



Review Sheet

Last Reviewed
30 Sep '20Last Amended
30 Sep '20Next Planned Review in 12 months, or
sooner as required.

Business impact



Immediate action these changes are business critical and to be delivered as a matter of urgency.

Reason for this review

Best practice

Were changes made?

Yes

Summary:

This policy has been updated to reflect the Department of Health and Social Care's Winter 2020-1 plan. The policy has been simplified to support providers to create plans more easily. A new templated business continuity plan has been added which includes key themes. The template needs a full review and customising by the service and any local themes need to be included. Additional templates on service user priority need categorisation added. Impact raised to critical to reflect the need to have plans in place asap. The reference number on this policy has changed. Previously it was AB02.

Relevant legislation:

- European Union (Withdrawal) Act 2018
- The Care Act 2014
- 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
- Coronavirus Act 2020

Underpinning knowledge - What have we used to ensure that the policy is current:

- Author: DURHAM CIVIL CONTINGENCIES UNIT, (2018), *Business Continuity Plan - A Guide to Preparing A Plan For A Residential Home*. [Online] Available from: <https://www.durham.gov.uk/media/885/Residential-Care-Homes-Business-Continuity-Guide/pdf/ResidentialCareHomeBusinessContinuityGuide.pdf> [Accessed: 30/9/2020]
- Author: NHS England, (2016), *Business continuity*. [Online] Available from: <https://www.england.nhs.uk/ourwork/epr/bc/> [Accessed: 30/9/2020]
- Author: The Care Quality Commission, (2015), *Regulation 15: Premises and equipment*. [Online] Available from: <https://www.cqc.org.uk/guidance-providers/regulations-enforcement/regulation-15-premises-equipment> [Accessed: 30/9/2020]
- Author: The Care Quality Commission, (2018), *Events that stop services running safely and properly - notification form*. [Online] Available from: <https://www.cqc.org.uk/guidance-providers/notifications/events-stop-service-running-safely-properly-notification-form> [Accessed: 30/9/2020]
- Author: The Care Providers Alliance, (2018), *Developing Contingency Plans for Adult Social Care Services*. [Online] Available from: https://careprovideralliance.org.uk/assets/pdfs/cpa_contingency_planning_guidance_18061 [Accessed: 30/9/2020]
- Author: Department of Health and Social Care, (2020), *Policy paper Adult social care: our COVID-19 winter plan 2020 to 2021*. [Online] Available from: <https://www.gov.uk/government/publications/adult-social-care-coronavirus-covid-19-winter-plan-2020-to-2021/adult-social-care-our-covid-19-winter-plan-2020-to-2021> [Accessed: 30/9/2020]



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Suggested action:	<ul style="list-style-type: none">• Encourage sharing the policy through the use of the QCS App• Establish process to check and confirm staff understanding of the policy• Include discussion in staff handovers• Ensure policy is on the agenda for all supervisions• Share information quickly and widely• Ensure all staff know about the policy changes
Equality Impact Assessment:	QCS have undertaken an equality analysis during the review of this policy. This statement is a written record that demonstrates that we have shown due regard to the need to eliminate unlawful discrimination, advance equality of opportunity and foster good relations with respect to the characteristics protected by equality law.

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**1. Purpose**

1.1 To ensure that CCK Support Ltd is able to continue the running of the service in the event of an emergency situation or business disruption, whether it is predicted or unforeseen, to minimise the impact of any disruption and restore the service back to its normal way of operating as swiftly as possible.

1.2 To ensure that CCK Support Ltd is prepared for any incident that potentially may disrupt the service; this includes preparing for the impact of a second wave of the coronavirus pandemic, flu and winter weather.

1.3 To support CCK Support Ltd in meeting the following Key Lines of Enquiry:

Key Question	Key Lines of Enquiry
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?

1.4 To meet the legal requirements of the regulated activities that CCK Support Ltd is registered to provide:

- | European Union (Withdrawal) Act 2018
- | The Care Act 2014
- | 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
- | Coronavirus Act 2020

**2. Scope**

2.1 The following roles may be affected by this policy:

- | All staff

2.2 The following Service Users 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 ensure that CCK Support Ltd has a tested plan in place that keeps Service Users, staff and visitors safe and the business operating smoothly.
- 3.2** To ensure that any local and national guidance or regulatory requirements in relation to business continuity are reflected in the plan at CCK Support Ltd and that action is taken, where required, to mitigate any risks; this includes [Adult Social Care: Our COVID Winter Plan 2020-2021](#) and any associated government guidance.
- 3.3** To identify any risks to the business, ensure that plans are in place to reduce these risks and to test and update the plan regularly to make sure it is up to date and works effectively.



