Disaster Management & Business Continuity Plan

CONTENTS

Section 1.   General Context and Policy

1. The Disaster Management and Business Continuity Plan (the Plan) is set in the context of the College's risk management policy, risk management planning and financial planning for the College as a whole.

2. The College has a risk management policy which
   - Describes the approach to risk management
   - Identifies responsibilities for risk, disaster management and business continuity
   - Outlines how risks are identified, categorised and controlled via the risk register
   - Outlines how risks and their management are reviewed so that the Corporation can satisfy itself that all risks, especially the significant ones, are controlled and contingency plans in place.

3. The College has in place procedures to comply with the Education and Skills Funding Agency's (ESFA's) financial planning requirements including the need to provide sensitivity analysis, risk management, disaster and business recovery plans.

4. Critical incidents and major disasters are identified on the risk assessment pro-forma found in Appendix A of this Plan and the controls in place to manage them are identified. Functions and faculties have also been prioritised to establish critical risks.

5. These include policies, regulations and procedures covering for example:
   - financial regulations
   - whistleblowing
   - health and safety
   - IT security
   - equal opportunities

6. The College recognises the major threats of fire, flood, fraud, theft, vandalism, and has in place

   - procedures for risk assessment
   - control measures to prevent as far as possible such risks from occurring
   - contingency plans to cope with a disaster or major critical incident
   - procedure to evaluate lessons to be learnt and enable recovery from this type of major disaster

7. The College, in co-operation with its Insurers and taking into account its risk management policy and plan, will establish the extent to which it can transfer the cost of major risk through insurance.

8. This Plan intends to cover the risk faced by the College at its two sites namely; Riverside College, Kingsway campus and Cronton Sixth Form campus.

9. This Plan will be kept in a secure location on each of the College sites and each member of the Disaster Management Group (DMG) will hold an individual copy.

10. The College will have in place a procedure for maintaining and testing the Plan.

Section 2.   **Introduction**

Disaster management and business continuity planning may be defined as the good practice required to maximise safety, minimise problems and ensure early recovery in the event of the occurrence of an unforeseen incident and involves the phases of contingency management shown at Figure 1 below.

Figure 1

Phases of Disaster Management and Business Continuity Planning

The Early Warning Phase

The steps taken when early warning of the potential occurrence of an incident is received

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Incident occurs

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The Trigger Phase

The assessment, reporting and decision-making required immediately upon discovery of an incident in order to minimise danger/risk and to maximise the effectiveness of the immediate response

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The Control Phase

The following of predetermined steps designed to minimise danger/risk and to bring an incident under control

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The Recovery Phase

Reacting effectively after an incident has been brought under control, in order to return to full or partial operations at the earliest safe time

I

Incident Over

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The Review Phase

The debriefing, analysis and review of operations which take place after an incident has occurred

An incident may occur at any time of the day or night, weekday or weekend, with little or no warning. As it is not possible to predict the succession of events which occur when an incident takes place, published plans can serve only as a guide and/or checklist and may require modification *in situ* to meet the requirements of the situation.

Three distinct levels of incident fall within the scope of the College's Plan and details of these can be found in Section 5. As a caring institution the College's primary purpose when such incidents occur is to ensure the safety and well-being of its community. This will require the full co-operation of all involved. Thereafter, the College's priority is to ensure early recovery from an unforeseen incident.

The College is situated primarily on two sites (Kingsway and Cronton). The College's estate is both extensive and diverse extending beyond these areas to include such facilities as local schools and other community education facilities. The College's accommodation includes teaching rooms, science laboratories, workshops, offices, car parks, libraries and other types of accommodation.

The Plan applies to those areas that are within the management of the College. It is not intended to cover partner colleges/universities or other offsite locations whether workplaces or private student residences.

