Business continuity policy

CORP-0048-v4.1

Status: Ratified
Document type: Policy

1. Why we need this policy

1.1. Purpose

The purpose of this policy is to state and communicate the Tees, Esk and Wear Valleys NHS Foundation Trust's intention, organisation and arrangements for Business Continuity Management, to:

- Ensure Business Continuity resilience.
- The ongoing management and maintenance of business continuity capability through Business Continuity Plans.

1.2. Objectives

- Manage the risks and minimise disruption to normal operation of the Trust's critical services which may arise from the external environment or from within the organisation.
- Enable a co-ordinated approach to the assessment, prevention, preparation, response and recovery of any critical service where normal operational conditions have been disrupted.
- Ensure Trust staff have the appropriate guidance and training to continue delivery of critical services at an acceptable level during a period of disruption.
- Ensure that there is a robust and predefined Command and Control system within the organisation to respond to and manage significant disruption.
- Work with partner organisations to ensure local plans are mutually supportive and collaborative.

2. Scope

2.1. Who this policy applies to

- All Trust staff.

2.2. Roles and responsibilities

Role	Responsibility
Chief Executive	• Ensuring the organisation has a Business Continuity Policy and comprehensive Business Continuity Plans (BCPs) in place.
Non Executive Directors	• Via reports from the Audit Committee ensuring that the Executive Management Team and other senior officers fulfil their responsibilities for this policy.
Executive/Service Directors	• Ensuring that critical services and support systems (including IT systems) have been identified in their area of responsibility; • Having comprehensive and up to date Business Continuity Service Plans in place and embedded throughout the services to maintain critical services at acceptable levels in the event of a disruption.
Chief Operating Officer	• Identified as Emergency Planning Lead Director; • Ensuring this policy is implemented; • Chairing the Emergency and Business Continuity Planning Working Group; • Maintaining the Trust Command and Control arrangements; • Managing any Business Continuity issues in line with the Command and Control BCP; • Maintain the Trust's Pandemic Influenza and BCP; • Maintaining the Trust's Command and Control Business Continuity Plan.
Director of Nursing and Governance	• Maintaining the Trust's Pandemic Influenza Plan.

3. Policy

3.1. Business Continuity Management System

The Trust has implemented the following Business Continuity Management system:-

- Business Impact Analysis – a strategic overview via a survey and analysis process has been used to differentiate between critical and non-critical Trust services and systems
- The Business Impact Analysis has led to Business Continuity Service Plans being developed for all critical services and systems in readiness for use in an incident to assist the Trust to continue to deliver its critical services at an acceptable pre-defined level
- Command and Control function – Comprehensive Business Continuity and Pandemic Influenza Command and Control plans are in place to enable a team to be established to efficiently manage an emergency or disruption impacting on Trust critical services
- Risk Register – An Emergency Planning and Business Continuity Risk Register is in place which identifies Trust risks including those linked to the National and Community Risk Registers. High level risks are escalated to locality and Trust Risk Registers as appropriate

The above elements of the Business Continuity Management System do not stand alone and in the event of a Trust-wide or site-wide incident a number of Service Plans and the Command and Control Plan will inter-link to effectively manage the issue

3.2. Maintenance of Business Continuity Management System

Validation and maintenance of the Business Continuity plans and Incident Co-ordination Centres is essential to ensure that they are fit for purpose and to take account of any change in circumstances. The responsibility for carrying out the necessary actions to ensure this occurs is shown in the table below:

Action	By	Frequency
Review and update Command and Control Business Continuity Plan	Emergency Planning & Business Continuity Manager	Bi-monthly
Review and update Command and Control Pandemic Influenza Plan	IPC and Physical Healthcare Senior Nurse	Bi-monthly
Review and update Service Business Continuity Plans	General Manager / Associate Director	Bi-monthly
Review Emergency Planning and Business Continuity Risk Register	Emergency Planning & Business Continuity Working Group	Quarterly
Arrange for Testing of Trust Incident Coordination Centre (ICCs)	Emergency Planning and Business Continuity Manager	Monthly
Implement programme of desk top exercises for Command and Control and Service Business Continuity Plans	Emergency Planning and Business Continuity Manager	Annually
Live Test the ICC's	Emergency Planning and Business Continuity Manager	Annually

