University Hospitals of Leicester NHS

NHS Trust

Lockdown Policy

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REVIEW DATES AND DETAILS OF CHANGES MADE DURING THE REVIEW

Table of Amendments		
Version	**Date**	**Amendment Details**
1.1	Sept 2020	- Removal of Section 1.3 to reflect this is no longer a new policy - Minor formatting changes
1.0	Mar 2019	- New policy for UHL to support existing operational lockdown plans

KEY WORDS

Lockdown, security

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1 INTRODUCTION AND OVERVIEW

1.1 NHS England's core standards for Emergency Preparedness, Resilience and Response (EPRR) require University Hospitals of Leicester (UHL) NHS Trust (from here on in referred to as "the Trust") to:

> *"In line with current guidance and legislation, have effective arrangements in place to safely manage site access and egress of patients, staff and visitors to and from the organisation's facilities."*

1.2 This document sets out the Trust's (from here on in referred to as "the Trust") policy for meeting this requirement.

2 POLICY SCOPE

2.1 This policy sets out **how** the Trust will develop lockdown procedures to protect the safety of patients, staff, services and/or assets, as required by NHS England's core standards for Emergency Preparedness, Resilience and Response (EPRR).

2.2 This policy does not:

- Include any operational lockdown procedures for the Trust's premises (refer to Section 5.4 of this policy for where these can be located);
- Describe the Trust's immediate response arrangements to an incident requiring a lockdown of premises (refer to the Trust's Suspect Package, Bomb Threat & Lockdown Plan).

2.3 This policy applies to all staff across all UHL sites including temporary and agency staff, those with honorary contracts, students and any staff of contractors or other service providers.

3 DEFINITIONS AND ABBREVIATIONS

3.1 Lockdown – The process of controlling the movement and access – both entry and exit – of people (NHS staff, patients and visitors) around a trust site or other specific trust building/area in response to an identified risk, threat or hazard that might impact upon the security of patients, staff and assets or, indeed, the capacity of that facility to continue to operate. A lockdown is achieved through a combination of physical security measures and the deployment of security personnel and/or other suitably trained staff as required.

3.2 Local area lockdown – The lockdown of an individual service area (i.e. a ward, office, department). This includes securing all entrances and exits into/out of a service area, closing all windows and where available, closing all blinds.

3.3 Building lockdown – The lockdown of an individual building on one of UHL's sites. This includes securing all external entrances and exits into/out of a building.

3.4 Site lockdown – The lockdown of a whole UHL site. This includes securing all entrances and exits on to/out of a given site.

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4   ROLES

4.1   Chief Operating Officer

4.1.1 The Chief Operating Officer is the board director lead for the lockdown policy and is responsible for assuring the Trust board that plans are in place to ensure a safe and secure environment for staff, patients and visitors can be maintained at all times.

4.2   Emergency Preparedness, Resilience and Response (EPRR) Board

4.2.1 The EPRR Board will receive an annual compliance report against this policy for approval from the Security Management & Police Liaison Committee (SMPLC). Where non-conformities are identified, this will be accompanied by an auditable action plan from the SMPLC.

4.3   Health & Safety Services Manager

4.3.1 The Health & Safety Services Manager is the senior manager responsible for ensuring plans are in place to ensure a safe and secure environment for staff, patients and visitors can be maintained at all times.

4.4   Security Management & Police Liaison Committee (SMPLC)

4.4.1 The SMPLC will oversee the implementation of this policy.

4.4.2 The SMPLC will receive an annual compliance report against this policy. Where non-conformities are identified, the SMPLC is responsible for putting in place an auditable action plan within 30 days. The SMPLC will then submit the annual compliance report and the auditable action plan to the EPRR Board for approval.

4.5   Security Managers

4.5.1 Security Managers will use the "Site Lockdown Procedure Template" in Appendix A to create individual lockdown procedures for each of UHL's sites.

4.5.2 Security Managers will use the "Building Lockdown Procedure Template" in Appendix B to create individual lockdown procedures for each of UHL's individual buildings.

