



DDAT
Derby Diocesan Academy Trust

Business Continuity Plan

February 2020

Approved by the Trust Board: 26th March 2020

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1.0 About this Plan

1.1 Plan Purpose

To provide a flexible response so the Derby Diocesan Academy Trust (DDAT) is equipped to:

- Respond to a disruptive incident (incident management)
- Maintain delivery of critical activities during an incident (business continuity)
- Return to 'business as usual' (resumption and recovery)

1.2 Plan Remit

The following functions are covered by this plan:

- Teaching and Learning including examinations and statutory testing
- Finance
- Administration

1.3 Plan Owner

The Chief Operations Officer (COO) is this plan's owner and responsible for ensuring that it is maintained, exercised and updated in accordance with the review schedule.

1.4 DDAT Incident Management Team Plan Distribution

Name	Role	Issue Date
Michael Ford	Chair of Trust Board	
Mark Mallender	Chief Executive Officer (CEO)	
Declan McCauley	Deputy CEO	
Richard Wetherall	Chief Financial Officer (CFO)	
Sarah Ferguson	Chief Operations Officer (COO)	

1.5 Plan Storage

All parties on the distribution list are required to store safely and confidentially a copy of this plan at their regular place of work and off-site i.e. at home, in vehicles etc.

1.6 Plan Review Schedule

This plan will be reviewed annually by the Trust Board and contact numbers maintained, checked and updated every term.

2.0 Plan Activation

2.1 Circumstances

This plan will be activated in response to an incident causing significant disruption to the Trust requiring immediate responsive action beyond that which could be reasonably expected during the day to day running of the trust and may include:

- Death of a child, staff member or Director/Governor

- Serious accident involving children and/or academy trust personnel on or off the premises
- A violent intrusion onto DDAT premises (e.g. armed intruder, bomb alert, terrorist threat)
- Loss of key staff or skills i.e. above normal levels of absenteeism due to illness or other scenarios such as severe weather, transport disruption etc.
- Loss of critical systems e.g. ICT failure, power outage
- Denial of access, or damage to, facilities e.g. loss of all or parts of the premises through fire or flood, an external emergency with the premises in the Emergency Service's cordon preventing access, severe weather scenarios (e.g. snow and ice) or utilities failure
- Loss of a key resource e.g. an external supplier/partner vital to the delivery of critical activity
- The effects of disasters in the wider community
- The release of hazardous substances near or on the Academy Trust's sites

2.1 Responsibility for Plan Activation

Any person listed at 1.4 may activate and stand down this plan. If this plan is activated by any individual other than the CEO, the CEO must be informed immediately.

2.2 Escalating a Serious Incident

All serious incidents must be reported to Derbyshire County Council / Derby City Council. If the incident is deemed to be of a 'critical' nature, the Derbyshire / Derby City critical incident plan will be activated and other Council services notified to respond as appropriate.

3.0 Roles and Responsibilities

3.1 DDAT Incident Management Team

Role	Responsibilities	Accountability / Authority
Headteachers	<ul style="list-style-type: none"> • Ensure that their school has capacity within its structure to respond to incidents • Determine the school's overall response and recovery strategy 	Overall responsibility for day to day management of their school, including lead decision-maker in times of crisis
Chief Executive Officer (CEO)	<ul style="list-style-type: none"> • Embedding a culture of resilience within the Academy Trust • Leading the Academy Trust's initial and ongoing response to the incident • Declaring that an incident is taking place 	Reports to the Academy Trust Directors
Chief Operations Officer (COO)	<ul style="list-style-type: none"> • Business continuity plan development • Developing continuity arrangements and 	Reports to the CEO

