



Deliverable D6.1

The PROACTIVE Methodology for the Field Exercises

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1: CBRNE Ltd

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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
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
16	NPH	KOMENDA GŁÓWNA POLICJI	Poland

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. The specific content of these templates will always follow the framework and will be completed in detail once the scenario content, location and parameters are agreed. The Strategic and Tactical Objectives (The INTENT section of the framework) that were identified and agreed in March 2020 during the planning process will provide the focus in support of this. This framework has demonstrated its value during the Covid-19 pandemic as it has allowed the project to continue planning at a strategic level whilst allowing flexibility to deal with all the uncertainty. For example, both strategic and tactical discussions have taken place with all 3 exercise hosts to agree an outline format for the exercises that will incorporate both an Initial Operational Response Scenario and a Specialist Operational Response Scenario in a modular format prior to bringing all the elements together for the scenario of the large-scale final exercise; the specifics of

these will be outlined in the relevant deliverables for each exercise. The Strategic and Tactical Objectives will be used to develop the scenario detail for each field exercise in turn and be documented in each of the associated deliverables, D6.3, 6.4 and 6.5; reference will always be made back to the objectives to ensure focus and direction are maintained.

The IIMARCH framework has all been effectively used in the contingency planning process (contained within the METHOD element) that has been undertaken extensively through the pandemic and has informed the consortium members of options and recommendations as the pandemic has developed. It has also been adopted in the planning and delivery of two table-top exercises in February 2021: one for the Practitioner Stakeholder and one for the Civil Society Advisory Board, whereby IIMARCH provided the planning framework for both workshops ensuring agreed objectives, coordinated planning and the development of a scenario that was consistent for both. A summary IIMARCH content is attached at Annex A.

The IIMARCH framework 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. A bespoke IIMARCH exercise plan will be incorporated into each of the deliverables D6.1, D6.2 and D6.3.

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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.

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.

Project PROACTIVE (in this document 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 report 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 practices and approaches.

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. It also demonstrates how the results from the scenario development will be integrated into the exercises, and in particular how the work in D6.2, scenario development and specifications for the evaluation methodology, will feature in providing direction and focus to the exercise planning.

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. The specific content of these templates will always follow the framework and will be completed in detail once the scenario content, location and parameters are agreed. The Strategic and Tactical Objectives will be used to develop the scenario detail for each field exercise in turn and be documented in each of the associated deliverables, D6.3, 6.4 and 6.5; reference will always be made back to the objectives to ensure focus and direction are maintained.

For the first field exercise, the Strategic and Tactical Objectives (The INTENT section of the framework) identified and agreed in March 2020 during the planning process and subsequent project progress meetings. The IIMARCH framework has demonstrated its value during the Covid-19 pandemic as it has allowed the project to continue planning at a strategic level whilst allowing flexibility to deal with all the uncertainty. For example, both strategic and tactical discussions have taken place with all 3 exercise hosts to agree an outline format for the exercises that will incorporate both an Initial Operational Response scenario and a Specialist Operational Response scenario in a modular format prior to bringing all the elements together for the scenario of the large-scale final exercise; the specifics of these will be outlined in the relevant deliverables for each exercise. In the ongoing Covid-19 context, this framework is still being flexibly applied. For example, although the site visits had to be cancelled or postponed, the online discussions with eNOTICE and the local exercise partners have continued, and the close ties with the organisations on-site has been maintained.

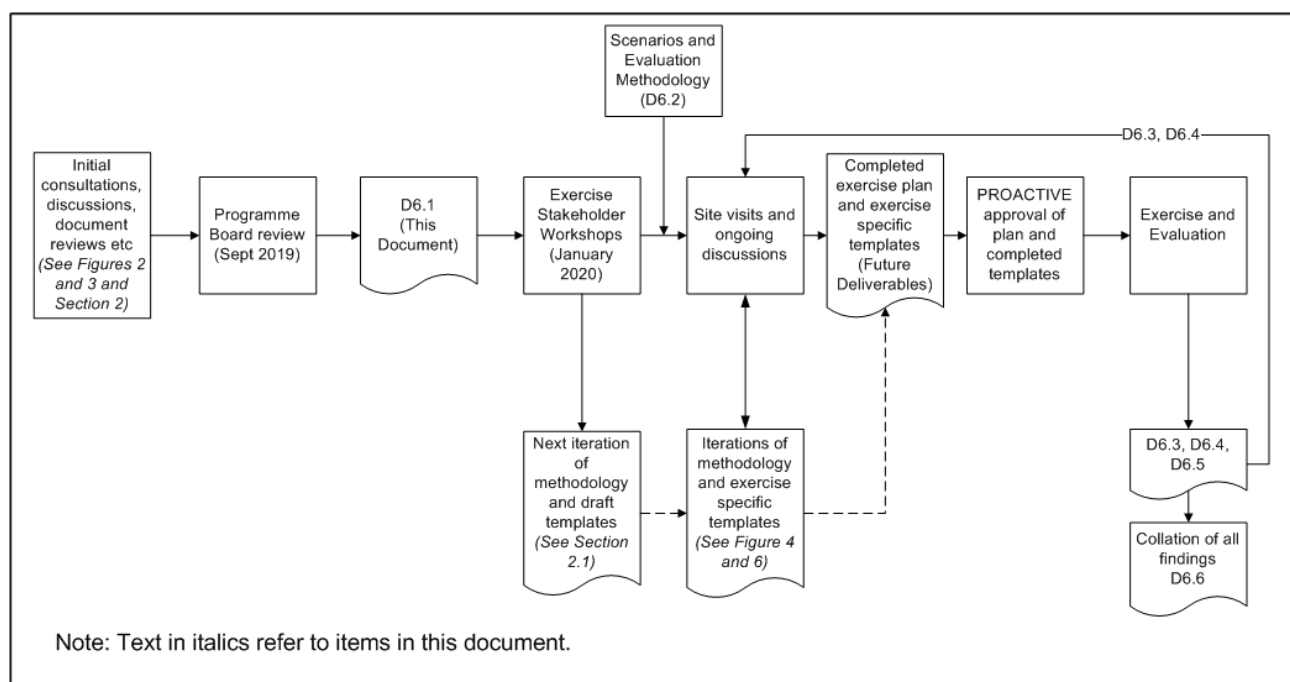


Figure 1: Process for the development of methodologies for exercises

2. OUTLINE OF METHODOLOGY

Following initial discussions and reviews of previous experience with exercise planning, Figures 2 and 3 were constructed to show the scope of subjects that the Project needs to consider for each of the field exercises. In addition, workshops with relevant experts from within CBRNE Ltd, the deliverable authors, were held to identify the potential scope of issues to be covered by the planning process. The outputs were presented and formalised at project progress meetings. The results of the workshops are displayed on Figure 2 which shows the overall scope of the exercises and gives a pictorial overview of the complexities. One can notice that a typical exercise planning scope would cover six fundamental elements:

- How: identifies the mechanics of the exercise and incorporates the headings under which key elements of the exercise will function;
- Where: identifies the specific location, other locations associated with the exercise and key location factors that are identified;
- When: identifies the time and date of the exercise, the timeline of events within the exercise and the schedule of associated actions;
- What: identifies specific requirements within the exercise, including logistics, equipment, roles and responsibilities, contingencies;
- Why: identifies the purpose of the exercise, the aims, objectives and evaluation;
- Who: identifies the organisations and people involved in the exercise that will be assigned to identified tasks and responsibilities.

Figure 3 drills deeper into a specific issue and shows the potential hazards from an exercise and those who may be at risk from them. For example, among the most important hazards identified are the “At Risk” groups; this particular issue is at the heart of the PROACTIVE project and key concerns are being explored through the PSAB and CSAB workshops.

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

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.

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.

