



Deliverable D6.1

The PROACTIVE Methodology for the Field Exercises

Due date of deliverable: 31/10/2019

Actual submission date: 31/10/2019

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1: CBRNE Ltd

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Project details

Project acronym	PROACTIVE
Project full title	PR eparedness against CBRNE threats through cO mmun Approaches between security pra CT itioners and the V ulneran blE civil society
Grant Agreement no.	832981
Call ID and Topic	H2020-SU-SEC-2018, Topic SU-FCT01-2018
Project Timeframe	01/05/2019 – 30/04/2022
Duration	36 Months
Coordinator	UIC – Grigore Havarneanu (havarneanu@uic.org)

Document details

Title	PROACTIVE Methodology for Field Exercises
Work Package	WP6
Date of the document	28/10/2019
Version of the document	03
Responsible Partner	CBRNE Ltd
Reviewing Partner	UIC, WMP
Status of the document	Final
Dissemination level	Public

Document history

Revision	Date	Description
01	11/10/2019	First draft
02	21/10/2019	Reviewed draft
03	28/10/2019	Final

Consortium – List of partners

Partner no.	Short name	Name	Country
1	UIC	UNION INTERNATIONALE DES CHEMINS DE FER (COORDINATOR)	France
2	CBRNE	CBRNE LTD	UK
3	PPI	POPULATION PROTECTION INSTITUTE (MINISTRY OF THE INTERIOR OF THE CZECH REPUBLIC)	Czech Republic
4	DB	DEUTSCHE BAHN AG	Germany
5	IGSU	INSPECTORATUL GENERAL PENTRU SITUATII DE URGENTA	Romania
6	UMU	UMEA UNIVERSITET	Sweden
7	DHPOL	DEUTSCHE HOCHSCHULE DER POLIZEI	Germany
8	RINISOFT	RINISOFT LTD	Bulgaria
9	WMP	WEST MIDLANDS POLICE AND CRIME COMMISSIONER	UK
10	ETICAS	ETICAS RESEARCH AND CONSULTING SL	Spain
11	SESU	STATE EMERGENCY SERVICE OF UKRAINE	Ukraine
12	PHE	DEPARTMENT OF HEALTH	UK
13	SPL	STATE POLICE OF LATVIA	Latvia
14	AGS	AN GARDA SÍOCHÁNA – NATIONAL POLICE FORCE IRELAND	Ireland
15	FFI	FORSVARETS FORSKNINGSinSTITUTT	Norway

Executive summary

Project PROACTIVE (hereafter also referred to as ‘the Project’) aims to enhance societal CBRN preparedness by increasing practitioner effectiveness in managing large, diverse groups of people in a CBRN environment.

A key part of the project is to have three field exercises, in conjunction with H2020 Project eNOTICE (see <https://www.h2020-enotice.eu/static/project.html>). This document presents Deliverable 6.1 of the Project; it presents the first iteration of the Project’s Methodology for Field Exercises. It outlines the approach to be taken by the Project to co-ordinate the planning of the three field exercises, noting that these exercises will be undertaken in different countries, with different standard operating procedures and approaches.

Initial research has been undertaken to establish common principles and identify best practice currently being adopted. This was followed by a period of consultation involving both PROACTIVE and eNOTICE partners, culminating in a presentation to the PROACTIVE Progress Meeting in September 2019 at which a representative from eNOTICE was also present.

The approach to developing the methodology has considered the diverse cultural and procedural approaches across the European Union, where there are different relationships between first responders, varying relationships between citizens and first responders, and different approaches to operational response.

Furthermore, it has also considered the challenges of engaging in Joint Activities where there may be different objectives, a parallel command structure, a different decision-making hierarchy, and a variety of local site-specific issues.

Having taken this into account the methodology has adapted current operational planning principles and interoperability principles to develop a framework approach that can run both with and in parallel to other plans developed as part of the joint activities undertaken with eNOTICE. A key focus for the Project, which will differentiate it from the work already being done in will be the focus on the needs of vulnerable people and their representatives / carers.

The key output from application of the identified Methodology will be a series of completed Templates, specific to each exercise, that will enable the Project to ensure that the three field exercises will deliver the results and data it needs, in a consistent manner, in adherence with the Project’s Ethical standards, among others.

This approach will be the subject of continuous assessment and development throughout the life of the project and will be adapted as necessary for each successive field exercise, taking on board and lessons learned at each review point.

