

| Core standard | Clarifying information | Mental healthcare providers | Evidence of assurance | Self assessment RAG Red = Not compliant with core standard and not in the EPRR work plan within the next 12 months. Amber = Not compliant but evidence of progress and in the EPRR work plan for the next 12 months. Green = fully compliant with core standard. | Action to be taken | Lead | Timescale | |
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| Governance | | | | | | | | |
| 1 | Organisations have a director level accountable emergency officer who is responsible for EPRR (including business continuity management) | | Y | Ensuring accountable emergency officer's commitment to the plans and giving a member of the executive management board and/or governing body overall responsibility for the Emergency Preparedness Resilience and Response, and Business Continuity Management agendas | | | | |
| 2 | Organisations have an annual work programme to mitigate against identified risks and incorporate the lessons identified relating to EPRR (including details of training and exercises and past incidents) and improve response. | Lessons identified from your organisation and other partner organisations. NHS organisations and providers of NHS funded care treat EPRR (including business continuity) as a systematic and continuous process and have procedures and processes in place for updating and maintaining plans to ensure that they reflect: - the undertaking of risk assessments and any changes in that risk assessment(s) - lessons identified from exercises, emergencies and business continuity incidents - restructuring and changes in the organisations - changes in key personnel - changes in guidance and policy | Y | Having a documented process for capturing and taking forward the lessons identified from exercises and emergencies, including who is responsible. Appointing an emergency preparedness, resilience and response (EPRR) professional(s) who can demonstrate an understanding of EPRR principles. Appointing a business continuity management (BCM) professional(s) who can demonstrate an understanding of BCM principles. Being able to provide evidence of a documented and agreed corporate policy or framework for building resilience across the organisation so that EPRR and Business continuity issues are mainstreamed in processes, strategies and action plans across the organisation. That there is an appropriate budget and staff resources in place to enable the organisation to meet the requirements of these core standards. This budget and resource should be proportionate to the size and scope of the organisation. | | | | |
| 3 | Organisations have an overarching framework or policy which sets out expectations of emergency preparedness, resilience and response. | Arrangements are put in place for emergency preparedness, resilience and response which: • Have a change control process and version control • Take account of changing business objectives and processes • Take account of any changes in the organisations functions and/ or organisational and structural and staff changes • Take account of change in key suppliers and contractual arrangements • Take account of any updates to risk assessment(s) • Have a review schedule • Use consistent unambiguous terminology. • Identify who is responsible for making sure the policies and arrangements are updated, distributed and regularly tested; • Key staff must know where to find policies and plans on the intranet or shared drive. • Have an expectation that a lessons identified report should be produced following exercises, emergencies and /or business continuity incidents and share for each exercise or incident and a corrective action plan put in place. • Include references to other sources of information and supporting documentation | Y | | | | | |
| 4 | The accountable emergency officer will ensure that the Board and/or Governing Body will receive as appropriate reports, no less frequently than annually, regarding EPRR, including reports on exercises undertaken by the organisation, significant incidents, and that adequate resources are made available to enable the organisation to meet the requirements of these core standards. | After every significant incident a report should go to the Board/ Governing Body (or appropriate delegated governing group) . Must include information about the organisation's position in relation to the NHS England EPRR core standards self assessment. | Y | | | | | |
| Duty to assess risk | | | | | | | | |
| 5 | Assess the risk, no less frequently than annually, of emergencies or business continuity incidents occurring which affect or may affect the ability of the organisation to deliver its functions. | Risk assessments should take into account community risk registers and at the very least include reasonable worst-case scenarios for: • severe weather (including snow, heatwave, prolonged periods of cold weather and flooding); • staff absence (including industrial action); • the working environment, buildings and equipment (including denial of access); • fuel shortages; | Y | Being able to provide documentary evidence of a regular process for monitoring, reviewing and updating and approving risk assessments Version control Consulting widely with relevant internal and external stakeholders during risk evaluation and analysis stages | | | | |
