
Societal security — Guidelines for establishing partnering arrangements

*Sécurité sociétale — Lignes directrices pour l'établissement d'accords
de partenariat*





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Foreword

ISO (the International Organization for Standardization) is a worldwide federation of national standards bodies (ISO member bodies). The work of preparing International Standards is normally carried out through ISO technical committees. Each member body interested in a subject for which a technical committee has been established has the right to be represented on that committee. International organizations, governmental and non-governmental, in liaison with ISO, also take part in the work. ISO collaborates closely with the International Electrotechnical Commission (IEC) on all matters of electrotechnical standardization.

The procedures used to develop this document and those intended for its further maintenance are described in the ISO/IEC Directives, Part 1. In particular the different approval criteria needed for the different types of ISO documents should be noted. This document was drafted in accordance with the editorial rules of the ISO/IEC Directives, Part 2 (see www.iso.org/directives).

Attention is drawn to the possibility that some of the elements of this document may be the subject of patent rights. ISO shall not be held responsible for identifying any or all such patent rights. Details of any patent rights identified during the development of the document will be in the Introduction and/or on the ISO list of patent declarations received (see www.iso.org/patents).

Any trade name used in this document is information given for the convenience of users and does not constitute an endorsement.

For an explanation on the meaning of ISO specific terms and expressions related to conformity assessment, as well as information about ISO's adherence to the WTO principles in the Technical Barriers to Trade (TBT) see the following URL: Foreword - Supplementary information

The committee responsible for this document is ISO/TC 223, *Societal security*.

Introduction

The world has evolved into a global community of interdependent societies. Changes in technical and economic relationships have resulted in cross-jurisdictional and trans-boundary interdependencies for vital societal functions and assets. The security and well-being of people increasingly depend on the continuity of vital functions of organizations, local communities, nations and the global community. The impact of incidents has increased the need for enhanced preparedness, response and recovery programmes.

There are many different roles and responsibilities within and between public, private and not-for-profit organizations. Some roles and responsibilities are primarily the responsibility of individual organizations while others can be adequately addressed only by the multiple organizations in order to manage risks. In a complex and changing world, organizations need to consider partnering. Partnering is the association with others in an activity or area of common interest in order to achieve individual and collective objectives.

This International Standard provides principles and a process to develop the relationship among organizations in a partnering arrangement. [Figure 1](#) illustrates the process for planning, developing, implementing and reviewing partnering arrangements.

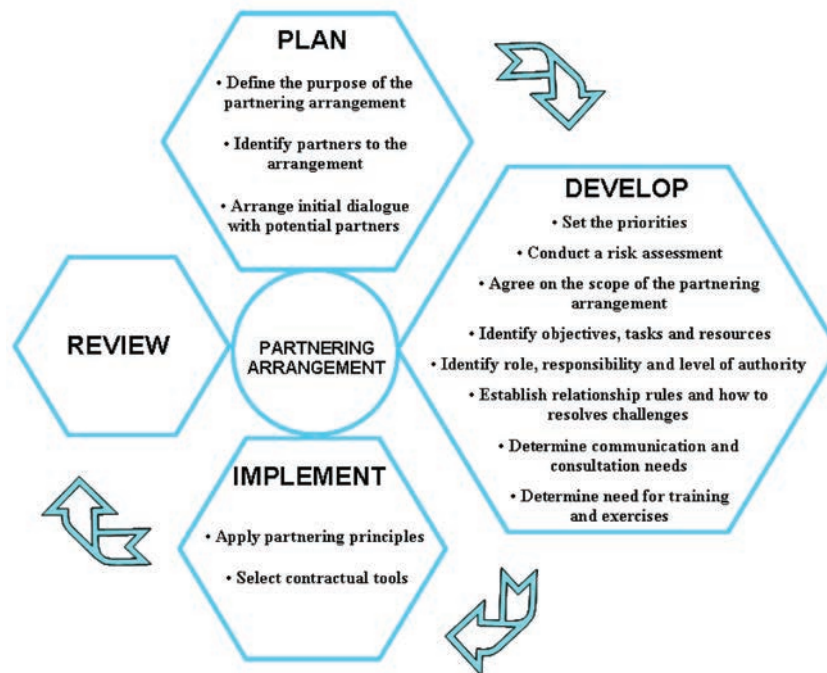


Figure 1 — Process for planning, developing, implementing and reviewing partnering arrangements