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1. INTRODUCTION

The PROACTIVE Description of Action (DoA) sets out the requirements of Work Package 6, Task 6.1: to co-ordinate three joint exercises in collaboration with project eNOTICE and our hosts at the three locations and produce “The PROACTIVE Methodology for the Field Exercises”.

This report details the work carried out in respect of Deliverable 6.1 which is the development of the Methodology for the Field Exercises, comprising the Exercise Action Plan encapsulating the Main Events List, Technology Availability List, Scenarios, Logistics, Communications, Risks and Exercise Readiness Reviews (Status Reviews). The initial methodology described in D6.1 will be updated in D6.3, D.6.4, D6.5.

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Initial consultations and discussions with eNOTICE partners have already taken place and their feedback has been encapsulated in the outline approach presented here. Furthermore the approach was endorsed by the PROACTIVE General Assembly in September 2019. Figure 1 shows the process that the Project is using to develop the Methodology and Templates as the Project proceeds. In particular it shows how the methodology is a living document to be developed following further discussions with stakeholders and, for the second and third exercises, to take on-board feedback from earlier ones.

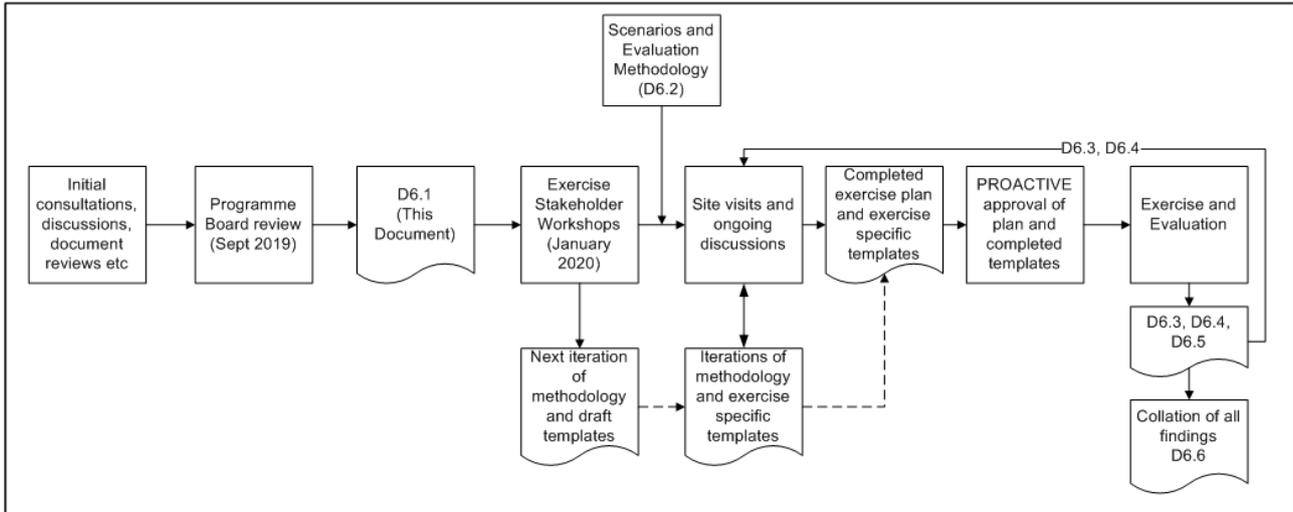


Figure 1: Process for the further development of methodologies for exercises

2. OUTLINE OF METHODOLOGY

Following initial discussions and reviews of previous experience, Figures 2 and 3 were constructed to show the scope of subjects that the Project needs to consider for any exercise. Recognising that the exercises are to be held jointly with eNOTICE, that they will vary in size and country of delivery, that they will have differing objectives (both between the exercises and between eNOTICE and PROACTIVE) and that there will already exist many well developed and standardised processes and procedures to address many of the subjects identified, but that the Project is responsible for personnel that it will send to them, the Project proposes to develop a series of Templates, for each key subject¹.

Templates will either be specifications for how a process or action is to be completed or they will be a request for confirmation from other parties that they have been completed to the degree required by the Project. The first type will, in general, relate to actions to be undertaken by members of PROACTIVE on behalf of those for whom they are responsible. The later will, in general, relate to subjects, such as Risk Assessment, in areas for which PROACTIVE is not directly responsible, but which it must obtain assurances about.

¹ The use of templates is consistent with the approach developed for eNOTICE (see eNOTICE, 2018). Where appropriate, templates from eNOTICE will be used in PROACTIVE.