| 6 | There is a process to ensure that the risk assessment(s) is in line with the organisational, Local Health Resilience Partnership, other relevant parties, community (Local Resilience Forum/ Borough Resilience Forum), and national risk registers. | • surges and escalation of activity; • IT and communications; • utilities failure; • response a major incident / mass casualty event • supply chain failure; and • associated risks in the surrounding area (e.g. COMAH and iconic sites) | Y | Assurances from suppliers which could include, statements of commitment to BC, accreditation, business continuity plans. Sharing appropriately once risk assessment(s) completed | | | | |
| 7 | There is a process to ensure that the risk assessment(s) is informed by, and consulted and shared with your organisation and relevant partners. | There is a process to consider if there are any internal risks that could threaten the performance of the organisation's functions in an emergency, as well as external risks eg. Flooding, COMAH sites etc. Other relevant parties could include COMAH site partners, PHE etc. | Y | | | | | |
| Duty to maintain plans – emergency plans and business continuity plans | | | | | | | | |
| 8 | Effective arrangements are in place to respond to the risks the organisation is exposed to, appropriate to the role, size and scope of the organisation, and there is a process to ensure the likely extent to which particular types of emergencies will place demands on your resources and capacity. Have arrangements for (but not necessarily have a separate plan for) some or all of the following (organisation dependent) (NB, this list is not exhaustive): | Incidents and emergencies (Incident Response Plan (IRP) (Major Incident Plan)) | Y | Relevant plans: | | | | |
| | | corporate and service level Business Continuity (aligned to current nationally recognised BC standards) | Y | • demonstrate appropriate and sufficient equipment (inc. vehicles if relevant) to deliver the required responses | | | | |
| | | HAZMAT/ CBRN - see separate checklist on tab overleaf | Y | • identify locations which patients can be transferred to if there is an incident that requires an evacuation; | Draft | Plan to be ratified | EPRR Officer | End of March 2016 |
| | | Severe Weather (heatwave, flooding, snow and cold weather) | Y | • outline how, when required (for mental health services), Ministry of Justice approval will be gained for an evacuation; | | | | |
| | | Pandemic Influenza (see pandemic influenza tab for deep dive 2015-16 questions) | Y | • take into account how vulnerable adults and children can be managed to avoid admissions, and include appropriate focus on providing healthcare to displaced populations in rest centres; | N/A | | | |
| | | Mass Countermeasures (eg mass prophylaxis, or mass vaccination) | Y | • include arrangements to co-ordinate and provide mental health support to patients and relatives, in collaboration with Social Care if necessary, during and after an incident as required; | N/A | | | |
| | | Mass Casualties | Y | • make sure the mental health needs of patients involved in a significant incident or emergency are met and that they are discharged home with suitable support | | | | |
| | | Fuel Disruption | Y | • ensure that the needs of self-presenters from a hazardous materials or chemical, biological, nuclear or radiation incident are met. | | | | |
| | | Surge and Escalation Management (inc. links to appropriate clinical networks e.g. Burns, Trauma and Critical Care) | Y | • for each of the types of emergency listed evidence can be either within existing response plans or as stand alone arrangements, as appropriate. | | | | |
| | | Infectious Disease Outbreak | Y | | | | | |
| Evacuation | Y | | | | | | | |
| Lockdown | Y | | | | | | | |
| Utilities, IT and Telecommunications Failure | Y | | | | | | | |
| Excess Deaths/ Mass Fatalities | Y | | | | | | | |
| having a Hazardous Area Response Team (HART) (in line with the current national service specification, including a vehicles and equipment replacement programme) - see HART core standard tab | Y | | | | | | | |
| firearms incidents in line with National Joint Operating Procedures - see MTRA core standard tab | Y | | | | | | | |
