

AB02 - Business Continuity Policy and Procedure

Category: Administration Sub-category: Business Operations






Policy Review Sheet

Review Date: 23/03/18 Policy Last Amended: 23/03/18


Next planned review in 12 months, or sooner as required.

Note: The full policy change history is available in your online management system.

Business Impact:	Low	Medium	High	Critical
		X		
Changes are important, but urgent implementation is not required, incorporate into your existing workflow.				

 Reason for this review:	Scheduled review
 Were changes made?	Yes
 Summary:	Updated to new QCS format with the addition of information sources and references as well as the addition of notifications, testing of the plan and strengthening of evaluation.
 Relevant Legislation:	<ul style="list-style-type: none"> • Care Quality Commission (Registration) Regulations 2009 • Civil Contingencies Act 2004 • Equality Act 2010 • The Health and Social Care Act 2008 (Regulated Activities) Regulations 2014 • Health and Safety at Work etc. Act 1974
 Underpinning Knowledge - What have we used to ensure that the policy is current:	<ul style="list-style-type: none"> • DURHAM CIVIL CONTINGENCIES UNIT, (2018), <i>BUSINESS CONTINUITY PLAN: A GUIDE TO PREPARING A PLAN FOR A RESIDENTIAL HOME</i>. [Online] Available from: https://www.durham.gov.uk/media/885/Residential-Care-Homes-Business-Continuity-Guide/pdf/ResidentialCareHomeBusinessContinuityGuide.pdf [Accessed: 21/03/2018] • NHS England, (2016), <i>Business continuity</i>. [Online] Available from: https://www.england.nhs.uk/ourwork/epr/bc/ [Accessed: 21/03/2018] • The Care Quality Commission, (2018), <i>Nigel's Surgery 69: Business continuity - arrangements for emergencies and major incidents</i>. [Online] Available from: http://www.cqc.org.uk/guidance-providers/gps/nigels-surgery-69-business-continuity-arrangements-emergencies-major [Accessed: 21/03/2018] • The Care Quality Commission, (2015), <i>Regulation 15: Premises and equipment</i>. [Online] Available from: http://www.cqc.org.uk/guidance-providers/regulations-enforcement/regulation-15-premises-equipment [Accessed: 21/03/2018] • NHS Commissioning Board, (2013), <i>NHS Commissioning Board Business Continuity Management Framework (service resilience)</i> [Online] Available from: https://www.england.nhs.uk/wp-content/uploads/2013/01/bus-cont-frame.pdf [Accessed: 21/03/2018] • The Care Quality Commission, (2017), <i>Events that stop services running safely and properly - notification form</i>. [Online] Available from: http://www.cqc.org.uk/guidance-providers/notifications/events-stop-service-running-safely-properly-notification-form [Accessed: 21/03/2018]

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 Suggested action:	<ul style="list-style-type: none">• Encourage sharing the policy through the use of the QCS App• Develop training sessions for relevant staff• Ensure the policy is discussed in planned supervision sessions with relevant staff
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? 1. Purpose

1.1 To identify, address or mitigate situations and issues that may occur which would interfere with the successful, smooth running of the service.

1.2 To support Eleven Sisters Community Support Services Ltd in meeting the following Key Lines of Enquiry:

Key Question	Key Line of Enquiry (KLOE)
SAFE	S1: How do systems, processes and practices keep people safe and safeguarded from abuse?
SAFE	S6: Are lessons learned and improvements made when things go wrong?
WELL-LED	W2: Does the governance framework ensure that responsibilities are clear and that quality performance, risks and regulatory requirements are understood and managed?
WELL-LED	W5: How does the service work in partnership with other agencies?