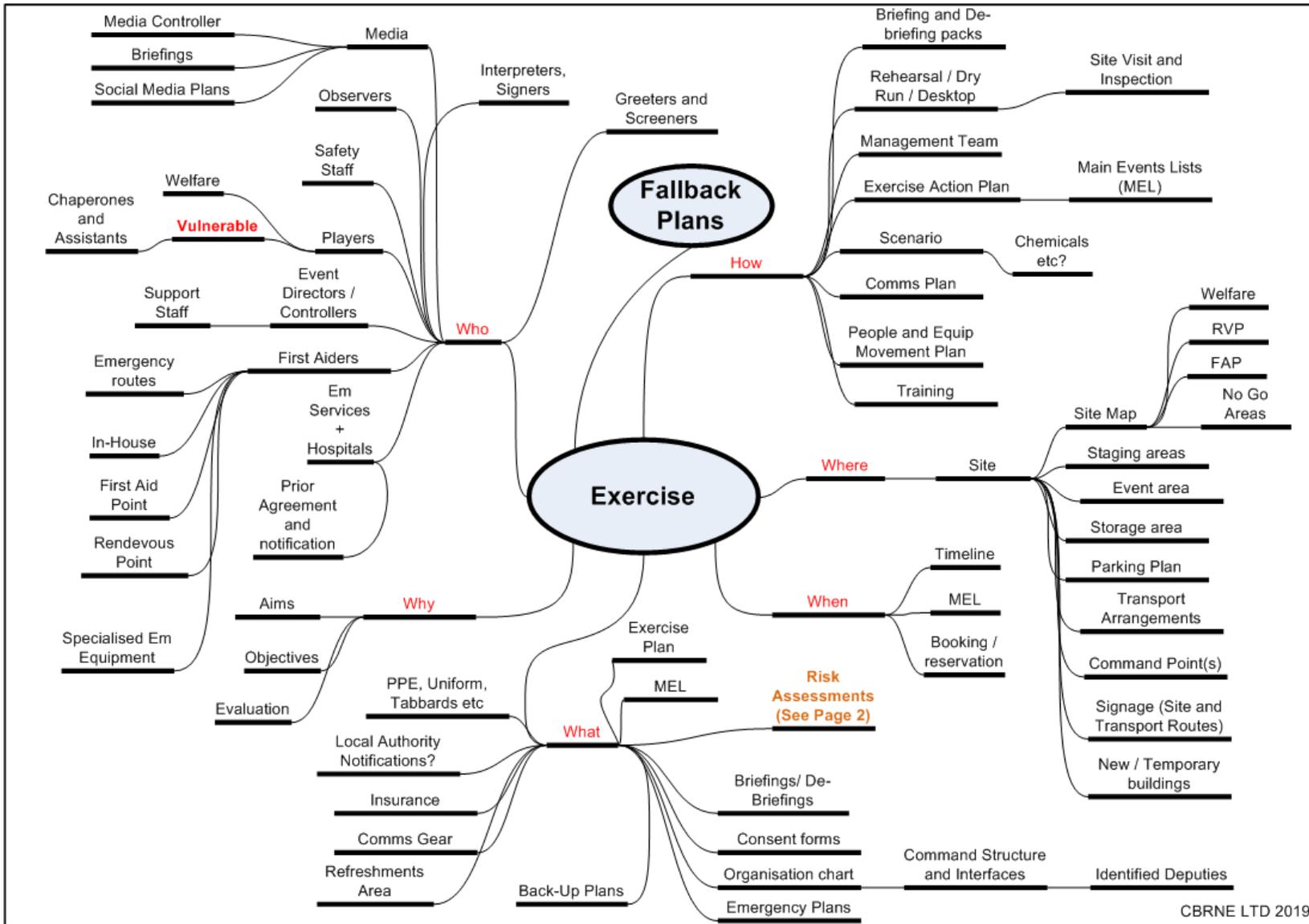
