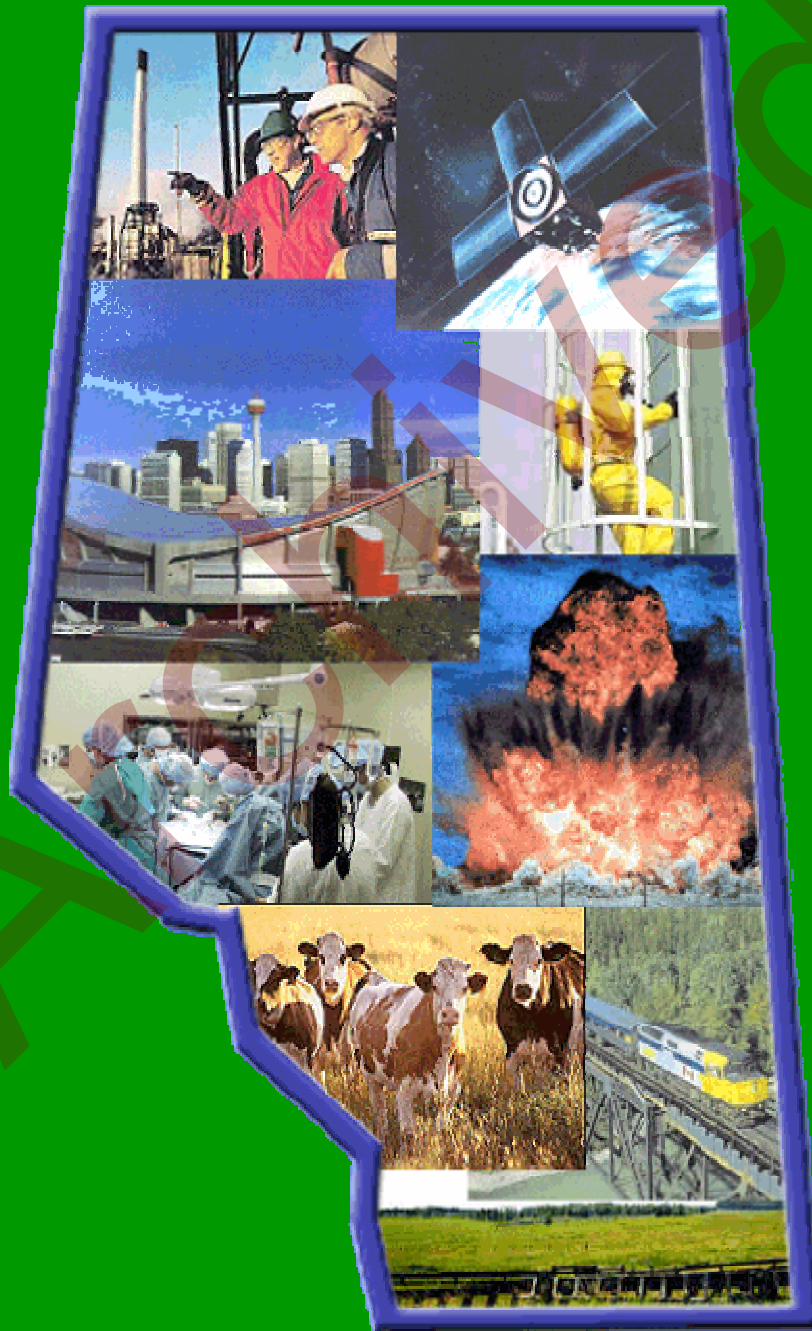


Alberta Emergency Management Agency

Business Continuity Guide

March 2007



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FOREWORD

The Business Continuity Guide has been prepared by the Business Continuity Planning Section of the Alberta Emergency Management Agency. It has been designed to provide a practical step-by-step guide for developing comprehensive business resumption and continuity procedures. Consideration has been given to the development to two components: the business continuity plan and ability to activate and implement the plan.

Authority for the production of this document can be found within the Disaster Services Act and the Alberta Regulation 62/2000, Government Emergency Planning Regulation.

Business Continuity Guide currently consists of five modules:

- Part 1** – Planning Guide
- Part 2** – Business Continuity Plan Template
- Part 3** – Training and Awareness
- Part 4** – Exercising and Validation
- Part 5** – Performance Measures

Each module includes multiple annexes to support a business continuity plan. In some cases, identical annexes have been placed in different modules. This has been done to allow for efficient use of the guide.

The *Business Continuity Guide* avoids using explicit scenarios or examples in order to remain simple and generic to account for the diversity of departments. This generic format will also offer the flexibility to meet the specific needs of various organizations internal and external to government.

The *Business Continuity Guide* has been written for the Government of Alberta; by employees of the Government; emphasizing the responsibility to resume essential services for Albertans in the face of emergencies, disasters and disruptions. As a business continuity planner for your department, it is recommended that you commence the business continuity process by asking three questions:

- What are our organization's essential services?
- Who within the organization is responsible for provision of those services?
- If we were to lose the infrastructure and facilities that support our essential services, what do we need and where will we go to resume those services?

The answers to the above questions help form the basis for business continuity planning.

We hope you find this guide a valuable addition to your business continuity planning resources. If you have any comments or recommendations for amendments, please contact:

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Business Continuity Guide

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RECORD OF AMENDMENTS

The Business Continuity Guide may require updates and amendments based on various factors. In order to ensure that a most accurate copy of the Guide is maintained, it is recommended that a business continuity team member be assigned the responsibility of maintaining current copies of the Guide.

The person assigned the responsibility of maintaining the Business Continuity Guide is:

Name: _____

Title: _____

Phone: _____ **Fax:** _____

E-mail: _____

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8				
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10				
11				
12				
13				
14				
15				
16				
17				
18				

TABLE OF CONTENTS

FOREWORD	3
RECORD OF AMENDMENTS	5
TABLE OF CONTENTS	6
PART 1: PLANNING GUIDE	17
1. INTRODUCTION	19
1.1 PURPOSE OF THE GUIDE	19
1.2 INTRODUCTION TO BUSINESS CONTINUITY	19
1.3 THE NEED FOR BUSINESS CONTINUITY PLANS	20
1.4 AEMA - BUSINESS CONTINUITY SECTION	20
1.4.1 OBJECTIVE	20
1.4.2 RESPONSIBILITIES	20
1.4.3 ASSUMPTIONS	21
1.5 THE EMERGENCY MANAGEMENT CYCLE	22
1.6 THE BUSINESS CONTINUITY CYCLE	23
2. THE BUSINESS CONTINUITY PLAN	24
2.1 DEFINITION	24
2.2 QUALITIES OF AN EFFECTIVE BUSINESS CONTINUITY PLAN	24
2.3 PRINCIPLES OF BUSINESS CONTINUITY PLANNING	24
2.3.1 CRITICAL SERVICES	24
2.3.2 SENIOR MANAGEMENT INPUT AND CONCURRENCE	24
2.3.3 SIMPLE, CLEAR AND COHESIVE	25
2.3.4 ACTIVATION	25
2.3.5 DISSEMINATION OF THE PLAN	25
2.3.6 VALIDATION AND CONTINUOUS UPDATING	25
2.3.7 COORDINATION	25
2.3.8 MULTIPLE PLANS	25
2.3.9 INTERCHANGEABILITY	25
3. CONTINUITY PLANNING SEQUENCE	26
3.1 DEPARTMENTAL EXECUTIVE CONCURRENCE	27
3.2 BUSINESS CONTINUITY PLANNING POLICY	27
3.2.1 POLICY STATEMENT	27

3.3 PROMOTING DEPARTMENTAL AWARENESS	28
3.4 BCP TEAM ORGANIZATION AND RESPONSIBILITIES	28
3.4.1 GENERAL	28
3.4.2 ORGANIZATIONAL CONSIDERATIONS	29
3.4.3 ORGANIZATIONAL RESPONSIBILITIES	34
3.4.3.1 General	34
3.4.3.2 Individual Responsibilities	36
3.5 PLAN DEVELOPMENT AND TIMETABLE	41
3.5.1 PLAN DESIGN AND CONSTRUCTION	42
3.5.2 PLAN COMMUNICATION AND DISSEMINATION	43
3.6 CATEGORIZATION AND PRIORITIZATION OF SERVICES	44
3.6.1 SERVICE CATEGORIES	44
3.6.1.1 Critical	44
3.6.1.2 Vital	44
3.6.1.3 Necessary	44
3.6.1.4 Desired	44
3.6.2 INTERRUPTION IMPACT FACTORS	44
3.6.3 FACTORS IN PRIORITIZING SERVICES	45
3.7 THE RISK ASSESSMENT	46
3.7.1 RISKS DEFINED	47
3.7.2 IDENTIFY THE RISKS	47
3.7.3 EVALUATE THE RISKS	47
3.7.3.1 Probability	47
3.7.3.2 Safety	48
3.7.3.3 Resources	48
3.7.3.4 Services	48
3.8 THE BUSINESS CONTINUITY PLAN	49
3.8.1 VITAL INFORMATION	49
3.8.2 THE BUSINESS IMPACT ANALYSIS	50
3.8.2.1 General	50
3.8.2.2 Assumptions	50
3.8.2.3 Services	50
3.8.3 IDENTIFY CONTINUITY ACTIVITIES	51
3.8.3.1 Vital Records	51
3.8.3.2 Security	52
3.8.3.3 Establishing an Alternate Business Site	53

3.8.3.4 Prioritizing Continuity Activities	54
3.9 BUSINESS CONTINUITY MANAGEMENT PROTOCOLS	54
3.9.1 PLAN ACTIVATION CONSIDERATIONS	54
3.9.1.1 General	54
3.9.1.2 Activation	54
3.9.1.3 Initial Briefing	55
3.9.1.4 Succession List	56
3.9.1.5 Continuity Activation and Implementation Considerations	56
3.9.1.6 Communications Plan	57
3.9.1.7 Inter-departmental Coordination	58
3.9.1.8 External Coordination	58
3.10 DEPARTMENTAL BUSINESS CONTINUITY TRAINING	59
3.11 CONTINUITY PLAN MAINTENANCE	59
3.11.1 MAINTENANCE RESPONSIBILITIES	59
3.11.2 CONTROL MEASURES	59
3.11.3 DISTRIBUTION OF COPIES OF THE BCP	59
3.11.4 MAINTENANCE SCHEDULES	60
3.12 CONTINUITY PLAN EXERCISING AND VALIDATION	60
4. SUPPORTING KNOWLEDGE	61
4.1 GLOSSARY OF TERMS	61
4.2 LIST OF ACRONYMS	61
4.3 RECOMMENDED REFERENCES	61
ANNEXES	63
ANNEX A BUSINESS REVIEW SURVEY (MODEL)	65
ANNEX B PLAN DEVELOPMENT CHECKLIST	68
ANNEX C DEPARTMENTAL SERVICES CATEGORIZATION SHEET	73
ANNEX D DEPARTMENTAL SERVICES SUMMARY	75
ANNEX E RISK ASSESSMENT WORKSHEET	76
ANNEX F BUSINESS IMPACT ANALYSIS SERVICES WORKSHEET	80
ANNEX G VITAL RECORDS SUMMARY SHEET	83
ANNEX H BUSINESS CONTINUITY ACTIVITIES SUMMARY	84
ANNEX I ACTIVATION FLOWCHART	85
ANNEX J BUSINESS CONTINUITY PLAN SURVEY	86
ANNEX K GLOSSARY OF TERMS	89
ANNEX L LIST OF ACRONYMS	97

PART 2: BUSINESS CONTINUITY PLAN TEMPLATE	99
FOREWORD	101
INTRODUCTION	101
TABLE OF CONTENTS	ERROR! BOOKMARK NOT DEFINED.
EXECUTIVE COMMITTEE FOREWORD	105
SECTION 1	105
1.1 TABLE OF AMENDMENTS	105
1.2 VITAL INFORMATION	105
1.2.1 CONTACT INFO OF BCP MANAGER AND COORDINATOR	105
1.2.2 PLAN ACTIVATION SEQUENCE OF EVENTS	105
1.2.3 ACTIVATION CRITERIA	105
1.2.4 LIST OF SUCCESSION	105
1.2.5 DISTRIBUTION LIST	105
FIGURE 1 – ACTIVATION FLOWCHART	106
SECTION 2	107
2.1 INTRODUCTION	107
2.1.1 DEPARTMENTAL POLICY STATEMENT	107
2.1.2 PURPOSE OF THE PLAN	107
2.2 GLOSSARY OF TERMS	107
2.3 LIST OF ACRONYMS	107
2.4 CONTINUITY PLANNING TEAMS	107
2.5 CONTACT LISTS	107
SECTION 3	108
3.1 RISK ASSESSMENT	108
3.1.1 RISK ASSESSMENT WORKSHEET, AND THE RISK SUMMARY MATRIX	108
SECTION 4	108
4.1 BUSINESS IMPACT ANALYSIS	108
4.1.1 ASSUMPTIONS	108
4.1.2 DEPARTMENTAL SERVICES SUMMARY	108
4.1.3 BUSINESS IMPACT ANALYSIS SERVICES WORKSHEET	108
4.1.4 CONSTRAINTS TO PLAN IMPLEMENTATION (OPTIONAL)	108
SECTION 5	109

5.1 ASSESSMENT OF CONTINUITY ACTIVITIES	109
5.1.1 SPECIFIC ACTIVITIES	109
5.1.2 INFRASTRUCTURE AND FACILITY TRANSFER PLAN	109
5.1.3 ALTERNATE WORKSITE(S)	109
5.1.4 PHYSICAL COMMUNICATIONS REDUNDANCY PLAN	110
5.1.5 FINANCIAL/FUNDING MODELS	110
5.1.6 EMERGENCY OPERATIONS CENTRE	110
5.1.7 COMMUNICATIONS AND PUBLIC INFORMATION PLAN	110
5.1.8 POSTAL SERVICES	110
5.1.9 EMPLOYEE ACCOUNTABILITY	111
5.1.10 EMPLOYEE ASSISTANCE PLAN	111
5.1.11 SECURITY	111
5.1.12 DEBRIEFING TEAM	111
5.1.13 INTERNAL COORDINATION REQUIREMENTS	111
5.1.14 EXTERNAL COORDINATION REQUIREMENTS	112
5.2 IDENTIFY KEY PERSONNEL	112
SECTION 6	112
6.1 SUBSIDIARY ORGANIZATION BUSINESS CONTINUITY PLANS	112
SECTION 7	112
7.1 TRAINING CONCEPT	112
7.1.1 BUSINESS CONTINUITY TEAM TRAINING CONCEPT	112
7.1.2 ONGOING TRAINING CONCEPT	112
7.1.3 OBJECTIVES	112
7.2 PLAN MAINTENANCE PROTOCOLS	112
7.2.1 MAINTENANCE SCHEDULE	112
7.2.2 MAINTENANCE TEAMS AND RESPONSIBILITIES	112
7.2.3 REVISION SCHEDULE	113
SECTION 8	113
8.1 EXERCISING AND VALIDATION CONCEPT	113
8.1.1 EXERCISE OBJECTIVES	113
8.1.2 EXERCISING POLICY	113
8.1.3 EXERCISE METHODOLOGY	113
8.1.4 EXERCISE SCHEDULE	113
8.1.5 PERFORMANCE MEASUREMENT PROCESS	113
8.1.6 POST-EXERCISE REPORTING	113
8.1.7 AFTER ACTION-PROCESS	113

8.1.8	LESSONS LEARNED PROCESS	113
8.1.9	CHANGE MANAGEMENT PROCESS (LESSONS LEARNED)	113
ANNEXES		115
ANNEX A1	ACTIVITY SHEET	117
ANNEX A2	ACTIVITY SHEET	118
ANNEX A3	ACTIVITY SHEET	119
ANNEX A4	ACTIVITY SHEET	120
ANNEX A5	ACTIVITY SHEET	121
ANNEX A6	ACTIVITY SHEET	122
ANNEX A7	ACTIVITY SHEET	123
ANNEX A8	ACTIVITY SHEET	124
 PART 3: TRAINING & AWARENESS		 125
TABLE OF CONTENTS		127
1. INTRODUCTION – WHY WE TRAIN		128
2. OBJECTIVES OF BCP TRAINING		128
2.1 TRAIN THE TRAINERS – THE BCP MANAGERS		128
2.2 INTRODUCTION TO THE 12 STEPS OF BCP DEVELOPMENT		128
3. TRAINING CONCEPTS		129
3.1 WHO TO TRAIN		130
3.2 WHEN TO TRAIN		130
3.3 WHERE TO TRAIN		130
3.4 SPECIFIC STANDARDS		130
 PART 4: EXERCISE & VALIDATION		 131
TABLE OF CONTENTS		133
1. INTRODUCTION		137
1.1 PURPOSE		137
1.2 DEFINING AN EXERCISE		137
1.3 IMPORTANT DEFINITIONS		138
1.3.1	EXERCISE CYCLE	138
1.3.2	SCHEDULE	138

