from the review should be referred back to the principal response agency for appropriate action. In case of disagreement between a principal response agency and a Regional Steering Group, the National Steering Group should be consulted and should decide on the issue.**

The Framework also requires that the regional inter-agency appraisal should be reported to and considered by the National Steering Group on Major Emergency Management.

The Framework requirement is that:

**The regional level report should be reviewed and validated by the National Steering Group. Any issues arising from the review should be referred back to the Regional Steering Group on Major Emergency Management for appropriate action.**

### **Programme**

Each year, the National Steering Group on Major Emergency Management will, in consultation with the Regional Steering Groups, establish a programme of dates by which the assessment process at each level will be completed. The first appraisals will be carried out in 2008.

## UNDERTAKING AN AGENCY APPRAISAL

### The Process

Each principal response agency (Division of An Garda Síochána, Area of the HSE, and Local Authority) is required to carry out and document an annual appraisal of its preparedness for major emergency response when the Framework is in use, i.e., commencing at the end of 2008.

The following general process should apply to the undertaking of an appraisal within a principal response agency:

- A person/team with appropriate background, knowledge and experience of emergency management and of the agency should be nominated to undertake the appraisal;
- The person/team should be tasked with undertaking the appraisal within a given timescale and should report to the person with overall responsibility for Major Emergency preparedness within the agency;
- The process of appraisal should include consultation with and input from all relevant sections/services of the agency;
- Each relevant section/service of the agency should undertake and document an appraisal of its own preparedness and report on same to the person/team with responsibility for the agency appraisal;
- The appraisal process within each agency should align with the process in other agencies within the region;
- The appraisal report should be endorsed/approved by the relevant head of the agency, so that its status is unambiguous; and
- Once completed, each agency's appraisal should be forwarded to the chair of the Regional Steering Group on Major Emergency Management, as well as to the relevant parent department, in the case of the Local Authorities, and to the relevant national office, in the case of Divisions of An Garda Síochána and Health Service Executive Areas.

### The Assessment Tool

An assessment tool has been prepared to assist agencies in the task of undertaking this appraisal. It is anticipated that each principal response agency will complete the appraisal on a self assessment basis. While the format is self assessment, answers should be evidence based – written evidence should be referenced which supports the answers (e.g., exercise reports, etc.).

The assessment tool is set out in three main parts as follows:

**Emergency Management – Enablers** - This part is intended to address enablers – basic organisational supports for major emergency management activity. Answers should be based on the arrangements in place in the agency.

**Emergency Management – Actions** - This part seeks more detailed information on the measures in place and actions taken to underpin the preparedness for a major emergency in the organisation or the area, drawing on the main headings in the Framework. In the main, factual information is sought, with yes / no answers, dates, or specific information required. Again, written evidence which supports the answers should be referenced.

**Emergency Management – Inter-Agency** - This part focuses primarily on arrangements in place and actions taken to achieve co-ordination of the three principal response agencies, as well as co-ordination with other services.

## **UNDERTAKING A REGIONAL INTER-AGENCY APPRAISAL**

### **The Process**

The principal response agency holding the chair of the Regional Steering Group in Major Emergency Management is required to carry out an annual appraisal of regional level preparedness for inter-agency major response. The dates for this process will be set each year by the National Steering Group on Major Emergency Management, in consultation with the Regional Steering Groups, commencing in 2008.

The following general process should apply to the undertaking of an appraisal of regional level inter-agency preparedness:

- A person/team with appropriate background, knowledge and experience of emergency management and of the region should be nominated to undertake the appraisal;
- The person/team should be tasked with undertaking the appraisal within a given time scale and should report to the chair of the Regional Steering Group;
- The process of appraisal should include consultation with and input from each of the principal response agencies in the region;
- The appraisal report should be approved by the Regional Steering Group and endorsed by the chair of that Group, so that its status is unambiguous; and
- Once completed, the regional inter-agency appraisal should be forwarded to the chair of the National Steering Group on Major Emergency Management.

### **The Assessment Tool**

An assessment tool has been prepared to assist in the undertaking of this appraisal. The format of this assessment tool and the arrangements for its completion (i.e., self assessment, with answers evidence based, supported by references) are similar to those of the agency assessment tool.

