



Are we ready?

GUIDANCE FOR SCOTLAND'S REGIONAL RESILIENCE
PARTNERSHIPS (RRPs) ON RISK AND PREPAREDNESS
ASSESSMENTS (RPAs)

Version 1
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Resilience Division, Scottish Government

Introduction

This guidance has been written for Regional Resilience Partnerships (RRPs) to help you to assess the risks relevant to your region and to determine how prepared you are to deal with the consequences of these risks. Scottish Government's Preparing Scotland guidance is set out as a "hub and spokes" model; this guidance is one of the spokes.

Risk assessment is a key part of the emergency planning process and is a statutory obligation for Category 1 responders. Risk assessment is not the end of the process, it is really just a way of prioritising the emergencies that might happen, so the key consequences can be considered and prepared for.

This is guidance on the Risk and Preparedness Assessment (RPA). It aims to help you to work through the process of assessing relevant risks, enabling you to determine which your priority risks are. It also guides you through the process of working out the consequences your region needs to be ready to respond to and assessing how ready your region is. Each RRP should complete one RPA.

Two templates have been developed alongside this guidance and will be issued to you separately - one for assessing risks in your regional context and one for assessing your preparedness.

There are some specific risks, e.g. malicious attacks, pandemic flu and volcanic activity, on which you should seek Scottish Government assistance in order to accurately assess the risks and ultimately the preparedness within your RRP. Your contacts in Resilience Division can help you to get in touch with the relevant Scottish Government colleague.

In Section 1 of this guidance we:

- Provide some background on your statutory obligations in relation to assessing risk
- Summarise Integrated Emergency Management (IEM)
- Summarise key risk assessment principles
- Provide a description of key UK Government documents

In Section 2 we:

- Explain the Risk and Preparedness Assessment (RPA) process
- Describe how your RPA should be used

In Section 3 we provide a step by step guide to completing the two templates.

In Section 4 we suggest good practice for communicating with the public about risks they may face and ways they can prepare. We have also provided links to useful websites.

Section 5 contains the annexes in which we have included key terms and a summary of relevant legislation. There is also a classified annex on threats, which we will send to RRP's directly.

Section 1 - Legislation, principles and UK guidance

Legislation

Preparing Scotland is underpinned by the Civil Contingencies Act 2004 and the Civil Contingencies Act 2004 (Contingency Planning) (Scotland) Regulations 2005 (as amended).

The Civil Contingencies Act 2004 seeks to minimise disruption in the event of an emergency and to ensure that the UK is better prepared to deal with a range of emergencies.

There are seven main duties placed on Category 1 responders, aimed at ensuring effective arrangements are in place for planning for emergencies, responding to emergencies and the continued delivery of services. These can be summarised as:

1. Duty to assess risk
2. Duty to maintain emergency plans
3. Duty to maintain business continuity plans
4. Duty to promote business resilience
5. Duty to communicate with the public
6. Duty to share information
7. Duty to co-operate

This guidance focuses on the duty to assess risk and the duty to communicate with the public. A more detailed description of the statutory requirements can be found in Annex 1.

Integrated Emergency Management

This guidance is written in line with the principles of Integrated Emergency Management (IEM). This aims to develop flexible and adaptable arrangements for dealing with emergencies, whether foreseen or unforeseen¹. Plans should be focused on consequences, not causes of emergencies.

Emergencies can be caused by a wide range of factors but the effects will often share identical or similar consequences. For instance, care for people issues can arise from a wide range of incidents which share few other characteristics. A flood, a terrorist attack or an industrial incident can all lead to similar requirements for shelter and support to a local community.

¹ Preparing Scotland: Scottish Guidance on Resilience (<http://www.readyscotland.org/ready-government/preparing-scotland/>)

As a result, many aspects of preparation can be generic in nature, focusing on mitigating the consequences of an emergency whilst, from a planning perspective, paying relatively little attention to the cause of the disruption. This all-risks approach, concentrating on consequences rather than causes, allows a process of generic planning which can be adapted readily to fit to a wide range of issues around response and recovery.

Whilst the all-risks approach is effective, each emergency will have unique aspects, some of which may be unforeseen. Therefore, the ability to be flexible and adaptable is a crucial quality. Emergencies cannot always be accurately predicted and responders must always be ready to adapt plans to suit a situation unfolding in an unforeseen way.

Key risk assessment principles

Many terms related to risk assessment mean different things to different people. In this section, we aim to provide a brief summary of the principles of risk assessment consistent with that used by UK Government. We have included a number of key risk-related terms in Annex 2.

The key steps in the risk assessment process are:

1. Establish the process – your partnership should agree on the process you are going to follow, which organisations should be involved and how you will work together.
2. Map your region’s context – you should think about the context and profile of your region, as this will affect the likelihood and impact of an emergency.
3. Identify the risks for assessment - using the information from the context stage, you should identify the hazards and threats that could cause an emergency in your area within the next five years.
4. You should assess the likelihood of the risks that are relevant to your area and their impact, if they were to occur.
5. You should plot the likelihood and impact scores for each risk on a risk matrix. This helps the risks to be prioritised and will allow you to decide how to treat each risk.
6. You should decide how you’re going to treat the risks. You should look at ways to reduce the impact or likelihood of the risk and you should use information (planning assumptions) about the

consequences of your priority risks to help you assess your capability and capacity.

7. You should consider how you will communicate with communities about these risks, and what advice you can provide about actions which individuals, groups and businesses can take.
8. Monitoring and reviewing - you are required by The Act (refer to Annex 1) to assess the risk of an emergency occurring. You should monitor risks relevant to your area and update risk assessments as and when needed. We recommend that you review your risk and preparedness assessments annually or more frequently if things have changed.

Key UK Government Documents

We have kept the RPA process in line with UK Government guidance as much as possible. This is to make use of the considerable information and expertise that goes into developing the UK Government documents and to avoid confusion when speaking to UK counterparts. The key UK documents you will need to be familiar with are:

- The UK National Risk Assessment (NRA) – is the UK Government’s assessment of the likelihood and potential impact of the most significant emergencies that the UK could face over the next 5 years. A ‘reasonable worst case scenario’ has been developed for each potential emergency. These are events which could result in significant harm to human welfare: casualties, damage to property, essential services, security, environment and disruption to everyday life. The NRA is a classified² assessment that is conducted every year drawing upon expertise from a wide range of departments and agencies of government. This document is sent to Police Scotland and distributed across the country. We can help to ensure the right people have access to this document.
- The UK National Risk Register of Civil Emergencies (NRR) – is the public version of the NRA. It is a useful, easily accessible summary of the key risks but does not go into the same level of detail as the classified document.
<https://www.gov.uk/government/publications/national-risk-register-for-civil-emergencies-2013-edition>

² See Section 3 of this guidance for more information about security classifications.

