

Leicester, Leicestershire & Rutland



Local Resilience Forum

LRF Major Incident Record Keeping Protocol

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DOCUMENT MANAGEMENT

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Unless otherwise stated every LRF plan / key document will be subject to a Biennial review. This will encompass the plan / key document being distributed to the General Working Group for consultation and comment. Once any alterations have been made the revised edition should be approved by the Programme Board and validated by the Executive Board.

Once a plan / key document has been used for an incident any points that come from the de-brief process must be presented at the General Working Group for approval and the incorporation of the de-brief points into the plan. Once this is complete the revised edition should be approved by the Programme Board and validated by the Executive Board.

DOCUMENT REVIEW

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Minor changes to this document will result in the appropriate page(s) being updated and the obsolete page(s) being destroyed, confirmation of which must be supplied to the author(s).

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VALIDATION OF AMENDMENTS

Any substantial changes, which are defined as a complete re-write of the plan, a section of the plan or changes to the integral infrastructure or command structure of the multi-agency response, must be consulted and actioned at the General Working Group and Programme Board and validated by the Executive Board.

Any minor changes such as contact details, internal department arrangements, updates of tables/diagrams etc do not need to be ratified by the Executive Board and can be signed off by the Programme Board once consulted at the General Working Group.

AUDIT OF AMENDMENTS

| Date | Paragraph Changed | Brief details of alterations | Approved by |
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FOREWORD

The Leicester, Leicestershire & Rutland Local Resilience Forum (LLR LRF) exists to facilitate the statutory duties of the constitute partners under the Civil Contingencies Act 2004. It is recognised across the LLR LRF that a structured, efficient way of record keeping during a Major Incident is essential for an effective response. To facilitate this need this protocol has been written and is endorsed by all members of the LLR LRF.

DISCLAIMER

This protocol has been prepared and published in good faith by LLR LRF and is believed to comprise of accurate and up-to-date information regarding all matters contained within the document at the time of writing. This document is a 'live document' and is reviewed and updated on a Biennial basis unless otherwise specified.

- However, no guarantee, warranty, nor binding assurance or representation of any kind given by virtue of the preparation and publication of this plan on behalf of LLR LRF, its employees or agents or anyone acting on their behalf.
- That the plans, intentions, procedures and information herein are complete and without defect or error of any kind.
- That any action or series of actions, processes, or procedures described herein as to be taken will be taken by the person or person herein described or by any other person or persons acting on his, her or their behalf.
- That all or any of the persons, resources, equipment, facilities or services described herein will be available at all or any time or times.
- That any person or persons other than members, employees or agents of LLR LRF who act or fail to act in reliance upon this procedure or any part of it do so entirely at his, her or their own risk.

BACKGROUND

HISTORICAL BACKGROUND

After any major incident, a review will be conducted to identify any lessons so that future planning and response can be improved. In some cases, inquiries may be conducted into the management of the major incident and a request will be made for evidence to support the sequence of events.

Records should be kept in order to facilitate the identification of lessons and actions needed to improve the management of major incidents as well as to support any inquiries.

LEGISLATION

There is no regional or national guidance as to how records must be maintained either during or after an emergency.

The Civil Contingencies Act 2004 outlines good practice in the Emergency Response and Recovery Guidance in Section 4.6 Identifying and Learning Lessons:

4.6.1 In order to facilitate operational debriefing and to provide evidence for inquiries (whether judicial, public, technical, inquest or some other form), it is essential to keep records. Single-agency and inter-agency debriefing processes should aim to capture information while memories are still fresh.

4.6.2 A comprehensive record should be kept of all events, decisions, reasoning behind key decisions and actions taken. Each organisation should maintain its own records. It is important that a nominated information manager be responsible for overseeing the keeping and storage of the records and the files created during the response, and also for assuring the retention of those that existed before the emergency occurred. All document destruction under routine housekeeping arrangements should be suspended. All electronic records should be copied directly to non-volatile media.

LRF MAJOR INCIDENT RECORD KEEPING PROTOCOL

1. INTRODUCTION

Since its formation in 2005, the Leicester, Leicestershire and Rutland Local Resilience Forum partners have taken part in numerous exercises and incidents.

The LRF partners are aware of the obligations with regards to record keeping during major incidents (and as an extension – exercises) and to date have made informal efforts to put some structure around the method for ensuring records are maintained.

During exercises, the role of a LRF Loggist was developed to sit alongside the Chair of a Tactical Coordinating Group (TCG) or Strategic Coordinating Group (SCG) and record the meeting in a Log Book designed by members of the LRF. It was deemed necessary that those LRF Loggists should receive appropriate training on their role.

