



SoLO  
Life  
Opportunities

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Charity No. 1102297  
England Company No.  
5025939

## **POLICY AND PROCEDURE**

### **Business Continuity Plan**

**Category:** staff and volunteers

#### **Policy Statement**

SoLO Life Opportunities acknowledges that there will be occasions where situations occur that are outside of the organisation and individual's control which may have a negative impact on the delivery of its services. SoLO, therefore, has a plan in place to ensure that in the event of an emergency or unplanned occurrence that the impact on our service delivery will be minimised.

This plan does not only cover major disasters (eg total loss of a building) but also routine interruptions to service (e.g. computer loss through power cuts) or long term sickness of key members of staff. It puts disaster planning in perspective and makes it more likely that disasters will be handled smoothly.

#### **Aim of the Plan**

To prepare SoLO to cope with the effects of an emergency.

#### **Objectives**

- To define and prioritise the critical functions of the organisation
- To analyse the emergency risks
- To detail the agreed response in an emergency situation
- To identify key contacts during an emergency
- To ensure that maximum possible service levels are maintained
- To ensure that we recover from interruptions as quickly as possible
- To minimise the likelihood and impact (risk) of interruptions

## Principles

The principles behind this plan are:

- Disaster Recovery is just part of Business Continuity
- Risks are assessed for both probability and business impact
- Business continuity plans must be reasonable, practical and achievable

In other words, we are not planning for *every* possibility.

## After each incident

After every incident, a standard set of tasks must be done.

- Business to return as normal
- Contact all affected parties, to advise them that the incident is over and things are back to normal
- **Thank everyone** involved, preferably by personal phone call or email
- Review the way we managed the incident, and consider if we need to change anything – if so, change it in this document too.

## How to assess risk

For each possible scenario, the following approach will be taken:

- Identified Incident/Risk
- Probability of it happening – the likelihood measured as high/medium/low
- Impact – on our business - measured as high/medium/low
- Likely scenario – the most likely reasons for problems to occur
- Functions affected – what related functions will the problem impact on
- Actions to be taken – what to do when the interruption occurs
- Responsibilities – who takes what actions
- Mitigation – what are the managers doing to minimise the risk before it happens
- Constraints – the practicalities of dealing with the risk
- Resources – the implications for costs, staffing, facilities etc.

## Business Impact Analysis

### Critical Function List

<b>CRITICAL FUNCTION</b>
<ul style="list-style-type: none"> <li>• Key person not able to work either through death, accident or long term sickness</li> <li>• Major accident/incident resulting in significant personal damage to members, staff, volunteers or members of the public</li> <li>• Fire either at head office or on site</li> <li>• Electricity or water failure at head office or on site</li> <li>• Theft/break in to head office</li> <li>• IT failure</li> <li>• Outbreak of infectious disease</li> <li>• <b>CQC?Ofsted suspension of services and knock-on effect with funding LAs</b></li> </ul>

<b>Identified Incident/Risk</b>	<b>Key person not able to work either through death, accident or long term sickness</b>
<b>Probability of it happening</b>	Medium
<b>Impact – on our business</b>	Medium
<b>Likely scenario</b>	<b>Key person unable to work for significant period and possibly not able to be contacted for some time.</b>
<b>Functions affected – day-to-day functions and project workstream of that individual</b>	<b>Overall management</b> of the organisation will be compromised. In the short term there will be issues such as board reports, fundraising targets or key strategic meetings that might be missed. In the longer term, the impact will be on staff morale and sustainability of the whole organisation. In the case of a Senior Manager there will be an entire work stream that will need to be managed and certain aspects of the work delegated.
<b>Responsibilities</b>	<b>Line manager</b> would be first point of contact and <b>responsibilities delegated</b>
<b>Mitigation</b>	The Senior Management Team <b>will provide support and direction.</b>
<b>Constraints</b>	In the case of long term absence for specialist areas, consideration <b>would need to be</b> given to bring in additional paid expertise.
<b>Resources</b>	If it is necessary to bring in purchased back-up this could become expensive and need to be reviewed after the first month for a more substantive alternative to be put in place.
<b>Time</b>	<b>Effect on Service</b>
<b>1<sup>st</sup> 24 hours</b>	Minimal as most functions can operate without support in the short term.
<b>1 day to 1 week</b>	Could impact if specific areas of work need to be attended to eg payroll, reports and key meetings etc. However most areas could be covered.
<b>Up to 2 weeks</b>	Some disruption to some areas of work – particularly around finance – may need to buy in additional hours to keep abreast of day-to day-work.