1.3.3 EXERCISE PROGRAM	138
1.4 CONDITIONS LEADING TO AN EXERCISE PROGRAM	138
1.5 ADVANTAGES OF EXERCISING A BCP	139
1.6 EXERCISE PLANNING STEPS	139
1.7 THE PURPOSE OF AN EXERCISE	140
1.7.1 CONFIDENTIALITY	141
1.7.2 BUDGETING FOR EXERCISES	141
1.8 DOCUMENTING EXERCISES IN THE PLAN	142
2. EXERCISE POLICY	143
2.1 PURPOSE OF THE EXERCISE POLICY	143
2.2 POLICY CONTENT	143
2.2.1 GENERAL POLICY STATEMENT	143
2.2.2 RESPONSIBILITY	143
2.2.3 METHODOLOGY	143
2.2.4 SCHEDULE	143
2.2.5 EXERCISE PROGRAM BUDGET	144
2.2.6 OTHER	144
2.2.7 EXERCISE DOCUMENTATION	144
3. EXERCISE OBJECTIVES	145
3.1 WHAT IS AN OBJECTIVE?	145
3.2 IDENTIFYING AND SELECTING THE OBJECTIVES	146
3.3 OBJECTIVE EXAMPLES	147
3.3 RE-AFFIRMING OBJECTIVES DURING THE EXERCISE	148
4. EXERCISE TYPES AND SCHEDULING	149
4.1 PURPOSE	149
4.2 TYPES OF EXERCISES	149
4.2.1 DESKTOP	149
4.2.2 SIMULATION	150
4.2.3 FULL-SCALE EXERCISE	150
4.3 ADDITIONAL EXERCISE CONSIDERATIONS	151
4.4 EXERCISE CYCLE	152
4.4.1 MONTHLY	152
4.4.2 QUARTERLY	153
4.4.3 SEMI-ANNUALLY	153

4.4.4 ANNUALLY	153
4.4.5 AS REQUIRED	154
4.5 EXERCISE SCOPE AND CONTENT	154
5. PLANNING AND PREPARATION	156
5.1 DETERMINE CURRENT KNOWLEDGE BASE AND CAPABILITY	156
5.2 IDENTIFY THE PORTION(S) OF THE BCP BEING EXERCISED	156
5.3 DETERMINE THE GENERAL OBJECTIVE FOR THE EXERCISE	156
5.4 ESTABLISH THE EXERCISE PLANNING TEAM (EPT)	157
5.4.1 EXERCISE DIRECTOR	157
5.4.2 EXERCISE PLANNING TEAM (EPT)	157
5.5 IDENTIFY SPECIFIC OBJECTIVES, CONTEXT, PARTICIPANTS	158
5.6 DEVELOP THE EXERCISE	158
5.6.1 ESTABLISH THE EXERCISE SCENARIO	158
5.6.2 DEVELOP A MASTER EVENTS LIST	159
5.6.3 DEVELOP A DETAILED EVENTS LIST	159
5.6.4 DRAFT APPROPRIATE MESSAGES AND INPUTS	160
5.7 ESTABLISH APPROPRIATE SAFETY MEASURES	160
5.8 IDENTIFY SUPPORT REQUIREMENTS	160
5.9 DEVELOP AN APPROPRIATE EVALUATION MECHANISM	161
5.10 ESTABLISH EXERCISE CONTROL MECHANISMS	161
5.11 PREPARE THE EXERCISE INSTRUCTION	161
5.12 GAIN APPROVAL FOR THE EXERCISE	162
5.13 ISSUE EXERCISE INSTRUCTIONS AND BRIEF PARTICIPANTS	162
6. CONDUCTING THE EXERCISE	163
6.1 INTRODUCTION	163
6.2 CONTROL	163
6.3 SAFETY	164
6.4 HELPFUL HINTS	164
6.4.1 PRE-EXERCISE STAGE	164
6.4.2 EXERCISE STAGE	165
6.4.3 BREAKS	165
7. POST-EXERCISE ACTIVITIES	166
7.1 INTRODUCTION	166

7.2 POST-EXERCISE DISCUSSION AND REPORT	166
7.3 RESPONSIBILITY	167
7.4 KEY ELEMENTS	167
7.5 SEQUENCE	167
7.5.1 BUSINESS UNIT DISCUSSION	168
7.5.2 COLLECTIVE EXERCISE DISCUSSION	168
7.5.3 POST-EXERCISE REPORTING	168
7.5.4 EXECUTIVE SUMMARY TO THE DEPARTMENTAL MANAGEMENT COMMITTEE	169
7.5.5 FEEDBACK TO PARTICIPANTS	169
7.5.6 IMPLEMENTATION OF CHANGES TO PLAN	169
7.5.7 AWARENESS	169
7.6 SUMMARY	169
8. LESSONS LEARNED PROCESS	170
8.1 SIGNIFICANCE	170
8.2 METHODOLOGY	170
ANNEXES	171
ANNEX A THE EXERCISE PROGRAM	173
ANNEX B EXERCISE PLANNING STEPS	174
ANNEX D EXERCISE EXAMPLE	178
ANNEX E EXERCISE DIRECTOR'S CHECKLIST	179
ANNEX F MASTER EVENTS LIST	181
ANNEX G GENERAL EXERCISE INSTRUCTION OUTLINE	182
ANNEX G1 EXERCISE INPUT	185
ANNEX G2 GUIDELINES FOR OBSERVERS	186
ANNEX G3 GUIDELINES FOR PARTICIPANTS	188
ANNEX G4 COMMUNICATION DIAGRAM	190
ANNEX H LOG SHEET	191
ANNEX I POST-EXERCISE REPORTING	192
PART 5: PERFORMANCE MEASURES	193
TABLE OF CONTENTS	195
1. INTRODUCTION	196
1.1 PURPOSE	196

1.2 CONCEPT	196
1.3 AUDITING	196
1.4 EVALUATION PRACTICES	197
1.5 EVALUATION FREQUENCY	197
TABLE 1 BCP PROCESS EVALUATION SHEET	198
TABLE 2 PLAN EVALUATION	199
TABLE 3 TRAINING AND MAINTENANCE PROGRAM EVALUATION	203
TABLE 4 EXERCISE AND VALIDATION EVALUATION	206

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PART 1
PLANNING GUIDE

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1. INTRODUCTION

1.1 PURPOSE OF THE GUIDE

This document will assist Business Continuity Managers and their teams through the process of business continuity planning and management. The Planning Guide provides a step-by-step guide for all facets of business continuity planning. It can be applied to any department, division, branch and section level (and their equivalencies). The guide can also be applied to private industry as required.

This guide does not include specific details of the various components of business continuity planning but rather is an overview. Although the Planning Guide has a generic format, some of its content may not be applicable to all organizations. Users are encouraged to amend components of this guide to meet the needs of their organization. Additional information and assistance is available from the Business Continuity Planning Section of the Alberta Emergency Management Agency (AEMA).

This planning guide includes four general components:

- Section 1 Introduction
- Section 2 The Business Continuity Plan
- Section 3 Business Continuity Planning Sequence
- Section 4 Supporting Knowledge

1.2 INTRODUCTION TO BUSINESS CONTINUITY

When a dramatic event has occurred and a department has handled the initial safety responses through the implementation of an Emergency Operations Plan, they will need to begin the task of business continuity:

- Resuming/continuing the delivery of essential services and programs
- Resuming/continuing interactions with the essential resources - people, information, assets, facilities, etc.

To understand the requirements of business continuity, it is necessary to step back and ask some preliminary questions that will help explain the Business Continuity Cycle and where Business Continuity fits into the overall process.

Through Business Continuity one should be able to answer three questions:

- 1 - What could go wrong? (The Risk Assessment)

2 - If something went wrong, how would it affect business? (The Business Impact Analysis)

3 - How would the essential services of the business be resumed? (The Business Continuity Plan)

Answers to these questions will help identify measures to mitigate risk as well as assisting in the development of business continuity strategies, which should be documented and exercised every year. Business Continuity Planning is a fundamental part of long-term business success.

1.3 THE NEED FOR BUSINESS CONTINUITY PLANS

While the likelihood of a disaster occurring is uncertain, every organization should develop concise, written and comprehensive business continuity plans (BCPs) that address all critical operations of the organization and its essential services. The benefits of an effective BCP include:

- Ensuring the safety of all Albertans (including government employees themselves)
- Ensuring and maintaining confidence in government
- Minimizing potential revenue loss
- Reducing the probability of a disaster or disruption occurrence
- Reducing the impact related to a disruption of services

1.4 THE ALBERTA EMERGENCY MANAGEMENT AGENCY - BUSINESS CONTINUITY SECTION

1.4.1 OBJECTIVE

The Business Continuity Section of AEMA will extend the necessary expertise to the departments, boards, agencies, and commissions that encompass the Executive Council of the Government of Alberta, ensuring the same levels of services that exist for emergency planning exist for business continuity planning.

1.4.2 RESPONSIBILITIES

AEMA's assigned and implied responsibilities include, but are not limited to:

- Continuously improving the Government of Alberta's business continuity program within the context of the appropriate business and fiscal plans
- Developing, implementing and maintaining a comprehensive business continuity guide and template

- Assisting government departments in identifying their BCP needs
- Assisting government departments with their plan development
- Assisting government departments with plan exercising, assessment and validation to ensure the currency and continuous improvement of completed plans
- Reviewing and assisting in the amendment of finalized BCPs
- Conducting cross government coordination of all departmental plans, including ensuring the facilitation processes and resources are in place to achieve this

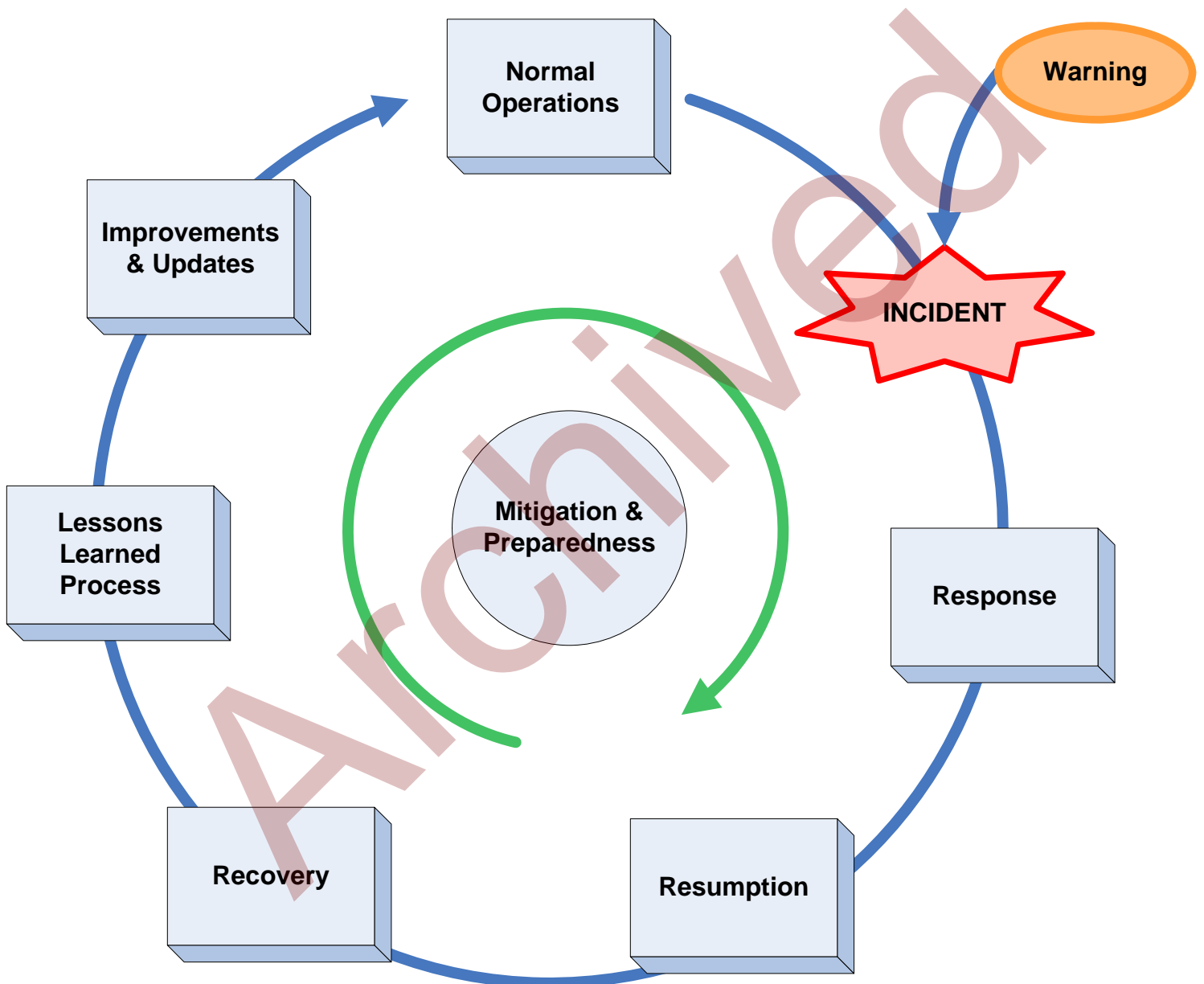
1.4.3 ASSUMPTIONS

In business continuity planning, it is essential to establish the overall scope of the plan. In order to create this scope, certain assumptions may need to be identified to provide proper context for the plan. The Business Continuity Section of AEMA has identified some assumptions which form the basis for the development of the overall program. These assumptions include the following:

- BCPs are based on the worst-case emergency scenario
- Executive Committees have endorsed all facets of the plan and its development
- All departments have designated business continuity teams
- Departments, in accordance with the Government Emergency Planning Regulation, have complete emergency plans that support the Alberta Emergency Plan
- Business continuity planners cannot and should not attempt to identify every possible risk to normal government operations, however they have identified those that are most likely to occur and which would have the greatest impact
- A BCP may be activated as a result of an incident that is not considered a disaster or emergency at the municipal or provincial level
- During the response phase (consequence management) of the disaster management cycle, a BCP team will be activated, either in a full or part-time capacity, to manage the necessary levels of business continuity

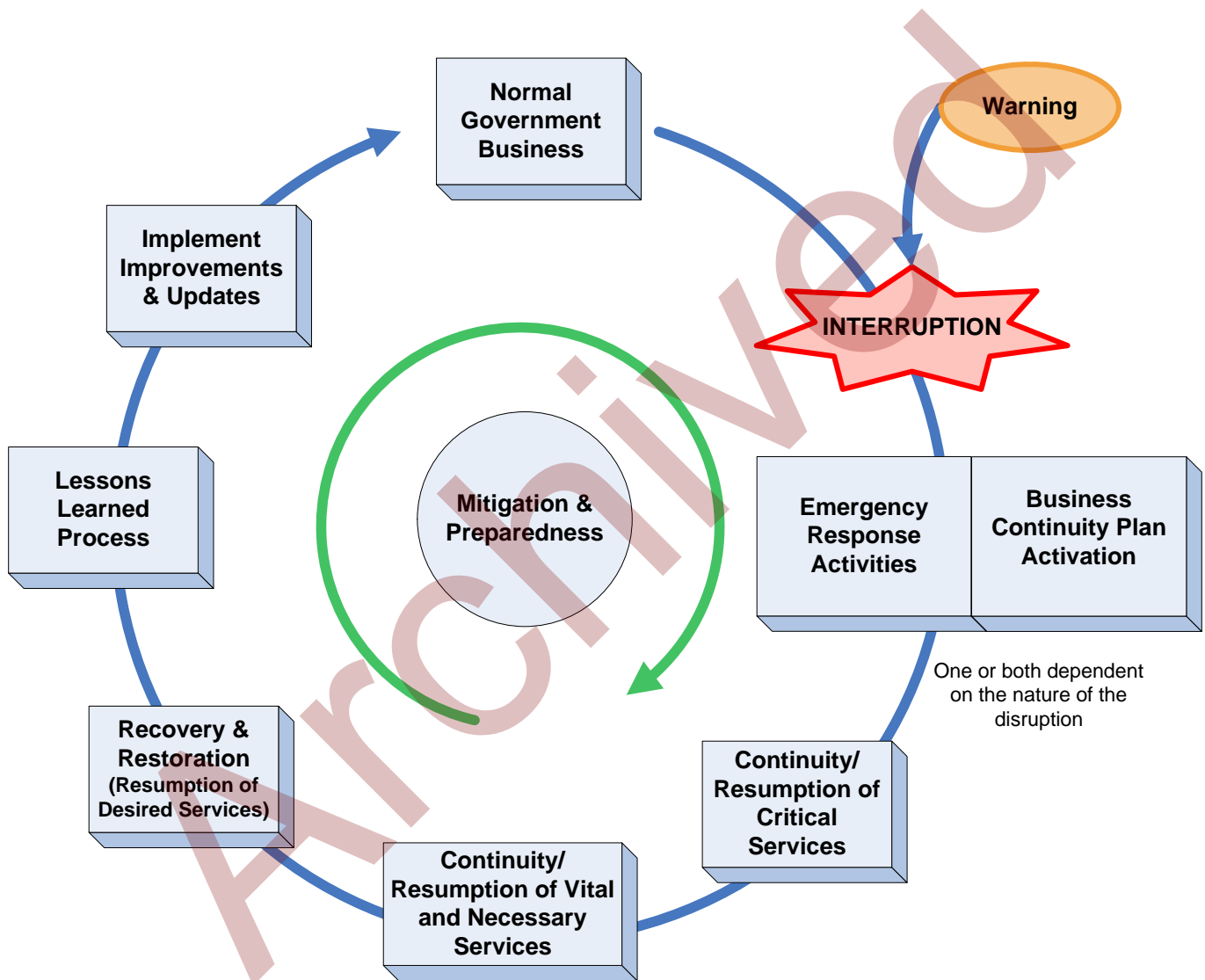
1.5 THE EMERGENCY MANAGEMENT CYCLE

This cycle represents the conditions and processes that are generally accepted as occurring before and after an emergency or disaster.