- More guidance on risk assessment can be found in the Cabinet Office Emergency Response Guidance, specifically “Chapter 4: Local responder risk assessment duty”:
(<https://www.gov.uk/government/publications/emergency-preparedness>).
- The Local Risk Assessment Guidance (LRAG) – consists of a guidance document and an annexed table, both of which are classified and distributed to RRP risk leads. They aim to provide local planners with detailed risk information and guidance on how to tailor and interpret each risk from the NRA to meet local circumstances. This is a classified document which is distributed to Resilience Coordinators and Risk Leads.
- The UK National Resilience Planning Assumptions (NRPAs) – distil information from the NRA on the common consequences of emergencies to inform national and local capability building and contingency planning decisions. These cover the maximum scale, duration and impact that could reasonably be expected to occur as a result of emergencies defined in the NRA. They are designed to help with national and local planning. This document is classified. It is sent to Police Scotland and distributed across the country. We can help to ensure the right people have access to this document.
- The Local Planning Assumptions Guidance (LPAG) – is a classified document to help local planners interpret and tailor the NRPAs to develop local planning assumptions. This is distributed to Resilience Coordinators and Risk Leads.

[NB – Cabinet Office are undertaking a review of the NRA within the next few months, and Chapter 4 guidance, they are also reviewing both the LRAG and the LPAG to join these documents. We will revise this guidance in line with these changes]

Section 2 – The Risk and Preparedness Assessment (RPA) process

The Risk and Preparedness Assessment (RPA) is the process used by Regional Resilience Partnerships (RRPs) to assess and prioritise risks to your area, to consider the consequences of these risks and to assess how prepared your partnership is to respond to the consequences.

There are four stages to the process, summarised below and in Figure 1.

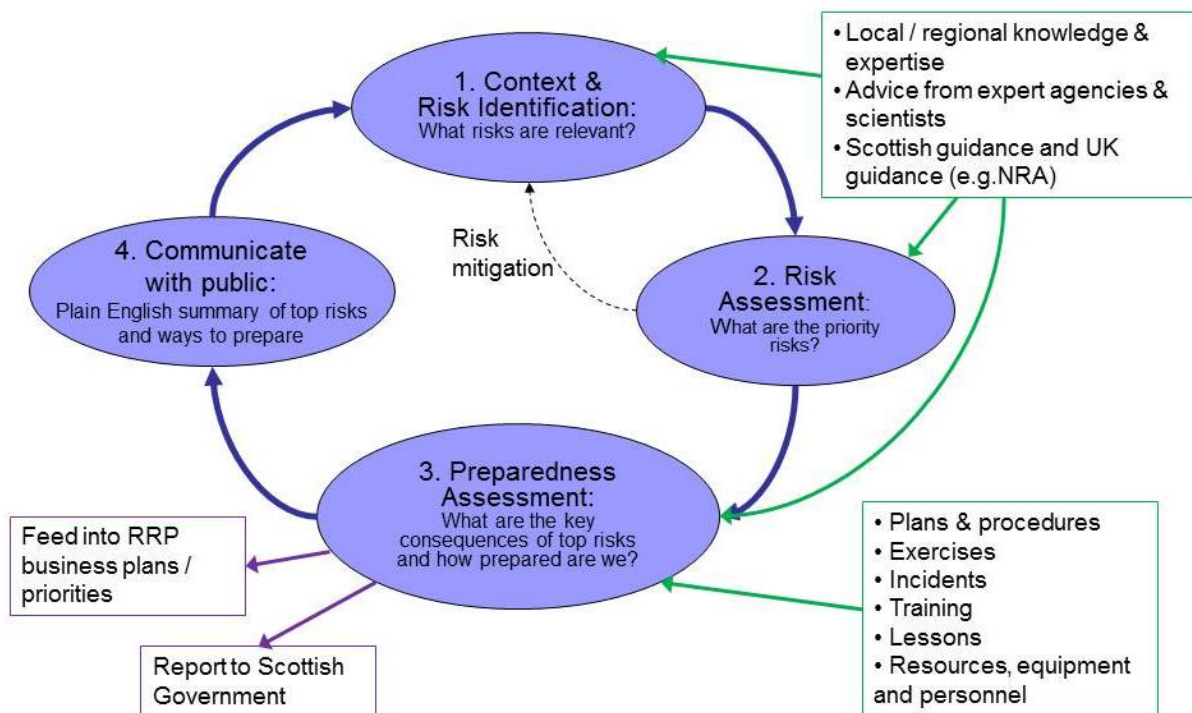


Figure 1: The cycle of the Risk and Preparedness Assessment (RPA) process

The four stages in the RPA:

1) Context - Before you can start assessing risks, you need to determine what emergencies could occur in your region. You should consider the makeup of your area in terms of population, environment, economy, infrastructure and any hazardous sites.

2) Risk Assessment - Once you have identified relevant hazards and threats you should assess the likelihood / plausibility of each event taking place and the potential impact upon communities. This will allow you to prioritise the risks and to base planning priorities around the consequences of the most serious risks to your region.

3) Preparedness Assessment - You then need to determine how prepared your region is to deal with these consequences. This is the preparedness

assessment. The preparedness assessment should be used to inform partners' future planning and to report to the Scottish Government. We will use these assessments to inform Ministers and to shape Resilience priorities within the Scottish Government. We should all be focused on reducing capability gaps, to ensure we are as prepared as possible.

Figure 2 is a flow chart showing an overview of the first three stages in the RPA process - 1) context, 2) risk assessment and 3) preparedness assessment. We have provided advice on how to complete these stages in Section 3 of this guidance.

4) Communicate with public - You should communicate with the general public in a meaningful way about the risks that might affect them and what steps they, individually or collectively, can take to mitigate the consequences ahead of events happening. This should be written in plain English and be presented in a clear, concise and engaging way. It should be used as a basis for dialogue about risk with communities where community resilience activities are taking place. Section 4 of this guidance provides some advice on how to undertake stage 4 - communicating with the public.

Using and Reviewing your RPA

You should regularly review your Risk and Preparedness Assessment to ensure it takes into account and uses the latest information and changes in circumstance. This will ensure that your RPA is up to date, fit for purpose and will mean you comply with your CCA duties. We advise that your RPA should be updated to fit in with your RRP's business planning cycle - so that it can feed into this process and be the evidence base for many decisions around prioritisation of projects and resources.

You should ensure that you learn lessons from incidents and exercises and incorporate these as appropriate into each updated RPA.

You should use clear version control, keeping track of different drafts and final versions of your RPA. Please fill in the version number, date completed and date for review on the front pages of both templates.