1.3 To meet the legal requirements of the regulated activities that Eleven Sisters Community Support Services Ltd is registered to provide:

- Care Quality Commission (Registration) Regulations 2009
- Civil Contingencies Act 2004
- Equality Act 2010
- The Health and Social Care Act 2008 (Regulated Activities) Regulations 2014
- Health and Safety at Work etc. Act 1974

👥 2. Scope

2.1 The following roles may be affected by this policy:

- All staff

2.2 The following people may be affected by this policy:

- Service Users

2.3 The following stakeholders may be affected by this policy:

- Family
- Advocates
- Representatives
- Commissioners
- Local Authority

📋 3. Objectives

3.1 To define and prioritise the critical functions of the business.

3.2 To analyse the emergency risks to the business.

3.3 To detail the agreed response to an emergency.

3.4 To identify key contacts during an emergency.

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4. Policy

4.1 Eleven Sisters Community Support Services Ltd recognises the serious, potential impact of a disrupted service on Service Users.

Eleven Sisters Community Support Services Ltd will ensure that the right measures are put in place to prevent and limit disruption.

4.2 Eleven Sisters Community Support Services Ltd will respond to disruptions in service by:

- Understanding the core elements of the service
- Learning from past disruption and complaints
- Analysing Eleven Sisters Community Support Services Ltd's exposure to business disruption
- Planning effective countermeasures
- Testing the resilience of the plan
- Maintaining the effective countermeasures plan
- Preparing this business to cope with the effects of an emergency

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➔➔ 5. Procedure

5.1 Roles and Responsibilities

The Business Continuity Planning process should be carried out by arranging one or more meetings of managers and a cross-section of employees, specifically for the purpose of developing the plan to ensure a range of viewpoints and specialisms are considered.

The Registered Provider

- ELEVEN SISTERS COMMUNITY SUPPORT SERVICES LIMITED. is responsible for the overarching policy

The Registered Manager

- Mrs Esther Erikefe Mensah will act as Business Continuity Manager and appoint a deputy
- Mrs Esther Erikefe Mensah will ensure the dissemination of this policy to all staff as well as effective training

All Staff

- All staff have a responsibility to understand their role within the plan and ask for further support where this is not clear
- All staff should notify the Business Continuity Manager of any risk or mitigation to a risk they are aware of that is not necessarily documented

5.2 Lay out the Critical Functions of the Service

The group must firstly identify the critical functions of the business, in order of priority, using the Critical Function Priority List Form.

5.3 Complete the Hazard Analysis Table:

- The 'Specifics' column for each hazard should be completed, according to the configuration of Eleven Sisters Community Support Services Ltd. Some suggestions have been entered where appropriate
- Each Specific hazard should be scored as 'High' or 'Low Impact' and 'High' or 'Low Likelihood'. e.g. High Impact, Low Likelihood, enter as 'H/L'
- List any plans, equipment, personnel, alternative resources or other arrangements already in place which would mitigate the effects of the hazard, in the 'Mitigation in Place' column
- In the 'Mitigation Possible' column, list any plans, equipment, personnel, alternative resources or other arrangements which could be put in place in order to mitigate the effects of the hazard
- Each hazard, A to D, should be scored according to the matrix at the top of the 'Risk Matrix Score' column
- List the Business Critical Functions, as listed and numbered in the Critical Function Priority List, which are potentially affected by the hazard on that row. This may be one or more functions

5.4 Business Impact Analysis

- The Business Impact Analysis Form included in this policy should be completed for **each** item on the Critical Function Priority List
- Each item should be copied from the Critical Function Priority List to a page of the Business Impact Analysis form - with a separate page used for each item
- The effect that the loss of the function will have on the business should be estimated at each of the timescales shown, and these should be entered into the 'Effect on the Service' section
- For each of the timescales, estimate the number of staff, assess if relocation is required, determine the resources and data (records) required to begin the business recovery process, and complete the columns as required

5.5 Key Contact List Form

- The key contact list should be completed, ensuring that the Business Continuity Manager is identified, with contact numbers, and that the same is repeated for the Deputy
- All of the other possible contacts who may be needed for the mitigation of an event should be listed and their contact information completed, including that of the emergency services, the Care Quality

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Commission and

CROYDON COUNCIL

MERTON COUNCIL

KENT & SURREY

5.6 Testing of the Plan

- All elements of the plan should be tested for resilience where possible
- All partner agencies,

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and suppliers should be contacted by Mrs Esther Erikefe Mensah to check that continuity plans are in place and are in alignment with ELEVEN SISTERS COMMUNITY SUPPORT SERVICES LIMITED.'s plan

Adjustments may be needed on this basis.