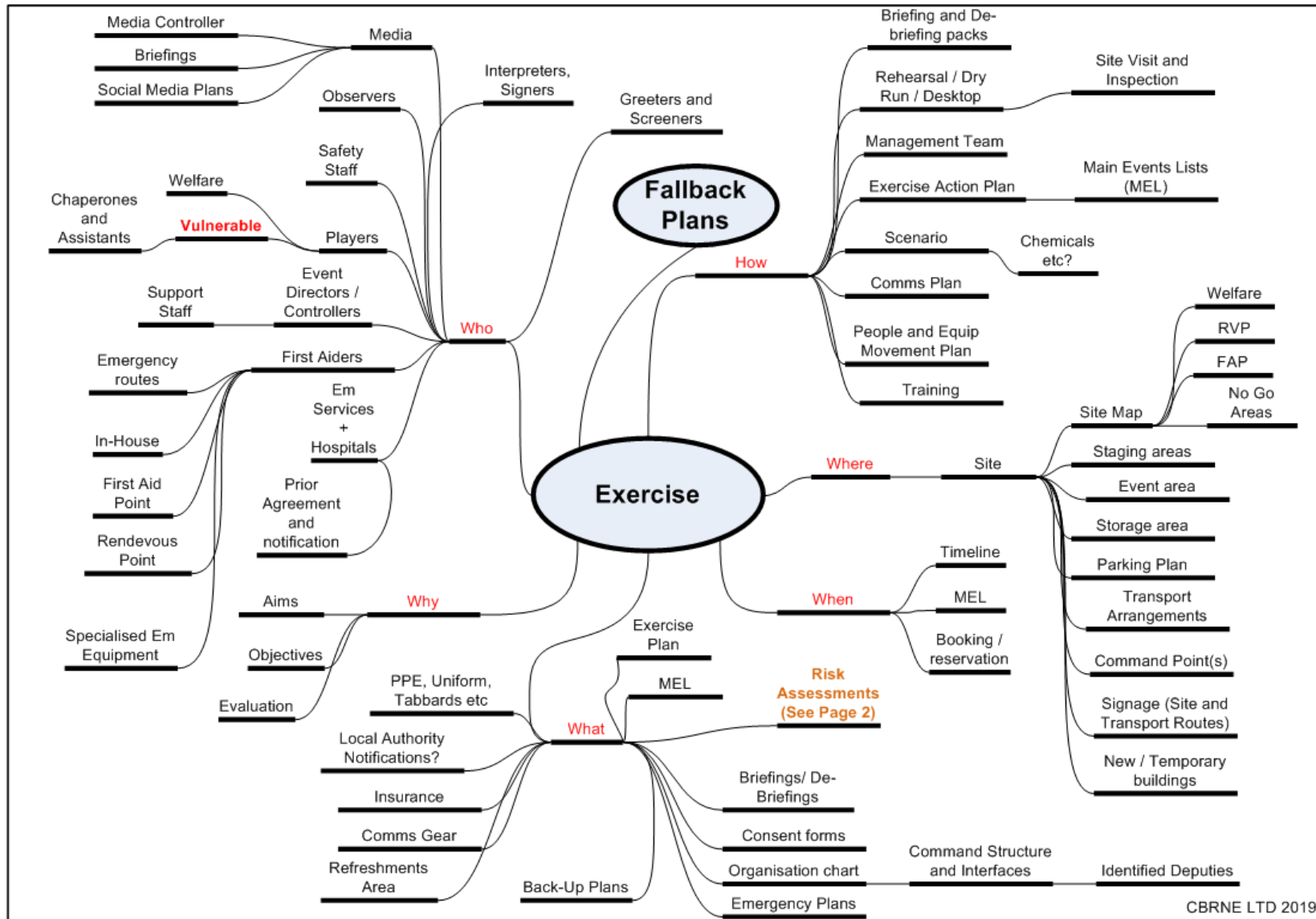


Figure 2: Scope of a Typical Exercise (page 1 of 2)

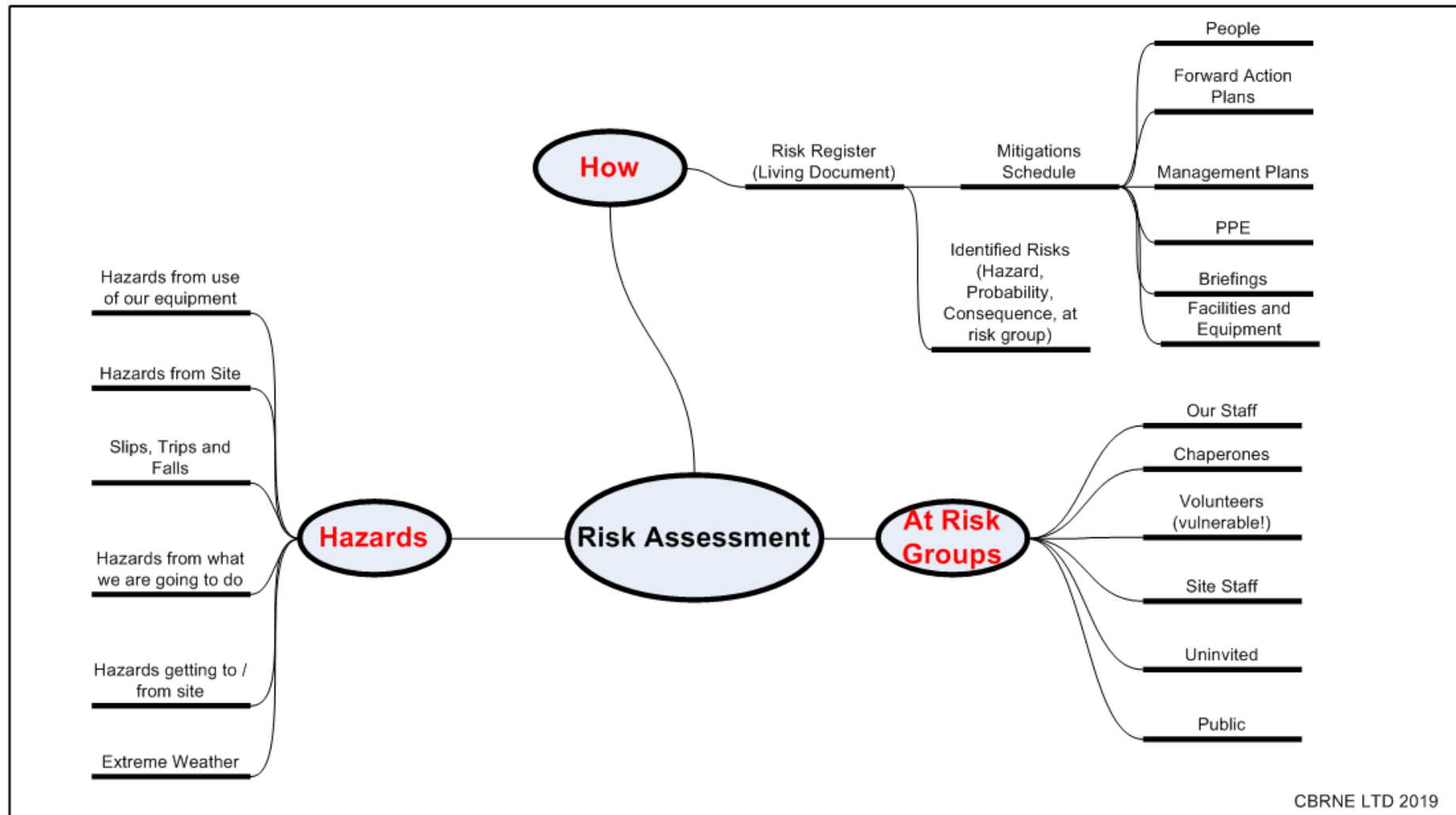


Figure 3: Scope of a Typical Exercise (page 2 of 2)

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).

Specific responsibility will be allocated to individuals or organisations to complete the templates which will be of a standard format. A sample template format is shown in Annex B. The completed templates will be included in each exercises' deliverable (D6.3, D6.4 & D6.5).

As shown in Figure 4, the identified Templates will (collectively) constitute the PROACTIVE Exercise Methodologies whilst the same documents with guidance notes, completed templates, appendices and attachments will constitute the PROACTIVE Exercise Plans. 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 2.4.