Section 3.   The Disaster Management Group (DMG)

The **DMG** is made up of mainly members of the College Management Team (CMT) and other co-opted staff. Composition of the DMG and their basic duties are as follows:

1/   **Principal** – overall management of the incident/disaster, nominated College spokesperson

2/   **Deputy Principal – Finance and Resources**

3/   **Head of Finance & Estates** - Supporting the Deputy Principal with all issues of financial contingency planning and physical resources and access to the campus and contingency buildings set up

4/   **Health, Safety & Facilities Officer** – immediate control of area, liaison with external emergency services and management of estate technicians

5/   **Programme Management – Kingsway/Cronton** – responsible for the direct support necessary for learners

6/   **Head of Human Resources** – staff training for potential incidents; staff-list maintenance; debriefing management

7/   **Head of Systems Development & Funding** – access to student information, computers and communication contingency

8/   **Head of Schools Liaison and Marketing** – Local press and communication contingency

Membership of Disaster Management Group: Roles and Responsibilities

Member	Role and Responsibilities
Principal	Director of Group; oversight of the disaster control action plan and overall responsibility for communication with corporation, learners, staff, parents, relations, media and others
Deputy Principal Finance and Resources	Control of contingency arrangements for accommodation, Communications networks, staff and student information, personnel, health and safety, student services
Health, Safety & Facilities Officer	Initiation and control of actions to ensure injured are dealt with and to ensure health and safety of stakeholders. Liaison with external agencies i.e. emergency services/HSE (health, safety and environment)
Head of Finance & Estates	Control access to premises. Ensure premises, services and available accommodation is fit for purpose, controlled, used efficiently and effectively and that agreed priorities are met. Control of contingency financial arrangement to allow business to continue; recording financial loss, contacting College insurers and providing all necessary information to enable complete, accurate and timely claims and arrangements for salvage and recovery
Head of Systems Development & Funding	Ensuring up to date information is available with reference to student issues. Control of contingency arrangements for implementing emergency callout procedure for critical staff. Control of contingency arrangements to facilitate the College's IT requirements; relocating essential IT equipment in order to ensure business continuity in vital College areas. Organising repair and reinstatement of equipment and data during recovery.
Head of Human Resources	Co-ordinate immediate needs of staff casualties, communicate with staff's next of kin/emergency contacts, provide ongoing information for subsequent staff welfare, occupational health requirements and counselling needs.
Programme Management Kingsway & Cronton	Co-ordinate immediate needs of student casualties, communicate with student next of kin/emergency contacts, provide ongoing information for subsequent student welfare, health requirements and counselling needs.

Immediate Actions or within 24 hours

Action	Responsible
Ascertain extent of disaster • Are any staff, students or any other people injured or dead? • Is everyone who was in the building or vicinity at the time accounted for? • What parts of the building have been destroyed or damaged? • Are critical business systems lost? • Is access to the buildings or parts of the building forbidden? Start and maintain an incident log to record these points and all actions taken until resolution of the incident as outlined in the Evaluation Flowchart and as determined by this group	Principal, DMG, Admin Support
Start the contact process using the Immediate Communications Protocol Flowchart. • Ensure that only those who have need to be on site are called in – these to be decided by members of the Control Group in light of extent of disaster. • Give advice on what to expect and what to wear. • Prioritise Students who have external exams within the next 48 hours and communicate alternative arrangements as soon as possible. • Then Staff and students who have classes in the next 2 days and communicate alternative arrangements	Head of Human Resources, DMG, Programme Management Kingsway & Cronton

Immediate Actions or within 24 hours

Action	Responsible
Initiation and control of actions to ensure injured are dealt with and to ensure Health and Safety of staff and learners • Ensure safe dispersal of people from the assembly points, either to home or back to undamaged classrooms depending on advice of police and emergency services • Arrange for care of injured and distressed • Ensure that people involved in the disaster are accounted for through a roll call either via class registers or staff duty lists • Provide names and addresses of emergency contacts for those who are identified as casualties by emergency services • Liaise with medical services to establish casualties • Liaise with emergency services to establish damage and consequential dangers to health and safety • Secure the damaged site and post notices to prevent access to inform everyone who would normally be coming to the site	Health and Safety & Facilities Officer, Head of Human Resources, Programme Management Kingsway & Cronton