4.5.3 Security Managers will identify specific areas of the Trust which require a local area lockdown procedure to be put in place. This will be based on:

- Potential infection prevention risk arising from the area;

- Potential contamination risk arising from the area;

- Potential number of patients, staff and visitors to the area;

- If the area is a receipt point for post, supplies and/or deliveries;

- If the area is a critical "access point" for healthcare services;

- Criticality of the service functioning in the area'

- Physical assets;

Where areas are identified as requiring a local area lockdown procedure, Security Managers will identify the relevant service/department manager who will be tasked with the responsibilities listed under section 4.7 of this policy.

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4.5.4 Security Managers will save all completed lockdown procedures on the shared drive in a secure location. Security Managers will provide access to the shared drive location to both Local Security Management Specialist (LSMS) Officers and the Emergency Planning Office.

4.5.5 Security Managers will maintain a comprehensive record of the status of all lockdown procedures. This will be achieved by keeping the "UHL Lockdown Procedures" spreadsheet up-to-date at all times.

4.5.6 Security Managers will ensure printed copies of all lockdown procedures are readily available to security staff.

4.5.7 Security Managers will ensure security staff receive the training needs identified in section 6.0 of this policy.

4.6 Emergency Planning Office

4.6.1 The Emergency Planning Office will write and update this policy no less frequently than every three years to ensure it remains fit for purpose.

4.6.2 The Emergency Planning Office will write the Suspect Package, Bomb Threat & Lockdown Plan.

4.6.3 The Emergency Planning Office will write an annual compliance report on the Trust's lockdown arrangements, including:

- Percentage of sites with a site lockdown procedure in place which is up-to-date and has been signed off by LSMS Officers;
- Percentage of buildings with a building lockdown procedure in place which is up-to-date and has been signed off by LSMS Officers;
- Percentage of areas in the Trust having been identified as requiring a local area lockdown procedure with a local area lockdown procedure in place which is up-to-date and has been signed off by LSMS Officers;
- Percentage of security staff who have received training on the lockdown procedures they would be expected to deliver in the past 12 months.

4.6.4 The Emergency Planning Office will submit its annual compliance report on the Trust's lockdown arrangements to the SMPLC.

4.6.5 The emergency planning office will support the development and delivery of any tests and exercises of lockdown procedures.

4.7 Service/Department Managers

4.6.1 All Service/Department Managers are free to use the "Local Area Lockdown Procedure Template" in Appendix C to create a local area lockdown procedure for their respective service area. However, if a service/department manager's area of responsibility has been identified as requiring a local area lockdown procedure by Security Managers, this requirement is mandatory and not optional.

4.7.2 If Service/Department Managers create a local area lockdown procedure for their respective service area, they must:

    a) Make the procedure easily available to all staff within the service area and ensure all staff working within the service area are familiar with the lockdown procedure; and

    b) Send a copy of the completed procedure to their relevant site's Security Manager;

    c) Test/exercise these arrangements annually. After testing/exercising their procedures, service/department managers must:

        o Update their local area lockdown procedure to:

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- Account for any lessons learned;
- Revise the date of when the procedure was lasted tested/updated.
  - Send an updated copy of the completed procedure to their relevant site's Security Manager;

4.8 Security Staff

4.8.1 Security Staff must be familiar with the Trust's Suspect Package, Bomb Threat & Lockdown Plan.

4.8.2 Security Staff must be familiar with the Trust's lockdown procedures.

4.9 Local Security Management Specialists (LSMS) Officers

4.9.1 LSMS Officers will provide security management advice to staff involved in writing lockdown procedures.

4.9.2 LSMS Officers will oversee a Trust-wide risk assessment for lockdown. This will include:

- Writing a Trust-wide risk assessment for lockdown and consulting with members of the SMPLC before submitting it to the Trust risk register;
- Reviewing the Trust-wide risk assessment for lockdown no less frequently than annually to ensure it fully reflects the outcomes of the annual compliance report provided to the SMPLC by the Emergency Planning Office.

4.9.3 LSMS Officers will audit and approve all lockdown procedures to ensure they are fit for purpose. LSMS Officers will record when a lockdown procedure has been "Approved" on the "UHL Lockdown Procedures" spreadsheet which will be made available to them on the shared drive by Security Managers.

4.9.4 LSMS Officers will support Security Managers to provide training to security staff on the needs identified in section 6.0 of this policy.

4.9.5 LSMS Officers will lead and coordinate the development and delivery of any tests and exercises of lockdown procedures.