1.6 THE BUSINESS CONTINUITY CYCLE

The Business Continuity Cycle mirrors the Emergency Management Cycle in many respects; however, this cycle also recognizes and is designed to effectively respond to incidents that may lead to a disruption of services but, by definition, may not be considered disasters or emergencies.



2. THE BUSINESS CONTINUITY PLAN

2.1 DEFINITION

The Business Continuity Plan (BCP) should ensure the continued availability of essential services, operations and programs, including all applicable resources. BCPs are activated during, or immediately after an emergency or disruption and ensure the rapid and cost effective recovery of essential services.

2.2 QUALITIES OF AN EFFECTIVE BUSINESS CONTINUITY PLAN

An effective Business Continuity Plan will:

- Identify critical, vital, necessary and desired services and the resources required to continue providing these essential services
- Outline timely, clear and effective continuity activation protocols
- Identify the potential threats, considering likelihood & impact (risk assessment)
- Estimate the impact of the disruption of services (business impact analysis)
- Document how key assets move within and outside the organization, including information, services, goods and finances
- Identify interdependencies within and external to the organization
- Determine resource and supporting facility requirements in the context of space, proximity and function
- Develop various continuity teams

2.3 PRINCIPLES OF BUSINESS CONTINUITY PLANNING

2.3.1 CRITICAL SERVICES

The requirement for a department and the government to resume clearly defined critical services in a timely manner should drive the business continuity planning and management process.

2.3.2 SENIOR MANAGEMENT INPUT AND CONCURRENCE

The importance of business continuity must be clearly understood at the executive level of government departments. Policies may assist with seeking executive concurrence.

2.3.3 SIMPLE, CLEAR AND COHESIVE

Plans should provide sufficient detail to ensure clarity, but also allow enough flexibility to account for the specific needs of various levels of operations and responsibility. Overly complex plans are likely to be overlooked during a continuity situation. The Government of Alberta, with assistance from AEMA, must be able to effectively coordinate and monitor multiple and concurrently active BCPs. Plans should be able to function independently and as a complete unit, however with the diverse nature of departments, this is not always possible.

2.3.4 ACTIVATION

The decision of when to activate a BCP will have a direct bearing on its successful implementation and ultimately affect the overall recovery process.

2.3.5 DISSEMINATION OF THE PLAN

BCPs should be distributed amongst all applicable stakeholders to ensure the effective flow of information. Availability of plans at alternate locations and individual homes may prove crucial should a primary worksite become inaccessible. The privacy of individuals named in the plan as well as the vulnerabilities identified during the risk assessment however should not be compromised. Consideration should be given to the safeguarding of the plan either physically or by password protecting electronic copies.

2.3.6 VALIDATION AND CONTINUOUS UPDATING

As part of the overall business continuity process, all plans must be exercised regularly. Amending and upgrading plans should also become a part of the maintenance process. They should also be routinely updated drawing upon any lessons learned as validation is not a 'one time' process.

2.3.7 COORDINATION

Coordination is necessary throughout the planning process and will be the primary responsibility of business continuity teams during activation, implementation and de-activation of any plan.

2.3.8 MULTIPLE PLANS

Multiple plans or sub plans may be necessary to account for the diversity in services, organizational characteristics, and geographic positioning of some departments.

2.3.9 INTERCHANGEABILITY

Government BCPs specifically should attempt to be somewhat interchangeable. Interchangeability refers to the ability to remove components of a departmental BCP to accommodate reorganization initiatives.

3. CONTINUITY PLANNING SEQUENCE

The following planning steps are generally sequential; however, several of them can be conducted simultaneously. Some of the steps may also be continuous throughout the process.

- Step 1** -Gain the concurrence of departmental executive management
- Step 2** -Develop a departmental business continuity policy
- Step 3** -Promote departmental awareness (senior management concurrence)
- Step 4** -Assemble a BCP Team and establish a planning structure
- Step 5** -Establish a planning timetable (senior management concurrence)
- Step 6** -Identify, categorize, and prioritize the critical, vital, necessary and desired services. A departmental review of services may be conducted if clarification of departmental services is necessary (senior management concurrence)
- Step 7** -Conduct a Risk Assessment
- Step 8** -Design and write the business continuity plan
- Step 9** -Confirm business continuity management protocols with stakeholders and senior management (conducted in conjunction with Step 8)
- Step 10** -Design and implement a departmental business continuity training program for initial team training and refresher training (senior management concurrence)
- Step 11** -Design and implement BCP maintenance protocols
- Step 12** -Design, coordinate and implement an exercise and validation process (senior management concurrence)

Senior management concurrence is repeated in the above sequence simply as a reminder that most of these steps will lead to the expenditure of resources, implementation of policy and directives, and result in the assignment of significant responsibilities throughout a department.

3.1 DEPARTMENTAL EXECUTIVE CONCURRENCE

(Step 1)

Business continuity planning will only succeed through the informed support of the organization's executive management. The designated Business Continuity Manager will require direct access to the Executive Committee to ensure the free flow of information and to gain the concurrence of the organization. Ultimately, like all other planning processes within an organization, executive management is responsible for successful results. Senior management concurrence should be continuous throughout the business continuity process; however, decisions regarding the following key elements of business continuity should come from an Executive Committee:

- Confirmation of a business continuity policy.
- Confirmation and approval of a department's essential services.
- Acceptance of a completed BCP.
- Approval of business continuity protocols, e.g., activation and implementation steps.
- Approval of the scope of BCP training, exercising and validation.

3.2 BUSINESS CONTINUITY PLANNING POLICY

(Step 2)

3.2.1 POLICY STATEMENT

A policy statement will provide clear direction which can assist to initiate the BCP process. It will reaffirm the commitment of senior management to ensure BCPs are successfully completed. Some recommended components of a Departmental Policy Statement include:

- A description of the BCP
- Why the BCP is being developed (appropriate legislation could be sited here)
- Reinforcement of the plan's role in ensuring the continuation of the department's essential services
- Brief outline of the department's critical services
- General expectations of specific organizations
- Outline of future activities

3.3 PROMOTING DEPARTMENTAL AWARENESS

(Step 3)

Methods of raising departmental awareness can include surveys and questionnaires, briefings, distribution of newsletters via electronic and mail distribution, focus groups, and staff meetings. Regardless of the methods chosen, it is recommended that the Business Continuity Manager implement an information and awareness program as soon as possible. Raising awareness achieves and supports numerous overall planning objectives including:

- Gaining consensus
- Obtaining support for future planning initiatives
- Acquiring knowledge of specific continuity issues that may exist amongst organizations
- Identifying gaps in current planning or capabilities
- Establishing priorities of effort
- Reinforcing and promoting the concept of BCP development
- Reinforcing executive management's commitment to the process

Enclosed, as *Part 1 - Annex A*, is a Business Review Survey, designed to raise awareness of business continuity through the use of a questionnaire.

3.4 BCP TEAM ORGANIZATION AND RESPONSIBILITIES

(Step 4)

3.4.1 GENERAL

A business continuity team should have two overarching responsibilities:

- Designing, writing, organizing, exercising and validating the BCP
- Activation and implementing the BCP

A department or organization can have two separate teams to fulfill the above responsibilities; however, factors such as span of control, delegation of responsibility, and continuity, promote the choice of assigning both general functions to the same team.

3.4.2 ORGANIZATIONAL CONSIDERATIONS

The organization of a business continuity team may be based on three general concepts:

- Service based – services provided to citizens and partners
- Resource based – includes systems, personnel and outputs
- Infrastructure based – focuses on specific sites, facilities, and buildings

A service based team will likely prove most effective type of team organization as it is the easiest way of selecting personnel with the expertise to address the organization's essential services. Infrastructure and resources tend to change more frequently than responsibilities.

3.4.2.1 Factors Affecting BCP Organization

Numerous factors will influence the organization of a business continuity team. These factors include, but are not limited to, the following:

- Priority of services at all levels of organization
- Geographic location, dispersion and density of assets
- Diversity of services within a department
- Human and material resource constraints

The diversity and dispersed nature of departments shall determine the organization of each BCP Team within the government. *Part 1 - Figure 3* (page 28) is a general business continuity team organization that can be adopted at departmental, division and branch levels of most organizations.

3.4.2.2 The Centralized Continuity Organization

This model is suited for organizations in which the majority of personnel and infrastructure is concentrated, such as a single office building or series of buildings within close proximity of each other. *Part 1 - Figure 4* (page 29) illustrates a centralized business continuity team.

3.4.2.3 The Decentralized Continuity Organization

This model applies to those departments that are more geographically dispersed. It would be impractical to expect the continuity team to converge on a regular basis if significant distances separate them. This model can also be applied to those departments whose services are significantly diverse. *Part 1 - Figure 5* (page 30) illustrates a decentralized business continuity team organization.

3.4.2.4 External Stakeholders

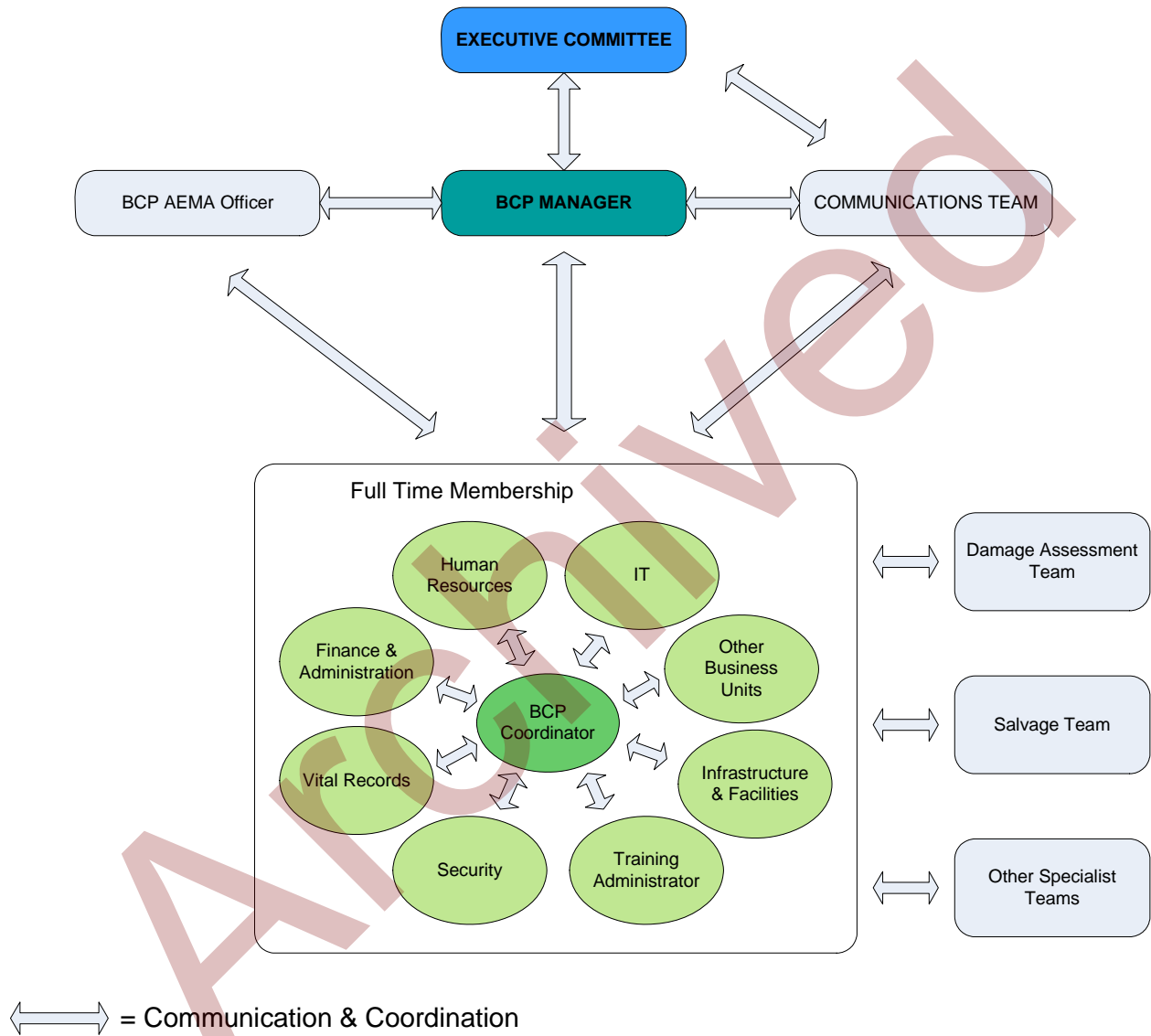
A department may not be capable of conducting business continuity planning in isolation. Coordination should be done with other governmental stakeholders and with external service providers to ensure that they will be able to meet any contractual demands for service. As well, the BCP Team should challenge any assumptions regarding levels of service or availability from non-contractual stakeholders and partners.

3.4.2.5 Shared Infrastructure

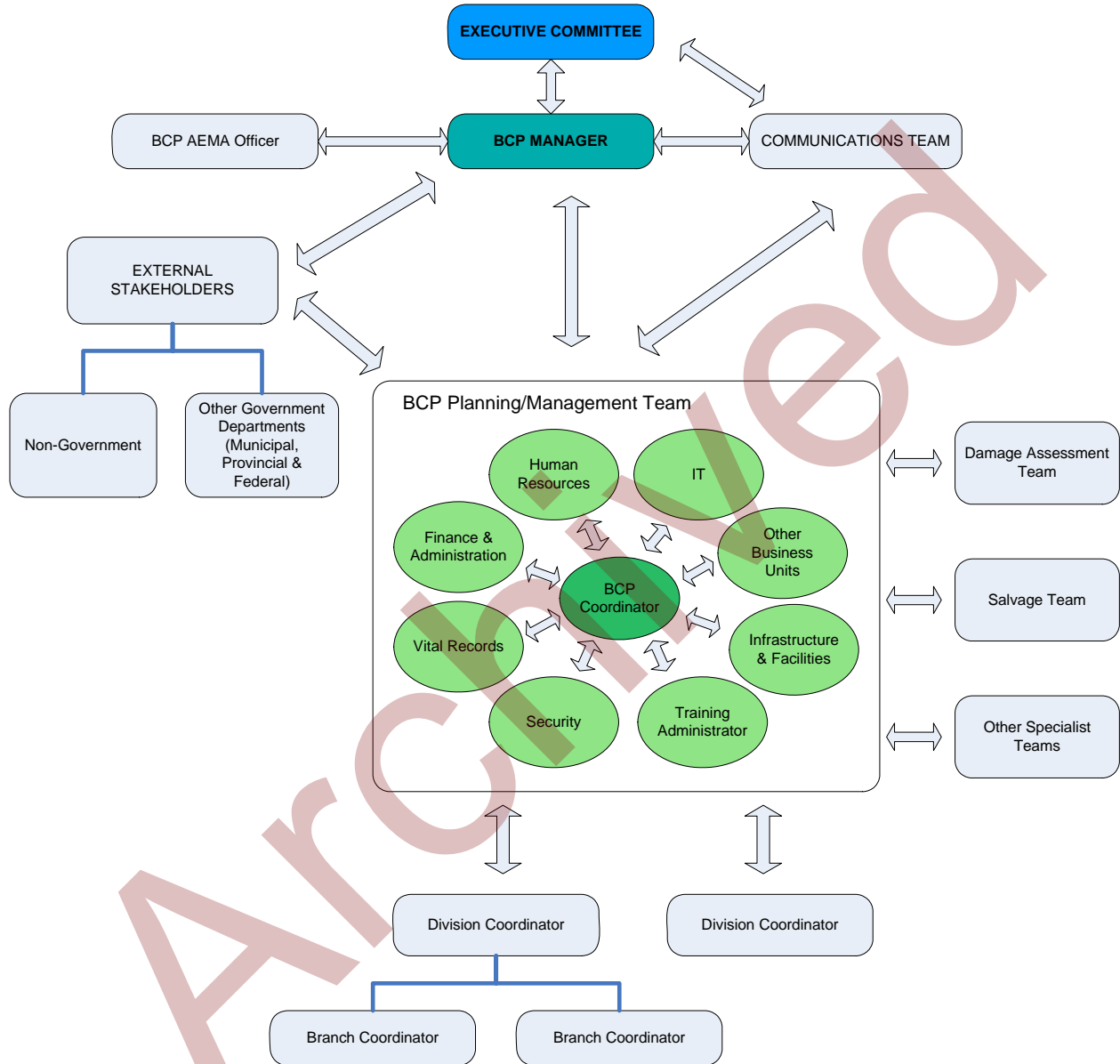
Within the Government of Alberta, there are numerous agencies from different departments that share the same infrastructure and facilities. This may cause significant coordination problems during a business continuity process in determining which agency, at that specific location, takes the lead in assigning resources. The lead agency should be identified in applicable plans.