Your completed RPA should be:

- Used to inform RRP's priorities and business plans
- Treated as a classified document (restricted / official) and stored and shared appropriately, in line with guidance on the new Government Security Classification system, which comes into force on 1 April 2014 and can be

found at:

https://www.gov.uk/government/uploads/system/uploads/attachment_data/file/251480/Government-Security-Classifications-April-2014.pdf

- Shared with:
 - all relevant partners / organisations in your RRP region
 - other RRP in Scotland and, where relevant, neighbouring LRFs in England (i.e. Northumberland and Cumbria)
 - Scottish Government Resilience Division to inform our analysis of Scotland's preparedness and Resilience Division's priorities and Business Plan
- Used to inform your Community Risk Register – the public facing document described in the section 4 of this guidance.

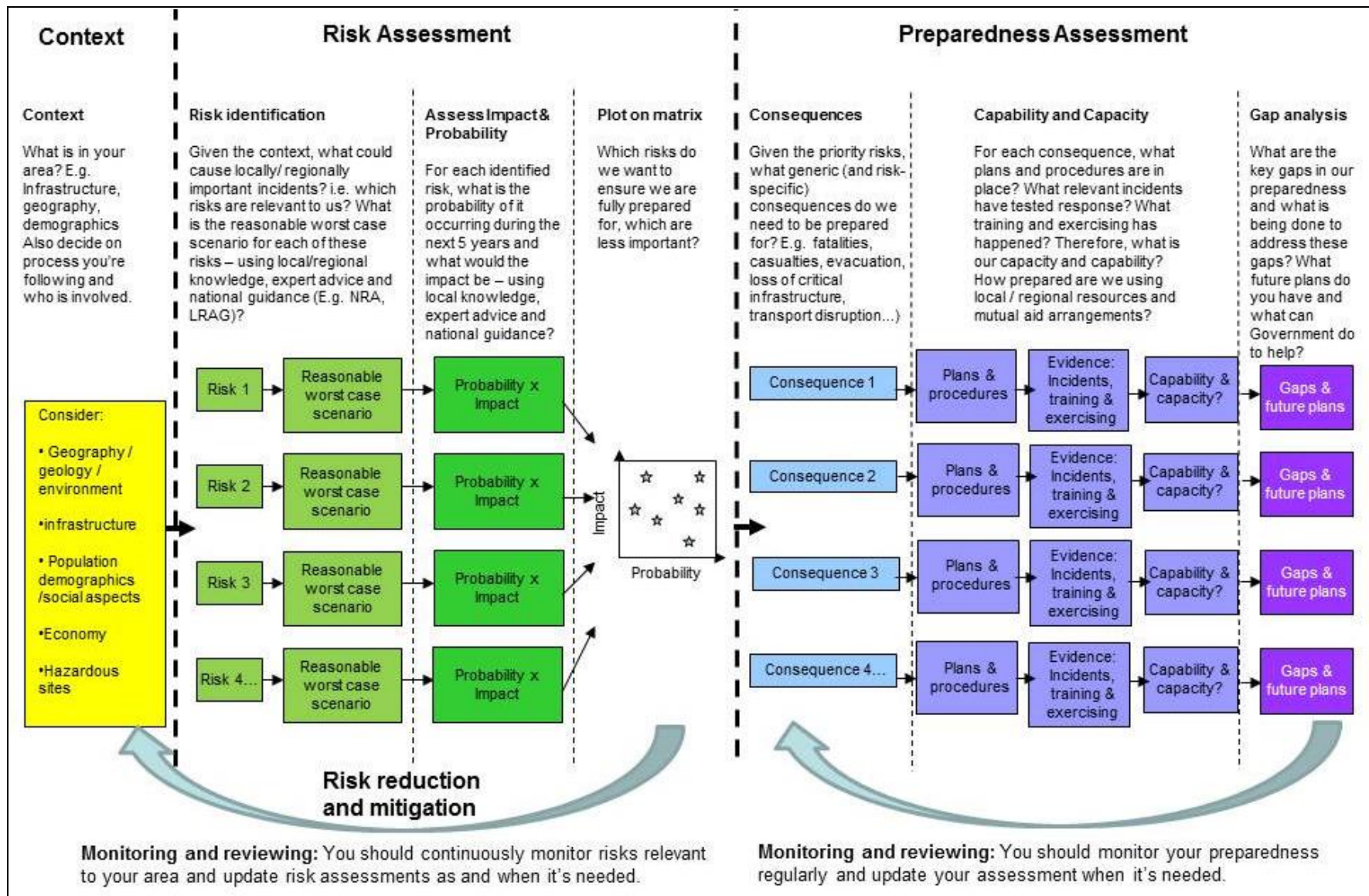


Figure 2: An overview of the Risk and Preparedness Assessment (RPA) process

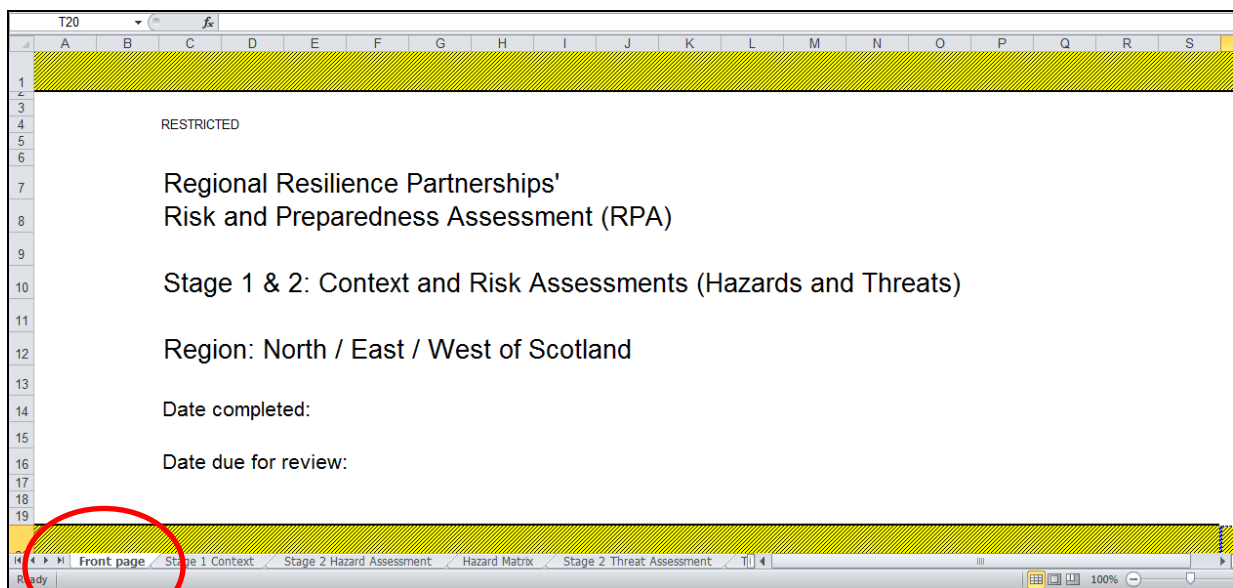
Section 3 - How to complete the RPA templates

Each RRP will be sent two templates - a Context and Risk Assessment template and a Preparedness Assessment template. There is no template for communicating with the public but advice is given in Section 4.

