

Food **Standards** **Scotland**

Inbhe **Bìdh Alba**

Incident Management Framework

Version 1.0

August 2018

Version Control

The Enforcement Delivery branch in FSS is responsible for maintaining this Incident Management Framework which will be reviewed on an annual basis. Any queries/feedback relating to this document should be emailed to: enforcement@fss.scot

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1.0	August 2018	N/A	August 2019	First Version

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Foreword

Food Standards Scotland (FSS) was established on 1 April 2015 and is the National Food Body in Scotland with responsibility for ensuring food is safe, is what it says it is, and that feed controls protect animal and human health.

As Chief Executive of Food Standards Scotland, it is my responsibility to ensure that FSS acts in a timely manner during incidents which may have an impact on consumers. It is our role to work closely with Local Authorities, Public Health professionals, Scottish Government, Industry, Retailers and Trade Associations to quickly minimise the risk to consumers in the event of a food incident.

However, the food supply chain is a global one and FSS works closely with colleagues in the Food Standards Agency to manage incidents across the UK and in Europe. A Memorandum of Understanding is in place between Food Standards Scotland and the Food Standards Agency to ensure liaison arrangements continue to deliver a coordinated incident handling response.

Investigating and managing incidents to ensure that consumers are protected has been, and will continue to be, a crucial aspect of all our work. Protection of public health will always be our first priority and maintaining confidence in the food supply system comes next. We accept that meeting those objectives can cause tension with businesses involved in incidents. However, our approach is, and always will be, determined by levels of uncertainty: the more uncertainty there is, the more precautionary we are likely to be to achieve our objectives. However, businesses should be assured that our response will also be proportionate and determined by the evidence we have.

This FSS Incident Management Framework has been developed in recognition of the size and structure of our organisation, whilst continuing to be aligned to the principles of the FSA's equivalent Incident Management Plan and will be reviewed regularly to ensure the document continues to be fit for purpose.



Geoff Ogle

Chief Executive

Food Standards Scotland



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Abbreviations

APHA	Animal and Plant Health Agency
BAU	Business As Usual
FAFA	Food Alert For Action
FBO	Food Business Operator
FOI	Freedom of Information
FPSS	Food Protection Science and Surveillance
FSA	Food Standards Agency
FSS	Food Standards Scotland
HPS	Health Protection Scotland
IAT	Incident Assessment Team
ICM	Incident Classification Matrix
ICP	Incident Communications Plan
IMF	Incident Management Framework
IMP	Incident Management Plan
IMT	Incident Management Team (external)
LFA	Local Food Authority
OGD	Other Government Department
OIT	Operational Incident Team
OOH	Out of Hours
PRIN	Product Recall Information Notice
RASFF	Rapid Alert System for Food and Feed
RIMP	Routine Incident Management Plan
RMDMM	Risk Management Decision Making Model
SEPA	Scottish Environmental Protection Agency
SFCIU	Scottish Food Crime and Incidents Unit
SGLD	Scottish Government Legal Department
SGoRR	Scottish Government Resilience Room
SHPN	Scottish Health Protection Network
SIT	Strategic Incident Team
SITREP	Situation Report
SMT	Senior Management Team
SOP	Standard Operating Procedure
SRA	Scientific Risk Assessment
WRA	Wider Risk Assessment



1. Introduction

1.1 Purpose

This document outlines FSS's principles, processes and structures to be established when leading in the management of a Level 2 or above food or feed incident. In the event of a Level 1 incident, the routine incident management plan should be consulted.

Other documents and Standard Operating Procedures (SOP) and routine incident management processes exist which also contribute to incident management.

Together, these will provide the structure and guidance for the organisation to respond effectively and appropriately to any incidents or issues that have the potential to significantly impact public health, undermine confidence in the food supply system; impact adversely on FSS's reputation or ability to operate.

The components of FSS's incident management documentation are as follows:

- **Incident Management Framework (IMF)**
The IMF defines FSS's approach to incident and crisis management, the structures and teams that are in place to manage an incident, and provides an overview of how the Operational Incident Team (OIT) and Strategic Incident Team (SIT) will operate in different classifications of incident.
- **Incident Management Policy**
The Policy outlines FSS's commitment and policy obligations regarding incident management, and is included in the IMF.
- **OIT Incident Management Plan (IMP)**
The OIT IMP contains practical guidance on how to activate and manage an operational response in the event of a serious incident, or work alongside the SIT in the event of a severe incident/crisis situation. The IMP is to be used by the OIT members, and has been designed in a simple and user-friendly way in order to support them.
- **SIT Incident Management Plan (IMP)**
The SIT IMP contains practical guidance on how to activate and manage a strategic response in the event of a severe incident/crisis situation. The IMP is to be used by SIT members, and has been designed in a simple and user-friendly way in order to support them.
- **Incident Communications Plan (ICP)**
The ICP outlines FSS's communications guiding principles and processes during incident management. The ICP contains practical guidance, tools and templates around developing a communication strategy, drafting messaging, stakeholder engagement and handling media enquiries.
- **Routine Incident Management Plan (RIMP)**
The RIMP contains practical guidance on how to activate and manage an operational response in the event of a Level 1 routine incident. This is handled by the incidents team, with support from the different branches as required.



It should be noted that separate arrangements¹ are in place for the multi-agency investigation and control of public health incidents in Scotland, which includes outbreaks of foodborne illness. In such cases, FSS is a member of the multi-agency Incident Management Team (IMT) established to investigate the outbreak. As shown below in figure 1, FSS's Incident Management Framework, Policy and Plans complement other industry specific plans and guidance.

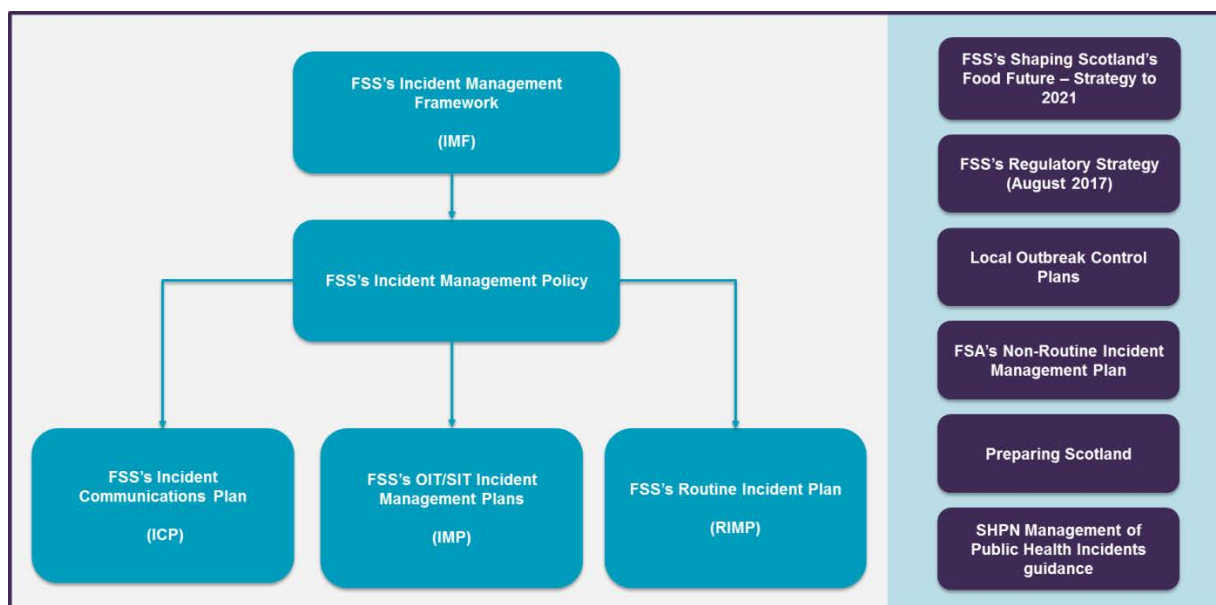


Figure 1: FSS incident management documentation & supporting documentation

1.2 Scope of response

Food/Feed incidents have the potential to impact on any individual nation within the UK or any combination of two or more. A Memorandum of Understanding is in place with the Food Standards Agency (FSA) to ensure liaison arrangements deliver a coordinated incident response across the UK. For the purposes of FSS or FSA-led Incident Management, only two jurisdictions are defined:

- FSS – Scotland
- FSA – England, Wales and Northern Ireland

The scope of an individual incident will be considered as FSA, FSS or UK-wide. Where the scope of an incident does not extend beyond either England, Wales or Northern Ireland, the incident will be managed by FSA, and information about such incidents shared with FSS. Where the scope of the incident does not extend beyond Scotland, the incident will be managed by FSS, and information about such incidents shared with FSA.

If an incident originates in Scotland or is initially led by FSS, and escalates to a UK-wide incident, FSS will continue to lead the incident by mutual agreement, unless it is agreed that it is more appropriate for FSA to lead. The FSA's Incident Management plan defines how incidents led by FSA will be managed.²

¹ <http://www.hps.scot.nhs.uk/guidelines/detail.aspx?id=1266>

² <http://www.food.gov.uk/business-industry/food-incidents>



1.3 Governance

1.3.1 Accountability

Ultimate accountability for incident management at FSS sits with the Chief Executive Officer. All Branch Heads have a responsibility to ensure the Incident Management Framework and Incident Management Plans are followed and adhered to.

The FSS Board is responsible for the strategic direction of the organisation and for supporting the Senior Management Team (SMT) in its leadership function. An overview of the role of the board in incident management can be found in Annex B.

1.3.2 Ownership

Changes and updates to the IMF/IMP will be conducted by the Food Emergency Planning Manager, who is also responsible for coordinating a regular training and exercising programme. Any changes to the IMF must be approved by the SMT.

1.3.3 Responsibility

Local Food Authority (LFA) Environmental Health Professionals have responsibility for enforcing legal food safety and standards requirements and verifying compliance with the appropriate regulations in the majority of food businesses across Scotland. Trading Standards officers in Scotland have responsibility for enforcing feed safety requirements. Food establishments which require additional veterinary supervision (i.e. abattoirs, cutting plants, and game handling establishments) are approved and subject to enforcement by FSS. The Food Safety Act 1990 and Regulation (EC) 178/2002 provide the framework of food law applicable in Scotland commonly used by LFA Environmental Health Professionals and FSS.

1.3.4 Delivery

FSS has issued a Code of Practice³ on behalf of Scottish Ministers which provides directions and clear guidance to LFAs on the execution and enforcement of Food Law, including the investigation of incidents and outbreaks of food borne illness. An equivalent Feed law Code of Practice also exists. FSS has also produced a guide to Scottish Food and Feed Law⁴ which details all of the current food and feed law applicable in Scotland. This includes references to overarching EU Food Hygiene legislation and supporting guidance that is relevant to the investigation and enforcement action that is relevant to food incidents.

Food Business Operators (FBOs) are required to inform the LFA (or FSS in the case of an FSS enforced establishment) immediately when they have reason to believe that food which it has imported, produced, processed, manufactured or distributed does not comply with food safety requirements, and/or when it may be injurious to human health. Competent authorities should also be notified in the event of a breach of food information law and there are similar requirements in the legislation which

³ http://www.foodstandards.gov.scot/downloads/Food_Law_Code_of_Practice_Scotland_.pdf

⁴ <http://www.foodstandards.gov.scot/business-and-industry/safety-and-regulation/regulation-legislation/scottish-food-and-feed-law-guide>



apply to feed. This can be done by completing the incident report form found on the FSS website⁵.

1.4 Definitions

The following definitions are used by FSS:

Incident: any event where, based on the information available, there are concerns about actual or suspected threats to the safety, quality or integrity of food/feed or fraud that could require intervention to protect consumers' interests.

FSS's existing definition

Crisis: An abnormal and unstable food/feed or fraud situation that adversely threatens public safety or threatens FSS's strategic objectives, reputation or viability.

BS11200 definition adapted for FSS.

1.5 Objectives

The overarching objective guiding FSS's incident management response is the protection of public health with respect to food and feed intended to be placed on the market.

The objectives of Incident Management at FSS are to:

- Successfully identify and manage food or feed incidents
- Provide informative advice to consumers during a food or feed incident
- Act as the coordinating body during food or feed incidents

⁵ <http://www.foodstandards.gov.scot/publications-and-research/food-incident-report-form>



1.6 Guiding principles

The overarching purpose of incident management at FSS is public health and consumer protection. To ensure FSS responds in line with the objectives outlined in Section 1.5, the following principles will guide all incident management response activities and is applicable to each and every level of the response.