Archived

BUSINESS CONTINUITY TEAM
Team Structure
(Figure 3)

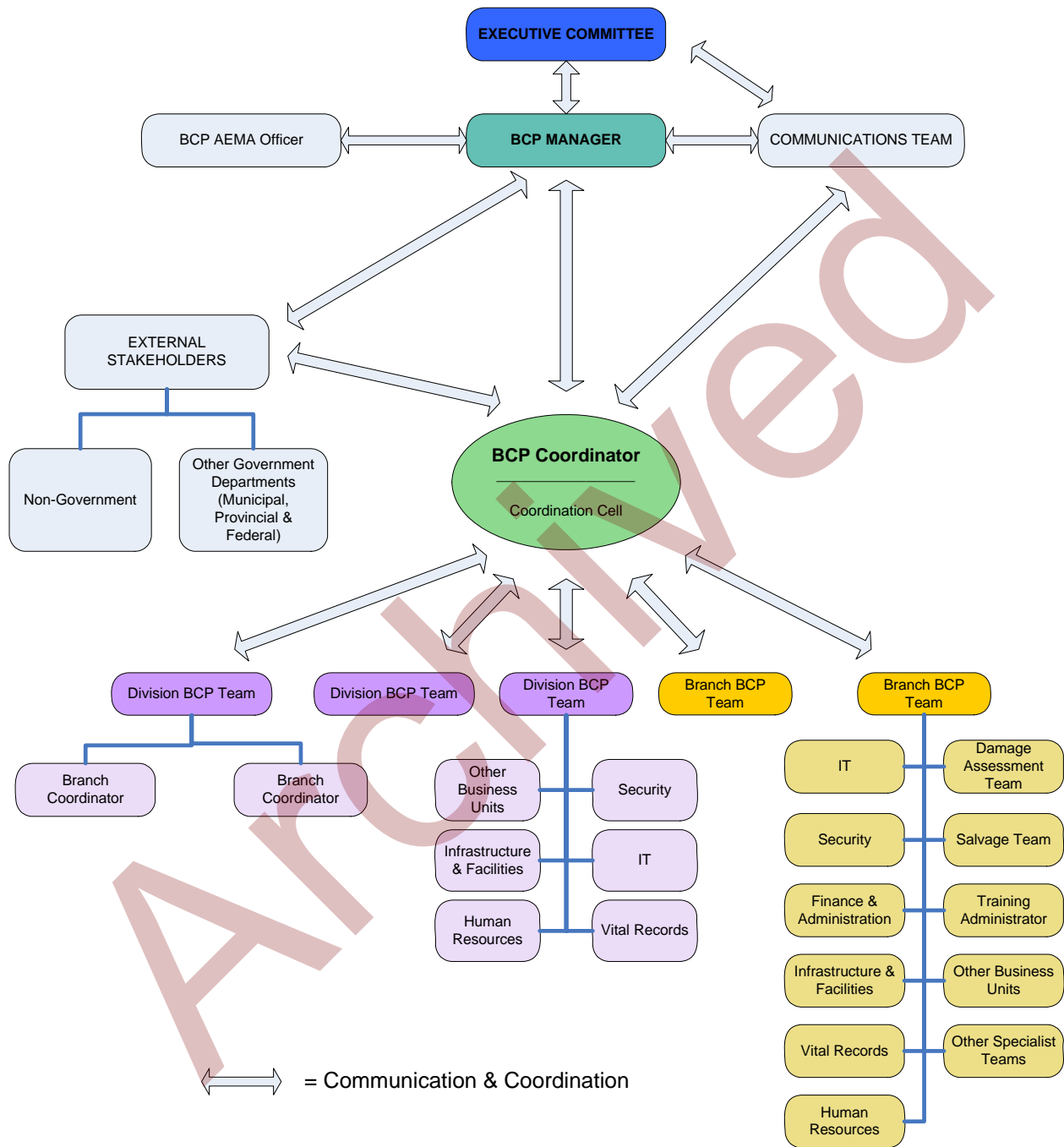


CENTRALIZED ORGANIZATION
BCP Team Structure
(Figure 4)



↔ = Communication & Coordination

DECENTRALIZED ORGANIZATION
Team Structure
(Figure 5)



3.4.3 ORGANIZATIONAL RESPONSIBILITIES

3.4.3.1 General

Departments are responsible to oversee the development and implementation of all BCPs of subsidiary organizations. All organizations within a department are responsible to develop, coordinate, promulgate, exercise and implement their applicable BCPs in accordance with departmental policy. Those organizations, as determined through both direction from, and in consultation with the Departmental Executive Committee and Business Continuity Manager, are responsible for the following:

- Determination of the overall departmental categorization of essential services
- Coordination and production of the department, division, branch and other organizational BCPs
- Selection and training of BCP team members, including alternates
- Coordination of the business continuity activities of subsidiary organizations

Departmental BCP activities can be formalized in three distinct phases; preparatory, during and after. While these phases are generic in nature, they will assist in ensuring that specific duties and responsibilities are considered.

3.4.3.1.1 Phase I – Preparatory

This section describes the major activities the organization should perform to maintain a state of readiness. Note that some of these tasks need only to be performed once, while others may need to be repeated with each BCP update, or after each BCP activation. All tasks should be reviewed for relevance on a regular basis.

- Compile and maintain a detailed list of all physical equipment and supplies required at an alternate site
- Compile and maintain a list of all vital records that may have to be moved, or pre-positioned if threatened by an incident
- Draw up a detailed floor plan of the existing floor space to assist with the move back to the original site
- Keep an up-to-date listing of all home phone and/or cellular phone numbers for all key staff
- Keep an up-to-date listing of all computer applications used by staff (a copy of these programs should be available off-site)
- Produce sufficient copies of all task/assignment checklists for distribution during an actual business interruption
- Ensure that sufficient copies of the BCP are distributed to Senior Management and to the various members of the Business Continuity Team

- Liaise with external department resources to ensure that business continuity planning has been completed and considers the worst possible scenarios

3.4.2.1.2 Phase II – During

The BCP Manager is expected to provide the Executive Committee with regular updates on continuity activities. The timings and frequency for reporting should be predetermined. Initially, reporting does not need to be formal as long as some consistency exists in the reports. However, a more formalized report should be provided before the recovery of normal business. Topics to consider during these updates include the ability of the department to provide its various levels of essential services, any issues that require immediate consideration, issues for consideration after the resumption of normal activities, and progress of restoration and recovery efforts. Types of reports may include:

- A general status report to the Executive Committee, done informally or formally on a regular basis, to respond to, and follow up on any suggestions for improvements that should be conducted or initiated before the next BCP evaluation and update phase
- A report on operations, in accordance with the established priority list, ensuring that they are resumed/continued at an alternate location
- Communications to building management and any other appropriate administrative services regarding facility restoration at the normal site
- Updates to customers and external stakeholders on the status of continuity and recovery operations
- Updates to all personnel within the department, also ensuring through regular feedback, that proper care and treatment is being provided to all employees of the department

3.4.3.1.3 Phase III - After

After an event has been concluded, the following activities are recommended:

- Maintain communications with external stakeholders, including reports describing the achieved levels of normalcy in services
- Return any forwarded phones to their normal numbers; re-record (a reminder may be required) any outgoing messages
- Organize the move of any equipment and files that were used at the alternate site
- Confirm with information technology services and other agencies that the local area network and telecom systems are fully functional
- Ensure that staff understand the timings to vacate the temporary/alternate office and when the permanent office facilities will be fully operational

- Conduct a lessons learned analysis and incorporate plan improvements that are suggested during this process

3.4.3.2 Individual Responsibilities

A brief description of individual responsibilities is provided below. Refer also to *Part 2 - Annex A* for Activity Sheets that further describe individual responsibilities.

3.4.3.2.1 Business Continuity Manager (also Team Manager or Business Continuity Officer)

Senior management should appoint this position. Staff assigned to other emergency management roles should not be assigned the duties of the Business Continuity Manager or the Plan Coordinator; These staff will likely have disaster response tasks, or may need to report to other Emergency Operations Centres (such as the Provincial Government EOC) and may not be available to lead or assist the Business Continuity Team in managing internal impacts.

The Business Continuity Manager is responsible for:

- Leading the Business Continuity Team
- Facilitating planning and forwarding significant decisions to Executive during the creation of the plan
- Liaising with senior management
- Overseeing the activation of the plan
- Managing the Emergency Operations Centre (EOC) for continuity activities during an activation
- Coordinating final BCP activities following an incident
- Leading the lessons learned and after-action reporting processes

3.4.3.2.2 Business Continuity Team Coordinator

The Team Coordinator is responsible for establishing and overseeing the BCP activities of the EOC including:

- Facilitating meetings of the Business Continuity Team
- Locating an EOC and an alternate location for resuming business processes (assuming the regular site is not available)
- Determining the resource requirements for the EOC
- Ensuring that resources required for an EOC are pre-positioned and current if applicable (e.g. hardcopies of plans etc.)

- Providing updates on planning progress, as required, to the Business Continuity Manager
- Coordinating training activities and disseminating information within the organization
- Overseeing exercises and training activities
- Coordinating the annual plan review and completion of appropriate amendments, including the distribution of copies where required

3.4.3.2.3 Security Coordinator

The Security Coordinator arranges for security at the alternate site of operations and at the damaged site in order to meet public safety requirements and to safeguard any remaining resources. Specifically, the security coordinator is responsible for:

- Maintaining of a list of those organizations that can supply security resources or expertise as required
- Developing security plans for both the damaged and new sites of operations
- Establishing a personnel identification system
- Liaising with the Infrastructure and Facilities Coordinator, the BCP Coordinator, and other Emergency Management Officers to implement appropriate security measures

3.4.3.2.4 Infrastructure and Facilities Coordinator

The Infrastructure and Facilities Coordinator establishes a site of operations. Depending on the circumstances surrounding the incident, this may involve clean up and repair of the damaged site or relocation to an alternate site. Specifically, the Infrastructure and Facilities Coordinator is responsible for:

- Overseeing and coordinating the assignment of alternate facilities
- Working with risk management and insurance representatives to ensure damage assessment and salvage operations are aligned with insurance policy requirements
- Locating and maintaining a list of potential alternate sites
- Maintaining a list of building inspectors
- Maintaining a list of reliable and qualified contractors to:
 - Clean up and repair the damaged site to return it to use as quickly as possible

- Make temporary repairs to the damaged facility to ensure that it is secure and to prevent damage from the elements or from theft
- Assist in the establishment of the alternate site

3.4.3.2.5 Human Resources Coordinator

The Human Resources (HR) Coordinator oversees all employee concerns and manages a personnel pool that can be used to meet any special needs caused by the incident.

The HR Coordinator is responsible for:

- Maintaining an up-to-date contact list of all employees
- Maintaining a list of agencies that can supply temporary staff including specialized personnel as required
- Maintaining a list of recently retired staff that could be called upon to support essential services during a human resource shortage
- Developing a system for managing a post event resource pool
- Maintaining a list of sources for workplace health and safety advice and post-incident counseling
- Planning for other anticipated personnel concerns (payroll, daycare, and transportation)
- Maintaining a list of current job descriptions so that unavailable staff can be replaced if necessary
- Reviewing existing HR policies to ensure they are sufficient to deal with human resource issues that may arise as a result of high probability threats

3.4.3.2.6 Information Technology Coordinator

The Information Technology Coordinator is responsible for aspects of information technology within the department, including:

- Maintaining a list of local suppliers for all essential resources
- Maintaining a list of alternate suppliers outside the region for all essential resources
- Maintaining a list of qualified contractors for specialized installations
- Maintaining a list of all current assets and their locations
- Determining resources required to implement BCP
- Providing the guidelines and the framework within which operational areas can plan for continuity/recovery of IT resources tied their specific services

- Working with operational areas to ensure alignment between recovery time objectives for business functions and actual system or application restoration time

3.4.3.2.7 Communications Coordinator

The Communications Coordinator is part of the executive group and works closely with the BCP Coordinator to develop and deliver the appropriate and accurate information to the public. The Communications Coordinator is responsible for:

- Developing an information program plan
- Determining resource requirements for an information package
- Ensuring that the primary and alternate spokespeople have sufficient training to undertake the tasks
- Preparing for crisis communications messaging in advance, particularly for potential disruptions to critical and vital services within their department

3.4.3.2.8 Finance and Administration Coordinator

The Finance and Administration Coordinator authorizes funds in conjunction with the Executive Control Group. The Finance and Administration Coordinator is responsible for:

- Ensuring that appropriate insurance coverage exists
- Maintaining a list of all insurance policies and contacts
- Maintaining a list of current assets for insurance purposes
- Ensuring appropriate personnel are authorized to make emergency expenditures when required

3.4.3.2.9 Equipment and Supplies Coordinator

A large challenge to an EOC is the loss of equipment and supplies required to carry out essential services. Specific items such as furnishings, production equipment, office supplies, availability of utilities, and supporting materials are items the Equipment and Supplies Coordinator and the team will have to consider. Specifically, the Equipment and Supplies Coordinator is responsible for:

- Maintaining a list of local suppliers for all essential resources, including internal contacts for collective resources
- Maintaining a list of alternate suppliers outside of the region that can provide any essential resources

- Working with the BCP Coordinator to maintain lists of minimum material requirements for all critical and vital services
- Liaising with the Infrastructure and Facilities Coordinator
- Working with the Finance and Administration Coordinator to adhere to emergency expenditure and procurement procedures

3.4.3.2.10 Vital Records Coordinator

Existing members of the business continuity team might assume the responsibilities of this position; however, the volume of information and scope of services within the department may require a dedicated representative. Specifically, the Vital Records Coordinator is responsible for:

- Identifying and prioritizing all electronic and paper vital records
- Pre-positioning and transferring (if necessary) vital records to alternate locations
- Maintaining a list of essential personnel involved in vital records control
- Working with operational areas to understand the impact on services due to the loss or destruction of records
- Ensuring appropriate mitigating measures are in place to protect vital records

3.4.3.2.11 Damage Assessment and Salvage Teams

The number of teams required will likely be based on the nature of business of a department and the geographic location of essential facilities. Departments that do not have the requisite expertise in-house should have pre-identified contacts through the subject-matter expert departments or through AEMA.

Working with the Infrastructure and Facilities Coordinator, the Damage Assessment Team will conduct a quick, initial estimate of the situation and report its findings to the EOC. After the assessment has been completed and reported to the EOC, salvage operations can begin as directed by the EOC. Specifically, the Damage Assessment Team is responsible for:

- Coordinating and training its members (usually representatives from various organizations within a department, division, and branch)
- Preparing an Incident Response Kit to include tags that identify equipment by status (readily useable, minor repairs required, major repairs required, useable, etc.)
- Developing and maintaining a list of contractors who specialize in damage assessment and salvage

- Developing and maintaining a list of contractors who can repair or replace damaged resources
- Liaising with emergency officials and property managers to ensure their understanding of the duties and services of the damage assessment team
- Identifying exactly what facilities, equipment ,resources and vital records need to be assessed and recovered
- Ensuring that the recovery of resources prescribes to the guidelines prescribed by insurance policies held by the Government and policies for the preservation of vital records
- Coordinating aspects of site access with first responder agencies as necessary

3.5 PLAN DEVELOPMENT AND TIMETABLE

(Step 5)

The justification and authority for developing a BCP has been articulated, both in this guide and in legislation. The creation of an effective plan will require a development schedule. The Business Continuity Manager must first and foremost consider the overall requirements of the department in the selection of members of the Business Continuity Team. Representation from all the departmental services is critical to ensuring that the plan can be developed in sufficient detail to ensure all aspects of the department's operations are considered.

Once the departmental team has been created, they must become aware of the processes involved in business continuity planning, their respective responsibilities and tasks, and then be provided with appropriate training. Concurrently, a schedule of activities (including time for liaison and coordination with the various sections/branches/divisions/sectors within the department to obtain their feedback on the categorization and prioritization of services that they provide) should be developed.

Business continuity teams should convene on a regular basis to provide an update on the progress of the respective Team members, facilitate discussion, and to review the process for completion of the BCP. The schedule of meetings can be determined by considering the following items: deadlines imposed by Senior Management, current progress, work schedules of Team members, and other departmental priorities. Sufficient time must also be allocated to ensure that the plan can be properly reviewed, amended, consolidated and distributed.

Plan developers must also remember that this is a work in progress. Members of the BCP Team should meet regularly based on training requirements, exercise and validation timings and maintenance procedures. Consideration must also be taken to providing training for all members of the department.

Enclosed as *Part 1 - Annex B* is a recommended Plan Development Checklist, designed to assist the Business Continuity Manager and Coordinator in identifying essential steps in the overall business continuity planning process.

3.5.1 PLAN DESIGN AND CONSTRUCTION

Recommended plan layout and organization options include, but are not limited to:

- The complete departmental plan in one document based only on department priorities
- A plan based primarily on subsidiary BCPs with an introduction that links them together
- A departmental plan with executive summaries of all subsidiary plans included

The third option is recommended (a detailed template of this type of layout provided as Part 2 of the *Business Continuity Guide*). Although the template has been recognized as an optimum model, adjustments may have to be made by each department. The various sections of the template include:

- Vital administrative information
- Policy statement, a glossary, the BCP team and detailed contact information for team members
- Detailed risk analysis
- Business impact analysis and the categorized and prioritized summary of all services, and worksheets for each service detailing the minimum resources required for maintaining continuity
- Assessment of resumption activities that will lead the department to re-establishing critical and vital services as quickly as possible when continuity is not possible
- Executive summaries of all the sub-departmental level plans be they division, branch or smaller
- Training concepts that describe specifically what will be conducted within a department including instructions on maintenance and currency of the plan
- Validation and exercise concepts to ensure that the plan remains relevant and effective.

The template is designed to focus on information at the departmental level allowing the departmental plan to be a single document for the office and/or at home. However one section should include reference to division, branch or lower organizational level plans. Given that many of the lower level plans may be extensive, entire subsidiary plans need

not be included but an executive summary of each subsidiary plan should suffice. The following information on the subsidiary plans should be included:

- Vital information relevant to the subsidiary level
- Subordinate level business continuity team contact information and responsibilities
- Key risk assessment deductions
- The business impact analysis worksheets for critical and vital services
- The intended activation process including intended priority of effort and an explanation of the overall continuity concept
- Specific training schedules and a copy of the progressive exercise and validation plan
- Maintenance schedules and update responsibilities

3.5.2 PLAN COMMUNICATION AND DISSEMINATION

Elements of the plan should be distributed for review by as many departmental, division and branch staff as possible. Although this process will initially slow the production schedule, overall, time and resources will be saved as a result of the input of the various fields of expertise within your organization.