The templates are classified as 'RESTRICTED' as information from the Local Risk Assessment Guidance (LRAG) has been included and some of the information you include will be sensitive. Therefore, the templates will need to be stored appropriately for a RESTRICTED document. From 1 April 2014, these will need to be marked as 'OFFICIAL'. More detail on the new Government Security Classification system can be found at:

https://www.gov.uk/government/uploads/system/uploads/attachment_data/file/251480/Government-Security-Classifications-April-2014.pdf

The templates are Excel spreadsheets³. This is a screen shot of the front page of the Context and Risk Assessment template:



Navigation - each tab at the bottom of the page takes you to a different stage to complete - E.g. Hazard Assessment or Threat matrix.

The final tabs in each template provide space in which you can note down the people or groups that contributed to each part of the process and the references you used. We encourage you to keep a note of these.

handy hint

If you want to start a new paragraph within a cell in Excel, press the 'alt' and 'return' buttons together

³ The Excel 'help' function can either be found at the top of the page or under the 'file' tab.

Stage 1: Context

The first stage of the RPA is to consider the context in your area. Regional Resilience Partnership members should agree individual roles, which local and regional groups need to be involved and ensure governance structures are clear (e.g. who is responsible for what and who has final sign off of the work). You should then consider the following aspects for your area; these are included under the tab named “Context” in the Context and Risk Assessment Excel template:

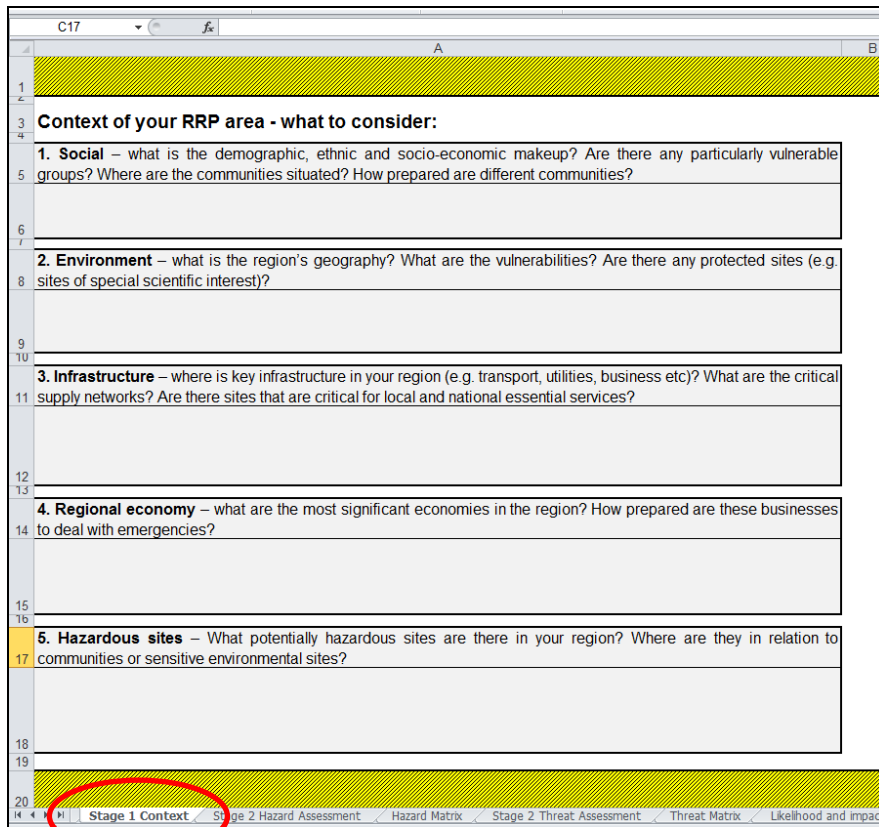
- Environment – what is the region’s geography? What are the vulnerabilities? Are there any protected sites (e.g. sites of special scientific interest)?
- Hazardous sites – What potentially hazardous sites are there in your region? Where are they in relation to communities or sensitive environmental sites?
- Social – what is the demographic, ethnic and socio-economic makeup? Are there any particularly vulnerable groups? Where are the communities situated? How prepared are different communities?
- Infrastructure – where is key infrastructure in your region (e.g. transport, utilities, business etc)? What are the critical supply networks? Are there sites that are critical for local, regional and national essential services?
- Regional economy – what are the most significant economies in the region? How prepared are these businesses to deal with emergencies?

We recommend that RRP members use their own knowledge and expertise coupled with information from expert agencies such as the Scottish Environmental Protection Agency (SEPA), the Health and Safety Executive (HSE), the MET office and Transport Scotland. By using advice from expert agencies you can make sure you take into account any new or emerging evidence from other regions and countries or from scientific research. We can help RRP members to get in touch with relevant experts.

We also recommend that this stage is not completed in isolation. Where possible, you should consider the context of your neighbouring RRP members and resilience across the UK, as appropriate. This is because risks in these other areas might impact on your own RRP (e.g. chemical release causing contamination of waterways) or you may need to assist them in their

response if a large scale emergency happens in their area (e.g. helping with displaced people).

Here is a screenshot of the context page of the RPA template:



Stage 2: Risk Assessment

The Risk Assessment stage is split into assessing hazards (naturally occurring events or accidents) and assessing threats (malicious attacks). These are separated because different techniques are used to assess the probability of these different types of emergencies occurring (likelihood is used for hazards and plausibility for threats) – see Annex 2 for definitions.

Relevant UK documents are: the UK NRA, the UK NRR and the LRA – see Section 1 for descriptions.

Hazards – which are relevant?

For the hazard assessment, we have prepopulated the template with the risk numbers, risk descriptions and the likelihood levels from the LRA. Using the information you gathered during the context stage, you will need to decide which of the risks listed in the template are relevant to your area. Many will not be and can be discounted and not considered any further. On

the other hand, you may decide that other risks, not included in the LLAG, need to be added to the list as they are so significant to your region. You should advise us if you decide to add risks, providing the evidence to your decision, and do not assign an H or HL reference to these risks.

We advise that you use both local and regional expertise and that of expert agencies, as in the context stage.

These are the columns in the template to describe the risks, the relevance to your area and the evidence considered:

Risk description and evidence					
Risk number	Risk description (from LLAG)	Relevant in your area? (Y/N)	If no, please provide reason why	If yes, provide description, if different from LLAG	Summarise local, national & international evidence used

When considering the relevance of each risk, select a 'yes' or 'no', as appropriate. If you select 'no', please fill in a reason in the following column. This will vary from risk to risk but may be because your area does not have a hazardous site of the size or type listed in the risk, or it may be that your area does not have the environment relevant to that risk. Please note that you only need to assess the worst type of a certain risk - e.g. the worst industrial accident scenario that is relevant to your RRP - you can disregard any less severe scenarios because if you are planning to deal with the bigger risk, you should be able to deal with anything that is smaller. This can be used as a reason why a risk is not relevant i.e. because a similar risk, on a larger scale *is* relevant.