People	<p>Putting consumers first</p> <p>Public health and consumer protection in relation to food safety, standards & authenticity will be at the forefront of every response. All decisions will revolve around their safety, and response teams will remain empathetic throughout the incident and commit to providing the necessary welfare to those affected.</p>
	<p>Plans and procedures</p> <p>FSS shall have effective plans and procedures in place to guide them in the event of food/feed incidents affecting Scotland, or reputational incidents affecting the organisation. These plans shall be reviewed on a regular basis to ensure they remain fit for purpose.</p>
Preparedness	<p>Professionally trained and competent staff</p> <p>For all those who may be involved in managing an incident, FSS will ensure that staff are sufficiently trained and competent to undertake the role they have been given. Appropriate training will take place on a regular basis.</p>
	<p>Precautionary principle</p> <p>At FSS, the precautionary principle should guide all elements of incident management, including the decision to activate the incident response teams. Levels of precaution will be determined by the degree of uncertainty but be proportionate. It is better to over-react, then stand-down resources as more information becomes available, rather than delay mobilisation and the tactical/strategic response.</p>
Response	<p>Transparency</p> <p>As far as it is possible, without releasing confidential information, FSS's incident management response will be driven by transparency and openness to ensure effective and proactive communication flows with all stakeholders are in place.</p>
	<p>Speed of response</p> <p>All aspects of the incident response (i.e. decision-making, communication and information flow) should be conducted in a timely manner. Our decisions and actions should support compliant businesses and be effective at dealing with non-compliant ones. Incident response teams may be required to make difficult decisions, often on the basis of partial or incomplete information. While a speedy response is vital, it is crucial that decision-making is evidence-based, transparent and recorded.</p>



	<p>Regulation and policy</p> <p>In line with FSS’s Regulatory Strategy⁶, FSS will ensure all legal obligations are considered and there is consistent and proportionate application of the law when making risk management decisions.</p>
<p style="writing-mode: vertical-rl; transform: rotate(180deg);">Reputation</p>	<p>Considering our stakeholders</p> <p>At FSS, stakeholders should be factored into the strategic decision-making process required to manage an incident at all times. Consideration must also be given to how these decisions will impact stakeholders critical to FSS’s success (including, although not limited to, the general public, employees, Scottish Government, HPS, LFAs, media etc.).</p>
	<p>Proactive communication</p> <p>Where possible, FSS will take a proactive approach to incident management, ensuring that the organisation is seen by key stakeholders as the authoritative source of information in relation to the situation.</p>

⁶ http://www.foodstandards.gov.scot/downloads/Food_Standards_Scotland_Regulatory_Strategy.pdf



2. Structure, roles and responsibilities

FSS deals with many food incidents every year as outlined in the Annual Report of Incidents⁷. FSS operates a two tier incident management structure, as shown in Figure 2 below. In many cases, the Incidents Team will respond to incidents using their Level 1 routine procedures. However, if a more coordinated operational response is required, an OIT may be invoked. In the event strategic direction is required to coordinate and manage the situation, a SIT may be formed. The Food Incidents section of the Food Law Code of Practice⁸ outlines the roles of LFAs during incident management.

2.1 Response structure

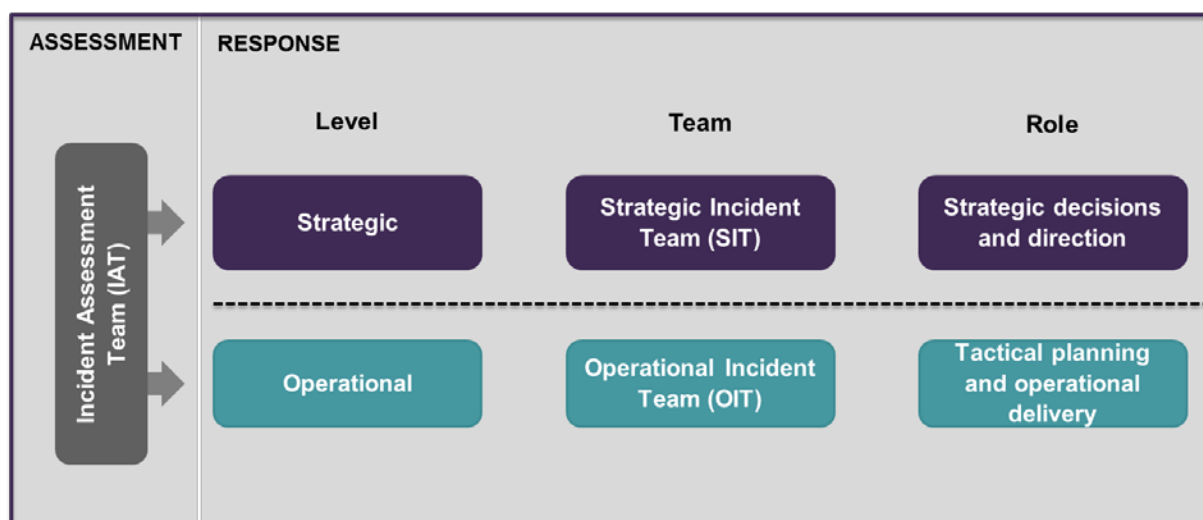


Figure 2: Incident Management structure

2.2 Team descriptions

IAT	IAT: The role of the IAT is to consider the potential implications of a situation, including threat to public safety, FSS’s operations and reputation. The IAT then agrees on the classification of the incident if required, and follows the processes in place to activate the OIT as needed.
OIT	OIT: The role of the OIT in the initial stage of the incident will be to support and manage the operational and tactical response to the incident, including incident management, information gathering, tactical planning, internal and external communications, and stakeholder engagement.

⁷ <http://www.foodstandards.gov.scot/business-and-industry/safety-and-regulation/food-incidents/reports-annual-and-quarterly>

⁸ http://www.foodstandards.gov.scot/downloads/Food_Law_Code_of_Practice_Scotland_.pdf



SIT	<p>SIT: The SIT primarily consists of Senior Management Team (SMT) members and, where necessary, representatives from central and local Government groups and strategic industry stakeholders. The SIT provides high-level strategic leadership and direction to the OIT, evaluating future risks and ensuring appropriate actions are taken.</p> <p>The SIT supports the OIT in managing its response including strategic communications, reputation management, senior stakeholder engagement, keeping Ministers informed, preparing for any legal implications, leading the recovery, and horizon scanning to identify any upcoming or potential risks. The SIT is also responsible for liaising with and briefing the FSS Board on incidents.</p>
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2.3 Incident Assessment Team (IAT)

The IAT may be activated in the event where it is unclear what level the incident is and when further information, discussion and clarification is required. The role of the IAT is to:

- Form as required to **identify the situation** and **consider the potential implications**, including threat to public safety, FSS’ operations and reputation.
- Agree on the **classification** of the incident, as necessary.
- **Activate the OIT**, as required.
- If you decide not to activate a formal response, **document the rationale** supporting the IAT’s decision.

2.3.1 Membership of the IAT

The IAT comprises core team members, additional team members and optional external support, as shown in Figure 3 below. The IAT is usually chaired by the Incident Manager.

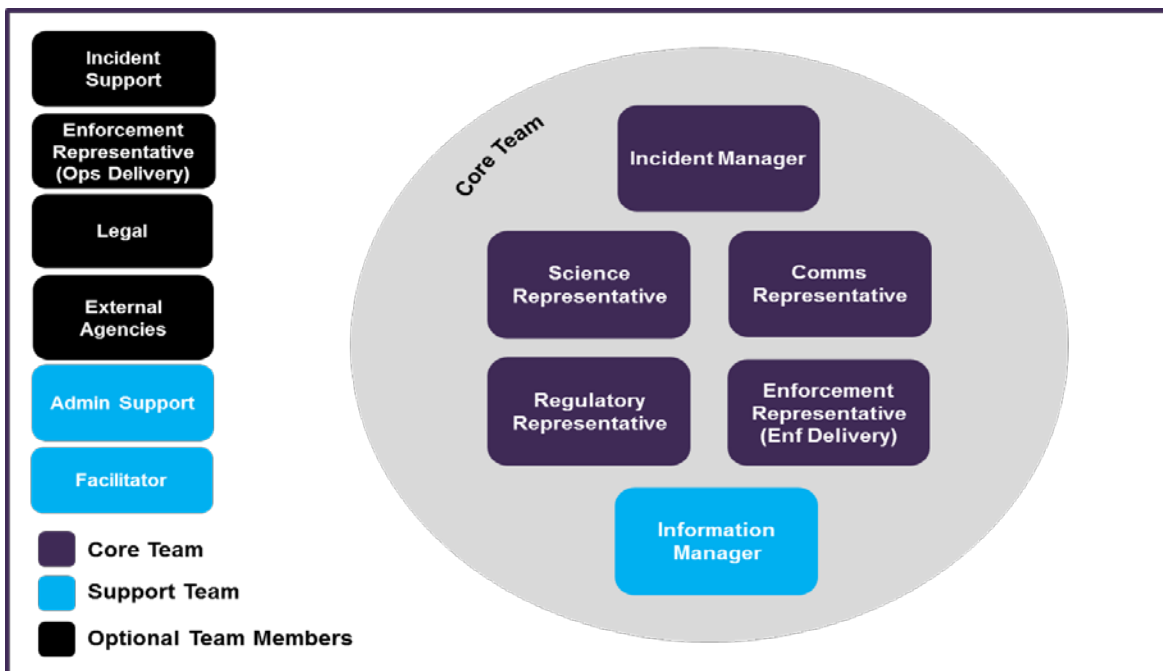


Figure 3: IAT membership



2.4 Operational Incident Team (OIT)

Once the Incident Manager or IAT decide an OIT is required due to the incident classification (Level 2 or above), the Facilitator is then responsible for mobilising the OIT. During a **Level 2 incident**, the OIT's responsibilities are to:

- **Establish the OIT** to coordinate the response.
- Hold an **initial meeting to understand the situation, set team objectives and identify the salient issues**.
- **Formulate a plan** of how to manage the incident.
- **Inform** the SMT that the OIT has been mobilised and provide the rationale.
- **Set the 'battle rhythm'** (page 41) for the response and communicate this to the team (i.e. when meetings will take place and when updates are expected).
- **Carry out operational tasks** to manage the incident i.e. traceability mapping, development of food sampling plans in conjunction with LFAs, liaising with FBOs and retailers as appropriate.
- **Identify and engage with stakeholders**, including the use of 'Bird Table' briefings for stakeholders.
- Consider the **communication** response required.
- **Capture and manage information** using CLIO.
- **Provide high quality updates** and briefings to the SMT throughout the response.
- **Sign off communication lines/press releases** as per the Incident Communications Plan
- Continue to **assess the incident throughout the response** to determine:
 - If the incident classification remains the same (or whether escalation/de-escalation is required).
 - Whether FSS should remain the lead organisation.
- **Decide when to stand down** the response and communicate to the team and wider business.

Additionally, in the event of a **Level 3 or 4 incident**, the OIT should also:

- Ensure an **Incident Director** has been established to act as the link between the OIT and SIT.
- **Complete the actions** as directed by the SIT.
- **Identify appropriate people** to attend externally led incident meetings, if required i.e. HPS or FSA.



2.4.1 Membership of the OIT

The OIT comprises of core team members, additional team members and optional support, as shown in Figure 4 below. Each OIT role must have an identified primary and secondary member, and these are listed in the OIT IMP.

It is expected that the Head of Scottish Food Crime and Incidents Unit (SFCIU) will assume the role of OIT Chair. Alternatively, this could be fulfilled by any Branch Head if necessary and in exceptional circumstances could even be fulfilled by the Incident Manager. In the event of a Level 3 or above incident the Head of Scottish Food Crime and Incidents Unit (SFCIU), Chief Operating Officer (or another FSS Branch Head) who is chair of the OIT and therefore also become the Incident Director attending the SIT.

In the event of a multi-agency response, or if specialist expertise is required to advise the team, the OIT is able to invite Subject Matter Experts (SMEs) into the OIT as additional resource.

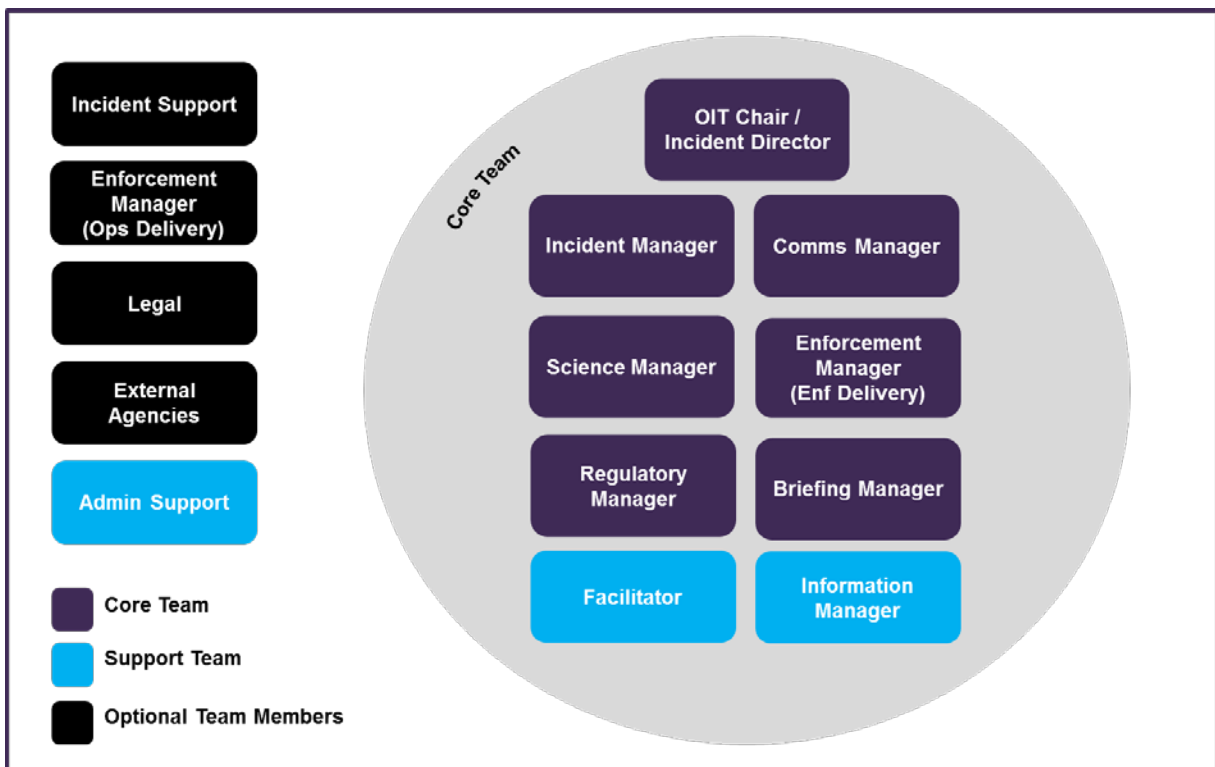


Figure 4: OIT Membership



2.4.2 OIT Members Roles and Responsibilities

A brief overview of the responsibilities of OIT members can be found below. Full role cards and a list of nominated personnel who could assume these roles can be found in the OIT IMP. Support team roles can be found in section 2.6.