Training has been in the past delivered to LRF Loggists and although there have been merits in the training, a wider piece of work had not been undertaken as to the agreement as to the role and management of LRF Loggists. This has lead to confusion by the LRF Loggists, members of TCGs and SCGs as to some of the details of the management and responsibilities of record keeping.

This formal protocol will outline not just the role of a LRF Loggist but the overall management of the keeping of records during a major incident/exercise.

2. AIM & OBJECTIVES

2.1. AIM

The aim of this protocol is to ensure that during a major incident, appropriate records are kept in line with best practice determined by the Civil Contingencies Act 2004 Emergency Response and Recovery Guidance during TCG, SCG and other similar meetings.

2.2. OBJECTIVES

- a. Identify what records must be kept and what method will be used to do this.
- b. Identify what tasks are required before, during and after a major incident to ensure appropriate records can be kept and managed in line with the CCA guidance.
- c. Allocation of roles and responsibilities with respect to the various aspects of record keeping.
- d. Outline the details of the LLR LRF Log Book sections and include best practice guidance on how they should be completed.
- e. Identify the training requirements for those involved in record keeping.

3. PLAN CAPACITY

3.1 SCOPE OF THE PLAN

- a. What the Plan is: A generic protocol to outline the way in which the LLR LRF agencies will manage the keeping of multi-agency records during a major incident.
- b. What does it do: it outlines the roles and responsibilities of those involved in the record keeping process.
- c. What does it not do: instruct individual agencies on how they must keep, maintain and store their own organisation records of a major incident (as required in the CCA guidance). Each agency is responsible for having arrangements for keeping their own records and may elect to use elements of this protocol.

3.2 PLANNING ASSUMPTIONS

This protocol relies on the agreement of the LRF agencies to assist in supplying resources to prepare for and deliver the requirement of record keeping.

3.3 LIMITS OF THE PLAN

As there is no specific funding or post within the LRF agencies to ensure that there are appropriately trained, on call staff to manage the keeping of records during a major incident. This protocol may not always be followed due to the lack of availability of appropriate resources.

4. RESPONDING TO MAJOR INCIDENT RECORD KEEPING

4.1 Records to be kept and the methods

The CCA 2004 Emergency Response and Recovery Guidance states that the following information should be recorded during a major incident:

- Events
- Decisions
- Reasoning behind key decisions
- Actions taken

During a major incident at a Tactical or Strategic Co-ordinating Group (or other similar multi-agency meeting), the meeting will endeavour to be voice recorded to capture all of this information. This voice recording transcript should be typed at the earliest opportunity and stored in an appropriate place at the Lead Agency offices with copies held in the LRF Office.

To assist the Chair and the members of the meeting, a LRF Loggist will be in attendance and work under the instruction of the Chair to record the following information in a paper log book:

- Decisions of the group.
- Actions that have been tasked, to who, when they were completed or whether they're still outstanding and any notes about the action.

- Any key information the Chair or meeting member requests entering into the Log Book.
- THE LOGGIST WILL NOT TAKE MINUTES OF THE MEETING.

A Log Book has been developed to assist in the recording of this information and for the Chair to use as a tool in managing the meeting.

4.2 Roles and Responsibilities

There are a number of tasks that must be undertaken before, during and after a major incident to ensure that arrangements are in place to keep the necessary records.

4.2.1 Information Manager

The CCA 2004 Emergency Response and Recovery Guidance identifies that an Information Manager should be appointed at the time of a major incident.

Role: The Information Manager will be responsible for overseeing the keeping and storage of the records and files created during the response and also for assuring the retention of those that existed before the emergency occurred.

Person: The Lead Agency who is responsible for the organisation of the TCG, SCG and similar meetings during a major incident will appoint an appropriate Information Manager for the incident.

Responsibilities:

- Oversee the collection of the Log Book, any other paper records and voice recordings.
- Responsibility for the storage of any records and will make available those records for any debrief or future inquiry.

4.2.2 LRF Agency Executive

There are certain tasks that must be agreed by each Category 1 LRF agency at an executive level.

Role: ensure arrangements are in place to supply appropriate resources can be allocated to assist in the record keeping function during a major incident.

Person: the agency executive must have the executive authority to ensure the following agreements and tasks are completed (or have authority to accept the risk on behalf of their agency if the tasks are not carried out).