<b>Identified Incident/Risk</b>	<b>Major accident/incident resulting in significant personal damage to members, staff, volunteers or members of the public</b>
<b>Probability of it happening</b>	Low
<b>Impact – on our business</b>	High
<b>Likely Scenario</b>	Road accident, fire or household incident, behaviour from a member resulting in physical harm
<b>Functions affected</b>	This would immediately affect the specific project and result in an investigation. It could impact on other projects where staff and volunteers worked across a number of them. It would impact on the morale of staff, members and/or volunteers who might be traumatised.
<b>Responsibilities</b>	In the first instance, the Senior Manager with responsibility for the project would lead on the response, supported by CEO.
<b>Mitigation</b>	Vehicles are maintained, minibus drivers are trained to drive safely, minibuses are fitted with seat belts. In Supported Living situations in particular, behaviour support plans, MAPA procedures, staff training, regular tests, logging and risk assessments.
<b>Constraints</b>	Accidents can happen due to poor driving of others, fires can occur through arson or faulty equipment and behaviour can be unpredictable.
<b>Resources</b>	Replacement of faulty equipment, minibus repairs/replacement, travel costs to incident, funding for specific training.
<b>Time</b>	<b>Effect on Service</b>
<b>1<sup>st</sup> 24 hours</b>	There would be a lot of operational time dedicated to sorting out response to the situation.
<b>1 day to 1 week</b>	Staffing rotas may need to be worked through and cover arranged. With regard to Supported Living – making property safe or seeking alternative/suitable accommodation and supporting physical and emotional wellbeing of individual and staff.
<b>Up to 2 weeks</b>	There may be some residual work to be done and ongoing support to families affected. Review findings of investigation and look at “lessons learnt”.

<b>Identified Incident/Risk</b>	<b>Inability to use SoLO building due to Fire or Flood, Vandalism</b>
<b>Probability of it happening</b>	Low
<b>Impact – on our business</b>	High
<b>Likely Scenario</b>	Vandalism, electrical fault, plumbing issues, arson
<b>Functions affected</b>	Ability to communicate with staff, volunteers, members, parents, carers, professionals. Ability to carry out normal day to day functions.
<b>Actions to be taken</b>	Temporary office function would need to be set up immediately. On-call laptop would need to be connected to portable printer to set up temporary office. Calls would need to be made, on mobile phones, to all staff, volunteers etc.

	<p>Calls would need to be made to key stakeholders who would be able to cascade information to members.</p> <p>Insurance Company contacted.</p> <p>Possibility of temporary additional office function at Fire Station.</p> <p>Projects would need to relocate to another building – possibly Fire Station when it is available and <b>alternative venues sourced</b>.</p>
<b>Responsibilities</b>	CEO to mobilise all managers to temporary office. Senior Managers would need to oversee relocation of projects and other users. Trustees would need to support process of communication.
<b>Mitigation</b>	<p>Strict fire regulations are adhered to</p> <p>No smoking on the premises</p> <p>Fire fighting equipment is maintained</p> <p>Premises complies with fire regulations and has been visited by Fire Officer</p> <p>All electrical equipment is PAT tested and turned off at night (apart from the server)</p> <p>Pipes are lagged, heating kept on low and regularly maintained. Security cameras <b>kept in good working order</b>.</p>
<b>Constraints</b>	<b>Estates Manager responsible for all estates issues.</b>
<b>Resources</b>	Extra staff would need to support the first few weeks. We would need to pay for hire of alternative venues for projects and replacement of equipment. <b>We may also need to borrow resources from other contacts.</b>
<b>Time</b>	<b>Effect on Service</b>
<b>1<sup>st</sup> 24 hours</b>	This would affect Daylight, <b>Daylight Plus and Evolve</b> projects and possibly our weekend users. We would need to <b>make alternative arrangements</b> .
<b>1 day to 1 week</b>	Staff would be encouraged to make only essential calls and to carry on 'business as normal'. Focus would be on getting systems set up to support immediate service delivery.
<b>Up to 2 weeks</b>	Some disruption to service may occur, but more likely to be the routine assessments and extra-curriculum activity (ie. support to strategic groups etc.) <b>that</b> would be affected.

