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## Business Continuity and Risk Management Policy and Plan

### Introduction

Unpredictable and uncontrollable incidents with potential to impact systems, processes and resources we use to perform our duties could significantly reduce our ability to provide reliable services.

We therefore must develop, certify and continuously improve a system for managing the continuity of our business across Professional Training Solutions Ltd, (PTS), to enhance our organisational resilience and ensure a state of readiness to successfully respond to any significant disruptive event.

### Policy Aim

The Business Continuity Policy is aimed at ensuring that PTS can identify and mitigate business risks in order to maintain or return to business as usual after a disruption, major incident or a crisis, and what is needed to cope with the effects of an emergency.

The Plan specifies the planning process and requirements, responsible staff and requirements for recovery that must be followed during the time of disruption, incident or emergency. It provides guidance about the activities which will be carried out in planning for, managing and recovering after such events.

This policy is a formal acknowledgement that the Directors are committed to maintaining a strong risk management framework. The aim is to ensure that PTS makes every effort to manage risk appropriately by maximising potential opportunities whilst minimising the adverse effects of risks.

The plan should be used to support the internal control systems of PTS to respond to operational, strategic and financial risks regardless of whether they are internally or externally driven.

## Scope

The Business Continuity Policy covers all products, services and processes of PTS. The Directors believe that sound risk management is integral to good management and delivery of services. Risk management should form an integral part of PTS's decision-making and be incorporated within strategic and operational planning.

If the delivery of a product is partially or totally outsourced, the responsibility for its continuity remains with PTS. All parties supporting activities on behalf of PTS must have business continuity management arrangements in place which are compliant with the business continuity requirements of PTS. These requirements must be included in documented service level agreements.

## Objectives

- To define and prioritise the critical functions of the business.
- To analyse the emergency risks to the business.
- To detail the agreed response to an emergency.
- To identify key contacts during an emergency.

## Responsibilities

Directors / Senior Managers;

- Approve the Business Continuity and Risk Management Policy and Plan; Manage the organisation and development activities.
- Conduct a regular review of the Business Continuity and Risk Management Policy and Plan.
- Provide leadership for the Policy and Plan and appropriate resources for its execution.
- Ensure risk assessments will be conducted on all new activities and projects.
- Manage third parties to ensure compliance with PTS's Business Continuity and Risk Management Policy and Plan.
- Document Business Continuity Plans as incidents arise.
- Ensure the execution of the Business Continuity plans during exercises and in real incidents and maintain awareness across the business.

#### Senior Management;

- To ensure that the risk management policy is implemented throughout the organisation.
- To anticipate and consider emerging risks and to keep under review the assessed level of likelihood and impact of existing key risks.
- Provide regular and timely information to the Directors on the status of risks and their mitigation.
- To implement adequate corrective action in responding to significant risks; to learn from previous mistakes and to ensure that crisis management plans are sufficiently robust to cope with high level risk.
- To ensure that a culture of risk management is embedded throughout PTS.
- To set the level of risk appetite for the organisation as a whole and in specific circumstances.
- To communicate PTS's approach to risk and set standards of conduct expected of staff.
- To ensure risk management is included in the development of business plans, budgets and when considering strategic decisions.
- To satisfy itself that less fundamental risks are being actively managed and controlled.

#### All PTS Staff:

- Must familiarise themselves with their roles in the Business Continuity plans and support their preparation and execution during exercises and real incidents.
- Highlight potential risks to management
- Actively participate in training for risk management and carry this through into work role

#### PTS Contractors and Third Parties;

- Must review and adhere to the Business continuity guidance set out in this policy.
- Must have business continuity management arrangements in place which are compliant with the business continuity requirements of PTS.
- Must inform PTS immediately of any incidents that occur.
- Must regularly review the business continuity arrangements and supply these to PTS.

Where necessary, external advice is sought to supplement internal expertise.

#### **Monitoring and Review**

The Directors will monitor the implementation and effectiveness of this policy with regards to its suitability, adequacy and effectiveness. Any improvements identified will be made as soon as possible.

This policy will be reviewed on an annual basis in line with PTS's standards and regulatory criteria. We will also consider any customer feedback, trends from our internal monitoring arrangements, changes in our practices, advice from regulatory authorities and other relevant external agencies as well as changes in legislation.