	<p>strategies e.g. alternative relocation site, use of temporary staff etc.</p> <ul style="list-style-type: none"> • Plan testing and exercise • Conducting de-briefs following an incident, test or exercise to identify lessons and ways in which the plan can be improved 	
DDAT Incident Management Team	<ul style="list-style-type: none"> • Activating the business continuity plan • Notifying relevant stakeholders of the incident, plan activation and ongoing response actions • Providing direction and leadership for the Academy Trust community • Undertaking response and communication actions as agreed in the plan • Prioritising the recovery of key activities disrupted by the incident • Managing resource deployment • Welfare of pupils • Staff welfare and employment issues • Ensuring that all key decision and actions taken are recorded accurately • Collating information about the incident for dissemination in press statements • Liaison with Local Authority press offices to inform media strategy 	<p>Reports to the CEO</p> <p>Authorises decisions and actions required to respond and recover from the incident</p>

Depending on the circumstances of the incident, it may be necessary to activate one or all of the roles described below at one or more schools in DDAT.

Role	Responsibilities	Accountability / Authority
Premises / Site Manager	<ul style="list-style-type: none"> • Undertake duties as necessary to ensure site security and safety in an incident 	Reports to Headteacher

	<ul style="list-style-type: none"> • Advise on any issues relating to the school physical infrastructure • Lead point of contact for any contractors 	
ICT Network Manager or Provider	<ul style="list-style-type: none"> • Ensure the resilience of the ICT infrastructure • Liaise with external providers as set out in the ICT disaster recovery plan • Work with the business continuity coordinator to develop proportionate risk responses 	Reports to Headteacher
Exams Officer	<ul style="list-style-type: none"> • Implement examinations contingency plan if appropriate 	Report to Headteacher
Counsellor / Chaplain	<ul style="list-style-type: none"> • Provide support to pupils and their families • Provide support to staff 	Reports to Headteacher

3.2 The Role of Directors and Governors

Role	Responsibilities	Accountability / Authority
Academy Trust Directors	<ul style="list-style-type: none"> • Work in partnership with the Executive Team to provide strategic direction in planning for and responding to disruptive incidents 	Liaise with the DDAT Incident Management Team in response to a crisis
Local Governing Body	<ul style="list-style-type: none"> • Undertake actions as required to support the Trust's response to a disruptive incident and subsequent recovery • Act as a 'critical friend' to ensure that the business continuity plan is fit for purpose and continuity arrangements are robust and reliable • Monitor and evaluate overall performance in developing resilience and reporting to parents/carers 	Report progress in developing business continuity plan to parents/carers and to DDAT

4.0 Incident Management

Please see section 5.0 for pre-planned incidents or slowly developing scenarios that are not 'no notice' emergencies but have the potential to disrupt DDAT activities e.g. computer virus, flu pandemics, a pre-planned strike, forecast for heavy snow or a power outage etc.

4.1 Purpose of the Incident Management phase

The purpose and priorities for this phase are to:

- Protect the safety and welfare of pupils, staff, visitors and the wider community
- Protect vital assets e.g. equipment, data, reputation
- Ensure urgent and necessary communication takes place
- Support the business continuity phase
- Support the recovery and resumption phase

4.2 Assessment of Risk

Risk ratings

DDAT has defined a risk-rating system to determine the likelihood of an incident occurring and the possible impact of such an incident.