<b>Identified Incident/Risk</b>	<b>Fire or Flood in project venue</b>
<b>Probability of it happening</b>	Low
<b>Impact – on our business</b>	High
<b>Likely Scenario</b>	Vandalism, electrical fault or burst pipe
<b>Functions affected</b>	Ability to run <b>projects</b> on site <b>and professionals we work directly with</b> .
<b>Actions to be taken</b>	All staff, <b>professionals</b> , parents, carers and volunteers to be contacted to ensure that they are aware of situation and <b>alternative</b> temporary venue sought.
<b>Responsibilities</b>	Project Managers
<b>Mitigation</b>	<p>Strict fire regulations are adhered to</p> <p>No smoking on the premises</p>

	<p>Fire fighting equipment is maintained Premises complies with fire regulations and has been visited by Fire Officer All electrical equipment is PAT tested and turned off at night Pipes are lagged, heating kept on low and regularly maintained.</p>
<b>Constraints</b>	We can only have responsibility for our own actions and cannot rely on the actions of others.
<b>Resources</b>	<p>Cost of alternative venue/s Cost of replacement equipment</p>
<b>Time</b>	<b>Effect on Service</b>
<b>1<sup>st</sup> 24 hours</b>	Possible cancellation of initial session
<b>1 day to 1 week</b>	If alternative venue cannot be sourced, project may have to be cancelled
<b>Up to 2 weeks</b>	Some possible disruption if suitable venue still not sourced or if alternative venue does not have adequate resources for members' needs.

<b>Identified Incident/Risk</b>	<b>Electrical or water failure at SoLO building</b>
<b>Probability of it happening</b>	Medium
<b>Impact – on our business</b>	High
<b>Likely Scenario</b>	Planned works or unexpected loss of power
<b>Functions affected</b>	<p>Telephone lines will be down No IT systems Central Heating Boiler ceases to function No Hot water No electrical equipment functioning No lighting Inability to use toilet facilities</p>
<b>Actions to be taken</b>	<p>In the case of a planned works, staff will be notified and, where possible, will work from home.</p> <p>For projects we would be unable to safely provide a service – for planned work, we would schedule in an offsite trip. In the case of emergency, we would have to source an alternative activity on the day and then find a different venue to deliver the service if the failure was extended.</p> <p>In the case of unexpected loss of power, staff will identify work that can be carried out without power – filing, tidying etc. and these jobs will be given priority. An electrician would be sourced immediately to sort the issue out in the case of electrical failure – if water was the issue, we would contact Severn Trent.</p>
<b>Responsibilities</b>	<p>CEO or Designated Manager will make decision regarding Home Working. Senior Manager responsible for project would work with staff to make alternative arrangements.</p>
<b>Mitigation</b>	<p>All staff have access to mobile phones for contacts. Manual records are kept with contact details on.</p>

	The on-call <b>laptop</b> has database. We have good working relationships with other venues and could ask for support.
<b>Constraints</b>	We cannot legislate for power companies planned works, or issues with regards to water <b>supply</b> .
<b>Resources</b>	No extra resources required.
<b>Time</b>	<b>Effect on Service</b>
<b>1<sup>st</sup> 24 hours</b>	No immediate effect identified for staff, but Daylight, <b>Daylight+ and Evolve</b> would need to be relocated.
<b>1 day to 1 week</b>	Staff would need to work from home – no immediate effect. <b>Daytime services would be affected.</b> System would need to be in place for alternative phone number (on-call mobile) to be used for <b>central point for incoming calls</b> . Longer term solution to be sourced for daytime services.
<b>Up to 2 weeks</b>	Temporary office to be set up to ensure that functions requiring power were enabled – this could be sited at a number of venues – we have good relationships with other venues <b>that we could call on for temporary working space</b> . We also, could relocate on a short term basis at the Fire Station.