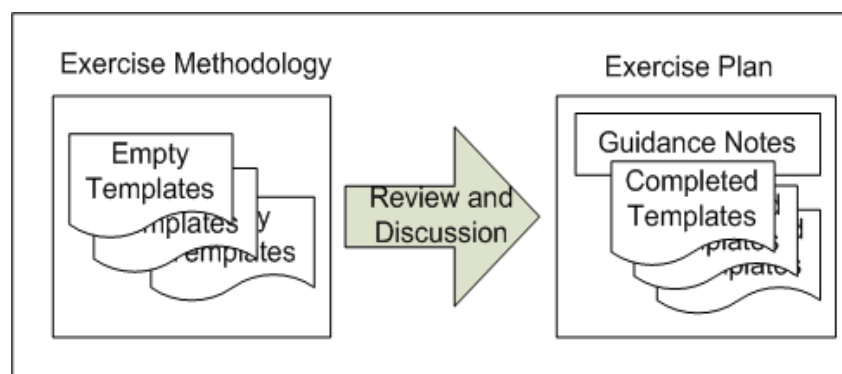


Figure 4 Templates to Exercise Plan

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. IIMARCH stands for Information, Intention, Method, Administration, Risk assessment, Communication, Human rights, legal and ethical. Table 1 and Figure 5 show the seven elements of the IIMARCH framework. This demonstrates how the multiple elements within exercise planning can be grouped in a manner that brings order and supports a logical process for building all elements of the exercises.

The order of the first three elements I, I and M are generally chronological outlining first of all the information to hand, followed by deciding what is intended to be done about the information and then the method of how it will be carried out. The fourth element of administration runs as a thread throughout the framework as a supporting function that facilitates the other elements of the framework. The final three elements of R, C and H are overarching functions that apply throughout the framework ensuring risks are identified and mitigated, all parties are kept informed and appropriate communication channels utilised, and that all human rights, legal and ethical principles are adhered to at all stages.

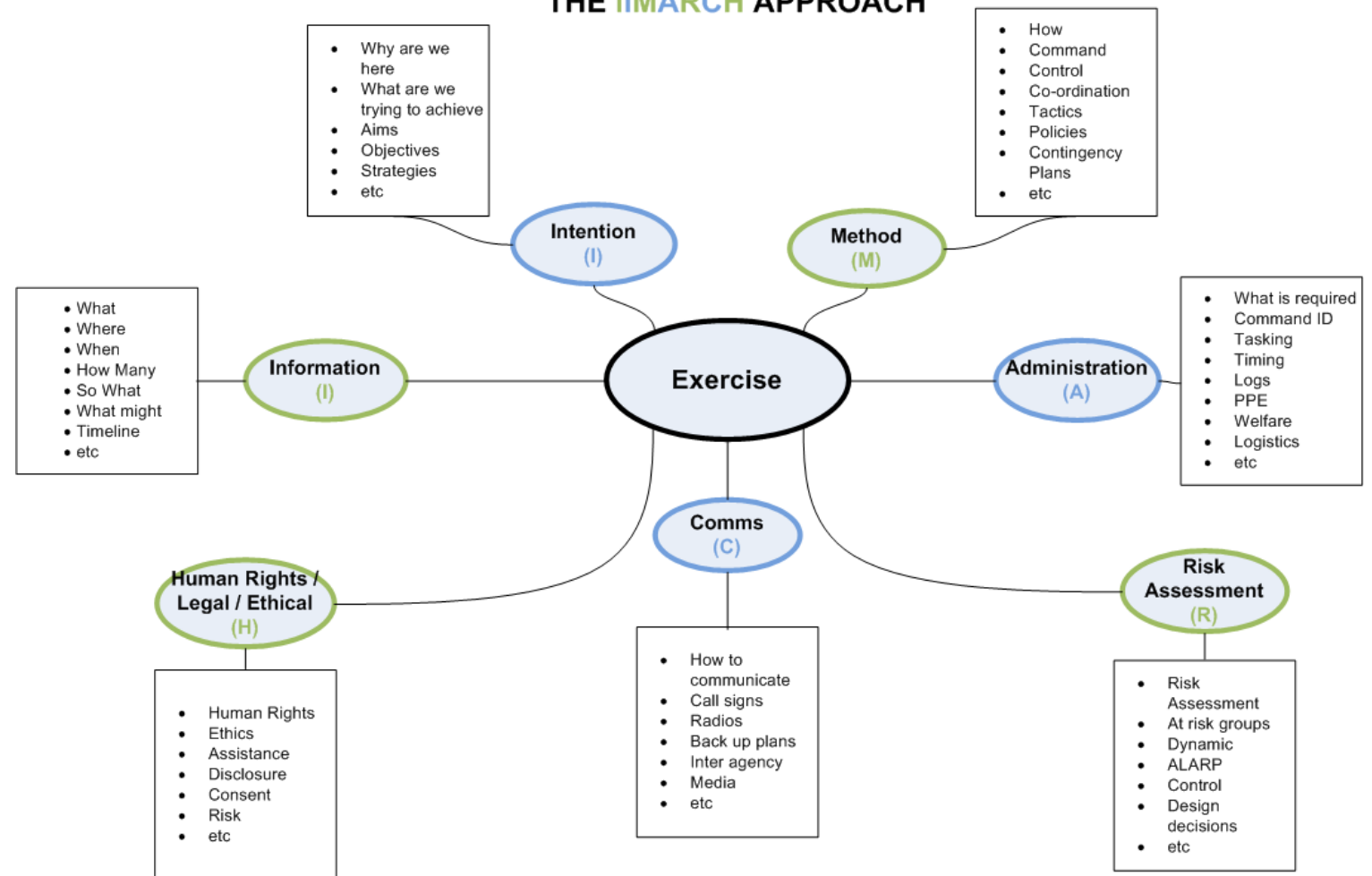
The seven elements of the IIMARCH framework illustrated in Figure 5 are explained in detail in the next chapter.

Table 1: Elements of the IIMARCH framework

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

THE IIMARCH APPROACH

- 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 and planning tool as a means 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. The framework has been used in the planning meetings held with eNOTICE in Rieti and has assisted in adapting to the ongoing Covid-19 Pandemic planning. It has also been adopted in the planning and delivery of two table-top exercises for the Practitioner Stakeholder and Civil Society Advisory Boards.

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 established through a consultative process with the joint activity partners and consortium members, and formalised through the exercise planning meetings and project progress meetings. These Objectives are checked and tested through workshops with the PSAB and CSAB and adapted accordingly in a continuous improvement cycle.
- 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; for example the involvement of civil society actors including vulnerable groups is central to the PROACTIVE project and is encompassed within the Strategic Intentions set out in the Field Exercise Deliverables.

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.

The detail of the Intention will be set out in the Deliverables associated with each field exercise (D6.3, D6.4 and D6.5).

This framework has demonstrated its value during the Covid-19 pandemic as it has allowed the project to continue planning at a strategic level whilst allowing flexibility to deal with all the uncertainty. For example, the strategic and tactical discussions have taken place with all three exercise hosts to agree an outline format for the exercises that will incorporate both an Initial Operational Response scenario and a Specialist Operational Response scenario in a modular format prior to bringing all the elements together for the scenario to be used at the large-scale final exercise.

This section of the framework has also supported the continuous development cycle of the Tactical Objectives as the project reaches greater levels of maturity. The Tactical Objectives originally agreed in March 2020 have been superseded over the project and will be modified to incorporate outputs from other work packages in the project, particularly Work Package 1 and Work Package 2. The objectives are reviewed and updated at the PROACTIVE Progress Meetings and are shared with the eNOTICE partners. An example of this iterative approach is the process by which the initial plan to use the first field exercise for benchmarking, now delayed due to the pandemic, is being adapted to incorporate more of the outputs from WP1 and 2 into the objectives contained within the INTENT section of the framework. This issue was raised in the January 2020 progress meeting and it was agreed that when the revised exercise schedule was finalised, a workshop would be conducted to review and update the Tactical Objectives, specifically incorporating recommendations from WP1 and WP2. There are multiple recommendations within those work packages so the aim of the workshop will be to prioritise and consolidate them in to 10 tangible and achievable Tactical Objectives.