A partnering arrangement can be between two or more organizations. It can improve the capacity of organizations to enhance prevention, preparedness, response, and recovery programmes. This for a wide range of event(s) which may include natural, human induced disasters with potential impact on an organization, community or society and the environment on which it depends. There are a variety of possible partnering arrangements, both formal and informal. For example, contracts, memoranda of understanding (MoUs), mutual aid agreements, partnerships, cooperation agreements, coordination agreements, operational agreements, supply agreement, etc.

This International Standard is not intended to replace local, national or international regulations. Organizations are advised to seek legal counsel before entering into partnering arrangements.

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Societal security — Guidelines for establishing partnering arrangements

1 Scope

This International Standard provides guidelines for establishing partnering arrangements among organizations to manage multiple relationships for events impacting on societal security. It incorporates principles and describes the process for planning, developing, implementing and reviewing partnering arrangements.

This International Standard is applicable to all organizations regardless of type, size and nature of activity whether in or between the private, public, or not-for-profit sectors.

2 Normative references

The following documents, in whole or in part, are normatively referenced in this document and are indispensable for its application. For dated references, only the edition cited applies. For undated references, the latest edition of the referenced document (including any amendments) applies.

ISO 22300, *Societal security — Terminology*

ISO 31000:2009, *Risk management — Principles and guidelines*

3 Terms and definitions

For the purposes of this document, the terms and definitions given in ISO 22300 and the following apply.

3.1

interoperability

ability of diverse systems and organizations to work together i.e. to inter-operate

3.2

partnering

association with others in an activity or area of common interest in order to achieve individual and collective objectives

4 Plan the partnering arrangement

4.1 Define the purpose of the partnering arrangement

The organization(s) initiating the partnering arrangement should:

- clearly identify the need for a partnering arrangement, and
- consider existing policies, roles, responsibilities and interests and the benefits to itself and other potential partners.

4.2 Identify partners to the arrangement

The organization(s) initiating the partnering arrangement should identify other organizations with the appropriate attributes as potential partners.

These are organizations which could become partners to the arrangement as they could:

- be directly or indirectly effected or impacted by an event;
- support or contribute to the work of preventing, preparing, responding and/or recovering from an event;
- be required to comply with legislation and regulation.

Because the impact of an event may be uncertain, the initiating organization(s) should continually monitor and evaluate potential partners.

4.3 Arrange initial dialogue with potential partners

The initiating organization(s) should contact potential partners that may be interested in partnering.

Before entering into a partnering arrangement, the initiating organization(s) should request each potential partner to consider:

- the purpose of the partnering arrangement;
- the specific objectives to be achieved by each organization;
- the advantage of implementing the partnering arrangement;
- their capability and competence with respect to the partnering arrangement;
- any internal constraints that may interfere with effective implementation.

5 Develop the partnering arrangement

5.1 Set the priorities

When developing the partnering arrangement, different events may be identified. This enables types of events to be determined and priorities to be set. The partners to the arrangement should establish a process to identify the issues related to each type of events, thereby decide on the most appropriate arrangement.

The partners to the arrangement should ensure that applicable legal, regulatory, and other requirements to which the organization subscribes are considered in developing the partnering arrangement.

5.2 Conduct a risk assessment

The partners to the arrangement should undertake a risk assessment in accordance with ISO 31000:2009, 5.4. The results of the risk assessment are intended to provide information such as:

- vulnerability of critical assets;
- high priority risk sources;
- risk treatments;
- risk profile;
- organizational capability (prevention, preparedness, response and recovery).

When undertaking risk assessment, the following should be considered:

- respect confidentiality, policies and expectations of the partnering arrangement when sharing information;

- identify risk sources whether or not they are under the control of the partners to the arrangement and even when the cause of the risk is not evident;
- consider that risk sources can have multiple consequences or affect several assets at the same time.

5.3 Agree on the scope of the partnering arrangement

The scope of the partnering arrangement describes the range of activities which the partners to the arrangement are to perform to manage each type of event. The partners to the arrangement should agree on a scope that:

- is consistent with the purpose of the partnering arrangement,
- takes into account the results of risk assessment, and
- describes mutual benefits and interests of the partners and the community.