<b>Identified Incident/Risk</b>	<b>Electrical failure at project venue</b>
<b>Probability of it happening</b>	Medium
<b>Impact – on our business</b>	High
<b>Likely Scenario</b>	Planned works or unexpected loss of power
<b>Functions affected</b>	Delivery of leisure scheme at venue
<b>Actions to be taken</b>	Risk assessment would be carried out to determine if the site can be used without power.
<b>Responsibilities</b>	Project Leader
<b>Mitigation</b>	Most projects have activities that can be carried out without the need for electricity.
<b>Constraints</b>	If the project is happening in the evening during the winter – this would impact on ability to deliver
<b>Resources</b>	Might need to re-site activity – go off site – resource implication for cost of additional activity.
<b>Time</b>	<b>Effect on Service</b>
<b>1<sup>st</sup> 24 hours</b>	If deemed to be safe, project would continue with adapted activity
<b>24-48 hours 1 day to 1 week</b>	If deemed to be safe, project would continue with adapted activity. May need to source alternative venue
<b>Up to 2 weeks</b>	Need to source alternative venue.

<b>Identified Incident/Risk</b>	<b>Theft/break in to Head office</b>
<b>Probability of it happening</b>	Low
<b>Impact – on our business</b>	High
<b>Likely Scenario</b>	Break in through back of building
<b>Functions affected</b>	Office function and day services would be impacted
<b>Actions to be taken</b>	Inform police. Identify loss and identify any confidential information lost. Make building secure. Inform insurance company Source temporary equipment
<b>Responsibilities</b>	CEO/Designated Manager
<b>Mitigation</b>	The front and back of the building has CCTV and building is alarmed. Neighbours are vigilant and report any unusual activity.
<b>Constraints</b>	The building is unmanned some evenings and some weekends.
<b>Resources</b>	Costs of repairing damage Excess on insurance policy Loss of un-insured items and incidental items.
<b>Time</b>	<b>Effect on Service</b>
<b>1<sup>st</sup> 24 hours</b>	Loss of productivity in office function
<b>1 day to 1 week</b>	Loss of productivity, additional tasks generated ie tidying up and sourcing replacement equipment, use of borrowed equipment in short term
<b>Up to 2 weeks</b>	None identified

<b>Identified Incident/Risk</b>	<b>Failure of IT</b>
<b>Probability of it happening</b>	Medium
<b>Impact – on our business</b>	High
<b>Likely Scenario</b>	Server fails
<b>Functions affected</b>	Access to network, emails, shared database, printers
<b>Actions to be taken</b>	On-call laptop to be put into use for database access Workstations identified where linked computers can access printers
<b>Responsibilities</b>	Business Support Manager
<b>Mitigation</b>	Server is backed up daily and weekly onto separate hard drive. We have the support of an IT support service.
<b>Constraints</b>	We would be dependent on response time from IT support service
<b>Resources</b>	Cost of new equipment
<b>Time</b>	<b>Effect on Service</b>
<b>1<sup>st</sup> 24 hours</b>	Minimum disruption and loss of productivity from administrative team
<b>1 day to 1 week</b>	Staff unable to communicate via work based e-mails – some disruption in communication. Temporary staff emails could be set up

<b>Up to 2 weeks</b>	Disruption to office function, but no major impact on service delivery.
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<b>Identified Incident/Risk</b>	<b>Infectious disease outbreak</b>
<b>Probability of it happening</b>	Medium
<b>Impact – on our business</b>	High
<b>Likely Scenario</b>	Flu Pandemic
<b>Functions affected</b>	All aspects of services
<b>Actions to be taken</b>	Information out to all staff, volunteers, parents/carers and members with information on need to protect themselves/others Reinforcing of hand washing, sanitising and good hygiene. Flu Action plan in place Relief staff list in place for covering sickness
<b>Responsibilities</b>	Project Managers
<b>Mitigation</b>	All projects have protective gloves/aprons for providing personal care. All projects have guidelines on hand washing on project Policies in place regarding dealing with sick children/vulnerable adults
<b>Constraints</b>	Cannot govern the actions of others who will come into contact with our stakeholders.
<b>Resources</b>	Relief staffing cost Printing and circulating of information
<b>Time</b>	<b>Effect on Service</b>
<b>1<sup>st</sup> 24 hours</b>	Staff shortages may occur, but these would be covered by relief staff list and may need to mobilise volunteers to support scheme
<b>1 day to 1 week</b>	Staff shortages may occur, but these would be covered by relief staff list and may need to mobilise volunteers to support scheme
<b>Up to 2 weeks</b>	Staff shortages may occur, but these would be covered by relief staff list and may need to mobilise volunteers to support scheme