If you select 'yes', in the 'Relevant in your area' column, please provide a description in the next column, if it is different to the LLAG risk description. You should also include here any information that is specific to your area e.g. the names of hazardous sites or vulnerable areas. If the scenario in the LLAG is accurate for your region, then you can leave this column blank.

In the next column you are asked to summarise local, national and international evidence - here you should include evidence about why this risk is relevant. This should include local, national or international evidence or any events that have actually occurred that are related to this risk. Local historical evidence will be important but advice from experts should also be incorporated, to take into account the latest scientific thinking e.g. flood risk areas may change or improved modelling may allow more accurate predictions.

Hazards - likelihood

Once you have decided which hazards are relevant, you need to consider the likelihood of it happening in your area. These are the columns in the template relating to likelihood:

Likelihood		
LRAG Likelihood (1-5)	RRP Likelihood (1-5)	If RRP likelihood different to LRAG, summarise reason here. Please also add information about key assumptions made or any uncertainty.

The likelihood of a hazard occurring in the UK as a whole is provided in the LRAG or NRA - we have included these in the template. You should consider whether you need to change this to reflect your RRP's situation. If you change the likelihood it is good practice to provide a reason for the change, we would advise giving the reason and the source of the evidence or advice.

There is often considerable uncertainty in assessing the likelihood of a hazard occurring. When communicating the likelihood levels to colleagues, partners and the public, it is important to be open and honest about the level of certainty or uncertainty you have. Please note down key assumptions you have made and any uncertain aspects that you feel should be recorded.

The following scale should be used for measuring likelihood, this is in line with the NRA and LRAG:

Level	Descriptor	Likelihood in every five years	Stated chance in every five years:	Equals one event in every:
1	Low	Between 0.005% and 0.05%	Between 1/20,000 and 1/2,000	10,000 to 100,000 years
2	Medium-low	Between 0.05% and 0.5%	Between 1/2000 and 1/200	1000 to 10,000 years
3	Medium	Between 0.5% and 5%	Between 1/200 and 1/20	1000 to 100 years
4	Medium-high	Between 5% and 50%	Between 1/20 and 1/2	100 to 10 years
5	High	50% or more	1/2 or more	10 years or less

Hazards - impact

The next thing to consider is the impact the hazards would have if they were to occur. The impact a hazard will have will vary in different areas.

The expected consequences should not be higher than in the NRA, as this shows the assessment of the UK's 'reasonable worst case scenarios'. These are the columns in the template relating to impact:

Impact					
Health Impact	Social Impact	Economic Impact	Environmental Impact	Overall Impact on RRP area	Please add information about key assumptions made or any uncertainty

Each of the four impact categories, health, social, economic and environment, should be scored 1-5, based on the qualitative scales in the table on the following page. Once all categories have been considered and scored, the overall impact rating should be calculated by adding the scores together and dividing by the four categories (i.e. the mean should be calculated). The final number should be a whole number and should be rounded up or down depending on your RRP's judgement.

As with likelihood, there is often considerable uncertainty in assessing the impact a hazard (or threat) would have if it occurred. When communicating the impact levels to colleagues, partners and the public, is important to be open and honest about the level of certainty or uncertainty you have. Please note down key assumptions you have made in assessing the impact and any uncertain aspects that you feel should be recorded.

We advise that you use the following scale to assess the impact of hazards and threats (<https://www.gov.uk/government/publications/emergency-preparedness>).

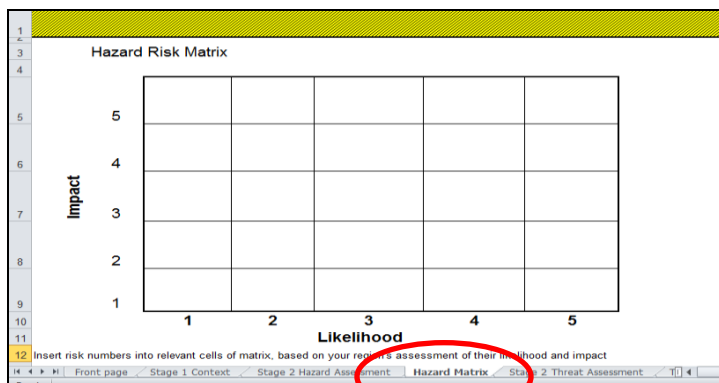
Level	Descriptor	Categories of impact	Description of impact
1	Insignificant	Health	- Insignificant number of injuries or impact on health
		Social	- Insignificant number of persons displaced and personal support required - Insignificant disruption to community services, including transport services and infrastructure
		Economic	- Insignificant impact on area's economy
		Environment	- Insignificant impact on environment
2	Minor	Health	- Small number of people affected, no fatalities, and small number of minor injuries with first aid treatment
		Social	- Minor damage to properties - Minor displacement of a small number of people for < 24 hours and minor personal support needed - Minor localised disruption to community services or infrastructure
		Economic	- Negligible impact on area's economy and cost easily absorbed
		Environment	- Minor impact on environment with no lasting effects
3	Moderate	Health	- Moderate number of fatalities with some casualties requiring hospitalisation and medical treatment
		Social	- Damage that is confined to a specific location, or to a number of locations but requires additional resources - Localised displacement of >100 people for 1-3 days - Localised disruption to infrastructure and community services
		Economic	- Limited impact on area's economy with some short-term loss of production, with possible additional clean-up costs
		Environment	- Limited impact on environment with short or long-term effects
4	Significant	Health	- Significant number of people in affected area are impacted with multiple fatalities, multiple serious or extensive injuries and significant hospitalisation
		Social	- Significant damage that requires support for local responders with external resources - 100-500 people in danger and displaced for longer than 1 week. Local responders require external resources to deliver personal support - Significant impact on, and possible breakdown of, delivery of some local community services
		Economic	- Significant impact on area's economy with medium-term loss of production - Significant extra clean-up and recovery costs
		Environment	- Significant impact on environment with medium-term to long-term effects
	Catastrophic	Health	- Very large numbers of people in affected area(s) impacted with significant numbers of fatalities, large number of people requiring hospitalisation with serious injuries with longer-term effects
		Social	- Extensive damage to properties and built up environment in affected area requiring major demolition - General and widespread displacement of more than 500 people for prolonged duration and extensive personal support required - Serious damage to infrastructure causing significant disruption to, or loss of, key services for prolonged period. Community unable to function without significant support.
		Economic	- Serious impact on regional economy with some long-term, potentially permanent, loss of production with some structural change - Extensive clean-up and recovery costs
		Environment	- Serious long-term impact on environment and / permanent damage

Hazards – matrix

Risk matrices are used to prioritise risks by plotting risks based on their impact and probability. Often these matrices are colour coded into very high, high, medium and low risk categories. The colour determines how a risk is treated – for example it may be treated as an acceptable risk with no action needed, or it may be of such significance that action needs to be taken to mitigate the effects, reduce the likelihood of it happening and/or prepare for the consequences.