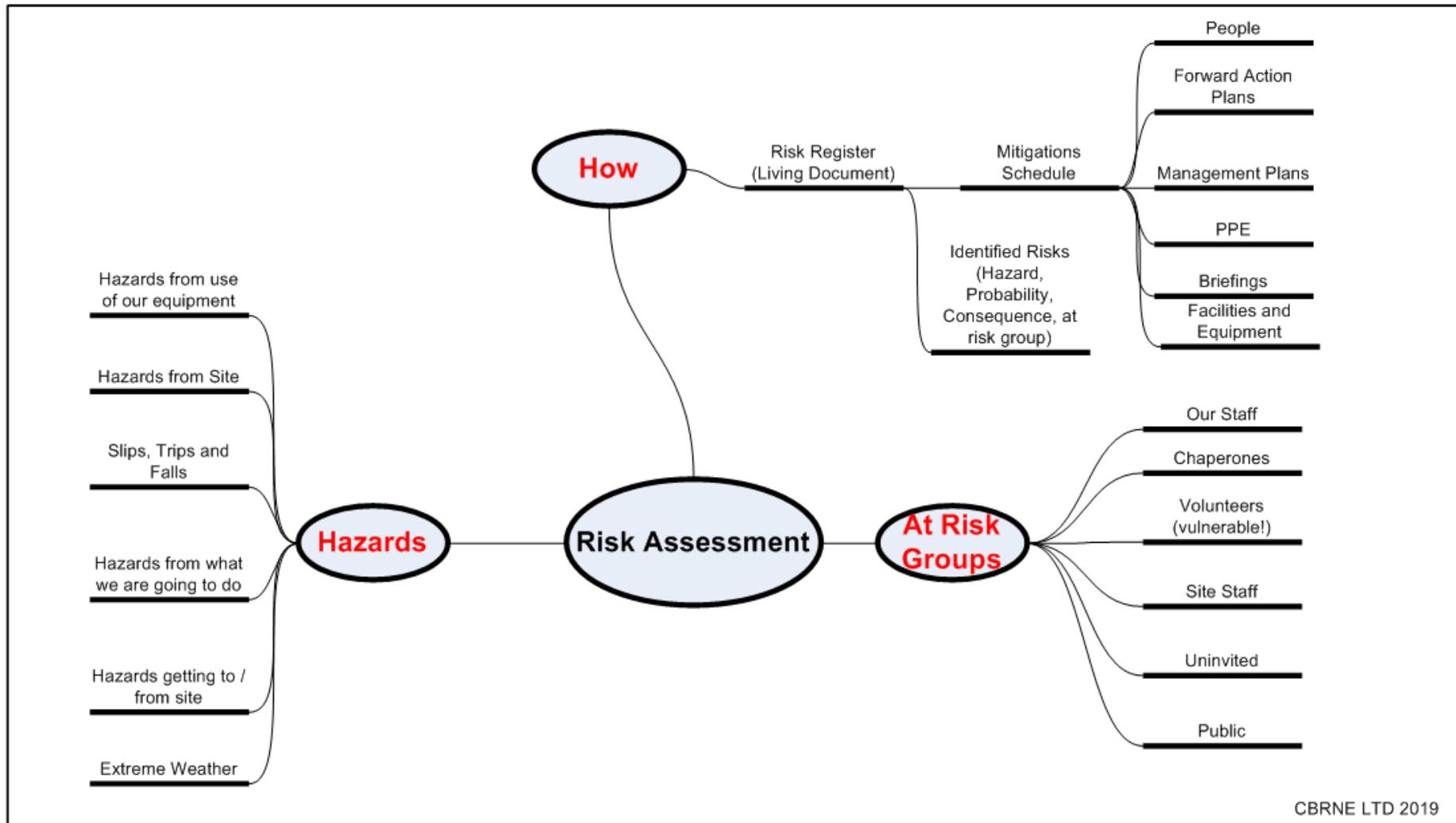