4. Policy

4.1 CCK Support Ltd recognises that it has a duty to its Service Users, staff, commissioners and anyone who is involved with it, to ensure the care and support it provides continues to be delivered at acceptable levels during a disruptive incident. Incidents may be caused by problems with IT, telephones, the building or external environment (such as weather), public health incidents such as coronavirus or flu pandemics or terrorism incidents. Through effective planning and testing of our BCP we aim to:

- | Ensure the welfare of our staff, Service Users and visitors
- | Maintain clear communication during any disruption
- | Reduce the frequency and impact of significant operational disruptions
- | Continue to deliver safe, reliable, high quality care
- | Fulfil any contractual obligations
- | Maintain public and Service User confidence and the reputation of CCK Support Ltd

4.2 CCK Support Ltd will prepare the business to respond to disruptions by:

- | Understanding what the key areas of the business are that potentially may be disrupted and must continue
- | Learning from past incidents where the ability to provide care has been impacted
- | Identifying what risks CCK Support Ltd is likely to face and the impact of those risks
- | Planning how to reduce the risks
- | Testing how effective the plan is
- | Ensuring that staff understand the role they have when the service is disrupted
- | Communicating the plan
- | Keeping the plan up to date
- | Collaborate with Kent County Council and health partners to ensure a joined up approach to business continuity

4.3 In the event of an emergency incident, CCK Support Ltd will have a clear escalation plan in place that will be communicated to all staff and which is accessible quickly. The emergency plan forms part of the business continuity planning at CCK Support Ltd.

4.4 Responsibilities

- | CCK Support Ltd will have a named individual who will take the lead on ensuring that a business continuity plan is created, reviewed and updated. They will have responsibility for the tracking of issues that might affect the business of CCK Support Ltd and Service Users and reporting to the senior management so that action can be taken. This person is the Business Continuity Lead at CCK Support Ltd
- | The Senior Leadership Team will review the BCP at regular intervals agreed by CCK Support Ltd to identify any new or potential risks and to identify any lessons learned as part of continuous improvement
- | The Managing Director has the authority and responsibility for ensuring that CCK Support Ltd complies with legal and policy requirements and that CCK Support Ltd is prepared to respond to an incident should this occur

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

**5. Procedure****5.1 Understanding what Business Continuity Plans are at CCK Support Ltd**

Business Continuity Management means identifying those areas within CCK Support Ltd that are important so if an incident arises, steps are taken to reduce the impact on the service.

The creation of a BCP means that once the areas have been identified, the plan will detail what needs to be done to keep the service operating and get CCK Support Ltd back to 'business as usual', as quickly as possible. Areas that must be considered are Information Technology, (phones, computers, rostering, care planning, electronic medication management systems etc.) supplies, buildings and staff.

For help with writing a business continuity plan, please refer to the [Care Provider Alliance](#) Business Continuity Planning Guidance.

5.2 Plan Objectives

The objective of the Business Continuity Plan at CCK Support Ltd is to:

- | Provide a clearly defined course of action
- | Provide a timely and orderly recovery of the business
- | Identify a 'Business Continuity Team'
- | Identify business-critical functions and define what needs to happen if these functions are impacted
- | Undertake specific risk assessments on the most likely causes of disruption to services (threats/risk)
- | Undertake a Business Impact Analysis for each activity undertaken within the company/organisation to help determine what business continuity arrangements are required
- | Identify those who must be notified and kept informed of the incident that disrupts the business
- | Keep a log of the incident so that it is clear what happened and when
- | Understand lessons learned and feedback into the business continuity planning cycle

5.3 Creating, Planning, Sharing, Reviewing the BCP

CCK Support Ltd will create a BCP in the following way. CCK Support Ltd will:

- | Decide who the Business Continuity Lead is. They will be responsible for writing, checking and maintaining the plan as well as assembling a team to help write the plan. At CCK Support Ltd, this will be the Business Continuity Lead
- | Look at things that could disrupt the service. CCK Support Ltd must consider what is most likely to occur and, if it does, what is going to have the biggest impact on the business. This will help CCK Support Ltd agree on what the biggest risks are
- | Consider what can be done in advance to eliminate or minimise the risks. The plan will also consider what to do if, despite planning, the incident still arises
- | Share the plan. The BCP is owned by the Managing Director and the Business Continuity Lead will ensure that all teams understand the plan and know what to do if an incident arises. CCK Support Ltd will, as part of winter planning, share the plan with Kent County Council and the CQC and Health commissioners, if appropriate, to highlight how the business is prepared for COVID, Winter, flu and any other incidents that may arise
- | Implement these actions, practice the plan at CCK Support Ltd to make sure it works, study the plan and update it where required. CCK Support Ltd will do this regularly, particularly during the COVID pandemic which is a fast-moving situation. As a minimum, this should be yearly. However, during 2020-21, the frequency of review will be increased. Staff can refer to the Pandemic Policy and Procedure for guidance on what to include in the BCP to manage the pandemic

The whole process is called the Planning Cycle referred to as [Plan, Do Study, Act](#) (PDSA).

