

# TrainPlus Staff Policy

## Business Continuity Management

Lead Responsibility	Lisa Short	Approved by	TrainPlus Director: Lisa Short
Version	V6 – 2022	Date of Approval	11.03.2022
Effective from	11/03/2022	Next review date	January 2023
<b>Policy applicable to</b>	<b>ALL EMPLOYEES and FREELANCE STAFF</b>		

# **TRAINPLUS: BUSINESS CONTINUITY PLAN (BCP)**

## **INTRODUCTION**

TrainPlus Ltd is committed to ensuring that its provision is not unnecessarily interrupted, and that in the event of any interruption, its staff and apprentices face minimal disruption and rapid continuity of provision.

The Business Continuity Plan (BCP) is designed to assist business recovery in an emergency for the staff members and Apprenticeship learners.

The BCP identifies and sets out the main risk assessed scenarios that might impact on the TrainPlus' Apprenticeship activity. It then provides details of the response mechanisms and suggested actions to remedy business interruption and enable continuity of activity in as short a timeframe as possible. The main aims and objectives of the TrainPlus' BCP are:

### **Aim:**

To prepare TrainPlus (and associated partners) to cope with the effects of an emergency.

### **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

## **PURPOSE**

The Business Continuity Plan sets out how TrainPlus will work and what actions it will take, to ensure that there is no, or minimal, disruption to the delivery of apprenticeship training it delivers by under any agreement with the ESFA or other partners.

## **CONTENTS**

The Business Continuity Plan sections cover each of the focus areas below:

- Types of potential disruption and initial response
- Communication channels & Emergency contacts in event of a significant incident
- Alternative modes of transport
- Alternative site of operations
- Back-up of business-critical systems & Back-up and restoration of data
- ESFA Notification
- Business Impact Analysis & Action Plan for Recovery (Appendix 1)
- Apprenticeships Continuity Risk Register (Appendix 2)

## TYPES OF POTENTIAL DISRUPTION & INITIAL RESPONSE SUMMARY

The Plan is intended to cover a wide range of scenarios which might disrupt Apprenticeship provision. The highest risk or most probable scenarios that might impact on Apprenticeship delivery are as follows. The table provides a brief disruption event, key relevant contact, and initial response guide for TrainPlus and its staff. See Appendix 1 for applicable BCP Recovery Actions and Appendix 2 for the quarterly updated Risk Register for Apprenticeships Continuity.

	<b>Disruption Event</b>	<b>Initial Response</b>
1	Loss of accommodation / facilities	Contact: <b>Lisa Short</b> Refer to BCP Recovery Actions. Use of alternative TRAINPLUS or partner facilities. Inform ESFA if prolonged impact (more than 1 week).
2	Epidemic or contagious diseases	Contact: <b>Lisa Short.</b> Refer to BCP Recovery Action. Refer to TRAINPLUS Disaster Plan and or Pandemic Disease Plan. Inform Health Authorities as appropriate
3	Critical systems failure including ICT	Contact: <b>Harvey Sparks</b> Refer to BCP Recovery Actions Utilise backup ICT options Utilise alternative TRAINPLUS or partner facilities Inform ESFA if ILR / MIS impacted
4	Loss of teaching & assessment staff	Contact: <b>Lisa Short</b> Refer to BCP Recovery Actions Use of alternative TRAINPLUS or partner staff Use of temporary agency or freelance staff
5	Direct or nearby terrorist incident	Contact: <b>Lisa Short</b> Refer to BCP Recovery Actions Refer to TRAINPLUS Disaster Recovery Plan Liaise with authorities and police as appropriate Inform staff, apprentices, employers as necessary in line with police advice Liaise with partner providers / ESFA if necessary
6	Employer of Apprentice(s) ceases activity	Contact: <b>Lisa Short</b> Refer to BCP Recovery Actions Liaise with partners on alternative apprentice placement Liaise with ESFA on alternative apprentice placement