| 9 | Ensure that plans are prepared in line with current guidance and good practice which includes: • Aim of the plan, including links with plans of other responders • Information about the specific hazard or contingency or site for which the plan has been prepared and realistic assumptions • Trigger for activation of the plan, including alert and standby procedures • Activation procedures • Identification, roles and actions (including action cards) of incident response team • Identification, roles and actions (including action cards) of support staff including communications • Location of incident co-ordination centre (ICC) from which emergency or business continuity incident will be managed • Generic roles of all parts of the organisation in relation to responding to emergencies or business continuity incidents • Complementary generic arrangements of other responders (including acknowledgement of multi-agency working) • Stand-down procedures, including debriefing and the process of recovery and returning to (new) normal processes • Contact details of key personnel and relevant partner agencies • Plan maintenance procedures (Based on Cabinet Office publication Emergency Preparedness, Emergency Planning, Annexes 5B and 5C (2006)) | | Y | Being able to provide documentary evidence that plans are regularly monitored, reviewed and systematically updated, based on sound assumptions. Being able to provide evidence of an approval process for EPRR plans and documents Asking peers to review and comment on your plans via consultation Using identified good practice examples to develop emergency plans Adopting plans which are flexible, allowing for the unexpected and can be scaled up or down Version control and change process controls List of contributors References and list of sources Explain how to support patients, staff and relatives before, during and after an incident (including counselling and mental health services). | | | | |
| 10 | Arrangements include a procedure for determining whether an emergency or business continuity incident has occurred. And if an emergency or business continuity incident has occurred, whether this requires changing the deployment of resources or acquiring additional resources. | Enable an identified person to determine whether an emergency has occurred - Specify the procedure that person should adopt in making the decision - Specify who should be consulted before making the decision - Specify who should be informed once the decision has been made (including clinical staff) | Y | On-call Standards and expectations are set out Include 24-hour arrangements for alerting managers and other key staff. | | | | |
| 11 | Arrangements include how to continue your organisation's prioritised activities (critical activities) in the event of an emergency or business continuity incident insofar as is practical. | Decide: - Which activities and functions are critical - What is an acceptable level of service in the event of different types of emergency for all your services - Identifying in your risk assessments in what way emergencies and business continuity incidents threaten the performance of your organisation's functions, especially critical activities | Y | | | | | |
| 12 | Arrangements explain how VIP and/or high profile patients will be managed. | This refers to both clinical (including HAZMAT incidents) management and media / communications management of VIPs and / or high profile management | Y | | | | | |
| 13 | Preparedness is undertaken with the full engagement and co-operation of interested parties and key stakeholders (internal and external) who have a role in the plan and securing agreement to its content | | Y | Specify who has been consulted on the relevant documents/ plans etc. | | | | |
| 14 | Arrangements include a debrief process so as to identify learning and inform future arrangements | Explain the de-briefing process (hot, local and multi-agency, cold) at the end of an incident. | Y | | | | | |
| Command and Control (C2) | | | | | | | | |
| 15 | Arrangements demonstrate that there is a resilient single point of contact within the organisation, capable of receiving notification at all times of an emergency or business continuity incident; and with an ability to respond or escalate this notification to strategic and/or executive level, as necessary. | Organisation to have a 24/7 on call rota in place with access to strategic and/or executive level personnel | Y | Explain how the emergency on-call rota will be set up and managed over the short and longer term. | | | | |
| 16 | Those on-call must meet identified competencies and key knowledge and skills for staff. | NHS England published competencies are based upon National Occupation Standards . | Y | Training is delivered at the level for which the individual is expected to operate (ie operational/ bronze, tactical/ silver and strategic/gold). for example strategic/gold level leadership is delivered via the 'Strategic Leadership in a Crisis' course and other similar courses. | | | | |
| 17 | Documents identify where and how the emergency or business continuity incident will be managed from, ie the Incident Co-ordination Centre (ICC), how the ICC will operate (including information management) and the key roles required within it, including the role of the loggist . | This should be proportionate to the size and scope of the organisation. | Y | Arrangements detail operating procedures to help manage the ICC (for example, set-up, contact lists etc.), contact details for all key stakeholders and flexible IT and staff arrangements so that they can operate more than one control/coordination centre and manage any events required. | | | | |