Furthermore, the IIMARCH framework has been tested in 'lite' format in the planning and delivery of the PSAB/CSAB workshops in February 2021, the details of which are shown in Annex A.

The objectives will feature in detail in the Deliverables associated with each Field Exercise.

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 content, which will have been agreed upon, 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.

This section will also incorporate the process by which participants will be engaged and recruited; the detail will be outlined within the Deliverables pertaining to each exercise as they vary from location to location. However, the ethos of engagement for all exercises has always been to engage local people as it was accepted that local responders would in general be dealing with local people during an incident. For example, with regard to the first field exercise in Rieti, through initial planning meetings and through

engagement with Save the Children Italy, Emergenza Sordi and CARIS, local vulnerable groups were identified. This activity was supported by contact with the citizens of Rieti facilitated by the NBC school. It is agreed that all the exercises will be carried out in the local language to ensure they are as accurate a reflection on reality as is possible so the approach of engaging with the local population is seen as best practice. All the planning meetings that have taken place have incorporated discussion and actions on the involvement of practitioners, civil society and vulnerable groups. Representatives of these groups were also present at other online project events, thus always being informed about other project developments (e.g. the PROACTIVE App).

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 how the exercise unfolds 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.

The IIMARCH framework has been effectively used in the contingency planning process that has been undertaken extensively through the Covid-19 pandemic and has informed the consortium members of options and recommendations as the pandemic has developed. This has resulted in options papers being presented and alternative exercise options being considered in conjunction with eNOTICE.

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, security and vetting, etc. This list is likely to be considerable depending upon the complexity of the exercise.

The Administration element also incorporates a full briefing and debriefing section that will outline local procedures for each exercise. The requirements of the evaluation process will be incorporated into both briefing and debriefing of staff, practitioners, volunteers and citizens. All exercises will have identified observers with specific actions for recording events both through written documentation and film. Some civil society volunteers and practitioners will use body worn video cameras. Debriefing will be conducted in the local language and the requirement for interpreters is incorporated into the planning mechanisms. The detailed arrangements will be incorporated into the plans for each individual field exercise. An evaluation report will be completed after each exercise (D6.3, D6.4, and D6.5) and the findings used to ensure there is a process of continuous improvement and development. D6.6 will incorporate the findings from all three field exercises in a final report at the conclusion of the project.

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 B. 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. This will be coordinated by an appointed PROACTIVE Risk Manager and managed through the planning and coordinating meetings for each field exercise.

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.

A risk register has been established and the risks relating to the Covid-19 pandemic have been incorporated. This is reviewed at regular intervals; the most recent version is attached as Annex C.

2.3.7. Communications

This section incorporates the detail of all aspects of the communication process for the exercise from the basics, for example which radio channels are in use right through to the strategic Media Plan. The media plan for the Rieti Field exercise has been coordinated through the joint planning meetings whereby media releases have been agreed by both project teams to provide consistency and ensure a 'no surprises' approach for the Rieti community with regard to involving local citizens in the exercise.

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.

The specific issue of language will be considered in this section with provision being made for interpreters for local language as well as interpreters for vulnerable groups who require specialist assistance, for example planning for the first field exercise in Rieti includes the provision of interpreters in Italian as debriefs will be conducted in the local language to ensure that the full physical and emotional impact of the exercise can be captured and documented. In the first exercise for example, provision is also being put in place for vulnerable groups with the assistance of CARIS, Emergenza Sordi and Save the Children, Italy. Similarly, the specific needs for each of field exercises will be individually assessed and appropriate provision made, through local arrangements and with potential support from PSAB/CSAB members from those countries.

2.3.8. Human Rights, Legal and Ethical

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).

The work carried out in WP8 feeds into this element of the framework and there are subject matter experts on the exercise planning team. Aspects considering the inclusion of vulnerable groups including young children, the issue of consent, insurance requirements are all incorporated. In addition, all aspects of the exercise planning are undertaken in line with European Convention on Human Rights (ECHR) principles to ensure appropriate measures are taken to protect peoples’ dignity. These will all be contained within appendices for each exercise and be specific to each location.

The following points present the main procedures that the Directing Staff will follow in order to support the ethical oversights of the field exercises. The details are presented in the *D8.3 Material and briefing for PROACTIVE exercises*.

- **Management of informed consent:** All participants in PROACTIVE field exercises will be given information sheets attached to their Consent Forms setting out clearly what is expected of them as part of the exercise instruction package. The Exercise Briefings (annexes to the Exercise Action Plan) will be tailored to the roles of the individual participants.

The Consent and Assent Forms drafted in the local language for signature by volunteers prior to and on the day of the respective field exercise will comply with requirements established in D10.6 *Requirement no 6 Informed Consent procedures and templates* and adapted to meet the objectives of the exercise itself.

- **Briefings:** The Exercise Action Plan will set up a procedure for participants to be briefed in person immediately (e.g. one hour) prior to commencement of a Field Exercise to allow opportunity for final questions to be asked and to ensure participants are fully aware of their roles. These briefings will be split into (i) Pre-Exercise Play; (ii) Activation Phase and (iii) Dynamic Role Play (i.e. free play) and (iv) Directing Staff interaction, as necessary.
- **Welfare support:** The Exercise Action Plan will outline all welfare support available to participants in field exercises (transport, reception, food and breaks). The schedule for the reception of all exercise participants will be published in an information sheet for participants and will set out the specific locations and facilities for each type of participant: Volunteers; Planners; Mentors; Evaluators; Observers.
- **The right to withdraw:** The right to withdraw without giving a reason is specified in the Consent Forms. This will in no way affect the care that the participants will receive during and following the field exercise. In addition, they will each be reminded of this right during the briefing sessions mentioned above. In case that the volunteer decided to withdraw from the activity, he can request to have the personal data relating to him removed, and the request will be granted by the data controller.
- **Ethical supervision during the field exercises:** To provide ethical oversight during the PROACTIVE field exercises, an Ethics and Data Protection Supervisor has been appointed. The role of the Ethics and Data Protection Supervisor is to ensure field exercises are carried out in a manner that is ethically compliant with the relevant legislation set out in Section 3 of this document and will carry out an on-site evaluation of ethical aspects of the exercise. The Ethics and Data Protection Supervisor will be supported by the External Ethics Advisory Board (EEAB) members. The EEAB members will provide a consultative role for the exercise planning team.

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 6 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.

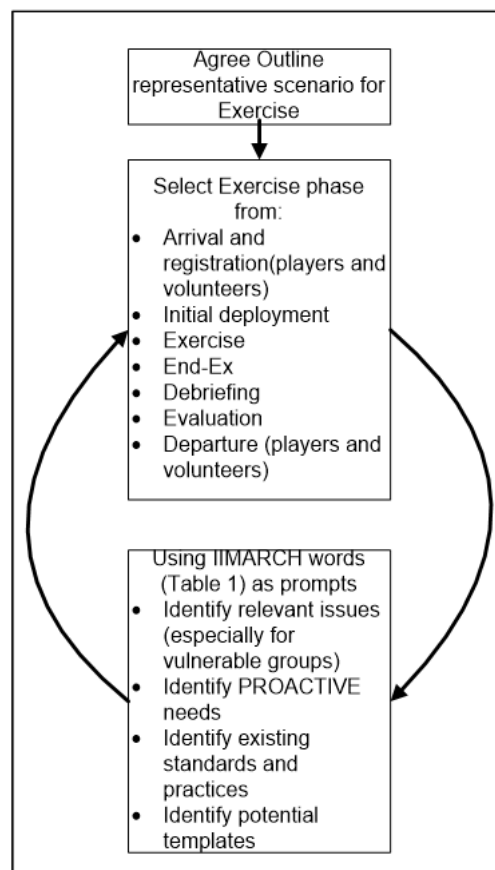


Figure 6: Scope Identification Process

The iterative process shown in Figure 6 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;
- uses processes familiar to emergency responders, and;
- has been tested with consortium members in the planning and preparation for the PSAB/CSAB meeting in February 2021.

