

Committee:	Governing Body
Venue:	Godalming Masonic Hall
Date:	31 October 20/17
Status:	FOR APPROVAL

Title of Report	Emergency Planning, Resilience and Response (EPRR) Annual Assurance and Incident Management Plan Approval		
Presented by	Elaine Newton, Director of Governance and Compliance		
Author	Jamie Hogg, Emergency Planning Resilience & Response Officer		
Finance Lead sign off	N/A		
Conflict of Interest	N/A		
Governance and reporting- at which other meeting has this paper been discussed	Discussed at NHSE Assurance meeting on 28/09/17. Agreed 'substantial' assurance.		
Freedom of Information	<table border="1" style="width: 100%;"> <tr> <td>Author considers that no exemption applies:</td> <td style="text-align: right;"><input checked="" type="checkbox"/></td> </tr> </table>	Author considers that no exemption applies:	<input checked="" type="checkbox"/>
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Executive Summary:

The CCG is required to submit an annual assessment of its compliance with the NHS England EPRR core standards and to give assurance on the extent of compliance with the Civil Contingencies Act 2004. The submission was made on 21st September and an assurance meeting with NHS England was held on the 28th September 2017. The findings were presented at the executive meeting of the Local Health Resilience Partnership on the 12th of October 2017. The Governing Body is required to have sight of the return, albeit retrospectively, the assessment of which is summarised in the paper and available in full on request or through the link. For 2017, a rating of **substantial assurance** has been confirmed by NHS England.

With the developing work for the Surrey Heartlands, the Governing Body is asked to approve an extension of the current Incident Management and Pandemic Influenza Plans until January 2018 whilst a joint plan is developed across the three CCGs.

The content of the plans is still current and follows best practice. In respect of the Pandemic Flu Plan, the ownership of this plan has transferred to the Accountable Emergency Officer.

Implications:

Health/ CCG strategic objectives	We will be a learning, listening organisation that values our staff and the wider workforce, and ensures good governance within the CCG and between organisations.
Financial/Resource	Not applicable

Legal/compliance	Civil Contingencies Act 2004, Health and Social Care Act 2012 (Sections 46 and 47) and <i>NHS England EPRR Core Standards</i> Civil Contingencies Act 2004 and Health and Social Care Act 2012 (Sections 46 and 47) NHS Gateway ref: 06967– 10 July 2017 – EPRR Assurance Process Guidance Incident Management Plan 2017 2017 EPRR Assurance Assessment
Equality Analysis	Not applicable
Patient and Public Engagement	Not applicable
Risk (including reputational) and rating	RO 231 - If the CCG does not have evidence of the uptake of training for oncall it will not be able to assure EPRR capability (Corporate Risk Register – current rating 6, target 3)

Recommendation(s):

- (1) Governing Body to **approve** the EPRR core standards Assurance Assessment return.
- (2) Governing Body to **approve** an extension to CCG Incident Management Plan and Pandemic Influenza Plan to allow for both plans to be revised as joint plans across the Surrey Heartlands CCGs.

Next Steps:

If the recommendations are approved the assurance return will be confirmed to NHS England and the Co-Chairs of the Local Health Resilience Partnership.

If the recommendations are rejected a revised Assurance return will be drafted in line with comments received and re-submitted to Governing Body.

Emergency Planning, Resilience and Response (EPRR) Annual Assurance

Introduction

The CCG is a category two responder under the Civil Contingencies Act 2004. The CCG has additional resilience responsibilities placed on it by NHS England through the EPRR Core Standards which the CCG is required to report on and seek Governing Body approval of the assessment annually.

This paper asks the Governing Body to confirm the assurance return sent to NHS England based on an assessment that the CCG has met **substantial assurance** and the work plan to address the gap identified.

There is also a requirement for the Accountable Emergency Officer, which for the CCG is the Director of Governance and Compliance, to ensure that the Governing Body will receive appropriate EPRR reports, no less frequently than annually, including reports on exercises undertaken by the organisation and any significant incidents, and that adequate resources are made available to enable the organisation to meet the requirements of these core standards.

