



**South Warwickshire**  
Clinical Commissioning Group

# **Business Continuity Management Policy and Plan**

## **Contacts removed**

## VERSION CONTROL

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<b>Name of responsible committee:</b>	Clinical Quality and Governance
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## VERSION HISTORY

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20 September 2017	5.0	Final approved by Governing Body

## Contents

1. Policy and Plan Distribution .....	4
2. Introduction and Policy Statement .....	4
3. Purpose .....	5
4. Scope .....	5
5. Definitions .....	5
6. Roles, Duties and Responsibilities .....	6
7. Business Continuity Planning Approach .....	8
8. Plan activation .....	11
9. Record Keeping .....	11
10. Communications .....	12
11. Training Requirements .....	12
12. Implementation, Monitoring and Review .....	12
13. Associated Documentation .....	12
Appendix 1 – NHS South Warwickshire CCG Business Impact Analysis .....	13
Appendix 2 – Categorisation of NHS South Warwickshire CCG Functions .....	14
Appendix 3 – NHS South Warwickshire CCG Business Continuity Action Plan .....	15
Appendix 4 – Directory of Contacts .....	21
Appendix 5 – Actions, Decisions and Expenses Log Template .....	25

## 1. Policy and Plan Distribution

- 1.1. The list below identifies all staff who should receive a copy of this Policy and Plan. It is intended that one copy should be located at the holder's home address so it is easily accessible. Central Copies can be found in the Business Continuity Folder with the Corporate Services Manager at NHS South Warwickshire Clinical Commissioning Group, Westgate House, Warwick and stored electronically on the South Warwickshire Clinical Commissioning Group (CCG) network drive in the Policy Folder (<S:\Policy&Strategy\Current Governance Policies\Business Continuity>). A copy of this plan shall be kept in the Directors' On-Call folder.

FORENAME	SURNAME	JOB TITLE
Kate	Butler	Corporate Services Manager
Rebecca	Chislett	Senior Contracts Manager – Acute
Gillian	Entwistle	Chief Officer
Anna	Hargrave	Director of Strategy and Engagement
Paul	Sheldon	Chief Finance Officer
Liz	Flavell Smith	Deputy Chief Finance Officer
Sue	Phillips	Head of Strategy and Joint Commissioning
Alison	Scott	Director of Performance and Contracting
Marianne	Smith	Head of Nursing and Safety
Alison	Walshe	Director of Quality and Governance (Executive Nurse)
Hannah	Willetts	Head of Planning and Policy
David	Yates	Emergency Planning Manager

## 2. Introduction and Policy Statement

- 2.1. Business Continuity Management (BCM) is a statutory requirement for NHS South Warwickshire Clinical Commissioning Group. The Civil Contingencies Act (CCA) 2004 and the NHS England Emergency Preparedness Framework 2013, require the CCG to have a Business Continuity Management Policy and Plan to ensure that, in the event of a significant service interruption, critical day-to-day functions can be maintained whilst timely recovery and restoration of key services, systems and processes is also achieved.
- 2.2. It is the policy of the CCG to develop, implement and maintain a Business Continuity Plan in order to ensure the prompt and efficient recovery of our critical activities from any incident or physical disaster affecting our ability to operate and deliver our services in support of the NHS economy.
- 2.3. The CCG will take all reasonable steps to ensure that in the event of a service interruption, the organisation will be able to respond appropriately and continue to deliver essential functions to meet its commissioning responsibilities for the South Warwickshire population.
- 2.4. Alongside ensuring business continuity, the CCG has to ensure emergency preparedness as a Category 2 responder (Civil Contingencies Act (CCA) 2004). As a Category 2 responder, the CCG is required to support Category 1 responders (main NHS providers and NHS England). The CCGs role is reflected in the Arden Incident Response Plan.

### 3. Purpose

- 3.1. This Business Continuity Policy and Plan is to be used to assist in the continuity and recovery of South Warwickshire CCG in the event of an unplanned disruption. A disruption could be any event which threatens personnel, buildings or operational capacity and requires special measures to be taken to restore normal service.
- 3.2. The aim of the Policy and Plan is to set out the roles, responsibilities and actions to be taken by the CCG to enable continuity and recovery of the key parts of the service following a significant disruption.

### 4. Scope

#### 4.1. Within Scope

- 4.1.1. This Policy and Plan relates to the business continuity management of the business functions within the CCG only.

#### 4.2. Out of Scope

- 4.2.1. This plan **does not** outline the arrangements for business continuity management of services and business functions carried out by the CCG's providers and service suppliers, such as the Arden & Greater East Midlands (GEM) Commissioning Support Unit (CSU). Contractually these organisations are required to ensure arrangements for business continuity are in place.
- 4.2.2. The CCG is heavily reliant on the services provided by the CSU. There is increased risk should any incident occur because the CCG is co-located with the CSU. Co-operation will be established and maintained between the CSU and CCG to ensure continuity of the service in the event of a significant service interruption.

