SWANSEA BAY
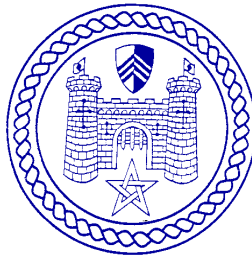# PORT HEALTH AUTHORITY

AWDURDOD IECHYD PORTHLADD
BAE ABERTAWE

BUSINESS CONTINUITY PLAN
Including Disaster Recovery

CONTENTS

Preface

The Swansea Bay Port Health Authority, as a 'Category 1 responder', is required by the Civil Contingencies Act 2004 to produce, and maintain, a Business Continuity Plan (BCP) to deliver its services in the event of an emergency comprising its staffing, premises or system capabilities.

This Plan has been produced having considered guidance issued by The H.M. Government document 'EMERGENCY PREPAREDNESS'. The general principles for formulating, operating, testing and updating BCPs, contained in the document have therefore formed the basis of this Business Continuity Plan.

1.0 BACKGROUND

Services and enforcement duties provided by the Authority are delivered by three sections situated on different sites:

1.1 Secretariat to the Authority

Financial management and administration of the Authority is undertaken by the Clerk & Treasurer, who undertakes his duties within a Service Level Agreement (SLA) between the Authority and the City & County of Swansea. The SLA is reviewed at regular intervals and facilitates access by the Authority to specialist legal, financial and environmental protection services.

1.2 Port Medical Service

The Port Medical Officer, Mr Sion Lingard, is employed by Public Health Wales and is appointed by this Authority to undertake public health duties as Proper Officer. In the event of his absence, this Authority has also appointed and authorised Designated Alternates – the other CCDCs in Wales. Mr Lingard's office is situated at Oldway House, Orchard Street, Swansea.

1.3 Port Health Service

The range of port health services and regulatory functions delivered by the Authority is the responsibility of the Director of Port Health Services, Mrs Gillian Morgan and Miss Seren Linton, port health officer. Both officers, who are based at the Port Health office, Kings Dock, Swansea are professionally qualified Environmental Health Practitioners. They are supported by one part time Clerk/Technical Assistant, Ms Elizabeth Davies and a part time Port Health Officer, Mr William Arnold, the former Director, who is also a professionally qualified Environmental Health Practitioner. Mr Arnold is employed on an ad-hoc daily rate basis when both the Director and port health officer are absent. Both full time staff are members of the Chartered Institute of Environmental Health and the Authority is an active member of the Association of Port Health Authorities.

2.0 LEGAL DUTIES UPON THE AUTHORITY

2.1 The Act requires Category 1 responders to maintain plans to ensure that they can continue to exercise their functions in the event of an emergency so far as is reasonably practicable. The duty relates to all functions, not just their emergency response functions. Category 1 responders must have regard to assessments of both internal and external risks when developing and reviewing BCPs which may take the form of generic plans – which set out the core of a Category 1 responder's response to any Business Continuity Management (BCM) event – or specific plans dealing with particular risks, sites or services. There must be a clear procedure for invoking a BCP.

2.2 BCPs must include arrangements for exercises for the purpose of ensuring the plan is effective, and arrangements for the provision of training to those involved in implementing the plan. Plans must be reviewed and kept up to date.

2.3 Category 1 responders are required to publish aspects of their BCPs insofar as making this information available is necessary or desirable for the purposes of dealing with emergencies.

2.4 Category 1 responders must maintain plans to ensure that they can continue to perform their functions in the event of an emergency, so far as is reasonably practicable. This relates to all the functions of a Category 1 responder, not just its civil protection functions, if the impact on the community is to be kept to a minimum.

2.5 It is an established tenet of BCM that organisations should not only look at the resilience of internal structures and processes, but also those of organisations they rely on, or deliver services through.

This requires them to ensure that those organisations delivering services on their behalf (eg contracted-out services) or capabilities which underpin service provision (eg information technology and telecommunications providers) can deliver to the extent required in the event of an emergency. This is because services remain part of an organisation's functions even if they do not directly provide them.

3.0 BUSINESS CONTINUITY MANAGEMENT OF THE AUTHORITY'S BUSINESS

3.1 What is BCM?

The H.M. Government document 'Emergency Preparedness' explains BCM as:

1. a management process that helps manage the risks to the smooth running of an organisation or delivery of a service, ensuring it can continue to operate to the extent required in the event of a disruption. These risks could be from the external environment (eg power outages, severe weather) or from within an organisation (eg systems failure, loss of key staff);

2. the provision of a strategic framework for improving an organisation's resilience to interruption. Its purpose is to facilitate the recovery of key business systems and processes within agreed time frames, while maintaining the Category 1 responder's critical functions and the delivery of its vital services;

3. an ongoing process that helps organisations anticipate, prepare for, prevent, respond to and recover from disruptions, whatever their source and whatever aspect of the business they affect;

4. a generic management framework that is valid across the public, private and voluntary sectors. It is about maintaining the essential business deliverables of an organisation in an emergency. The primary 'business' of private sector organisations is the generation of profit, a process that BCM seeks to protect. Category 1 responders provide services to the public, and it is equally important that these are protected and resilient.

3.2 BCM methodology

The Business Continuity Institute has developed a five-stage process, which has become widely accepted and has been incorporated into a British Standards Institute Publicly Available Specification – PAS 56. This model provides a generic framework that is applicable across the public, private and voluntary sectors.