3.3. Training/Awareness Raising

To embed Business Continuity Management into the everyday business process of the Trust, an ongoing programme of training / awareness raising events needs to take place. The Trust intends to achieve this by:-

- Including a section on Business Continuity Planning on the Trust Corporate Induction Sessions;
- Implementing a Business Continuity e-learning package;
- Incorporating guidance on Business Continuity into the Health, Safety, Security and Emergency Planning Workbooks held by each wards department;
- Carrying out an annual programme of table top exercises;
- Carrying out an annual semi live test.

4.   Planning framework

4.1. Internal emergency plan

Purpose	Plan
This Plan identifies: • what is required of the services in the event of an internal emergency; • the roles needed to be undertaken	Internal Emergency Plan

4.2. External Major Incident Plan

Purpose	Plan
This Plan identifies the roles and responsibilities of the Trust in the event of an External Major Incident	External Major Incident Plan

4.3. Command and Control Business Continuity Plan

Purpose	Plan
This plan describes the arrangements that the Trust has in place to ensure the effective management of a disruption which may impact on critical services	Command and Control Business Continuity Plan

4.4. Pandemic Influenza Plan

Purpose	Plan
This Plan describes the arrangements that the Trust has in place to ensure the effective management of Pandemic Influenza outbreak	Pandemic Influenza Plan

4.5. Service Business Continuity Plan

Purpose	Plan
These plans detail the response to interruptions of critical services and action required to maintain services at an acceptable level and return them to business as usual as soon as possible	Service Business Continuity Plan (held locally)

5. Definitions

Term	Definition
Business Continuity	• Creation and validation of a practiced logistical plan for how an organisation will resume and continue delivery, partially or completely, of interrupted critical functions within a predetermined time after a disaster or disruption
Business Continuity Plan (BCP)	• A documented collection of procedures developed, compiled and maintained in readiness to use in an incident to enable an organisation to continue to deliver its critical services at an acceptable, pre-defined level
Business Impact Analysis (BIA)	• A survey and analysis process to determine the differentiation between critical and non-critical organisation services/processes • A service may be considered critical if the implications cause damage to the organisation and are regarded as unacceptable
Command and Control	• The exercise of authority and direction by a designated Leader in the Incident Coordinating Centre (ICC) over an assigned and attached team in order to efficiently manage an organisations response to a major incident/disruption • Functions are performed through an arrangement of personnel, equipment, communications, facilities and procedures employed by the Team Leader in planning, directing, co-ordinating and controlling designed to continue delivery of critical services at acceptable levels and effect an orderly return to Business as Usual operations

6.   Related documents

See 4 planning framework

7.   How this policy will be implemented

- This policy will be published on the Trust's intranet.
- <u>Directors of Operations and</u> Line managers will disseminate this policy to all Trust employees through a line management briefing.

8.   How this policy will be audited

The Emergency Planning and Business Continuity Manager will carry out an annual audit of all Business Continuity Service Plans to ensure that they are being maintained.

9.   References

- NHS Emergency Planning guidance
- NHS Operating Framework
- Civil Contingencies Act 2004

10. Document control

Date of approval:	09 May 2018	
Next review date:	09 November 2021	
This document replaces:	Business Continuity Policy CORP-0048-v4	
Lead:	Name	Title
	Linda Parsons	Associate Director of Estates And Facilities Management
Members of working party:	Name	Title
This document has been agreed and accepted by: (Director)	Name	Title
	Brent Kilmurray	Chief Operating Officer
This document was approved by:	Name of committee/group	Date
	Emergency and Business Continuity Planning Working Group	05 March 2018
This document was ratified by:	Name of committee/group	Date
	Executive Management Team	09 May 2018
An equality analysis was completed on this document on:	26 April 2018	
Amendment details:	V4.1 09 May 2018 – Full review with no changes. V4.1 Oct 2020 - Review date extended	