5.4 Identify objectives, tasks and resources

5.4.1 General

The partners to the arrangement should identify and determine the objectives, tasks and resources required to manage each type of event in accordance with the mission, competence and capabilities of the partners to the arrangement.

5.4.2 Objectives

The partners to the arrangement should consider their objectives e.g. in terms of:

- a) saving lives and protecting properties;
- b) protection of assets;
- c) continuity of operations and minimizing all-hazards;
- d) protection of the environment;
- e) protection of image and reputation.

5.4.3 Tasks

The partners to the arrangement should identify and classify their tasks required to manage each type of event.

5.4.4 Resources

The partners to the arrangement should identify their necessary resources such as:

- a) personnel;
- b) emergency equipment;
- c) facilities;
- d) provision;
- e) communication system;
- f) crisis management centres;
- g) logistics.

5.5 Identify roles, responsibilities and levels of authority

The partners to the arrangement should identify and determine their roles, responsibilities and levels of authority required to manage each type of event in accordance with the mission, competence and capabilities of the partners to the arrangement.

5.6 Establish relationship rules and how to resolve challenges

The partners to the arrangement should establish rules to manage their relationship and how to resolve challenges. These define the contractual, operational, financial and ethical responsibilities of the partners to the arrangement, and provide guidance on how to govern their actions and fulfil the arrangement.

When activities are likely to overlap between two or more partners to the arrangement, they should specify how to:

- achieve the highest degree of co-ordination between the activities of each of the partners to the arrangement, and
- clearly assign leaders and responsibility for each action to resolve possible conflict with respect to relationships and decision making.

See example in [Annex A](#) on how to generate the information necessary to establish relationship rules.

5.7 Determine communication and consultation needs

The partners to the arrangement should:

- agree to common terminology or common language of work;
- develop communication and consultation strategies and processes to provide information and encourage on-going dialogue;
- ensure that communication is a two-way process to inspire confidence and encourage the appropriate attitudes, behaviours and culture;
- consult prior to decision making or determining a direction on an issue;
- share and document how decisions are made in order to clarify the reasons for required actions;
- respect confidentiality and privacy.

5.8 Determine need for training and exercises

In order to verify the efficiency and effectiveness of the partnering arrangement, the partners to the arrangement should:

- determine the need for training and exercises;
- establish and identify the competencies and capabilities that need to be achieved, enhanced, tested or validated;
- conduct training and exercises independently or co-operatively among the partners, as appropriate;
- evaluate the efficiency of training and exercises.

6 Implement the partnering arrangement

6.1 Apply partnering principles

6.1.1 General

The partners to the arrangement should apply the principles that provide guidance on the core aspects of the relationship in any context.

The application of the partnering principles as listed in [6.1.2](#) to [6.1.6](#) contributes to the adequacy, effectiveness and efficiency of all activities. A list of potential obstacles to the partnering arrangement is provided in [Annex B](#).

6.1.2 Compliance

The partners to the arrangement should comply with applicable legislation and local conditions such as environmental, ethical, cultural, religious, political and organizational diversity.

NOTE Compliance with applicable legislation is particularly important in cross-jurisdictional and/or trans-boundary partnering arrangements, and when recognizing and respecting the diversity of organizations.

6.1.3 Accountability

The partners to the arrangement should be accountable for their actions and decisions both individually and collectively.

Authority and competence at each level and function within and between the partners to the arrangement is required when taking responsibility for decisions and actions. Accountability also requires a commitment to respond to, and balance the needs of the partners to the arrangement in the decision-making processes and activities related to the partnering arrangement.

6.1.4 Fairness

The partners to the arrangement should act in a fair and impartial manner considering the views of all organizations and the impact of decisions and activities.

Joint activities are more likely to be effective when the organisations operate in an open and fair manner. The partners to the arrangement should ensure that the behaviour of their personnel is based on mutual respect, impartiality and objectivity to meet jointly agreed outcomes.

6.1.5 Transparency

The partners to the arrangement should ensure transparency by providing accessible and timely information.

NOTE Transparency plays a key role in inspiring confidence.