### 5. Definitions

- 5.1. The following definitions apply to terms used in this document:

**Activity:** Processes or sets of processes undertaken by the CCG, or on behalf of the CCG, that supports delivery of services.

**Business As Usual:** Pre-defined acceptable levels of service delivery.

**Business Continuity Management (BCM):** Process to identify potential threats, assess the impact of those threats on the CCG, and building a framework to support CCG resilience to those threats, including protecting patients and stakeholders interests and achieving strategic objectives. Includes strategic and tactical capability of the CCG to plan for and respond to business interruptions in order to support continued delivery of 'business as usual'.

**Critical Activities:** Those activities carried out by the CCG which are most time sensitive and important for ensured continued delivery. These will be mainly those services essential for immediate life and death of patients. These activities have a maximum tolerable period of disruption of less than twenty-four hours, which are identified in the Business Impact Analysis (BIA)

**Disruption:** Any event, planned or unplanned, which causes an interruption to the CCG's ability to continue business as usual.

**Emergency:** "Emergency" is defined in Part 1 of the Civil Contingencies Act 2004 as "an event or situation which threatens serious damage to human welfare in a place in the UK, the environment of a place in the UK, or war or terrorism which threatens serious damage to the security of the

UK.” The definition of emergency is concerned with consequences, rather than cause or source. Therefore, an emergency inside or outside the UK is covered by the definition, so long as consequences of such are experienced within the UK.

**Essential Activities:** Those activities carried out by the CCG which are sensitive and important, but not critical to life and death of patients. These activities have a maximum tolerable period of disruption of less than forty-eight hours, which are identified in the BIA.

**Major Incident:** An event or situation requiring a response under one or more of the emergency services’ major incident plans. For the NHS, a major incident is defined as:

“Any occurrence which presents a serious threat to the health of the community, disruption to the service or causes (or is likely to cause) such numbers or types of casualties as to require special arrangements to be implemented by hospitals, ambulance trusts or primary care organisations”

Major incidents for NHS organisations are defined as one of three levels. These are ‘major’, ‘mass’, or ‘catastrophic’.

- i. **Major** – each individual NHS organisation must plan to handle incidents in which its own facilities – or neighbouring ones – may be overwhelmed. Planning successfully for these wider disruptive challenges will require more than simply scaling up the current plans of individual agencies.
- ii. **Mass** - much larger scale events affecting potentially hundreds rather than tens of people, possibly also involving the closure or evacuation of a major facility (eg because of fire or contamination) or persistent disruption over many days; these will require a collective response by several or many neighbouring trusts.
- iii. **Catastrophic** - events of potentially catastrophic proportions that severely disrupt health and social care and other functions (power, water etc) and that exceed even collective capability within the NHS

**Routine Activities:** Those activities carried out by the CCG which support business delivery on a daily basis and are not critical or essential. These activities have a maximum tolerable period of disruption of less than two weeks.

**Service Recovery:** The process through which business as usual is reached, following an interruption or disruption event.

## 6. Roles, Duties and Responsibilities

### 6.1. Legal and Statutory Duties and Responsibilities

- 6.1.1. The Civil Contingencies Act (CCA) 2004 places a legal duty on CCGs to have business continuity plans in place to ensure that they can continue to exercise their functions in the event of an emergency so far as is reasonably practicable. The duty relates to all functions, not just emergency response functions.
- 6.1.2. The model adopted aligns with best practice expectations placed upon all NHS organisations in the NHS England’s Business Continuity Management Framework (service resilience) 2015 and the associated requirements listed in the NHS England Core Standards for Emergency Preparedness, Resilience and Response (EPRR).

### 6.2. Specific duties and responsibilities within the CCG

6.2.1. The following specific duties and responsibilities apply within the CCG:

- a) **CCG Governing Body:** The CCG Governing Body is responsible for setting the strategic context in which business continuity and service recovery procedures are

developed, and for the formal review and approval of this Policy and Plan. The Governing Body is also responsible for determining the accepted levels of 'business as usual', through monitoring service delivery and approving suggested developments.

- b) **Clinical Quality and Governance Committee:** The Clinical Quality and Governance Committee will act as the CCG's risk management steering group, tasked with establishing and maintaining robust risk management and business continuity systems within the CCG on behalf of the Governing Body.
- c) **Chief Officer (CO):** The CO has overall statutory responsibility for the strategic and operational management of the CCG, including ensuring that the CCG has in place robust arrangements for business continuity management and service recovery.
- d) **The Director of Quality and Governance (Executive Nurse):** Responsible for implementation of business continuity arrangements within the CCG, on behalf of the Chief Officer. This includes leading on Business Continuity issues and reporting into the Clinical Quality and Governance Committee.
- e) **Corporate Services Manager:** The Corporate Services Manager is responsible for ensuring that business continuity management plans to support the core business functions are completed and updated as necessary.
- f) **CCG Directors:** The Director of Strategy and Engagement, Director of Quality and Governance, the Director of Performance and Contracting and Chief Finance Officer will:
  - Identify critical services and resources across their directorate;
  - Ensure that their element of the BCM plan is reviewed annually or when required (Incidents/exercises etc) to maintain good quality control of document information.
  - Notify any BCM plan revisions to the Corporate Services Manager.
  - Maintain own competencies through training and exercises.
  - Contribute to the review and updating of the BCM plan regularly in light of lessons learned from exercises or incidents, research or changes in staff.
  - Support business continuity awareness and acceptance amongst staff and ensure that all of their staff are aware of their responsibilities within the BCM plan
- g) **All CCG Staff:** All staff are responsible for co-operating with the implementation of this Policy and any relevant plans as part of their normal duties and responsibilities.
- h) **Emergency Planning Manager (EPM):** The CCG's EPM will assist the Corporate Services Manager in the review and updates of the BCM plan and related Business Continuity functions including facilitation of any exercises and associated training.