5.7 Final Review

A review of the completed Plan File should be undertaken by the group and it should be signed off by ELEVEN SISTERS COMMUNITY SUPPORT SERVICES LIMITED..

5.8 Placement of the Plan File

The Business Continuity Manager, their Deputy, Mrs Esther Erikefe Mensah, the Responsible Individual if different from the Registered Manager and ELEVEN SISTERS COMMUNITY SUPPORT SERVICES LIMITED. should all receive copies of the Plan File in addition to which copies should be placed in locations such as the Staff Room, Reception areas and near Fire Alarms, where documents to be removed from the premises in an emergency can be easily accessed.

5.9 Continuous Review

A review of all elements of the Plan should be undertaken every six months by the group, or earlier when circumstances or information indicate the need for a review.

5.10 In an Actual Emergency:

- Start and complete as necessary, an Emergency Response Checklist
- Start and complete as necessary, an Action Plan, in order to record and keep track of all actions taken, instructions given, and instructions received
- Refer to the Plan in order to identify actions to be taken

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6. Definitions

6.1 Business Disruption

- Any issues that affect the smooth running of the service such as:

Natural causes such as weather
Problems with utilities or machinery
Illness such as epidemics
Crime and terrorism

6.2 Contingency

- Provision put in place for a possible future event or incident

6.3 Notification

- To formally advise, in writing, a particular authority or inspectorate of an event or incident that they have requested to be informed of



Key Facts - Professionals

Professionals providing this service should be aware of the following:

- Eleven Sisters Community Support Services Ltd has a Business Continuity Plan in place so that it is prepared for any emergency which disrupts the smooth running of the service
- Eleven Sisters Community Support Services Ltd will communicate any necessary detail of the plan and ensure the plan is tested



Key Facts - People Affected by The Service

People affected by this service should be aware of the following:

- Eleven Sisters Community Support Services Ltd has your safety and wellbeing at the heart of the service
- Sometimes things can happen which are beyond the control of Eleven Sisters Community Support Services Ltd such as extreme weather, frozen pipes or illness of staff
- Eleven Sisters Community Support Services Ltd has a plan in place to help stop the effects of emergencies and other situations that can disrupt the service
- We check the plan regularly and make sure we think of everything that could happen and how we will manage it safely
- We will ask your views from time to time to check if there is anything you wish to talk about in relation to the plan that may help or questions you have
- You are always welcome to give your ideas through the comment box, in person, or through an advocate or representative at any time



Further Reading

As well as the information in the 'Underpinning Knowledge' section of the review sheet we recommend that you add to your understanding in this policy area by considering the following materials:

The Emergency Planning Society <https://www.the-eps.org/>

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Outstanding Practice

To be outstanding in this policy area you could provide evidence that:

- There is evidence of learning from other disruptions outside of your service - they may not be directly related to a social care setting
- There is evidence of collaboration with other services in the area, feeding into joint planning and systems to do this
- Prompts and action cards to complete tasks in an emergency for individual roles are developed
- The wide understanding of the policy is enabled by proactive use of the QCS App

Forms

The following forms are included as part of this policy:

Title of form	When would the form be used?	Created by
Critical Function Priority List	When setting up a business continuity plan. This list can be used during an emergency to assist your decision making when compiling an Action Plan as to which function needs to be reinstated first.	QCS
Hazard Analysis Table	When hazards might trigger a business continuity issue	QCS
Business Impact Analysis	When assessing the importance of a business activity or function	QCS
Resource Requirements for Recovery	When planning how to reallocate staff and other resources	QCS
Business Continuity/Disaster Planning - Main Contacts	To keep up to date contact details	QCS
Emergency Response Checklist	For use during an emergency	QCS
Log Sheet	To maintain an up to date detailed account of the incident	QCS
Action Plan	When allocating actions for staff during a business continuity incident	QCS

Critical Function Priority List

Priority	Critical Function
1.	
2.	
3.	
4.	
5.	
6.	
7.	
8.	
9.	
10.	