The assessment tool is set out in two parts, Emergency Management Enablers and Emergency Management Actions.

## **REVIEW AND VALIDATION**

### **Regional Level**

Each principal response agency's appraisal should be reviewed and validated by the relevant Regional Steering Group on Major Emergency Management. The following general process should apply to this undertaking:

- The Regional Steering Group should establish a programme for the completion of appraisals by each of the principal response agencies in the region and the return of the completed agency appraisal reports to the chair of the Regional Steering Group;
- The completed agency appraisal reports should be reviewed, either by the entire Regional Steering Group or, alternatively, by a specific sub-group, acting on behalf of the group, which will report to the full group;
- Any issues arising from the review should be returned to the principal response agency concerned for appropriate action;
- In case of disagreement between a principal response agency and a Regional Steering Group, the National Steering Group should be consulted and should decide on the issue; and
- Subject to the above, the Regional Steering Group should indicate to each principal response agency that its appraisal has been validated.

### **Parent Departments and National Headquarters**

Each principal response agency's appraisal should be reviewed and validated by the relevant parent Department in the case of the Local Authorities and by the national headquarters, in consultation with the parent Department, in the case of Divisions of An Garda Síochána and Health Service Executive Areas, in accordance with the normal appraisal/reporting relationship within that sector.

The following general process should apply to the undertaking of a review within a parent Department, or national headquarters, as appropriate:

- A person/team with appropriate background, knowledge and experience of emergency management should be nominated to undertake the review;
- Any issues arising from the review should be returned to the principal response agency concerned for appropriate action; and
- Subject to the above, the parent Department or national headquarters should indicate to each principal response agency that its appraisal has been validated

### **National Steering Group**

The annual appraisal of regional level preparedness for inter-agency major response from each region should be reviewed and validated by the National Steering Group on Major Emergency Management. The following general process should apply to this undertaking:

- The National Steering Group should agree a programme for the completion of appraisals by each of the regions and the return of the completed regional appraisal reports to the chair of the National Steering Group;
- The completed regional appraisal reports should be reviewed, either by the entire National Steering Group or, alternatively, by a specific sub-group, acting on behalf of the group, which will report to the full group;

- Any issues arising from the review should be returned to the chair of the Regional Steering Group concerned for appropriate action; and
- Subject to the above, the National Steering Group should indicate to each Regional Steering Group that its appraisal has been validated.

## AGENCY ASSESSMENT TOOL

Agency:.....

Completed by:.....

Date:.....

Approved by:.....

Date:.....

Please indicate, with a tick in the appropriate Yes or No box, whether, or not, each of the following statements is an accurate reflection of the position within the agency.

### A Emergency Management Enablers.

		Yes	No
A1	MEM policy is included in the agency's Corporate Plan/ Strategy Statement/ Service Plan.	<input type="checkbox"/>	<input type="checkbox"/>
A2	MEM is part of the agency's core business planning process.	<input type="checkbox"/>	<input type="checkbox"/>
A3	Responsibility for leading internal MEM preparedness at senior management level is formally assigned.	<input type="checkbox"/>	<input type="checkbox"/>
A4	A written MEM development programme is in place, dated .....	<input type="checkbox"/>	<input type="checkbox"/>
A5	A structure is in place to ensure internal co-ordination and to promote the involvement of all relevant sections of the agency in MEM.	<input type="checkbox"/>	<input type="checkbox"/>
A6	A structure is in place to develop (and update) the new format Major Emergency Plan.	<input type="checkbox"/>	<input type="checkbox"/>
A7	A structure is in place to ensure that appropriate sub-plans/ procedures/ code instructions/ Action Cards/ etc. are in place/ prepared and updated.	<input type="checkbox"/>	<input type="checkbox"/>
A8	A budget for MEM is provided at Division/Area/Authority level.	<input type="checkbox"/>	<input type="checkbox"/>
A9	Feedback has been received on a previous appraisal <sup>1</sup>	<input type="checkbox"/>	<input type="checkbox"/>
A10	This feedback has been implemented <sup>1</sup>	<input type="checkbox"/>	<input type="checkbox"/>