5.4 Placement of the Plan

Ms Susanne Wild and Dee Byron, their Deputy, the Business Continuity Lead and Managing Director must

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all receive copies of the plan. In addition, copies will be placed in locations where it can be easily accessed. The BCP will be included in quality meetings and staff meetings so that staff understand it and are aware of their roles and responsibilities.

5.5 In an Actual Emergency:

- | Start an Emergency Response Checklist and complete as necessary
- | 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 BCP in order to identify actions to be taken

5.6 Emergency Plans

CCK Support Ltd will need to consider the following list of Emergency Plans of public agencies which may exist and which may have an impact on the premises:

- | Flood Plan
- | Off-site **Control of Major Accident Hazards**
- | Pandemic

the Business Continuity Lead will contact the Emergency Planning section of Kent County Council and ask for details of any local emergency plans that they need to be aware of, deleting any that are not appropriate. the Business Continuity Lead will also ensure that all staff are aware of any appropriate procedures to take and insert relevant details into the BCP plan.

**6. Definitions****6.1 Business Continuity Plan (BCP)**

- | Business continuity planning is the process of creating systems of prevention and recovery to deal with potential threats to a company. In addition to prevention, the goal is to enable ongoing services before and during the execution of disaster recovery

6.2 Control of Major Accident Hazards (COMAH)

- | COMAH stands for: **Control of Major Accident Hazards** where there are specific regulations that came into force on 1 April 1999 (Amendment) Regulations 2005.
- | These regulations apply to major hazard sites (industrial sites) that manufacture, process or store dangerous chemicals and substances in quantities that could pose a risk to workers, people in the vicinity of the site, and the environment in the event of a major accident. These 'major accidents' include fires, explosions or incidents in which dangerous substances are released. Major accidents are rare but can occur at sites ranging from large petrochemical plants to chemical storage warehouses. COMAH sites usually apply mainly to the chemical industry, but also to some storage activities, explosives and nuclear sites, and other industries where threshold quantities of dangerous substances identified in the Regulations are kept or used

**Key Facts - Professionals**

Professionals providing this service should be aware of the following:

- | CCK Support Ltd has a Business Continuity Plan in place so that it is prepared for any incident that disrupts the smooth running of the service
- | CCK Support Ltd will communicate any necessary detail of the plan and ensure that the plan is tested
- | Where required, notifications to the Care Quality Commission will be submitted in line with regulatory requirements
- | CCK Support Ltd has a named individual responsible for creating, sharing and reviewing the BCP. This is the Business Continuity Lead
- | During Winter 2020-21, we will be regularly reviewing our BCP to ensure that we can prepare for any challenges posed by COVID, flu, adverse weather or any other incidents



Key Facts - People affected by the service

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

- | You are always welcome to give your ideas through the comment box, in person, or through an advocate or representative at any time
- | Sometimes things can happen which are beyond the control of CCK Support Ltd, such as extreme weather, frozen pipes or illness of staff
- | CCK Support 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
- | CCK Support Ltd has your safety and wellbeing at the heart of the service
- | 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 if you have any questions in relation to the plan
- | CCK Support Ltd has a plan in place to prepare for how COVID, flu outbreaks, or any other infections may affect the care and support you receive. This plan will make sure you continue to receive safe, reliable care at all times



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/>



Outstanding Practice

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

- | Prompts and action cards are developed for individual roles to assist with completing tasks in an emergency
- | 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
- | Regular testing of the Business Continuity Plan takes place and any actions from it are addressed to ensure continuous improvement of the service
- | 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
Business Continuity Plan Forms - AB59	When creating a new plan or updating the current plan	QCS
Business Continuity Plan (Template with Key Themes) - AB59	When preparing or updating Winter Business Continuity Plan 2020-1	QCS

Business Continuity Risk Assessment

Within a service, there will be many risks that could have a major impact on the service's ability to provide the required outcomes. It is, however, not always possible to mitigate these risks and, therefore, it is important that the service examines these risks in detail in advance. The risk evaluation matrix is a simple approach to measuring risk by defining measures of consequence (severity) and likelihood (frequency or probability) using a simple 1-5 rating system. This allows the construction of a risk matrix which can be used as the basis for identifying risk. The risk score is Impact x Likelihood. Details of the risk evaluation matrix are given below.

Impact (Severity)

Impact is the actual or potential outcome of an event/risk/hazard occurring. The table below sets out 5 levels of impact and must be used to allocate a score to the actual or potential outcome of an event/risk/hazard.

Likelihood (Frequency or Probability)

This is the likelihood of the event/hazard/incident occurring or reoccurring. The table below sets out 5 levels of likelihood and must be used to allocate a score to the likelihood of the event/hazard/incident occurring or reoccurring.

A final risk rating should be calculated using the following matrix which places the emphasis on impact:

Organisations should assess the impact and likelihood of incidents disrupting the delivery of routine services to effectively mitigate the impacts of these.