Effective BCM is built on the 7 Ps principle:

1	**Programme**	–	proactively managing the process
2	**People**	–	roles and responsibilities, awareness and education
3	**Processes**	–	all organisational processes, including ICT
4	**Premises**	–	buildings and facilities
5	**Providers**	–	supply chain, including outsourcing
6	**Profile**	–	brand, image and reputation
7	**Performance**	–	benchmarking, evaluation and audit

The five stages of the process are:

a) **Stage 1:** **Understanding your business:**
Using business impact and risk assessments to identify the Category 1 responder's critical deliveries, evaluate recovery priorities and assess the risks that could lead to a disruption to service delivery.

b) **Stage 2:** **BCM strategies:**
Identifying the alternative strategies available to the Category 1 responder to mitigate loss, assessing their potential effectiveness in maintaining the Category 1 responder's ability to deliver its critical functions.

c) **Stage 3:** **Developing and implementing a BCM response:**
Developing the response to business continuity challenges and the plans underpinning responses.

d) **Stage 4:** **Establishing a BCM culture:**
This stage looks at the need for Category 1 responders to ensure that a continuity culture is embedded in their organisation by raising awareness throughout the organisation and its key stakeholders, and offering training to key staff on BCM issues.

e) **Stage 5:** **Maintaining and auditing BCM:**
Ensuring plans are fit for purpose, kept up to date and quality assured.

3.3   BCM development

The Authority's BCM plan will be:

1   kept short, simple and user-friendly: to be understood easily in challenging and pressured circumstances;

2   ensure that assumptions contained are realistic: eg numbers of staff directly affected by the incident, the effect of the 'backlog trap' (ie the impact of the accumulation of tasks left uncompleted on recovery);

3   refer to other sources of information and supporting documentation: eg guidance, databases, lists of key contacts, resources and suppliers;

4   contain action plans and checklists needed

5   ownership of key tasks: these should be reflected in job descriptions;

6   proformas: giving templates and model documentation;

7   version control: the need to implement document management procedures, including a list of all plan holders, which has to be maintained, together with a distribution and change control process; and

8   communications: effective communication with stakeholders and, where appropriate, the media is crucial to an effective response.

3.4   Practicability

This Authority, as a Category 1 responder, is required to put in place arrangements to ensure that it continues to exercise it's functions in the event of an emergency so far as is reasonably practicable. The qualification "so far as is reasonably practicable" has three elements:

3.4.1 Criticality:

Dependent upon the nature of the emergency in question, the Authority will need to focus on ensuring that it can deliver its critical functions without losing sight of the common supporting infrastructure underpinning those functions. The following guiding principles will be used when deciding whether or not a service or activity is critical:

i)   *Emergency management/civil protection*: Functions that underpin the Authority's capability to respond to the emergency itself, and take effective action to reduce, control or mitigate the effects of the emergency.

ii)   *Impact on human welfare, the environment and security*: The significance of services to the effective functioning of the port and wider community in an emergency.

iii) *Legal implications*: Statutory requirements on the Authority and the threat of litigation if a service is not delivered, or is delivered poorly

iv)   *Financial implications*: Loss of revenue and payment of compensation.

v)   *Reputation*: Functions that impact on the credibility and public perception of the Authority.

3.4.2 Service levels:

The Act does not require Category 1 responders to continue to deliver their functions at ordinary levels in the event of an emergency. Some critical functions may need to be scaled up, while others (which are non-critical) may need to be scaled down or suspended. Acceptable levels of service in the event of an emergency are a matter for the Authority to determine in the light of its capabilities, constraints and the needs of the port and wider community.

3.4.3 Balance of investments:

No organisation will be in a position to commit unlimited resources to BCM. It is the role of the Authority to decide the level of protection sought in the light of resource availability and appetite for risk. Category 1 responders must put in place a process for effectively managing the prioritisation of services – and getting high-level endorsement for these decisions – prior to an emergency occurring.

3.5   Risk assessment

It is important that Category 1 responders identify the significant risks threatening the performance of critical functions in the event of an emergency, as this will enable them to focus resources in the right areas, and develop appropriate continuity strategies. In this context, there are two strands to risk assessment, relating to external threats (ie risk of an emergency occurring) and internal business risks that could cause loss or disruption of critical services required to control, reduce or mitigate the effects of an emergency. The Act requires Category 1 responders to identify and assess significant risks of an emergency occurring in their area – in accordance with their particular functions – as a basis for performing their other civil protection duties (see Chapter 4).   The Regulations require Category 1 responders to have regard to assessments of risk maintained pursuant to the Act

when developing BCPs. The Act requires Category 1 responders to consider whether a risk assessment makes it necessary or desirable to review a BCP.

3.6 BCP invocation

The Regulations specifically require Category 1 responders to establish a procedure for determining when an emergency has occurred. There must be a clear procedure for invoking the plan and a clearly laid out escalation procedure, identified, agreed and documented within the plan.   The Regulations specifically require this procedure to:

a) identify the person who should determine whether such an emergency has occurred;
b) specify the procedure that person should adopt in taking that decision;
c) specify the persons who should be consulted before such a decision is taken; and
d) specify the persons who should be informed once a decision has been taken.

3.7 BCP exercises

A BCP cannot be considered reliable until it is exercised and has proved to be workable, especially since false confidence may be placed in its integrity. The Authority is required to put in place arrangements for exercising it's BCP to ensure that is effective. These arrangements should encompass the three principal purposes of exercising:

a) **validating plans**   - to verify that the plan works;
b) **rehearsing key staff**   - to familiarise key staff with what is expected of them in a crisis and preparing them for crisis conditions; and
c) **testing systems**   - to ensure that systems relied upon to deliver resilience (eg uninterrupted power supply) function correctly and offer the degree of protection expected. The frequency of exercises will depend on the Category 1 responder's need and the environment in which it operates. The exercising programme will therefore be flexible, and the focus and frequency of exercises will be responsive to:
d) **the rate of change**   - where the pace of change (eg to the Authority or risk profile) is particularly rapid, exercises may be held more frequently; and
e) **outcomes of previous exercises** - the identification of particular weaknesses and subsequent changes to plans may necessitate further exercising.