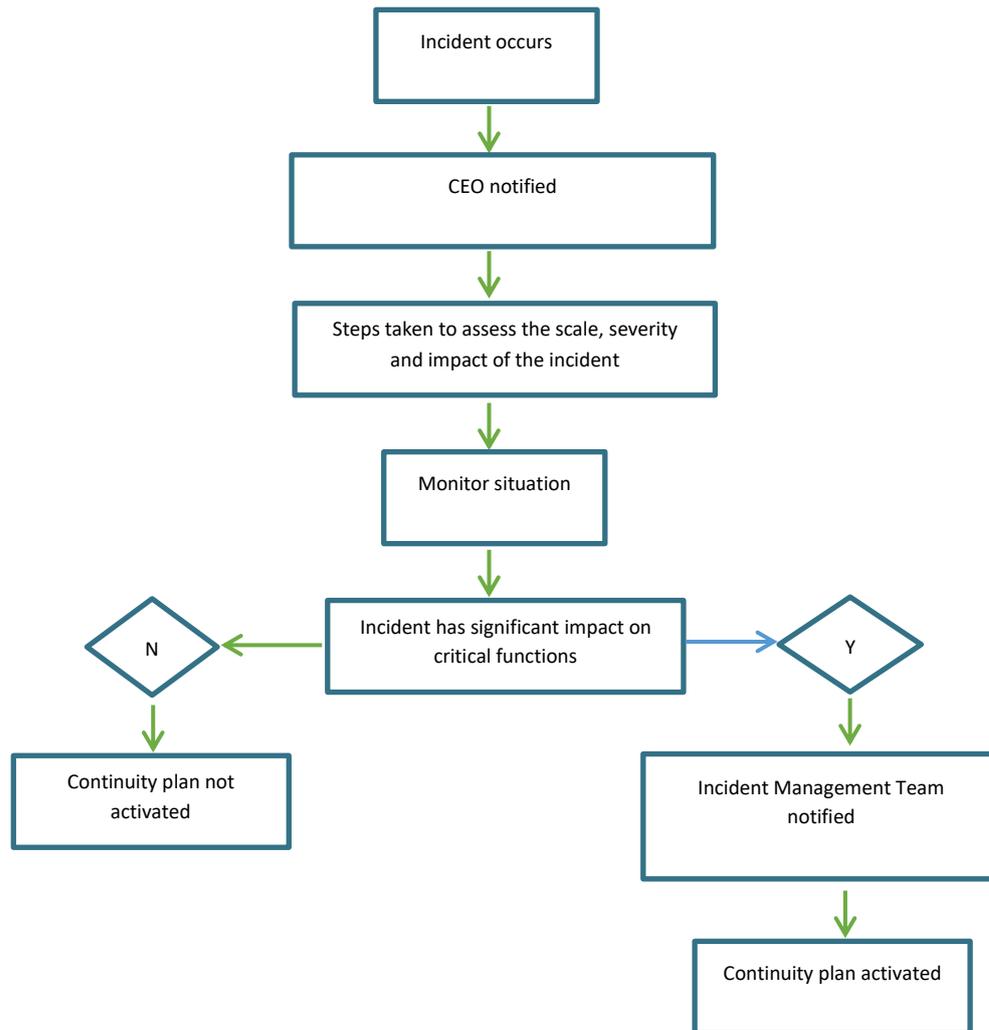
Likelihood		Impact	
1	Low	1	Minor
2	Medium	2	Significant
3	High	3	Major

Risk-rating impacts are further defined below:

Risk-rating	Description
Minor	<ul style="list-style-type: none"> • Disruption affects a single class, year group or other function and can be managed through normal operational activities • Disruption is not serious or widespread and is unlikely to affect school operations to a significant degree • No significant impact on staff or pupil safety • The Incident Management Team needs to be notified and the incident needs to be monitored • Possible partial or full activation of the Business Continuity Plan
Significant	<ul style="list-style-type: none"> • Disruption affects more than one year group, class or other function and remains self-contained • The affected area has the capacity to manage the disruption – with or without support • May require activation of specific resources, e.g. ICT

	<ul style="list-style-type: none"> • Significant impact on staff or pupils' safety • Incident Management Team needs to be notified to discuss whether to activate the Business Continuity Plan • Escalation of the incident needs to be monitored • Likely partial or full activation of the Business Continuity Plan
Major	<ul style="list-style-type: none"> • Disruption affects the whole school and possibly the local community • Major impact on pupil or staff safety • Affected area does not have the capacity to manage the disruption • Requires the activation of specific resources, e.g. ICT • Incident Management Team needs to be notified to discuss whether to activate the Business Continuity Plan • Escalation of the incident needs to be monitored • Activation of the Business Continuity Plan, where necessary