<p>OIT Chair (Incident Director)</p>	<p>The OIT Chair is responsible for leading the team and chairing OIT meetings. The Chair sets the overall operational objectives for the OIT. The role should be assumed by a senior figure who has the authority to approve decisions, actions and messaging. The OIT Chair has ultimate responsibility for decision making in the OIT.</p> <p>The responsibility of assuming this role varies depending on the classification of an incident:</p> <ul style="list-style-type: none"> • During a Level 2 incident: (i.e. Head of SFCIU, Branch heads) • During a Level 3 or 4 incident: Incident Director (i.e. Head of SFCIU, Chief Operating Officer or other Branch head)
<p>Incident Manager</p>	<p>The Incident Manager is responsible for the operational management of the incident and for the implementation of relevant incident decisions taken by the OIT, and for the delivery of the incident investigation.</p> <p>This role should be fulfilled by an experienced member of SFCIU.</p>
<p>Enforcement Manager (Enforcement Delivery)</p>	<p>The Enforcement Manager (Enforcement Delivery) is responsible for recommending appropriate Risk Management options on which the OIT can act.</p> <p>This role should be fulfilled by a senior officer from the Enforcement Delivery branch during all incidents.</p>
<p>Enforcement Manager (Operations Delivery)</p>	<p>The Enforcement Manager (Operations Delivery) is responsible for recommending appropriate Risk Management options on which the OIT can act.</p> <p>This role is only required during an incident involving an FSS approved establishment, or where specialist Veterinary advice is required by the OIT.</p> <p>This role should be fulfilled by a representative from the Operations Delivery branch (i.e. Veterinary Manager), as required.</p>
<p>Science Manager</p>	<p>The Science Manager is responsible for identifying the relevant scientific evidence required to produce the Scientific Risk Assessment (SRA).</p> <p>This role is responsible for developing the SRA which establishes the potential risk of a food incident to human health. This is considered by the Incident Manager (or the IAT, if mobilised) when carrying out the incident classification, and by the OIT to determine the most suitable risk management options.</p> <p>This role will be fulfilled by a Scientist from the Food Protection, Science and Surveillance (FPSS) branch or a suitably qualified Scientist from an external organisation (as required).</p>



<p>Comms Manager</p>	<p>The Communications Manager is responsible for overseeing all aspects of FSS’s communication response, including the development of messaging, communication materials and coordinating the stakeholder engagement matrix.</p> <p>This role should be fulfilled by the Senior Communications Manager or Communications Manager.</p>
<p>Regulatory Manager</p>	<p>The Regulatory Manager is responsible for representing the Regulatory Policy team on the OIT and inputting into the operational risk management from a policy perspective by providing information on legislative requirements/breaches.</p> <p>This role should be fulfilled by a member of the Regulatory Policy team.</p>
<p>Briefing Manager</p>	<p>The Briefing Manager is responsible for providing briefings for ministers and stakeholders as required, and coordinating Bird Table meetings.</p> <p>This role should be fulfilled by Head of Private Office (or nominated deputy).</p>
<p>Incident Support</p>	<p>Incident Support is responsible for investigating the incident, acting as the main point of contact within the Incidents Team and supporting the Incident Manager in any way required.</p> <p>This role must be fulfilled by a member of SFCIU, trained in Incident Management.</p>
<p>Legal</p>	<p>The Legal representative is responsible for providing any necessary legal advice to the OIT in relation the incident or the impacts of any decisions made by the OIT.</p> <p>This role will be fulfilled by a representative from Scottish Government Legal Department (SGLD).</p>
<p>External Agency</p>	<p>External Agency representatives are responsible for providing any intelligence, information or expertise required to the OIT. Their attendance at an OIT also aims to facilitate effective liaison and management of a multi-agency incident.</p> <p>These roles will be fulfilled by members of relevant agencies as required (e.g. FSA, HPS, Local Food Authorities, PR agency etc.)</p>



2.5 Strategic Incident Team (SIT)

The SIT is mobilised by the Facilitator during an incident which is classed as a Level 3 or above. The SIT's responsibilities are to:

- Provide **leadership and direction** in the effective and timely response and management of a Level 3 or 4 incident.
- Identify **strategic issues** (i.e. reputation, political, industry etc.) and establish any key areas where further information is needed.
- Conduct scenario planning in order to establish any **worst case options** and possible remediation.
- Develop **response strategy** based on issues identified.
- Develop and agree **communication strategy** and sign off key messages and communications materials.
- Provide **strategic direction** to the OIT.
- Identify **strategic stakeholders** and develop stakeholder engagement strategy.
- **Review briefing materials** i.e. ministerial briefings.
- Ensure the OIT is performing and **sufficiently resourced** to respond effectively.
- **Consider impacts** of incident on BAU activity and take decision about how this will be managed.
- Decide when to **stand down** the response and communicate to the team and wider business.



2.5.1 Membership of the SIT

The SIT comprises of core team members, additional team members and optional external support, as shown in figure 5 below. Each SIT role must have an identified primary and secondary member. It is important to note the roles listed below are incident roles, and should not be confused with Business as Usual (BAU) job titles.

In the event that specialist expertise is required to advise the team, the SIT is able to invite experts into the SIT as additional resource.

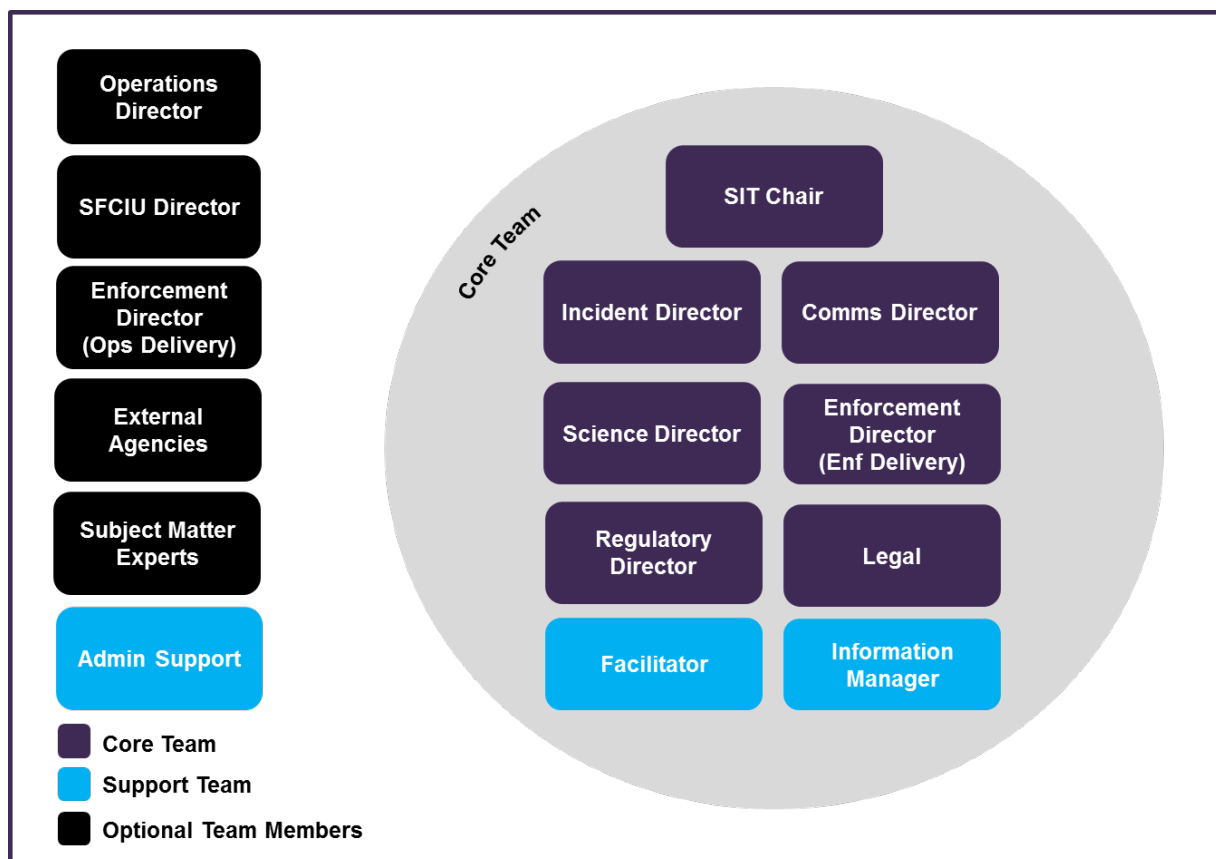


Figure 5: SIT membership

2.5.2 SIT Members Roles and Responsibilities

A brief overview of the responsibilities of SIT members is below. Full role cards can be found in the SIT IMP. Support team roles can be found in section 2.6.

<p>SIT Chair</p>	<p>The SIT Chair leads the SIT and chairs the meetings. The Chair sets the overall strategy and objectives for the SIT. The role should be assumed by a senior figure within the business who has the authority to approve strategy, actions and messaging. They should have extensive leadership experience and remain calm under pressure.</p> <p>This role will ordinarily be assumed by the Chief Executive, Deputy Chief Executive, or Chief Operating Officer.</p>
<p>Incident Director</p>	<p>The Incident Director is responsible for the overall tactical and operational management of the incident during a level 3 or 4 incident.</p> <p>During a level 3 or 4 incident, they will request a SIT is convened. The Incident Director will also chair the OIT and act as the liaison between the SIT and OIT.</p> <p>This role should be assumed by the Head of SFCIU, Chief Operating Officer or another Branch Head.</p>
<p>Enforcement Director (Enforcement Delivery)</p>	<p>The Enforcement Director is responsible for representing the Enforcement Delivery branch on the SIT.</p> <p>This role will be fulfilled by the Head of Enforcement Delivery (or nominated deputy).</p>
<p>Enforcement Director (Operations Delivery)</p>	<p>The Enforcement Director (Operations Delivery) is responsible for representing the Operations Delivery branch on the SIT.</p> <p>This role is only required during an incident involving an FSS-approved establishment, or where specialist Veterinary advice is required by the SIT.</p> <p>This role should be fulfilled by the Head of the Operations Delivery branch, as required.</p>
<p>Science Director</p>	<p>The Science Director is responsible for representing FPSS on the SIT.</p> <p>This role will be fulfilled by the Head of Food Protection Science & Surveillance (or nominated deputy).</p>
<p>Comms Director</p>	<p>The Communications Director is responsible for representing the Communications team on the SIT and for developing the communications strategy in Level 3 & 4 incidents.</p> <p>This role will be fulfilled by the Head of Communications (or nominated deputy).</p>



<p>Regulatory Director</p>	<p>The Regulatory Director is responsible for representing the Regulatory Policy team on the SIT. This role will be fulfilled by the Head of the Regulatory Policy (or nominated deputy).</p>
<p>Operations Director</p>	<p>The Operations Director role is only necessary if the Chief Operating Officer is not the SIT Chair or Incident Director. This role will be fulfilled by the Chief Operating Officer.</p>
<p>SFCIU Director</p>	<p>The SFCIU Director is responsible for representing the SFCIU on the SIT. This role is only necessary if the SFCIU Director is not the Incident Director (i.e. In the event of a parallel criminal investigation etc.). This role will be fulfilled by the Head of SFCIU (or nominated deputy).</p>
<p>Legal</p>	<p>The Legal representative is responsible for providing any necessary legal advice to the SIT in relation to the incident or the impacts of any decisions made by the SIT. This role will be fulfilled by a representative from Scottish Government Legal Department (SGLD).</p>
<p>External Agency</p>	<p>External Agency representatives are responsible for providing any intelligence, information or expertise required to the SIT. These roles will be fulfilled by members of relevant agencies as required (e.g. FSA, HPS, Local Food Authorities & PR Agency etc.)</p>
<p>Subject Matter Experts</p>	<p>Subject Matter Experts can attend SIT meetings as required to provide specialist advice. These roles can be fulfilled by internal or external subject matter experts as required (e.g. Chief Scientific Advisor).</p>



2.6 Support team roles

The roles below are present in both the OIT and SIT, and are critical to the success and smooth running of the operation.