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.

Understandably Covid-19 has had a significant impact on the PROACTIVE project and in particular the field exercises which have repeatedly been re-planned and eventually postponed during 2020. Whilst it has not been possible to run the exercises, contingency planning, consultation and preparatory work has been undertaken using the IIMARCH framework. This has ensured that all members of the consortium and our eNOTICE partners have been involved and informed throughout. With continued uncertainty surrounding the exercise timetable this approach will continue into 2021 to provide a strong foundation on which to deliver the three PROACTIVE Field Exercise in an effective and safe manner. Furthermore, every opportunity will be taken to utilise the framework in planning ancillary events such as tabletop exercises.

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 A – Incident Led Discussion for Practitioner and Civil Society Boards

PSAB and CSAB Workshops 25th and 26th February 2021

Incident Led Discussion for Practitioner and Civil Society Boards

Tony Godwin¹

1: CBRNE Ltd

INTRODUCTION

The planning and delivery of the Practitioner and Civil Society Boards has been planned in line with the agreed IIMARCH methodology.

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

1. Information

1. To support the development of the PROACTIVE App a series of workshops involving the Practitioner Stakeholder (PSAB) and Civil Society (CSAB) Advisory Boards will be held.
2. The PSAB Workshop will be held on 25th February 2021 and involve the participation of first responder organisations
3. The CSAB Workshop will be held on 26th February 2021 and involve the participation of research organisations
4. The workshops will be supported by members of the PROACTIVE Consortium

2. Intention

1. To conduct an incident led discussion based upon the RIETI Field Exercise scenario being developed in D6.2.
2. The workshops will be split between PSAB and CSAB members.
3. The outputs from the PSAB workshop will be integrated into the discussion in the CSAB workshop.
4. Overarching objective of the 2 workshops is to establish:
 - Levels of understanding within each group
 - Areas of harmony between the groups
 - Areas of conflict between the groups
 - Identify gaps for future learning and action
5. Overarching objective of PSAB workshop is to establish:
 - Levels of awareness of vulnerable groups
 - Areas of harmony between the groups
 - Areas of conflict between the groups
 - Identify gaps for future learning and action

This will be achieved by establishing:

- Initial response and priorities for first responders
- How they identify vulnerable groups

- How they adapt to being made aware of vulnerable groups
- How they communicate and manage these groups in high-risk situations
- How do they meet these groups' needs and expectations
- How the PROACTIVE App would support them

6. Overarching objective of CSAB workshop is to establish:

- Level of understanding of the diversity within CSAB
- Areas of harmony within CSAB
- Areas of conflict within CSAB
- Identify gaps for future learning and action

This will be achieved by establishing:

- How different vulnerabilities may come into play in this scenario
- How vulnerable citizens would feel, think and react in this scenario
- What help they would expect from the emergency services
- The impact of pre-incident education
- The accessibility of the App to all vulnerable groups
- At what points the App will be valuable to the user

3. Method

1. Conduct an online incident led discussion using PowerPoint presentations
2. Scenario based around a CBRN event on the railway network
3. Participants will be introduced to the scenario and be provided with a number of injects to reflect an ongoing incident
4. Discussion will be facilitated through online platform through speech and chat
5. Audio and video will be used where band width permits
6. CSAB Participants will be provided with an introduction of CBRN issues
7. Discussion will be logged, and key points recorded

8. Scenario Detail

Information: A terrorist cell has been arrested, there are no outstanding suspects at this time. Intelligence associated with them points to the threat of a time delay chemical device placed on the railway network

Day and Time: Wednesday, around lunchtime

Location: On an overground railway at a small local station

Information: Calls being received by the LEA, reporting smoke coming from a carriage, a noxious smell and people with breathing difficulties. There are reports that people are coming out of one of the carriages, some appearing to be uninjured, some coughing heavily, and some collapsed in the carriage.

The scenario injects for each workshop will be tailored to audience needs and to meet the set objectives.

Separate PowerPoint presentations to be completed for each workshop.

9. Scenario based around a CBRN event on the railway network with 4 stages to the scenario.



10. Incident led discussion format for both workshops:

- Between 2 and 4 injects at 15 minutes per segment:
- 5 minutes to read and digest
- 15 minutes discussion on the topics: use chat or verbal
- 10 minute de-brief at close of even

4. Administration

1. Conduct a virtual tabletop exercise and incident led discussion using GoToMeeting platform
2. Scenario based around a CBRN event on the railway network

3. Participants will be introduced to the scenario and be provided with a number of injects to reflect an ongoing incident
4. Discussion will be facilitated through online platform through speech and chat function
5. Audio and video will be used where band width permits
6. Participants will be briefed about the exercise but not prewarned about the scenario detail
7. Chatham House rules to apply
8. Discussion will be logged, and key points recorded
9. Agendas circulated to attendees
10. Registration via UIC required for all attendees
11. Joining instructions, consent forms and links to be circulated to attendees
12. Summary notes and actions to be recorded, consolidated and circulated by RINI and UMU

5. Risk Assessment

1. Participants to be informed they will be asked to discuss sensitive and possibly disturbing issues
2. Participants will conduct their own workstation assessment
3. Appropriate breaks from screen time will be incorporated

6. Communication

1. All invited participants will be provided with:
 - Registration details
 - Link to the virtual meeting provided
 - Contact points for CSAB and PSAB to contact for questions
 - Agenda
 - Joining instructions
 - Consent requirements
 - Participants to be briefed on workshop etiquette
 - Links to relevant social media channels
2. Social media for both events will be coordinated by UIC

7. Human Rights, Legal and Ethical

1. Formal registration for the event will be a requirement of attendance
2. Any specific requirements regarding disclosure will be explained
3. All participants are expected to support the ethos of equal opportunities and act in a non-discriminatory, polite and inclusive manner
4. To support open debate comments made by individuals should be recorded in a non-attributable way
5. All personal data will be handled in line with GDPR requirements

6. All participants will be required to complete consent forms
7. Participants to be briefed regarding recording of the event

Annex B – Risk Assessment Template

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 !

Annex C – Field Exercise Risk register

Field Exercise Risk register

First draft developed in March 2020

Updated in March 2021: formal review after discussions of project extension and field exercise re-scheduling. Made relevant to all exercises not just Rieti.