4.3 Plan Activation



4.4 Incident Management Actions (this checklist may be used by DDAT or DDAT schools)

	Action	Further Info / Details	Actioned? (tick / cross as appropriate)
1.	Make a <i>quick</i> initial assessment: <input type="checkbox"/> Survey the scene <input type="checkbox"/> Assess (i.e. scale/severity/duration) <input type="checkbox"/> Disseminate information (to others)	Gather and share information to facilitate decision-making and enhance the response A full impact assessment form can be found in appendix A	<input type="checkbox"/>
2.	Call the emergency services (as appropriate)	Tel: 999 Please provide as much information about the incident as possible. <input type="checkbox"/> Use normal fire evacuation procedures	<input type="checkbox"/>

		<input type="checkbox"/> Consider arrangements for staff/pupils with special needs and those with egress plans <input type="checkbox"/> If the decision is to stay on the premises, ensure the assembly point is safe and take advice from the Emergency Services as appropriate	
3.	<input type="checkbox"/> Evacuate the building if necessary <input type="checkbox"/> Consider whether it may be safer or better for the welfare of pupils to stay on the premises and congregate at a relative place of safety indoors <input type="checkbox"/> If there is time and it is safe to do so, consider the recovery of vital assets / equipment to enable delivery of critical activities <input type="checkbox"/> Notify relevant stakeholders of site evacuation	<input type="checkbox"/> Use normal fire evacuation procedures <input type="checkbox"/> Consider arrangements for staff/pupils with special needs and those with egress plans <input type="checkbox"/> If the decision is to stay on the premises, ensure the assembly point is safe and take advice from the Emergency Services as appropriate	<input type="checkbox"/>
4.	Ensure all pupils, staff and any visitors report to the identified assembly point	The normal assembly point is: INSERT The alternative assembly point is INSERT	<input type="checkbox"/>
5.	Check that all pupils, staff, contractors and any visitors have been evacuated from the building and are present. Consider the safety of all pupils, staff, contractors and visitors as a priority	Staff nominated in the fire evacuation procedures report areas have been checked / cleared	<input type="checkbox"/>
6.	Ensure appropriate access to site for Emergency Service(s) vehicles	Ensure any required actions are safe by undertaking a dynamic risk assessment	<input type="checkbox"/>
7.	Establish a contact point for all supporting personnel		<input type="checkbox"/>

8.	Identify Academy Incident Management Team to undertake specific emergency response roles	Consider the availability of staff and who may be best placed to communicate information	<input type="checkbox"/>
9.	Ensure a log of key decisions and actions is started and maintained throughout the incident		<input type="checkbox"/>
10.	Where appropriate, record names and details of any staff, contractors or visitors who may have been injured or affected by the incident as part of your record keeping	This information should be held securely as it may be required by Emergency Services or other agencies either during or following the incident	<input type="checkbox"/>
11.	Take further steps to assess the impact of the incident Agree response / next steps	Continue to record key decisions and actions in the incident log	<input type="checkbox"/>
12.	Log details of all items lost by pupils, staff, visitors etc as a result of the incident, if appropriate	A form for recording this information is in appendix C	<input type="checkbox"/>
13.	Consider the involvement of other teams, services or organisations who may be required to support the management of the incident in terms of providing additional resource, advice and guidance	Depending on the incident, contact may be made with Derbyshire / Derby City Emergency Planning teams and Derby Diocese	<input type="checkbox"/>
14.	If appropriate, arrange contact with the relevant press offices	Establish a media area if necessary	<input type="checkbox"/>
15.	Assess the key priorities for the remainder of the working day and take relevant action	Consider actions to ensure the health, safety and wellbeing of the Academy Trust / School community at all times. Consider your business continuity strategies i.e. alternative ways of working, re-location to your recovery site etc to ensure the impact of the disruption is minimised. Consider the legal duty to provide free school meals and how this will be facilitated, even in the event of emergency closure.	<input type="checkbox"/>
16.	Ensure staff are kept informed about what is required of them	Consider: <input type="checkbox"/> what actions are required <input type="checkbox"/> where staff will be located	<input type="checkbox"/>