Appendix 1 - Equality Analysis Screening Form

Please note; The Equality Analysis Policy and Equality Analysis Guidance can be found on InTouch on the policies page

Name of Service area, Directorate/Department i.e. substance misuse, corporate, finance etc.	Estates and Facilities Management					
Name of responsible person and job title	Linda Parsons, Associate Director of Operational Services					
Name of working party, to include any other individuals, agencies or groups involved in this analysis	N/A					
Policy (document/service) name	Business Continuity Policy					
Is the area being assessed a…	Policy/Strategy	✓	Service/Business plan		Project	
	Procedure/Guidance				Code of practice	
	Other – Please state					
Geographical area covered	Trust-wide					
Aims and objectives	To state and communicate the Trust's intention, organisation and arrangements for business continuity management.					
Start date of Equality Analysis Screening (This is the date you are asked to write or review the document/service etc.)	26 April 2018					
End date of Equality Analysis Screening (This is when you have completed the equality analysis and it is ready to go to EMT to be approved)	26 April 2018					

You must contact the EDHR team if you identify a negative impact. Please ring Sarah Jay on 0191 3336267/3046

1. Who does the Policy, Service, Function, Strategy, Code of practice, Guidance, Project or Business plan benefit?
Trust Managers

2. Will the Policy, Service, Function, Strategy, Code of practice, Guidance, Project or Business plan impact negatively on any of the protected characteristic groups below?

Race (including Gypsy and Traveller)	No	**Disability** (includes physical, learning, mental health, sensory and medical disabilities)	No	**Gender** (Men, women and gender neutral etc.)	No
Gender reassignment (Transgender and gender identity)	No	**Sexual Orientation** (Lesbian, Gay, Bisexual and Heterosexual etc.)	No	**Age** (includes, young people, older people – people of all ages)	No
Religion or Belief (includes faith groups, atheism and philosophical belief's)	No	**Pregnancy and Maternity** (includes pregnancy, women who are breastfeeding and women on maternity leave)	No	**Marriage and Civil Partnership** (includes opposite and same sex couples who are married or civil partners)	No

Yes – Please describe anticipated negative impact/s

No – Please describe any positive impacts/s

3. Have you considered other sources of information such as; legislation, codes of practice, best practice, nice guidelines, CQC reports or feedback etc.? **If 'No', why not?**	**Yes**	✔	**No**	

Sources of Information may include:

- Feedback from equality bodies, Care Quality Commission, Equality and Human Rights Commission, etc.
- Investigation findings
- Trust Strategic Direction
- Data collection/analysis
- National Guidance/Reports

- Staff grievances
- Media
- Community Consultation/Consultation Groups
- Internal Consultation
- Research
- Other (Please state below)

4. Have you engaged or consulted with service users, carers, staff and other stakeholders including people from the following protected groups?: Race, Disability, Gender, Gender reassignment (Trans), Sexual Orientation (LGB), Religion or Belief, Age, Pregnancy and Maternity or Marriage and Civil Partnership

Yes – Please describe the engagement and involvement that has taken place

No – Please describe future plans that you may have to engage and involve people from different groups

N/A

5. As part of this equality analysis have any training needs/service needs been identified?					
No	Please describe the identified training needs/service needs below				
A training need has been identified for;					
Trust staff		No	Service users	No	Contractors or other outside agencies	No

Make sure that you have checked the information and that you are comfortable that additional evidence can provided if you are required to do so	
The completed EA has been signed off by: You the Policy owner/manager: Type name: Linda Parsons, Associate Director of Operational Services	Date: 26 April 2018
Your reporting (line) manager: Type name: Paul Foxton, Acting Director of Operations EFM	Date: 26 April 2018
If you need further advice or information on equality analysis, the EDHR team host surgeries to support you in this process, to book on and find out more please call: 0191 3336267/3046	