EPRR Activity 2017/18

Risk assessment, Co-operation and Information Sharing duties

The CCG has participated fully in (a) ensuring representation at both the Local Health Resilience Partnership (LHRP) Executive and Delivery groups; (b) responding to all information sharing requests with partner category one and two responders and (c) assisting NHS England in the production of a LHRP Risk Register specifically for health to cover the Surrey Local Resilience Forum area and (d) Supporting training and exercises and debriefing incidents.

Emergency planning resources

In May 2017, the CCG renewed its collaborative agreement with East Surrey CCG to share emergency planning resource and expertise. The agreement was also extended to take into account the increasing expectations made of CCGs by NHS England, in particular representing the health economy at the tactical level of response. As a result of this, the CCG has used this income to recruit a part-time, fixed term resource that has been in post since November 2016 to support the Deputy Director of Governance and Compliance in discharging the requirements of emergency planning and business continuity.

Training and Exercises

The CCG held an exercise in June 2017 to test and explore the planning, response and recovery for the evacuation of a Nursing Home. This fulfils the CCG's obligation to plan for prevalent risks on the community risk register. The learning from this event, and the same exercise which took place for East Surrey on 11th July 2017, will inform the work plan for 2017/18.

Throughout 2017, there were external exercises and training events held by the Local Resilience Forum (LRF) and the Local Health Resilience Partnership (LHRP) which included:

- **Exercise COMET** - A multi-agency exercise testing the Surrey Major Incident Protocol
- **Exercise Prasideo** - a Surrey LHRP exercise exploring the evacuation of a community hospital

- A pilot **Tactical Coordinating Group training** event to exercise the role CCG oncall now play in responding to multi-agency community incidents with LRF partner.
- **Move to Critical workshop** – to explore the actions required of responders following an increase in the terrorism threat level.
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A number of staff from the CCG have participated in these exercises, helping to build on existing training and supporting the Surrey partnerships for civil protection. Additionally a series of training sessions have been held for our on call cohort in the Joint Emergency Services Interoperability Principles (the national standard practice for all responders) that partnership response groups use.

New members to the On-call rota are now booked on to the Local Resilience Forum's Introduction to Civil Protection as a prerequisite to ensure they have an awareness of partnership response arrangements beyond the local health economy.

Incidents

In May this year the CCG responded to a Meningitis outbreak at the University of Surrey. Working with system partners, NHS England, Public Health England, the University of Surrey and Guildowns Practice, a mass vaccination programme was setup and delivered to 4200 students, the uptake rate of which was c80%.

The CCG also assisted NW Surrey CCG following the Weybridge Hospital Fire in receiving displaced staff unable to access their office and assisted in the follow-up debrief event.

Business Continuity

In the last year, the CCG has continued developing business continuity planning having completed Business Impact Analysis (BIA) and Business Continuity Plans (BCP) for each directorate across the organisation which responds to the amber rating raised in last year's Core Standards assessment. With the CCG taking on additional Surrey-wide commissioning functions, namely, Mental Health commissioning and Adult safeguarding, these areas have been recently incorporated into the respective directorate plans and in turn feed into the overarching CCG Incident Management Plan.

The business continuity plans and processes were independently audited and achieved a '**substantial**' rating in March 2017. Business Continuity has continued to be strengthened in the last year in a number of ways including strengthening our remote working capability and hosting our business continuity plans on the National Resilience Direct system. The work programme for 2017/18 will focus on maximising the opportunities both within our organisation and with other CCGs through the closer working under the joint arrangements.

Assurance Return

As part of their assurance, each NHS Funded organisation must declare their overall compliance with NHS England core standards. This year an additional 15 areas have been added to the assurance return.

The CCG is required by NHS England to undertake the assurance for providers for which we are the lead commissioner. This included Virgin Care Services Limited, Royal Surrey County Hospital NHS Foundation Trust and Surrey and Borders Partnership NHS

Foundation Trust, in addition to those that East Surrey CCG lead on as part of our collaboration agreement. The provider assurance reports will be presented to their respective Boards.