This risk assessment can be a standalone service risk document or sit as part of the plan. The Business Continuity Plan should ensure that this is signposted if it is a separate document. An example is also given below. The templated Business Continuity Plan has key themes to consider with mitigating actions. You will need to determine if these are relevant to your business and the impact and likelihood of them arising as this is unique to your service. You will also need to include any areas unique to your service, your contracts, your staff or your local area. The list in the template is not exhaustive.

For example:

- At flood risk
- Having a small staff base
- Being in an old building with less resilient infrastructure

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Risk	Impact (1-5)	Likelihood (1-5)	Risk Rating (Impact x likelihood)	Mitigating actions	Lead
Home at risk of flooding from local river	4 Significant	2 Medium Low	8 High Risk	Sign up for environment agency flood warning service Ensure alternative premises in place	Registered Manager

LIKELIHOOD

		1	2	3	4	5
		Low	Medium Low	Medium	Medium High	High
		< 6 %	6% - 20%	21% - 50%	51% - 80%	> 80%
IMPACT	5 Catastrophic	5	10	15	20	25
	4 Significant	4	8	12	16	20
	3 Moderate	3	6	9	12	15
	2 Minor	2	4	6	8	10
	1 Limited	1	2	3	4	5

Low risk, Medium Risk, High Risk, Very High Risk

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Template

Risk	Impact (1-5)	Likelihood (1-5)	Risk Rating (Impact x likelihood)	Mitigating actions	Lead

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Identification of Vulnerable Service Users

An incident, whether internal to CCK Support Ltd or affecting the local area, has the potential to impact Service Users who may be deemed as vulnerable. There is a requirement on homes to assess vulnerable Service Users and consider relevant actions to mitigate the risk to them. How the vulnerability is defined will vary depending on the incident and should be a dynamic decision considering the impacts of the incident and how it will affect those considered vulnerable. Once Service Users are identified, specific actions need to be considered.

The tool below may help CCK Support Ltd to manage challenges to service provision by having a pre-defined list of Service Users who have been prioritised based on needs and their vulnerability. This can be useful when preparing for winter 2020-21. The tool is not suitable for calculating fees or reviewing care. The tool can be adapted to reflect your own Service Users.

Rating:	Priority:	Criteria:
Red	1	Service Users who require complete support, i.e. washing, dressing, assistance to meet nutritional needs, assistance with toileting, medication administration, those with cognitive impairment, visual or hearing impairment, clinically vulnerable to COVID-19, flu, those who may require 2 staff to mobilise or those who have restricted movement.
Amber	2	Again, complete support required (as above) but less support is required. They may be in the age category that puts them at risk of COVID/ flu but no medical vulnerabilities. Can manage with minimal support. No cognitive impairment.
Green	3	Service User are more able and capable of performing basic care routines for themselves (i.e. washing, dressing, etc.). Not clinically vulnerable to COVID/flu

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Service User Priority Needs Categorisation			
Rating: RED AMBER GREEN	Service User Name:	Service User Number:	Brief Description of Needs:



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Logging of The Incident

- Start a log as soon as the incident has started by completing the sheet below (use further sheets if the need arises). Log any actions taken, e.g. evacuation (who, where did they go), utility disconnected, etc. Decisions made and to make. State date, time, contact details, type of event, scale, etc.
- Note any damage
- Call out of key staff to convene management/incident team

It is important to ensure that all information / decisions and actions are logged **in the order they occur**.

Business Interruption Log Sheet			
Date:			
Log Ref	Time	Information/Decisions/Actions	Items Outstanding

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Service Impact Analysis and Risks Log

Date of Disruption:		Time:	
Date of Report:		Time:	

Name and Job Title of Person Making Report:	
Disruption Description: <i>(What, Why, Where, How)</i>	Casualties and Physical Damage:
Immediate Risks:	
Estimated Impact and Risks to Service: <i>First 24 Hours:</i> <i>First 3 Days:</i>	Estimated Impact and Risks to Service: <i>First 7 Days:</i> <i>Over 7 Days:</i>

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BCP Meeting Agenda

Date:	
Attendees:	
Apologies:	
Meeting held by:	

No	Item	Action	Action by Whom	Action by When
1	Analysis of Impact <ul style="list-style-type: none"> • Review Service Impact Analysis and risk sheets • Brief team on nature, severity and Impact of disruption • Identify information gaps • Review Service User priorities and Care Plans and develop action plans as appropriate, including a review process 			
2	Confirm Roles <ul style="list-style-type: none"> • Agree roles and responsibilities of staff • If required, revise roles and determine if additional staff/deputies are required • Inform additional team members that they may be required • Stand down members not required 			
3	Confirm Key Contacts at Scene of Disruption <ul style="list-style-type: none"> • Main points of contact for ongoing information updates 			
4	Logs <ul style="list-style-type: none"> • Ensure team logs and personal business interruption logs are in place (written record of significant events throughout the crisis. Written record of all communications) 			
5	Recovery Management <ul style="list-style-type: none"> • Review recovery priorities • Determination of support requirements 			