We have not suggested a colour code for RRP's to use but may do so in a later version of this guidance, once we have explored this with RRP's.

However, we still suggest that you use a risk matrix (without the colour code) to help prioritise risks in your area. You should use the H / HL number and plot this using each risk's likelihood and impact score. Here is a screenshot from the template:



Threats

All RRP's will receive a copy of Annex 3 which outlines how to complete the threat assessment. It is classified as RESTRICTED / OFFICIAL.

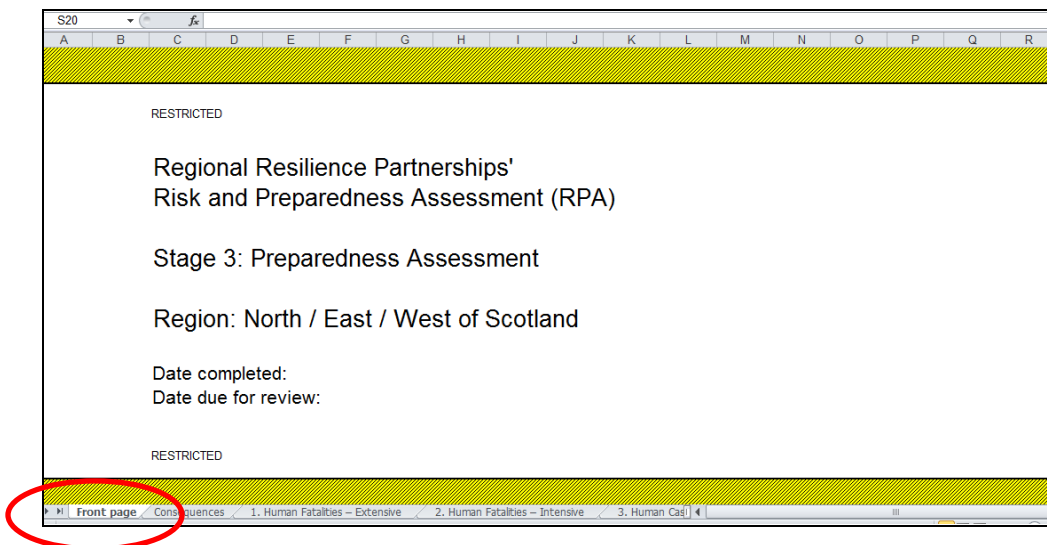
Stage 3: Preparedness Assessment

The third stage of the RPA process is to determine how prepared you are to deal with the consequences of risks that might occur in your area. You should use the information collected and analysed in Stage 1 and 2 to determine the level of each consequence that you need to be prepared for. You should then assess whether you are ready to deal with these levels – do you have plans in place and the capability and capacity needed? And, importantly, have you tested these?

In other words, you should be aiming to get a good understanding of the maximum scale, duration and impact of each consequence, that could reasonably be expected to occur as a result of emergencies in your region, and how prepared you are to deal with it. Relevant UK documents are: the UK NRPAs and the LPAG – see Section 1 for descriptions.

The Preparedness Assessment replaces the Statement of Preparedness that used to be submitted to Scottish Government by Strategic Coordinating Groups. Each RRP should use their completed RPA to inform their Business Plan and priorities and should send a copy to Scottish Government. The Scottish Government will then use the three RPAs to inform resilience priorities within the Scottish Government and to report to Ministers on Scotland’s preparedness.

As with the other template, the Preparedness Assessment template is an Excel spreadsheet, which has been designed to take you through the process step by step. Here is a screenshot of the cover page of the Preparedness Assessment:



The tabs at the bottom of the spreadsheet allow you to navigate between the twelve consequences listed below. These consequences are based on those used in the Civil Contingencies Act 2004, Section 1(2). The way we have categorised them differs slightly to those included in UK guidance.

Consequences to consider:
1. Human Fatalities – Extensive: Human fatalities which are not generally localised and where the general circumstances of the deaths are often already known, such as widespread disease.
2. Human Fatalities – Intensive: Human fatalities which are a result of a single or a related group of incidents such as an industrial accident or a criminal attack. They are generally localised and usually require investigation to assess criminality or negligence.
3. Human Casualties – Extensive: Human casualties which are not generally localised and are usually associated with widespread disease.
4. Human Casualties – Intensive: Human casualties which are a result of a single or a related group of incidents such as an industrial accident or a criminal attack. They are generally localised and usually require investigation to assess criminality or negligence.
5. Displaced People: The evacuation or movement of people from an affected area to a place of safety. If applicable, consideration should be given to incidents that may result in an influx of non-resident British Nationals to the UK.
6. Loss of Staff: Any negative impact of the ability of an organisation's staff to attend their place of work – both public and private sector.
7. Damage to Property and Places: Any impacts related to damage to property or places. This includes: structural damage and economic damage to an area. Consideration should be given to responder or government buildings in the area that could be affected and how this would impact response. Planning should take into account that rubble and debris may affect the response site.
8. Disruption to Transport: Any negative impact on transport infrastructure.
9. Disruption to Financial Services, Food, Water, Energy or Fuel Supplies: Any negative impact on the supply of money (payment, clearing and settlement systems; markets and exchanges; public finances) food, water, electricity, gas, fuel or any other type of energy supplies.
10. Disruption to Communications: Any incident which may impact negatively upon communications infrastructure. This includes telecommunications, postal services and broadcast.
11. Contamination of Land, Water or Air: Any contamination of land, water or air. This can be as a result of biological, chemical or radio-active matter.
12. Disruption or Destruction of Plant Life or Animal Life: Any negative impacts on plant or animal life.

We want open and honest discussions to take place. Only if we are open and honest across organisations can we develop a clear understanding of what capability and capacity we have across the regions, and Scotland as a whole, and what gaps exist. This, together with the information analysed in the risk assessment stage, will help us all to have a better understanding of what needs to be prioritised.