Responsibilities: an executive from each agency is responsible for:

Preparation for Major Incidents

- Agreement between the executive managers of the respective agency and the individual LRF Loggists to provide appropriate compensation (and the method for doing so) to that LRF Loggist for out of hours participation and release from duties during normal working hours.
- Collective development, agreement and review of a LRF Log Book.

WARNING – If you are viewing a printed copy of this document it may not be current.

NOT PROTECTIVELY MARKED

- Ensure that an appropriate number of staff are trained and willing to be placed on a LRF Loggist call-out list.

During a Major Incident

- If identified as the Lead Agency of the major incident, where possible, authorise the release of LRF Loggists from their usual duties to keep the LRF Log at the appropriate meetings.
- If identified as the Lead Agency of the major incident, where possible, authorise the appropriate compensation of LRF Loggists who Log during a major incident out of office hours.
- Where possible, authorise the provision of LRF Loggists as mutual aid to the Lead Agency.

4.2.3 Chair

Role: The Chair's role with respect to record keeping is to ensure that appropriate records are maintained during their meeting and that the records are an accurate reflection of that meeting.

Person: The Chair of the Multi-agency meeting will usually be from the Lead Agency responding to the major incident.

Responsibilities:

During a Major Incident

- Ensure accurate and relevant information is entered into the Log Book.
- Sign off that the Log Book is an accurate record of the meeting.
- Responsible for the welfare of the LRF Loggist and ensures that there is resilience/replacement for that LRF Loggist if the incident is protracted.

Post Incident

- Sign off that the transcript is an accurate record of that meeting.

4.2.4 LRF Office

- Printing and appropriate storing of a supply of LRF Log Books to be made available during a major incident.
- Co-ordinate training and exercising opportunities to ensure LRF Loggists are adequately prepared to conduct their role.
- Arrangements put in place to ensure voice recording is available for all TCG, SCG and similar meetings.
- It is not the responsibility of the LRF Office, but individual agencies to maintain a list of a pool of their people who are willing to be placed on an on-call list (with office and out of hours contacts) to take the role of a LRF Loggist during a major incident.

4.2.5 LRF Loggist

Although a LRF Loggist will have a role to play in the record keeping function and in supporting their Chair, they have no formal responsibilities in the overall management of record keeping. For this reason, this section outlines the EXPECTATIONS of a LRF Loggist rather than their responsibilities.

Role: A LRF Loggist is a person who supports a Chair in the Chair's responsibilities of record keeping during a Major Incident. The role of a LRF Loggist is not that of a minute taker but to complete the LRF Log Book with specific pieces of information as instructed by the Chair or other member of the meeting.

Person: A LRF Loggist should be someone who is comfortable at keeping records of meetings and supporting senior members of staff. They do not necessarily need an understanding of major incidents but should receive a briefing of what they will be expected to do and how to complete the LRF Log Book.

Expectations of a LRF Loggist:

- Should be willing to be placed on an on-call list to be contacted both during and outside of office hours in case they are needed to keep a Log during a Major Incident. They are not obliged to attend an incident if it is not convenient for them, unless otherwise stated in their individual terms of employment.
- Support the Chair of the meeting by entering requested information as appropriate into a Log Book.
- Emphasise to the Chair of the meeting as to their role and not allow the Chair to engage them for purposes beyond their expectations as a LRF Loggist (unless otherwise agreed by their employer)
- Should attend appropriate training and exercising in order to be confident in their role.

Annex A: Outlines the various sections of the current LRF Log Book.

Annex B: Gives a good practice guide for LRF Loggists and Chairs completing the Log Book.

5. TRAINING & EXERCISING

Each of the named people in this protocol will need to receive appropriate briefing and/or training in their particular part of this protocol. There will also need to be wider dissemination to all members of TCGs, SCGs and similar meetings to ensure a comprehensive understanding of all involved as to the importance and responsibilities of record keeping.

It is the responsibility of each agency to ensure that their own agency executives, potential chairs and appointed information managers have read and understand this protocol and their role within it. This will need to be conducted by individual agencies as there will be differences between them in their own arrangements.

LRF Loggists – some uniformity will be needed to ensure that all LRF Loggists receive the same information and training. A number of central training sessions will be provided by the LRF Training and Exercise Programme and will be contingent on the number of people interested in receiving the training and willing to be placed on a call-out list and attend exercises.

There are a number of multi-agency exercises that take place throughout the year. This will give trained LRF Loggists an opportunity to exercise their skills and feedback any suggestions for improvement.

6. FURTHER INFORMATION

6.1 Author

Questions relating to this procedure should be directed to the LRF Resilience Team.