		<input type="checkbox"/> notifying staff who are not currently in work with details of the incident and actions undertaken in response	
17.	Ensure pupils are kept informed as appropriate to the circumstances of the incident	Consider communication strategies and additional support for pupils with special needs. Consider the notification of pupils not currently in the school. Parents of pupils absent from the school may be contacted by email or phone depending on the nature of the incident.	<input type="checkbox"/>
18.	Ensure parents and carers are kept informed as appropriate to the circumstances of the incident. Parents and carers of those immediately affected by the incident will require additional considerations to ensure information is accurate and up to date.	Agree arrangements for parents/carers collecting pupils at an appropriate time. Consider how emergency communication needs will be established e.g. phone lines, answer phone message, website update, social media.	<input type="checkbox"/>
19.	Ensure Directors and Governors are kept informed as appropriate to the circumstances of the incident.	Consider whether email or text messaging is to be used to communicate with Directors and/or Governors. Frequency will be determined by the nature of the incident	<input type="checkbox"/>
20.	Consider the wider notification process and the key messages to communicate.	Local radios may be useful in broadcasting key messages	<input type="checkbox"/>
21.	Communicate the interim arrangements for delivery of critical Trust / school activities	Ensure all stakeholders are kept informed of contingency arrangements as appropriate by website messages, text, and/or email	<input type="checkbox"/>
22.	Log all expenditure incurred as a result of the incident	Record all costs incurred as a result of responding to the incident	<input type="checkbox"/>
23.	Seek appropriate advice from the DfE's RPA insurance provider as appropriate	Insurance details can be obtained from the CFO	<input type="checkbox"/>
24.	Ensure recording process is in place for staff/pupils leaving the site	Ensure the safety of staff and pupils before they leave site and identify suitable support and risk control measures as required	<input type="checkbox"/>

5.0 Business Continuity

5.1 Purpose of the Business Continuity Phase

The purpose of the business continuity phase is to ensure that critical activities are resumed as quickly as possible and/or continue to be delivered during any disruption. This may involve activation of one or more of the business continuity strategies to enable alternative ways of working. During an incident, it is unlikely that all resources will be available, it is therefore likely that some 'non-critical' activities may need to be suspended at this time.

5.2 Business Continuity Actions

	Action	Further Info / Details	Actioned? (tick / cross as appropriate)
1.	Identify any other stakeholders required to be involved in the Business Continuity response	Depending on the incident, you may need additional / specific input in order to drive the recovery of critical activities, this may require the involvement of external partners	<input type="checkbox"/>
2.	Evaluate the impact of the incident	<p>Take time to understand the impact of the incident on 'business as usual' Trust/school activities by communicating with key stakeholders to gather information.</p> <p>Consider the following questions:</p> <ul style="list-style-type: none"> <input type="checkbox"/> which activities are disrupted? <input type="checkbox"/> What is the impact over time if these activities do not continue? <input type="checkbox"/> Would the impact be manageable? Disruptive? Critical? Disastrous? <input type="checkbox"/> what are current staffing levels? <input type="checkbox"/> are there any key milestones or critical activity deadlines approaching? <input type="checkbox"/> what are your recovery time objectives? <input type="checkbox"/> what resources are required to recover critical activities? 	<input type="checkbox"/>
3.	Plan how critical activities will be maintained, utilising pre-identified or new business continuity strategies (see section 5.3)	<p>Consider:</p> <ul style="list-style-type: none"> <input type="checkbox"/> immediate priorities <input type="checkbox"/> communication strategies <input type="checkbox"/> deployment of resources 	<input type="checkbox"/>

		<input type="checkbox"/> finance <input type="checkbox"/> monitoring the situation <input type="checkbox"/> reporting <input type="checkbox"/> stakeholder engagement Produce an action plan for this phase of the response	
4.	Log all decisions and actions, including what you decide not to do and include your decision-making rationale	Use the decision and action log to do this (template in appendix D)	<input type="checkbox"/>
5.	Log all financial expenditure incurred	See appendix D	<input type="checkbox"/>
6.	Allocate specific roles as necessary	Roles allocated will depend on the nature of the incident and availability of staff	<input type="checkbox"/>
7.	Secure resources to enable critical activities to continue/be recovered	Consider requirements such as staffing, premises, equipment, ICT, welfare issues etc.	<input type="checkbox"/>
8.	Deliver appropriate communication actions as required	Ensure methods of communication and key messages are developed as appropriate to the needs of your key stakeholders e.g. staff, parents/carers, governors, suppliers, Local Authority, central government agencies etc.	<input type="checkbox"/>