Action	Responsible
Prepare for media enquiries/visits and calls/visits from parents, relations friends (see Communication Protocol) • Ensure arrangements are in place for dealing with request from media for statements, for interviews with senior staff , for permission to film on site • Ensure arrangements are in place for communicating with and for dealing with parents or relatives of those who may have been among fatalities or injured	Principal, Head of School Liaison & Marketing
Identify and temporarily restore lost/damaged critical business and communication systems • Establish emergency communication in event of complete loss of phone system using mobile phones • Arrange for temporary restoration of essential elements of phone communication facility lost in disaster to enable communication to take place and business to continue • Start arrangements for temporary restoration of essential IT network facilities to enable business to continue • Start recall of backup of essential records	Head of Systems Development & Funding
Ensure premises and available accommodation are controlled and used efficiently and effectively and agreed priorities are met • make initial assessment of lost or damaged accommodation and functions • Using CELCAT, Exams office information and critical business questionnaire analysis and outline plans/utilisation information identify shortfall of necessary accommodation • identify available free accommodation on any College site that can provide the immediate requirements and make arrangements to use • initiate action to provide temporary accommodation whether via reciprocal partnership arrangements or through rental • make assessment of and prioritise the immediate accommodation requirements to continue business	Head of Finance & Estates, Health and Safety & Facilities Officer, Head of Systems Development & Funding Deputy Principal, Finance and Resources, Programme Management Kingsway & Cronton
Ensure the communication, by various means, of the temporary arrangements for the period immediately following the incident to all who need to know.	Principal
Inform Broker and Insurers of Incident	Head of Finance & Estates, Health and Safety & Facilities Officer

Actions within 48 hours or in time determined by the control group after the initial 24 hours

Action	Responsible
Ensure communication of the medium term arrangements for learners and staff to operate until the full recovery of operation • Have in place the revised accommodation where necessary, using any capacity on other College sites • Have in place any partner accommodation arrangements where appropriate • Have in place any rented accommodation arrangements with necessary services where appropriate	Principal, Deputy Principal, Finance and Resources, Head of Finance & Estates
Publish revised timetable and curriculum delivery arrangements for the medium term and ensure that all learners and staff are aware of them	Head of Systems Development & Funding
Ensure learners and staff who need it receive support in the aftermath of the disaster	Programme Management Kingsway & Cronton, Health and Safety & Facilities Officer

Actions within 48 hours or in time determined by the control group after the initial 24 hours

Action	Responsible
• Have in place effective temporary or restored communications network both telephone and IT network • Ensure that all those who have lost information which was backed up on the network servers have access to all necessary files	Head of Systems Development & Funding
• Ensure emergency funding and payment processes are in place to deal with necessary emergency payments for staff time, equipment or services consequent upon the disaster and that these are strictly controlled and separately recorded • Begin process of recording losses • Make assessment of potential losses by reviewing financial records such as assets register, leasing contracts, purchase invoices • Begin discussions with insurance broker about loss assessment and make decision on whether or not to engage a loss assessor • Ensure that other spending not consequent on the losses suffered in the disaster are prudent and controlled as though the College was not covered for the losses	Deputy Principal, Finance and Resources, Head of Finance & Estates

• Once decided with insurers make arrangements with salvage and clean up contractors to come on site	
If staff are involved in clean up or recovery of damaged equipment make sure they have proper Health and Safety training and advice.	Health and Safety & Facilities Officer

Section 4.   **The Control Centre**

Emergency Response

When an emergency situation arises the emergency services will be called in the normal manner as stipulated in the College's emergency procedures.

If the emergency appears to have the potential to lead to a major incident the DMG should be contacted as per the contact list found in Appendix B

On arrival on site the DMG will action the following;

1. Assess the possible outcomes. The DMG will decide on the appropriate response to minimise subsequent deterioration or loss without placing personnel, customers or other assets in jeopardy.

2. Set a control centre from the hierarchy listed below.

3. Instigate actions to aid rapid recovery as detailed in Section 6 of this Plan, including the notification of the insurance brokers.