Figure 2: Scope of a Typical Exercise (page 1 of 2)



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Figure 3: Scope of a Typical Exercise (page 2 of 2)

2.1. Methodology, Templates, IIMARCH and Exercise Plans

The subjects to be covered by Templates will be identified in consultation with partner organisations from the Project responsible for the exercises, with eNOTICE partners, and with stakeholders such as volunteer organisations. These consultation meetings will take place from January 2020 onwards. To simplify this process the Project will group templates together in accordance with the IIMARCH framework (Information, Intention, Method, Administration, Risk assessment, Communication, Human rights and legal) adapted by the Joint Emergency Services Interoperability Principles (JESIP, 2019).

Collectively, the identified Templates will constitute the PROACTIVE Exercise Methodologies whilst the same documents with guidance notes, completed templates, appendices and attachments will constitute the PROACTIVE Exercise Plans, see Figure 4. These plans will be organised into sections using the IIMARCH Framework as discussed in Section 2.3. The process to be used by the Project to initially identify the scope of the Exercise Plan and templates is discussed in Section **Error! Reference source not found.**

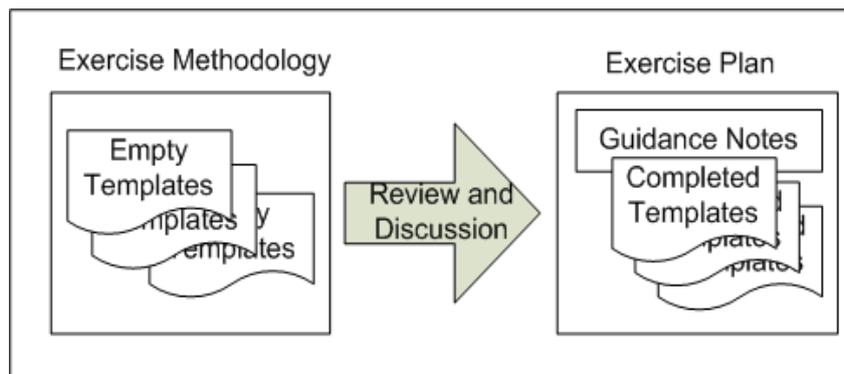


Figure 4 Templates to Exercise Plan

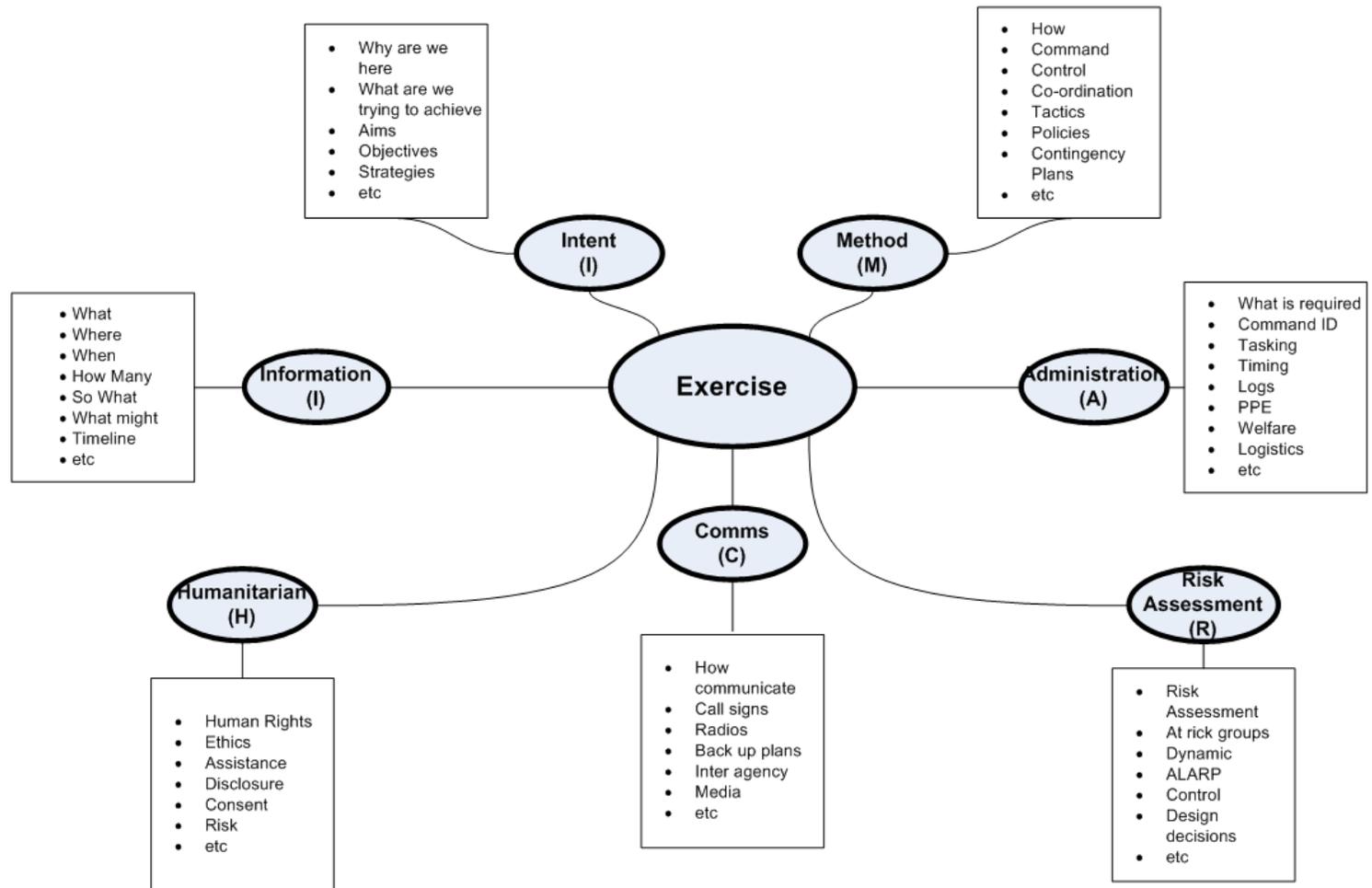
2.2. IIMARCH Framework Introduction

The IIMARCH framework was originally developed as a briefing tool but has also developed into an operational planning and response tool that ensures all aspects of planning and response are incorporated in a comprehensive, logical and auditable framework. Table 1 and Figure show the seven elements of the IIMARCH framework.

Table 1: Elements of the IIMARCH framework

I	Information
I	Intention
M	Method
A	Administration
R	Risk Assessment
C	Communication
H	Human Rights and Legal

- I** Information
- I** Intention
- M** Method
- A** Administration
- R** Risk Assessment
- C** Communication
- H** Human Rights/ Legal



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Figure 5: Exercise Framework

2.3. IIMARCH Framework in Detail

2.3.1. Introduction

The IIMARCH framework was originally developed as a briefing tool but is also a framework adopted by operational planners to ensure that all aspects of planning are incorporated in a comprehensive and logical manner. The structure of the Exercise Plans will follow this framework as discussed in the following sections.

2.3.2. Information

This section of each Exercise Plan and its associated Templates will contain the introduction to the specific exercise outlining what the exercise is, why it is taking place, who is hosting, the key players involved, the location, date and time.

2.3.3. Intention

This section will set out in detail the Aims, Objectives and Learning Outcomes for the exercise. These should incorporate:

- A Strategic Statement for the Joint Exercise agreed by all partners;
- Project Objectives for the exercise;
- Organisational tactical objectives for the exercise participants;
- A brief introduction of the exercise scenario;