7	TrainPlus loss of Apprenticeship contract	Contact: <b>Lisa Short</b> Liaise with partners Liaise with partners on RoATP that can transfer apprentices Liaise with ESFA Organise alternative arrangements for employers' apprentices and liaise with employers at all stages
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## COMMUNICATION CHANNELS & EMERGENCY CONTACTS

The main College management and academic contact responsible for TrainPlus and for Apprenticeships is:

Name	Location	Organisation
Lisa Short	73A High St, Wickford, Essex, SS12 9AQ Tel: 01268 574299	TrainPlus

### Initial Contacts List

Fully detailed contact lists and numbers in the event of critical business interruption are provided in the overall TrainPlus' overall Business Interruption and Disaster Recovery Plans. This includes key staff and contacts for personnel of other businesses working with TrainPlus as service providers.

Contact	Work Number	Mobile Number / Email
Lisa Short	01268574299	07904410581 lisashort@trainplus.co.uk
James Chance	01268574299	07943376010 jameschance@trainplus.co.uk
Harvey Sparks	01268574299	07927255940 harveysparks@trainplus.co.uk
Abdul Khaliq FE Territorial Team – London and South- East		07392136179 Abdul.KHALIQ@education.gov.uk
ESFA Helpdesk	08000 150600	helpdesk@manage- apprenticeships.service.gov.uk
ESFA Service Desk	0370 2670001	

## **ALTERNATIVE MODES OF TRANSPORT**

In the event that apprentices (or an apprentice) is/are unable to travel, an assessment of the situation will be made by TrainPlus staff and appropriate affordable steps to ameliorate this will be implemented where the issue is temporary (for example 2 weeks or 10 working days).

This may include alternative transport provided by TrainPlus, such as taxi or mini-bus travel, or provision of public transport costs. Such amendments to arrangements would be made in consultation with employers. The remedy may also include alternative arrangements being made to the location where training is delivered. This may also be a more sustainable and cost-effective remedy where an issue is longer-term.

## **ALTERNATIVE SITE OF OPERATIONS**

The Apprenticeship Continuity Plan provides details on temporary remedies to accommodation crises. Remedies may cover the business accommodation and functional services required by TrainPlus, as well as locations where Apprentices' training takes place.

TrainPlus' links with other provider partners may provide a significant emergency plan scenario remedy where TrainPlus would work with its partners to resolve accommodation disruption for operational and delivery aspects of the business. TrainPlus may also use its networks to help support locating short, medium, and long-term alternative accommodation.

## **BUSINESS CRITICAL SYSTEMS & BACK-UP & RESTORATION OF DATA SERVICES**

TrainPlus has robust plans for its business-critical systems as detailed in its main Business Interruption and Disaster Recovery Plans. ICT and learner record software are secure, and interruption of these functions is mitigated to have an impact of up to 72 hrs worst case with most scenarios ameliorated within 48 hours.

## **ESFA NOTIFICATION**

Note: In any event that continuity of provision is disrupted in a manner that requires ESFA notification, this must be undertaken with immediate effect at the trigger point. ESFA guidance may need to be referred to and enacted as appropriate, including recording any breaks in learning in line with the Funding Guidance and Reporting requirements in the ILR.

## **RISK REGISTER (Appendix 2)**

The Risk Register below provides a regularly reviewed summary of key risks to Apprenticeship continuity. It uses a simple RAG rated and scored assessment of original risks evaluation, followed by a re-evaluated RAG rating and score based on mitigating actions in place. Further contingencies may be added to reduce scores.

- Red Scores – 12-18 – These scores indicate significant risks
- Amber Scores – 6-10 – These scores indicate palpable but manageable risks
- Green – 0-5 – These scores indicate low or only housekeeping risks
- F = Financial
- R = Reputational
- P = Probability

Scores are calculated by adding the F, R and P columns for the final score.

**POLICY OWNERSHIP** This Continuity Plan is owned by all relevant TrainPlus staff. Its lead originator and point of contact in relation to its content is: **Lisa Short**, Director of TrainPlus.