3.8 BCP review

The BCP will be reviewed annually by the Authority and updated to ensure that it remains valid.   Plan maintenance will take place on an ongoing basis by the Director Port Health Services. The following aspects will be included in the review process:

a) **personnel:**   staff turnover means that contact details will need constant updating;
b) **responsibilities of the Authority:**   where the Authority takes on new functions or delivers new services;
c) **organisational structures:**   any restructuring subject to this BCP is reflected in the plan;
d) **suppliers or contractors:**   ensuring that the details of suppliers and contractors are kept up to date;
e) **risk assessments:**   the plan will be reviewed in the light of changes to risk assessments; and

3.9 BCP publication

Communication with customers or service users – who may need information about service continuity in the event of an emergency – is important to community resilience. Emergencies cause serious disruption to people's lives and increase reliance on public sector bodies – provision of information about what they can and can't expect from the Authority as a Category 1 responder in the event of an emergency may help to minimise this disruption. The Act requires the publication of aspects of BCM plans in so far as this is necessary or desirable for the purposes of preventing, controlling or mitigating the effects of an emergency or otherwise responding to the emergency. The Authority, in accordance with Act, will publish information where there is a positive benefit in doing so. For example, a Category 1 responder need not publish internal management information, which would be of little relevance or interest to the public. Furthermore, the Regulations prohibit the publication of sensitive information (eg commercially confidential information, personal data) where consent has not been received from the originator of the information, or where the public interest in disclosure fails to outweigh the interests of the organisation or individual concerned.

3.10 Training key staff

It is important to ensure that Authority personnel, together with personnel in other organisations where appropriate, are confident and competent concerning the plan. It is particularly important that staff receive appropriate training prior to exercising. This will ensure that they are adequately prepared for what can be a challenging experience. The Regulations require Category 1 responders to put in place a training programme for

those directly involved in the execution of the BCP should it be invoked. This should be reflected in plans. This should cover:

a) **the contents of the plan**   - How is the plan invoked? What are the key decision-making processes?   Who else needs to be involved?

b) **their role in implementing the plan -** What is expected of them? How do they fit into the wider picture?

c) **key skills and knowledge required in crisis response** - Reviewing and maintaining the BCP

3.11 Collaborative arrangements

The Regulations permit Category 1 responders to enter into collaborative arrangements in order to fulfil the BCM duty. Category 1 responders may:

a) deliver the duty separately;

b) deliver the duty jointly (eg by forming a joint BCM unit or resource);

c) agree that one Category 1 responder will facilitate the delivery of a BCM programme on behalf of a number of other Category 1 responders; or

d) enter into collaborative arrangements in which one or more Category 1 responder gives assistance to others in fulfilling their BCM duties (eg managing the overarching programme, developing framework plans). However, BCM must be owned and driven within the organisation itself in order to be effective. As such, the BCM must engage the expertise and resources of its staff. While collaborative arrangements can be used to make use of BCM expertise or resources in other Category 1 responders, responsibility for the robustness of BCM arrangements must remain within the organisation.

The Authority will continue, where appropriate, to work in partnership with its Riparian Authorities and other Port Health Authorities in ensuring delivery of its services.

THE BUSINESS CONTINUITY PLAN

To provide a clear framework for action in the event of an emergency. Action will be initiated by the Authority's Business Continuity Team to commence recovery from the emergency whilst arranging ongoing delivery of key services to port users, other stakeholders and the public as far as is practicable.

The BCP describes the measures necessary to continue operation of the Authority's secretariat; financial management; the Port Medical Service; and the Port Health Service in situations where delivery of service has been compromised. The Authority is committed to the principles of good and fair enforcement practices, required by the Better Local Regulation Office, and to protecting delivery of all of its services and duties. As such, this BCP has been integrated in the Authority's Service Delivery Plan.

In the case of emergency, then contact details and dock layouts listed in the Port Medical Officer Handbook section of the Authority's Service Delivery Plan, should be used as reference.

1.0 DEFINITIONS

Emergency

The term "Emergency" where used in this Plan shall have the same meaning as given to it by the Civil Contingencies Act as follows:

'an event or situation which threatens serious damage to human welfare in a place in the UK, the environment of a place in the UK, or war or terrorism which threatens serious damage to the security of the UK'.

(UK includes territorial waters up to 12 nautical miles seaward of the UK coast)

Disruption

A disruption can be created by a range of causes, both natural and man-made (being accidental, negligent or deliberate). Causes include:

• Closure or loss of access to the Port Health Office due to fire, explosion etc
• Civil Emergencies such as e.g. Flood, Pandemic or Animal Health Outbreak
• Disruption of utilities or critical resources (fuel)
• Loss of staff or suppliers

A more comprehensive list of the potential causes of disruption is detailed in the Plan, with an analysis of the likely impacts. Whatever the cause, the effects are the same when the business process cannot continue in its present environment and action is needed to restore all or part of the affected services.

A disruption can vary in magnitude from one area of the Port Health Office and last for a short period of time or long period that requires a recovery strategy. It doesn't necessarily have to occur in the building since an event that prevents staff from reaching the office can be equally disruptive.

If a severe disruption occurs then the Business Continuity Team will be established.

1.1 Responsibilities

This plan is specific to the requirements of the services provided by the three service sections of the Authority. Each Service Head will hold a copy of this plan and shall be familiar with the contents thereof.

Responsibility for invoking the plan will lie primarily with the Director or, in her absence, with her Deputy. Each Head of Service shall be responsible for reporting to the above any event that requires, or is likely to require, the plan to be invoked.

A staff member becoming aware of an emergency situation should notify one of the above staff members as soon as possible where it seems possible that they do not already know of the problem (e.g. an emergency situation that occurs outside of normal hours). Heads of Service will be responsible for ensuring that appropriate staff are made aware of their responsibilities, are suitably trained and, as far as practically possible, gain experience through testing the plan.

1.2 Maintenance

The Director will be responsible for maintaining the plan, ensuring that it is reviewed annually, amended as necessary and tested to the extent that its effectiveness can be judged. Heads of Service shall be responsible for ensuring that the plan relative to their service remains effective and notifying the appropriate officers of any required changes to the procedures and/or responsible personnel.