6.2 FURTHER READING

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| LRF Website | www.localresilienceforum.org.uk |
| UK Resilience | www.cabinetoffice.gov.uk/ukresilience.aspx |
| Emergency Planning College | www.epcollege.gov.uk |
| Civil Contingencies Act (2004) | Available for download on the UK Resilience website |
| Civil Contingencies Act (2004) – A Short Guide | Available for download on the UK Resilience website |
| Emergency Preparedness (Guidance on Part 1 of the CCA (2004)) | Available for download on the UK Resilience website |
| Emergency Response and Recovery Non-statutory guidance to complement Emergency Preparedness | Available for download on the UK Resilience website |

6.3 LRF PLANS

A comprehensive list of all LRF plans can be found in the LRF website in the member's area.

6.4 REFERENCES

Section 4.6 of the CCA 2004 Emergency Response and Recovery Guidance.

7. GLOSSARY & ACRONYMS

| | |
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| CBRNE | Chemical, Biological, Radiological, Nuclear and Explosives |
| CCA | Civil Contingencies Act (2004) |
| CCS | Civil Contingencies Secretariat |
| COBR | Cabinet Office Briefing Rooms |
| Defra | Department for the Environment, Food and Rural Affairs |
| GDS | Government Decontamination Service |
| GNN | Government News Network |
| GOEM | Government Office for the East Midlands |
| HAC | Humanitarian Assistance Centre. A one-stop-shop for survivors, families, friends and all those affected by the emergency, through which they can access support, care and advice. |
| LGD | Lead Government Department. Government department which, in the event of an emergency, coordinates central government activity. The department which will take the lead varies depending on the nature of the emergency. The Government regularly publishes a full list of LGDs. |
| LLR | Leicester, Leicestershire and Rutland |
| LRF | Local Resilience Forum |
| MACA | Military Aid to the Civil Authorities |
| OCT | Outbreak Control Team |
| RCCC | Regional Civil Contingencies Committee. A committee which meets during an emergency when a regional response or other action at regional level is required. |
| RCG | Recovery Coordinating Group |
| SCG | Strategic Coordinating Group |
| STAC | Science and Technical Advice Cell |
| TCG | Tactical Coordinating Group |
| USAR | Urban Search And Rescue |

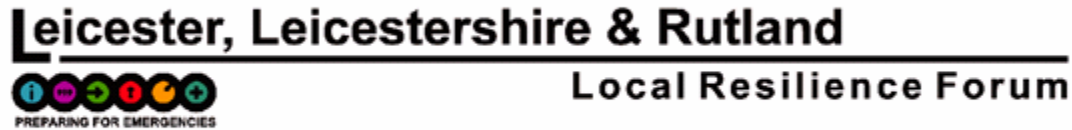
8. INDEX OF ANNEXES

ANNEX A: LRF Log Book Sections

ANNEX B: Guidance for Chair and LRF Loggist on completing the LRF Log Book

ANNEX A

LRF Log Book



LRF Major Incident Log Book

Incident:

Meeting:

Date Log Started:

Book number: of

Protective Marking:

The front page of the Log Book will have sections set out to fill in the following:

Incident – the operation/incident name e.g. Op Shareholder

Meeting – TCG, SCG or other similar meeting

Date Log Started – this will be the start date of the incident and will be the same date regardless of how many log books are used.

Book number – to keep track of the number of Log Books that make up the Log.

Protective Marking – to be determined by the group meeting.

LRF Log Book Best Practice Guidance

This section outlines best practice for completing and using the LRF Log Book as a tool during Major Incident Management. It is primarily reference for LRF Loggists and the Chairs of TCGs, SCGs and similar meetings.

Do

- ✓ Use black ink to write the Log
- ✓ Initial corrections made
- ✓ Keep all the notes in the official bound Log Book
- ✓ Use an agreed clock for everyone to keep the same time
- ✓ Write clearly
- ✓ Use plain English
- ✓ Rule off large blank spaces
- ✓ Cross out mistakes using a single horizontal line and initial
- ✓ Give each Log Book entry a unique record number and enter the time
- ✓ Use the 24 hour clock
- ✓ If the Loggist, Chair or meeting date changes, cross through the log to the bottom of the page and the Loggist and Chair must sign at the bottom of the page.

Don't

- ✗ Use correction fluid
- ✗ Overwrite mistakes
- ✗ Use arrows or dashes
- ✗ Write over lines or in margins
- ✗ Leave large blank spaces
- ✗ Use acronyms without writing them out in full first
- ✗ Tear pages out of the Log Book
- ✗ Attempt to improve the Log at a later date by altering it