The completed and approved BCP should be communicated to all applicable staff. Options for plan dissemination could include the following mediums:

- Staff information briefings
- Electronic newsletters or internal websites (with proper consideration given to removing confidential information such as personal phone numbers)
- Training or orientation sessions

Regardless of the medium chosen to communicate elements of the BCP, this activity should be incorporated into the overall, ongoing training plan.

Consideration should also be given to the extent of dissemination of the BCP. All necessary participants will require a copy; however, the number of distributed copies of the BCP will influence the maintenance plan, particularly the requirement to distribute amendments. To ensure only current copies are in circulation, it is recommended that previous copies be recalled by the Business Continuity Coordinator for disposition.

Copies of the BCP should be secured at different locations.

3.6 CATEGORIZATION AND PRIORITIZATION OF SERVICES

(Step 6)

The key to successful business continuity planning includes the ability to define the essential business services of an organization. The primacy of critical services should influence all aspects of continuity planning and management. Critical services may be contained in a department's mission statement and goals (usually found in business and emergency plans) and may also be legislated.

Services must be identified at all organizational levels. Essential services, broken down into four categories, critical, vital, necessary and desired, will exist at all levels. The responsibility of determining departmental level essential services ultimately remains at the most senior level of the department.

3.6.1 SERVICE CATEGORIES

3.6.1.1 Critical

Critical services are services that must be provided immediately or the loss of life, infrastructure destruction, loss of confidence in the government, and significant loss of revenue will result. These services normally require continuity within 24 hours of interruption.

3.6.1.2 Vital

Vital services are those services that must be provided within 72 hours or loss of life, infrastructure destruction, loss of confidence in the government, and significant loss of revenue or disproportionate recovery costs will result.

3.6.1.3 Necessary

Necessary services must be resumed within two weeks or considerable loss, further destruction or disproportionate recovery costs could result.

3.6.1.4 Desired

Desired services could be delayed for two weeks or longer, but are required in order to return to normal operating conditions and alleviate further disruption or disturbance to normal conditions.

3.6.2 INTERRUPTION IMPACT FACTORS

This list represents the potential organizational impact as a result of the interruption of essential government services. It is not intended to be exhaustive and should be amended and prioritized by each department to reflect the specific nature of their responsibilities.

- Loss of life or unacceptable threat to human safety
- Disruption of essential services (to stakeholders e.g. public, other government departments, municipal governments or non-government organizations)
- Significant damage to or total loss of infrastructure
- Significant loss of revenue
- Significant loss of public funds
- Disproportionate recovery costs
- Loss of public confidence
- Loss of vital records
- Loss of expertise
- Loss of national or international confidence
- Disruption of obligations to employees

Enclosed, as *Part 1 - Annex C* is a Departmental Services Categorization Sheet. It can be used to review the essential services of a department. The enclosed format considers departmental essential services in four categories: *critical, vital, necessary and desired*. It measures departmental services by comparing an impact continuum of interruption against a time continuum. This format is generic, acknowledging the diverse nature of the various departments' services. Other essential services assessment models exist that may be more suited to a department or organization. The enclosed format is intended as an example of possible models that could be used in this important step in the business continuity planning process.

Once the services are categorized, they should be prioritized within each category. This will establish the order in which they must be restored and the maximum time allowed for the restorations. Should insufficient resources exist to restore all services within a category; the detailed prioritization will pre-determine the limited services a department must be capable of restoring.

3.6.3 FACTORS IN PRIORITIZING SERVICES

Additional factors that may be considered in prioritizing services within a category may include (in no particular order):

- Immediate external obligations
- Immediate internal obligations
- Communication demands (including responsibilities of key personnel)
- Dependencies on other departments, service providers or agencies

- Contractual obligations and liabilities
- First response obligations
- Length of time each of the services remains disrupted
- Access to essential information
- Minimum manpower required to accomplish the service (Who? How many? When? Where?)

Categorizing and prioritizing the services will ensure that a department is well prepared to carry out the key components of the BCP.

A helpful component of the categorization and prioritization process is to summarize the findings into a single, simple list. *Part 1 - Annex D* is an example of a Departmental Services Summary.

3.7 THE RISK ASSESSMENT (Step 7)

The risk assessment process will enable all organizations to identify and minimize the exposures to certain threats that they may face. It will help identify the hazards that can cause the most significant damage or loss, the nature of damages and whether anything can be done to reduce the impacts of those hazards.

When considering risks, the specifics of the event are important only in that they will help determine the severity and extent of the disruption. The BCP must focus on how the department will cope with that disruption. This document provides some planning tools and a guideline for business continuity teams to use for risk assessment in the development of the departmental BCPs.

A BCP should be effective regardless of the nature of the hazard or disaster that has affected the organization. While a formalized Risk Assessment process is not essential for the creation of a plan, it has been included in the BCP process in order for BCP Coordinators to better understand the types and degrees of risk that their organization may face.

The objectives of this risk assessment are to:

- Identify the various risks faced by an organization
- Identify the requirements of an organization to resume or continue its services
- Identify the general impact from each risk to the organization
- Estimate the costs to the organization in establishing effective controls to reduce risk

- Establish priorities to address identified risks

3.7.1 RISKS DEFINED

For the purpose of this guide, risk is defined as the probability or likelihood of occurrence of a hazardous event of defined consequences, e.g. '**probability of x destroying y**'.

The risk assessment guidelines proposed are not intended to provide a quantitative value to the ranking of the risk faced by the organization. They are designed to provide an organization with a systematic method of considering the various risk factors and identifying the steps to reduce the level of risk associated with each of the factors. An alternate method is to use a numerical rating to assess each of the potential hazards or risks that may impact on the Department. Using a scale of 1 to 5 (with 1 representing the lowest probability and 5 the highest probability), those conducting the Risk Assessment can quantify the assessment of each threat. A numerical assessment may assist in identifying and prioritizing the risks facing the organization.

3.7.2 IDENTIFY THE RISKS

The first step in the risk assessment process is to identify the hazards that could impact the organization. A proposed list of the more common hazards present in Alberta has been included on the *Risk Assessment Worksheet* presented in *Part 1 - Annex E*. This list is not all-inclusive and organizations are encouraged to identify other potential hazards that may have an impact. As a best practice, the risk assessment should be reviewed annually to ensure it reflects emerging threats.

3.7.3 EVALUATE THE RISKS

The Risk Assessment Worksheet (found in *Annex E*) covers four specific areas: probability, safety, resources and services. It is recommended that each hazard, under its respective area, be rated as **low (1 to 2), medium (3) or high (4 to 5)**.

3.7.3.1 Probability

Probability is the relative frequency with which an event is likely to occur in sufficient proximity to the organization. Probability can be determined by using historical evidence or best estimate. Some of the hazards, particularly human hazards, may be very difficult to anticipate. Items to consider include geographic location, topography of the local area, proximity to power sources, water bodies, airports, degree of accessibility to your organization, history of the area to natural threats, and proximity to major highways or other transportation corridors utilized during the transport of hazardous waste or combustible products.

Probability can be measured with the following frequency scale:

- *Low* – probability of occurrence: no more than once every 5 years

- *Medium* – probability of occurrence: between 3 to 5 years
- *High* – probability of occurrence: within 1 to 3 years

3.7.3.2 Safety

The threat to safety from the hazard to personnel or clients can be measured in terms of impact on individuals and groups as follows:

- *Low* – Hazard unlikely to kill or injure
- *Medium* – Hazard likely to cause possible injury or possibly death
- *High* – Hazard likely to cause many injuries and some fatalities

3.7.3.3 Resources

The threat to resources (other than personnel) includes the potential for property loss and damage and the contractual and other legal obligations that must be met.

- *Low* – No or minimal damage to a few resources
- *Medium* – Moderate damage to most resources
- *High* – Most or all resources are seriously damaged or destroyed

3.7.3.4 Services

Consider the effects that the hazard may have on the business services, excluding the impact on resources or safety. These will likely fall into two categories:

3.7.3.4.1 External Effects:

External effects are the impacts on services to the surrounding region caused by hazardous events or incidents (e.g. transportation system has been interrupted which will have an impact on supply acquisition and delivery). External resources may not be able to respond to this emergency as they may have priority areas to serve. Also, an external effect that results in a provincial response being coordinated through the Government Emergency Operations Centre (GEOC) may drive priorities for recovery internally.

3.7.3.4.2 Internal Effects:

Internal effects are impacts on services at specific work locations, without damage to resources or personnel safety (e.g. computer virus).

Both internal and external effects can be measured as follows:

- *Low* – Negligible to minor disruption: short periodic delays to services
- *Medium* – Moderate disruption: loss of service for several days
- *High* – Major disruption: isolation from critical inputs or outputs for days or weeks

If a department has more than one facility, a risk assessment should be done for each location. In addition, a risk assessment should be done at the operational department, division and branch levels to ensure complete coverage.

The Risk Assessment Worksheet (example found in *Annex E*) provides the BCP Team with the opportunity to carefully and critically examine the threat potential within each member's respective area. Through this process; the team members will be able to assess each of the department's critical services against the likelihood of a threat impacting these services. The completion of a Risk Assessment Worksheet will not guarantee the successful completion of a departmental BCP, but is an important step towards its effectiveness.

3.8 THE BUSINESS CONTINUITY PLAN

(Step 8)

3.8.1 VITAL INFORMATION

For successful activation and implementation of the BCP:

- Identify the departmental Business Continuity Manager and Coordinator, including contact information and the identification of alternates
- Outline activation sequence of events (this can be a simple graphic description with explanation or a flow chart)
- List activation criteria
- List succession of key appointments of authority
- Identify location of BCPs
- Identify location of Departmental EOC (and contact information associated with it)

This information should be placed at the front of your plan. As part of your plan maintenance schedule, this part is the most critical in terms of accuracy.

3.8.2 THE BUSINESS IMPACT ANALYSIS

3.8.2.1 General

The business impact analysis is the process of confirming the order in which essential services should be resumed and what resources are required to facilitate their continuity and/or resumption. Alternatively, it can also be used to determine which services can be shut down temporarily in order to focus resources on the critical and vital business processes.

3.8.2.2 Assumptions

Assumptions should be listed early to establish the framework for the Business Impact Analysis and the planning team. Assumptions should be strictly controlled and substantiated by documentary proof (i.e. historical statistics, a copy of a directive letter or memorandum of agreement/understanding denoting that a specific responsibility is handled by another agency).

3.8.2.3 Services

A component of the impact analysis process is the categorization and prioritization of all business services down to the lowest operational impact, an exercise completed at Step 6 (section 3.6 of this guide)

A Business Impact Analysis Services Worksheet is included at *Part 1 - Annex F* to assist with the process of impact analysis.

It is recommended that the BCP Team, or other selected members of the department, determine the minimum level of performance required to reasonably restore each service. A short statement describing the minimum standards should be added to the worksheet including:

- Minimum infrastructure requirements (buildings/offices)
- Minimum communication equipment requirements
- Minimum office support equipment requirements (furniture, computer hardware, software, networks, and databases)
- Minimum information and research material
- Personnel requirements (identify specific individuals and special skills or training required to support the critical and essential services only)
- Minimum transportation requirements (if any)
- Any other requirements necessary to resume the service

Once complete, each service should be summarized on each worksheet. The worksheets may prove to be a useful tool in conducting reviews of your department's services throughout your BCP process.

Detailed knowledge of each service is essential when conducting a business impact analysis. The Business Continuity Team may choose to disseminate the service worksheets to various levels of the department's organizations to ensure they include expert knowledge. The BCP team should subsequently review each worksheet for consistency and relativity to the category and priority assigned to the service.

In the event of a disruption, a study of the worksheets will determine any duplication of resource requirements and assist the department in the continuity process. This review of the worksheets will assist in prioritizing and assigning scarce resources.

Generally, an effective business impact analysis allows business continuity planners to commit resources to the who, what, where, and when questions. It initiates a prioritization process that requires significant consideration and decisions regarding resource allocation.

3.8.3 IDENTIFY CONTINUITY ACTIVITIES

In order to identify continuity activities, the BCP Team must first identify the administrative actions of restoring critical services. Considerations for continuity/recovery activities include:

- The lead agency, including individual responsibility, assigned to the activity
- The various department, division and branch requirements
- The internal resource requirements
- The external resource requirements
- The time needed to acquire and initiate a specific activity
- The cost of all necessary resources
- Any deficiencies in resources, time, personnel

3.8.3.1 Vital Records

It is likely that most, if not all, organizations will need a method to recover vital records during an interruption. In most cases, back-ups for vital computer databases already exist, as does the ability to transfer these records when required. Recovery of vital documents must be prioritized to ensure that the records that support critical services are retrieved first.

3.8.3.1.1 Vital Records Policy

A vital records policy, if not already in place, should be established to ensure clear guidelines exist for the management of information. Without determining priorities of information, organizations can be flooded by data. A vital records policy should mirror an organization's critical services. If records classified as vital do not directly support an organization's critical services, their value to the continuity process should be questioned.

Some general considerations that apply to vital records management include:

- Vital records and back-ups should be separated from other data to ensure a simpler and quicker retrieval process
- Vital record back-ups should be stored at alternate locations
- Access to vital records should be 24 hours a day
- Lists of who may access and retrieve vital records should exist in multiple copies and locations (the Vital Records Coordinator should manage these lists)
- All applicable personnel should know their individual responsibilities with respect to the identification, review, storage and retrieval of vital records
- Contracts or agreements with restorative or conservatory service providers for vital records services should be considered

An essential element of your vital records plan should include a continuous review process, to ensure records retain relevance and through constant use, information remains accessible and does not go missing from essential files.

Enclosed, as *Part 1 - Annex G* is a Vital Records Summary Sheet which can assist business continuity teams in identifying and coordinating vital records for the recovery process.

3.8.3.2 Security

Organizations must have security awareness regardless of the impact of the incident. In general terms, security considerations should be organized into two broad categories: pre-incident preparedness and post-incident response.

3.8.3.2.1 Pre-interruption Preparedness

The BCP Team should review the current security of their facilities. Points to consider include:

- aspects of accessibility (both during hours of operations and after hours)

- any physical security measures that have been implemented (card access, security cameras, electronic security measures to safeguard data files, use of security personnel)
- availability of local emergency services (fire, police, medical)
- frequency of inspections and surveys to validate existing security measures
- measures to increase and enhance security

3.8.3.2.2 Post-interruption Response

Once the BC plan has been activated, the BCP Team will need to consider the following:

- security measures of the alternate site(s) (location, access, transport, awareness, surveillance, police presence)
- increased security measures at the existing site (if still available, done in conjunction with the Properties Manager/Owner)
- security of communications systems at the alternate site
- security and retrieval of information that may still be located at the old site,
- media relations
- availability of emergency services
- liaison with other building occupants
- security of workers

3.8.3.3 Establishing an Alternate Business Site

An organization may need to relocate to carry out its continuity process, including the reinstatement of critical services. All organizational levels must have designated alternate places of business included in their BCP. When identifying an efficient layout, planning should account for the organizations that would work at the alternate site. Generic floor plans can be prepared to reflect the layout of organizations, regardless of the nature of facility to be occupied.

When considering an alternate worksite, it is important to identify in advance not only a specific location or locations, but whether they will provide the minimum requirements in the following areas:

- Sufficient floor space (the alternate site need only house staff identified to resume essential services)
- Physical security
- Adequate communications infrastructure (telephone lines and effective cellular coverage should be confirmed as part of the selection process)

- Access to, or storing of vital records
- Employee needs (parking, eating and hygienic facilities)
- If the alternate site is to be shared with other agencies, coordination of any shared resources
- Alternate worksite notification procedures for all applicable stakeholders

In some cases, an organization may be unable to establish an alternate business site prior to a disruption of services. As a minimum, the organization should pre-identify and document the minimum resource requirements (including how they will be obtained) for any alternate site.

In case both the normal and alternate business sites are not available, a third location should be considered. The loss of an alternate site could likely be as a result of geographic influences therefore as a general rule, the third location should be further away from the normal worksite and the alternate site.

3.8.3.4 Prioritizing Continuity Activities

BCP activities will need to be identified and prioritized to form the basis of the action plan. Refer to *Part 1 - Annex H* for an example of a Business Continuity Activities Summary.

3.9 BUSINESS CONTINUITY MANAGEMENT PROTOCOLS (Step 9)

3.9.1 PLAN ACTIVATION CONSIDERATIONS

3.9.1.1 General

Significant consideration must be committed to the decision to activate a BCP, particularly at the departmental level. Senior management should consider the risks inherent with the delay of activation, and conversely, the precipitated activation of a BCP.

3.9.1.2 Activation

First alert procedures are imperative to convene the BCP team and initiate business continuity activities. These procedures must be clear, simple and easy to locate in the plan in order to facilitate an organized response in any situation. Planners must remember that a crisis may take place during or outside working hours. Factors such as the identification of a suitable convening location and modes of transportation to that location should also be considered. Will the initial gathering site ultimately become the EOC?

Enclosed, as *Part 1 - Annex I*, is a suggested Activation Flowchart.

Individuals involved in activation will require the following information for their initial duties:

- Confirmation of incident
- Whether the activation is real or an exercise
- Where the activated persons are to meet
- When the activated persons are to meet
- Information flow (who informs who and when)

3.9.1.3 Initial Briefing

At the first sign of activation, the BCP Team must be briefed. The telephone is often the first consideration; however, in the event of a crisis, office phones may no longer exist and cellular systems may be overwhelmed with emergency response communications. Managers can ensure redundancy by pre-selecting, in priority, two or three potential assembly sites. By assembling, all members of the BCP Team will receive the same information and have a clear understanding of the assigned tasks.