## 7. Business Continuity Planning Approach

- 7.1. The concept of cyclical BCM programme management which follows and the associated stages are directly derived from ISO 22301 and specifically the ISO 22313 Guidance.
- 7.2. **Figure 1** below demonstrates that steps 1 - 4 are cyclical and these should be repeated at least annually to ensure compliance, currency and quality. Thus business continuity plans and associated elements developed as a result of this policy will be living documents that will change and grow as incidents happen, exercises are held and risks are reassessed.



Figure1: *Business continuity programme elements* (Source: ISO 22313)

### 7.3. Stage 1: Understanding the organisation

- 7.3.1. The CCG is responsible for commissioning a wide range of patient services for the local population and in the event of an emergency or business interruption, it is essential that critical services can be restored and maintained as soon as is practically possible.
- 7.3.2. In the event of an emergency or business interruption the CCG will endeavour to maintain services as usual or as close to the usual standard as is practically possible, however it may be evident that this is unachievable. The functions of the organisation have therefore been identified, defined and prioritised using a Business Impact Analysis (BIA).
- 7.3.3. ISO 22313 defines a BIA as the “process of analysing operational functions and the effect that a disruption might have upon them”. The BIA identifies, quantifies and qualifies the impacts and their effects of a loss, interruption or disruption and measures the impact of disruptions to its processes on the organisation. It provides information that underpins later decisions about business continuity strategies.

#### 7.3.4. The BIA process:

- Defines the function and its supporting processes.
- Determines the impacts of a disruption.
- Defines the recovery time objectives (where ISO 22313 defines Recovery Time Objective (RTO) as the period of time following an incident within which a product or service must be resumed, activity must be resumed, or resources must be recovered); and
- Determines the minimum resources needed to meet those objectives.
- Considers any statutory obligations or legal requirements placed on the CCG.

7.3.5. The BIA for the CCG is detailed in [Appendix 1](#).

7.3.6. Within the Business Impact Analysis, functions within the CCG have been categorised as critical, essential and routine. The functions by category are summarised in [Appendix 2](#).

### 7.4. Stage 2: Selecting business continuity options

7.4.1. A number of areas affecting service resilience have been considered for each function to ensure effective service resilience. These include:

- a) **People** - Information on services and supporting resources, key staff, skills, equipment and contact information.
- b) **Premises** - In the event that CCG premises are unavailable or inaccessible for an extended period alternative accommodation will be sought to house all critical / essential processes. The minimum office amenity requirements (desks, phones, PCs, etc.) have been identified for each function.

In the event of an incident, alternative accommodation will be sought with the support of the NHS Property Services.

If further accommodation is required the CCG will approach partner agencies including other Clinical Commissioning Groups (CCGs), the NHS England West Midlands Area Team, adjacent Mental Health Trusts and Acute Trusts.

NB: It is, however, extremely unlikely that this level of response will be required as all CCG personnel responsible for carrying out critical / essential processes will be equipped to work from home or any other base.

- c) **Processes** – Information on IT equipment, software and documentation/records requirements.
- d) **Providers** – The CCG relies significantly upon the products and services of other organisations to be able to deliver its commissioning responsibilities, in particular NHS Arden and Greater East Midlands Commissioning Support Unit (AGCSU) which delivers functions and services on the organisation's behalf.
- e) The BIA identifies the support dependencies provided by other organisations such as the CSU. The BIA also identifies those functions provided entirely by other organisations and where recovery of these services would be undertaken through that supplier's business continuity arrangements.

- f) **Profile** – For each function, consideration has been given on how to ensure reputational. Legal and financial and potential impacts to vulnerable groups are managed.