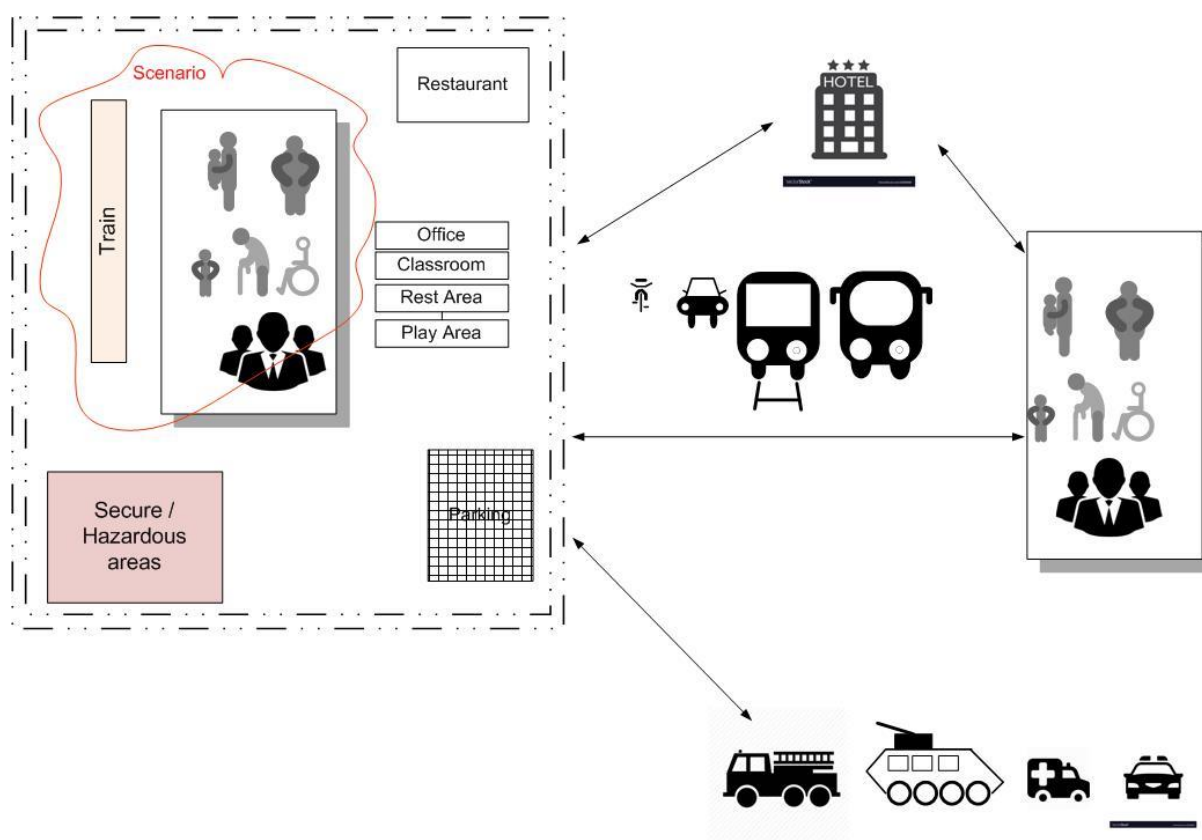
Risk Register Summary Table

Update

Concern	Risk	Status
<i>Illness: Coronavirus / Covid 19</i>	Medium	Watch
<i>Illness: Influenza</i>	Low	Closed
<i>Involvement of children in exercise</i>	High	Ongoing
<i>Involvement of unspecific vulnerable groups in exercise</i>	High	Ongoing
<i>Scenario is unspecified</i>	Medium	Ongoing
<i>National security incident requires Rieti Host Staff</i>	Medium	Watch
<i>Incident (inc nat disaster and extreme weather or other Force Majure)</i>	Low	Ongoing
<i>Lack of suitable resources for PROACTIVE Tools (power etc)</i>	Low	Ongoing
<i>H&S Hazards at site are unknown</i>	High	Ongoing
<i>Lack of consideration of ethical issues</i>	High	Ongoing
<i>Identification of players/ staff volunteers</i>	Low	Ongoing
<i>Limited accommodation available near to site.</i>	Medium	Ongoing
<i>Lack of clarity regarding insurance boundaries and scope</i>	Medium	Ongoing
<i>Vehicles and Parking</i>	High	Ongoing
<i>Volunteers, host staff and planners will not all have the same native language</i>	Medium	Ongoing
<i>Proposed site may be a Secure site</i>	Medium	Ongoing
<i>Proposed extension to project for 1 year</i>	Medium	Ongoing
<i>Spare</i>	Choose an item.	Choose an item.

Notes:

1. For this draft, only headlines risks have been identified, these will be developed further as additional information becomes available.
2. A separate H&S risk register will be prepared once further information is available.



Other risks I have chosen not to list yet, some are already under discussion:

- Unable to align our objectives with eNOTICE
- Theft of belongings on site
- F.R. carry firearms
- Adverse media reporting
- WiFi
- F.R. refuse to 'play' because of site / scenario hazards
- Be careful not to accidentally exclude some vulnerable groups by our choice of scenario.

Risk Identification					
Concern		ILLNESS: CORONAVIRUS / COVID 19		Risk Category	
Potential Impact		Could lead to travel restrictions on participants or to limited availability of participants.		Medium	
Area of Impact					
✓	Staff	✓	Vulnerable Persons		Member of Public
✓	Volunteers	✓	Project	✓	Exercise
Commentary and actions					
Action/ Commentary (Date each entry)		<p>26/02/20: Current outbreak of coronavirus in Italy is remote from Rieti and there are no travel restrictions there at the moment. Spread in Europe is limited at the moment. There is little than PROACTIVE can do to address this risk item. The project should be aware that some of the proposed participants may be at increased risk of complications from Coronavirus due to age and other vulnerabilities.</p> <p>The team will keep an eye to this and will take advice from PHE who are part of the team and sites such as https://www.gov.uk/foreign-travel-advice/italy. Keep under review. No further action is warranted at present.</p> <p>Risk set to Low.</p> <p>09/04/2020: Significant travel restrictions in Italy and Europe in general. It is possible that these will be lifted by the time of the exercise but this is far from certain. Note that there is an associated risk that even if restrictions are lifted then people will be reluctant to travel and take part.</p> <p>No further action is warranted at present.</p> <p>Risk set to High.</p> <p>03/09/2020: Event has been re-scheduled until early 2021. Although travel restrictions are easing there is still significant risk of further restrictions arising next year.</p> <p>Risk retained at High to ensure monitoring.</p> <p>Jan 2021: COVID 19 issue persists and still poses a significant threat to holding and attending an exercise involving multi-national attendance. Discussions with eNotice ongoing regarding re-scheduling. Risk remains high.</p> <p>26 Feb 2021: update from eNotice confirming revised exercise schedule – April 2022 (Dortmund – hosted by FDDO), October 2022 (Rieti – hosted by Unitov), May 2023 (Ranst – hosted Campus Vesta).</p> <p>Extended time period and roll out of vaccinations across Europe reduced risk. Now set to Medium.</p>			
Action		1. Keep under review. No further action is warranted at present.			
Next Review		After March 2021 project meeting			
Assigned to		CBRNE			
Status		Watch			

Risk Identification					
Concern		ILLNESS: INFLUENZA		Risk Category	
Potential Impact		Could lead to limited availability of participants.		Low	
Area of Impact					
✓	Staff	✓	Vulnerable Persons		Member of Public
✓	Volunteers	✓	Project	✓	Exercise
Commentary and actions					
Action/ Commentary (Date each entry)		<p>26/02/20: Influenza incidence on October (date of exercise) is low. Unlikely to affect a significant number of the team. Keep under review. No further action is warranted at present. Risk set to Low.</p> <p>09/04/2020 No Change</p> <p>03/09/2020: Rescheduling of activity to early 2021 should avoid the peak of the normal influenza season.</p> <p>Risk remains at Low.</p> <p>1/3/21: Measures to manage COVID 19 have actually reduced influenza risk. Overall risk to exercise is dominated by COVID 19 anyway. Risk kept as Low for influenza.</p>			
Action		2. Keep under review. No further action is warranted at present.			
Next Review		After March 2021 project meeting			
Action assigned to		CBRNE			
Status		Closed			

Risk Identification					
Concern	INVOLVEMENT OF CHILDREN IN EXERCISE				Risk Category
Potential Impact	Physical and psychological harm or abuse				High
Area of Impact					
	Staff	✓	Vulnerable Persons		Member of Public
	Volunteers	✓	Project	✓	Exercise
Commentary and actions					
Action/ Commentary (Date each entry)	<p>26/02/20:</p> <ol style="list-style-type: none"> 1. Best advice from Save the Children is that 'safe spaces' must be provided for any children present for any appreciable amount of time. 2. H&S Risk Assessments must specifically consider this high risk group. 3. All personnel with unsupervised contact with Children must be appropriately vetted. 4. Risk set to High to ensure an appropriate focus. <p>03/09/2020 Risk is still to be addressed in detail, remains at High.</p> <p>Jan 2021: Specific planning for these elements still needs to be agreed and implemented once i. Some discussions have taken place regarding involvement of children from local communities but progress is hindered by i) need to confirm venue and dates ii) availability of hosts and local agencies for discussion.</p>				
	<ol style="list-style-type: none"> 1. Ensure that safe spaces are available provided and that they are staffed by appropriately trained personnel. 2. Review arrangements with specialists such as Save the Children (Italy are active members of the CSAB) 3. Ensure that H&S risk assessments specifically address this high risk group. 				
Next Review	After March 2021 project meeting				
Action assigned to	CBRNE				
Status	Ongoing				