<p>Facilitator</p>	<p>The Facilitator is the guardian of the incident management process, and acts as the 'right-hand' to the OIT and SIT chairs to ensure the functional running of both meetings.</p> <p>The Facilitator supports the OIT and SIT meeting chairs as required and ensures all information is captured (i.e. decisions are recorded and actions are logged by the Information Manager). The Facilitator will ensure the team has the correct representation, as requested by the chair. The Facilitator will also make sure the information management process is being followed to support with effective decision-making.</p> <p>The Facilitator also maintains the Information Board & Objectives Board in both the OIT and SIT.</p> <p>This role may be assumed by a senior member of the team, who has received training in the role.</p>
<p>Information Manager</p>	<p>The Information Manager maintains the Issues & Actions Log and Decision Log for the OIT and SIT. The Information Manager is responsible for recording the issues raised by the incident and assigning the corresponding actions with clear owners and deadlines. The Information Manager also records decisions made by the OIT/SIT alongside the rationale supporting those decisions.</p> <p>This role should be assumed by a trained member of staff.</p>
<p>Admin Support</p>	<p>The Admin Support role is responsible for conducting any additional administrative tasks on behalf of the OIT/SIT to ensure the meetings run smoothly.</p> <p>This role should be assumed by a trained member of staff.</p>



2.7 Branch involvement

The branch teams will provide appropriate resource, support and advice to the incident response teams, as required. Incident Management is a fundamental priority for FSS and should be prioritised over non-urgent business as usual work.

SFCIU	<p>The Scottish Food Crime and Incidents Unit (SFCIU) is the incidents, investigations and intelligence gathering arm of FSS. It focuses on tackling food crime and maintaining consumer protection. The Unit comprises of:</p> <ul style="list-style-type: none"> • a dedicated Incidents team, which ensures that FSS acts in a timely manner during incidents which may have an impact on consumers • a dedicated Food Crime Intelligence Bureau, which analyses, develops and deals with information intelligence received from members of the public, food business operators and industry whistle-blowers • an Investigations Team which investigates reports of food crime and non-compliance <p>SFCIU’s responsibilities include working closely with a range of stakeholders including LFAs, Public Health professionals, Scottish Government, Industry, FBOs and Trade Associations to quickly minimise the risk to consumers in the event of a food incident.</p> <p>During an incident, members of SFCIU will fulfil the Incident Manager, Incident Support and Incident Director roles where possible. SFCIU is responsible for supporting the incident response as necessary.</p>
FPSS	<p>The Food Protection, Science and Surveillance Branch (FPSS) is responsible for developing strategies for reducing foodborne illness in Scotland; generating and evaluating evidence to support FSS’s remit relating to food safety and consumer protection, and; ensuring FSS policy and operational functions are underpinned by robust scientific evidence.</p> <p>During an incident, members of FPSS will fulfil the roles of Science Manager/Director. FPSS is responsible for providing the Scientific Risk Assessment (SRA) during incidents. Where additional input is required to complete the SRA, FPSS will act as the main scientific point of contact with any subject matter experts (i.e. FSS Veterinary Managers, Chief Scientific Advisor etc.) in order to obtain the necessary information to complete the SRA.</p>
Regulatory Policy	<p>The Regulatory Policy branch is responsible for: developing Scottish legislation and influencing emerging EU law to provide a legislative risk management framework to protect Scottish consumers interests with respect to the safety and authenticity of food and feed; providing regulatory policy advice to Scottish Ministers, internal and external stakeholders on the requirements of EU and Domestic Food and Feed law, and; internal engagement within FSS supporting the other branches as required.</p> <p>During an incident, members of the Regulatory Policy branch will fulfil the roles of Regulatory Policy Manager/Director depending on the nature of the incident. It is also responsible for providing appropriate regulatory policy advice to determine effective and appropriate risk management options to the OIT and SIT.</p>



<p style="writing-mode: vertical-rl; transform: rotate(180deg);">Operations Delivery</p>	<p>The Operations Delivery branch is responsible for approving and enforcing slaughterhouses, cutting plants and game handling establishments, as those facilities require the presence of an Official Veterinarian. Operations Delivery also approves plants with on-site cold stores, minced meat, meat preparation or meat products establishment. However, if they're stand-alone establishments, LFAs will assess them.</p> <p>During an incident involving an approved establishment where FSS is the enforcing authority, Operations Delivery is responsible for assuming the role of the Enforcement Manager/Director in the OIT/SIT. Operations Delivery is also responsible for liaising with the relevant external agencies (e.g. APHA) in order to acquire a SRA when Veterinary information is required.</p> <p>Operations Delivery is also responsible for providing appropriate Risk Management options when an FSS-enforced establishment is involved. Operations Delivery will also liaise with relevant partner agencies, such as APHA, to obtain any necessary scientific assessments.</p>
<p style="writing-mode: vertical-rl; transform: rotate(180deg);">Enforcement Delivery</p>	<p>The Enforcement Delivery branch is responsible for: ensuring effective delivery of official controls relating to food safety, feed safety and food standards by working with local authorities and delivery bodies; developing an enforcement framework for Scotland to ensure delivery of policy relating to food safety, feed safety, food standards, authenticity and labelling, and; leading projects specific to delivery of local authority functions.</p> <p>During an incident, Enforcement Delivery is responsible for providing appropriate expertise and advice to the OIT and SIT in determining effective risk management options in the context of existing food and feed regulation.</p>
<p style="writing-mode: vertical-rl; transform: rotate(180deg);">Communications</p>	<p>The Communications team is responsible for: developing and delivering all internal and external communications for FSS and for managing FSS's reputation.</p> <p>During an incident, members of the Communications Team are responsible for fulfilling the roles of Communications Manager/Director in the OIT and SIT. These roles will produce proactive and reactive communication material relating to the incident to inform the public and consumers, while assessing the communication and potential reputational risk for FSS.</p>



3. Escalation and mobilisation

3.1 Notification

Incident notification could originate from a range of different sources including FSA, LFAs, Emergency services, Other Government Departments (OGD), Industry, FBOs & Consumers. Incident notification may also originate from the EU Commission’s Rapid Alert System for Food and Feed (RASFF) or Administrative Assistance & Cooperation (AAC) system, as well as the International Food Safety Authorities Network (INFOSAN). The FSA is the national contact point for RASFF and INFOSAN with appropriate liaison arrangements in place between FSS & FSA to share and manage such alerts.

3.2 Incident classification

The incident level descriptions diagram below outlines the four potential types of incident.

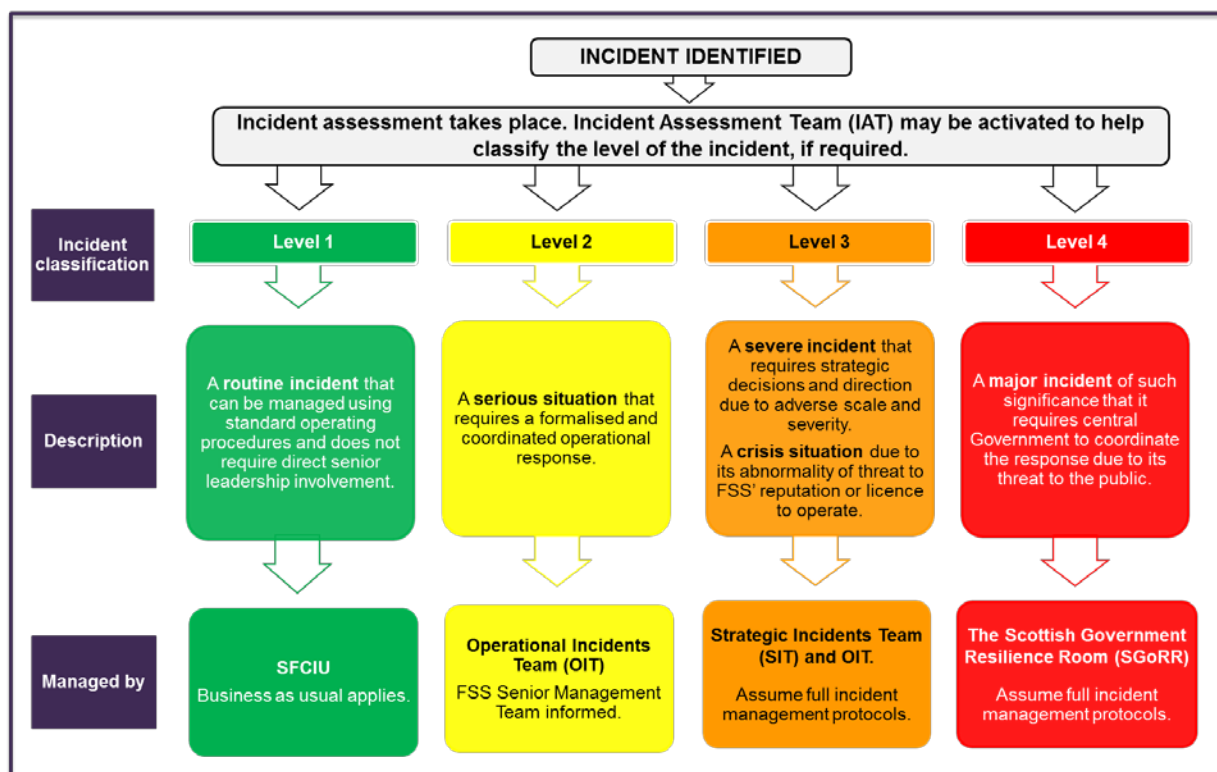


Figure 6: Incident Level descriptions

Once notified of an incident, the Incidents Team should classify the incident using the Incident Classification Matrix (ICM). This tool should be used to help assign a level to the incident and determine the most appropriate response (i.e. if an OIT is required). In the event the classification cannot be assigned due to lack of information or where clarity is required, an IAT should be established to discuss the matter further and seek advice from a multi-disciplinary team.

While considering the most appropriate incident classification, the precautionary principle should always be applied to ensure our statutory objectives to protect public health and other consumer interests from food-related risks are met.



3.3 Declaring an incident

Any member of the Incidents Team can classify an incident. However, if there is uncertainty over the level of an incident, the IAT can be formed to gain a more complete assessment of the situation from the information available. The IAT Chair will be assumed by the Incident Manager who will classify the incident with the help of the IAT.

The decision to declare a Level 4 can be made only by SIT and will be based on evidence, size, scale and impact on public health, and is likely to be in response to liaison with multi-agency partners (i.e. Scottish Government, Police Scotland etc.). In the event a Level 4 is provisionally assigned by FSS not as a direct response of notification by a multi-agency partner, the SIT Chair will contact SGoRR immediately.

3.4 Escalation

The incident escalation flowchart detailed in Figure 7 below details the process for escalating an incident after notification.

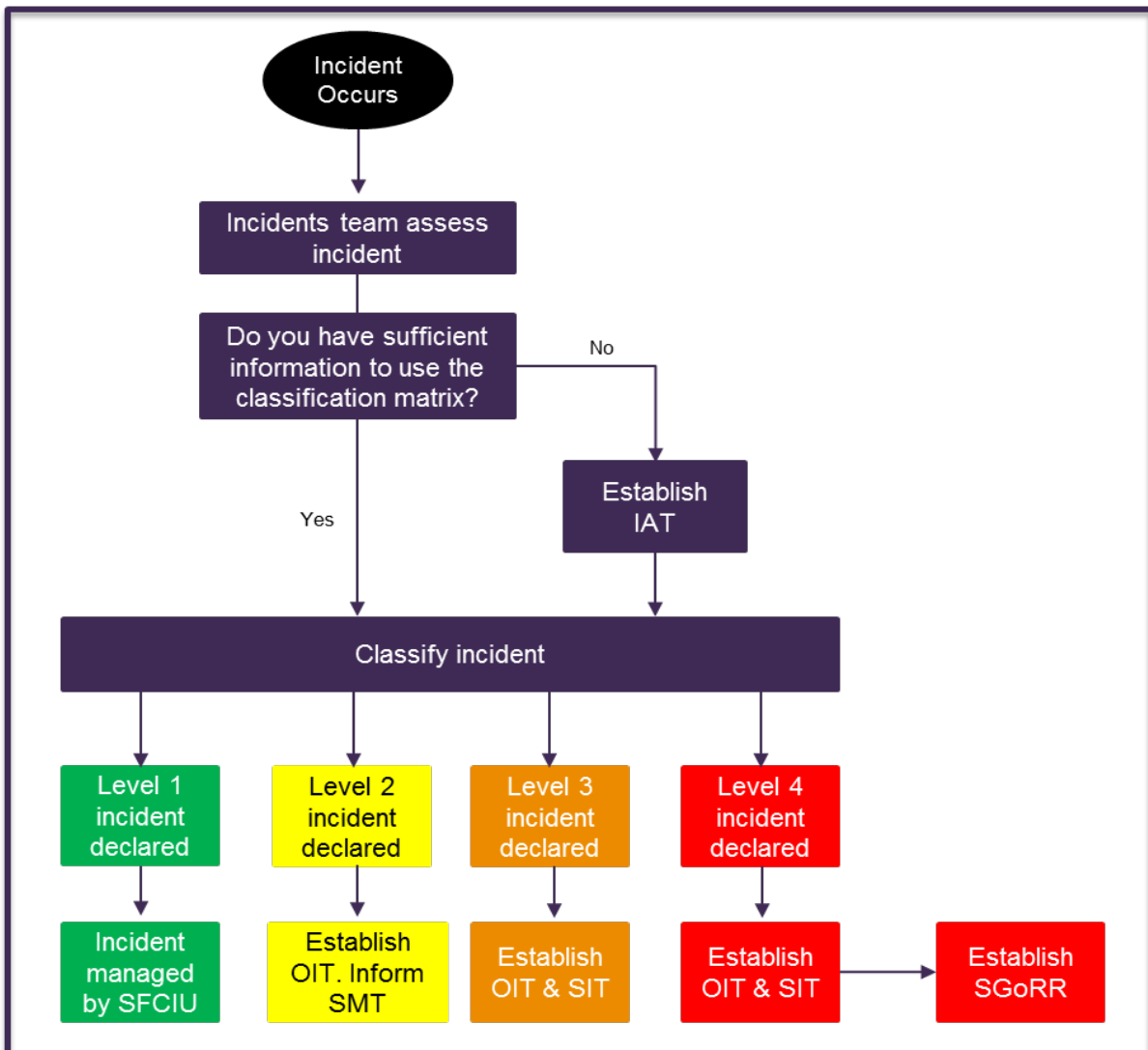


Figure 7: Incident escalation flowchart



As outlined in the sections above and depicted in this diagram, the Incidents Team should use the ICM to classify the incident or decide if an IAT is needed. Once a classification has been confirmed, the appropriate team(s) should follow the process flow outlined in sections:

If the incident is classified as a **Level 1**:

- Use the Level 1 process flow (see section 4.3.1)
- [If applicable] The IAT disbands and no further action is needed

If the incident is classified as a **Level 2** or above:

- Use the Level 2 and above process flow (see section 4.3.2)
- [If applicable] The IAT disbands and forms an OIT (and SIT if required)



4. Risk Analysis

4.1 Risk Analysis Process

The Risk Analysis process is central to FSS's incident management process. Its effective application helps prevent, mitigate and manage food and feed incidents in Scotland.