## 7.5. Stage 3: Developing and implementing a business continuity response

- 7.5.1. There are many and varied possible causes of service disruption. Service continuity planning has been carried out to minimise the effects of a number of potentially disruptive events:
- Major accident or incident, national disaster, epidemic, terrorist attack.
  - Pandemic Influenza
  - Fire, flood, extreme weather conditions.
  - Loss of utilities, including IT failure, potential Cyber-attacks and communication systems failure.
  - Major disruption to staffing; transport disruption (fuel), industrial action, inability to recruit; mass resignations (e.g. lottery syndicate).
- 7.5.2. It should be borne in mind that these events may not be mutually exclusive, eg, extreme weather leads to loss of electricity, disruption to transport (fuel), staff unable to get to work.
- 7.5.3. A cause of a service disruption event may also become an internal critical incident for the CCG and has the potential to involve other agencies.. In this event, the BCM plans would be carried out simultaneously with the response to a multi-agency major incident, as far as is reasonably practicable.
- 7.5.4. As the CCG is a small organisation an overarching action plan covering key risks has been developed which is detailed in [Appendix 3](#). The plan covers all functions which will be recovered as per the priority identified within the Business Impact Analysis.
- 7.5.5. Contact details of staff and key stakeholders are identified in [Appendix 4](#).
- 7.5.6. Mutual aid - In the event that an emergency situation has implications for the wider health economy, the NHS England West Midlands Area Team Incident Response Plan (IRP) will be invoked.
- 7.5.7. The IRP provides systematic arrangements to support the NHS in the West Midlands, to plan, prepare and respond to major incidents beyond the capacity and capability of a single organisation to respond. The IRP is part of an escalatory incident response framework for NHS England which can be invoked as appropriate to the scale and nature of an incident. This will include the management of requests for mutual aid.
- 7.5.8. This approach takes account of NHS England's suite of Emergency Preparedness, Resilience and Response (EPRR) and BCM guidance, the statutory responsibilities of NHS organisations as category 1 and category 2 responders (as described in the Civil Contingencies Act 2004) and the make-up of the locality.
- 7.5.9. An outbreak of Pandemic Influenza is considered one of the top four UK risk for Major Incidents, a specific Coventry & Warwickshire Operational Pan Flu Plan is currently being produced in relation to this risk and, the CCG will co-operate with all partner agencies in Business continuity and recovery in relation to any outbreak.

## **7.6. Stage 4: Exercising and testing**

- 7.6.1. As illustrated in Figure 1 earlier in this document business continuity is a cyclical process. Risk registers, associated arrangements and plans need to be revisited on a regular basis. The CCG will conduct incident or exercise debriefs and update plans and associated documentation based on the lessons learned and current best practice. Risk registers will be reviewed and updated to allow for any change in circumstances and as new information becomes available.
- 7.6.2. As part of the ongoing business continuity cycle the CCG will re-evaluate its arrangements, identify the most vulnerable processes, improve resilience and thereby reduce the level of risk faced by the CCG.
- 7.6.3. Business continuity plans will be reviewed annually or after any BC incident or Exercise.

## **8. Plan activation**

- 8.1. The Director in the work area concerned will decide with discussion with other Directors and the Chief Officer whether the plan or any part of it should be activated. Out of hours the decision will be made by the on-call director.
- 8.2. Once the plan is activated the incident will be managed by the Director of the work area in which the incident occurred. The Director has responsibility for convening a Response Team to ensure that essential services are maintained and that recovery plans are put into place.
- 8.3. The Response Team (RT) membership is at the discretion of the senior manager as each incident is different but at a minimum the team must include another Director, a Governing Body member (usually the Chief Officer or Chief Finance Officer), Corporate Services Manager and where necessary, a member of the Communications Team.
- 8.4. In the event of the plan being activated the Chair of the Governing Body will be fully briefed by a member of the Senior Team and the full Governing Body briefed within a reasonable timescale.
- 8.5. Anyone called to attend the response team by the Director must attend as soon as practicable. There are no exceptions. Any testing of the RT will be built into annual BCM exercises run by the Emergency Planning Manager.
- 8.6. The Director managing the incident has authority to step down the plan in consultation with the Chief Officer.
- 8.7. Following activation and step down of the plan a de-brief report detailing the incident, actions taken and lessons learned will be provided to the Clinical Quality and Governance Committee and the Governing Body. The Emergency Planning Manager will lead in creation of this report.

## **9. Record Keeping**

- 9.1. Good record keeping is paramount if the BCM plan is initiated. The Director leading the incident management is responsible for ensuring that accurate records are kept of all decisions and actions (including expenses) taken once the BCM plan is initiated. See [Appendix 5](#) for the Decisions, Actions and Expenses template.
- 9.2. All records created during the implementation of the BCM plan will be kept by the Corporate Services Manager.

## **10. Communications**

10.1. Good communication is essential. A communication plan will be developed incorporating all Coventry & Warwickshire CCGs, to ensure there are appropriate statements for internal and external communication and processes for ensuring communication to all CCG staff in the event of an emergency.

## **11. Training Requirements**

11.1. All Governing Body members and Directors need to be aware of the contents of this policy, and ensure that they are acquainted with the CCG's Business Continuity Plan and have access to the appropriate templates.

11.2. Training staff on the Business Continuity arrangements detailed within this Plan will be delivered through a variety of means including:

- Ad-hoc meetings or one-to-one meetings with staff.
- Awareness and training events will be organised by the Emergency Planning Manager over an annual target period.