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No	Item	Action	Action by Whom	Action by When
6	Welfare Issues <ul style="list-style-type: none"> • Have members of staff, visitors or third parties been injured? • What is their location? • What immediate support and assistance is required? • What ongoing support and assistance might be required? 			
7	Communications <ul style="list-style-type: none"> • Who should we inform? • Are professional public relations/media advisors required? • Determine which, if any, external regulatory bodies should be notified • Determine any internal communications that need to take place (other sites, affected services etc.) 			
8	Legal Perspective <ul style="list-style-type: none"> • Determine what legal action or advice is required 			
9	Insurance Position <ul style="list-style-type: none"> • Determine whether insurance cover is available and if so, how best to use the support it may provide 			
10	Next Meeting <ul style="list-style-type: none"> • Date, time, agenda, place and attendees of next meeting 			

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Business Continuity Plan

Winter 2020-2021

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Please complete the table below:

Policy ref no:	AB59
Responsible the Business Continuity Lead:	
Author and Job Title:	
Date Approved:	
Approved by:	
Date of next review:	

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Business Continuity Plan Embedding Checklist

Checklist	Yes	No	N/A	Supporting information
Has an Equality Impact Assessment Screening been completed?				
Has the review taken account of the latest guidance/legislation?				
Has legal advice been sought?				
Has HR advice been taken?				
Have training issues been addressed?				
Are there other HR-related issues that need to be considered?				
Has the policy been reviewed by the Staff Forum/teams?				
Are there financial issues and have they been addressed?				
What engagement has there been with Service Users/members of the public in preparing this plan?				
Are there linked policies and procedures?	X			PPE, Coronavirus, Pandemic, Recruitment, Safeguarding, Risk Assessments, Emergency Communication, Adverse Weather, Heatwave, Infection Control
Has the Managing Director approved the plan?				
Who internally has approved this plan?				
Has an implementation plan been provided?				
How will the plan be shared?				
Will an audit trail demonstrating receipt of policy by staff be required? How will this be done?				
Have data protection implications been considered?				
What engagement has there been with Service Users in preparing this policy?				
Has the plan been shared with the Local Authority?				
Has the plan considered the Government Winter Plan 2020-1?				

Business Continuity Plan

Threat Area	Likelihood	Impact	Control Measures	Further Action
	H (High) M (Medium) L (Low)	H (High) M (Medium) L (Low)		
Flooding			<ul style="list-style-type: none"> • Area identified as at risk of flooding • Flood plan in place • Flood alerts monitored • Sandbags/flood defence equipment in situ • Evacuation plan in place and communicated • Flood Policy and Procedure in situ and communicated 	
Severe Weather (extreme cold or heat)			<ul style="list-style-type: none"> • Adverse Weather and Heatwave Policies and procedures in place • Vulnerable Service Users identified • Heat- Staff trained to identify illness that could be caused by heat, and how to support themselves and clients • Heat/ Cold Training and procedures to cover severe changes in temperature 	

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Threat Area	Likelihood	Impact	Control Measures	Further Action
	H (High) M (Medium) L (Low)	H (High) M (Medium) L (Low)		
Extreme Wind			<ul style="list-style-type: none"> Adverse Weather policies and procedures in place Regular external checks carried out on premises to reduce risk of debris/ structural damage Trees assessed and maintained by a specialist tree surgeon 	
Industrial Accident (External)			<ul style="list-style-type: none"> Control of Major Accident Hazards (COMAH) site identified in locality and plan obtained and appended Staff understand roles and responsibilities if incident declared 	
Fuel shortage Potential staff shortages due to difficulty travelling Potential disruption to heating or cooking facilities			<ul style="list-style-type: none"> Review rota times to enable increased use of public transport Meet with staff to identify if other transport can be used – e.g. bikes Encourage car sharing and responsible use of fuel but staff only to share with same staff to reduce risk of COVID transmission in line with guidance Staff overnight accommodation set up, where applicable Work with Local Authority to discuss concerns and identify alternative solutions Energy suppliers made aware of nature of the service and recorded as high priority 	