6.1.6 Competence

The partners to the arrangement should ensure that personnel have the competence and capability to contribute to the partnering arrangement.

NOTE Appropriate competence is essential in order to achieve the intended results.

6.2 Select contractual tools

The partners to the arrangement should select contractual tools to ensure that there are effective procedures for resolving issues, defaults and controversies.

The partners to the arrangement should:

- identify appropriate contractual tools that comply with regulatory conditions, particularly in case of cross-jurisdictional and/or trans-boundary partnering arrangements;
- clearly define the content of the partnering arrangement in accordance with [Clause 5](#);
- define appropriate procedures to deal with any situation where one or more partners to the arrangement are in disagreement;
- decide how to manage defaults and controversies;
- specify how long the arrangement will be valid and the disengagement conditions;
- determine the procedure for the modification of partnering arrangement taking into consideration frequent changes in laws/regulations.

Thereafter the partners to the arrangement should:

- review and confirm the process for identifying the issues set out in [Clause 5](#) has been followed, and that the issues are clear to all partners to the arrangement and have been considered (see the partnering review check list in [Annex C](#)), and
- endorse the partnering arrangement, put it in force and, if applicable, register it in accordance with applicable legal and regulatory requirements.

NOTE There are a variety of contractual tools, both formal and informal. In multi-partner arrangements there may be a combination of models between individual partners, for example: contracts, direct agreements, memoranda of understanding (MoUs), mutual aid agreements, partnerships, performance specifications, cooperation agreements, coordination agreements, operational agreements, project agreements, supply agreement, reciprocal agreements and resource sharing.

7 Review the partnering arrangement

The partners to the arrangement should:

- collect and share lessons learned in order to improve the partnering arrangement and future activities;
- test, evaluate and verify the partnering arrangement at intervals defined by the partners to the arrangement to validate its usefulness;
- review the partnering arrangement to ensure its continuing suitability, adequacy and effectiveness.

The review should consider:

- changes in the key issues identified in [Clause 5](#);
- feedback from partners to the arrangement;
- results of exercises;
- changes in vulnerabilities or threats;
- opportunities for continual improvement;
- modifications on applicable legal and regulatory requirements.

Annex A (informative)

How to generate the information necessary to establish relationship rules — Example

A.1 General

This annex describes how to use a matrix to establish rules to manage the relationship as stated in 5.6. [Clauses A.2](#) to [A.4](#) describe how the matrix works and give practical details.

A.2 Response activities

The first step is to create a matrix which will identify response activities required to respond to a specific event (disasters, terrorist attacks and other severe incidents), and which partners to the arrangement could be involved.

Thereafter assign:

- the response activities to the top row, and
- the partners to the arrangement and other involved organizations to the left column.

Then, link each response activity with the partners to the arrangement and other involved organizations that could participate in that specific response activity. An example of the matrix is given in [Figure A.1](#).

	Activity 1	Activity 2	Activity 3	Activity 4	Activity N
Org A	X					
Org B	X	X	X			X
Org C	X		X	X		X
Org D		X		X		X
Org E			X	X		
Org F	X	X				X
Org G			X	X		
.....						
Org M	X		X			X

Figure A.1 — Example of matrix

The second step is to create new matrix(es) for each response activity defined in the first matrix.

Thereafter:

- split each response activity into detailed response activities to the top row, and
- assign each partner to the arrangement and other involved organizations that has been linked to the detailed response activities to the left column.

Then, link each response activity with the partners to the arrangement and other involved organizations that could participate in that specific response activity.

The third step is to repeat this process until the desired level of detail is reached.

The result is a series of matrixes. [Figure A.2](#) shows an example.