## **12. Implementation, Monitoring and Review**

12.1. The Corporate Services Manager, in conjunction with the Emergency Planning Manager, is responsible for ensuring that this document is reviewed, and, if necessary, revised in the light of legislative guidance or organisational change and incident or exercise de-briefs.

12.2. Review shall be at intervals of no greater than 12 months. A desktop test of the Business Continuity Management Plan will be undertaken annually. A reasonable number of senior managers will be expected to take part in arranged exercises. A debriefing session led by the Emergency Planning Manager will take place following the exercise to establish if any changes need to be made as a result of the exercise.

## **13. Associated Documentation**

13.1. This document is separate from but complementary to:

- The Coventry & Warwickshire CCGs Major Incident Plan
- Risk Management Strategy

# Appendix 1 – NHS South Warwickshire CCG Business Impact Analysis

See Attached spreadsheet

## Appendix 2 – Categorisation of NHS South Warwickshire CCG Functions

<b>CATEGORY 1</b> <b>Critical - resume within 24 hours</b>	Emergency Preparedness - Planning and Response
	Oversight, Management and Monitoring of communications and Engagement
<b>CATEGORY 2 Essential</b> <b>- Resume within 24 - 48 hours</b>	Authorisation of payments to NHS provider organizations
	Authorisation of payments to essential suppliers and independent contractors
	Authorisation of payments to non-essential suppliers and independent contractors
	Financial external returns to NHSE, including monthly finance information and financial plan returns etc.
	Quality and Performance - Statutory/external activity return
	Continuing Healthcare Decision making
	Safeguarding
	Serious Incidents
	Individual Funding Requests
	Corporate Health and Safety
Complaints Management	
<b>CATEGORY 3 Routine - Resume as soon as practical (ideally 2 weeks)</b>	
	Freedom of Information request processing
	Maintenance of Assurance Framework and Risk Register
	Manage the business agendas for the CCG Governing Body, Executive Team and sub-committee meetings; minute taking process delivery and supervision
	Overseeing the delivery of the HR, corporate governance and information governance functions of the CSU.
	QIPPs
	Primary Care activity / quality
	Service Redesign
	Primary Care Contracting
	Financial and contract management function, including preparation of finance and contracting reports for CCG Governing Body etc.
	Key Provider Contract Management meetings e.g. SWFT
	Planning and Forecasting
	Ad hoc data analyses
	Management, development and ongoing monitoring of compliance and performance against the quality expectations within main provider contracts (largely SWFT), for example: SWFT CQRG / assessment of performance on quality schedule KPIs and CQUIN delivery.
Management of the GP Feedback System	
Strategic Planning - coordinating the processes required to deliver strategic and operational plans	
Organisational Development - liaise with team in ACS to enable and monitor delivery of SLA	

	Equality and Diversity - liaise with ACS lead to ensure CCG compliance and commitment to this agenda
	All other functions

## Appendix 3 – NHS South Warwickshire CCG Business Continuity Action Plan

Type of disruption/event	<b>1. Access denial to work area</b> ( <i>any reason including fire, flood, or utility failure (electricity, heating, water).</i> )
Impact on South Warwickshire CCG by the disruption/event	The CCG would be unable to provide the Critical Functions as listed on Appendix 2 of this document and may also need to suspend non-essential functions until normal services could be resumed or alternative premises or access to premises was established.
Risk rating of this event	<b>Impact – 3, Likelihood – 2, Risk Rating = 6</b>
Contingencies available regarding this disruption/event	<p>South Warwickshire CCG staff are based at <b>Westgate House, Market Street, Warwick, CV34 4DE.</b></p> <p><b>Critical functions</b>  South Warwickshire CCG staff who provide critical functions are able to work at the location above or by remote VPN at home or in alternative NHS locations eg, Parkside House, other CCGs, GP Practices.</p> <p>Alternative premises to relocate these staff in the short term will be in conjunction with partnership discussions across Coventry and Warwickshire: CCGs and the NHS England West Midlands Area Team, NHS Property Services, Provider Trusts, and Local NHS Contractors.</p> <p><b>Non critical functions</b>  Reasonable efforts should be made to attend work where alternative locations are available.</p> <p>In short term incidents, staff covering non-essential roles could be asked to take annual leave or flexi time whilst they are unable to attend their designated place of work or an alternative site.</p> <p>If the interruption is due to utilities failure, lack of access to the building or damage to the building or work area and an alternative arrangement cannot be found staff covering non-essential functions may be given time off at the discretion of a member of the Senior Team.</p> <p>For the Emergency Planning management of the response to an interruption, access to an alternative incident control room has been agreed with the NHS England Area Team. This room is located at <b>Parkside House, 47a Parkside, Coventry CV1 2HG</b></p>
Initial Actions During Event	<p><b>If there is an issue accessing the place of work:</b></p> <ul style="list-style-type: none"> <li>• Contact NHS Property Services to report or verify the information and identify the anticipated timescale of the interruption.</li> <li>• Response Team to discuss obtaining access to alternative locations to relocate staff on a temporary basis if required.</li> <li>• Implement flexible working for staff.</li> <li>• Communicate this to staff and notify of alternative working arrangements by telephone call, email and text message.</li> <li>• Chief Officer to provide briefing to Governing Body and notify of alternative working arrangements.</li> <li>• Consider and action wider communications requirements – visitors, public, stakeholders.</li> </ul>