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Threat Area	Likelihood	Impact	Control Measures	Further Action
	H (High) M (Medium) L (Low)	H (High) M (Medium) L (Low)		
<p>Industrial strikes, train strikes, bus strikes etc.</p> <p>Potential staff shortages due to difficulty travelling</p> <p>Increased traffic on the roads causing delays</p>			<ul style="list-style-type: none"> • Staff who will be impacted identified • Alternative transport agreed, e.g. taxis • Car share set up but with same staff to avoid COVID transmission in line with government guidance 	
<p>Pandemic Influenza</p> <p>Potential for increased care need for Service Users</p> <p>Potential for staff shortages due to illness</p> <p>Vaccine shortage</p>			<ul style="list-style-type: none"> • Service Users encouraged to have vaccines • Vaccination programme agreed with GP/ Pharmacy • Staff supported to access vaccine – aiming for 100% uptake • Service Users' health needs categorised for priority vaccination in event of vaccine shortage • Infection Control Policy in place and communicated • Hand hygiene audit carried out at frequent intervals • PPE utilised in line with national guidance • Current COVID transmission procedures followed • Recruitment pipeline reviewed to ensure sufficient staff and workforce resilience in line with the Adult Social Care Winter Plan 	

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Threat Area	Likelihood	Impact	Control Measures	Further Action
	H (High) M (Medium) L (Low)	H (High) M (Medium) L (Low)		
Pandemic Influenza continued Potential for increased care need for Service Users Potential for staff shortages due to illness Vaccine shortage			<ul style="list-style-type: none"> • Staff trained and updated on IPC, PPE • Staff not permitted to work with COVID/ flu symptoms • Exclusivity clause agreed with agency supplier • COVID tests carried out on staff and Service Users, where required • Identify and work with Named Clinical Lead from Primary Care Network to provide clinical advice 	

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	H (High) M (Medium) L (Low)	H (High) M (Medium) L (Low)		
Highly Infectious Disease (not COVID)			<ul style="list-style-type: none"> • Risk assessment undertaken to highlight Service Users who have additional risk factors • Risk assessment undertaken to highlight staff who have additional risk factors • Contact made with local Health Protection Team for advice • GP contacted to manage clinical symptoms • PPE utilised • Infection Control Policy adhered to 	
Brexit			<ul style="list-style-type: none"> • See Fuel Shortage • See Food Shortage • Suppliers asked for their contingency plans in the case of disruption, e.g. food suppliers/ medicines/ medical devices etc. • Maintenance of machinery or equipment, (e.g. lift services) carried out before Jan 2021 • Local Brexit Lead contacted to ensure clear communications and inclusion in planning • Review workforce to identify staff impacted by EU Workforce Settlement Scheme and ensure recruitment pipeline includes any shortfalls or recruitment issues 	

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	H (High) M (Medium) L (Low)	H (High) M (Medium) L (Low)		
Terrorism Attack			<ul style="list-style-type: none"> • Hold scenario planning training with staff to ensure clear guidance in place (e.g., evacuation procedures, roles and responsibilities in an emergency, key emergency contacts, communications plans with staff, clients, public, press etc.) • Liaise with Local Resilience Forum 	
Major Civil Disturbance			<ul style="list-style-type: none"> • See Terrorism 	
Shielding of vulnerable individuals resumes (staff)			<ul style="list-style-type: none"> • See COVID 	
Food shortage – panic buying			<ul style="list-style-type: none"> • Suppliers asked for their contingency plans in the case of disruption, e.g. food suppliers, where required • Identify Service Users with special dietary needs • Work with LRF 	

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CCK Support Limited, Building 1, 10 Wealden Forest Park, Herne Common, Herne Bay, Kent, CT6 7LQ, England

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	H (High) M (Medium) L (Low)	H (High) M (Medium) L (Low)		
PPE supply shortage			<ul style="list-style-type: none"> • Review national PPE guidance • Communicate PPE policy to staff • Provide information to Service Users and visitors on PPE • Carry out risk assessment on PPE • Undertake regular stock takes • PPE obtained from regular wholesaler/ 1 OF 12 wholesalers identified by CQC • Registered with PPE portal • Identify if LRF will be continuing with emergency supplies • Contact national disruption response system as last resort 	
Insufficient/failure of national COVID testing			<ul style="list-style-type: none"> • Staff with symptoms must isolate at home following national guidance • Service Users must be isolated • PPE utilised in line with guidance and policy • Where an outbreak is suspected, local Health Protection Team contacted for advice • Assessment taken whether to accept hospital discharges where COVID status is unknown 	

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CCK Support Limited, Building 1, 10 Wealden Forest Park, Herne Common, Herne Bay, Kent, CT6 7LQ, England

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	H (High) M (Medium) L (Low)	H (High) M (Medium) L (Low)		
Underwriters failing to renew insurance policies			<ul style="list-style-type: none"> • Legal advisors contacted • National trade representative body contacted for advice • CQC notified • Local Authority notified 	
COVID – Plan communication Poor communication			<ul style="list-style-type: none"> • A copy of the local contingency plan for local authority / CCG is available for reference • Local emergency contacts are up to date • Communication mechanisms in place across business • Copy of BCP shared with LA and CQC 	
COVID – Vulnerable individuals Risk of transmission of virus and poor recovery outcomes			<ul style="list-style-type: none"> • Risk assessment highlights staff who have additional risk factors • Risk assessment highlights Service Users who have additional risk factors • 1:1 meetings held with staff to highlight their immediate networks/family to identify who may be in high-risk categories • Dependency tool used to establish minimum staffing level that CCK Support Ltd requires to care safely 	