## Appendix 1

### Business Impact Analysis:

Crisis:	Various Scenarios
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Time	Effect on Service
First 48 hours	<ul style="list-style-type: none"> <li>● Learners attending taught courses will face disruption or cancellation</li> <li>● Ability to contact learners sufficiently in advance may be a concern</li> </ul>
Up to 1 week	<ul style="list-style-type: none"> <li>● Need to get MIS and other tracking data functioning and reporting</li> <li>● Need to get any affected servers up and running to restore data</li> </ul>
1 – 2 weeks	<ul style="list-style-type: none"> <li>● Need to outsource teaching and assessment to ensure courses run</li> <li>● Need to normalise contact methodology and systems for students / staff</li> <li>● Need to rent alternative training rooms and equipment</li> </ul>
3 - 4 weeks	<ul style="list-style-type: none"> <li>● TRAINPLUS reputation may be damaged</li> <li>● Potential loss of learners / negative evaluations in surveys</li> <li>● Potential loss of employers / negative evaluations in surveys</li> <li>● Reduced achievement rates / impact on timely completions</li> <li>● Contracts not being fulfilled (especially with any partner provider)</li> </ul>

### Action Plan for Recovery:

Time	No. of staff	Location, if site not useable	Resources required	Action Required
First 48 hours	SMT	<ul style="list-style-type: none"> <li>● Mobile office</li> <li>● Trainers can work from home</li> </ul>	<ul style="list-style-type: none"> <li>● Mobile phones</li> <li>● Laptops etc</li> <li>● TRAINPLUS IT support</li> <li>● Insurance Co. advice</li> <li>● Internet service (remote LAN)</li> </ul>	<ul style="list-style-type: none"> <li>● Contact staff</li> <li>● Contact affected learners</li> <li>● Organise alternative temp location options where possible for provision</li> <li>● Obtain IT Support</li> <li>● Purchase additional laptops If bank of</li> </ul>

				laptops exhausted). <ul style="list-style-type: none"> <li>● Purchase/repair server(s)</li> <li>● Restore data on server(s), laptops / other devices</li> <li>● Assess damage to site and equipment</li> <li>● Contact insurance provider</li> </ul>
Up to 1 week	All	<ul style="list-style-type: none"> <li>● Mobile office</li> <li>● Assessors/ reviews can be mobile</li> <li>● Trainers can work from home</li> </ul>	<ul style="list-style-type: none"> <li>● Mobile phones</li> <li>● MIS software</li> <li>● Laptops etc</li> <li>● Cloud VLE</li> <li>● TRAINPLUS IT support</li> <li>● Internet service</li> </ul>	<ul style="list-style-type: none"> <li>● Organise alternative temp location options where possible for provision</li> <li>● Load MIS or necessary software onto laptops and restore MIS data</li> <li>● Rebuild server(s) and restore data</li> <li>● Assessors to continue with planned workplace visits</li> <li>● Assess salvage possibilities</li> <li>● Utilise partner facilities</li> <li>● Notify ESFA FE Territorial Team</li> </ul>
1–2 weeks	All	Hire temporary office space / Utilise Partner Facilities	<ul style="list-style-type: none"> <li>● Phones / Mobiles</li> <li>● Laptops etc</li> <li>● Server</li> <li>● Cloud VLE</li> <li>● TRAINPLUS IT support</li> <li>● Internet service</li> </ul>	<ul style="list-style-type: none"> <li>● Reconnect all staff to server(s)</li> <li>● Hold staff meeting to fully brief all personnel</li> <li>● Contact learners, employers, and service suppliers with temporary contact details</li> <li>● Organise hired accommodation</li> <li>● Assess any OTT impacts and organise new schedules</li> </ul>