For each standard the CCG is required to submit actual evidence in support of the assessed rating. This has included evidence of attendance at meetings, the suite of in date EPRR plans and evidence of regular review and Governing Body approval; training needs analysis and our contribution to multi agency arrangements e.g. mutual aid and training programmes. For Guildford and Waverley CCG, of the 52 NHS EPRR core standards that are applicable to the CCG, 1 has been rated amber for 2016/17. This relates to the evidence of participation in training for CCG staff performing an on-call function. A number of mitigating measures have been applied including carrying out a training needs analysis at the beginning of the year to tailor the training needs better and incorporating the new requirements of CCG On-call managers to respond to tactical level incidents on behalf of NHS England; delivering training more flexibly through more on-site training and delivery of modules online (e.g. Business Continuity awareness).

Going forward, the CCG will be running the LRF Introduction to Civil Protection course locally for oncall managers in November 2017. With the move to joint management arrangements across Surrey Heartlands, the CCGs are implementing a two-tier on-call to include an executive level which will allow the training requirements to be further tailored to the needs of managers operating either at strategic or tactical level.

Oncall managers have also had a technical capability applied to their mobile phones that protects their ability to make and receive calls if dealing with an incident in a particular area as part of a national arrangement.

The NHS Core Standards return also includes a 'deep dive' which this year focused on governance and an exploration of what arrangements are in place. These standards were all assessed to be green. Supporting this assessment of our governance includes the terms of reference of the Executive Team to review EPRR arrangements, for which the Executive have actively undertaken throughout the year; the attendance at LHRP meetings and the presentation of the assurance return to the organisation's public board meeting. Going forward, as part of a joint management and structure, there is an opportunity to consider a joint resilience group across the Surrey Heartlands CCGs, given the context of a wider set of functions reporting to the one Executive team.

With the above taken into consideration, this CCG has put forward a position of **Substantial** assurance, with that being defined by NHS England as 'Arrangements are in place however they do not appropriately address one to five of the core standards that the organisation is expected to achieve. A work plan is in place that the Board has agreed which Governing Body is asked to approve.

Compliance Level	Evaluation and Testing Conclusion
Full	Arrangements are in place that appropriately addresses all the core standards that the organisation is expected to achieve. The Board has agreed with this position statement.
Substantial	Arrangements are in place however they do not appropriately address one to five of the core standards that the organisation is expected to achieve. A work plan is in place that the Board has agreed.
Partial	Arrangements are in place, however they do not appropriately address six to ten of the core standards that the organisation is expected to achieve. A work plan is in place that the Board has agreed.
Non-compliant	Arrangements in place do not appropriately address 11 or more core standards that the organisation is expected to achieve. A work plan has been agreed by the Board and will be monitored on a quarterly basis in order to demonstrate future compliance.

Work Plan 2017-18

This work plan is based on the outcomes of the EPRR Self-Assessment submitted for 2017/18.

Guildford & Waverley		Lead
2017		
April	JESIP Training Completion of BIAs EPRR Assurance (Outline work)	MT/JH MT (SCC) EN / MT
May	Public Inquiries Training Exercise Prasideo Business Continuity: Work Area Recovery Planning	JH JH / EN
June	Annual Exercise Assurance round for Providers begin	JH EN
July	Revised policy and Incident Plan going to Governing Body G&C BC Exercise	MT/ JH
August	EPRR Assurance JESIP Training Review of BIAs and BCPs	JH/ MT MT/ JH JH
September	Quality Directorate Business Continuity	JH
October	Preparations for Joint On-Call across Surrey Heartlands EPRR Assurance to Governing Body	MT EN
November	Command Post and Winter Planning Exercise LRF Introduction to Civil Protection and System awareness Training	JH JH/MT
December	Joint Policy and Planning work across Surrey Heartlands On-Call Training for new managers in systems and processes	MT/JH

2018

	Guildford & Waverley	Lead
January	Revised policy and plan Review of assurance actions with providers	MT JH
February	LRF Introduction to Civil Protection Surrey Multi-agency Gold Incident Command Training	JH JH
March	Review of Incident Control Centre Emergency Assistance Centre Training	JH JH