In line with Regulation (EC) 178/2002⁹, Risk Analysis at FSS consists of a three stage process:

- **Risk assessment:** The risk assessment process consists of two phases:
 - The **Scientific Risk Assessment (SRA)** involves scientifically assessing the hazards and risks presented by the incident. This process is undertaken by FPSS.

N.B: The Incident Manager will use their professional judgement when completing the ICM and should consider whether a new SRA is needed for each incident, in liaison with FPSS as necessary. In some instances, the incident may be a straight-forward breach of regulation and a SRA may not be required. In other cases, pre-determined SRAs may already be available (see section 4.2.1). If the Incident Manager is unsure what to do or is unable to get the required information, an IAT should be established.
 - As outlined in Regulation 178/2002, in some cases a SRA alone cannot provide all the information on which a risk management decision should be based and other factors should also be considered. Therefore, the **Wider Risk Assessment (WRA)**, which involves assessing the wider political, reputational, regulatory and commercial aspects of the situation will also take place. During a Level 2 incident, this process is undertaken collectively by other members of the OIT. In a Level 3 or above incident, this is done collectively between the OIT and SIT.
- **Risk management:** this process involves the consideration of the control and prevention measures available, based on the results of the risk assessments. The most proportionate and appropriate risk management option should be selected in line with the principles agreed in the FSS Regulatory Strategy. This process is undertaken by the OIT collectively. However, if a risk management decision cannot be made at the OIT or if strategic oversight is required, this should be escalated to the SIT.
- **Risk communication:** sharing of information to interested parties (such as consumers, FBOs, other responding agencies etc.) in regards to the risk management decision including the findings of the risk assessment process.

4.2 Scientific Risk Assessment

While carrying out the scientific risk assessment, FSS will operate in line with the Codex Alimentarius (Regulation 178/2002) and the process will consist of the following four steps: hazard identification; hazard characterisation; exposure assessment, and; risk characterisation.

⁹ <http://eur-lex.europa.eu/LexUriServ/LexUriServ.do?uri=OJ:L:2002:031:0001:0024:en:PDF>



Depending on the nature of the incident, FPSS or Operations Delivery will complete/act as the main scientific point of contact for the SRA. This process may be ongoing throughout the incident depending on the evidence available and the complexity of the science.

The Science Manager (fulfilled by FPSS) on the OIT/SIT is responsible for updating the teams on the status of the SRA during meetings.

Depending on the nature of the incident and the contaminant involved, specific scientific expertise may be required. A list of specialists is included in the OIT IMP.

4.2.1 Pre-determined scientific risk assessments

This only applies in cases where there is an undisputed risk to human health and a robust risk management response is identified eg. a product containing glass must obviously be recalled from the consumer/withdrawn from the market. A SRA establishing the risk of glass in food does not need to be repeated.

However, in other cases where the risk to human health is dependent on the specific circumstances such as the contaminant/pathogen involved, the food affected, its shelf-life and the length/complexity of the supply chain, the SRA process will need to be followed.



4.3 Risk Management

Once the relevant risk assessments have been undertaken, the OIT should work together to decide on the most appropriate risk management decision.

The Risk Management Decision Making Model in Figure 8 below has been developed to guide the OIT through the process of gathering information, assessing the risks, considering other contextual factors and making a risk management decision. Effective risk management is the responsibility of the whole OIT. However, accountability sits with the OIT Chair.



Figure 8: Risk Management Decision Making Model

1. Gather intelligence and information [Incident Manager]

The Incidents Team is responsible for gathering the necessary incident information.

2. Assess the risk [Science Manager] [OIT]

Using the information gathered by the Incidents team, the FPSS branch should complete a SRA based on the available information and specific questions asked by the Incident Manager.

v1.0



If the risk includes the potential for food fraud, consider obtaining input from a public analyst to help determine any potential risks.

In a Level 2 incident, the remainder of the OIT should conduct the WRA to inform risk management decision making. In a Level 3 or above incident, this should be done alongside the SIT.

3. Development of risk management options [Enforcement Delivery, Operational Delivery & Regulatory Policy]

The Enforcement Delivery, Operational Delivery and Regulatory Policy teams are then responsible for considering the appropriate powers, policy and legislation, and providing appropriate risk management options to the OIT for consideration. This should be done in liaison with FSA if it is a UK-wide incident.

4. Identify options and formulate the risk management plan [OIT]

The OIT should then discuss Risk Management options available regarding the protection of public health and wider consumer interest in relation to food and feed. Representatives from different branches that form the OIT are responsible for helping to formulate the plan, and ensuring the risk management options available remain appropriate and proportionate.

5. Make risk management decision [OIT Chair]

The OIT Chair is then responsible for making a risk management decision based on the evidence and advice available.



4.3.1 Making the risk management decision during a Level 1 incident

In the event that a Level 1 incident is declared, the process flow detailed in Figure 9 below should be followed to determine the risk management options available.

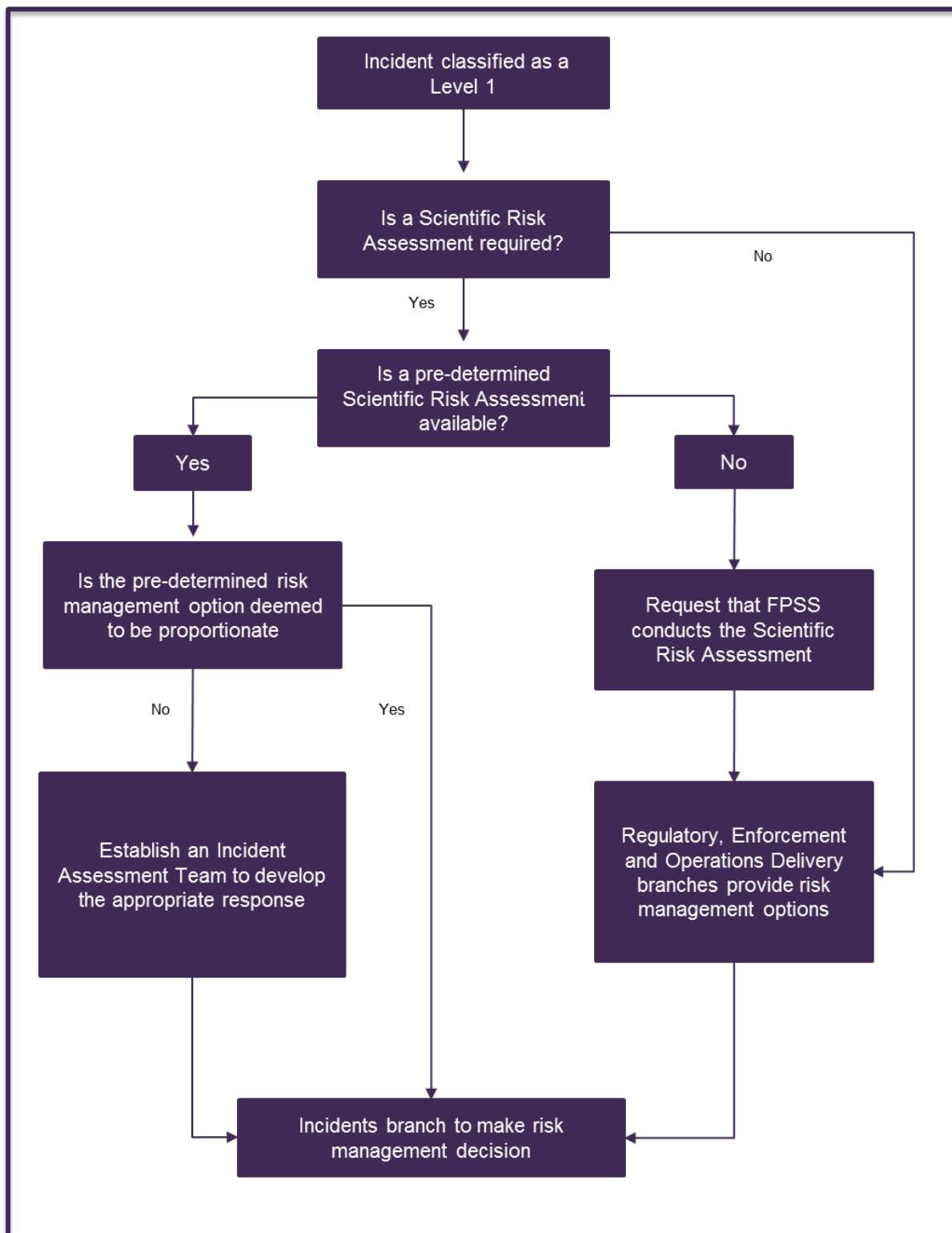


Figure 9: Level 1 incident process flow



If a pre-determined SRA is available:

- The risk management options should be reviewed to ensure they are still proportionate to the level of response required. This will be done by the Incidents Team, Regulatory Policy & Enforcement Delivery branches.
 - If the risk management option available is deemed to be proportionate, the Incidents Team can make the risk management decision.
 - If the risk management decision is deemed to be inappropriate, a Risk Management group should be formed. This should include where relevant representatives from the Enforcement Delivery, Operational Delivery, Regulatory Policy and Incidents branches. These representatives should then propose some proportionate risk management options appropriate for the incident. The Incident Manager is responsible for making the risk management decision.

If a pre-determined SRA is unavailable:

- The Incident Manager should assess whether a new SRA is required.
- If so, the Incidents Team should request that a SRA is completed as soon as possible by the FPSS branch (or Operations Delivery branch if Veterinary advice is required).
- Representatives from the Regulatory Policy, Operational Delivery and/or Enforcement Delivery branches should then provide the appropriate risk management options to the Incidents Team. The Incidents Team should then review the SRA and the risk management options, and is responsible for making the decision on the most appropriate course of action.



4.3.2 Making the risk management decision during a Level 2/3/4 incident

In the event that a Level 2 or above incident is declared, the process flow detailed in Figure 10 below should be followed in order to determine effective and appropriate risk assessment and risk management options.