Once assembled, the BCP Team must be informed of:

- A summary of the incident as it is currently known
- The potential for activation and any guidance provided to the Team Manager by the Executive Committee
- Where and when the BCP Team is to subsequently meet
- The location of the EOC (if already identified)
- Who should be informed of service disruption within the department, in other departments or external to the government
- The identification of tasks to be completed (e.g. accommodation tasks, EOC set up, liaison with the emergency response, communications support, etc...)
- Which sub-teams/specialist teams should be formed prior to the next meeting
- Any additional information requirements

If a decision to activate the BCP has yet to be taken, the team may be limited to gathering information and determining an EOC location in the event that the BCP is activated.

3.9.1.4 Succession List

A serious interruption of services may have a significant impact on the cohesion and effectiveness of senior and executive personnel. Loss of life, poor communications and displacement of key decision makers may result. In addition key personnel may become geographically disposed, without effective communications or transportation. Lists of succession are essential to the activation process. Included in these lists should be primary and alternate decision-makers. In addition, a policy should exist to outline the criteria and scope of responsibility for the available senior manager to initiate the activation and implementation of BCPs as required.

3.9.1.5 Continuity Activation and Implementation Considerations

3.9.1.5.1 Availability and Effectiveness of Employees

Consideration must be given to the availability of personnel during a continuity situation. Unionized workers may need to be negotiated to ensure key personnel are available as their conditions of employment may change as a result of the activation of the BCP. Some employees may be reluctant to work in different geographic locations or under certain conditions that are not part of collective agreements. Conversely, some employees may be designated as “non-essential” during a continuity process, despite being salaried staff. This may have a significant impact on financial forecasting.

Based on the nature of the interruption and any associated unnatural and possibly shocking conditions, government employees may experience varying degrees of trauma. All employees, including managers, will react differently under intense emotional and physical duress. Managers should anticipate varied employee reactions to an incident, including shock, unpredictable behavior, negative interpersonal relations, depression and lack of focus.

The three most effective strategies for countering declining performance amongst employees during an emergency or disaster situation are: conducting realistic BCP exercises, effective personnel assistance programs, and, if necessary, appropriate personnel replacement plans.

3.9.1.5.2 Personnel Assistance Programs

Human Resources staff will be required to provide professional assistance to employees and their families in the face of potentially traumatic conditions that may exist as a result of an emergency or disaster that impacts the government. Specific consideration should be given to those employees who may be deemed non-essential during the continuity process. Assistance could include the following:

- Awareness programs

- Telephone hot-lines and information updates
- Counseling tailored to the nature and impact of the incident
- Additional activities to get employees involved including blood donations, disaster assistance, or collection drives

The need for family support programs should not be overlooked during the continuity process. Families of employees can help or hinder the overall continuity process, often influenced by the level of support they receive and in turn, offer the individual government employee.

Regardless of the types of assistance programs that are initiated by your organization, the underlying result of employee assistance will have a direct impact on the long-term bonds that develop between employees and employers.

Consideration should also be given to the staff working in the EOC during a plan activation. They will require similar support and should be made aware of existing support services.

3.9.1.5.3 Damage Assessment and Salvage Activities

Important decisions will have to be made early in the continuity process regarding damage assessment and salvage activities. The Business Continuity Manager should consider the following:

- The composition of the team(s) to provide expertise, accurate assessments and recommendations
- The availability of the teams (designated and available from within your organization or from external resources)
- The equipment and training of the damage assessment and salvage teams
- The scope of the team (what they are to assess and recover)
- The policies related to both insurance and vital records that may impact or influence the activities of this team

3.9.1.6 Communications Plan

For the purpose of business continuity, communication refers to public relations and dissemination of information, both internal and external to a department or organization. Considerations should include:

- Date or time of the first public information release

- Mechanisms for facilitating employee communications particularly if they are displaced as a result of an event impacting their normal work location
- Activation of an advisory prioritization list
- Key partners' knowledge of the designated primary and alternate means of communication, particularly if they require an exchange of significant volumes of data

3.9.1.7 Inter-departmental Coordination

Inter-departmental coordination will be more important to some ministries than others based on interdependencies. The services of some departments may have a direct effect on others; a disruption of service for one department could have a devastating effect on services provided by another department. If telephone systems exist, the problem is reduced to continuing or establishing a communications routine with other departments. If normal communication systems are not available, liaison staff may have to be considered. Arrangements should be pre-established and documented in the plan. Liaison can be provided by the department in crisis, the department that normally provides the service, the receiver or all three.

Some departments share facilities and allocation of personnel or equipment. This will precipitate the need to warn other departments of any disruption issues so that they can make alternative arrangements for themselves. The team responsible for cross-government business continuity (currently referred to as the Cross-Government Coordination Team or CGCT) can assist with issues impacting multiple departments. Exercising these arrangements can be extremely beneficial and an excellent start in a progressive validation program.

3.9.1.8 External Coordination

Some departments have interdependencies with non-government agencies. It is, therefore, imperative that alternative arrangements be considered in advance. Communication will be essential. If telephones are not available, messages may have to be passed by courier or through liaison. Supported agencies will need to be warned of a disruption to give them a chance to find an alternative service provider. In the case of support to a department (food services, mail and transportation), delivery and disposal will have to be adjusted based on the extent of the crisis.

Coordinating potential contingencies with external agencies by the provision of an unclassified copy of the plan is an excellent starting point. This may also encourage the external agency to create its own BCP to ensure that a service disruption on their part is kept to a minimum. Exercising these contingencies can be relatively simple and

extremely beneficial to both parties. Business continuity teams may wish to retain a list of priority external contacts.

3.10 DEPARTMENTAL BUSINESS CONTINUITY TRAINING (Step 10)

To support the business continuity planning and management processes, training should be considered in two categories:

- Training the Business Continuity Team
- Ongoing training

Training is discussed in detail in Part 3 – Training.

3.11 CONTINUITY PLAN MAINTENANCE (Step 11)

3.11.1 MAINTENANCE RESPONSIBILITIES

The responsibility for the maintenance of a completed BCP lies with the Business Continuity Manager and Coordinator.

3.11.2 CONTROL MEASURES

These measures may include the following:

- Distribution lists
- Designated writing teams
- Records of amendment

3.11.3 DISTRIBUTION OF COPIES OF THE BCP

The BCP should include a distribution list. All external partners, including appropriate government departments and non-government organizations should have a copy of the plan unless any confidential material contained precludes it.

Authorization to retain copies of the BCP at individuals homes may also be an appropriate consideration, allowing for more effective activation and implementation of BCPs should an interruption occur after hours or access to primary or alternate business sites be denied.

3.11.4 MAINTENANCE SCHEDULES

As part of the BCP, a maintenance schedule should designate regularly scheduled meetings to review changes and determine priorities.

Surveying end users can be an effective way to maintain the plan. By requesting subsidiary organizations to review and comment on the departmental BCP, Business Continuity Managers and Coordinators will gain valuable information that will assist in the evolution of a BCP.

Enclosed, as *Part 1 - Annex J* is a sample questionnaire (Business Continuity Plan Survey) that may be used to gain employee feedback regarding aspects of a BCP.

3.12 CONTINUITY PLAN EXERCISING AND VALIDATION

(Step 12)

The best way to ensure that a BCP is effective is to test it. An exercising and validation process must be incorporated into the business continuity planning process to ensure all elements of a BCP can effectively contribute to the continuity of essential services.

An effective exercising and validation program should:

- Determine exercise objectives
- Establish exercising policies and guidelines
- Determine a minimum level of exercising
- Establish an exercise methodology
- Specify levels of exercises, e.g. the number of and extent to which organizations are scheduled to participate
- Identify a progression process
- Include an exercise schedule
- Determine and implement post-exercise reporting
- Establish an after-action process
- Implement a lessons learned process
- Develop a change management process to account for lessons learned

Detailed guidelines on BCP exercising and validation can be found in *Part 4 – Exercising and Validating the BCP*.

4. SUPPORTING KNOWLEDGE

4.1 GLOSSARY OF TERMS

(Attached as *Part 1 - Annex K*)

4.2 LIST OF ACRONYMS

(Attached as *Part 1 - Annex L*)

4.3 RECOMMENDED REFERENCES

Numerous resources exist to assist the Business Continuity Team and Coordinator in their plan development. The following list provides some of the general information sources and assistance that are available:

- Departmental Business Continuity Planning Team
- Departmental Staff
- AEMA – Business Continuity Planning Section
- Cross Government Coordination Team (team responsible for overall Government Continuity)
- Other Government Partners
- Non-Government Agencies
- External Partners
- Consultants
- Commercial Resources

Internet Related references that are also available include:

- Emergency Management Alberta,
http://www.municipalaffairs.gov.ab.ca/ema_index.htm
- Business Continuity,
http://www.municipalaffairs.gov.ab.ca/ema_bus_continuity.htm
- The Alberta Emergency Plan,
http://www.municipalaffairs.gov.ab.ca/ema_aep.htm
- The Disaster Services Act,
http://www.qp.gov.ab.ca/documents/Acts/D13.cfm?frm_isbn=0779747240
- Security – Business Continuity Planning, Government of Canada, Treasury Board of Canada Secretariat

- Business Continuity Planning: A Guide, Government of Canada, Office of Critical Infrastructure Protection and Emergency Preparedness, October 1995
- Government of Saskatchewan Business Continuity Guide, <http://www.src.sk.ca/html/sustainability/buscon/index.cfm>
- Business Continuity Planning – A Development Guide, Manitoba Emergency Measures Organization, Second Edition, April 1996
- Disaster Recovery Journal, www.drj.com
- www.globalcontinuity.com
- Disaster Recovery Institute of Canada, www.dricanada.ca
- Disaster Recovery Information Exchange, www.drie.org
- The Business Continuity Institute, www.thebci.org

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PART 1
ANNEXES

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ANNEX A BUSINESS REVIEW SURVEY (MODEL)

Purpose

The following survey may be used in conjunction with other Business Continuity Plan tools to help identify concerns at all levels with respect to the continuity of services in the event of a disruption. A disruption may take place as a result of any number of incidents. This questionnaire is not designed to be a risk assessment but will assist the Business Continuity Planner in determining the vital resources required to provide a service. This tool may also help determine which services should have priority, which services will be the most difficult to resume, the minimum resources required to resume a service, and an indication of the timeline in which it should be accomplished. This survey is generic and can be amended to satisfy a department's information needs.

General Information

1. Name of the office: _____

2. Office location: _____

3. Services provided:

- _____
- _____
- _____
- _____
- _____
- _____
- _____
- _____
- _____
- _____
- _____
- _____

4. What is the average daily service volume in terms of public served, data processed, and transactions?

5. Does your office have peak times or other time critical issues? If so, what service, what times and how much traffic?

Confidence Factors

Circle the appropriate number that represents the level of confidence you have in the following characteristics (1 – low level of confidence; 5 – high level of confidence):

1. In the event of an incident, you can provide your services, in the short term, without IT support. (1 2 3 4 5)
2. You have adequate human resources available to perform services in an emergency situation. (1 2 3 4 5)
3. There is sufficient cross training within your staff to facilitate back up in any situation. (1 2 3 4 5)
4. The staff in your area have received sufficient business continuity training to understand the department's plan and their individual responsibilities. (1 2 3 4 5)
5. The private sector contractors which provide you with supplies and services are aware of what must be done in terms of alternative methods of delivery in the event of a disruption. (1 2 3 4 5)
6. Clear leadership responsibility and organization are present at appropriate levels within your group to ensure proper direction and corrective actions are taken in the event of a disruption. (1 2 3 4 5)
7. Vital records (system data and hard copy files) are sufficiently maintained and backed up to ensure their protection and availability in the event of a disruption. (1 2 3 4 5)
8. You know where you and your group physically report if your primary workplace becomes inaccessible. (1 2 3 4 5)
9. You know where the Emergency Operations Centre is and where the Business Continuity Manager in charge of coordination of all initiatives is located. (1 2 3 4 5)
10. You are satisfied that appropriate priorities have been assigned to those services which must be resumed first. (1 2 3 4 5)
11. You agree with the services to which priority has been assigned within your area of responsibility. (1 2 3 4 5)
12. You are satisfied that sufficient resources are available, or have been identified for immediate procurement in order to achieve at least the minimum standard for essential services. (1 2 3 4 5)

13. You exercise the Business Continuity Plan in your office area at minimum annually. (1 2 3 4 5)
14. You are consulted regularly to ensure that emergency contact numbers and procedures are correct. (1 2 3 4 5)

Additional Questions

1. What are the key services that you provide within your area of responsibility? What would the impact be if these services were not provided?
2. What organization, if any, do you rely on for information or services in order to carry out your responsibilities? What external agencies do you rely on for service or resources to carry out your responsibilities?
3. Are there services that you can continue to provide manually and how long could you provide each service without system support?
4. Would a disruption to any of your services result in claims against the crown or legal liability?
5. Do your services relate in any way to Government revenue? If so, describe.
6. Would the disruption of any of your services cost you more than one day to complete a disrupted day of work?
7. In your opinion, what services would result in the quickest loss of public confidence?
8. How long could each of your services be disrupted without serious consequence?
9. Are there resources (vital records or equipment) without which you could not provide service to the public? Are your vital records or equipment appropriately protected to avoid damage or destruction in the event of an incident? Do duplicates exist off site?
10. Are there transportation concerns that would preclude you or your staff from getting to your alternate business site?
11. Does anyone rely on information from your office in order to provide service? Is there a contingency in your plan, their plan or both to ensure that your information will reach other departments or external agencies?

ANNEX B PLAN DEVELOPMENT CHECKLIST

GETTING STARTED			
✓	FUNCTION	RESPONSIBILITY	REMARKS
	Has Senior Management commitment been obtained?	Senior Management	
	Has a BCP policy been determined?	Senior Management	
	Has a BCP Manager been appointed?	Senior Management / BCP Manager	
	Has the BCP policy been communicated to all employees?	Senior Management / BCP Manager	
	Have BCP Team members been appointed?	BCP Manager	
	Has a BCP planning framework been established?	BCP Manager	

CATEGORIZATION / PRIORITIZATION OF SERVICES

✓	FUNCTION	RESPONSIBILITY	REMARKS
	Have Section / Branch / Division / Sector services been listed?	BCP Manager	
	Have Section / Branch / Division / Sector services been prioritized?	BCP Manager Planning Team	
	Have Departmental services been listed?	Senior Management / BCP Manager	
	Have Departmental services been prioritized?	Senior Management BCP / Manager	
	Have Departmental resource needs been: a. determined? b. inventoried? c. prioritized?	Departmental Staff	

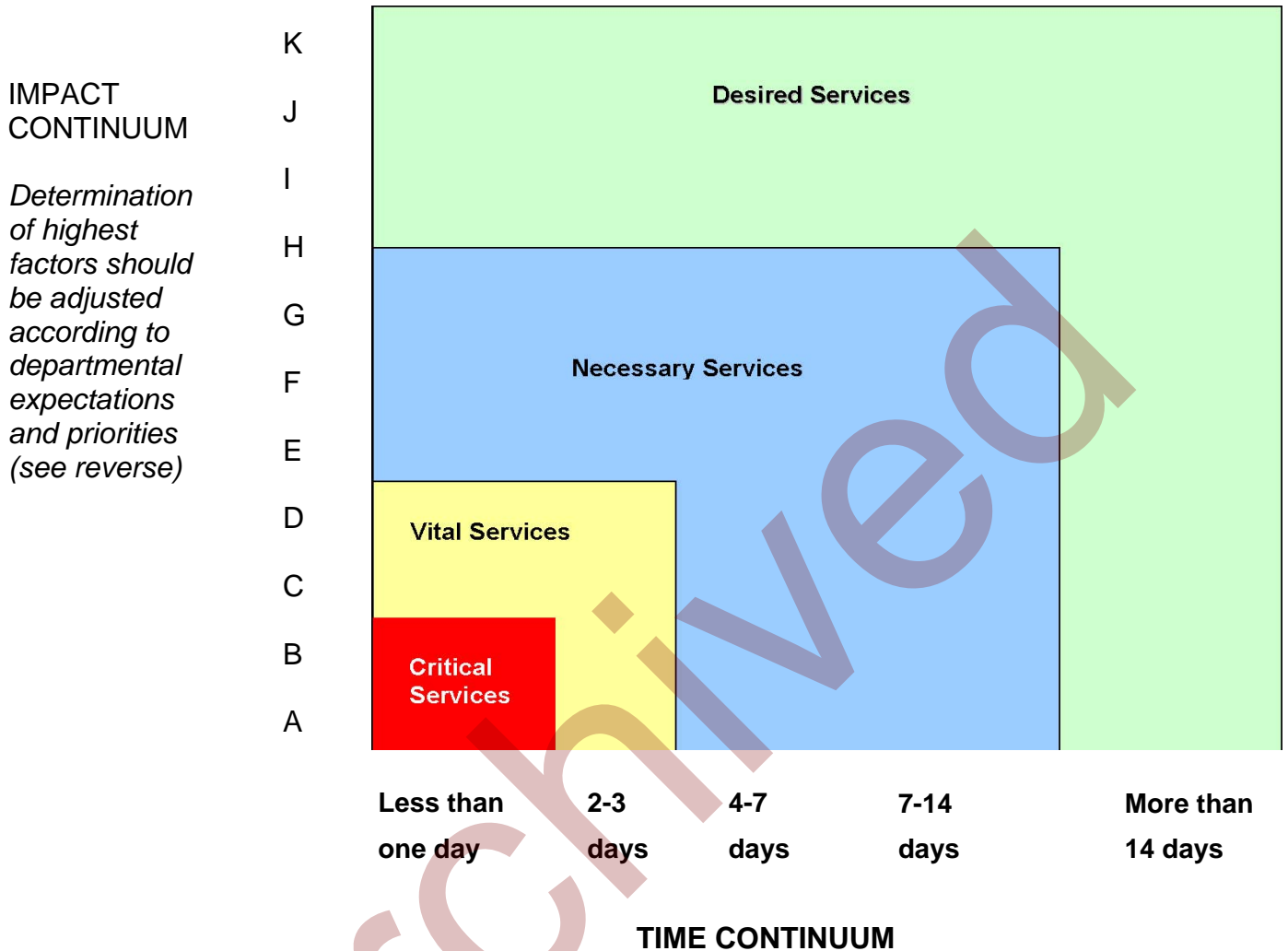
DETAILED PLANNING			
✓	FUNCTION	RESPONSIBILITY	REMARKS
	Has a Continuity Team structure been established?	BCP Manager	
	Have the positions and responsibilities within the Continuity Team structure been determined?	BCP Manager	
	Have the positions with the Continuity Team been staffed?	BCP Manager	
	Have planning responsibilities been assigned to key individuals and/or teams?	BCP Manager	
	Have all members of the Planning Team completed activity sheets?	BCP Manager / Planning Team	
	Have the members of the Planning Team had any BCP training?	BCP Manager	
	What are the training requirements for the Planning Team?	BCP Manager / Planning Team	