### Key/Emergency Contacts

Contact	Office Number	Mobile Number	Role
Jackie Denyer	01252 712945	07775 732880	Managing Director
Neil Hardie	01252 712945 ext: 707	07889 591020	Finance Director
Chrissy Payne	01252 712945 ext: 702	07957 594059	Associate Director – Sales and Marketing
From 5 <sup>th</sup> January 2021 Sam Black	012520712945 ext: tbc	TBC	Associate Director – Operations
Ann O'Rourke	01252 712945 ext: 608	07980 528762	Quality Manager and Safeguarding Lead
Joanna Makarewicz	01252 712945 ext: 605	07792 598108	Training Manager
Johanna Harding	01252 712945 ext: 304	n/a	Senior Administrator
Gary Tarbuck	01252 712945 ext: 301	07920 787378	MIS and Compliance Manager
ESFA	0370 000 2288	--	Funding Agency

If you have any suggested changes to this plan, please notify

**Jackie Denyer, Director**

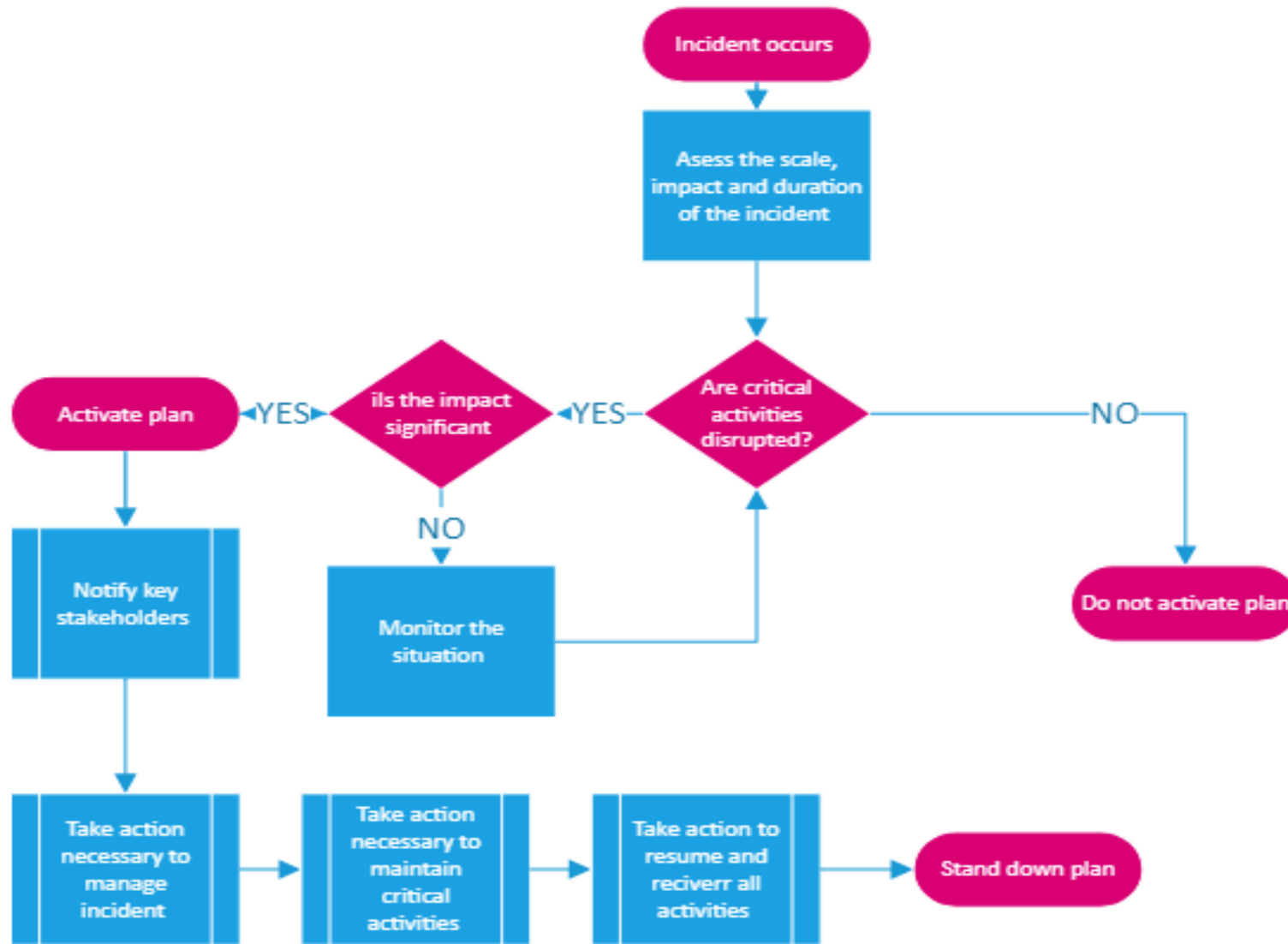
## Activation Process

The decision to activate this plan lies with the directors. This Plan will be activated to manage the response to any incident causing significant disruption to normal service delivery, particularly the delivery of key/time critical activities. Plan activation triggers may include:

- Loss of key people or skills e.g. above normal levels of absenteeism due to illness/injury or other scenarios such as severe weather, changes in service structures, major transport disruption, emergency response duties, or people leaving the organisation.
- Loss of critical systems e.g. ICT network disruption, telephony outage, power outage, utilities disruption or third party supplier disruption.
- Denial of access, or damage to, facilities e.g. loss of a building through fire or flood, an external emergency where emergency service cordon would prevent access for a period of time, utilities failure. You may also require the activation of continuity arrangements in the event of an office move.
- Loss of a key resource such as an external supplier or partner vital to the delivery of a key service or activity.

If the incident is causing significant disruption, an appropriate message should be released to stakeholders/partners detailing:

- What is causing the disruption and the impact
- Action being taken to respond to the incident
- Estimated length of the disruption and return to business as usual



## Plan Implementation

In the event of the Business Continuity Plan being activated please complete the Business Continuity Management Log (appendix I)

There are three key stages to follow in the implementation of the business continuity plan;

### Incident management Phase

- Protect the safety and welfare of staff, visitors and the public
- Protect vital assets e.g. equipment, data, reputation
- Ensure urgent and necessary communication takes place
- Support the Business Continuity phase
- Support the Recovery phase

### Business Continuity Phase

- To ensure that 'critical activities' are resumed as quickly as possible and/or continue to be delivered during the disruption
- To activate one or more of your business continuity strategies to enable alternative ways of working
- To make best use of potentially limited resources by suspending 'non-critical' activities

### Recovery Phase

- To return to 'business as usual' as quickly as possible
- To ensure any non-critical activities suspended as part of your business continuity response are recovered within appropriate timescales
- Where the impact of the incident is prolonged, normal operations may need to be delivered under new circumstances e.g. from a different building on a longer-term basis.

## Actions

The following actions should be considered at each stage;

### Incident management Phase

- Make a quick initial assessment: Survey the scene/situation
- Assess the impact stakeholders
- Disseminate information
- Call the Emergency Services if needed
- Evacuate the building if necessary
- Nominate individuals to carry out Incident Management roles, as appropriate.
- Ensure a log of key decisions and actions is started and maintained throughout the incident (appendix I)
- Where appropriate, record names and details of any people that may have been injured or affected by the incident as part of your incident record keeping
- Assess the key priorities for the remainder of the working day and take relevant action
- Take action to ensure the health, safety and well-being of stakeholders
- Consider implementing the business continuity strategies that apply, i.e. alternative ways of working, re-location to your recovery site etc to ensure the impact of the disruption is minimised
- Log all expenditure incurred as a result of the incident and seek advice/inform the Insurance Company
- Implement communications to ensure stakeholders are kept informed about what is required of them.
- If the incident is taking place outside of normal working hours, staff may need to be contacted to advise of any alterations to normal working arrangements for the next day



## Business Continuity Phase

- Take time to understand and evaluate the impact of the incident on 'business as usual' activities by communicating with key stakeholders to gather information
- Plan how critical activities will be maintained, utilising pre-identified or new business continuity strategies
- Identify any other stakeholders who may be required in the business continuity response
- Depending on the incident, additional/specific input in order to drive the recovery of critical activities; this may require the involvement of external partners
- Log all decisions and actions, including what you decide not to do and include your decision-making rationale
- Deliver appropriate communication actions as required
- Log all financial expenditure incurred as a result of the incident
- Ensure methods of communication and messages are developed as appropriate to the needs of your key stakeholders e.g. Learners, Employers, Staff, Partners/Carers, Governors, Suppliers, Local Authority, Central Government Agencies etc

## Recovery Phase

- Agree and plan the actions required to enable recovery of normal working practises
- Agreed actions should be detailed in an action plan and set against timescales with responsibility for completion clearly indicated
- Continue to record all expenditure incurred as a result of the incident
- Respond to any ongoing and long-term support needs of stakeholders
- Once recovery actions are complete, communicate the return to 'business as usual' to ensure all staff are aware that the Business Continuity Plan is no longer in effect
- Carry out a 'debrief' of the incident with stakeholders where appropriate. Reflect on opportunities for improvement and any lessons identified.
- Review this Business Continuity Plan in light of lessons learned from the incident and the consequent response to it