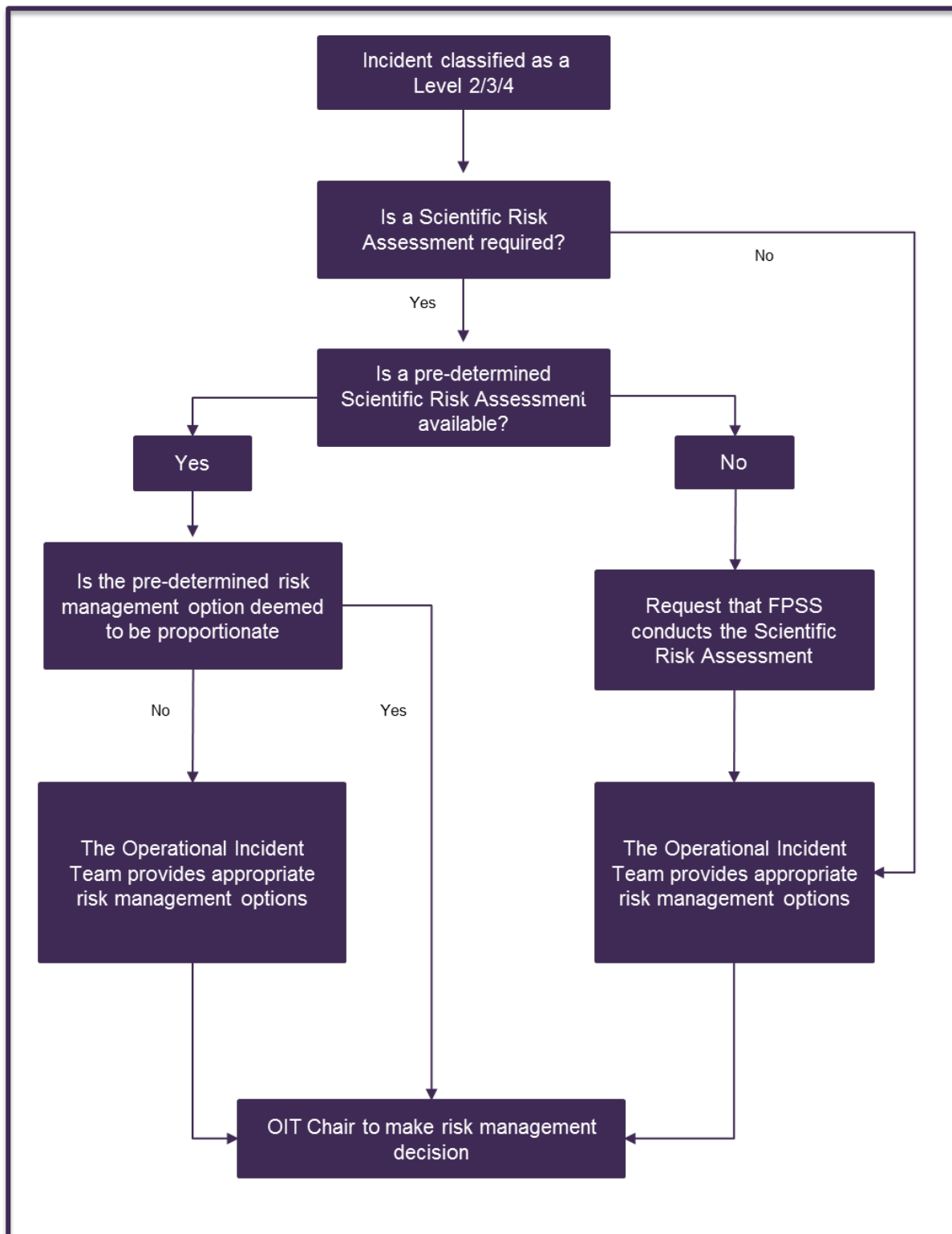


Figure 10: Level 2 or above incident process flow



If a pre-determined SRA is available:

- The risk management options should be reviewed to ensure they are still proportionate to the level of response required. This will be done by the Incidents Team, Regulatory Policy, Enforcement Delivery & Operational Delivery branches.
 - If the risk management option available is deemed to be proportionate, the Incidents Team can make the risk management decision.
 - If the risk management decision is deemed to be inappropriate, a Risk Management group should be formed. This should include representatives from the Enforcement Delivery, Operations Delivery, Regulatory Policy and SFCIU branches. These representatives should then propose some proportionate risk management options appropriate for the incident. The OIT is then responsible for making the risk management decision.

If a pre-determined SRA is unavailable:

- The Incident Manager should use their professional judgement to assess whether a new SRA is required, in liaison with the Science Manager as necessary.
- If so, the Incidents Team should request that a SRA is completed as soon as possible by FPSS (or Operations Delivery if Veterinary advice is required).
- Representatives from the Regulatory Policy and Enforcement Delivery/Operations Delivery branches should then provide some appropriate risk management options to the Incidents Team. The OIT should then review the scientific risk assessment and the risk management options, and is responsible for making the decision on the most appropriate course of action.

4.4 Risk Communication

FSS will communicate with its stakeholders using a number of communication channels, including but not limited to:

- Email and Text Alerts
- Website statements
- Social media platforms
- Ministerial briefings
- Media releases
- Press conferences / media briefings
- Internal communications channels
- Rapid Alert System for Food and Feed (RASFF) Notifications
- Administrative Assistance & Cooperation (AAC) Notifications

The communication process is coordinated by the Communications Branch, although other members of the response may be responsible for carrying out the communication with stakeholders. Further information on this process is included in FSS's Incident Communications Plan.



5 Mode of operation

5.1 Activating teams

Once an incident has been declared, the Incident Manager should notify the Facilitator, and request they activate the appropriate teams. The Facilitator should then notify the primary (or deputy if the primary is unavailable) for all core team members, and any required optional/external attendees. They should also then book relevant rooms and inform all team members of meeting times and establish the 'battle rhythm'.

5.2 Facilities

FSS has identified and equipped rooms in key locations to serve as incident management rooms should the need arise. Unless otherwise stated, the designated Incidents Room for both the OIT and SIT will be located permanently at:

Incidents Room, 3rd Floor, Pilgrim House, Old Ford Rd, Aberdeen AB11 5RL

In conjunction with the other support role functions, it is the responsibility of the Facilitator to ensure the incidents room is set up with the appropriate resource and equipment once a Level 2 or above incident has been declared.

5.3 Setting ground rules

The Facilitator will inform OIT/SIT members who are mobilised of the incident room location, time and frequency of meetings. Meetings should be scheduled with as much notice as possible and prioritised by all FSS employees, taking priority over BAU meetings. The Facilitator should also ensure all team members are aware of the meeting time and location (by SMS/phone calls if no reply is received from the calendar invitation).

The Facilitator should allow 60 minutes for all meetings, and should use discretion to delay/postpone meetings if required (e.g. urgent/critical information is due/key people cannot make the meeting). The first meeting may also take longer to gather all relevant incident information.

The following meeting etiquette principles should be adhered to in all SIT/OIT meetings:

- **Attendance:** All required team members should prioritise OIT/SIT meetings and attend all meetings as required. If you are unable to attend a meeting for any reason, the Chair and Facilitator should be informed, and a deputy nominated to fulfil the role.
- **Timekeeping:** All team members should arrive promptly to OIT/SIT meetings.
- **Respect:** All team members should have the opportunity to speak without being interrupted, and be allowed to fulfil the role they have been assigned.
- **Technology:** No mobile phones or laptops should be in use during meetings unless necessary (e.g. to access CLIO).
- **Cooperation:** All team members should ensure they help and assist the support team in the Information Management process. This means speaking clearly and the OIT Chair pausing the meeting as required to clarify decisions, issues, actions, owners and deadlines.



5.4 Agendas

Agendas should be followed for all OIT and SIT meetings. These can be found in sections 8.1, 8.2, 8.3 and the OIT/SIT IMPs.

5.5 Information management

The Facilitator is responsible for overseeing the information management process during a Level 2 or above incident. The Facilitator, alongside the meeting Chair, should ensure all logs/boards and the Situation Report have been completed fully, signed off and recorded on FSS’s information management tool (CLIO) at the end of every meeting. The table in section 5.9.2 details the individual information management responsibilities of each support team member in more detail.

5.5.1 Information management cycle

The information management cycle below in Figure 11 details the information management process in both the OIT and SIT.

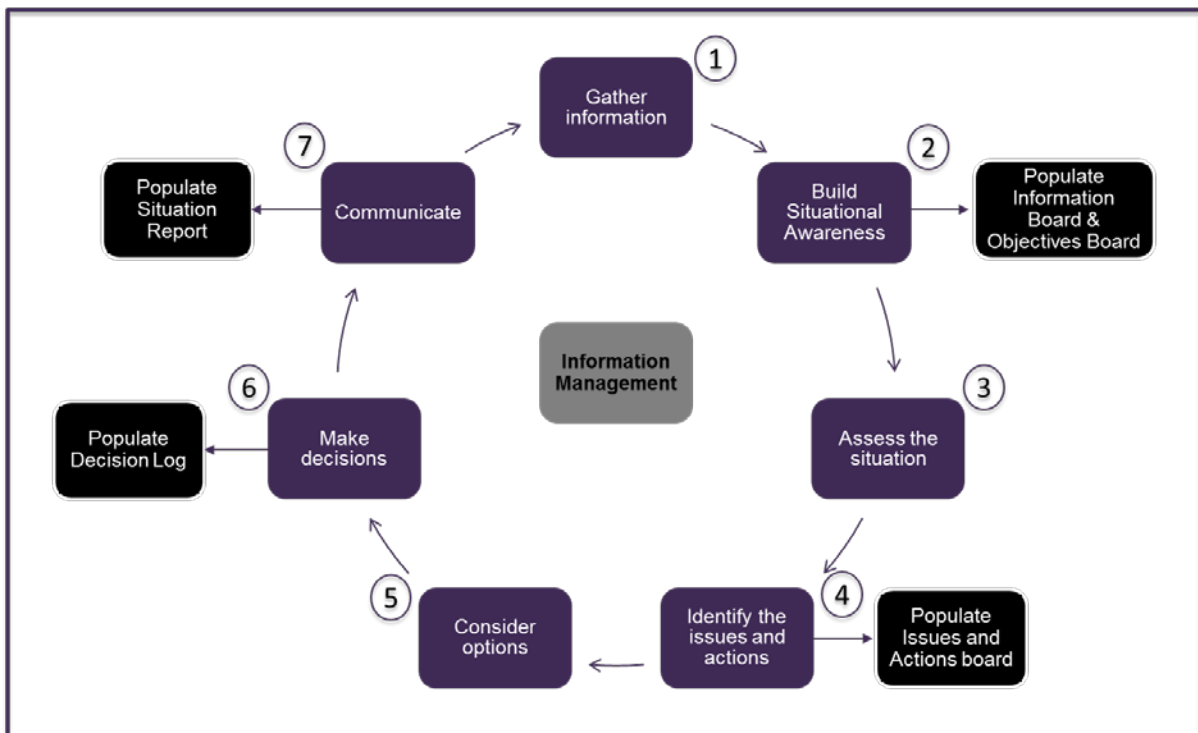


Figure 11: Information management cycle

5.6 Battle rhythm

The OIT and SIT Chairs, in liaison with the Facilitator, must establish a ‘battle rhythm’ that defines **when meetings are to be held**, and when the team will conduct updates, briefings, etc. This may follow one of the following options:

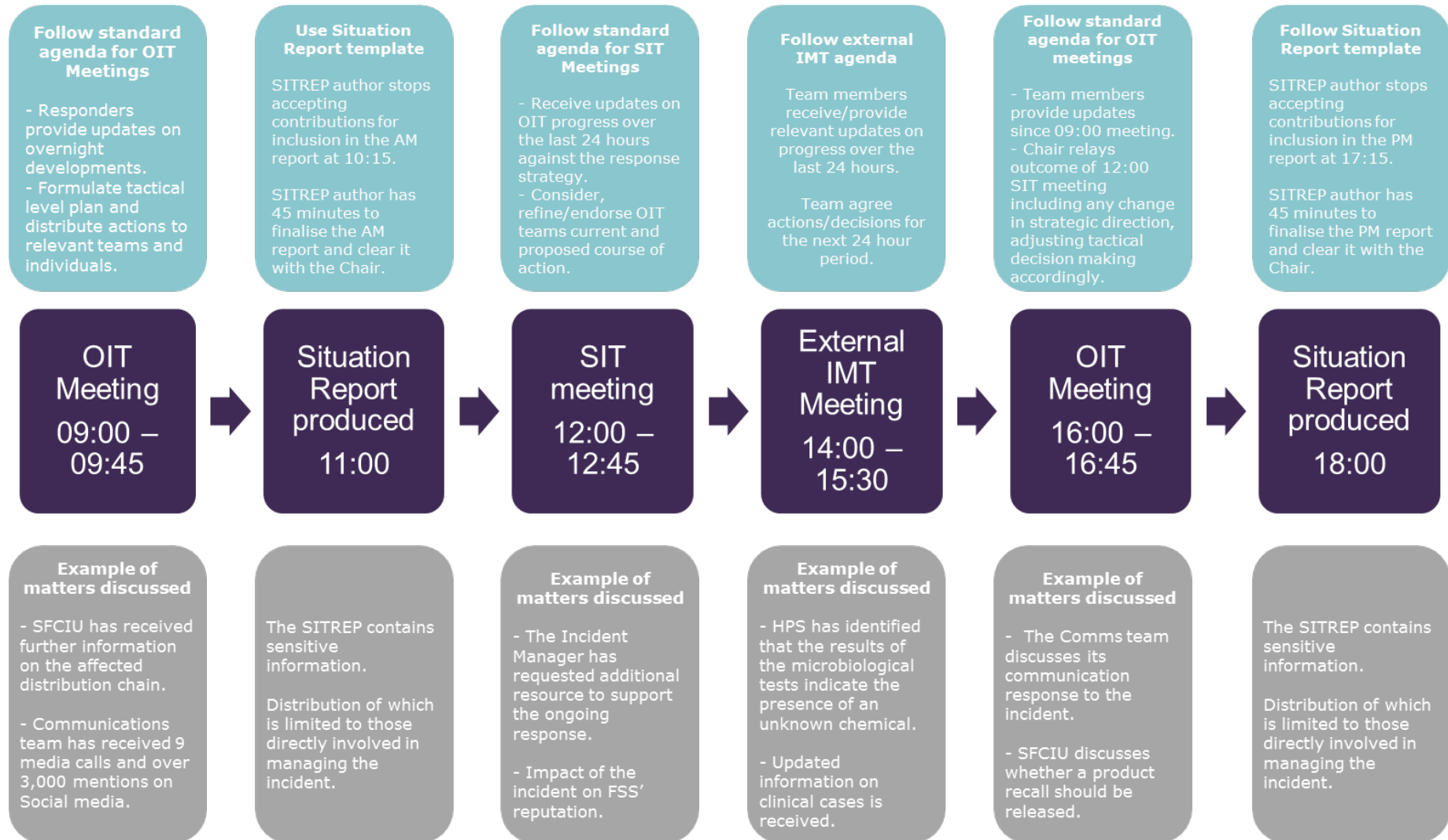
1. Meeting on a pre-defined basis i.e. every 90 minutes, 09:00 daily etc., or
2. At a **different time and pace** depending on the **nature and speed of the incident**

Incident responders must be provided with clarity and direction as to what they are expected to action or achieve in the time between planned meetings.