- The evaluation strategy that meets the objectives, supports future learning and identifies good practice.

This section is key to ensuring that all partners fully understand the focus of the exercise. Objectives that do not meet the strategic aims or that may be in conflict will be identified at this stage and resolved.

An integral part of the Intention will be the identification of the desired outcomes and the associated evaluation process. This needs to be established and agreed to ensure that all partners and agencies involved have the opportunity to capture feedback and learning that is pertinent to their organisational requirements in a timely and effective way.

2.3.4. Method

This section will provide the detail for the exercise and will consist of a master document supported by a number of appendices that relate to specific tasks or functions required to deliver the exercise effectively. The purpose of this is to give direction for the planning and delivery of the exercise.

The method will include a more detailed briefing of the scenario to fully inform those involved in the delivery of the exercise.

Roles and responsibilities will be clearly set out so that the exercise command structure is understood by all involved. Key roles such as Exercise Director, Forward Controller, Safety Officer and Umpire, will be defined and allocated. The definitive list will be dependent upon the exercise but is likely to be significant in number. In addition to the organisational staff the requirements for Role Players, Casualties, First Responders, Commanders, Observers and others will be defined and identified.

A core element of the Method will be the **Main Events List (MEL)** that will detail the exact timings and locations of actions to ensure that the exercise starts and proceeds as planned with everyone and everything in place. The MEL will then set out the exercise timeline identifying what happens when, who needs to be where and what needs to be in place at specific points in the timeline. This is a key element in the planning process to assist in ensuring that the administration and logistics elements are able to prepare. The challenge for the Main Events List is that it needs to be flexible enough to deal with the potentially unpredictable nature of the developing scenario whereby one action could potentially lead to several different outcomes.

Language and terminology are paramount in ensuring that all persons involved in planning and participating in exercises understand their roles, responsibilities and what is happening. The world of Emergency Response is full of acronyms that are very specific to individual organisations but incomprehensible to those outside. This issue is exacerbated when the partners are from across multiple emergency services and from a number of different nations. Consequently, there is potential for confusion and misunderstanding that could have significant impacts on the effectiveness and safety of the exercise. The use of acronyms will therefore be minimised and a glossary of agreed acronyms will be included. In addition to this, key words or instructions particularly relating to safety will be clearly and unambiguously defined within the Method section.