2.0 PREVENTION OF EMERGENCIES AND SEVERE DISRUPTION

It is the duty of every officer to avert any potential disruption and to protect all assets of the Authority (including buildings, equipment, staff and information) as far as practically possible, so that emergency situations and/or severe disruptions are avoided wherever possible. This will be achieved through the following:

- Operating a clear desk policy, with files etc kept in filing systems as appropriate unless in use;
- Restricting access to information by applying security procedures (e.g. use of passwords, keys, etc);
- Ensuring visitors to the office are accompanied whenever possible, and challenging any strangers (asking for ID when in doubt);
- Looking out for suspicious parcels and other objects left unattended;
- Being vigilant when opening post and other packages;
- Adhering to the Authority's no smoking policy;
- Using due care and attention when using equipment, only using equipment and machinery for which officers are trained and authorised, and reporting any equipment or machinery that is malfunctioning;
- Guarding against personal injury by following prescribed procedures in accordance with the Authority's Health & Safety policy;
- Refraining from undertaking malicious acts, and preventing others from carrying out malicious acts;

3.0 INVOKING THE BUSINESS CONTINUITY AND DISASTER RECOVERY PLAN

3.1 Declaring an Emergency: An emergency or severe disruption to services could arise during a working day, out of normal office hours, at a weekend or on a Public Holiday. Depending on the exact circumstances, one of the Heads of Service will declare an emergency in the light of the currently available information. Other members of the Business Continuity Team will be briefed.

3.2 Organisation and Responsibilities: The Business Continuity Team will be set up to decide on the actions to be taken. Depending on the nature of the situation and any over-riding corporate actions consideration will need to be speedily given to nominating other officers to fulfil all or some of the roles needed. The Business Continuity Team will take responsibility for organising and managing all operations including liaison with emergency services, salvage operators, removal contractors, demolition contractors, contractual partners and any others required to enable resumption of services. They shall also be responsible for organising and managing staff who are directly required for essential services in respect of the disaster or emergency.

3.3 Emergency Operations Centre: The Business Continuity Team will work from a location determined in light of any corporate response to the emergency situation. Ad-hoc arrangements may need to be quickly put in place. Short term needs will be:
- (a)   Availability of desks, chairs, paper, pens etc.
- (b)   Copies of the Business Continuity Plan.
- (c)   Availability of stationery for recording messages, service requests etc.
- (d)   Telephone services.
- (e)   IT and photocopying services.
- (f)   Refreshments.
- (g)   Petty cash and order forms for urgent purchases.
- (h)   Support staff with suitable skills/experience.

3.4 Damage Assessment: as soon as is practicable, the Director will assess the severity of the situation as it relates specifically to the work of the Authority.

3.5 Communications: Exactly who needs to be contacted will depend on the nature and timing of the incident. Messages should be concise and clear and cascaded up/down as appropriate to minimise communication bottlenecks caused by random attempts at contact by various staff and / or elected members. Liaison will generally be required with the following:
- (a)   Other sections of the Authority;
- (b)   Other authorities and other external bodies;
- (c)   The press and other media;
- (d)   The emergency services;
- (e)   Companies carrying out works on site/salvage etc;
- (f)   Departmental staff via the Cascade Contact list as required;
- (g)   Transport co-ordination (e.g. in a bad weather situation);
- (h)   Suppliers; and other
- (i)   Stakeholders (including the public where contact details are available).

3.6   Service Arrangements: the resources and evaluation sheets for each Section listed as having critical services that must be maintained are attached as Appendix 3.

3.7   Critical Services: The maintenance of critical services will be a priority for the Business Continuity Team, but the nature of the critical services may vary over time due to changing circumstances or the nature of the emergency. In determining the order of priority of services, consideration has been given to:
- The Authority's legal obligations;
- The needs of those requiring the services;
- The Authority's agreed priorities;
- The period of time before the service becomes critical;
- The availability of alternative facilities.

Two scenarios have been considered when considering which services will be prioritised, namely
- A Civil Emergency, as defined above;
- Other causes of disruption affecting service delivery. In each case, the services to be regarded as a critical are listed in Section 6.

3.8   Assessing the impact on services: It is vital that after every incident, an assessment is made of the action taken in order to assess whether this has been effective. The Service Impact Form (Appendix 5) should be completed and returned to the Director.

4.0   DELIVERY OF SERVICES

4.1   Secretariat to the Authority

4.1.1   *SLA*
The Authority will continue to agree its SLA with the City & County of Swansea (CCS) on an annual basis to provide specialist back up services to the Authority including an officer to act as Clerk & Treasurer. Alternative arrangements will also be agreed, in principle, with the other Riparian Authorities to provide pollution control, legal and financial services in the event that the CCS cannot maintain such provision. In the case of the payroll section being rendered incapable of providing services, then the Director / Clerk & Treasurer are authorised to make interim salary payments to staff in line with the last normal salary advices. Any salary / tax / NI / pension contribution adjustments will be made once routine service by the salary section is resumed.

4.1.2   *Clerk & Treasurer*
The Chairman to the Authority, in consultation with the Director Port Health Services (the Director), is hereby authorised to arrange alternative interim provision of a Clerk & Treasurer in the event that the CCS is unable to provide such staff. In such eventuality the Director will immediately convene an emergency meeting of the Authority.

4.1.3   *Documentation*
Computer files maintained by the Clerk & Treasurer will be backed up on a monthly basis and a copy of such will be held at the offices of the Director. Copies of leases and other agreements with outside organisations together with copy agendas and minutes of the Authority including any documentation relating to resolutions shall also be maintained at the offices of the Director.

4.1.4   *The Authority seal*
The seal will be held securely in a metal cabinet at the offices of the Director. In the event that the seal is destroyed then documents shall be issued on behalf of the Authority as appropriate by the Clerk & Treasurer, Port Medical Officer or Director Port Health Services until a replacement seal is procured.