## Business Continuity Strategies

Whatever the cause of disruption, the impacts will generally be one or more of the below categories of critical activities:

- Loss of key people or skills e.g. above normal levels of absenteeism due to illness/injury or other scenarios such as severe weather, changes in service structures, major transport disruption, emergency response duties, people leaving the organisation etc
- An Infrastructure incident resulting in the loss of critical systems e.g. ICT network disruption, telephony outage, power outage, utilities disruption, third party supplier disruption etc
- Loss of premises including denial of access, or damage to, facilities e.g. loss of a building through fire or flood, an external emergency where emergency service cordon would prevent access for a period of time, utilities failure etc. You may also require the activation of continuity arrangements in the event of an office move
- Loss of a key resource such as an external supplier or partner vital to the delivery of a key activity

The strategies below outline alternative ways of working designed to maintain our critical activities in the event of a disruption. This enables us to prepare by ensuring alternative ways of working have been agreed, tested and are fit for purpose.

Type of disruption	Mitigation
Loss of key people or skills	<ul style="list-style-type: none"> <li>• Skills matrix available to easily identify other competent staff</li> <li>• Use of permanent and freelance staff to provide centre resilience</li> <li>• Use of agency / temporary staff</li> <li>• Multi-skilling/cross training to ensure staff can undertake different roles and responsibilities. This could involve identifying deputies /job shadowing/staff undertaking temporary additional duties</li> <li>• Suspend 'non-critical' activities to focus on priorities</li> <li>• Alternative ways of working eg. Virtual classrooms to utilise existing resource further</li> <li>• Ensuring that the business continuity aspects of staff management are considered in all management arrangements, e.g. managing attendance, job descriptions, contractual requirements etc.</li> <li>• Use of expert witnesses and support from employers with specialist training requirements</li> </ul>
Infrastructure	<ul style="list-style-type: none"> <li>• Ensure lesson plans offer flexible delivery</li> </ul>

incident	<ul style="list-style-type: none"> <li>• Use a secure external network ie. SharePoint</li> <li>• Ensure manual workarounds are available</li> <li>• Access to systems should be tested regularly and available outside of the premises</li> <li>• Ensure staff have access to the resources required to work from home</li> <li>• Phone lines are virtual and can be re-directed</li> </ul>
Loss of Premises	<ul style="list-style-type: none"> <li>• Identification of alternative locations, training rooms and facilities</li> <li>• Relocation to alternative PTS office site. Site Locations: Farnham, Surrey; London; Lincolnshire</li> <li>• Ensure staff have access to resources to work from home at all times</li> <li>• Ensure staff take remote equipment ie. Phones and laptops home every night</li> <li>• Mutual agreement with employers to use on-site training facilities</li> <li>• Ensure virtual learning offer is live and accessible</li> <li>• Flexible lesson plans</li> </ul>
Loss of a key supplier	<ul style="list-style-type: none"> <li>• Pre-identified alternative suppliers</li> <li>• Do not rely on one income / revenue stream, diversify offering</li> <li>• Ensuring all external providers have a Business Continuity Plan in place</li> <li>• Insurance</li> </ul>