Critical Function Priority List

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Hazard Analysis Table

Hazard	Specifics and Impact Specify, mark as High or Low Impact & Likelihood	Mitigation in Place	Mitigation Possible	Risk Matrix Score A = HIGH Likelihood and HIGH Impact B = LOW Likelihood and HIGH Impact C = HIGH Likelihood and LOW Impact D = LOW Likelihood and LOW impact	Critical function (s) affected (enter number)
Flooding - external		<ul style="list-style-type: none"> • Remove Care records • Remove Medication records 			
Flooding - internal		<ul style="list-style-type: none"> • Remove Care records • Remove Medication records 			
Loss of gas supply					
Loss of electricity					
Fire		<ul style="list-style-type: none"> • Remove Care records • Remove Medication records 			
Loss of space heating					

Hazard Analysis Table

Hazard Analysis Table (continued)

Hazard	Specifics and Impact Specify, mark as High or Low Impact & Likelihood	Mitigation in Place	Mitigation Possible	Risk Matrix Score A = HIGH Likelihood and HIGH Impact B = LOW Likelihood and HIGH Impact C = HIGH Likelihood and LOW Impact D = LOW Likelihood and LOW impact	Critical function (s) affected (enter number)
Loss of water heating					
IT Failure	<ul style="list-style-type: none"> • Manager PC failure • Admin PC failure • Network failure • Broadband access failure 				
Phones failure	<ul style="list-style-type: none"> • Local equipment failure • Network failure • Fax failure • Stored data corruption 				
Theft	<ul style="list-style-type: none"> • Business records • Personal records – employees • Personal records – Service Users 				
Loss of access to the building	<ul style="list-style-type: none"> • Civil unrest in the area • Police cordons from terrorist incidents • Building occupation • Neighbouring building problems • Partial building collapse 		<ul style="list-style-type: none"> • Remove Care records • Remove Medication records 		

Hazard Analysis Table

Hazard Analysis Table (continued)

Hazard	Specifics and Impact Specify, mark as High or Low Impact & Likelihood	Mitigation in Place	Mitigation possible	Risk Matrix Score A = HIGH Likelihood and HIGH Impact B = LOW Likelihood and HIGH Impact C = HIGH Likelihood and LOW Impact D = LOW Likelihood and LOW impact	Critical function (s) affected (enter number)
Staff unavailability	<ul style="list-style-type: none"> • Significant loss of life (e.g. through fire, explosion) • Widespread failure of public transport through a major incident or industrial action • Adverse weather conditions • Widespread illness (e.g. an influenza epidemic) • Mass resignation or other form of industrial action 				
Death or incapacity of senior personnel	<ul style="list-style-type: none"> • Registered Provider • Registered Manager 				
Other (specify)					

Hazard Analysis Table

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Business Impact Analysis

Critical Function:	
Effect on the Service:	
Time:	Effect on the Service:
First 24 hours	
24 – 48 hours	
Up to 1 week	
Up to 2 weeks	

Business Impact Analysis

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Resource Requirements for Recovery

Time:	No. of Staff	Relocation?	Resources Required	Data Required
First 24 hours				
24 – 48 hours				
Up to 1 week				
Up to 2 weeks				

Resource Requirements for Recovery

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Business Continuity/Disaster Planning - Main Contacts

Contact	Office Number	Home and Mobile Number	Useful information	Keys held
Business Continuity Manager: (name)				
Deputy Business Continuity Manager: (name)				

Business Continuity/Disaster Planning - Main Contacts

Emergency Response Checklist

Start a log of actions taken:	
Liaise with Emergency Services and notify CQC/LA:	
Identify any damage:	
Identify Functions disrupted:	
Convene your Response / Recovery Team:	
Provide information to staff:	
Decide on course of action:	
Communicate decisions to staff and business partners:	
Provide public information to maintain reputation and business:	
Arrange a Debrief:	
Review Business Continuity Plan:	

Emergency Response Checklist

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Log Sheet

Date	Time	Information/Decisions/Actions	Initials

Log Sheet

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Action Plan

Ref:	What to do	Who to do it	When to do it by	Progress to date

Action Plan

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