5.3 Business Continuity Strategy Examples

	Arrangements to manage a loss or shortage of staff or skills	Further information
1.	Use of temporary staff e.g. supply teachers, office staff etc.	Contact HR@ddat.org.uk for support
2.	Multi-skilling and cross-training to ensure staff are capable of undertaking different roles and responsibilities, this may involve identifying deputies, job shadowing, succession planning and handover periods planned for planned (already known) staff absence e.g. maternity leave	Contact HR@ddat.org.uk for support
3.	Using different ways of working to allow for reduced workforce, this may include: <ul style="list-style-type: none"> - Larger class sizes (subject to adult and child ratios) - Use of Teaching Assistants, student teachers, learning mentors etc. - Virtual Learning Environment opportunities 	Contact DDAT Deputy CEO for support

	<ul style="list-style-type: none"> - Pre-prepared educational materials that allow for independent learning - Team activities and sports to accommodate larger number of pupils at once 	
4.	Suspending non-critical activities and focusing on priorities	
5.	Use mutual support arrangements with other schools	
6.	Ensure staff management issues are considered i.e. managing attendance policies, job description flexibility and contractual requirements etc.	Contact HR@ddat.org.uk for support
7.	Staff absence insurance in place	Contact DDAT Finance Team for support

	Arrangements to manage denial of access to your premises or loss of utilities	Further information
1.	Using mutual support agreements with other schools	
2.	Pre-agreed arrangements with other premises e.g. library, leisure centre, Church hall, College, University premises	
3.	Online learning environment opportunities	
4.	Localising the incident e.g. isolating the problem and utilising different sites or areas within the school premises	
5.	Arrange access to catering provision of school meals	

	Arrangements to manage loss of technology / telephony / data / power	Further information
1.	Back-up of key school data	Immediately contact the school / Trust ICT support service
2.	Revert to paper-based systems e.g. paper based registers, whiteboards etc.	
3.	Flexible lesson plans	
4.	Emergency generator e.g. uninterruptable power supply (UPS)	
5.	Emergency lighting	

	Arrangements to mitigate the loss of key suppliers, third parties or partners	Further information
1.	Pre-identified alternative suppliers / approved suppliers list	
2.	Ensure all significant external partners have business continuity plans in place as part of contract terms	

3.	Insurance cover	
4.	Utilise mutual support agreements with other schools	
5.	Alternative ways of working to mitigate the loss e.g. suspending activities, adapting to the situation and working around it	

6.0 Recovery and Resumption

6.1 Purpose of the Recovery and Resumption Phase

The purpose of the recovery and resumption phase is to resume 'business as usual' working practices for the Academy Trust / school as quickly as possible. Where the impact of the incident is prolonged, 'normal' operations may need to be delivered under new circumstances e.g. from a different location.

	Action	Further Info / Details	Actioned? (tick / cross as appropriate)
1.	Agree and plan the actions required to enable recovery and resumption of normal working practices	Agreed actions will be detailed in an action plan and set against timescales with responsibility for completion clearly indicated	<input type="checkbox"/>
2.	Respond to any ongoing and long-term support needs of staff and pupils	Depending on the nature of the incident, the Academy Trust Incident Management Team may need to consider the use of counselling services	<input type="checkbox"/>
3.	Once recovery and resumption actions are complete, communicate the return to 'business as usual'	Ensure all staff are aware that the business continuity plan is no longer in effect. Staff will be informed by email and by messages on the website	<input type="checkbox"/>
4.	Carry out a de-brief of the incident with staff (and possibly with pupils) Complete a report to document opportunities for improvement and any lessons identified	The incident de-brief report should be reviewed by all members of the Incident Management Team to ensure key actions resulting from the incident are implemented within designated timescales. Directors and Governors may also have a role in monitoring progress in completing agreed actions to further develop the resilience of the Trust.	<input type="checkbox"/>
5.	Review this continuity plan in light of lessons learned from the incident and response to it	Implement recommendations for improvement and update this plan. Ensure any revised version of the plan is read by all members of the Incident Management Team	<input type="checkbox"/>