4. Delegate additional duties to general College staff which are not already allocated to aid recovery.

Control Centre Locations (Kingsway, Cronton)

1. Kingsway – Boardroom/Centre Stage
2. Cronton – IDEA Centre meeting room

Section 5.   Immediate Disaster Action Levels and Incident Definitions

Despite prudent preventative measures, disasters still occur that are beyond anyone's control and beyond anticipation. The question that needs to be asked is what would be needed to resume operations on an emergency basis immediately following a disaster in which the College buildings and contents were lost?

Overview of Action Levels

Level 1 - Minimal hazard to safety, activity, property
(Green Alert)
- Contact **Reception and the Health, Safety & Facilities Officer/Duty Principal**
- If necessary, record in Accident Book / incident log book

Level 2 - Hazard to safety, activity, and property of a moderate nature.
(*Amber Alert*)
- Contact **Reception and the Health, Safety & Facilities Officer/Duty Principal**
- Duty Principal considers further escalation to call for help from Police, Fire, Ambulance
- Duty Principal considers calling for DMG meeting to consider action needed dependant on incident.
- Evacuation as per Health & Safety Policy considered

Level 3 - Hazard to safety, activity, property of a severe nature.
(Red Alert)   Harm potential.
- Contact **Reception, Head of Estates & Finance and the Health, Safety & Facilities Officer/Duty Principal**
- Duty Principal considers further escalation to call for help from Police, Fire, and Ambulance.
- Duty Principal calls for a DMG meeting to consider action
- Immediate evacuation undertaken

- Full implementation of the Plan

Disaster/Incident Considerations:

1. Ensure immediate safety and welfare of all individuals involved.
2. Gather factual information about the disaster/incident
3. Contact affected people using contact tree
4. Establish media contact and responsibilities
5. Establish disaster team control centre / catering facilities
6. Consider information dissemination to staff via contact tree
7. Identify 'at risk' students and staff
8. Review external agency requirements

Disaster/Incident – Definitions

Purpose - Identify 'alert states' and major incidents

Scope - Incidents that involve threat or actual harm to:
1. An individual or individuals associated with the college
2. College premises
3. College business

Alert State:-

Green Level 1
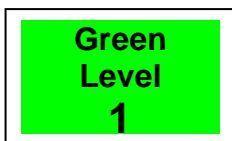
Definition: -
1. Location of incident is restricted and can be isolated.
2. Injury to individuals is unlikely.
3. Potential for spread of incident is low.
4. Level of disruption to College business is low to negligible.
5. Potential damage to College buildings is low.

Responsibility: -

Duty Principal

Health, Safety & Facilities Officer

Alert State: -

Amber
Amber Level 2
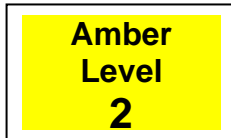
Definition: -

1. Location of incident reduces ability to isolate the spread.

2. Evacuation of the area needs to be considered.

3. Minor disruption to College business.

4. Danger of minor injury to individuals

5. Minor damage to College buildings

Responsibility: -

Duty Principal

Disaster Management Group

Alert State: -

Red Level 3

Definition: -

1. Danger of injury to individuals high

2. Location of incident cannot be isolated

3. Major disruptions to College business

4. Major damage to College buildings

5. Evacuation a necessity

Responsibility: -

Chairman of the Board of Governors

Disaster Management Group

External Agencies: Police/Fire/Medical

Section 6.   Disaster Communications Protocol

Crisis Communication

In a crisis many decisions, some of which may determine whether the College survives, have to be taken in a short space of time. This fact represents one of the most powerful arguments for Business Continuity Planning and it is also one of the most powerful arguments for making sure that the College has a plan to communicate with all of its audiences throughout the crisis.

Employees, students, suppliers, the public and the media all expect and need to be kept informed if the College is to retain its reputation and maintain general business confidence.

An inability to communicate with these audiences before, during and after an incident can cause public relations disaster, thereby compounding the existing business disaster.