For each consequence, you should consider the following things (more detail on each is provided below):

- Generic planning assumptions
- Key risks and specific planning assumptions
- Plans and procedures
- Incidents, testing and exercising
- Capability and capacity (including resources, equipment, personnel +)
- Capability and capacity gaps
- Future developments
- Other comments

These are set out in a table for each consequence in the template. Here's a screenshot:

<p>iv) INCIDENTS, TESTING & EXERCISING Include the local, regional and national incidents, training and exercising, which your areas has been involved in which are relevant and have helped improve preparedness to this consequence.</p>
<p>v) CAPABILITY & CAPACITY What capability and capacity do you have locally to respond to this consequence?</p>
<p>vi) CAPABILITY & CAPACITY GAPS What are the gaps? Please be open and honest in this box, as this will enable us to work together to try to improve preparedness.</p>
<p>vii) FUTURE DEVELOPMENTS What are your future plans to improve preparedness? What do you think Scottish Government or other partners could do to help improve preparedness?</p>

Front page / Consequences / 1. Human Fatalities – Extensive / 2. Human Fatalities – Intensive / 3. Human Cas[]

As with the other template, the final tabs in the Preparedness Assessment template are for you to note down the people or groups that contributed to the Preparedness Assessment and the references you used. We encourage you to keep a note of these.

There are some specific risks, which you might wish to seek Scottish Government assistance in order to accurately assess the preparedness within your RRP. Please speak to Scottish Government if you are unsure.

Relevant UK documents are: the UK National Resilience Planning Assumptions (NRPAs) and the Local Planning Assumptions Guidance (LPAG) – see Section 1 for descriptions.

Generic planning assumptions

In this box, you should list all of the generic (non-risk specific) assumptions you are making when considering this consequence. For example if the consequence could affect your region population-wide, then you may need to work out the percentage of the population that would be affected in different ways. Therefore, you should include your region's population in this section.

Other generic planning assumptions might include information about how much notice you will have of the consequence (e.g. extensive v intensive fatalities / casualties) or the specific expert people or technology you will be reliant on to deal with this consequence (e.g. heavy machinery for clearing debris or environmental contamination experts).

For most consequences, we have included a number of things to consider in this box. However, this list is not exhaustive and should be amended as you see fit.

Key risks and their specific planning assumptions

In this box, you should provide a summary of the key risks that cause the consequence you are considering. You should focus on those risks with a high impact score and a high likelihood / plausibility score. For each risk, you should list the specific assumptions you are making when considering this consequence. For example you may be able to state the proportion of your region's population that is likely to be affected (e.g. ill / hospitalised / requiring specific needs). Or you might be able to state the size of an affected zone (e.g. causing environmental contamination or debris).

Where possible, you should include quantitative values from your risk assessment relevant to the consequence you are considering, as this will help you to assess how prepared you are.

Plans and procedures

In this box, you should include all the plans and procedures you have in place which are relevant to the consequence you are considering. This should also include the mutual aid arrangements you have in place.

Incidents, testing, exercising and lessons

You should include all the incidents, training and exercising that your region has been involved in, which are relevant and have helped improve preparedness to this consequence. You should also include any lessons you have learnt which have helped improve your RRP's preparedness.

Capability and capacity

You should include details (quantitative where possible) of the capability and capacity that your region has to deal with the consequence being considered. This could vary from the number of road gritters or snow ploughs through to the number of different categories of hospital beds or specially trained medical staff. We want to encourage all partners to be open and honest here, so that we can build up an accurate picture of what level of preparedness we have across the regions, and Scotland as a whole.

Capability and Capacity Gaps

In this box, you can match up what your region may need to be ready for (from the generic planning assumptions box and the key risks and specific planning assumptions box) with what you are ready for at the moment (the capability and capacity box).

We expect there to be some gaps. This is almost inevitable, as each RRP cannot (and should not) be expected to deal with emergencies with serious / catastrophic consequences without support from neighbouring RRP (and perhaps also English LRFs).

In some situations, capability and capacity may be best provided (or solely available) from Scottish or UK centrally arranged response arrangements. In these circumstances, RRP need only to maintain a clear understanding about what is available and how the capabilities should be accessed.

Future developments

Detail that should be included here includes:

- What do you have in place to improve preparedness?
- Are there key weaknesses that you are working to improve?
- What specific gaps need to be addressed and how will they be?
- You may want to provide more detail of any mutual aid arrangements you have in place or are planning to set up with other RRP, voluntary organisations or provide information on the work of community groups.

Is there anything you want to suggest the Scottish Government can do to help improve preparedness?

Other comments

Please use this box for any other comments relevant to the consequence being considered. For example, if your preparations have improved or declined over the past year, it would be useful to understand why you think this is (training programmes / funding levels / change of personnel etc).

Section 4 - Communicating about risk with the Public

This section focuses on communicating with the general public about the risks that might affect them, the impact these may have on them and the steps they can take to prepare. In the past, each Strategic Coordinating Group published a Community Risk Register; however, these documents were often technical, not always widely known about, and often not written in plain English. This section aims to help you to improve the way in which risks are communicated to the public.

Any document published, should be short, concise and useful to the general public. The following provides some information on relevant legislation, information about community resilience, some ideas about best practice and links to useful websites.

Legislation

As outlined in Section 1, there are a number of duties placed on responders by the Civil Contingencies Act 2004 and associated Regulations. Specifically relevant are the following duties:

- Arranging for the publication of risk assessments where publication is necessary or desirable to:
 - prevent an emergency
 - reduce, control or mitigate the effects of an emergency
 - enable action to be taken in connection with an emergency.
- In publishing information, responders should ensure that they do not cause unnecessary alarm.
- Due regard should be given to the warning and informing arrangements maintained by other responders and agencies.
- Sensitive information should not prevent publication, however consideration should be given to the implications of publishing and any necessary permissions required.

There are other pieces of legislation that place demands on responders with regard to the provision of information to the public, for example the 'Control of Major Accident Hazards Regulations 1999' (Part 5, Regulation 14).

Community Resilience

If you communicate clearly with the public about the risks they might face, they are better able to take ownership of risks and responsibility to prepare. If they

are well prepared and able to respond appropriately, the emergency will have less of an impact on the community.

Building Community Resilience: Scottish Guidance on Community Resilience (<http://www.scotland.gov.uk/Publications/2013/04/2901>) is a spoke of Preparing Scotland. It defines community resilience as:

Communities and individuals harnessing resources and expertise to help themselves prepare for, respond to and recover from emergencies, in a way that complements the work of the emergency responders

Community resilience is based on a culture of preparedness, in which individuals, communities and organisations take responsibility to prepare for, respond to and recover from emergencies.

The first stage in building a resilient community is to develop a shared understanding of the risks they might face. An accessible document, which provides a summary of the key risks that are relevant to communities in your area, can be a useful tool in achieving this. It should provide self-help measures that are relevant to the readers – be they individuals, groups, or businesses.

Communities who better understand the risks they face will be encouraged and empowered to help themselves in the event of an emergency in a way which complements the activities of your organisation and other responders. The reality is that in some circumstances communities might be better placed or quicker to address particular needs than Category 1 and other responders. By communicating with communities in advance they can be more aware, and more prepared, to help themselves.

An increased resilience of one group is likely, in turn, to have a positive impact on others. This ‘ripple effect’ means that all effective awareness raising with one community will have a knock-on effect with others.