				<ul style="list-style-type: none"> <li>● Notify ESFA FE Territorial Team</li> </ul>
3-4 weeks	All	Hire alternative training rooms / Utilise Partner Facilities	<ul style="list-style-type: none"> <li>● Server(s)</li> <li>● Computers / Laptops etc</li> <li>● Whiteboards / interactive systems</li> <li>● Cloud VLE</li> <li>● TRAINPLUS IT support</li> </ul>	<ul style="list-style-type: none"> <li>● Utilise partner facilities</li> <li>● Operate hired accommodation</li> <li>● Equipment for rooms</li> <li>● Reschedule taught courses</li> <li>● Assess any OTT impacts and organise new schedules</li> <li>● Book / schedule trainers</li> <li>● Contact learners / employers</li> <li>● Notify ESFA FE Territorial Team</li> </ul>



Appendix 2

RISK REGISTER 2022/23 – BUSINESS CONTINUITY PLAN

RISK A	Ability to deliver provision (Internal)	Original Risk				ASSURANCE & CONTROLS		Current Residual Risk				
RISK #	RISK TYPE	F	R	P	S	ACTIONS TO MITIGATE RISK	UPDATE/INFORMATION/CONTINGENCY	F	R	P	S	LEAD
1.1	Loss of accommodation and / or delivery facilities (short term)	3	3	2	8	<ul style="list-style-type: none"> <li>Provision of alternative accommodation space for taught provision.</li> <li>Planned options for use of alternative site accommodation</li> <li>Planned options for use of key partner facilities.</li> </ul>	<ul style="list-style-type: none"> <li>Undertake rental of alternative accommodation.</li> <li>Inform learners, employers and staff if a sustained issue.</li> <li>Online teaching and learning group or one to one available.</li> </ul>	2	2	1	5	
1.2	Loss of teaching and assessment staff	3	5	3	11	<ul style="list-style-type: none"> <li>Maintain record of back-up staff with necessary skills for cover deployment.</li> <li>Implementation of CPD planning and skills capacity across the organisation.</li> <li>Work with employers to generate industry capacity and CPD transfer options.</li> </ul>	<ul style="list-style-type: none"> <li>Utilisation of agency or temp staff.</li> <li>Utilisation of partner staff where appropriate.</li> <li>Bank staff available</li> </ul>	2	4	1	7	
1.3	Critical systems failures (including IT / MIS)	3	4	5	12	<ul style="list-style-type: none"> <li>Implement organisational response as per recovery plan.</li> <li>Engage IT services to</li> </ul>	<ul style="list-style-type: none"> <li>Utilise Cloud systems</li> <li>Remote access available</li> <li>Introduction of new ISMS</li> </ul>	1	2	2	5	

						remedy localised issues. <ul style="list-style-type: none"> <li>Engage contracted software providers to remedy in line with service agreements.</li> <li>Contact ESFA support if ILR / MIS linked issues</li> </ul>	<ul style="list-style-type: none"> <li>Back up generator for power installed</li> <li>Twice daily systems backup</li> </ul>						
RISK B	Ability to deliver provision (external)	Original Risk				ASSURANCE & CONTROLS		Current Residual Risk					
RISK #	RISK TYPE	F	R	P	S	ACTIONS TO MITIGATE RISK	UPDATE/ INFORMATION/ CONTINGENCY	F	R	P	S	LEAD	
2.1	Epidemic or pandemic event alert / crises	3	3	6	12	<ul style="list-style-type: none"> <li>Refer to organisational Plans and action as required regarding notifications to authorities.</li> </ul>	<ul style="list-style-type: none"> <li>Notify staff, employers, ESFA and learners as needed.</li> <li>Remote working policy implemented</li> <li>Pandemic policy implemented</li> <li>Viability of long-distance learning increased</li> </ul>	1	1	5	7		
2.2	Terrorist threat - direct or nearby	3	3	1	7	<ul style="list-style-type: none"> <li>Refer to organisational Plans and actions required regarding response and actions.</li> <li>Liaison with Police and authorities as prescribed.</li> </ul>	<ul style="list-style-type: none"> <li>Notify staff, employers, ESFA and learners as needed.</li> </ul>	2	1	1	4		
RISK C	Impact on provision by employers	Original Risk				ASSURANCE & CONTROLS		Current Residual Risk					
RISK #	RISK TYPE	F	R	P	S	ACTIONS TO MITIGATE RISK	UPDATE/ INFORMATION/ CONTINGENCY	F	R	P	S	LEAD	
3.1	Employer ceases to trade or support apprentices	6	6	2	14	<ul style="list-style-type: none"> <li>On-going contract management and employer liaison intended to ID early</li> </ul>	<ul style="list-style-type: none"> <li>Temporary action of 'break in learning' in line with ESFA rules.</li> </ul>	4	2	1	7		