| 18 | Arrangements ensure that decisions are recorded and meetings are minuted during an emergency or business continuity incident. | | Y | | | | | |
| 19 | Arrangements detail the process for completing, authorising and submitting situation reports (SITREPs) and/or commonly recognised information pictures (CRIP) / common operating picture (COP) during the emergency or business continuity incident response. | | Y | | | | | |
| 20 | Arrangements to have access to 24-hour specialist adviser available for incidents involving firearms or chemical, biological, radiological, nuclear, explosive or hazardous materials, and support strategic/gold and tactical/silver command in managing these events. | Both acute and ambulance providers are expected to have in place arrangements for accessing specialist advice in the event of incidents chemical, biological, radiological, nuclear, explosive or hazardous materials | | | | | N/A | |
| 21 | Arrangements to have access to 24-hour radiation protection supervisor available in line with local and national mutual aid arrangements. | Both acute and ambulance providers are expected to have arrangements in place for accessing specialist advice in the event of a radiation incident | | | | | N/A | |
| Duty to communicate with the public | | | | | | | | |

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| 22 | Arrangements demonstrate warning and informing processes for emergencies and business continuity incidents. | <p>Arrangements include a process to inform and advise the public by providing relevant timely information about the nature of the unfolding event and about:</p> <ul style="list-style-type: none"> - Any immediate actions to be taken by responders - Actions the public can take - How further information can be obtained - The end of an emergency and the return to normal arrangements <p>Communications arrangements/ protocols:</p> <ul style="list-style-type: none"> - have regard to managing the media (including both on and off site implications) - include the process of communication with internal staff - consider what should be published on intranet/internet sites - have regard for the warning and informing arrangements of other Category 1 and 2 responders and other organisations. | Y | <ul style="list-style-type: none"> • Have emergency communications response arrangements in place • Be able to demonstrate that you have considered which target audience you are aiming at or addressing in publishing materials (including staff, public and other agencies) • Communicating with the public to encourage and empower the community to help themselves in an emergency in a way which compliments the response of responders • Using lessons identified from previous information campaigns to inform the development of future campaigns • Setting up protocols with the media for warning and informing • Having an agreed media strategy which identifies and trains key staff in dealing with the media (including nominating spokespeople and 'talking heads') • Having a systematic process for tracking information flows and logging information requests and being able to deal with multiple requests for information as part of normal business processes. • Being able to demonstrate that publication of plans and assessments is part of a joined-up communications strategy and part of your organisation's warning and informing work. | | | | |

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| 23 | Arrangements ensure the ability to communicate internally and externally during communication equipment failures | | Y | • Have arrangements in place for resilient communications, as far as reasonably practicable, based on risk. | | | | |
| Information Sharing – mandatory requirements | | | | | | | | |
| 24 | Arrangements contain information sharing protocols to ensure appropriate communication with partners. | These must take into account and include DH (2007) Data Protection and Sharing – Guidance for Emergency Planners and Responders or any guidance which supercedes this, the FOI Act 2000, the Data Protection Act 1998 and the CCA 2004 'duty to communicate with the public', or subsequent / additional legislation and/or guidance. | Y | • Where possible channelling formal information requests through as small as possible a number of known routes. • Sharing information via the Local Resilience Forum(s) / Borough Resilience Forum(s) and other groups. • Collectively developing an information sharing protocol with the Local Resilience Forum(s) / Borough Resilience Forum(s). • Social networking tools may be of use here. | | | | |
| Co-operation | | | | | | | | |
| 25 | Organisations actively participate in or are represented at the Local Resilience Forum (or Borough Resilience Forum in London if appropriate) | | Y | • Attendance at or receipt of minutes from relevant Local Resilience Forum(s) / Borough Resilience Forum(s) meetings, that meetings take place and membership is quorate. | | | | |
| 26 | Demonstrate active engagement and co-operation with other category 1 and 2 responders in accordance with the CCA | | Y | • Treating the Local Resilience Forum(s) / Borough Resilience Forum(s) and the Local Health Resilience Partnership as strategic level groups | | | | |