5.7 Concept of operation

The process below is an example battle rhythm for a Level 3 incident with an externally led IMT active. This is an example of how the processes could work.



5.8 Communication

The Incident Communications Plan (ICP) should be consulted for all internal/external communication processes and materials.

5.9 Ministerial Briefings

The Briefing Manager is responsible for developing ministerial briefings, and coordinating Bird Table meetings as required. Once developed, ministerial briefings should be approved by the SIT Chair. If the SIT has not been activated, the briefing should be approved by the OIT Chair.

5.10 Stakeholder management

The OIT Communications Manager is responsible for the coordination of stakeholder communication and maintaining the stakeholder engagement matrix. This does not mean they are responsible for contacting all stakeholders, but are responsible for the coordination and updating of the documentation. The Communications Manager should attend each OIT meeting with a populated stakeholder matrix, and assign OIT members (and SIT where needed) as owners for each stakeholder. Individuals are then responsible for contacting relevant stakeholders in a timely fashion.

In the event that it is deemed beneficial to brief Stakeholders collectively, a Birdtable meeting may be established by the Briefing Manager in liaison with the OIT Communications Manager, as appropriate.

5.11 Clearance process

The OIT/SIT Chair has ultimate sign off and decision making capability within each team during incident management for Level 2 and 3 incidents.

During Level 4 incidents, where SGoRR is established, it is likely that external communication and stakeholder messaging would be discussed with SG and cleared in conjunction with the SIT chair and SGoRR.

5.12 Resource

Additional resource during an incident can be obtained from FSA to support all incident response roles. If required and not available within FSS, specialist scientific advice may be sought from FSA, SEPA or APHA, depending on the incident type.

5.13 Lead Agency

Depending on the nature of the incident, FSS may or may not be the ‘Lead Agency’. This depends on a number of factors, some of which are outlined in the table below.

- In situations when **FSS is the lead agency**, the battle rhythm can be set by the Facilitator early in the response (day 2 onwards).
- When **FSS is not the lead agency**, the Facilitator must take external IMT/FSA/SGoRR meetings (as applicable) into account when setting the internal battle rhythm. A suggested battle rhythm during a Level 3 incident with an external IMT formed is detailed in section 5.7 above.

The below table outlines the designated lead agencies in a variety of potential incident scenarios.

Situation	Lead Agency	FSS’s role
An outbreak of foodborne illness, which leads to the activation of the Incident Management Team (IMT)	HPS leads the response A Consultant in Public Health Medicine (CPHM) is appointed to lead the IMT	Coordinates the Scottish food incident response Attend IMT meetings as required
UK wide incident with distribution in Scotland	FSA leads the response	FSS representatives join FSA incident meetings, as required
An incident which originates in Scotland with no distribution outside Scotland	FSS leads the response	Adhere to FSS’s incident management procedures
An incident which originates in Scotland with distribution outside Scotland	FSS and FSA to jointly decide which agency leads the response	Adhere to FSS’s incident management procedures / FSS representatives join FSA incident meetings, as required (whichever is applicable)
A level 4 incident that requires the activation of the Scottish Government Resilience Room (SGoRR)	SGoRR leads the response	Adhere to FSS’s incident management procedures and to provide food safety advice to SGoRR

5.13.1 Scottish Government central response

When the scale or complexity of an incident is such that some degree of central government co-ordination or support becomes necessary, Scottish Government will activate its emergency response arrangements through the SG Resilience Room (SGoRR) in line with Preparing Scotland Guidance¹⁰. Ministers would expect senior FSS representation at this meeting with the relevant authority and accountability. This is likely to be FSS Chief Executive or nominated deputy. They will be expected to provide detailed information about the ongoing incident and are encouraged to invite a colleague who will have a full understanding of the tactical & operational issues.

¹⁰ <https://www.readyscotland.org/ready-government/preparing-scotland/>



5.13.2 Cross border incidents

Cross border incidents require constant communication and coordination between FSS and FSA. Liaison between the teams should be made immediately, and at the appropriate levels. The precautionary principle should be applied here, in order to ensure sufficient resource and expertise early on in an incident.

5.13.3 Out of hours response

A member of the SMT, SFCIU and Communications Team are all on call 24/7 as standard. For the remaining branches (FPSS, Enforcement Delivery, Operations Delivery and Regulatory Policy) there is no formal permanent on call provision. In the event of a long running Level 2 or above incident, an on-call rota will be introduced for both the OIT and SIT core team members. This is a decision made by the OIT Chair for operational staff in the event of a Level 2, and the SIT Chair for Senior Management staff in the event of a Level 3/4 incident.

5.13.4 Shift handover

The template in section 9.9 can be used to provide timely, consistent and comprehensive updates to all team members, particularly during handover for a change of shift. It can either be completed in detail or the template can be used as an agenda/prompt for a verbal handover if needed.

The shift handover should be staggered in order to ensure all team members are not lost at the same time. It is also advisable to have the person coming on shift shadow the outgoing team member for an hour in order to familiarise themselves with the incident updates and latest information.



6. Stand down

6.1 De-escalation

The classification of an incident should be re-assessed throughout the response. In the event that the classification of an incident changes or the requirements for managing the incident reduce, a de-escalation plan should be considered by the teams. The decision to de-escalate will be taken by the most senior team that was set up to lead the response i.e. If a SIT was established, then the SIT will decide whether it is appropriate to de-escalate.

The chair of the most senior team leading the response will review any outstanding actions to ensure it is appropriate to de-escalate and/or close the incident.

If a decision is made that a FSS response is no longer appropriate, the stand down process will be initiated. All response level changes will be communicated formally both internally and externally to those involved in the response.

6.2 Post Incident Reviews

Post-incident reviews take place for 10% of Level 1 incidents and will take place for all Level 2 and above incidents. Members of the associated IAT, OIT and SIT will be responsible for participating in and contributing to these reviews. Additional participants (ie. stakeholders, FSA etc.) may also be invited to contribute as appropriate.

6.2.1 Debrief

The first stage in a post-incident review is a hot debrief. This will take place as soon as possible after the incident is closed. The questions below can guide a team discussion and they can also be used in conjunction with, or as an alternative to, completing individual forms.

- What did not work well, causing problems, surprises and disappointment?
- How effective was communication within and between teams handling the incident?
- In what ways, if at all, could the incident have been avoided or reduced in magnitude from a reputation management perspective?
- What worked well during the incident response?
- Which actions/resources made a difference in our response? Which actions/resources might have made a difference if they had been available?
- How did you feel during the response e.g. in relation to the shift length, strain on resources, allocation of business as usual responsibilities etc.?
- How well did our Incident Management Plans work? Does anything need to change to make the process/tools more effective?
- To what extent was our communication and stakeholder engagement strategy/ approach successful in managing this incident? How could it have been improved?
- What is our assessment of the news media coverage and its impact on the organisation: Employees? General Public? Local Authorities? Government? Reputation?



- In what ways, if at all, could we have managed media coverage more effectively?
- What would we do differently if we had to do it all over again?

6.3 Lessons learned

Upon return to business as usual, each significant incident should be used as an opportunity to assess, learn, rebuild and adapt where necessary. In order to do this, a post-incident review should be carried out to identify what worked well and where improvements are required. This should be led by the Food Emergency Planning or SFCIU Manager, as appropriate and sponsored by the Chief Operating Officer.

Below are some of the best practice mechanisms which can be used to facilitate the process:

- **Resilience review:** looking at both the ‘hard’ and ‘soft’ aspects of the response (the systems and processes, as well as skills and behaviours), assessing whether response systems and processes worked and whether any adjustments need to be made, as well as examining how people responded to the incident and whether any follow-up training is required.
- **Stakeholder analysis:** to assess the short and long-term impact of the incident on public health, and reputational considerations relating to the Food Business Organisations (FBO) affected, wider industry, the Scottish economy and FSS’s reputation.
- **Coverage analysis:** to determine how the incident was presented in the media (print, online and social media), whether decisions taken by the OIT/SIT influenced coverage and what messages did and did not resonate with key external stakeholders.

This activity will assist FSS’s ability to secure long-term recovery from the incident and further enhance its incident preparedness capability.



7. Preparedness

7.1 Training

Training Needs Analysis (TNA) will identify the requirements for training, from initial induction training through to regular training activity for all FSS staff. This will allow FSS to identify and train all staff who have a role to play in responding to an incident. Those nominated as primaries or deputies in the OIT/SIT are required to undergo mandatory incident management training before fulfilling a role on either team.

Those required to be part of the OIT or SIT should have this reflected in their business roles & responsibilities and objectives. All individuals nominated to fulfil a role on the OIT or SIT must participate in mandatory incident management training before they fulfil any role on the team. They are also required to take part in the exercise programme on a basis defined by the TNA.

This training requirement applies to all relevant existing FSS staff, staff promoted into new roles, and all staff recruited in the future.

Training will be the responsibility of the Food Emergency Planning Manager and monitored by the Chief Operating Officer.

7.2 Exercising

An annual programme of selective training exercises will be established and delivered to ensure FSS is prepared to deal with incidents. These exercises will build on the initial familiarisation training and provide progressive exercises, from desktop discussions to full scale simulations. These sessions will be followed by a detailed exercise report, and recommendations for further improvement.

7.3 Review

The Incident Management Framework and other documentation will be reviewed as follows:

- An administrative review of key contacts and phone numbers every three months by the Food Emergency Planning Manager.
- A management review of the policies and procedures on an annual basis by the Chief Operating Officer.
- Following its invocation and in the event that any areas for development have been identified.
- Following an exercise in the event that any areas for development have been identified.
- In the event that significant re-structuring take places within the organisation.
- A record of the reviews will be held in the Document Review section of the Incident Management Framework on Page 2.



8. Tools and templates

8.1 IAT Meeting Agenda

The IAT Meeting Agenda should be used by the Incident Manager (as the meeting chair) during every IAT meeting.

The agenda will support the team to build situational awareness, obtain initial thoughts on incident classification and receive key updates from IAT team members. This will enable team members to agree the final incident classification and decide the appropriate course of action (i.e. whether an OIT or SIT should be activated).

At the end of every meeting, a list of actions and assigned owners/deadlines should be completed and captured in the Issues & Actions Log (**see section 8.6 & 8.7**). A SitRep should also be completed by the Information Manager at the end of each IAT meeting (**see section 8.8**).

Item	Description	
1. Open Meeting	Roll call – is everyone present that is required? Confirm team roles – new members to introduce themselves	
2. Situation	Gain update from the Incident Manager on the situation What? Where? When? Who? How? Why? Current status of the Scientific Risk Assessment	
3. Updates from IAT members	Receive updates from each role:	
	1. Science Representative	2. Communications Representative
	3. Regulatory Representative	4. Enforcement Representative
4. Incident Classification	Based on the information known, what should the incident classification be at this stage? Review the Incident Classification Matrix.	
5. Issues	Identify the salient issues in relation to the incident	
6. Actions	Assign owners and deadlines	
7. Decisions	Should the OIT/SIT be notified and mobilised?	
	Has any risk communication been issued?	
8. Close Meeting	Confirm date and time of next meeting (if applicable)	



8.2 OIT Meeting Agenda

The OIT Meeting Agenda should be used by the OIT Chair during every OIT meeting.

The agenda will support the team to build situational awareness, obtain initial thoughts on incident classification and receive key updates from branch representatives/external agencies as required. The agenda also prompts the OIT to consider the appropriate course of action (i.e. whether the current incident classification is appropriate, or whether further escalation/de-escalation is required).

At the end of every meeting, a list of outstanding issues, actions and assigned owners/deadlines should be completed and captured in the Issues & Actions Log. Decisions with the associated rationale should also be captured in the Decision Log (see sections 8.6 & 8.7). A SitRep should also be produced (or updated) by the Information Manager at the end of each OIT meeting (see section 8.8).

Item	Description	
1. Open Meeting	Roll call – is everyone present that is required? Confirm team roles – new members to introduce themselves	
2. Situation Update	Gain update from the Incident Manager on the situation What? Where? When? Who? How? Why? Review the current Incident Classification level Review of Risk Management decisions made to date	
3. Actions Review	If necessary, run through the Action List from the previous OIT meeting	
4. Objectives	Reconfirm our objectives? Confirm the role of the team. Why are we here?	
5. Role Updates	Receive updates from each role:	
	1. Science Manager	2. Regulatory Manager
	3. Communications Manager (including stakeholder matrix)	4. Enforcement Manager
	5. Briefing Manager	6. Additional Roles
6. Risk Communications	Review the Communications Strategy and key messages.	
7. Issues	Identify the salient issues in the incident (consider the Wider Risk Assessment)	
8. Actions	Identify the associated actions against each issue. Ensure each action has an owner and a deadline	
9. Decisions	Identify any decisions made based on the information currently known. Consult the Risk Management Decision Making Model	
10. Incident Classification	Review the incident classification based on the known information – is it still the same? Or, is escalation/de-escalation required?	
11. Resources	Additional resource required?	
12. Close Meeting	Confirm date and time of next meeting	



8.3 SIT Meeting Agenda

The SIT Meeting Agenda should be used by the SIT Chair during every SIT meeting.

The agenda will support the team to build situational awareness, obtain initial thoughts on incident classification and receive key updates from branch representatives/external agencies as required. The agenda also prompts the SIT to consider the appropriate course of action (i.e. whether the current incident classification is appropriate, or whether further escalation to SGoRR/de-escalation is required).