CCK Support Ltd

CCK Support Limited, Building 1, 10 Wealden Forest Park, Herne Common, Herne Bay, Kent, CT6 7LQ, England

Threat Area	Likelihood	Impact	Control Measures	Further Action
	H (High) M (Medium) L (Low)	H (High) M (Medium) L (Low)		
<p>COVID – Visitors</p> <p>Risk of isolation and negative impact on wellbeing of Service Users</p> <p>Risk of transmission of virus by visitors</p>			<ul style="list-style-type: none"> Local Public Health Director advice taken on opening/closing to visitors in th premises Visitor COVID Questionnaire used Entry refused for visitor who flags as a risk with infection control precautions All essential visitors enter via one route into the premises All visitors to wash hands on entry (supervised) All visitors to be escorted whilst on premises Visitors utilise face coverings Staff follow PPE Policy and Procedure and government guidance on PPE Government guidance on visitors is followed Technology Skype, WhatsApp, Facetime or Facebook used for Service Users to maintain contact with relatives NHS COVID app used and QR code placed on the door 	

CCK Support Ltd

CCK Support Limited, Building 1, 10 Wealden Forest Park, Herne Common, Herne Bay, Kent, CT6 7LQ, England

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	H (High) M (Medium) L (Low)	H (High) M (Medium) L (Low)		
COVID - Staff			<ul style="list-style-type: none"> • 1:1 meeting with staff held to identified vulnerable individuals • Infection Control Policy communicated • All staff have undertaken refresher infection control training • Observational hand hygiene audits carried out • Additional cleaning procedures implemented • Staff wellbeing meetings held • Staff with symptoms sent home / instructed not to come to work • Staff contact their line manager immediately if symptoms occur, or if immediate family become symptomatic • Staff signposted to support for mental health and wellbeing • Team meetings held frequently to cascade information 	

Threat Area	Likelihood	Impact	Control Measures	Further Action
	H (High) M (Medium) L (Low)	H (High) M (Medium) L (Low)		
<p>COVID Increased use of equipment/supplies</p> <p>Risk of supply shortage</p>			<ul style="list-style-type: none"> • Effective stock level controls in place for all PPE to ensure that stocks do not run low • Normal usage levels of core consumables identified and effective supplies are maintained • Key suppliers monitored and their emergency contingency plans reviewed • Adequate supplies or equipment are available (with appropriate training provided), including: <ul style="list-style-type: none"> • FFP3 respirators • Gloves with long tight-fitting cuffs • Gowns - disposable fluid-resistant full-sleeve gowns and single-use • Eye protection, for example, full face visor or single-use goggle • Fluid resistant surgical masks. Close fitting and fully covering the nose and mouth of the wearer • Disposable apron • Clinical waste bags • Hand hygiene supplies • General-purpose detergent and chlorine-based disinfectant solution • Registered with PPE portal 	

CCK Support Ltd

CCK Support Limited, Building 1, 10 Wealden Forest Park, Herne Common, Herne Bay, Kent, CT6 7LQ, England

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	H (High) M (Medium) L (Low)	H (High) M (Medium) L (Low)		
Electricity failure			<ul style="list-style-type: none"> Register with an energy supplier as priority customer Risk assess Service Users who may be at risk due to failure, e.g. equipment fails Ensure batteries for equipment are charged with spares also charged Where frequent power outages, emergency generator in place Extra blankets, stocks of bottled water and food that does not need cooking in stock 	
Gas failure			<ul style="list-style-type: none"> Register with a gas supplier as priority customer Extra blankets, stocks of bottled water, and food that does not need cooking, in stock Emergency plan in place for gas leak 	
Burst Pipe (internal) / Water Failure (external)			<ul style="list-style-type: none"> Register with the water supplier as priority customer Stocks of bottled water and food that does not need cooking, in stock Evacuation plan in place 	
Climate Control (Heating, A/C)			<ul style="list-style-type: none"> Regular maintenance schedule in place Contact number for suppliers is communicated to staff Extra blankets available 	

CCK Support Ltd

CCK Support Limited, Building 1, 10 Wealden Forest Park, Herne Common, Herne Bay, Kent, CT6 7LQ, England