A final key element to the Method will be the identification of **Contingencies** that will be activated in the event of potential disruption to the exercise. This could include disruption due to adverse weather, transport failure, site unavailability, sickness or a major incident that takes resources away. The Method section will identify potential factors that could threaten the delivery of the exercise and put in place reasonable measures to minimise the impact.

2.3.5. Administration

This section will incorporate all aspects of the exercise that support delivery of the Method and will be supported by a series of appendices relevant to the specific exercise and the specific needs of groups or individuals responsible for different aspects. A key element of this section is to identify who needs to know what, when they need to know it, and then ensure that they receive the relevant information at the right time. For example, there will be administrative instructions relevant for all exercise participants, but then specific requirements for Role Players that will be very different to those for First Responders.

This section will generally include specific details relating to the location or locations, timings for attendance and briefings, resource requirements, logistics, dress requirements etcetera. This list is likely to be considerable depending upon the complexity of the exercise.

2.3.6. Risk Assessment

This section will incorporate all aspects of risk identified as a consequence of planning and organising the exercise and will be supported through a series of appendices. Whilst it is anticipated that the appendices within other parts of the IIMARCH framework will be of a consistent format it is acknowledged that the Risk Assessment process may vary between organisations and countries. Therefore, it is accepted that local processes will be adopted and supported by a PROACTIVE checklist template that identifies that a Risk Assessment exists. An example is shown in Annex 1. One of the key points of focus for the Risk Assessments will be to ensure that the special needs of vulnerable groups have been appropriately assessed and addressed.

The Risk Assessment section will incorporate a Risk Register covering the exercise in general which will assist in both minimising the impact and informing the Contingencies element of the Method section.

In addition, the Risk section will also cover risks associated with the location, activity undertaken, identified groups of people, the environment, and financial and legal aspects. This list is not exhaustive and will vary between locations and countries.

2.3.7. Communications

This section incorporates the detail of all aspects of the communication process for the exercise from the basics of which radio channels are in use right through to the strategic Media Plan. Timely, relevant and effective Communication at all levels is essential to the delivery of a successful exercise as all the other elements of IIMARCH are dependent upon the effective dissemination of information contained within them.

The Communications element will also be supported by a series of appendices tailored to meet the specific requirements of those they are designed to reach. Headings under this section will include, but not be limited to, Internal, External, Operational, Directing Staff, Equipment, Contingencies, Media Plan, etc.

2.3.8. Human Rights and Legal

This section incorporates the Human Rights, Legal and Ethical aspects of the exercise. There will be an assumption that the exercise will be run in line with principles set out in the European Convention on Human Rights and any deviation should be fully justified and documented, for example Article 3 covers “inhumane or degrading treatment” which may be contravened in an exercise scenario. This will be covered as part of Informed Consent which would also be contained within this section. As for Risk Assessment (see section 2.3.6), PROACTIVE will have a special focus on ensuring that the rights of vulnerable groups have been addressed.

Other aspects that need to be considered in this section are Public and Personal Liability, Ethics, Data Protection, Insurance, Security and Disclosure, as well as cognisance of relevant National Legislation pertaining to the host country. This list is not exhaustive and will depend upon the location and type of exercise being conducted. PROACTIVE WP8 and WP10 focus on ensuring that the project carries out the exercises in an ethical manner and will liaise with WP6 on this manner. In

addition, PROACTIVE WP7 will ensure that Data Protection is at the forefront of any data collected within the exercises. For more, see the PROACTIVE Data Management Plan (D7.4).

2.4. Scope Identification

As noted in Section 2.1 the initial scope of the exercise plans and templates will be identified at meetings commencing in January 2020. These meetings will follow the process shown in Figure where for each of the key phases of the exercise involving external parties - such as vulnerable group representatives, players and other external stakeholders - the IIMARCH elements (see Table 1) will be used as prompts for the meeting attendees to identify key issues of relevance to them. These will in turn be used to identify the relevant needs for PROACTIVE, any existing standards or practices and any Templates that the Project will develop.