At the end of every meeting, a list of outstanding issues, actions and assigned owners/deadlines should be completed and captured in the Issues & Actions Log. Decisions with the associated rationale should also be captured in the Decision Log (see sections 8.6 & 8.7). A SitRep should also be produced (or updated) by the Information Manager at the end of each SIT meeting (see section 8.8).

Item	Description	
1. Open Meeting	Roll call – is everyone present that is required? Confirm team roles – new members to introduce themselves	
2. Situation Update	What are the facts and impacts of the incident?	
3. Actions Review	If necessary, run through the actions list from the previous meeting.	
4. Objectives	What is our strategic intent?	
5. Role Updates	Receive updates from each role:	
	1. Incident Director	5. Enforcement Director
	2. Communications Director	6. Legal
	3. Science Director	7. Additional Roles
	4. Regulatory Director	
6. Risk Communications	Review the Communications Strategy and Key messages	
7. Issues	Identify the salient issues in the incident	
8. Strategy & priorities	Consider the worst-case scenario. Consider future implications. What's our main effort right now?	
9. Stakeholders	Review the stakeholder matrix - who needs to know what and when? <ul style="list-style-type: none"> • Does the SIT need to engage with any stakeholders? • Does the Board need to be briefed? 	
10. Actions	Identify the actions. Ensure each action has an owner and a deadline	
11. Decisions	Identify any decisions made based on the information known	
12. Incident Classification	Review the incident classification based on the known information – is it still the same? Or, is escalation/de-escalation required?	
13. Resource management	What resources and coordination are needed?	
14. Close Meeting	Confirm date and time of next meeting	



8.4 Information Board

The Information Board should be displayed in the Incident room. It should be updated by the Information Manager to display key incident information in the OIT and SIT meeting room.

This should be referred to during the course of the meeting by the chair, to ensure the team objectives are driving the response to the incident.

Information Board					
Facilitator:				Date/Time:	
Situation What do we know?		Batch Information (Source, Batch number, Use by date)			
What do we think we know ?		Risk Communication What has been issued?			
		Type	Y/N	Date and time	Other
		PRIN			
		PWIN			
		FAFA			
		RASFF			
Allergy Alert					
		Missing Information What do we need to know?			



8.5 Objectives Board

The Objectives Board should be populated and managed by the Facilitator (and Admin Support as required). This should be visible in the OIT/SIT room, and updated in line with FSS’s operational and strategic incident objectives.

Objectives Board	
Team:	Incident No:
<p>What are our objectives in this response?</p> <p>What are we trying to achieve?</p>	1.
	2.
	3.
	4.
	5.



8.6 Decision Log

The Decision Log should be populated and managed by the Information Manager (and Admin Support as required), and uploaded onto CLIO after every meeting.

The Decision Log should have the decision made by the OIT/SIT, as well as the rationale/justification for the decision based on the information known at that time. New Information should also be captured in the log, which provides a record of the known information at the point at which a decision was made.

The Decision Log should be signed by the Chair (with the name printed) and then uploaded into CLIO following every meeting. This serves as an audit log of decisions made during an incident.

Decision Log			
Information Manager:		Incident No:	
Date:	Time:	Meeting type & No:	
#	D/NI	Decision/New Information	Rationale/Comments
1			
2			
3			
4			
5			
6			
7			
8			
9			
Meeting Chair:		Date:	
Signed:		Time:	



8.7 Issues & Actions Log

The Issues & Actions Log should be populated and managed by the Information Manager (and Admin Support as required) during each SIT and OIT meeting. Each action should have an allocated owner and deadline for completion.

Many teams (and meeting Chairs) find it useful to have the Issues & Actions Log displayed in the response room to keep track of the actions during the meeting and then recap at the end of the meeting.

The Information Manager should upload the actions to CLIO following each meeting.

Issues and Actions Log				
Information Manager:				
Date:		Time:		Meeting type & No:
Incident No:		Incident Summary:		
Issue	Action(s)	By When	By Whom	✓ / X
(1)	(1.1)			
	(1.2)			
(2)	(2.1)			
	(2.2)			
(3)	(3.1)			
	(3.2)			
	(3.3)			
Meeting Chair:		Signed:		Time & Date:



8.8 Situation Report

The Situation Report (SitRep) is designed to provide an overview of the current situation. This includes a snapshot of the incident; key issues and risks the team faces; current actions and response activities, and; the time of the next meeting and report. The SitRep should be populated and updated by the Information Manager (and Admin support as required).

During an Incident the OIT and/or SIT Chairs should agree when the SitRep should be updated and distributed i.e. after each incident meeting, at set times throughout the day (10am and 3pm) or when significant new information is received for example. Once completed, the Admin Support should upload the SitRep to CLIO and circulate to the agreed distribution list.

Situation Report (SITREP)	
Information Manager:	
Date:	Time:
Incident Number:	SITREP Number:
Current Situation:	
New Information:	
Issues:	
Actions & Response:	
Guidance the OIT requires from the SIT, if applicable.	
Time of Next Report:	
Meeting Chair:	Date:
Signed	Time:



8.9 Stakeholder Management Matrix

The Stakeholder Management Matrix provides an overview of the internal and external stakeholders involved in the incident. The Communications Manager is responsible for populating and maintaining the matrix. It should be stored and circulated electronically using CLIO.

It is not the Communications Manager’s responsibility to make contact with all stakeholders. This task will be delegated to the most appropriate person within FSS. The Communications Team is responsible for communicating with the media and stakeholders’ communication teams.

The Communications Manager will bring the most up-to-date matrix to OIT meetings to update the team on the current stakeholder engagement status.

Stakeholder Management Matrix				
Communications Manager:			Last Updated:	
Stakeholder	Owner	Priority	Method of engagement	Status



8.10 Shift Handover Log

OIT and SIT team members should use the Shift Handover Log to support them as they handover to a team member. The template is designed to provide structure to the handover process and prompt the team members to give a full briefing when they handover.

Shift Handover Log			
Role:			
Time and Date of Handover:			
Outgoing:		Signed:	
Incoming:		Signed:	
Overview:			
Actions Completed:			
Actions Outstanding:			
Potential Challenges/Issues:			
Additional Information:			



Annex A – Role Profiles

The following role profiles provide an overview of the required experience, skills and level of seniority required for each incident management position as part of FSS's Incident Management Framework.

Role	Profile
OIT Chair	<ul style="list-style-type: none"> • Senior figure within the business or Incidents Team • Good leadership skills with the ability to effectively and efficiently run team meetings • Calm under pressure • Well established relationships with the Incidents Team and Incident Support Team
Incident Manager	<ul style="list-style-type: none"> • Good level of knowledge and experience of food and feed incidents • Is able to provide a succinct brief on the incident situation • Holds good relationships with operational stakeholders • Remains calm under pressure
Communications Manager	<ul style="list-style-type: none"> • Member of the Communications branch • Considers incidents and crises through the lens of the public • Is able to provide the OIT with a succinct brief on any communication or reputation issues • Has good communication skills and is able to effectively act as the link between the OIT and the supporting branch team • Experience of risk mapping and scenario planning • Extensive knowledge of FSS's stakeholder external landscape • Able to assess the potential reputational impact for FSS
Science Manager	<ul style="list-style-type: none"> • Member of the Food Protection Science & Surveillance branch • Has extensive scientific knowledge and experience in relation to food and feed incidents • Is able to provide the OIT with a succinct brief on any scientific issues • Has good communication skills and is able to effectively act as the link between the OIT and the supporting branch team
Enforcement Manager – <i>Enforcement Delivery</i>	<ul style="list-style-type: none"> • Member of the Enforcement branch • Has extensive enforcement knowledge and experience in relation to food and feed incidents

Role	Profile
Enforcement Manager – Operations Delivery	<ul style="list-style-type: none"> • Is able to provide the OIT with a succinct brief on any enforcement issues • Has good communication skills and is able to effectively act as the link between the OIT and the supporting branch team
Regulatory Manager	<ul style="list-style-type: none"> • Member of the Regulatory branch • Has extensive regulatory knowledge and experience in relation to food and feed incidents • Is able to provide the OIT with a succinct brief on any regulatory issues • Has good communication skills and is able to effectively act as the link between the OIT and the supporting branch team
Briefing Manager	<ul style="list-style-type: none"> • Member of the Private Office • Has extensive experience writing ministerial briefings • Excellent writing and communication skills
SIT Chair	<ul style="list-style-type: none"> • Must be a member of the Executive • Extensive leadership experience with the ability to lead the SIT through the process of making decisions efficiently • Remains calm under pressure • Has the ability to adapt their leadership style to bring the best out of the team during challenging periods • Authority to approve strategy, actions and messaging • Relationship with priority external stakeholders • Good level of understanding of food and feed incidents • Good level of understanding of business functions and their responsibilities



Role	Profile
Incident Director	<ul style="list-style-type: none"> • Senior figure within the business or SFCIU • Good leadership skills with the ability to effectively and efficiently run team meetings • Has good communication skills and is able to provide the SIT with a succinct brief on the situation • Has good organisational skills and is able to effectively act as the link between the SIT and OIT • Well established relationships with the Incidents Team and Incident Support Team • Remains calm under pressure
Communications Director	<ul style="list-style-type: none"> • Senior representative of their branch • Thinks strategically and is alive to the potential impact of an incident on industry and the wider economy • Considers issues and crises through the lens of the public and what is in the best interests of consumers • Able to advise on the strategic direction of communications during an incident and how the media narrative may impact on FSS's reputation • Extensive knowledge of FSS's stakeholder external landscape • Strong relationships with operational personnel within their branch
Enforcement Director – <i>Enforcement Delivery</i>	<ul style="list-style-type: none"> • Senior representative of their branch • Subject matter expert
Enforcement Director – <i>Operations Delivery</i>	<ul style="list-style-type: none"> • Strong relationships with operational personnel within their branch • Ability to apply strategic perspective to the incident
Science Director	<ul style="list-style-type: none"> • Senior representative of their branch • Subject matter expert • Strong relationships with operational personnel within their branch • Ability to apply strategic perspective to the incident



Role	Profile
Regulatory Director	<ul style="list-style-type: none"> • Senior representative of their branch • Subject matter expert • Strong relationships with operational personnel within their branch • Ability to apply strategic perspective to the incident
Operations Director	<ul style="list-style-type: none"> • Role fulfilled by the Chief Operating Officer (and only required if the Chief Operating Officer is not the SIT Chair or Incident Director).
SFCIU Director	<ul style="list-style-type: none"> • Role fulfilled by the Head of SFCIU (and only required if the Head of SFCIU is not the Incident Director).
Legal	<ul style="list-style-type: none"> • Senior member of the Legal department • Considers issues and crises from a legal perspective • Understanding of business objectives, and how these can be achieved within the constraints of legal considerations • Good writing skills • Confident – able to deal with objections to advice, and advise against suggested actions that may pose a legal risk • Well organised, with a high attention to detail
Facilitator	<ul style="list-style-type: none"> • Visible and well respected figure within the organisation • Excellent organisational skills with a high attention to detail • Relationship with, and understanding of, key internal branches • Good time management • Able to summarise information efficiently • Confident and competent in handling several tasks simultaneously • Is comfortable engaging with the senior level of the organisation • Has an excellent understanding of FSS's incident management processes



Role	Profile
Information Manager / Admin Support	<ul style="list-style-type: none">• Good communication and writing skills• Able to summarise information efficiently• Well organised with a high attention to detail• Good level of IT proficiency and adept at using CLIO• Good time management• Confident and competent in handling several tasks simultaneously• Uses initiative – able to assess and address administrative requirements without direction



Annex B – Role of the Board

Responsibilities	
<p>Role of the Board - Incident Management</p>	<ul style="list-style-type: none"> • Risk: Review and agree FSS’ incident risk appetite annually for the Executive and how this may be impacted during an incident • Governance: Review and approve FSS’ incident management framework to determine the appropriate response structure and be assured that procedures are in place to deliver consumer protection • Assurance: gain assurance that FSS can effectively manage incidents through receiving updates on: <ul style="list-style-type: none"> - training and exercising takes place as appropriate to build incident management capability within the organisation - continuous improvement is in place and lessons are learnt from recent incidents and reflected in future updates of the Incident Management Framework and plans. • Board preparedness: participate in incident management exercises <p>The Board shall support the Executive and receive assurance during incidents in the following ways:</p> <ul style="list-style-type: none"> • Stakeholders: where appropriate, support with stakeholder engagement, for instance with Ministers, Members of Scottish Parliament or industry • Reputation: support the Executive to protect public health during an incident, whilst ensuring FSS’s reputation as a trusted organisation remains intact. • Assurance: Through the Chair, or deputy, receive assurance that the incident is being prosecuted in accordance with the Incident Management Framework.
<p>Role of the Chair <i>The Chair acts as the key liaison between the Executive and the remainder of the Board during incident management.</i></p>	<p>The responsibilities of the Chair, or their deputy, are as follows:</p> <ul style="list-style-type: none"> • Act as the link between the Executive and the Board • In discussion with the Chief Executive, determine if and when the Board should be briefed on issues and incidents that constitute a level 3 and above or may escalate to cause significant concern • Support the Executive in strategic stakeholder management (i.e. Members of Scottish Parliament) on incident and crises, as required • Act as FSS’ media spokesperson during certain incidents, as required. • Act as a sounding board for the Chief Executive, as required.





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