						issues with sustainability.	<ul style="list-style-type: none"> <li>• Early intervention to reallocate learners to new employers where possible.</li> <li>• Provision of an 'at risk' listing.</li> </ul>	<ul style="list-style-type: none"> <li>• Utilisation of an Apprenticeship ATA company.</li> <li>• Transfer Apprentices to partner provider.</li> <li>• Notify ESFA for resolution support.</li> </ul>					
3.2	Employer does not comply with on the job training (OTJ) rules and requirements	5	2	3	10	<ul style="list-style-type: none"> <li>• Organisational engagement processes and Employer Engagement Strategy.</li> <li>• Apprenticeship Recruitment processes.</li> <li>• Implementation and use of Employer and Apprentice contract template and commitment statement template.</li> <li>• On-programme monitoring procedures to ensure OTJ on schedule.</li> </ul>	<ul style="list-style-type: none"> <li>• Break in learning if required to enable employer and apprentice to recalibrate OTJ activity.</li> <li>• Delay of planned EPA processes.</li> <li>• Introduction of employer handbook</li> <li>• Monthly audited off the job timelog available to all apprentices and employers</li> </ul>	2	2	2	6		
RISK D	Impact on provision by apprentices	Original Risk				ASSURANCE & CONTROLS				Current Residual Risk			
RISK #	RISK TYPE	F	R	P	S	ACTIONS TO MITIGATE RISK	UPDATE/ INFORMATION/ CONTINGENCY	F	R	P	S	LEAD	
4.1	Apprentices dissatisfied with provision (poor survey outcomes etc)	4	6	2	12	<ul style="list-style-type: none"> <li>• Regular student surveys in line with organisational quality calendar cycle.</li> <li>• Implementation of OfS expectations for student feedback for higher level and Degree</li> </ul>	<ul style="list-style-type: none"> <li>• Identify key concerns and develop action plan accordingly – including potential staff CPD or poor performance processes.</li> <li>• Implementation of regular learners' interviews.</li> </ul>	2	2	2	6		

						Apprenticeship provision. <ul style="list-style-type: none"> <li>Utilisation of student committee to gain feedback and inform programme development.</li> </ul>	<ul style="list-style-type: none"> <li>Constant monitoring of learner session feedback</li> <li>Monthly review of learner and employer intervention plans</li> </ul>						
4.2	Apprentices do not comply with Apprenticeship requirements inc OTJ	4	2	2	8	<ul style="list-style-type: none"> <li>Organisational engagement processes and Employer Engagement Strategy.</li> <li>Apprenticeship Recruitment processes.</li> <li>Implementation and use of Employer and Apprentice contract template and commitment statement template.</li> <li>On-programme monitoring procedures to ensure OTJ on schedule.</li> <li>Maintenance of an 'at risk register' by staff team.</li> </ul>	<ul style="list-style-type: none"> <li>Delay of planned EPA processes.</li> <li>Employer intervention to ameliorate any problems.</li> <li>Monthly audited off the job timelog available to all apprentices and employers</li> </ul>	2	2	1	6		
<b>RISK E</b>	<b>Management Issues</b>	<b>Original Risk</b>				<b>ASSURANCE &amp; CONTROLS</b>				<b>Current Residual Risk</b>			
<b>RISK #</b>	<b>RISK TYPE</b>	<b>F</b>	<b>R</b>	<b>P</b>	<b>S</b>	<b>ACTIONS TO MITIGATE RISK</b>	<b>UPDATE/ INFORMATION/ CONTINGENCY</b>	<b>F</b>	<b>R</b>	<b>P</b>	<b>S</b>		
5.1	Staff capacity insufficient (management )	3	3	3	9	<ul style="list-style-type: none"> <li>Apprenticeship management team identified.</li> <li>Apprenticeship key roles and tasks identified and allocated to relevant staff members.</li> <li>Necessary CPD planned into</li> </ul>	<ul style="list-style-type: none"> <li>Bank staff available</li> <li>Utilise consultancy support.</li> <li>Develop potential staff through employer engagement in training and assessment CPD.</li> </ul>	2	2	2	6		