PLAN ASSEMBLY			
✓	FUNCTION	RESPONSIBILITY	REMARKS
	Have all the components of the plan been prepared?	BCP Manager / Planning Team	
	Has the Plan been: a. printed? b. assembled? c. packaged?	BCP Manager / Planning Team	
	Has an educational/information package been developed to ensure understanding of the BCP program?	BCP Manager	

PLAN IMPLEMENTATION / MAINTENANCE

✓	FUNCTION	RESPONSIBILITY	REMARKS
	Has the plan been approved by Senior Management?	Senior Management / BCP Manager	
	Has the approved plan been distributed to all appropriate personnel and offices?	BCP Manager	
	Has a training program been developed and established?	BCP Manager	
	Are copies of the plan stored in alternate locations?	BCP Manager	
	Has a policy been developed and enforced to ensure that the plan is regularly reviewed and updated?	BCP Manager	
	Is the plan (or specific portions of it) being exercised regularly?	Senior Management / BCP Manager	
	Has a plan been developed to facilitate notifications of changes to the BCP?	BCP Manager	

ANNEX C DEPARTMENTAL SERVICES CATEGORIZATION SHEET



Departments should determine the significance and length of the time continuum based on their services and time expectations.

Application

1. Choose and assign impact factors alphabetically, based on most to least significant (e.g., A – N). The number of impact factors should be representative of the nature of your organization’s services. (See reverse).
2. Compare impact factors to a time continuum. The scale of time may be adjusted to reflect specific requirements of organizations.

ANNEX C Cont...

Purpose: This guide is designed to assist the user in identifying and prioritizing essential services for business continuity.

Services Categories: For the purpose of business continuity planning, services are categorized as critical, vital, necessary and desired services. In all four cases, the disruption of operations or services is assumed.

Critical: Reserved for services that must be provided immediately or will definitely result in the loss of life, infrastructure destruction, loss of confidence in the government, and significant loss of revenue. These services normally require resumption within 24 hours of interruption.

Vital: Applies to services that must be provided within 72 hours or will likely result in loss of life, infrastructure destruction, loss of confidence in the government, and significant loss of revenue or disproportionate recovery costs.

Necessary: Those services that must be resumed within two weeks, or could result in considerable loss, further destruction or disproportionate recovery costs.

Desired: Services which could be delayed for two weeks or longer, but are required in order to return to normal operating conditions and alleviate further disruption or disturbance to normal conditions.

Interruption Impact Factors: This list represents the potential impact as a result of the interruption of essential government services. It is not intended to be exhaustive and should be amended and prioritized to reflect the specific nature of their responsibilities.

- A. Loss of life or unacceptable threat to human safety
- B. Significant damage to or total loss of infrastructure
- C. Significant loss of revenue and public funds
- D. Disruption of essential services (to stakeholders e.g. other government departments, municipal governments, and non-government organizations)
- E. Loss of public confidence
- F. Loss of vital records
- G. Disproportionate recovery costs
- H. Disruption of obligations to employees
- I. Loss of expertise
- J. Loss of national or international confidence

ANNEX D DEPARTMENTAL SERVICES SUMMARY

Notes

1. This list will summarize all departmental services
2. Expand the list to include all services within each category
3. Each category is listed by priority

Serial	Department, Division, Branch	Category (in order)	Priority (in order)	Service	Brief Substantiation Statement
1		Critical	1		
2			2		
3			3		
4			4		
5		Vital	1		
6			2		
7			3		
8					
9		Necessary	1		
10			2		
11			3		
12			4		
13		Desired	1		
14			2		
15			3		
16			4		

ANNEX E RISK ASSESSMENT WORKSHEET

DEPARTMENT: _____

DIVISION: _____

BRANCH: _____

ASSUMPTIONS: (Prior to conducting the Risk Assessment, any critical assumptions should be listed)

1. _____

2. _____

3. _____

4. _____

5. _____

6. _____

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SER	THREAT	RISK ASSESSMENT			
		PROBABILITY	SAFETY	RESOURCES	SERVICES
1.	NATURAL				
a.	FLOODING				
	(1) Internal				
	(2) External				
b.	FIRE				
	(1) Internal				
	(2) External				
c.	EARTHQUAKE				
d.	WIND STORM				
e.	TORNADO				
f.	SNOW STORM				
g.	ICE STORM				
h.	DROUGHT				
i.	INFECTIOUS DISEASE OUTBREAK / EPIDEMIC				
j.	OTHER				
	(1)				
	(2)				
2.	TECHNICAL				
a.	FIRE				
b.	EXPLOSION				
c.	GAS LEAK				
d.	STRUCTURAL				
e.	IT SERVICES				
	(1) System Software				
	(2) Application Software				
	(3) Hardware				

f.	UTILITIES				
	(1) Sewage				
	(2) Water				
	(3) Electrical				
	(4) Communications				
g.	OTHER				
	(1)				
	(2)				
3.	HUMAN				
a.	TERRORISM				
b.	SABOTAGE				
c.	BOMB THREAT				
d.	BIOLOGICAL				
e.	NUCLEAR				
f.	CHEMICAL				
g.	CRIMINAL				
	(1) Robbery				
	(2) Vandalism				
	(3) Espionage				
	(4) Bribery				
	(5) Computer				
h.	WORK STOPPAGE				
i.	WORK ACTION				
j.	CIVIL DISORDER				
k.	HUMAN ERROR				
l.	OTHER				

SUMMARY OF RISK ASSESSMENT:

	HIGH
1.	_____
2.	_____
3.	_____
4.	_____
5.	_____

	MEDIUM
1.	_____
2.	_____
3.	_____
4.	_____
5.	_____

	LOW
1.	_____
2.	_____
3.	_____
4.	_____
5.	_____

This summary may be provided by the Risk Assessment Team in conjunction with the Business Impact Analysis and will focus the attention of the Business Continuity Planning Team towards establishing their BCP.

ANNEX F BUSINESS IMPACT ANALYSIS SERVICES WORKSHEET

Department:		Division:		Branch:	
Business Unit/Program:			Location (Building Address, City/Town):		
Service:					
Service Category: <input type="checkbox"/> Critical – must be provided within 24 hours <input type="checkbox"/> Vital – must be provided within 72 hours <input type="checkbox"/> Necessary – must be resumed within two weeks <input type="checkbox"/> Desired – could be delayed for two weeks or longer			Specific Service: Provide a 1-2 sentence description of the service.		
Interruption Impact: Brief description of the qualitative or quantitative impact of not continuing the service (may include damage/threat to safety/security of Albertans, assets, reputation, finances, etc.)			Influencing Factors: Peak Periods/Specific Deadlines? <input type="checkbox"/> NO <input type="checkbox"/> YES Details: Regulatory Requirements? <input type="checkbox"/> NO <input type="checkbox"/> YES Details:		
Normal Standard Statement: (Provide a detailed description of how the service is normally provided, to whom the service is provided, and why if applicable)			Minimum Standard Statement: (State the minimum standard at which the service must be performed)		
Human Resource Requirements:					
Name	Position/Role	Work Phone Cell Phone Home Phone	Remote Access Capability Y/N	Alternate Email (primary is name.name@gov.ab.ca)	Essential Skill Set/Required Certifications, Accreditations, etc.

Infrastructure and Resource Requirements:

ITEM	DETAIL (minimum number, minimum capability, minimum capacity, hours required per day, minimum size, etc...)
Offices	
Furniture	
Communication	
IT (Software/Hardware)	
Other	

Vital Records: What vital records are required to continue to provide this program or service?

Paper -	Electronic -	Are there any back-ups of these records? <input type="checkbox"/> YES <input type="checkbox"/> NO If yes, where?
---------	--------------	--

Interdependencies:

This Business Unit depends on the following service providers/contractors/government departments: N/A

Service Provider/Contractor	Description of Interdependency	Contact Name	Phone #

The following other groups depend on this service or program: N/A

Dependent Organization/Group	Description of Interdependency	Contact Name	Phone #

Remote Access Viability:

Can the function be performed remotely? <input type="checkbox"/> NO <input type="checkbox"/> YES Details:	Can Vital Records be accessed remotely? <input type="checkbox"/> NO <input type="checkbox"/> YES Details:
---	---

For BIAs of Necessary and Desired Services ONLY:

Could this service be voluntarily suspended? NO YES

Maximum Tolerable Outage?

Impact of the voluntary suspension?

Available resources to augment other areas due to this suspension

Type/Description of Resource (e.g. admin person, laptop, etc.)

Number Available

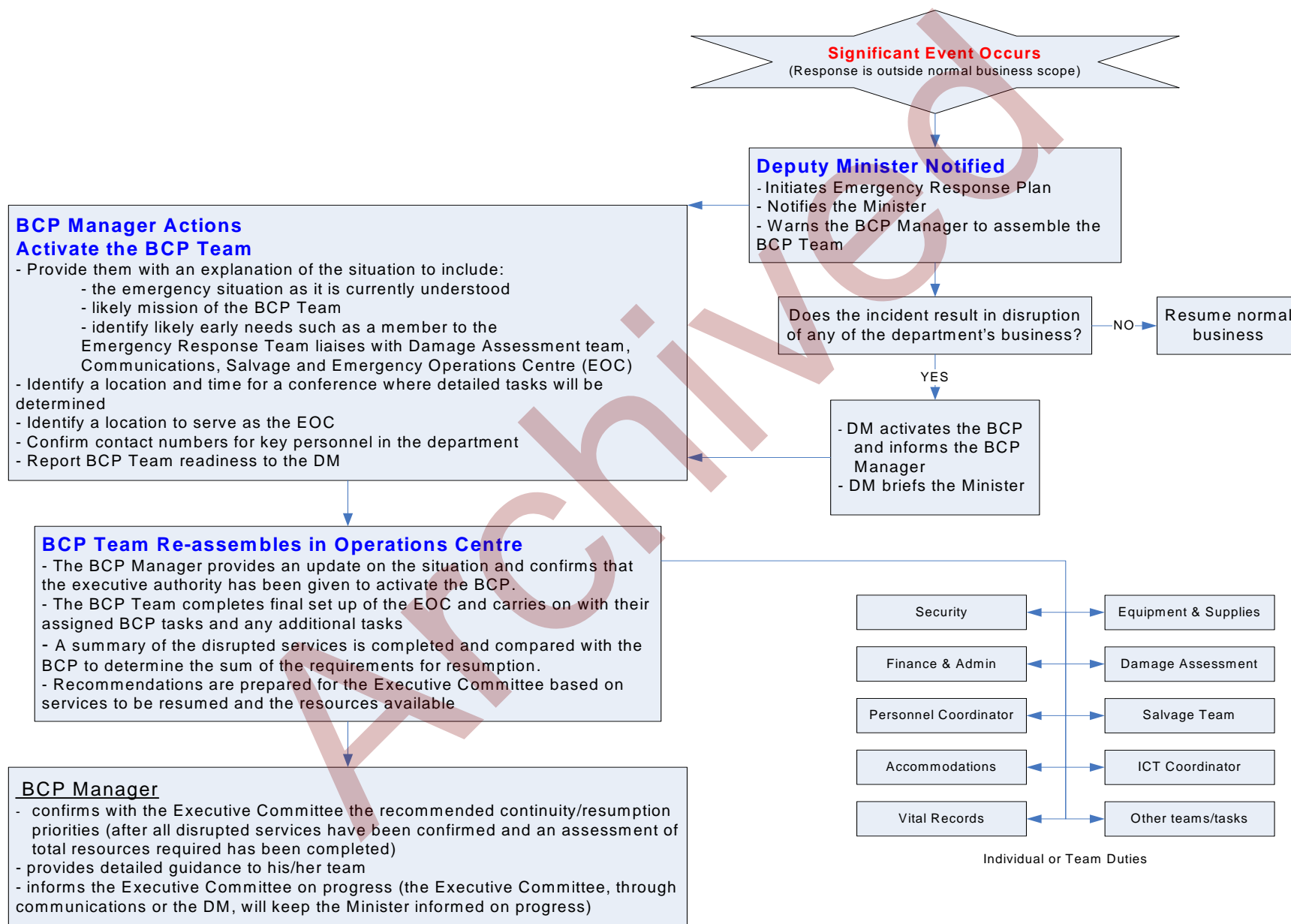
Type/Description of Resource (e.g. admin person, laptop, etc.)	Number Available

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ANNEX G VITAL RECORDS SUMMARY SHEET

Serial	Vital Record	Format	Location of Records	Contact	Location of Back-up (and Contact)	Service or Business Process that the Vital Record is tied to (Critical, Vital etc.)	Comments
1							
2							
3							
4							
5							
6							
7							
8							
9							
10							
11							
12							
13							
14							

ANNEX I ACTIVATION FLOWCHART



ANNEX J BUSINESS CONTINUITY PLAN SURVEY

Introduction:

A Business Continuity Plan (BCP) is a plan that can be activated during or immediately following an emergency or interruption of services. It is aimed at permitting the rapid and cost effective recovery of an organization's essential services in order to maintain continuity or facilitate the resumption of services to its clients. It sets the stage for long term disaster recovery which returns the organization to normal operating conditions. The effectiveness of the BCP can likely influence the success of the organization in its attempt to provide the continuation of services.

CONCERN	TO DO	COMPLETED
Does your organization's emergency plan include a Business Continuity Plan?		
Does your organization have an alternate location from which to operate if the need arises?		
Have you categorized and prioritized the various functions of each Section/Branch/Division/Sector?		
Have you identified the staffing requirements to ensure the continuity of services?		
Has a succession plan been established at all levels?		
Has the Department planned and established a debriefing procedure?		
Have arrangements been made for professional assistance to distressed employees, including within the EOC?		
Has the Department assessed employee availability?		
Does your Department have a plan for keeping essential employees at work and for the orderly departure of non-essential employees?		
Have you established a mobilization plan for essential employees?		
Have you established administrative arrangements, such as meals and other essential items needed to sustain essential employees?		

CONCERN	TO DO	COMPLETED
Is there a plan for the orderly return of various employee groups, based on the prioritization of their functions?		
Do employees have adequate identification to permit them access to facilities?		
Is there a procedure for gathering, analyzing and reporting data on the impact of the incident?		
Have liaison personnel been identified to report injuries, deaths, damage and resource needs to the appropriate authorities, including emergency services, employees' families, etc?		
Have you established a priority list for the replacement and/or repair of facilities and equipment?		
Do you have a plan, or prearrangement, with partners from outside the impact zone to provide critical parts for equipment that may have been damaged?		
Do you have arrangements with partners, etc. to ensure that the department's services can continue?		
Are you aware of your suppliers' Business Continuity Plans?		
Does your plan include a provision for transportation of employees and/or work crews within a disaster area?		
Does the Department have an auxiliary communication system that can operate independently from normal power supplies?		
Have arrangements been made to provide portable communication assets to the various locations and teams?		
Have arrangements for communication been made, other than telephones, which allow employees to contact their families?		
Do you have sufficient funds available to purchase essential items immediately, i.e. food, supplies, fuel, etc?		
Have you developed a plan to control access to the facility if the need arises?		

CONCERN	TO DO	COMPLETED
Does your BCP include periodic training, exercises and validation?		
Does your BCP include provisions for regular updating?		
Is your Business Continuity Plan Complete?		

Business Continuity Planning is an effective tool in maintaining continuity of services and substantially increases an organization's ability to maintain its goals.

Note:

This survey is intended as a guideline for Senior Management and the BCP Team Manager to follow during the preparation of the departmental Business Continuity Plan. It provides a series of questions/statements that have been designed to ensure that the critical information necessary for the completion of the BCP is included in the plan. This survey also provides the user with a visual system to ensure that essential items that have not been considered or completed are tracked to completion. The list of questions above is not exhaustive but can also be used to determine the effectiveness and viability of the plan.