In order to minimise the risk of negative PR and the damage it can do and to enable the college to portray itself in a positive light, the college has included a communications plan in this Disaster Management Plan

The Communication Plan

Pre-Crisis

- The College will develop a solid relationship with the press and media
- The College will prepare press statements in advance
- The College will set up Staff Development Training for the DMG
- The College will identify and train spokespersons
- The College will set up a dedicated communications office

During Crisis

- Communications office to be set from the control centre
- Identified personnel to be available for comment i.e. Principal, Head of Human Resources
- Media statements to be released to the press and other media at regular and pre-agreed intervals to update them on recovery progress
- Customer statements – College's key stakeholders will be updated at regular intervals with regard to recovery process, and the estimated time for the reinvestment of College services
- Internal communications - as the situation develops all staff, regardless of location, need to be kept informed, particularly if they are required to participate in the recovery process and, if not, then to maintain consistency of information
- Keep a log of significant events or recovery milestones.

After the Crisis

- Use the crisis log events to analyse how well the college performed against its planned recovery objectives
- Identify which aspects of the plan worked well and which aspects need to be changed
- Publicise a summary of the College's performance and circulate it to College stakeholders, as appropriate
- If the College has performed particularly well, consider some form of dedicated publicity or marketing, which attaches specifically to the event and how it was handled.

Immediate Communications Protocol Flowchart

In the event of a serious incident or major disaster there will be a centralised response structure to deal with all communications both internal and external.

There will be a nominated spokesperson for the College, this will be the Principal. If the Principal is not available it will be a nominated back-up from the Senior Management Team. Procedure will be as follows:

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                    ┌─────────────────────────────┐
                    │      Incident Trigger –      │
                    │ Duty Principal/Health and    │
                    │ Safety & Facilities Officer  │
                    │          informed            │
                    └─────────────────────────────┘
                                  │
                                  ▼
                    ┌─────────────────────────────┐
                    │   Immediate preparation      │
                    │     of operational           │
                    │ decision-taking and immediate│
                    │        investigations        │
                    └─────────────────────────────┘
                                  │
                                  ▼
  ┌──────────────────┐  ┌────────────────────┐  ┌──────────────────────┐
  │ Immediately alert:-│ │                    │ │ Immediately alert:-   │
  ├──────────────────┤  │     Principal      │ ├──────────────────────┤
  │   Chair &        │◄─│ (or nominated back │─►│  Disaster/incident   │
  │   Corporation    │  │       up)          │ │  response and control │
  └──────────────────┘  └────────────────────┘ │  team members         │
                                  │             └──────────────────────┘
                                  ▼
                    ┌─────────────────────────────┐
                    │   Senior decision-makers &   │
                    │    College response team     │
                    └─────────────────────────────┘
                                  │
                                  ▼
  ┌──────────────────┐  ┌────────────────────┐  ┌──────────────────────┐
  │ Involved Parties │  │ Recommended actions│  │  Support Expertise    │
  │                  │  │ from response team │  │  • Legal              │
  │ (Emergency       │◄─│                    │─►│  • Financial          │
  │ Services,        │  │ Preparation of:    │  │  • Counselling        │
  │ affected person, │  │ • Response itself  │  │  • Emergency Services │
  │ regulatory body  │  │ • Response procedure│ │  • ESFA               │
  │ etc)             │  │ • Content of       │  │  • AoC                │
  │                  │  │   response materials│ │                       │
  │                  │  │ • Spokesperson     │  │                       │
  │                  │  │   briefing         │  │                       │
  └──────────────────┘  └────────────────────┘  └──────────────────────┘
                                  │
                                  ▼
        ┌─────────────────────────────────────────────────────┐
        │ Clarified communication through nominated spokesperson│
        └─────────────────────────────────────────────────────┘
                         │                    │
                         ▼                    ▼
                ┌──────────────┐     ┌──────────────┐
                │   Internal   │     │   External   │
                │   Audiences  │     │   Audiences  │
                └──────────────┘     └──────────────┘
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Section 7.   **Immediate Disaster Recovery Actions**

Recovery and Restoration of Normal Business

The Corporation will determine the overall policy of restoration in the given circumstances. It will approve capital expenditure on restoration work necessary to restore business

Key personnel will assemble from the disaster management group to oversee the business recovery process.