| 27 | Arrangements include how mutual aid agreements will be requested, co-ordinated and maintained. | NB: mutual aid agreements are wider than staff and should include equipment, services and supplies. | Y | • Taking lessons learned from all resilience activities • Using the Local Resilience Forum(s) / Borough Resilience Forum(s) and the Local Health Resilience Partnership to consider policy initiatives | | | | |
| 28 | Arrangements outline the procedure for responding to incidents which affect two or more Local Health Resilience Partnership (LHRP) areas or Local Resilience Forum (LRF) areas. | | | • Establish mutual aid agreements | N/A | | | |
| 29 | Arrangements outline the procedure for responding to incidents which affect two or more regions. | | | • Identifying useful lessons from your own practice and those learned from collaboration with other responders and strategic thinking and using the Local Resilience Forum(s) / Borough Resilience Forum(s) and the Local Health Resilience Partnership to share them with colleagues | N/A | | | |
| 30 | Arrangements demonstrate how organisations support NHS England locally in discharging its EPRR functions and duties | Examples include completing of SITREPs, cascading of information, supporting mutual aid discussions, prioritising activities and/or services etc. | Y | • Having a list of contacts among both Cat. 1 and Cat 2. responders with in the Local Resilience Forum(s) / Borough Resilience Forum(s) area | N/A | | | |
| 31 | Plans define how links will be made between NHS England, the Department of Health and PHE. Including how information relating to national emergencies will be co-ordinated and shared | | | | N/A | | | |
| 32 | Arrangements are in place to ensure an Local Health Resilience Partnership (LHRP) (and/or Patch LHRP for the London region) meets at least once every 6 months | | | | N/A | | | |
| 33 | Arrangements are in place to ensure attendance at all Local Health Resilience Partnership meetings at a director level | | Y | | | | | |
| Training And Exercising | | | | | | | | |
| 34 | Arrangements include a training plan with a training needs analysis and ongoing training of staff required to deliver the response to emergencies and business continuity incidents | • Staff are clear about their roles in a plan • Training is linked to the National Occupational Standards and is relevant and proportionate to the organisation type. • Training is linked to Joint Emergency Response Interoperability Programme (JESIP) where appropriate • Arrangements demonstrate the provision to train an appropriate number of staff and anyone else for whom training would be appropriate for the purpose of ensuring that the plan(s) is effective • Arrangements include providing training to an appropriate number of staff to ensure that warning and informing arrangements are effective | Y | • Taking lessons from all resilience activities and using the Local Resilience Forum(s) / Borough Resilience Forum(s) and the Local Health Resilience Partnership and network meetings to share good practice • Being able to demonstrate that people responsible for carrying out function in the plan are aware of their roles • Through direct and bilateral collaboration, requesting that other Cat 1. and Cat 2 responders take part in your exercises | | | | |
| 35 | Arrangements include an ongoing exercising programme that includes an exercising needs analysis and informs future work. | • Exercises consider the need to validate plans and capabilities • Arrangements must identify exercises which are relevant to local risks and meet the needs of the organisation type and of other interested parties. • Arrangements are in line with NHS England requirements which include a six-monthly communications test, annual table-top exercise and live exercise at least once every three years. • If possible, these exercises should involve relevant interested parties. • Lessons identified must be acted on as part of continuous improvement. • Arrangements include provision for carrying out exercises for the purpose of ensuring warning and informing arrangements are effective | Y | • Refer to the NHS England guidance and National Occupational Standards For Civil Contingencies when identifying training needs. • Developing and documenting a training and briefing programme for staff and key stakeholders • Being able to demonstrate lessons identified in exercises and emergencies and business continuity incidents have been taken forward • Programme and schedule for future updates of training and exercising (with links to multi-agency exercising where appropriate) • Communications exercise every 6 months, table top exercise annually and live exercise at least every three years | | | | |
| 36 | Demonstrate organisation wide (including oncall personnel) appropriate participation in multi-agency exercises | | Y | | | | | |
| 37 | Preparedness ensures all incident commanders (oncall directors and managers) maintain a continuous personal development portfolio demonstrating training and/or incident /exercise participation. | | Y | | | | | |