### Risk Matrix Score

**A = HIGH Likelihood and HIGH Impact**

**B = LOW Likelihood and HIGH Impact**

**C = HIGH Likelihood and LOW Impact**

**D = LOW Likelihood and LOW Impact**

Hazard / Risk	Impact	Control Measures	Risk Matrix Score
Flooding	<ul style="list-style-type: none"> <li>Documentation lost</li> <li>Office furniture lost</li> <li>No access to IT records or audit files</li> </ul>	<ul style="list-style-type: none"> <li>Insurance</li> <li>In Business Centre Agreement</li> <li>Review of off-site (cloud) storage/access of PTS documents (eg, Citrix) for all to work at home/off site.</li> </ul>	B
IT Failure	<ul style="list-style-type: none"> <li>Cannot do work</li> <li>Cannot access files/databases</li> <li>Cannot access contact details</li> </ul>	<ul style="list-style-type: none"> <li>Weekly back up's – back up kept off site</li> <li>Emails can be accessed through the internet on other sites/home</li> <li>Hard copies of all critical documents/data/information kept in a file. Review of off-site (cloud) storage/access of PTS documents (eg, Citrix) for all to work at home/off site.</li> </ul>	A
Loss of electricity	<ul style="list-style-type: none"> <li>Offices not habitable</li> <li>No phones</li> <li>No IT</li> </ul>	<ul style="list-style-type: none"> <li>Business Centre Site Manager contacts</li> <li>Ensuring all office-based staff have mobile phones</li> <li>Homeworking policy</li> <li>Absence from Work Policy</li> <li>Adverse Weather Policy</li> </ul>	A
Fire	<ul style="list-style-type: none"> <li>Records Lost</li> <li>Not able to produce records for government audits.</li> <li>Loss of all equipment and resources</li> </ul>	<ul style="list-style-type: none"> <li>Weekly back up of computer – kept off site</li> <li>Annual Risk Assessment of office facilities.</li> <li>Review of fireproof cabinets</li> <li>Comprehensive records of all equipment/costs and resources</li> <li>Must take their laptops home after hours and at the assembly area if they have the equipment near at hand when the evacuation alarm is activated, in order to minimise possible loss of equipment and facilitate business continuity and recovery.</li> </ul>	B
Phone Failure	<ul style="list-style-type: none"> <li>Customers and learners not able to contact us.</li> </ul>	<ul style="list-style-type: none"> <li>Learners and employers are given mobile contact numbers</li> <li>Process in the event of phone failure for all staff</li> <li>Use of 3CX for phones, which means main office number can be transferred via the internet to another landline or mobile phone.</li> </ul>	A
Adverse	<ul style="list-style-type: none"> <li>Staff not able to attend</li> </ul>	<ul style="list-style-type: none"> <li>Staff able to work at home</li> </ul>	C

Weather	<ul style="list-style-type: none"> <li>work</li> <li>Learners and tutors cannot attend training</li> <li>Customers cannot contact</li> </ul>	<ul style="list-style-type: none"> <li>Use of web-based /online contact and mobile phones to work with learners</li> <li>Use of contact via TEAMS and email</li> <li>Use of social media to inform clients of situations</li> <li>Transfer of office phones to mobiles</li> <li>Continual review of updated technology</li> </ul>	
Health Pandemic	<ul style="list-style-type: none"> <li>Staff not being able to attend face to face sessions</li> <li>Office closure</li> <li>Staff illness</li> <li>Learner illness</li> <li>National lockdown quarantine</li> <li>Learners not continuing learning</li> <li>Financial impact</li> </ul>	<ul style="list-style-type: none"> <li>Insurance</li> <li>Working paper free</li> <li>Ensure access / ability to work remotely</li> <li>Health and wellness guidance</li> <li>Flexible learning programmes to include accessible and remote options</li> <li>Access to remote and blended learning</li> <li>Testing working at home for access</li> <li>Keeping cloud storage up to date and accessible</li> <li>Use of online e-portfolios</li> </ul>	A
Restricted access to training rooms / facilities	<ul style="list-style-type: none"> <li>Cancellation of courses, disruption of learners progression, access to courses or training</li> </ul>	<ul style="list-style-type: none"> <li>Alternative links with employer sites established</li> <li>Ability and funds available to book – off site premises for delivery</li> <li>Remote / blended learning options available</li> </ul>	C
Damage or loss of coursework / exam papers	<ul style="list-style-type: none"> <li>Delays to learner progress, non-compliance with awarding bodies, damage to reputation</li> </ul>	<ul style="list-style-type: none"> <li>Staff training for handling work</li> <li>Use of an e-portfolio to reduce paper hard copies</li> <li>Fireproof cabinets available for paperwork storage</li> </ul>	B
Staff Absence	<ul style="list-style-type: none"> <li>Delays to learner progress, disruption to business services, financial loss</li> </ul>	<ul style="list-style-type: none"> <li>We have a strong resilience in staffing, there are multiplied skilled staff in all areas</li> <li>Cross training</li> <li>Links with consultants and agency staff as a last resort</li> </ul>	D
Removal / unavailability / delay of	<ul style="list-style-type: none"> <li>Delays to enrolments, financial loss</li> </ul>	<ul style="list-style-type: none"> <li>Diverse training offer does not rely heavily on one specific standard</li> </ul>	D