4.2.   Port Medical Services

4.2.1   *Medical staff*
The Authority has adopted a 'Port Plan' including a "Handbook for Port Medical Officers" which details appointments of the PMO and Designated Alternate PMOs together with their roles and duties. The Authority will operate in the spirit of the Memorandum of Understanding (MOU) reached between Local Authorities in Wales and PHW and therefore expects PHW and ABMU Health Board and local General Practitioners to continue provision of suitably qualified personnel. As such, the Director is delegated authority to ensure that arrangements continue as fit for purpose. The Authority will receive reports from the Director regarding such arrangements as part of the Service Delivery Plan and will undertake a review of the process at its annual meeting.

4.2.2 *Personal protective equipment*
As part of the Health & Safety policy adopted by the Authority, the Director, in consultation with the PMO, is authorised to purchase and maintain sufficient and suitable items of PPE for staff engaged in the investigation and treatment of infectious disease.

4.2.3 *Medical supplies - seafarers*
The Authority recognises that in extreme instances, such as the existence of a pandemic influenza outbreak, PHW, HB and local General Practices may be stretched to the limit in dealing with the local population. Arrangements for dealing with seafarers are covered by the MOU mentioned in 4.2.2.1 but it may be that stocks of medicines recommended for easing symptoms of cases not requiring attention by doctors or hospitalisation have become low at local chemist shops and other outlets. The Authority also recognises that medical stores on board vessels may be seriously depleted in cases of such pandemics. The Director is therefore authorised, in consultation with the PMO, to stockpile sufficient reserves of such medicines for sale to seafarers as considered necessary and expedient.

4.3 **Port Health Service section**

4.3.1 *Port Health Service Offices*
The present offices, rented from Associated British Ports (ABP), are situated next to the ABP Harbour Office at the lockhead entrance to the Swansea dock estate. The offices are accessed by road over a swing bridge dividing Kings Dock and Prince of Wales Dock – see location plan in the Port Medical Officer Handbook. Should that bridge be inoperative then there would be no vehicular access to the Authority's offices. Pedestrian access may however be possible from the Dry Dock area or from the SA1 development seaward of the swing bridge. No further contingency plans are therefore currently considered necessary in this respect.

4.3.2. *Port Health Service staff*
As part of the Service Delivery Review continuum, the number of professional and support staff within the port health service section has been reduced over the past few years to an absolute minimum. A Scrutiny Committee of the City & County of Swansea has recognised that, in normal operating conditions, the current level of staffing provides the most cost effective service. However, in the case of civil contingency, the Authority recognises that the section cannot be as robust as a larger organisation and that the risk to compromising service delivery is therefore greater.

4.3.2.1 *Clerical / Technical Assistant*
a) The professional officers are reasonably computer literate and routinely undertake the clerical functions of the port health service in the case of holiday entitlement or sickness absence of the Clerical / Technical Assistant. The Authority encourages all staff to continue suitable on-going training in office practice, including IT provision, and will continue to fund relevant training courses and seminars attended by staff in this respect and to provide equipment upgrades as necessary to maintain optimum working practice.

b) In the case where the Clerical / Technical Assistant is unavailable in the medium or longer term then the Director, in consultation with the Clerk & Treasurer is authorised to secure temporary provision of clerical / technical support through the SLA or by advert.

4.3.3.2 *Professional staff*
a) In the case of holiday entitlement or sickness absence of the Director or Port Health Officer, then a part time Port Health Officer is employed on a daily rate basis. In the event that the part-time officer is unavailable then a Port Health Officer, retired from employment with the Authority has been used to cover such temporary absence.

b) In the case where the Director or Port Health Officer is unavailable in the medium or longer term then the Director, in consultation with the Clerk & Treasurer is authorised to secure temporary cover through the SLA or by secondment from one of the Riparian Authorities; other or Port Health / Local Authority.

c) The Director is authorised to continue negotiation with the Association of Port Health Authorities and the Welsh Local Government Association to arrange reciprocal arrangements for secondment of officers to secure service delivery in the case of civil or other emergency.

d) In the case where the existing staff in the port health service section are overwhelmed by an emergency situation compromising service provision in the short or medium term then the Director, in consultation with the Clerk & Treasurer is authorised to secure temporary cover through the SLA or by secondment from one of the Riparian Authorities; or other Port Health / Local Authority. The Chairman will be advised of this action and may consider convening an emergency meeting of the Authority.

4.3.3.3 IT Communications

Following a 2 week disruption to the office broadband connection in September 2010 it was necessary to update version 2 of this plan to reflect the loss of IT support services previously provided by the City & County of Swansea. The broadband connection is via a telephone link maintained by BT and managed by Axis, whilst the internet connection is provided by Axis and the e-mail network is provided by the CIEH. IT software support is provided by Swansea ITEC.

NB: During the loss of connection, temporary e-mail diverted connection can be arranged, through the CIEH, to officer's home computers. Contact details are as follows:

BT   151

CIEH   Rod Evans   01380 860 611
Swansea ITEC

THE DISASTER RECOVERY PLAN

This plan deals with major disasters and incidents primarily affecting the Port Health Services section. It should be noted that any action taken by the section would need to be in partnership with other affected sections as appropriate. The plan considers the following:

Section	Topic
1	Reporting a disaster or incident likely to lead to a disruption of service delivery
2	Invoking the Disaster Recovery Plan
3	Dealing with fatalities and serious illness
4	Communication with staff
5	Communication with elected members
6	Communication with the media
7	Communication with port users and the public
8	Structural evaluation of the Port Health Office
9	Recovery of the Port Health Office
10	Recovery of ICT facilities
11	Recovery of staff
12	Recovery of records and data
13	Emergency accommodation and working arrangements
14	Transport arrangements
15	Emergency supplies of equipment & stationery etc
16	Insurance
17	Emergency control centre
18	Record keeping

1	**Reporting a disaster or incident likely to lead to a disruption of service delivery**
1.1	On discovering an incident, or potential incident, the member of staff concerned must firstly ensure that all threat to human life is removed as far as practically possible without creating further danger to themselves or others.
1.2	Where necessary, emergency services and other assistance should be summoned to attend.
1.3	Where feasible, and without putting themselves or others at risk, staff should attempt to curtail the disaster or incident and minimise any further damage.
1.4	The Health & Safety policy in case of fire etc should be followed where this is appropriate.
1.5	As soon as practical, the Director should be contacted and given a full verbal report of the incident.
1.6	In the unlikely event of the Director being unavailable, then the Port Health Officer should take overall control of the situation and proceeding operations.
1.7	The Director or her Deputy (as appropriate) shall be known as the Officer in Charge (OIC).