4.10 All UHL Staff

4.10.1 All staff should be familiar with their local lockdown procedures where such a procedure is in place. These can be found by speaking with the relevant line manager who oversees the local area.

5. POLICY IMPLEMENTATION AND ASSOCIATED DOCUMENTS

5.1 Overview of Lockdown Documentation

Lockdown Policy

Lockdown Risk Assessment

Suspect Package, Bomb Threat & Lockdown Plan

| Local Area Lockdown Procedures | Building Lockdown Procedures | Site Lockdown Procedures |

5.2 Risk Assessment

5.2.1 Prior to the development of any lockdown procedures, the Trust should ensure it has a comprehensive view of the risks associated with lockdown. In line with the NHS Security Management Service's Lockdown Guidance, this should include:

- Identification of critical assets;
- Identification of potential threats and hazards;
- Vulnerability assessments for local areas, buildings and sites.

5.3 Lockdown Plan

5.3.1 The Trust should have a lockdown plan which sets out the general approach to how the Trust will lockdown premises. The lockdown plan will:

- Identify the possible triggers for a lockdown;
- Establish different scales of lockdown (local area, building, site);
- Set out the activation arrangements for a lockdown;
- Detail how a lockdown will be deployed and maintained;
- Set out how the Trust will communicate with other organisations which may be based in areas/buildings on its sites during a lockdown;
- Detail the command and control arrangements during a lockdown;
- Set out the stand-down arrangements for a lockdown;
- Establish an approach for managing the aftermath and recovery following a lockdown.

5.3.2 The Trust's lockdown plan will be incorporated into the Trust's Suspect Package, Bomb Threat and Lockdown Plan.

5.4 Lockdown Procedures

5.4.1 Lockdown procedures are the operational arrangements which must be carried out to fully lock down a specific area, building or site.

5.4.2 Lockdown procedures should be completed using the templates in the appendix of this policy.

5.4.3 There are three different types of lockdown procedure to reflect the different scales of lockdown available, details of which are described in the table below:

Procedure	Definition	Number/Scope	Location	Authors
Local Area Lockdown	The lockdown of an individual service area (i.e. a ward, office, department). This includes securing all entrances and exits into/out of a service area, closing all windows and where available, closing all blinds.	To be identified by Security Managers	Electronic copy available on local area shared drive and on the security managers' shared drive Printed copy available within local area and Security Office	Written by Local area manager Reviewed by LSMS Officer
Building Lockdown	The lockdown of an individual building on one of UHL's sites. This includes securing all external entrances and exits into/out of a building.	To be identified by Security Managers	Electronic copy available on the security managers' shared drive Printed copy available within security office	Written by Security Managers Reviewed by LSMS Officer

Procedure	Definition	Number/Scope	Location	Authors
	Locking down a building would likely involve the activation of all local area lockdown plans contained within that building.			
Site Lockdown	The lockdown of a whole UHL site. This includes securing all entrances and exits on to/out of a given site. Locking down a whole site would likely involve the activation of all building lockdown plans and all local area lockdown plans on the site.	To be identified by Security Managers	Electronic copy available on the security managers' shared drive Printed copy available within security office	Written by Security Managers Reviewed by LSMS Officer

5.4.4 Services or departments which work from non-UHL buildings should follow the lockdown procedures of the organisation to which the area/building/site belongs.

5.4.5 Security Managers will share relevant building and site lockdown procedures with any 3rd party organisation which functions from a UHL-managed building.

5.5 Training

5.5.1 Training should take place to ensure:

- All staff are aware of the lockdown procedures for their main area of work; and

- Staff involved with the physical locking down of areas, buildings or sites are suitably trained.

5.5.2 The training and education needs for this policy are set out in Section 6 of this policy.

5.6 Testing and Exercising

5.6.1 The Trust's lockdown arrangements should be tested and exercised regularly in line with section 5.11 of the Trust's Emergency Preparedness, Resilience and Response (EPRR) Policy.