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	H (High) M (Medium) L (Low)	H (High) M (Medium) L (Low)		
Fire			<ul style="list-style-type: none"> • Fire Risk Assessment in Place • Evacuation Plan in place • Staff trained on Fire Management on induction with refresher training annually • Fire action displayed throughout home • Service User dependency levels assessed and individual Personal Emergency Evacuation Plans in place • Fire equipment tested regularly • Fire drills carried out and documented 	
Structural damage to the building (s)			<ul style="list-style-type: none"> • Evacuation plan in situ • Regular maintenance of premises carried out • Maintenance contracts updated to ensure maintenance checks are carried out routinely • Back up plans if key equipment fails (e.g. lifts) in place • Up-to-date records of suppliers and maintenance numbers, inc out of hours maintained 	
Security			<ul style="list-style-type: none"> • Outside of premises well maintained • Exit, entrance and windows secure and well maintained • CCTV in place in line with GDPR • Police contacted where security concerns pose an immediate threat 	

CCK Support Ltd

CCK Support Limited, Building 1, 10 Wealden Forest Park, Herne Common, Herne Bay, Kent, CT6 7LQ, England

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	H (High) M (Medium) L (Low)	H (High) M (Medium) L (Low)		
Supply of medicines			<ul style="list-style-type: none"> • Earlier ordering for some items arranged with the pharmacist • Escalation routes identified in the event of supply disruption • Pharmacy contacted for reassurance on how they are managing the availability of the medicine in short supply • Issues escalated to community pharmacist • Local Authority notified of concerns 	

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CCK Support Limited, Building 1, 10 Wealden Forest Park, Herne Common, Herne Bay, Kent, CT6 7LQ, England

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	H (High) M (Medium) L (Low)	H (High) M (Medium) L (Low)		
Information Technology				
IT System Failure			<ul style="list-style-type: none"> • Staff complete Data Security Training on Induction and yearly refresher training 	
Back Up Failure			<ul style="list-style-type: none"> • Data Security and Protection Toolkit completed and updated annually 	
Virus			<ul style="list-style-type: none"> • Guidance from Digital Social Care followed 	
Power Surge			<ul style="list-style-type: none"> • Concerns escalated to NHSX Information Governance Team England where advice is required IGpolicyteam@nhs.net 	
Equipment Theft			<ul style="list-style-type: none"> • Internet stability assessed to ensure digital/remote health consultations can take place and the ability to access GP records is not disrupted to support the safe ordering of medication online 	
Telephone System			<ul style="list-style-type: none"> • Stakeholder specifications in place for all new software purchased 	
Care Planning System			<ul style="list-style-type: none"> • IT disaster recovery plan in place 	
Rostering System			<ul style="list-style-type: none"> • Back up mobile phones in place to support landline outage 	
Payroll			<ul style="list-style-type: none"> • Data Security Policies in situ 	
Electronic Data Security Breach			<ul style="list-style-type: none"> • Data Protection Lead role in place with clear responsibilities and accountabilities 	
			<ul style="list-style-type: none"> • Malware software updated regularly 	
			<ul style="list-style-type: none"> • Staff meetings have agenda items on data security, safe use of email and internet 	
			<ul style="list-style-type: none"> • Alternative access to email and shared data systems established 	
			<ul style="list-style-type: none"> • Regular audits of IT security, back-up, and recovery arrangements 	
			<ul style="list-style-type: none"> • IT and assistive technology suppliers have supplied business continuity plans 	

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CCK Support Limited, Building 1, 10 Wealden Forest Park, Herne Common, Herne Bay, Kent, CT6 7LQ, England

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	H (High) M (Medium) L (Low)	H (High) M (Medium) L (Low)		
Acute staff shortage and staff attrition rate high			<ul style="list-style-type: none"> • <i>Levels of critical staffing assessed</i> • <i>Rapid induction training utilised from Skills for Care</i> • <i>Assessment carried out of using NHS Volunteer responders</i> • <i>Infection Control Fund accessed and utilised to support safe staffing</i> • <i>1:1 meetings held with staff to identify high risk/ vulnerable individuals. Risk assessment completed</i> • <i>Skills for Care Workforce National Minimum Data Set for Social Care completed</i> • <i>Recruitment drives undertaken. Advertising via Every Day is different included in the recruitment strategy</i> • <i>New Starters and Leavers monitored weekly/ monthly to identify trends</i> • <i>Exit Interviews carried out for all leavers</i> • <i>Staffing strategy avoids the use of agency staff</i> • <i>Staff movement between services restricted to minimise the spread of COVID/ Flu</i> 	

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	H (High) M (Medium) L (Low)	H (High) M (Medium) L (Low)		
Staff wellbeing			<ul style="list-style-type: none"> • Staff wellbeing sessions held to reduce staff sickness • Staff annual leave monitored to encouraged staff to take regular paid leave • Staff personal development reviewed to ensure staff are skilled and knowledgeable • Supervision sessions and team meetings held regularly to assess morale and wellbeing and provide early support and intervention where required • Staff provided with safe break out areas that are COVID secure to reduce workplace stress. PPE utilised in these areas • Wellbeing risk assessments carried out with all staff and wellness action plans created • Staff signposted to information to support mental health, daylight, Sleepio, Silvercloud • Registered Manager accesses the Skills for Care support tools • Care Workforce App promoted internally 	