Appendix B: Impact Assessment Form

Completed By:		Incident:	
Date:		Time:	
Question			
How were you made aware of the incident?			
What is the nature of the incident? (Type, location and severity)			
Are there any staff or pupil casualties or fatalities? (Complete casualty / fatality sheets if needed)			
Have the Emergency Services been called?			
Is the incident currently affecting Trust / school activities? If so, which areas?			
What is the estimated duration of the incident?			
What is the actual or threatened loss of workforce?		<input type="checkbox"/> over 50% <input type="checkbox"/> 20-50% <input type="checkbox"/> 1-20%	
Has access to the whole site been denied? If so, for how long? (provide estimate if not known)			
Which work areas have been destroyed, damaged or made unusable?			

Is there evidence of structural damage?	
Which work areas are inaccessible but intact?	
Are systems and other resources unavailable? (include computer systems, telecoms, other assets)	
If so, which staff are affected by the ICT disruption and how?	
Have any utilities been affected? (Gas, electricity or water)	
Is there media interest in the incident? (Likely or actual)	
Does the incident have the potential to damage the Trust's / school's reputation?	
Does the incident have an impact on neighbouring properties or people?	
Other relevant information	

Appendix E: Contents of Emergency Box / 'Grab Bag'

Many documents will be available electronically but essential documents will be included in the event of ICT disaster. Contents may vary between schools and documents may not be stored in the 'Grab Bag' due to confidentiality / GDPR / financial procedures.

Section	Details
Business Continuity	Business continuity plan (plus spare copies of forms in appendices)
	Key contact details including: governors, parents/carers, DDAT Incident Management Team, Local Authority, suppliers
Organisational Information	School branding material
	School logo
Financial Information	Bank, insurance details, payroll etc
	Cheque book
	Financial procedures
	Assets register and insurance policy
Staff Information	Staff emergency contact details
ICT/Equipment Information	Software licence agreement and key codes
	Office telephone list
	Back up rota and data restoration routine
Equipment and Other Items	First aid kit
	Portable radio (plus spare batteries)
	Wind-up LED torch
	Back up tapes
	Laptop with wireless connection
	Pay as you go mobile phone and battery powered mobile phone charger
	Stationery including permanent markers, clipboards, pens, blu-tac, pins, pencils and notebook paper
	Hazard barrier tape
	Emergency cash, a cheque book or spare credit card
	Contact details for taxi / transport providers
	School floor plans
	Spare keys
	Whistle / megaphone
	High visibility jackets

Appendix H: Parent Contact List

Insert print out appropriate to each school - see below:

Due to GDPR a FULL copy of the Business Continuity Plan is kept in the Main School Office in the shuttered cabinet next to the refrigerator on the right-hand side as you enter the office. This includes parents contact details and emergency contact details for key members of school staff (ie SLT), along with business emergency contact details.

Due to high levels of transience, the Parent / Carer Contact List will be updated on a regular basis to include new admissions and leavers.

Appendix I: Emergency Contact List

Contact	Telephone Number
Derbyshire Emergency Planning Team	01629 538364 Duty Officer 1: 0707 473 7451 Duty Officer 2: 0707 473 7452
Derbyshire County Council Crisis Communications	01629 538234
Local Radio Stations: BBC Radio Derby BBC Radio Sheffield Peak FM	01332 361111 0114 2731177 01246 261107
Local Hospital: Royal Hospital Chesterfield Royal Derby Hospital	01246 277271 01332 340131
RPA Insurance	03300 585566
Foreign Office	020 7270 3000