5.6.2 The Trust should test and exercise its lockdown arrangements in line with the table below:

	Frequency of test / exercise	Method of test / exercise	Lead	Feedback Mechanism
Suspect Package, Bomb Threat & Lockdown Plan	3-yearly	Tabletop or live	LSMS Officers	Report to be provided to Security Management & Police Liaison Group and the EPRR Board

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	Frequency of test / exercise	Method of test / exercise	Lead	Feedback Mechanism
Local Area Lockdown Procedures	3-yearly	Tabletop or live	Service / department manager	Updates to be received by Security Managers
Building Lockdown Procedures	3-yearly	Tabletop or live	Security Managers	Report to be provided to Security Management & Police Liaison Group
Site Lockdown Procedures	3-yearly	Tabletop or live	Security Managers	Report to be provided to Security Management & Police Liaison Group

5.7 Reviewing

5.7.1 The Trust's estate is under a constant process of change and so it is important that the Trust's lockdown arrangements are regularly reviewed to ensure they remain fit for purpose.

5.7.2 The Trust's Suspect Package, Bomb Threat & Lockdown Plan and lockdown procedures should be reviewed:

- Following any test or exercise of the lockdown plan or procedures;
- Following any activation of the lockdown plan or procedures;
- No less frequently than 3-yearly.

6 EDUCATION AND TRAINING REQUIREMENTS

	Training Need	Training Mode
Suspect Package, Bomb Threat & Lockdown Plan	Training needs are set out in the Trust's Suspect Package, Bomb Threat & Lockdown Plan	
Local Area Lockdown Procedures	Training Need: Staff should be familiar with the local lockdown plan for their primary place of work. Target Audience: All UHL staff Frequency: Annually	Mode: Discussion/walkthrough following any update to the procedure, led by the service/department manager Time: <10 minutes / local area Cost: £0.00
Building Lockdown Procedures	Training Need: Security staff to be familiar with the lockdown procedures for each of the buildings on the site(s) that they work. Target Audience: Security staff Frequency: Annually	Mode: Discussion/ walkthrough following any update to the procedure, led by the site Security Manager Time: <10 minutes / building Cost: £0.00
Site Lockdown Procedures	Training Need: Security staff to be familiar with the lockdown procedures for each of the site(s) that they work. Target Audience: Security staff Frequency: Annually	Mode: Discussion/ walkthrough following any update to the procedure, led by the site Security Manager Time: <30 minutes / site Cost: £0.00

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7 PROCESS FOR MONITORING COMPLIANCE

7.1 The process for monitoring compliance against this policy is set out on the table below.

Element to be monitored	Lead	Tool	Frequency	Reporting arrangements
Lockdown risk assessment	LSMS Officers	LSMS Officers to check: • the Trust has included a Trust-wide risk on its corporate risk register for lockdown. • the risk assessment has been updated in the past 12 months. • the risk assessment fully reflects the outcomes of the annual compliance report on the lockdown policy provided to the SMPLC by the Emergency Planning Office.	Annually	Security Management Police Liaison Committee
Suspect Package, Bomb Threat and Lockdown Plan	Emergency Planning Office	Emergency planning office to check as part of its annual EPRR core standards self-assessment that the Trust has an agreed Suspect Package, Bomb Threat and Lockdown Plan in place which is fit for purpose and in line with national guidance and best practice.	Annually	Emergency Preparedness, Resilience & Response (EPRR) Board
Local Area Lockdown Proecures	Emergency Planning Office	Emergency Planning Office to create a compliance report for the SMPLC on the percentage of areas having been identified as requiring a local area lockdown procedure with a local area lockdown procedure in place which is up-to-date and has been signed off by LSMS Officers	Annually	Security Management Police Liaison Committee
		Emergency Planning Office to create a compliance report for the SMPLC on the percentage of all areas with a local area lockdown procedure in place which is up-to-date and has been signed off by LSMS Officers		
Building Lockdown Proecures	Emergency Planning Office	Emergency Planning Office to create a compliance report for the SMPLC on the percentage of buildings with a building lockdown procedure in place which is up-to-date and has been signed off by LSMS Officers	Annually	Security Management Police Liaison Committee
Site Lockdown Procedures	Emergency Planning Office	Emergency Planning Office to create a compliance report for the SMPLC on the percentage of sites with a site lockdown procedure in place which is up-to-date and has been signed off by LSMS Officers	Annually	Security Management Police Liaison Committee

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Element to be monitored	Lead	Tool	Frequency	Reporting arrangements
Training performance and records	Emergency Planning Office	Emergency Planning Office to create a compliance report for the SMPLC on the percentage of security staff who have received training on the lockdown procedures they would be expected to deliver in the past 12 months	Annually	Security Management Police Liaison Committee

8 EQUALITY IMPACT ASSESSMENT

8.1 The Trust recognises the diversity of the local community it serves. Our aim therefore is to provide a safe environment free from discrimination and treat all individuals fairly with dignity and appropriately according to their needs.