						personal CPD and development plans. <ul style="list-style-type: none"> <li>• Use of initial consultancy support for systems and policies.</li> <li>• Apprenticeships workshop for managers engaging in delivery and backroom roles.</li> </ul>					
5.2	Staff capacity insufficient (delivery staff)	6	6	2	14	<ul style="list-style-type: none"> <li>• Key delivery staff identified.</li> <li>• Necessary CPD planned into personal CPD and development plans.</li> </ul>	<ul style="list-style-type: none"> <li>• Bank staff available</li> <li>• Utilise key partner staff.</li> <li>• Develop potential staff through employer engagement in training and assessment CPD.</li> </ul>	2	2	2	6
5.3	Failure to gain or loss of ESFA contract	6	6	2	14	<ul style="list-style-type: none"> <li>• RoATP application / reapplication.</li> <li>• Role as a supporting partner only.</li> <li>• Recruitment linked to ESFA approval processes and timelines.</li> </ul>	<ul style="list-style-type: none"> <li>• Transfer apprentices to partner providers.</li> <li>• Engage ESFA to support transfers.</li> <li>• Liaison with employers and apprentices for alternative training options where possible.</li> </ul>	4	3	1	8
5.4	Poor OfS or Ofsted outcomes	6	6	2	14	<ul style="list-style-type: none"> <li>• QA/QI processes and procedures planned in place for implementation</li> <li>• QIP mechanism and SAR processes</li> <li>• Pre-evaluation against OfS QSR matrix.</li> </ul>	<ul style="list-style-type: none"> <li>• Mock OfS or Ofsted process.</li> <li>• Closure of weak or ineffective provision.</li> <li>• Establish Task Force to remedy issues.</li> </ul>	2	2	1	5
5.5	Inability to comply with ESFA requirements	6	6	2	14	<ul style="list-style-type: none"> <li>• External 'readiness review' undertaken.</li> <li>• Apprenticeship implementation action plan.</li> </ul>	<ul style="list-style-type: none"> <li>• Establish Task Force to remedy issues.</li> <li>• Use of external support and consultancy.</li> </ul>	2	2	1	5

						<ul style="list-style-type: none"> <li>• Pre-delivery planning in line with ESFA Guidance.</li> <li>• RoATP process and relevant QA/QI and policy development.</li> <li>• Training of management and delivery teams.</li> <li>• Collaboration with external RoATP approved partners.</li> </ul>	<ul style="list-style-type: none"> <li>• Work with ESFA to clarify and remedy QI.</li> </ul>						
RISK F	Partnership Delivery Issues & Concerns	Original Risk				ASSURANCE & CONTROLS				Current Residual Risk			
RISK #	RISK TYPE	F	R	P	s	ACTIONS TO MITIGATE RISK	UPDATE/ INFORMATION/ CONTINGENCY	F	R	P	s	LEAD	
6.1	Inadequate EPA arrangements impact on completions	5	5	2	12	<ul style="list-style-type: none"> <li>• EPA event planned at apprenticeship start and agreed with employer and apprentice.</li> <li>• Integrated EPA based delivery based apprenticeships where applicable.</li> </ul>	<ul style="list-style-type: none"> <li>• Identify external EPAOs.</li> <li>• Delay apprenticeship starts.</li> <li>• Implementation of EPA readiness checks</li> <li>• Creation of EPA resources</li> <li>• EPA readiness IQA checks</li> </ul>	2	1	1	4		