<p><b>Actions in relation to staff</b></p> <p>Include details of contact lists held and the communications process with members of staff.</p>	<p>See separate Contact lists for South Warwickshire CCG staff. Line managers are responsible for cascade to their reportees.</p> <p>NB. Senior Managers should have access to this information.</p> <p>Initial communication with staff includes the following information:</p> <ul style="list-style-type: none"> <li>• What the incident is;</li> <li>• What the cause of the Incident is or may have been (if known);</li> <li>• How long the incident is likely to last;</li> <li>• How the incident is to affect their work and alternative working arrangements</li> <li>• What is expected of them during the course of the incident; and</li> <li>• Confirmation of how communication should be maintained between them and the Manager.</li> </ul>
<p><b>Actions in relation to space</b></p> <p>Include details of accommodation for visitors and staff workplace areas.</p>	<p>Accommodation for staff providing critical functions will be provided at either the nearest accessible alternative CCG site, or by working from home.</p> <p>Space will be identified in alternative sites to allow for meetings with visitors to proceed.</p>
<p><b>Actions in relation to supplies and services</b></p> <p>Include details of supply lines and actions following loss of service or utility.</p>	<p>Suppliers will be notified by staff responsible for ordering essential supplies for the CCG of any alternative location arrangements for deliveries.</p> <p>Visitors will be advised on change of any locations.</p>
<p><b>Planning vulnerabilities and gaps</b></p>	
<p><b>Other actions/comments</b></p>	<p>Ensure this document is circulated to CCG staff and they are aware of their applicable role/s during and after, any incidents.</p>

<b>Type of disruption/event</b>	<b>2. Loss of Established Systems (IT, Specialised Software, Telecommunications and Email)</b>
<b>Impact on South Warwickshire CCG by the disruption/event</b>	The CCG would be unable to provide the Critical Functions as listed on Appendix 2 of this document and may also need to suspend non-essential functions until normal services could be resumed.
<b>Risk rating of this event</b>	Impact – 4, Likelihood – 3, Risk Rating = 12
<b>Contingencies available regarding this disruption/event</b>	<p>Functions that could operate manual paperwork systems until normal IT services are resumed will continue.</p> <p>If there is a prolonged lack of access to IT specifically related to operation from Westgate House, the IT supplier's Disaster Recovery Plan would be implemented and the CCG would mobilise the same arrangements as for lack of access to the building.</p> <p>Loss of access to data/information is mitigated by existing back-up arrangements for the CCGs data, carried out by CWPT IT. The CCG must seek regular assurance and evidence that these backing up arrangements are regularly undertaken.</p>
<b>Initial Actions During Event</b>	<p>If IT functionality is disrupted and critical functions are required:</p> <ul style="list-style-type: none"> <li>• Contact Coventry and Warwickshire IT Support on 02476 844000, Fax 02476 844071, Email <a href="mailto:itservicedesk@covwarkitc.nhs.uk">itservicedesk@covwarkitc.nhs.uk</a> (Unlikely that email will be a communications option) to report or verify the information and identify the anticipated timescale of the interruption.</li> <li>• Use of mobile devices and remote access facilities where possible and if the disruption is specifically related to Westgate House</li> <li>• Response Team to discuss obtaining access to alternative locations to relocate staff on a temporary basis if required.</li> <li>• Functions that could operate manual paperwork systems until normal IT services are resumed will continue.</li> <li>• Implement flexible working for staff where necessary.</li> <li>• Communicate to staff via telephone, text message or verbally.</li> <li>• Chief Officer to provide briefing to Governing Body and notify of alternative working arrangements.</li> </ul> <p>If telecommunications functionality is disrupted and critical functions are required:</p> <ul style="list-style-type: none"> <li>• Contact Coventry and Warwickshire IT Support on 02476 844000, Fax 02476 844071, Email <a href="mailto:itservicedesk@covwarkitc.nhs.uk">itservicedesk@covwarkitc.nhs.uk</a> (Unlikely that email will be a communications option) to report or verify the information and identify the anticipated timescale of the interruption.</li> <li>• Use of mobile telephones rather than land lines.</li> <li>• Response Team to discuss obtaining access to alternative locations to relocate staff on a temporary basis if required.</li> <li>• Implement flexible working for staff if necessary.</li> <li>• Communicate to staff via mobile telephone, text message or verbally.</li> <li>• Chief Officer to provide briefing to Governing Body and notify of alternative working arrangements.</li> </ul>
<p><b>Actions in relation to staff</b></p> <p>Include details of contact lists held and the communications process with members of staff.</p>	<p>See separate Contact lists for South Warwickshire CCG staff. Line managers are responsible for cascade to their reportees.</p> <p>NB. Senior Managers should have access to this information.</p> <p>Initial communication with staff includes the following information:</p> <ul style="list-style-type: none"> <li>• What the incident is;</li> <li>• What the cause of the Incident is or may have been (if known);</li> <li>• How long the incident is likely to last;</li> </ul>