<sup>1</sup> These statements will be relevant only after the first appraisal and review process is complete

**B Emergency Management Actions**

		<b>Yes</b>	<b>No</b>
B1	An internal risk assessment has been completed and documented.	<input type="checkbox"/>	<input type="checkbox"/>
B2	A number of scenarios have been developed from the risk matrix to underpin preparedness.	<input type="checkbox"/>	<input type="checkbox"/>
B3	Mitigation was considered following the agency's risk assessment	<input type="checkbox"/>	<input type="checkbox"/>
B4	The agency has considered issues relating to the promotion of Community Resilience	<input type="checkbox"/>	<input type="checkbox"/>
B5	The resilience of the agency's critical services has been considered as part of its Business Continuity Management process	<input type="checkbox"/>	<input type="checkbox"/>
B6	The agency has considered Critical Infrastructure as part of its risk assessment	<input type="checkbox"/>	<input type="checkbox"/>
B7	A Major Emergency Plan has been prepared to the new format, dated . . . . .	<input type="checkbox"/>	<input type="checkbox"/>
B8	The new Major Emergency Plan has been reviewed for consistency with the plans of other agencies in the region.	<input type="checkbox"/>	<input type="checkbox"/>
B9	A list of relevant sub-plans/ procedures/ code instructions is attached.	<input type="checkbox"/>	<input type="checkbox"/>
B10	External emergency plans are in place for all Upper Tier Seveso Sites in the area and a list of these plans in attached. (If there is no Upper Tier Seveso Site in the area put a tick here . . . . .)	<input type="checkbox"/>	<input type="checkbox"/>
B11	A list of all other hazard site and event specific plans for the area is attached.	<input type="checkbox"/>	<input type="checkbox"/>
B12	The agency has an up-to-date Major Emergency Mobilisation Procedure.	<input type="checkbox"/>	<input type="checkbox"/>
B13	Competent staff (and alternates) have been identified, matched and formally nominated to all key roles (as per Section 4.4.4 of the Framework).	<input type="checkbox"/>	<input type="checkbox"/>
B14	Teams have been put in place to support all of these key roles.	<input type="checkbox"/>	<input type="checkbox"/>

- |     |  |                          |                          |
|-----|--|--------------------------|--------------------------|
| B15 | A specific MEM staff development and training programme is in place.   | <input type="checkbox"/> | <input type="checkbox"/> |
| B16 | An internal MEM Exercise Programme is in place.  | <input type="checkbox"/> | <input type="checkbox"/> |
| B17 | Selected scenarios have been utilised to “walk through” preparedness for the most likely hazards by all relevant sections of the agency.         | <input type="checkbox"/> | <input type="checkbox"/> |
| B18 | Procedures and arrangements are in place to enable the agency to perform the function of the “lead agency” when required.                        | <input type="checkbox"/> | <input type="checkbox"/> |
| B19 | The agency’s Crisis Management Team(s) <sup>2</sup> has been identified and all relevant procedures for its activation and working are in place. | <input type="checkbox"/> | <input type="checkbox"/> |
| B20 | The CMT Centre(s) <sup>2</sup> has been designated and developed.  | <input type="checkbox"/> | <input type="checkbox"/> |
| B21 | An exercise involving the CMT(s) <sup>2</sup> was held on. . . . .   | <input type="checkbox"/> | <input type="checkbox"/> |
| B22 | Arrangements have been agreed with a number of agencies (as per Section 5.6.4 of the Framework) and a list of these is attached.                 | <input type="checkbox"/> | <input type="checkbox"/> |

**C Emergency Management Inter-Agency**

- |    |  |                          |                          |
|----|--|--------------------------|--------------------------|
| C1 | The agency is an active participant in the Regional Steering Group(s) <sup>3</sup>                             | <input type="checkbox"/> | <input type="checkbox"/> |
| C2 | The agency is an active participant in the Regional Working Group(s) <sup>3</sup>                              | <input type="checkbox"/> | <input type="checkbox"/> |
| C3 | The agency made an input to and participated in the regional risk assessment process(es) <sup>3</sup>          | <input type="checkbox"/> | <input type="checkbox"/> |
| C4 | The agency is participating in the regional inter-agency training programme(s) <sup>3</sup>                    | <input type="checkbox"/> | <input type="checkbox"/> |
| C5 | The agency participated in . . . . inter-agency exercises during the past year and a list of these is attached | <input type="checkbox"/> | <input type="checkbox"/> |