Risk Identification					
Concern	INVOLVEMENT OF UNSPECIFIC VULNERABLE GROUPS IN EXERCISE				Risk Category
Potential Impact	Physical and psychological harm or abuse				High
Area of Impact					
	Staff	✓	Vulnerable Persons		Member of Public
	Volunteers	✓	Project	✓	Exercise
Commentary and actions					
Action/ Commentary (Date each entry)	26/02/20: Actual nature of vulnerability or disability of the vulnerable groups is not yet known. The risks to them cannot be fully quantified at present. Risk set to High to ensure an appropriate focus. 09/04/2020 No Change 03/09/2020 No Change Jan 2021 Vulnerable group categories have been defined in the project. Negotiations with host exercise locations will establish specific groups and enable the identification of specific risk control measures and actions.				
	Action 1. Identify potential range of disabilities and vulnerabilities as soon as practicable.				
	Next Review After March 2021 project meeting				
	Action assigned to CBRNE				
	Status Ongoing				

Risk Identification					
Concern		SCENARIO IS UNSPECIFIED		Risk Category	
Potential Impact		Unknown materials / hazards / impacts		Medium	
Area of Impact					
✓	Staff	✓	Vulnerable Persons		Member of Public
✓	Volunteers	✓	Project	✓	Exercise
Commentary and actions					
Action/ Commentary (Date each entry)		26/02/20: Actual nature of exercise is unknown at present. The risks to staff and volunteers cannot be fully quantified at present. Risk set to High to ensure that this is resolved asap. See Risk 45 “H&S Hazards at site are unknown” also. 03/09/2020 Risk still exists. Remains at High Jan 2021: Exercise scenario has been proposed “Railway focused scenario linked to terrorist attack” but still needs refining following discussions with hosts. Significant changes to the planning of the exercise are being discussed following COVID 19 adaptations to the overall plan and sequencing of events. Risk set to Medium. H&S assessments still need to be updated one details are agreed. 1/3/21; Scenario has been field tested through CSAB and PSAB table-top exercises and will be formalised through WP6 D6.2. Further specific details still need to be established so risk retained as Medium.			
Action		<div><div><div>1. Identify scope of scenario with eNotice and other partners asap and update risk assessments.</div><div>2. Ongoing development of scenarios for specific field exercises through negotiation with eNotice hosts.</div><div>3. High level scenario outline to be incorporated in Deliverable 6.2.</div></div></div>			
Next Review		After March 2021 project meeting			
Action assigned to		CBRNE			
Status		Ongoing			

Risk Identification					
Concern		NATIONAL SECURITY INCIDENT REQUIRES RIETI HOST STAFF			Risk Category
Potential Impact		Site and staff not available for the exercise.			Medium
Area of Impact					
	Staff		Vulnerable Persons		Member of Public
	Volunteers	✓	Project	✓	Exercise
Commentary and actions					
Action/ Commentary (Date each entry)		<p>26/02/20: Risk set to low as the moment, keep under review.</p> <p>09/04/2020: Rieti personnel are actively engaged in supporting Covid-19 crisis in Italy at present. Staff availability is limited at present. See also “ Illness: Coronavirus / Covid 19”</p> <p>Risk set to High</p> <p>03/09/2020 Incident re-scheduled to early 2021 because of Covid-19 and Rieti unavailability. Risk remains at high as Pandemic is still ongoing.</p> <p>Jan 2021: Rieti staff are not currently available due to COVID 19. Risk remains High.</p> <p>Feb 2021: This risk is relevant to all host organisations – title of risk has been changed. Risk Category has been set to Medium.</p>			
Action		<ol style="list-style-type: none"> 1. Discuss likelihood and alternatives with Rieti. 2. Remain in contact with Rieti and discuss ongoing situation. 3. Ongoing monitoring of terrorist threat levels. 			
Next Review		After March 2021 project meeting			
Action assigned to		CBRNE			
Status		Watch			

Risk Identification					
Concern		INCIDENT (INC NAT DISASTER AND EXTREME WEATHER OR OTHER FORCE MAJURE)		Risk Category	
Potential Impact		Site and staff are not available.		Low	
Area of Impact					
	Staff		Vulnerable Persons		Member of Public
	Volunteers	✓	Project	✓	Exercise
Commentary and actions					
Action/ Commentary (Date each entry)		26/02/20: Risk set to low as the moment, keep under review. 04/04/2020: No Change 03/09/2020: No Change Feb 2021 No Change			
Action		1. Keep watch on weather forecasts in period leading up to exercise. (Note revised date for exercise) 2. Identify site safety limits for wind / rain etc.			
Next Review		After March 2021 project meeting			
Action assigned to		CBRNE			
Status		Ongoing			

Risk Identification					
Concern		LACK OF SUITABLE RESOURCES FOR PROACTIVE TOOLS (POWER ETC)		Risk Category	
Potential Impact		Unable to utilize tools and therefore to meet objectives		Low	
Area of Impact					
	Staff		Vulnerable Persons		Member of Public
	Volunteers	✓	Project	✓	Exercise
Commentary and actions					
Action/ Commentary (Date each entry)		26/02/20: Tools etc to be tested are unknown at the moment. Need to obtain a list of the needed resources and check with Rieti- host if these can be available. Risk set to low as the moment, keep under review. 09/04/2020: No change 03/09/2020: No Change Jan 2021: No Change			
Action		1. Identify a resource requirements list for Rieti host exercise (should be part of the Ex Plan)			
Next Review		After March 2021 project meeting			
Action assigned to		CBRNE			
Status		Ongoing			

Risk Identification					
Concern		H&S HAZARDS AT SITE ARE UNKNOWN		Risk Category	
Potential Impact		Injury to volunteers and staff		High	
Area of Impact					
✓	Staff	✓	Vulnerable Persons	✓	Member of Public
✓	Volunteers	✓	Project	✓	Exercise
Commentary and actions					
Action/ Commentary (Date each entry)		<p>26/02/20: Project has not yet completed a comprehensive risk assessment for the site but intends to do so before the exercise. A suitably qualified risk assessor will be appointed. A review of the H&S risk assessments will be undertaken in the days before the exercise to ensure its continued validity.</p> <p>Known hazards to be assessed are, traffic management, hazardous materials, fire, egress, Em Svcs access and response times, on-site first aid arrangements, welfare arrangements, slips, trips and falls,</p> <p>Risk set to High as the moment to ensure appropriate focus.</p> <p>09/04/2020: No Change</p> <p>03/09/2020: No Change</p> <p>Jan 2021: No Change – see ‘Scenario is unspecified’</p> <p>Feb 2021: No change, site specifics still need to be identified.</p>			
Action		<ol style="list-style-type: none"> 1. Complete a H&S plan and risk assessment for the exercise at Rieti. 2. Obtain existing risk assessments or other relevant information from Rieti host. 			
Next Review		After March 2021 project meeting			
Action assigned to		CBRNE			
Status		Ongoing			

Risk Identification					
Concern		ETHICAL ISSUES		Risk Category	
Potential Impact		Leads to perceived unethical exercise or actions, adverse publicity, reduced effectiveness of exercise, unintentional discrimination etc		High	
Area of Impact					
	Staff	✓	Vulnerable Persons		Member of Public
	Volunteers	✓	Project	✓	Exercise
Commentary and actions					
Action/ Commentary (Date each entry)		26/02/20: Project has not yet completed a comprehensive ethical assessment – needs detailed scenario and further development of arrangements. Consent forms are being prepared. Ethical advisers are on project team. Risk set to high as the moment to ensure appropriate focus. 09/04/2020: No Change 03/09/2020: Assessments have commenced but cannot be completed due to early planning stage. Risk remains at High. Jan 2021: Ethics and legal assessments are ongoing but cannot be implemented or finalised until exercise location, time etc if confirmed. Risk retained as High to ensure focus. Feb 2021: Ethical Risk Assessment if a part of the project and is integrated into the IIMARCH methodology (under H for Human Rights, Legal and Ethical). D6.1. has been updated and is closely linked with WP8.			
Action		1. Complete Ethics risk assessments for the exercise.			
Next Review		After March 2021 project meeting			
Action assigned to		CBRNE			
Status		Ongoing			