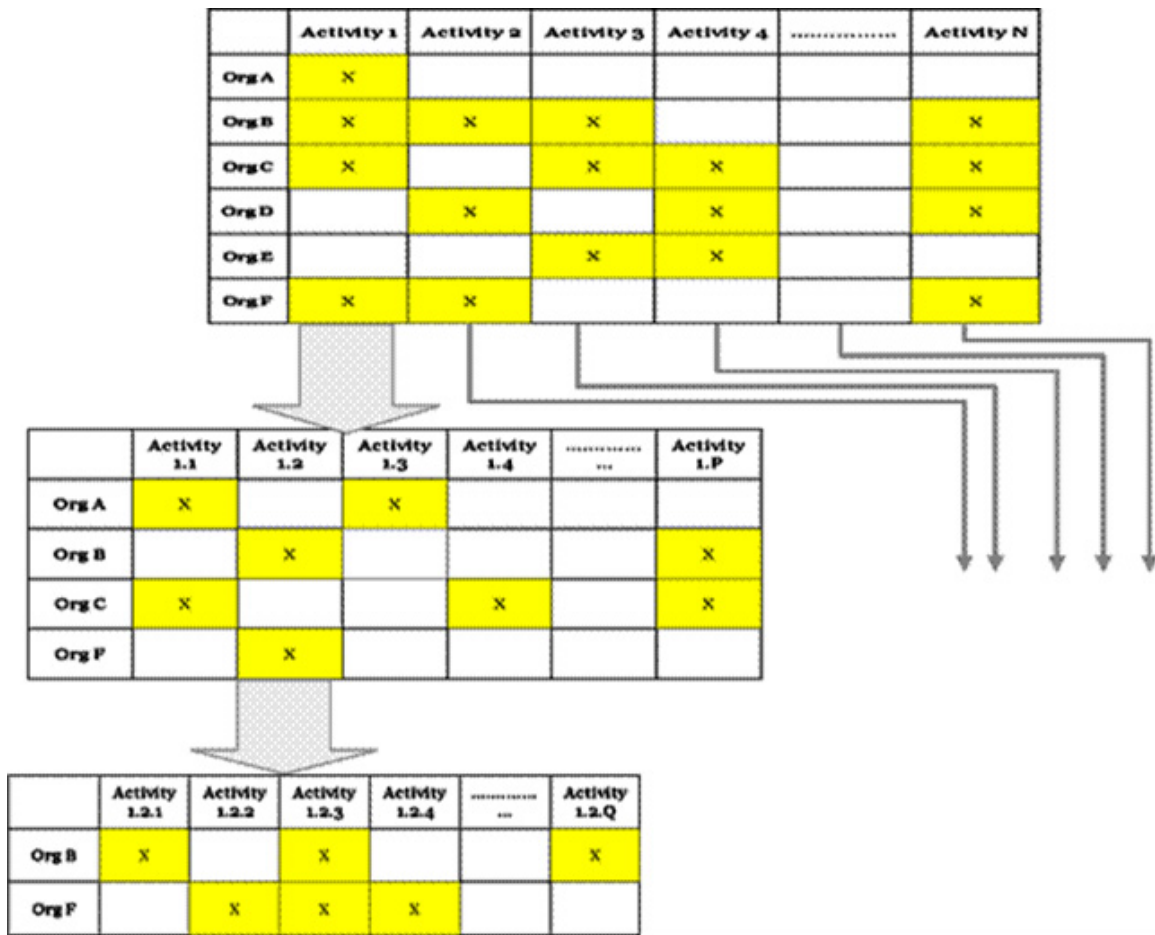


Figure A.2 — Example of series of matrixes

The fourth step is to follow a bottom-up process starting from the most detailed matrix to define rules to manage their relationship and how to resolve challenges.

How to manage relationship within partnering arrangement

When two or more partners to the arrangement and/or other involved organizations participate in a single response activity, they should:

- agree the scope of that specific activity;
- establish the role, capability, and the resources of each participant;
- decide which partner to the arrangement and/or organization will lead.

A.3 Preparedness activities

The partners to the arrangement should:

- identify actions that will enhance response prior to incidents;
- complete additional matrixes for the activities occurring preparedness phase;

- use the matrixes to establish rules and assign tasks according to the roles, capability and resources of each partner to the arrangement;
- identify the preparedness activities in considering:
 - protocols for joint and coordinated communications,
 - optimization of the resources including availability of people and equipment,
 - modification of organizational procedures to permit interface with other organizations, and
 - the competencies and capabilities confirmed by specific training and exercises.

A.4 Recovery activities

The partners to the arrangement should:

- complete additional matrixes for the activities occurring in the recovery phase;
- establish the rules and assign the tasks according to the roles, capability and resources of each partner to the arrangement;
- identify recovery activities that will be required after an event considering the following:
 - the planning and management of the transition phase from the end of the dangerous phase until full restoration of normal conditions,
 - the restoration or modification of damaged buildings, infrastructure and equipment, and
 - the social and community support required to recover from an emergency event.