standards / Change of Funding Band (apprenticeship s)			
Loss of employer contracts / Damage to Reputation	<ul style="list-style-type: none"> <li>Financial loss</li> <li>Risk to future business</li> </ul>	<ul style="list-style-type: none"> <li>Ensure the business development team are always active</li> <li>Do not rely on one employer for income</li> <li>Follow employer engagement process to retain employers</li> <li>Continue with a diverse course offer and direct to learner offer</li> <li>Ensure high standards of quality delivery by continuous training</li> </ul>	B
Loss of funding ie. ROATP fail (Apprenticeship )	<ul style="list-style-type: none"> <li>Unable to deliver / continue delivering apprenticeships</li> </ul>	<ul style="list-style-type: none"> <li>Ensure specialist support available for us to assess readiness to deliver</li> <li>Adhere to quality and monitoring policies</li> <li>Ensure course offer remains diverse and does not rely solely on delivery of apprenticeships</li> <li>Ensure all apprentice work and evidence is always up to date, stored securely on their e-portfolio and learner has full access to this.</li> <li>Work with Ofqual to find suitable alternative providers to continue delivery should it not be possible to resume delivery</li> <li>Ensure a fully operational blended and remote delivery model to ensure continuity of delivery to those in remote locations or unable to travel</li> </ul>	B
Poor public feedback / ratings	<ul style="list-style-type: none"> <li>Damage to reputation, financial loss</li> </ul>	<ul style="list-style-type: none"> <li>Continue to seek feedback regularly to inform improvements</li> <li>Continue rigorous self-assessment</li> <li>Deal with complaints or concerns promptly</li> <li>Ensure quality monitoring process is followed</li> </ul>	C
Inadequate OFSTED	<ul style="list-style-type: none"> <li>Damage to reputation, holds/ withdrawals of provision, financial impact, disruption to learner's progress</li> </ul>	<ul style="list-style-type: none"> <li>Ensure Quality compliance measures are rigorously followed and monitored</li> <li>Ensure training and monitoring of delivery standards</li> <li>Ensure processes are compliant and regularly reviewed</li> <li>Ensure manager in place to manage company quality compliance</li> </ul>	B
Learner welfare / safeguarding incident	<ul style="list-style-type: none"> <li>Damage to reputation</li> <li>risk to health of learner</li> </ul>	<ul style="list-style-type: none"> <li>Ensure all risk assessments are implemented with employers</li> <li>Log all accidents incidents and near misses and investigate thoroughly</li> <li>Designated Safeguarding Lead and back up team members</li> <li>Follow Safeguarding procedure</li> <li>Train staff on up-to-date policies and procedures</li> </ul>	B

Disruption to Data / funding returns	<ul style="list-style-type: none"> <li>Financial impact , non-compliance issue / contract breach</li> </ul>	<ul style="list-style-type: none"> <li>Ensure multiple staff are trained</li> <li>that a designated manager is on place to manage compliance to contracts and that business systems are in place ie. PICS to support accuracy and ease of process.</li> <li>Follow process to ensure data returns are complete timely.</li> </ul>	C
Non-conformance / under performance of contracts	<ul style="list-style-type: none"> <li>Financial impact , non-compliance issue / contract breach, impact on learner process</li> </ul>	<ul style="list-style-type: none"> <li>Ensure managers are in place to manage contracts effectively and follow quality process to ensure monthly monitoring meetings are in place</li> </ul>	C
Poor achievement rates	<ul style="list-style-type: none"> <li>Impact on learner progress and achievement, damage to reputation, financial impact</li> </ul>	<ul style="list-style-type: none"> <li>Ensure initial assessment process is followed rigorously so learners are on appropriate courses</li> <li>Follow delivery models and monitor progress monthly to ensure success.</li> <li>Work closely with employers to support and ensure appropriate training</li> </ul>	A
Poor Subcontractor Management / Performance	<ul style="list-style-type: none"> <li>Impact on learner achievement</li> <li>Financial impact</li> <li>Ofsted trigger</li> </ul>	<ul style="list-style-type: none"> <li>Supply Chain manager in place to focus on the management of sub-contractor compliance and performance monitoring</li> <li>Data and quality compliance checks in line with standard PTS compliance checks</li> <li>Supply Chain Strategy and quarterly bulletins to share funding, data and quality compliance regulations</li> </ul>	A
Tutor / Assessor Becomes Ill/Cannot Attend Training or session on Day of Training	<ul style="list-style-type: none"> <li>Impact on learner progress</li> <li>Loss of reputation</li> </ul>	<ul style="list-style-type: none"> <li>Keeping appointment calendars up to date and shared with sector delivery teams so appointments can be accessed and covered by other staff members</li> <li>Follow absence reporting policy</li> <li>Keeping lesson plans and associated documents up to date and accessible remotely via Sharepoint or Outlook so other staff member can take lesson</li> </ul>	D
Withdrawal from an Awarding Organisation.	<ul style="list-style-type: none"> <li>Financial Impact</li> <li>Loss of business</li> <li>Disruption to learning</li> </ul>	Should PTS no longer work with an Awarding organisation and decide to move its business elsewhere then all learners registered with that AO would not be disadvantaged and would be either transferred to the new AO or would continue until completion. PTS in all likely instances would make a decision to complete assessments and qualifications under the old AO and start any new learners with the new AO.	D