2	**Invoking the Disaster Recovery Plan**
2.1	On receipt of a report, the OIC should instigate an initial investigation to confirm details of the incident, to establish the severity and extent of any damage and to determine what immediate action is required.
2.2	The OIC will then decide whether the Business Continuity Team needs to be established.
2.3	The OIC will decide whether an Emergency Operations Centre is required, and if so will co-ordinate the flow of information and organise the prioritisation and allocation of work.

2.4	The OIC will contact other Service Heads to instruct them on what action is to be taken, delegating specific responsibility where appropriate.
2.5	Initial action should be taken to ensure that communications are available to maintain contact with staff, elected members, port users, the media and the public in order to convey instructions and to deal with enquiries.
2.6	A health and safety risk assessment will be carried out by the OIC to ensure that officers are not placed at risk and have the appropriate equipment required (including PPE).
2.7	Where the OIC decides that the Business Continuity Team is not required because the incident affects only part of the service, the steps outlined in this procedure will be undertaken in consultation with the Clerk & Treasurer or Port Medical Officer as needed to provide business continuity.

3	**Dealing with Fatalities and Serious Illness etc**
3.1	Where a fatality has occurred, it is a police responsibility to inform the next of kin.
3.2	The OIC will liaise with the senior police officer and the Port Medical Officer in order to determine the most appropriate way of identifying the next of kin.
3.3	Where appropriate, a counselling service will be provided to help colleagues and others on site to deal with the circumstances.
3.4	Any further communication must be handled with utmost sensitivity, and no details of deceased persons should be released until the police have deemed it appropriate to do so.
3.5	Where the issue relates to serious illness affecting, or potentially affecting, staff members, the OIC will seek advice from the Port Medical Officer or other advice as appropriate
3.6	Advice will be sought in respect of vaccinations or other methods of protection for officers who are at particular risk of infection. Where appropriate, vaccinations will also be sought for staff at risk to ensure that priority services can be maintained.
3.7	Where serious illness is affecting families, the OIC should ensure that staff with caring responsibilities are able to fulfil these wherever possible. Where necessary to maintain priority services, staff may be asked to work from home.

4	**Communication with staff**
4.1	From the initial investigation, the OIC should evaluate the potential delay in restoring services and determine when staff not directly involved in the recovery operations will be required to attend for work.
4.2	The OIC will provide regular updates and instructions to staff as to when and where they will be required for work.
4.3	In the event of major damage resulting in the total loss of accommodation and communications, home telephones and mobile telephones will be used.
4.4	Where possible, the internet, intranet and e-mail systems will be used to cascade information about longer-term emergencies.
4.5	Service Heads must liaise with the OIC to ensure that records are maintained of staff, including details of those who have been injured, are sick, have died or have otherwise left.

5	**Communication with elected members**
5.1	As soon as practicable, the OIC will contact the Chairman of the Authority and provide as much information as possible regarding the incident, its effect on the business of the Authority and possible resource requirements.
5.2	Where necessary, the OIC will agree with the Chairman that an emergency has arisen that requires the Standing Orders to be waived, in accordance with the Authority's constitution.
5.3	The OIC and the Chairman shall determine how other elected members are to be notified in advance of communication with the port users, media and the general public.
5.4	The role of elected members will be to support the actions of officers and approve adequate funding as far as prevailing financial rules will allow.

6	**Communication with the media**
6.1	The OIC may issue an initial bulletin to the media if appropriate, outlining details of the incident, the resulting disruption to services and any arrangements the Authority is making to restore services.
6.2	Where appropriate, further bulletins will be issued to update on progress made and give any further information or instructions.
6.3	Only the OIC shall communicate directly with the media on behalf of the Authority.

7	**Communication with port users and the public**
7.1	As soon as practicable, a point of communication will be established if required, in order to deal with general enquiries from port users or the public and to direct them to alternative locations where services are being provided.
7.2	The officers manning these facilities should be suitably trained and regularly updated so as to provide the public with current and reliable information.

8	**Structural evaluation of the Port Health Office**
8.1	If the disaster or incident in question relates to the use of the port health office, the OIC shall establish whether the building is: i safe for immediate occupation; or ii will be safe following repairs; or iii cannot be repaired; and iv the likely timescale for this action
8.2	Dependant on the outcome of 8.1 above, the OIC will issue instructions to either re-occupy the building or initialise alternative arrangements for the continuation of essential services.

9	**Recovery of the Port Health Office**
9.1	Once the building is accessible, the OIC will: i complete a survey of all office furniture, fixtures, fittings, equipment and machinery to assess any repair or replacement requirements; ii prepare a detailed report listing all repair and replacement requirements, with an estimated cost and anticipated delivery time for each; iii determine what items are to be ordered and in what priority;
9.2	Where a delay is expected in obtaining repairs or replacements, the OIC should make arrangements for the supply of temporary services, facilities or equipment as appropriate.
9.3	Prior to staff occupation, the OIC will ensure that a qualified person appropriately tests, and declares safe for use, all repaired or replaced services and facilities.
9.4	Only services, facilities and equipment that have been appropriately inspected and certified safe shall be made available for use.