This will consist of the following members:

Individuals	Responsibility
Principal	Oversight of the rebuilding/restoration project policy including any repositioning and recommendations to the corporation and discussions with ESFA (Education and Skills Funding Agency)
Deputy Principal, Finance and Resources	Responsible for the overall financial management of the rebuilding, restoration process. Prepare cost benefit analysis of the various possible strategies for restoration
Head of Finance & Estates	Overall responsibility for preparing estimates of what is salvageable and what should be replaced with the support of the insurers. Overall responsibility for preparing the plan for required resources and accommodation for restoration of normal business in line with the policy determined by the restoration group and approved by the corporation.
Head of Systems Development & Funding	Responsible for the restoration of the IT and communication network
External Project Manager	Operational management of the rebuilding of physical resources, accommodation

Recovery and Restoration of Normal Business

Stage One	Responsibility
The Disaster and Business Recovery Plan should be in operation and critical business running in at least emergency mode.	See Immediate Disaster Recovery Action Levels
Stage Two	**Responsibility**
Undertake a detailed assessment of the direct and contingent damage and loss	Deputy Principal, Finance and Resources, Head of Finance & Estates, External specialists
Stage Three	**Responsibility**

Plan recovery and restoration
• Identify all applicable laws & regulations governing disaster recovery and business continuity planning
• Identify external agencies supporting or with whom College has to engage
• Consult/take advice on strategy for restoration
    o Restoration "as was"?
    o Opportunity for change/ improvement?
• Prepare options with cost benefit analysis, taking into account all appropriate legal and regulatory requirements, the insurance position, financial negotiations with bankers, ESFA, identified risks and controls.
• DMG to approve a firm proposal/options with timescales
 	
Submit for discussion by Corporation and approval of preferred option
	Disaster Management Recovery Team

Stage Four	**Responsibility**

Evaluation of incident
• Was the incident preventable?
    o Were controls in place?
    o How comprehensive were they?
    o Was there compliance?
    o What can be learnt?
    o What action should be taken to improve controls/compliance?
	Disaster Management Recovery Team

Stage Four	Responsibility
- Was the incident unpreventable? - Were contingency plans effective? - What can be learnt? - Has an analysis been done of incident log, witness statements, external agencies and advisers' reports recommendations? - What can be learnt? - Has evaluation taken place of media relations and all major stakeholder partner reactions? What can be leant?	

Section 8.   Plan Maintenance, Awareness-raising and Testing

1. The Risk Management Group will nominate a **Disaster and Business Recovery Plan Co-ordinator**, usually Head of Finance & Estates or the Health, Safety and Facilities Officer.

2. The main tasks of **Disaster and Business Recovery Plan Co-ordinator** will be to:
   - Oversee the maintenance of the plan
   - Raise awareness
   - Oversee the periodic testing of the plan

3. Maintenance

   The **Co-ordinator** will maintain the Plan by:
   - Ensuring that information such as names, phone numbers, roles and responsibilities and other information are changed and recorded in the copies of the plan, both paper based and electronic, as and when they occur.
   - Ensuring that the latest dated version of the plan is available in the agreed physical and electronic location
   - Ensuring that the records referred to in the plan such as contacts and suppliers lists, building plans, site service details are lodged in the identified secure, risk free location
   - Updating all the procedures as necessary when structural or procedural or personnel changes take place in the college
   - Ensuring that all areas have a disaster management action plan checklist in place to complement the College-level Plan checklist.

4. Awareness Raising

The **Co-ordinator** will raise awareness of disaster and business recovery planning procedures by:

- Ensuring the Plan is published on the intranet staff pages
- Holding awareness raising sessions explaining the Plan targeted at specific groups during staff development sessions
- Conducting disaster and business recovery exercises

5. Testing

The **Co-ordinator** will devise, organise and hold exercises to test the Plan for efficacy either by paper exercises or simulations involving all levels of the College structure at least once a year.

The exercises will be as realistic as possible and will involve a medium-level critical incident such as a coach crash on an educational visit and a major disaster such as a fire or explosion, causing major damage and loss of life.

Such tests will have the same status as emergency evacuation procedure testing and may involve an emergency evacuation.

The exercises will involve a recording and debriefing process, which will inform the maintenance and awareness raising process and feed back into the risk management process and maintenance of controls where appropriate.