Fraud or Theft	<ul style="list-style-type: none"> <li>Loss of Data</li> <li>GDPR Breach</li> <li>Impact on reputation</li> <li>Loss of equipment</li> </ul>	<ul style="list-style-type: none"> <li>Ensure robust cyber security systems are in place and monitored for efficiency</li> <li>Ensure personal data is secured under 2 step security passwords</li> <li>Data is backed up onto a cloud</li> <li>Ensure building premises are adequately secured and alarmed when empty and alarm system is monitored by 24/7 security company.</li> <li>Ensure signing in system to verify ID of all persons entering premises and an access security system to prevent access by unauthorised persons.</li> </ul>	A
Malfunction of e-portfolio system (loss of access)	<ul style="list-style-type: none"> <li>Impact learner progress</li> <li>Loss of data</li> </ul>	<ul style="list-style-type: none"> <li>Back up assessment evidence to cloud storage</li> <li>Back up review and contact evidence to cloud</li> <li>Transfer to use of paper portfolio tracking until portfolio up and running or until transfer to another e-portfolio system</li> </ul>	A
Loss of DCS	<ul style="list-style-type: none"> <li>Impact on learners waiting for claims</li> <li>Impact on reputation</li> </ul>	<ul style="list-style-type: none"> <li>Ensure robust Internal Quality Assurance practices and adherence to the Quality management strategy to minimise errors and ensure consistency of delivery.</li> <li>Ensure administration procedures are defined and followed for registrations, certificate claims, withdrawals, and EPA processes</li> <li>Ensure efficient systems for registering in cohorts and work closely with EQA's to plan sampling in a timely manner</li> </ul>	D
Environmental (mismanagement issues relating to fuel consumption, pollution etc)	<ul style="list-style-type: none"> <li>Financial implications</li> <li>Environmental implications</li> </ul>	<ul style="list-style-type: none"> <li>Efficiency of planning to reduce need to travel</li> <li>Continuation of blended working and teaching</li> <li>Ensure staff are thoroughly trained and inducted with awareness of PTS policies and procedures regarding safe and efficient use of services, i.e. Electric, water, gas, recycling, etc... to minimise waste and promote the reduce, reuse, recycle methodology.</li> </ul>	C
New or changed legislation may invalidate assumptions upon which the activity is based	<ul style="list-style-type: none"> <li>Impact on business processes</li> <li>Impact on compliance</li> </ul>	<ul style="list-style-type: none"> <li>Ensure an experienced HR department keeps staff up to date with newest legislations and provides associated documentation and/or training where needed</li> <li>Have a flexible approach to working prioritises in order to adapt quickly and implement changes needed to process or documentation to minimise impact on business function</li> <li>Use data and quality systems that are adaptable and can quickly implement change</li> </ul>	C
Management	<ul style="list-style-type: none"> <li>Effect Ofsted grading</li> </ul>	<ul style="list-style-type: none"> <li>Monthly board meetings to discuss company performance and</li> </ul>	C