8.2 As part of its development, this policy and its impact on equality have been reviewed and no detriment was identified.

9 SUPPORTING REFERENCES, EVIDENCE BASE AND RELATED POLICIES

NHS England Core Standards for Emergency Preparedness, Resilience & Response

10 PROCESS FOR VERSION CONTROL, DOCUMENT ARCHIVING AND REVIEW

10.1 This policy will be reviewed on a 3-yearly basis or more frequently if new or revised national guidance on lockdown is released. Any review should be led by the Trust's local security management specialists, in partnership with the emergency planning office.

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<SITE> Lockdown Procedure	
Site	*Name the site*
Buildings On The Site	*Name the buildings contained on this site*
Map of Site	Please see attachments for relevant maps
Lockdown Activation	The site should be locked down and secured at the request of: • Director on-call • Police
Lockdown Priorities	The site lockdown team should: 1. Report to *<LOCATION>* to collect action cards, radios, high visibility clothing and any keys or equipment required to secure entrances/exits 2. Secure external entrances/exits to the site *List all entrances/exits which must be secured and how they can be secured (i.e. road blocks)* 3. Move staff, patients, visitors and members of the public away from entrances/exits 4. If safe to do so, entrances/exits to the site should be staffed to prevent entry/exit 5. Confirm lockdown has been completed by texting "*<SITE>* Secure" to *<SECURITY MOBILE>*
Author	*Name of Security Manager*
Date of Last Update	*Date this procedure was last updated*

Reviewed by	*Reviewing LSMS Officer*
Date of Last Review	*Date this procedure was last updated by named LSMS*

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<BUILDING> Lockdown Procedure on <SITE>	
Building	*Name the building*
Site	*Name the site this building is on*
Local Area Lockdown Procedures Contained in this Building	*List all of the Local Area Lockdown Plans that are contained within the building*
Map of Building	Please see attachments for relevant maps
Lockdown Activation	The building should be locked down and secured at the request of: • Director on-call • Duty manager • Security officer • Police
Lockdown Priorities	The building lockdown team should: 1. Report to *<LOCATION>* to collect action cards, radios, high visibility clothing and any keys or equipment required to secure entrances/exits 2. Secure external doors to the building *List all doors which must be secured and how they can be secured (i.e. keys)* 3. Move staff, patients and visitors away from doors and windows 4. If safe to do so, external entrances/exits should be staffed to prevent entry/exit 5. Communicate verbally to all local areas within the building that they must activate their lockdown plan 6. Confirm lockdown has been completed by texting "*<BUILDING>* Secure" to *<SECURITY MOBILE>*
Author	*Name of Security Manager*
Date of Last Update	*Date this procedure was last updated*

Reviewed by	*Reviewing LSMS Officer*
Date of Last Review	*Date this procedure was last updated by named LSMS*

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Local Area Lockdown Procedure for <AREA>	
Area	*Name local area*
Area Contact Number	*Phone number where plan will be activated*
Area Description	*Provide a brief description of where this area is and what is included*
Building	*Name the building this area sits in*
Site	*Name the site this area on*
Map of Area	Please see attachments for relevant maps
Lockdown Activation	The named area should be locked down and secured at the request of: • Service/department manager • Duty manager • Director on-call • Security officer • Police

Lockdown Priorities	Staff tasked with locking down the building should:
	
	1. Secure external doors to the named area
	
	   List all doors which must be secured and how they can be secured (i.e. location of keys)
	
	2. Close all windows
	
	   List all windows which may require closing
	
	3. Close blinds (if applicable)
	
	4. Move staff, patients and visitors away from doors and windows
	
	5. Remain quiet and await further instruction

Author	*Name of Service/Dept Manager*
Date of Last Update	*Date this procedure was last updated*

Reviewed by	*Reviewing LSMS Officer*
Date of Last Review	*Date this procedure was last updated by named LSMS*

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