<b>Identified Incident/Risk</b>	<b>Personal Assistant Contract terminated without notice</b>
<b>Probability of it happening</b>	Medium
<b>Impact – on our business</b>	High
<b>Likely Scenario</b>	There is a breakdown between provider and carer and it is deemed to put our staff at risk to continue the contract.
<b>Functions affected</b>	Personal Assistants would be affected as they would be laid off with no notice and would lose a month's money.
<b>Actions to be taken</b>	Staff redeployed as soon as possible. Contract to be amended to reflect this and enable us to charge for month regardless of service being delivered. Staff employed on flexible contracts.

<b>Responsibilities</b>	CEO/Designated Manager
<b>Mitigation</b>	Wherever possible, this will be avoided by building up very positive relationships with carers
<b>Constraints</b>	Some people can be unpredictable
<b>Resources</b>	Worst case scenario would require us to use our reserves to pay shortfall to avoid any employment dispute.
<b>Time</b>	<b>Effect on Service</b>
<b>1<sup>st</sup> 24 hours</b>	Management time to redeploy staff.
<b>1 day to 1 week</b>	Management time to redeploy staff.
<b>Up to 2 weeks</b>	Management time to redeploy staff.

<b>Identified Incident/Risk</b>	<b>Failure of CQC/Ofsted Inspection</b>
<b>Probability of it happening</b>	Medium
<b>Impact – on our business</b>	High
<b>Likely Scenario</b>	CQC/Ofsted deeming a registered service unsatisfactory and suspending it
<b>Functions affected</b>	Supported Living, PA Service, Overnight Breaks, Children's Holiday Activities
<b>Actions to be taken</b>	Notification to all funding LAs Responsible Manager to ensure Ofsted/CQC expectations are followed, appropriate documentation is used and staff adequately trained to follow all policies/procedures relating to care and service delivery.
<b>Responsibilities</b>	CEO, Operations Manager, Project Manager to ensure all staff are aware of quality of care standards required and organisation is compliant across all areas of care to ensure that standards are met.
<b>Mitigation</b>	All staff are trained to appropriate level and expectations fully explained. Ongoing training is provided to all staff to ensure service is compliant and standards met.
<b>Constraints</b>	Changes in CQC/Ofsted requirements need to be cascaded to all staff and actioned appropriately to ensure changes are enforced and standards met.
<b>Resources</b>	Adequate staffing across projects and policies/procedures updated as necessary. Specific training to be provided as necessary, documentation completed and enforced.
<b>Time</b>	<b>Effect on Service</b>
<b>1<sup>st</sup> 24 hours</b>	If inspection fails, the project could be suspended and members relocated.
<b>1 day to 1 week</b>	Local authorities and other organisations we work with would need to be informed
<b>Up to 2 weeks</b>	Local authorities and other organisations we work with would need to be informed

## **Critical Functions yet to be identified**

There is an acknowledgement that emergency incidents are, by their very nature, unpredictable and not always identified. In every case where an incident occurs that could impact on the continuity of SoLO's business, a checklist must be completed to enable the organisation to record its approach to the incident and to learn from it. Appendix 1 is a model checklist for use in any incident of this nature.

## **Key Contacts**

The on-call laptop which is kept off site out of hours and is password protected has the database which will have all of the key contact details. However, listed in Appendix 2 are the key contacts that would need to be informed in the event of an emergency incident occurring that would impact on business continuity.

## APPENDIX 1

### Emergency Response Checklist for use during emergency situation

Start a log of actions taken	
Liaise with emergency services	
Identify any damage/ <b>harm/injury</b>	
Identify functions disrupted	
Convene response/recovery team	
Decide on course of action	
Provide information to staff/volunteers/members/parents and carers	
Communicate decisions to all stakeholders	
<b>Consider providing</b> public information to maintain reputation and business	
Arrange debrief <b>for lessons learnt</b>	
Review business continuity plan	