	<ul style="list-style-type: none"> <li>• How the incident is to affect their work and alternative working arrangements</li> <li>• What is expected of them during the course of the incident; and</li> <li>• Confirmation of how communication should be maintained between them and the Manager.</li> </ul>
<b>Actions in relation to space</b> Include details of accommodation for visitors and staff workplace areas.	Staff will obtain IT as detailed above. Visitors will be advised on change of any locations.
<b>Actions in relation to supplies and services</b> Include details of supply lines and actions following loss of service or utility.	Contact provider and maintain contact with them regarding progress on re-establishment of service.  Notify all relevant stakeholders of the interruption to Telecoms – via mobile.
<b>Planning vulnerabilities and gaps</b>	Depending on how widespread the issue is establishing service to other services prior to the CCG may be a priority and therefore the interruption may be extended.
<b>Other actions/comments</b>	Ensure that the communications cascade is updated at least every 6 months and tested once completed to validate functionality.  Ensure all CCG staff are aware of this plan and what is expected of them in incidents.

Type of disruption/event	<b>3. Restricted staffing levels for any reason</b> ( <i>including Influenza Pandemic and travelling difficulties due to extreme weather conditions or fuel shortage</i> )
Impact on South Warwickshire CCG by the disruption/event	The CCG may not be able to provide the Critical Functions as listed in Appendix 2 of this document and may also need to suspend non-essential functions until normal services could be resumed or where sufficient staff are available to cover these functions
Risk rating of this event	Impact – 4, Likelihood – 3, Risk Rating = 12
Contingencies available regarding this disruption/event	<p><b>If pandemic, eg influenza:</b> Staff available who cover non-essential roles and with suitable skills within the CCG in the first instance would be made available to cover the identified critical functions.</p> <p>In Pandemic Flu additional resources from all other areas of NHS England Area Team and Public Health England and CCGs would be sought to support the additional burden of responding to the pandemic.</p> <p>In instances where there are restricted levels of clinical resources, the Chief Officer will consider the use of Governing Body members/clinicians to fulfill specific critical duties where necessary or obtaining clinical input from other sources.</p> <p><b>If severe weather, eg, snow:</b></p> <p>Reasonable efforts should be made by all staff to attend work.</p> <p><b>Critical functions</b> CCG staff who provide critical functions are able to work at Westgate House or by remote VPN at home or in alternative NHS locations eg, Parkside House, other CCGs, GP Practices.</p> <p><b>Non critical functions</b> In short term incidents, staff covering non-essential roles could be asked to take annual leave or flexi time whilst they are unable to attend their designated place of work or an alternative site.</p>
Initial Actions During Event	<p><b>If pandemic, eg influenza:</b></p> <ul style="list-style-type: none"> <li>• Review staffing numbers and confirm continuation of critical functions</li> <li>• Where necessary suspend non-essential functions if staffing levels are hit substantially.</li> <li>• Monitor position daily as this will be constantly changing.</li> <li>• Provide staff for redeployment to critical function across the CCG.</li> <li>• Obtain access to emails of absent staff where necessary.</li> <li>• Notify staff of decisions to suspend work and redeploy staff where necessary.</li> <li>• Keep all CCG staff informed of the situation in relation to the Pandemic.</li> <li>• Annual leave and flexi leave may be cancelled for all CCG. This is a decision for the Senior Team.</li> <li>• Staff that attend work with flu like symptoms will be asked to go home to protect the health workforce.</li> <li>• Chief Officer to consider availability of clinical resources and where necessary sourcing alternative input.</li> <li>• Chief Officer to provide briefing to Governing Body and notify of alternative working arrangements.</li> </ul> <p><b>If severe weather, eg, snow:</b></p> <ul style="list-style-type: none"> <li>• Cascade weather warnings to staff in advance of absences.</li> <li>• Review staffing numbers and confirm continuation of critical functions</li> <li>• Implement flexible working arrangements for staff immediately</li> <li>• Communicate this to staff telephone call, email and text message</li> <li>• If situation persists review arrangements in place and monitor the impact to critical functions.</li> </ul>