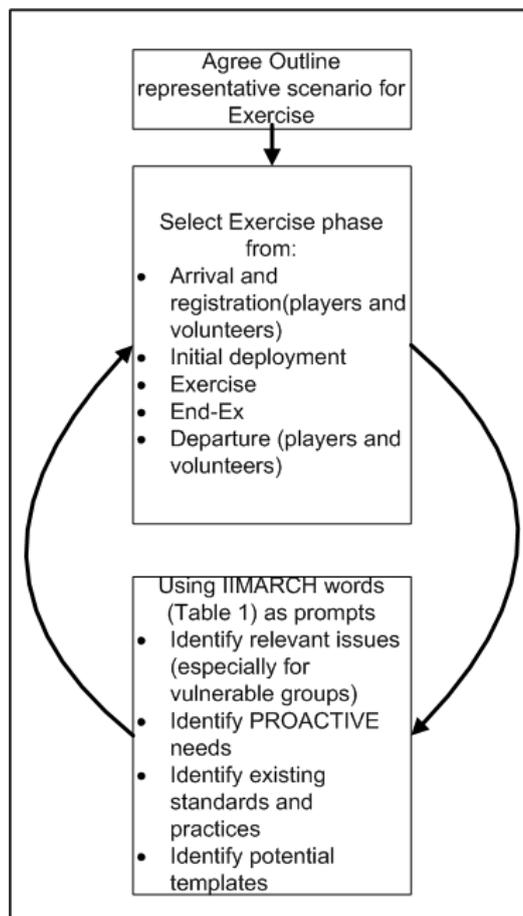


Figure 6: Scope Identification Process

The iterative process shown in Figure is consistent with processes used in Industry (such as in the petrochemical industry) as well as those used by operational entities, emergency response organisations during planning and by emergency planners. It can be considered to be an inductive identification method - meaning that it is a “bottom-up” approach - whose success relies on the ability of subject matter experts to predict deviations based on past experiences and general subject matter expertise, not necessarily related to exercises. It is therefore a tried, tested and familiar approach. The Project will therefore ensure that meeting attendees will be subject matter experts.

3. CONCLUSIONS

A methodology for PROACTIVE Field Exercises has been presented which is based on the IIMARCH framework. This:

- takes account of existing practices and standards and provides the flexibility to meet the diverse requirements of three field exercises delivered across three countries in a collaboration between two H2020 projects (PROACTIVE and eNOTICE);
- is interoperable with the methodology being developed by project eNOTICE (eNOTICE, 2018);
- will ensure that the specific needs of vulnerable groups are identified and addressed; and
- uses processes familiar to emergency responders.

Starting in January 2020, the Project will apply this methodology to the first exercise planned for Rieti, Italy in October 2020, to generate the required detailed Exercise Plan. This will initiate a series of consultative workshops with partners and stakeholders that, where practicable, will be incorporated into planned project meetings.

Project progress meetings and consultative workshops will provide regular opportunities to review and adapt the methodology through a cycle of continuous improvement.

4. REFERENCES

JESIP (2019). <https://www.jesip.org.uk/IIMARCH-template>, accessed October 2019.

eNOTICE (2018) Methodology for the preparation, organisation, evaluation and follow up of CBRN exercises combined with tests, validations or demonstrations: accessed July 2019.
https://www.h2020-enotice.eu/documents/D4.1_Vesta_Def_2018_01_26.pdf

ANNEX 1

Risk Assessment Template

Project Overview

This document is part of a group of templates that are to be completed during the planning for any of the three events that form part of project PROACTIVE.

Responsible Lead for Risk Assessment

Position		e-mail	
Phone		radio call-sign	

Requirements

All events must be supported by robust risk assessments. The following list is the minimum number of hazards that should be addressed. Your assessments should place special emphasis on the effects of hazards on the vulnerable groups that are involved your exercise. Note that they may require additional guidance and assistance in the event of an unplanned incident and that they may also have additional needs in terms of access and egress.

Please confirm that each item has been addressed (by ✓) or that it is not applicable (N/A). Please also provide the reference for the document and its location.

Item	✓ Or N/A	Item	✓ Or N/A
Slips, trips and falls		Transport to / from the site	
Electricity (fixed and mobile equipment)		Other site users	
Extreme weather		Parking	
Access and Egress (normal and emergency)		Communications	
Moving vehicles		Hazardous chemicals	
Lighting		New constructions (for the event) and/or temporary structures	
Welfare (food, hygiene, toilet etc)		Fire	
Language difficulties		Crowds / gatherings	
Social decorum / modesty			

Confirm that effects of hazards on vulnerable groups have specifically been considered (Y/N)	
Provide the name and location of your event specific risk assessment document	

Related Templates

Ethics and informed consent, etc.

Useful Resources

Risk Assessment Spreadsheet, etc.

When completed, send this template to someone@cbrneltd.com !