Annex B (informative)

Potential obstacles to the partnering arrangement

This annex reviews the potential obstacles to the partnering arrangement (not exhaustive).

Constraints may occur in the development, implementation and maintenance of partnering arrangements, including the following.

- Contractual obstacles result from negligence, or the unsuitable application of partnering principles or contractual requirements.
- Exclusion obstacles arise when a partner perceives itself to be excluded directly or indirectly in the sharing of risks, responsibilities and duties as well as mechanisms of peer-evaluation and assessment.
- Organizational obstacles happen when a partner is incapable of identifying appropriate key personnel, resources and competencies to meet the agreed terms and conditions of the partnering arrangements.
- Non-commitment obstacles occur when a partner cannot or does not provide evidence of commitment to the application and implementation of the agreed terms and conditions.
- Non-responsiveness obstacles arise when a partner fails to provide timely responses to the needs of partners to the arrangement and/or organisations.
- Self-interest obstacles occur when a partner acts in its own interest (e.g. financial self-interest).
- Self-review obstacles exist when a partner reviews its own work, without submitting the work to auditing and peer-assessment processes.
- Familiarity (or trust) obstacles result when a partner is too familiar with or trusts another partner instead of seeking objective evidence.
- Intimidation obstacles happen when a partner perceives that it is being coerced, either openly or secretly.
- Confidentiality obstacles arise when a partner has no policy and procedures to safeguard the confidentiality of the information obtained or created.
- Communication obstacles occur when a partner is unable to select the proper form of communication and the relevant language to be used.
- Management obstacles exist where a partner is incapable of identifying appropriate key personnel, resources and technical expertise required to undertake the activities set out in the terms and conditions of the partnering arrangements.
- Logistical obstacles arise when a partner does not provide the facilities specified by the terms and conditions of the partnering arrangements.
- Technical/technological obstacles occur when a partner cannot or does not provide the technical or technological expertise and equipment as specified in the terms and conditions of the partnering arrangements.
- Interoperability obstacles result when a partner is incapable of ensuring interoperability of its procedures and technical assets with respect to the others who are partner to the arrangement.

Annex C (informative)

Partnering review checklist

C.1 Allocate roles, tasks and resources to the partners for each event

- a) Does the arrangement identify procedures to manage defaults and resolve controversies according to the key issues?
- b) Does the arrangement identify common procedures and rules of the relationship in consideration of the partners to the arrangement expectations, the applicable legal framework and surrounding conditions?
- c) Does it allow for flexibility?
- d) Does the arrangement identify actions to be carried out prior to, during and after the occurrence of the incidents (preparedness, response and recovery phases)?
- e) Does the arrangement identify criteria and operational procedures to apply in case of challenges?

C.2 Ensure contractual accountability, transparency and fairness

- a) Are all arrangements in accordance with the partnering principles?
- b) Do these arrangements include mutuality and an equal distribution of risks, benefits and costs?
- c) Do they address relevant ethical issues?

C.3 Ensure contractual flexibility

- a) Are arrangements developed to meet changes in circumstances and scenarios, with particular reference to the risk assessment?
- b) Does the arrangement provide for the identification of the partners to the arrangements and other organisations, and of the applicable legal framework and surrounding conditions?
- c) Does the arrangement provide sufficient flexibility and control so that the objectives of all partners to the arrangement are met?
- d) Can deviations from the expected scenarios be readily identified, addressed and resolved?

C.4 Promote effective governance and monitoring

- a) Does the partnering arrangement respect the interests of all partners to the arrangement?
- b) Does the partnering arrangement identify performance targets?
- c) Does it specify bonuses and penalties, as appropriate?

C.5 Safeguard the common interest

- a) Does the partnering arrangement ensure effective response including guarantee the availability, continuity and recovery of services, functions and assets in support of societal security?

- b) Does the partnering arrangement ensure interoperability among the technical/technological systems of the partners to the arrangement and organisations?
- c) Does it identify suitable adaptation procedures to manage each type of event?

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