The benefits of assisting the public in understanding the risks they face are further outlined in Preparing Scotland ‘Having and Promoting Business Resilience’ (http://www.readyscotland.org/media/48883/preparing_scotland.pdf).

Communities may also have knowledge of the local impacts of risks, which can complement responders’ understanding. A dialogue with communities about how risk affects them can help responders develop a finer understanding of how to treat risks in their area.

Below, we have provided some recommendations and examples of good practice for writing and publishing Community Risk Registers.

Recommendations and Good Practice

Relevant information from the Risk Assessment part of the RPA should be used to produce a useful and meaningful document for the general public – a Community Risk Register (CRR).

When developing this document, you may want to consider the following things:

Style of writing and design of the document

- You should use plain English to make sure it is concise, easy to understand and non-technical (<http://www.plainenglish.co.uk/>)
- Material should be visually interesting, meaningful and practical.
 - Use a clear font, graphics, diagrams and bold colours
 - You can use resources such as ‘Prezi’ (<http://prezi.com/>) to make information more interactive e.g. London LRF http://prezi.com/ghza5vj7_0wu/london-risk-register
 - Another example of a visually interesting CRR is from Lincolnshire – see the pdf document on this web page: <http://www.lincolnshire.gov.uk/lincolnshire-prepared/risks/>
- You should take into account Diversity issues such as: languages, dyslexia, colour blindness.

Content of the document

You may want to refer to the UK National Risk Register for a steer about what information can be provided in the public domain – this can be accessed at <https://www.gov.uk/government/publications/national-risk-register-for-civil-emergencies-2013-edition>.

You should provide enough information to make the document relevant to your region but where possible you should signpost people to other useful documents. This will make sure people access the latest information and will prevent duplication.

You should also work closely with relevant partners to make sure all communications and warning and informing documents are consistent.

You should consider including the following content in the document, being mindful to remove any sensitive information:

- Summary of the context of your region – what are the unique characteristics of your area? Can you include photos of key landmarks or assets?
- Top risks (simplified)
- Key things people should be prepared for
- How they can prepare individually and as a community
- Information about where they can get further help and advice

Publication

You may want to involve RRP public communications groups and other specialists, including groups involved in wider community engagement, so that the publication of risk information is part of a joined-up communications and engagement strategy. They should be able to advise you on any lessons from previous information campaigns.

You should make sure that your document is accessible to all members of your community – for example, publishing material on the internet is a good way of informing a lot of people, while keeping costs down, however not everyone can access the internet. You may find it useful to work in partnership with groups who have good contacts and trusted relationships with communities to build awareness of risk in ‘hard to reach’ groups.

You should be careful not to publish any information which is sensitive. Guidance on the new Government Security Classification system can be found at: https://www.gov.uk/government/uploads/system/uploads/attachment_data/file/251480/Government-Security-Classifications-April-2014.pdf

Useful websites

Many pieces of advice are already in the public domain, some of which are listed below. You may decide to signpost the reader to external pages rather than duplicate content as this will help to ensure that the information in your Community Risk Register remains current and will keep the document concise.

- General preparedness: Ready Scotland <http://www.readyscotland.org/>

- Winter preparedness: Ready Scotland Ready for Winter
<http://www.readyscotland.org/are-you-ready/winter-weather/>
- Business resilience: Ready Scotland Ready Business
http://www.readyscotland.org/media/48883/preparing_scotland.pdf
- Warning and informing guidance
<http://www.scotland.gov.uk/Publications/2012/02/4073>
- Weather advice: <http://www.metoffice.gov.uk/weather/uk/advice/>
- Food warnings and flood advice: <http://www.sepa.org.uk/flooding.aspx> and
<http://www.scottishfloodforum.org/category/news/>
- Public transport advice: <http://www.travelinescotland.com>
- Roads advice: <http://trafficscotland.org/>
- Foreign travel advice: <http://www.fco.gov.uk/en/>
- First aid training and advice: <http://www.firstaid.org.uk/> and
<http://www.redcross.org.uk/What-we-do/First-aid>
- Advice to disaster survivors and the bereaved:
<http://www.disasteraction.org.uk/>

Section 5 - The Annexes

Annex 1: Category 1 responders' mandatory responsibilities related to assessing risk:

- From time to time assess the risk of an emergency occurring if the emergency affects the area in which the organisation exercises its functions.
- From time to time assess the risk of an emergency making it necessary or expedient for the organisation to perform any of its functions.
- Consider whether a risk assessment is necessary in relation to an emergency or type of emergency. A risk assessment is necessary if:
 - the emergency would be likely to seriously obstruct the performance of your functions,
 - the organisation considers it necessary or desirable to take action to prevent the emergency, to reduce, control or mitigate its effects or take other action in connection with the emergency,
 - the organisation would be unable to act without changing the deployment of resources or acquiring additional resources.
- Take into account any guidance and adopt any assessment issued by Scottish Ministers in relation to:
 - the likelihood of a particular emergency or emergency of a particular kind occurring,
 - the extent to which such an emergency would or might cause damage to human welfare or the environment in Scotland or the security of the UK.
- Co-operate with other Category 1 responders operating in your area to maintain a Community Risk Register (CRR). This involves:
 - from time to time sharing your individual risk assessments, where possible, with the other Category 1 responders in your area,
 - having regard to the CRR when producing your own risk assessments.
- Arrange for the publication of any risk assessments made where publication is necessary or desirable to:
 - prevent an emergency,
 - reduce, control or mitigate the effects of an emergency,
 - enable another action to be taken in connection with an emergency.

Annex 2: Key risk-related terms:

You can find more resilience-related definitions at:

<https://www.gov.uk/government/publications/emergency-responder-interopability-lexicon>

- Hazard - Accidental or naturally occurring (i.e., non-malicious) event or situation with the potential to cause death or physical or psychological harm, damage or losses to property, and/or disruption to the environment and/or to economic, social and political structures.
- Threat - Intent and capacity to cause loss of life or create adverse consequences to human welfare (including property and the supply of essential services and commodities), the environment or security.
- Risk - Measure of the significance of a potential emergency in terms of its assessed likelihood and impact.
- Impact - The scale of the consequences of a hazard, threat or emergency expressed in terms of a reduction in human welfare, damage to the environment and loss of security.
- Likelihood - Chance of something happening, whether defined, measured or estimated objectively or subjectively, or in terms of general descriptors (such as rare, unlikely, almost certain), frequencies or mathematical probabilities.
- Risk assessment - A structured and auditable process of identifying potentially significant events, assessing their likelihood and impacts, and then combining these to provide an overall assessment of risk, as a basis for further decisions and action.
- Risk management - All activities and structures directed towards the effective assessment and management of risks and their potential adverse impacts.
- Risk priority - The relative importance of the treatment(s) required for the management of the risk, based on the risk rating and the additional capabilities required to manage risk.