	<ul style="list-style-type: none"> <li>• Chief Officer to consider availability of clinical resources and where necessary sourcing alternative input.</li> <li>• Chief Officer to provide briefing to Governing Body and notify of alternative working arrangements.</li> </ul> <p><b>If fuel shortage:</b></p> <ul style="list-style-type: none"> <li>• Review staffing numbers and confirm continuation of critical functions</li> <li>• Obtain access to emails of absent staff where necessary.</li> <li>• Implement flexible working arrangements for staff immediately</li> <li>• Communicate this to staff telephone call, email and text message</li> <li>• Chief Officer to consider availability of clinical resources and where necessary sourcing alternative input.</li> <li>• Chief Officer to provide briefing to Governing Body and notify of alternative working arrangements.</li> <li>• If situation persists review arrangements in place and monitor the impact to critical functions.</li> <li>• The NHS England Area Team will activate the Fuel Shortage Response Plan and ensure temporary logos are issued to staff who qualify under this scheme.</li> </ul>
<p><b>Actions in relation to staff</b></p> <p>Include details of contact lists held and the communications process with members of staff.</p>	<p>See separate Contact lists for South Warwickshire CCG staff. Line managers are responsible for cascade to their reportees.</p> <p>NB. Senior Managers should have access to this information.</p> <p>Initial communication with staff includes the following information:</p> <ul style="list-style-type: none"> <li>• What the incident is;</li> <li>• What the cause of the Incident is or may have been (if known);</li> <li>• How long the incident is likely to last;</li> <li>• How the incident is to affect their work and alternative working arrangements</li> <li>• What is expected of them during the course of the incident; and</li> <li>• Confirmation of how communication should be maintained between them and the Manager.</li> </ul>
<p><b>Actions in relation to space</b></p> <p>Include details of accommodation for visitors and staff workplace areas.</p>	<p>Under flexible working arrangements for severe weather situations staff should already have notified their line manager of the nearest base they can attend or whether flexible working arrangements have been agreed.</p>
<p><b>Actions in relation to supplies and services</b></p> <p>Include details of supply lines and actions following loss of service or utility.</p>	
<p><b>Planning vulnerabilities and gaps</b></p>	<p>If these situations arose during key staff holiday times then the impact on staffing levels would be experienced earlier than in the times when staff would normally be at work. E.g. summer holiday periods, Easter and Christmas.</p>
<p><b>Proposed remedial actions</b></p>	
<p><b>Other actions/comments</b></p>	<p>Ensure all CCG staff are made aware of this plan and what their role is within it.</p>

## Appendix 4 – Directory of Contacts

**Note:** Line/Team managers are responsible for cascade to their reportees. The communications cascade responsibilities for the organisation are outlined in the diagram below.



## Essential Telephone Numbers - Westgate House

### During Office Hours

(8.30am until 5.00 pm Monday to Friday)

#### Estates

**For all maintenance issues:**

Please report any issues to the **Estates and Facilities Team** [Estates@ardengemcsu.nhs.uk](mailto:Estates@ardengemcsu.nhs.uk) who will contact the relevant maintenance service.

Examples of this could be blocked toilets, faulty light bulbs, leaks, broken windows etc

#### Security

For any security issues that occur during office hours please contact the **Estates and Facilities Team** [Estates@ardengemcsu.nhs.uk](mailto:Estates@ardengemcsu.nhs.uk)

#### IT/Telephony

Should the phone or IT System fail, please contact: **02476 844000**

### Out of Office Hours

**(After the hours of 5.01pm in the evening until 08.59am in the morning Monday to Friday and also covering the 24 hour period on both Saturday and Sunday)**

#### Estates

For any urgent estates or maintenance issues out of hours.

**Building Related Issues:** eg: Broken Windows, Vandalism etc. Please contact: **NHSPS Estates Helpdesk or 01902 575050**

**Landlord Knight Frank Helpdesk 08449 802519**

**Swipe Door Entry issues or anything within the floors** please contact:  
**WCS Key holders and Alarm Response 24 Hours 01789 297949**

#### Security

For any security issues with the external doors or someone trying to gain access to a building without permission:

**Please contact: WCS Key holders and Alarm Response 24 Hours 01789 297949**

<b>Internal Providers - DETAILS ONLY PUBLISHED IN 'LIVE' DOCUMENT</b>			
<b>ORGANISATION</b>	<b>TEL</b>	<b>EMAIL</b>	<b>OTHER INFO, EG ACCOUNT NO</b>
Arden & GEM Commissioning Support Comms (South Warwickshire and Warwickshire North):			
On call number for communications (Coventry and Rugby):			

<b>Key Suppliers/ Stakeholders - DETAILS ONLY PUBLISHED IN 'LIVE' DOCUMENT</b>			
<b>ORGANISATION</b>	<b>TEL</b>	<b>EMAIL</b>	<b>OTHER INFO, EG ACCOUNT NO</b>

<b>Local CCG On Call Directors Contact list - DETAILS ONLY PUBLISHED IN 'LIVE' DOCUMENT</b>				
<b>Name/Job title</b>	<b>Organisation</b>	<b>Office number</b>	<b>Personal mobile</b>	<b>Email Address</b>
		<b>Work Mobile</b>	<b>Home number</b>	

<b>Other Useful Contact Numbers - DETAILS ONLY PUBLISHED IN 'LIVE' DOCUMENT</b>			
<b>ORGANISATION</b>	<b>TEL</b>	<b>EMAIL</b>	<b>OTHER INFO, EG ACCOUNT NO</b>
Police / Fire Brigade/ Ambulance	999		Emergency only
Police (non-emergency number)	101		Non - Emergency