10	**Recovery of ICT facilities**
10.1	Where the incident relates solely to the loss of IT facilities, the OIC will use Swansea ITEC to rectify any problems.
10.2	Where the incident relates solely to the loss of IT data, the OIC will liaise with the Clerk & Treasurer to recover the backed up data.
10.3	Where temporary accommodation is to be provided as a result of an incident, arrangements will be made through the SLA for all communication services to be made available and operating.
10.4	The OIC will prioritise restoration of individual IT facilities within the section.
10.5	Swansea ITEC will be asked to provide regular updates to the OIC on progress of the ICT recovery operations, drawing attention to any outstanding or emerging problems.

11	Recovery of staff
11.1	Once any danger to health and safety is averted, the OIC will determine what staffing requirements needed to deliver priority services.
11.2	As soon as it is known what staff are required and when, the OIC will arrange for staff members to be notified of where and when they will be working.
11.3	Where necessary, the OIC will consider using seconded contract staff or officers from other authorities as appropriate in order to deliver priority services.
11.4	Staff may be asked to return from leave where needed to deliver priority services. Where this means staff missing holidays that they have paid for, the OIC will liaise with the Clerk & Treasurer in order to arrange for this to be covered.
11.5	Where staff are asked to work outside normal working hours, this will be on overtime basis. However, if the additional working is likely to be extensive, the OIC will assess whether overtime should be paid to all officers and make any necessary arrangements in consultation with the Clerk & Treasurer.
11.6	The OIC and Clerk & Treasurer will consider any staff shortages and immediate training requirements

12	Recovery of records and data
12.1	Each Section Head shall be responsible for assessing the integrity and completeness of records and information salvaged from the disaster.
12.2	Records shall be recommenced from the last point of storage (in the case of computer records this would normally be at the end of the day prior to the disaster occurring).
12.3	Where possible, computer held records should be updated with additional manual information recorded since the last point of data storage.
12.4	Where records have been completely destroyed, and there is no possibility of recovering the information, the OIC will consult with the Clerk / Treasurer to establish how records are to be recommenced.

13	Emergency accommodation and working arrangements
13.1	Where staff are prevented from using the port health office, the OIC will liaise with the Clerk & Treasurer to determine the most suitable arrangements for the continuation of business.
13.2	In the event of total loss of the Port Health Office, the OIC will liaise with Clerk & Treasurer to determine which suitable premises are available immediately and which can be made ready for use within a relatively short time.
13.3	In reaching a decision, consideration will be given to: i Available space in offices of the City & County of Swansea or other Riparian Authority, ii Space available for use in other property on the port estate, iii Space available for lease in privately owned premises, iv Home working
13.4	Relative to the selected option, the OIC in consultation with the Clerk & Treasurer will allocate responsibilities for providing facilities and setting up business in the temporary accommodation.
13.5	Where only part of the port health office has been affected by the incident, it will be preferable to continue operating services, as far as practically possible, from the remaining building.

14	Transport arrangements
14.1	Where the disaster or incident relates to transport issues or affects the ability of the Authority to deliver services, the OIC will assess what is required in order to deliver priority services.
14.2	Where a civil emergency prevents access to areas where priority services need to be delivered, the OIC will liaise with the Police and Emergency Services as appropriate.
14.3	Where there is a more general problem affecting transport links, such as flooding or snow, the OIC will assess what is required in order to deliver priority services. Where appropriate, staff will be asked to work from home.

14.4	Where there is a shortage of fuel, the OIC will liaise with the Clerk & Treasurer in order to ensure that fuel supplies are maintained for priority services wherever possible.
14.5	Where industrial action results in the loss of car use by staff, the OIC will assess what is required in order to deliver priority services and consider hire cars or alternative strategies in order to deliver these services.

15	**Emergency Supplies of equipment & stationery etc**
15.1	Where the disaster or incident includes the loss of equipment, supplies and/or stationery or the need to increase levels of stock to meet increased demand, the OIC will assess what is required in order to deliver priority services.
15.2	Where appropriate, further supplies shall be ordered as a matter of urgency from the usual suppliers.
15.3	Where the usual suppliers are unable to assist, the OIC will ensure that alternative suppliers are identified where possible. Other options should also be considered, such as asking riparian or other authorities, not affected by the incident, if they are able to loan equipment and supplies.

16	**Insurance**
16.1	Immediately an incident has occurred that could result in a possible claim, the OIC will contact the Authority's insurers and furnish as much detail as possible.
16.2	Instructions will be obtained from the insurers as to what evidence is expected in support of any potential claim including photographs, witness statements, expert reports, etc.
16.3	Where appropriate, the OIC should pass instructions on to staff, contractors and others directly involved in operations to obtain other documentary evidence (such as invoices, timesheets, travel claims, etc.)
16.4	The OIC will collate all evidence and make it available to the relevant authorities as required.
16.5	The OIC will liaise with the Clerk & Treasurer to ensure that the Authority claims and receives all available funding by way of insurance claims, disaster fund payments, government grants, etc.

17	**Emergency control centre**
17.1	Where a significant or a multi-agency response to an emergency is required, the OIC will consider setting up an Emergency Control Centre (ECC).
17.2	The ECC will need to be suitably located for responding to the emergency, but in a location where it will not interfere with the work being carried out. Access, telephone and computer points and other issues will need to be considered when considering the location of the ECC.
17.3	The OIC will control communications and prioritise the allocation work as appropriate.

18	**Record keeping**
18.1	Record keeping is vital, and all messages will therefore be recorded on a suitable form
18.2	All messages should be recorded and prioritised. For major incidents, a whiteboard or similar will be used to record outstanding messages and actions. The prioritisation of messages will be as follows Priority 1 Immediate - allocation for action Priority 2 Important - same day allocation for action Priority 3 Non-urgent - next day allocation / review
18.3	The action taken in respect of each message will be noted in a format that can be used as evidence at a later date if needed.
18.4	For major incidents, brief details of messages and action taken will be recorded on a daily log and messages allocated a reference number that tallies with this log.
18.5	Once completed, all messages should be filed quickly so that information is not lost and can be found again quickly if required.