Risk Identification					
Concern	IDENTIFICATION OF PLAYERS/ STAFF VOLUNTEERS				Risk Category
Potential Impact	Poor control, poor emergency response				<u>Low</u>
Area of Impact					
	Staff	✓	Vulnerable Persons		Member of Public
	Volunteers	✓	Project	✓	Exercise
Commentary and actions					
Action/ Commentary (Date each entry)	<p>26/02/20: Project has not yet identified standards for 'tabards' or similar. Will be considered with eNotice partners to ensure consistency. Has already been raised at internal meetings. Risk set to Low at the moment as already in progress.</p> <p>09/04/2020: No Change</p> <p>03/09/2020: No Change</p> <p>January 2021: No Change</p>				
Action	1. Include in Ex Plan.				
Next Review	After March 2021 project meeting				
Action assigned to	CBRNE				
Status	Ongoing				

Risk Identification					
Concern		LIMITED ACCOMMODATION AVAILABLE NEAR TO SITE.		Risk Category	
Potential Impact		Volunteers and Proactive staff need to travel to other areas for accommodation, increasing costs and timelines.		Medium	
Area of Impact					
✓	Staff	✓	Vulnerable Persons		Member of Public
✓	Volunteers	✓	Project	✓	Exercise
Commentary and actions					
Action/ Commentary (Date each entry)		26/02/20: Numbers of personnel and their needs are unknown at present. Need to identify in time to identify suitable accommodation and to reserve it. Risk set to medium at the moment to ensure appropriate focus. 09/04/2020: Availability of accommodation may be affected by current outbreak but cannot tell at the moment. No Change 03/09/2020: Concern over availability of accommodation remains. Kept at Medium. Jan 2021: This risk remains but is dominated by the COVID 19 issues at the moment. Project delays have taken pressure off at the moment but this issue will arise again when restrictions are lifted – unless exercise are all remote table-top. Risk kept at Medium.			
Action		1. Confirm attendees asap 2. Confirm available accommodation			
Next Review		After March 2021 project meeting			
Action assigned to		CBRNE			
Status		Ongoing			

Risk Identification					
Concern		LACK OF CLARITY REGARDING INSURANCE BOUNDARIES AND SCOPE			Risk Category
Potential Impact		Insured risks not broad enough, insurance declined			Medium
Area of Impact					
✓	Staff	✓	Vulnerable Persons	✓	Member of Public
✓	Volunteers	✓	Project	✓	Exercise
Commentary and actions					
Action/ Commentary (Date each entry)		<p>26/02/20: Insurers agents have attended initial planning meetings and have not raised any significant issues yet. They are to be advised of risk assessments status as project progresses. Risk set to Low at the moment, keep under review.</p> <p>09/04/2020: No Change</p> <p>03/09/2020: Concerns about Covid-19 related risks need to be addressed. Risk set to Medium.</p> <p>Jan 2021: No Change</p>			
Action		<p>1. Communicate risk assessments to insurers.</p> <p>2. Discuss Covid-19 risks that may have arisen once exercise planning progresses further.</p>			
Next Review		After March 2021 project meeting			
Action assigned to		CBRNE			
Status		Ongoing			

Risk Identification					
Concern		VEHICLES AND PARKING			Risk Category
Potential Impact		There might be a need to provide additional parking near the site to allow for volunteers with reduced mobility.			Medium
Area of Impact					
✓	Staff	✓	Vulnerable Persons	✓	Member of Public
✓	Volunteers		Project	✓	Exercise
Commentary and actions					
Action/ Commentary (Date each entry)		<p>26/02/20: See 40 "Involvement of unspecified vulnerable groups in exercise". The extent of on-site or nearby parking for the sites is unknown, this may also be exacerbated by security restrictions and the needs of some volunteers. Risk set to Medium.</p> <p>09/04/2020: No Change</p> <p>03/09/2020: No Change</p> <p>Jan 2021: No Change</p>			
Action		1. Review parking facilities with host Rieti site.			
Next Review		After March 2021 project meeting			
Action assigned to		CBRNE			
Status		Ongoing			

Risk Identification					
Concern		VOLUNTEERS, HOST RIETI STAFF AND PLANNERS WILL NOT ALL HAVE THE SAME NATIVE LANGUAGE			Risk Category
Potential Impact		Difficulty communicating – impacts risk control and obtaining feedback etc			
Medium					
Area of Impact					
✓	Staff	✓	Vulnerable Persons		Member of Public
✓	Volunteers	✓	Project	✓	Exercise
Commentary and actions					
Action/ Commentary (Date each entry)		26/02/20: Already highlighted in earlier meetings as an issue. Source of translators etc needs to be identified. Could also have cost implications. Set to medium to ensure appropriate focus. 09/04/2020: No Change 03/09/2020: No Change Jan 2021: Some early discussions have been held but these have all been superseded by COVID 19 changes. Feb 2021: Title of risk has been changed to make it appropriate to all exercises. This is a subject for all planning meeting agendas. Remains to be resolved but all parties recognise this issue.			
Action		1. Identification method of translation and availability of translators. 2. Discuss with hosts.			
Next Review		After March 2021 project meeting			
Action assigned to		CBRNE			
Status		Ongoing			

Risk Identification					
Concern		PROPOSED SITE MAY BE A SECURE SITE		Risk Category	
Potential Impact		Attendees need to be security cleared for site by Italian National authorities – failure to obtain threatens exercise.		High	
Area of Impact					
	Staff		Vulnerable Persons		Member of Public
	Volunteers	✓	Project	✓	Exercise
Commentary and actions					
Action/ Commentary (Date each entry)		26/02/20: Already raised at previous meetings. Site agreed to look into simplified process for clearing volunteers and PROACTIVE staff. Risk set to Medium. 09/04/2020: This may be significantly impacted by the current situation in Italy as this is likely to be seen as a low priority and resources for providing clearances are likely to be have other priorities. Risk set to High 03/09/2020: No Change, risk remains High. Jan 2021: No change.			
Action		1. Review security clearance process with hosts, allowing time for clearances – where required – to be obtained.			
Next Review		After March 2021 project meeting			
Action assigned to		CBRNE			
Status		Ongoing			

Risk Identification					
Concern		PROPOSED EXTENSION TO PROJECT FOR 1 YEAR			Risk Category
Potential Impact		Not all partners able to extend by year			
Medium					
Area of Impact					
✓	Staff		Vulnerable Persons		Member of Public
	Volunteers	✓	Project	✓	Exercise
Commentary and actions					
Action/ Commentary (Date each entry)		1/3/21: May be of particular concern for partners that are leading field exercise planning and delivery. May also cause a ‘loss of momentum’ to exercise planning. Risk set to Medium.			
Action		3. To monitor the extension process and identify partners unable to accommodate project extension. 4. To raise at project level, potential impact of extension on field exercises. 5. To consider potential for joint activity table-top exercise during Autumn/Winter 2021 to maintain progress with field exercise planning.			
Next Review		After March 2021 project meeting			
Action assigned to		CBRNE			
Status		Ongoing			

Risk Identification					
Concern		SPARE		Risk Category	
Potential Impact				Choose an item.	
Area of Impact					
<input checked="" type="checkbox"/>	Staff	<input checked="" type="checkbox"/>	Vulnerable Persons	<input checked="" type="checkbox"/>	Member of Public
<input checked="" type="checkbox"/>	Volunteers	<input checked="" type="checkbox"/>	Project	<input checked="" type="checkbox"/>	Exercise
Commentary and actions					
Action/ Commentary (Date each entry)		26/02/20:			
Action		1.			
Next Review		?? ???? 2020			
Action assigned to		CBRNE			
Status		Choose an item.			