incompetence / Poor leadership	<ul style="list-style-type: none"> <li>• Impact performance of the business</li> <li>• Impact on reputation</li> <li>• Impact on staff retention</li> </ul>	<p>concerns and successes, taking appropriate and timely action to rectify issues</p> <ul style="list-style-type: none"> <li>• Monthly Management meetings to share successes and concerns to action plan to rectify issues</li> <li>• Monthly 1-1's at all staff levels to highlight successes and concerns and ensure robust structure of management and support to implement necessary training and performance management</li> <li>• Policies and procedures in place for performance management</li> <li>• Share company values and mission statement and remain transparent about the company goals and focuses</li> </ul>	
Inadequate corporate policies	<ul style="list-style-type: none"> <li>• Financial implications</li> <li>• Loss of business</li> </ul>	<ul style="list-style-type: none"> <li>• Ensure process in place to review policies so they remain fully updated</li> </ul>	C
Inadequate adoption of management practices	<ul style="list-style-type: none"> <li>• Effect Ofsted grading</li> <li>• Impact performance of the business</li> <li>• Impact on reputation</li> <li>• Impact on staff retention</li> </ul>	<ul style="list-style-type: none"> <li>• Monthly board meetings to discuss company performance and concerns and successes, taking appropriate and timely action to rectify issues</li> <li>• Monthly Management meetings to share successes and concerns to action plan to rectify issues</li> <li>• Monthly 1-1's at all staff levels to highlight successes and concerns and ensure robust structure of management and support to implement necessary training and performance management</li> <li>• Policies and procedures in place for performance management</li> <li>• Share company values and mission statement and remain transparent about the company goals and focuses</li> </ul>	C
Key personnel have inadequate authority to fulfil roles	<ul style="list-style-type: none"> <li>• Impact on business function</li> <li>• Impact on staff retention</li> <li>• Impact on staff moral</li> <li>• Loss of finance</li> </ul>	<ul style="list-style-type: none"> <li>• Ensure during induction that scope of role is identified, and authority given to access systems, policies and procedures needed in order to fulfil their job role</li> <li>• Ensure at least one other person has sight of that person's role and can access their files and work schedule in their absence</li> <li>• Review at 1-1's with manager the job role specification and any changes in role and ensure suitable authority is established and management hierarchy</li> </ul>	B
Poor staff selection	<ul style="list-style-type: none"> <li>• Impact on learning for learners</li> </ul>	<ul style="list-style-type: none"> <li>• Use of Talos or other professional recruitment software to ensure CV's, certificates and experience are thoroughly vetted against the Job</li> </ul>	B

procedures	<ul style="list-style-type: none"> <li>• <i>Impact on business function</i></li> <li>• <i>Inability to meet contract requirements</i></li> </ul>	<p><i>Description</i></p> <ul style="list-style-type: none"> <li>• <i>Ensure recruiting staff are suitably trained and competent to access suitability of candidates</i></li> <li>• <i>Ensure robust induction process and probationary monitoring to establish areas of concern and action appropriately</i></li> </ul>	
Lack of clarity over roles and responsibilities	<ul style="list-style-type: none"> <li>• <i>Staff discontent and confusion</i></li> <li>• <i>Impact on business function</i></li> <li>• <i>Impact on staff retention</i></li> </ul>	<ul style="list-style-type: none"> <li>• <i>Organisational chart showing a clear hierarchy of roles and management</i></li> <li>• <i>Accurate Job descriptions detailing roles and responsibilities and scope of role to be issued at interview and agreed upon job offer</i></li> <li>• <i>Review system in place to review job descriptions to ensure roles and responsibilities are accurately reflective of the job requirements</i></li> </ul>	D
War and disorder	<ul style="list-style-type: none"> <li>• <i>Infrastructure breakdown</i></li> <li>• <i>Financial loss</i></li> <li>• <i>Staff loss</i></li> <li>• <i>Staff unrest</i></li> </ul>	<ul style="list-style-type: none"> <li>• <i>Remain up to date with government guidance on national crisis alerts and reactions</i></li> <li>• <i>Structure the business financially to allow contingency to weather financial unrest and loss of cash flow.</i></li> </ul>	C
Failure of company / Company collapse	<ul style="list-style-type: none"> <li>• <i>Inability to deliver training</i></li> <li>• <i>Loss of staff workforce</i></li> </ul>	<ul style="list-style-type: none"> <li>• <i>Plan in place to transfer learners to other providers for continuity of training delivery</i> <ul style="list-style-type: none"> <li>• <i>Work with employers and to aid transition</i></li> </ul> </li> </ul>	C

*J. A. Dwyer*

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**Emergency Response Checklist**  
**For use during an emergency**

- **Start a log of actions taken:**

- **Liaise with Emergency Services:**

- **Identify any damage:**

- **Identify Functions disrupted:**

- **Convene your Response / Recovery Team:**

- **Provide information to staff:**

- **Decide on course of action:**

- **Communicate decisions to staff and business partners:**

- **Provide public information to maintain reputation and business:**

- **Arrange a Debrief:**

- **Review Business Continuity Plan:**

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**Appendix I - Log Sheet**

Date	Time	Information / Decisions / Actions	Initials