CONTINUITY OF SERVICE ARRANGEMENTS – PORT HEALTH SERVICE SECTION

Incident	Possible causes	Possible effects	Continuity Plan
Civil Emergency etc	As defined in the Business Continuity Plan	- Increased workloads - Decreased travel mobility - Communication issues etc	As defined in the Disaster Recovery Plan - Priority work to be targeted for duration of the incident and the aftermath - Contingency prioritisation to be agreed

Closure / loss of access to the office	Range of possibilities, including flooding, fire, terrorist threats etc
	
	Structural disrepair to some or all of the building making access impossible or limited
		- Loss of access to:
		  Filing system
		  IT system
		  Communications
		  Equipment
		  Office accommodation
			IT systems duplicate some information on file
			
			Archive copies maintained elsewhere with Clerk & Treasurer and on CD Rom stored in metal safe
			
			Relevant records / procedures accessible at offices of Clerk & Treasurer and Port Medical Officer as appropriate
			
			Accessible from home for port health staff
			
			All officers have mobile phones
			
			Equipment needed for emergencies maintained by on-call
			
			Working from alternative offices or from home as appropriate

Loss of functionality at the offices	Electricity Cuts Loss of water supply Sewerage issues	Loss of lighting & heating Loss of toilet and hand washing facilities	Working at offices of the City & County of Swansea or other Riparian Authorities Working from Home to be put in place if other options unavailable
Loss of IT system	Fire, flood, terrorist attack, Routine electrical/system fault etc	Loss of data – base info Loss of letters etc Inability to serve notices Loss of internet services	IT system routinely backed up with copies stored in metal safe at the office and at home with individual staff in respect of their computer system. Filing system duplicates much of the data bases regarding proforma letters etc Notices likely to be needed in an emergency maintained in on-call cases by officers available from home for some staff – list of addresses & passwords to be maintained

Loss of key staff	Civil emergency leading to death or injury to staff Civil emergency leading to redeployment of staff Sickness etc affecting numbers of staff Industrial action Sudden turnover of staff (e.g. lottery win!)	Loss of information (local knowledge / expertise) Loss of staff resources to meet workload targets	Use of files, IT systems etc to store information. Procedures etc to allow processes to continue. Service Delivery Plan to ensure consistent knowledge & expertise Continuity Plan will depend on whether the loss is short or long term. Actions may include: Short term Seconding staff from other authorities Temporary delays to low risk and low priority work Long term Use of contractors until staff can be replaced Adjustments to Service Delivery Plan with reduced work targets
Loss of key partners / suppliers	PHW microbiological lab lost / closed Suppliers run out of stocks	Loss of food & ID sampling Loss of key supplies at a critical time	Use of other PHW lab or private laboratory List of alternative suppliers to be kept for supplies used in an emergency
Restrictions on travel	Petrol rationing / shortages Civil or other emergencies preventing access to certain areas Industrial action	Inability of staff to get to work Inability of staff to carry out inspections & other work Inability to access certain areas for work Refusal by staff to use cars for work	Home working to be considered where appropriate Car sharing to be set up and hire cars to be provided where appropriate Facilities for staff using bikes / motorbikes etc to be established Work to be prioritised Petrol supplies to be accessed via SLA Work to be prioritised Police / Dock security etc to be asked for support where access to area urgently required Exemption for work with high public health risk to be sought from Unions. Work to be prioritised.

WORK PRIORITY – PORT HEALTH SERVICE SECTION

The following table indicates the relative priorities given to each work area undertaken by the Port Health Services section. Work areas are rated from 1 – 5 where 1 is considered the highest priority service to be protected. The completeness of service delivery during an incident will depend upon the severity and nature of the prevailing circumstance.

WORK AREA	DESCRIPTION	RATING
Ship inspection:		
Rodent control	Routine inspection of arriving vessels	3
	Issue ship sanitation control/exemption certificates	1
On board hygiene	Responding to complaint	2
Nuisance / defects		
Water supply:		
Ship supplies	Routine sampling of onboard water supplies	5
Shore supplies	Routine sampling of shore water supplies	5
Medical health:		
Sickness accident investigation	Responding to notification of food poisoning or infectious disease	1
Sexually transmitted disease	Routine inspection of arriving vessels	3
HIV / AIDS	Delivery of health education	5
Environmental health:		
Atmospheric pollution	Routine inspection of district	5
Ship waste	Routine monitoring disposal of ship waste	3
Dangerous drugs	Provision of medical supplies to vessels	3
Rabies	Routine inspection of arriving vessels	3
Food hygiene - shoreside	Routine inspection of shoreside catering facilities	5
Education & training	Delivery of health education	5
Imported Food control:		
Fish landings	Routine inspection of fish landings	5
Shellfish harvesting	Routine inspection of shellfish movements	2
Shellfish bed classification	Sampling regime for shellfish bed classification	4
Other food imports EU	Inspection of foods from EU	5
Other food imports 3rd countries	Inspection of foods from 3rd countries	1
Administration:		
Filing / IT data entry	Maintaining filing / data entry system	2
Statistical returns	Submission of statistical returns	5
Issue of notices, permits, invoices etc	Service of notices	2
Issue of shellfish movement documents	Issue of shellfish movement documents	2
Quarterly / annual reports	Processing invoices	4
	Routine quarterly / annual reports	5

Swansea Bay Port Health Authority

MESSAGE FORM

Message from	Message taken by

Address	Date / time

Contact numbers	

MESSAGE

ACTION TAKEN

CLOSED   Date: Time: Signed: File ref:

Document versions

VERSION	DATE	UPDATED INFORMATION
1	June 2006	Original document
2	July 2007	Minor operational changes
3	October 2010	IT recovery following disruption of service
4	July 2017	Minor operational changes