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<sup>2</sup> Each HSE Area has more than one Crisis Management Team

<sup>3</sup> Each HSE Area is involved in more than one Regional Steering Group and Regional Working Group

## REGIONAL INTER-AGENCY ASSESSMENT TOOL

**MEM Region:**.....

**Completed by:**..... **Date:**.....

**Approved by Regional Steering Group at Meeting on:** .....

**Endorsed by:**.....**Chair of RSG** **Date:**.....

Please indicate, with a tick in the appropriate Yes or No box, whether, or not, each of the following statements is an accurate reflection of the position within the region.

### A Emergency Management Enablers

		<b>Yes</b>	<b>No</b>
A1	The Regional Steering Group met . . . times during the past year.	<input type="checkbox"/>	<input type="checkbox"/>
A2	The Regional Working Group met . . . times during the past year.	<input type="checkbox"/>	<input type="checkbox"/>
A3	Support arrangements are in place for the working of both groups, (e.g., budget, staff, etc.).	<input type="checkbox"/>	<input type="checkbox"/>
A4	A written regional level MEM development programme is in place, dated .....	<input type="checkbox"/>	<input type="checkbox"/>
A5	Feedback has been received on a previous appraisal <sup>4</sup>	<input type="checkbox"/>	<input type="checkbox"/>
A6	This feedback has been implemented <sup>4</sup>	<input type="checkbox"/>	<input type="checkbox"/>

### B Emergency Management Actions

B1	A regional level risk assessment has been completed and documented.	<input type="checkbox"/>	<input type="checkbox"/>
B2	A number of scenarios have been developed from the risk matrix to underpin preparedness.	<input type="checkbox"/>	<input type="checkbox"/>
B3	Mitigation was considered following the regional risk assessment	<input type="checkbox"/>	<input type="checkbox"/>
B4	Critical Infrastructure was considered as part of the regional risk assessment	<input type="checkbox"/>	<input type="checkbox"/>

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<sup>4</sup> These statements will be relevant only after the first appraisal process and review is complete

- |     |  |                          |                          |
|-----|--|--------------------------|--------------------------|
| B5  | A plan for Regional Level Co-ordination has been prepared  | <input type="checkbox"/> | <input type="checkbox"/> |
| B6  | External emergency plans are in place for all Upper Tier Seveso Sites in the region and a list of these plans is attached. (If there is no Upper Tier Seveso Site in the region put a tick here . . . . .)   | <input type="checkbox"/> | <input type="checkbox"/> |
| B7  | A list of all other hazard site and event specific plans for the region is attached  | <input type="checkbox"/> | <input type="checkbox"/> |
| B8  | A list of local co-ordination centres, which have been identified and developed, is attached.  | <input type="checkbox"/> | <input type="checkbox"/> |
| B9  | Arrangements for mobile facilities for on-site co-ordination have been put in place.   | <input type="checkbox"/> | <input type="checkbox"/> |
| B10 | Procedures for the activation and working of Local/ Regional Co-ordination Groups are in place.  | <input type="checkbox"/> | <input type="checkbox"/> |
| B11 | A list of inter-agency training events, held in the region during the past year, is attached.  | <input type="checkbox"/> | <input type="checkbox"/> |
| B12 | A list of inter-agency exercises, held in the region during the past year, is attached.  | <input type="checkbox"/> | <input type="checkbox"/> |
| B13 | A list of Local Co-ordination Group exercises, held in the region during the past year, is attached.   | <input type="checkbox"/> | <input type="checkbox"/> |
| B14 | A list of inter-agency exercises, planned for the coming year, is attached.  | <input type="checkbox"/> | <input type="checkbox"/> |
| B15 | A list of agency Major Emergency Management plans, which have been reviewed and validated by the Regional Steering Group, is attached and plans on which issues were referred back to the relevant principal response agency for appropriate action are indicated. | <input type="checkbox"/> | <input type="checkbox"/> |