ANNEX K GLOSSARY OF TERMS

Assumptions

Basic understandings about unknown disaster situations that the plan is based on. - *Disaster Recovery Journal*

Business

The services, products, inputs and outputs that encompass the activities of an organization.

Business Continuity Cycle

A sequence of events that occur before and after an interruption of an organization's essential services. Components include: mitigation and preparedness, response, continuity, recovery and lessons learned.

Business Continuity Management

The process of activation, implementation and management of an established business continuity plan. This process may occur minutes to days after the response phase of an incident or disaster.

Business Continuity Plan

A plan that when activated provides for the orderly cost effective continuity of a department's essential services, programs and operations if and when a disruption occurs. - *EPO-MB*

Business Continuity Planning

Planning to ensure the continued availability of essential services, programs and operations, including all the resources involved. Prepares an organization to act in response to an interruption of essential business services and provides the guidelines to fully recover operations, services and programs. Also, making advance preparations to continue your business activities after an interruption. BCP is sometimes called "disaster recovery planning" or "contingency planning." The BCP process should answer two questions, "What could go wrong?" (called a risk analysis), and "If something went wrong, how would it affect our business?" (called a business impact analysis). The answers to those questions help determine continuity and recovery strategies, which should be written down and tested every year. - *The Hernando County Emergency Management website: <http://www.co.hernando.fl.us/em/about.htm>*

Business Continuity Planning Officer or Business Continuity Officer (BCO)

A member of a government department or an organization who, often in addition to other duties, coordinates the maintenance and implementation of the business continuity plan and processes. This individual may be the Business Continuity Manager or Coordinator.

Business Continuity Team

A team of appointed employees responsible for the writing, maintenance, exercising and validation of a business continuity plan, and all activities related to the activation of that plan.

Business Continuity Coordinator

An appointed employee responsible to the Business Continuity Team Manager for the overall coordination of business continuity activities.

Business Continuity Manager (also known as Business Continuity Officer)

An appointed employee (usually a manager or senior manager) who is responsible for leading the Business Continuity Team. This individual will facilitate overall planning, provide ongoing liaison with senior management, ensure completed plans are maintained and coordinate activities following the activation of a plan.

Business Impact Analysis (BIA)

The business impact analysis identifies consequences of an incident in terms of loss of operations or services, revenue loss, additional expense, loss of confidence, and the expected length of the interruption.

The BIA process analyzes all business functions and the effect that a specific disaster may have upon them. - [Disaster Recovery Journal](#)

Cold Site

One or more data centres or office space facilities equipped with sufficient pre-qualified environmental conditioning, electrical connectivity, communications access, configurable space and access to accommodate the installation and operation of equipment by critical staff required to resume business operations. - [Global Continuity](#)

Consequence

The outcome of a risk event expressed qualitatively or quantitatively. - [Global Continuity](#)

Consequence Management

Measures taken by government to prepare for and implement responses to disasters and emergencies due to any hazard.

Consequence Management Officer

A senior member of a provincial government department, appointed by the department head, who in addition to other duties, coordinates the department's response to a major emergency or disaster.

Crisis Management

Those measures required to prevent or resolve a terrorist threat or a potential act of terrorism.

Crisis Management Officer

A senior member of a provincial government department, appointed by the department head, who in addition to other duties, coordinates the department's measures required to prevent or resolve a terrorist threat or a potential act of terrorism.

Critical Services

Reserved for services that must be provided immediately or loss of life, infrastructure destruction, loss of confidence in the government, and significant loss of revenue will result. These services normally require restoration within 24 hours of interruption.

Cross-Government Coordination Team (CGCT)

A team of subject matter experts from various areas of the Government of Alberta who act as an advisory and support mechanism to Government Ministries, Agencies, Boards and Commissions, in the event of a continuity related disruption and during planning. The team is led by the Alberta Emergency Management Agency.

Department (Ministry)

A cabinet minister's area of responsibility, or portfolio, and the people who work for the department. The minister, who is head of the department, is a member of Executive Council. - [Legislative Assembly, Parliamentary Terms](#)

Desired Services

Those services that could be delayed for two weeks or longer, but are required in order to return to normal operating conditions and alleviate further disruption or disturbance to normal conditions.

Disaster

An event that results in serious harm to the safety, health, or welfare of people or in widespread damage to property. - [Disaster Services Act](#)

Emergency

A present or imminent event that requires prompt coordination of action or special regulation of persons or property to protect the health, safety or welfare of people or to limit damage to property. - [Disaster Services Act](#)

Emergency Management Cycle

The cycle of events that the Alberta Emergency Management Agency and response personnel initiate following an incident

Emergency Management Framework

The local authority is the first level of government to respond to an emergency or disaster. The degree of response by other levels of government and the private sector should be tailored to the local authority's capabilities and needs. The establishment of an Emergency Operations Center (EOC) by any of the responding organizations will be dictated by the magnitude of the incident, the nature and scope of the response, and the need for public and media communications activities. Local authorities plan for three levels of emergency response, in increasing order of magnitude.

Emergency Operations Centre (EOC)

An operations centre established in a suitable location to initially manage the larger aspects of the emergency. In a high impact emergency there may be a number of EOCs established to support the response. These may include corporate EOCs (regional, headquarters), municipal EOCs, a joint regional EOC and the provincial government EOC (see Government Emergency Operations Centre). The EOC will also manage the continuity of essential services, programs and operations of the organization.

Essential Services

For the purposes of business continuity, there are four levels of services provided by the government of Alberta: critical services, vital services, necessary services and desired services.

Executive Committee

The reporting board to the Deputy Minister.

Exercises

Exercises test the plan's effectiveness as close as possible to an actual event. An exercise completes the training and educational process in emergency preparedness and enables an evaluation of emergency plans and organizational capability. It provides an opportunity to promote and refine cooperation and coordination between operational teams, staff groups, officials and others involved in an organized response to an emergency.

CATEGORIES OF EXERCISES

- *Tabletop/Workshop* – an exercise that does not use telecommunications resources
- *Functional* – an exercise where telecommunications are used but resources are not deployed
- *Field* – an exercise where telecommunications are used and some, most or all human and material resources are physically deployed.

TYPES OF EXERCISES

- *Paper* – characterized by the imposition of paper events or constraints on learners, with the principal intention of promoting beneficial interactions between them
- *Study* – an exercise designed to develop the problem solving capabilities of the learners. It is an effective means of developing or upgrading procedures for a specific operation, and evaluation of emergency plans
- *Table top* – an exercise where all the participants describe their response actions using a map, diagram, or model

- *Synthetic* – a pre-programmed exercise where all participants use electronic equipment
- *Specialty* – an exercise that mainly involves specialty teams although other agencies can be expected to provide support. Examples are: bomb threat, hijacking, dangerous goods incident, and upstream petroleum incident
- *Telecommunications* – an exercise designed to test or develop an alerting system and telecommunications between municipal response agencies and community/volunteer organizations
- *Media* – an exercise designed to establish routine contact points and cooperation between the municipal/provincial government or industry and the media

Facilities

A location containing the equipment, supplies, voice and data communication lines, to conduct transactions required to conduct business under normal conditions. - [Disaster Recovery Journal](#)

Government Emergency Operations Centre (GEOC)

The provincial government's operations centre established in a suitable location to initially manage the larger aspects of the emergency. In a high impact emergency there may be a number of EOCs established to support the response. These may include corporate EOCs (regional, headquarters), municipal EOCs, a joint regional EOC which will all link into the GEOC. The GEOC will also manage the continuity of essential services, programs and operations for Albertans.

Hazard

A danger or risk. - [Oxford Dictionary, 1995 edition](#)

Hot Site

A data centre facility or office facility ready with sufficient hardware, communications interfaces and workspace capable of providing almost immediate backup data processing support.
- [Global Continuity](#)

Impact

An effect or influence, especially when strong. - [Oxford Dictionary, 1995 edition](#)

Impact Continuum

Scale of impacts as a result of disruption rated from most to least important.

Incident

Any event, which may be, or may lead to, a disaster. - [Global Continuity](#)

Infrastructure

The basic structural foundations of an organization. In business continuity planning, infrastructure includes the facilities, buildings and physical assets used by an organization.

Loss

The unrecoverable business resources that are redirected or removed as a result of a disaster. Such losses may include loss of life, revenue, market share, competitive stature, public image, facilities, or operational capability. - [Disaster Recovery Journal](#)

Ministry (Department)

A cabinet minister's area of responsibility, or portfolio, and the people who work for the department. The minister, who is head of the department, is a member of Executive Council. - [Legislative Assembly, Parliamentary Terms](#)

Mitigation

Mitigation comprises the policies and actions undertaken before an actual disaster situation which are intended to prevent or reduce a disaster impact. Examples are building codes, land use regulations, educational and training information, and insurance.

Necessary Services

Those services that must resumed within two weeks, or could result in considerable loss, further destruction or disproportionate recovery costs.

Off-Site Location

A storage facility away from the primary facility, which is used for housing recovery supplies, equipment, vital records etc.

Outsourcing

The process by which functions usually performed by the organization are contracted out for operation, on the organization's behalf, by third parties. - [Global Continuity](#)

Probability

The likelihood of a specific event or outcome, measured by the ratio of specific events or outcomes to the total number of possible events or outcomes. Probability is expressed as a number between 0 and 1, with 0 indicating an impossible event or outcome and 1 indicating an event or outcome that is certain. - [Global Continuity](#)

Recovery

The process of planning for and/or implementing recovery of less time sensitive business operations and processes after critical business functions have resumed. -

[Source: The Strohl Systems website \(<http://www.strohlsystems.com/BCP/default.asp>](http://www.strohlsystems.com/BCP/default.asp)

Recovery Time Objective (RTO)

The period of time within which systems, applications, or functions must be recovered after an outage (e.g. one business day). RTO's are often used as the basis for the development of recovery strategies, and as a determinant as to whether or not to implement the recovery strategies during a disaster situation. Similar Terms: Maximum Allowable Downtime. *Disaster Recovery Journal Glossary*
<<http://www.drj.com/glossary/drjglossary.html>>

Response

The reaction to an interruption or emergency in order to assess the level of containment and control activity required. Response is also action taken during and immediately after impact to deal with the issue. Examples are search and rescue and the provision of emergency medical services.

Restoration

The process of planning for and implementing full-scale business operations that allows the organization to return to a normal service level. - *The Strohl Systems website*
(<http://www.strohlsystems.com/BCP/default.asp>)

Risk

A chance or possibility of danger, loss, injury, or other adverse consequences. - *Oxford Dictionary, 1995 Edition*

Risk Acceptance (also known as Tolerable Risk)

A risk management technique that allows management to weigh the cost of managing the risk versus the benefits of reducing the risk. See also cost/benefit analysis. Risk acceptance is a matter for the governance team of senior management and the board. The amount of acceptable risk should be determined beforehand. - *Global Continuity*

Risk Assessment

A risk assessment identifies specific threats and severity of impact of an incident on the organization. It does not attempt to identify operational, financial or logical impacts on specific organizational departments and functions.

The process of identifying and minimizing the exposures to certain threats which an organization may experience. - *Devlin, I-1-1, Disaster Recovery Journal*

Risk Management

The culture, processes and structures that are directed towards the effective management of potential opportunities and adverse effects. - *Global Continuity*

Scenario

A pre-defined set of events and conditions, which describe a potential interruption, disruption or disaster related to some aspect(s) of an organization's business for purposes of exercising a plan. - *Global Continuity*

Simulation

An exercise of recovery procedures under conditions approximating a specific disaster scenario. This may involve designated units of the organization actually ceasing normal operations while exercising their procedures.

Standard

A set of criteria or requirements that are generally agreed upon. - [Global Continuity](#)

Table Top Exercise

The implementation and testing of a business continuity plan, using a range of scenarios whilst not affecting the enterprise's normal operation. This type of exercise allows participants to describe their response actions using a map, diagram, or model.

Time Continuum

A scale of time applied to the impact of a specific service interruption in determining priority of essential services.

Vital Records

Records that are essential for preserving, continuing or reconstructing the operations of the organization and protecting the rights of the organization, its employees, its customers and its stockholders. - [Global Continuity](#)

Vital Services

Applies to services that must be provided within 72 hours or will likely result in loss of life, infrastructure destruction, loss of confidence in the government, and significant loss of revenue or disproportionate recovery costs.

Warm Site

A data centre or office facility which is partially equipped with hardware, communications interfaces, electricity and environmental conditioning capable of providing backup operating support. - [Global Continuity](#)

ANNEX L - LIST OF ACRONYMS

AEMA	Alberta Emergency Management Agency
BCO	Business Continuity Officer
BCP	Business Continuity Plan/Planning
BIA	Business Impact Analysis
CGCT	Cross Government Coordination Team
DM	Deputy Minister
DRI	Disaster Recovery Institute
EPT	Exercise Planning Team
EOC	Emergency Operations Centre
GEOC	Government Emergency Operations Centre
HR	Human Resources
ICT	Information Communication Technology
PAB	Public Affairs Bureau
PER	Post Exercise Report
RA	Risk Assessment
RTO	Recovery Time Objective

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PART 2

BUSINESS CONTINUITY PLAN TEMPLATE

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FOREWORD

INTRODUCTION

This generic template has been designed to be adaptable to all organization levels within a department. It consists of eight sections:

- Section 1** - Vital Administrative Information (applicable to all organizations)
- Section 2** - Introduction and Business Continuity Team Organization (applicable to all organizations)
- Section 3** - Risk Assessment (applicable to all organizations)
- Section 4** - Business Impact Analysis (applicable to all organizations)
- Section 5** – Resumption/Continuity Activities (specific to the organization)
- Section 6** - Subsidiary Organizations Continuity Plans
- Section 7** – Training Concept (applicable to all organizations)
- Section 8** – Plan Exercising and Validation Concept (applicable to all organizations)

TABLE OF CONTENTS

PART 2: BUSINESS CONTINUITY PLAN TEMPLATE	99
FOREWORD	101
INTRODUCTION	101
TABLE OF CONTENTS	ERROR! BOOKMARK NOT DEFINED.
EXECUTIVE COMMITTEE FOREWORD	105
SECTION 1	105
1.1 TABLE OF AMENDMENTS	105
1.2 VITAL INFORMATION	105
1.2.1 CONTACT INFO OF BCP MANAGER AND COORDINATOR	105
1.2.2 PLAN ACTIVATION SEQUENCE OF EVENTS	105
1.2.3 ACTIVATION CRITERIA	105
1.2.4 LIST OF SUCCESSION	105
1.2.5 DISTRIBUTION LIST	105
FIGURE 1 – ACTIVATION FLOWCHART	106
SECTION 2	107
2.1 INTRODUCTION	107
2.1.1 DEPARTMENTAL POLICY STATEMENT	107
2.1.2 PURPOSE OF THE PLAN	107
2.2 GLOSSARY OF TERMS	107
2.3 LIST OF ACRONYMS	107
2.4 CONTINUITY PLANNING TEAMS	107
2.5 CONTACT LISTS	107
SECTION 3	108
3.1 RISK ASSESSMENT	108
3.1.1 RISK ASSESSMENT WORKSHEET, AND THE RISK SUMMARY MATRIX	108
SECTION 4	108
4.1 BUSINESS IMPACT ANALYSIS	108
4.1.1 ASSUMPTIONS	108
4.1.2 DEPARTMENTAL SERVICES SUMMARY	108
4.1.3 BUSINESS IMPACT ANALYSIS SERVICES WORKSHEET	108
4.1.4 CONSTRAINTS TO PLAN IMPLEMENTATION (OPTIONAL)	108
SECTION 5	109

5.1 ASSESSMENT OF CONTINUITY ACTIVITIES	109
5.1.1 SPECIFIC ACTIVITIES	109
5.1.2 INFRASTRUCTURE AND FACILITY TRANSFER PLAN	109
5.1.3 ALTERNATE WORKSITE(S)	109
5.1.4 PHYSICAL COMMUNICATIONS REDUNDANCY PLAN	110
5.1.5 FINANCIAL/FUNDING MODELS	110
5.1.6 EMERGENCY OPERATIONS CENTRE	110
5.1.7 COMMUNICATIONS AND PUBLIC INFORMATION PLAN	110
5.1.8 POSTAL SERVICES	110
5.1.9 EMPLOYEE ACCOUNTABILITY	111
5.1.10 EMPLOYEE ASSISTANCE PLAN	111
5.1.11 SECURITY	111
5.1.12 DEBRIEFING TEAM	111
5.1.13 INTERNAL COORDINATION REQUIREMENTS	111
5.1.14 EXTERNAL COORDINATION REQUIREMENTS	112
5.2 IDENTIFY KEY PERSONNEL	112
SECTION 6	112
6.1 SUBSIDIARY ORGANIZATION BUSINESS CONTINUITY PLANS	112
SECTION 7	112
7.1 TRAINING CONCEPT	112
7.1.1 BUSINESS CONTINUITY TEAM TRAINING CONCEPT	112
7.1.2 ONGOING TRAINING CONCEPT	112
7.1.3 OBJECTIVES	112
7.2 PLAN MAINTENANCE PROTOCOLS	112
7.2.1 MAINTENANCE SCHEDULE	112
7.2.2 MAINTENANCE TEAMS AND RESPONSIBILITIES	112
7.2.3 REVISION SCHEDULE	113
SECTION 8	113
8.1 EXERCISING AND VALIDATION CONCEPT	113
8.1.1 EXERCISE OBJECTIVES	113
8.1.2 EXERCISING POLICY	113
8.1.3 EXERCISE METHODOLOGY	113
8.1.4 EXERCISE SCHEDULE	113
8.1.5 PERFORMANCE MEASUREMENT PROCESS	113
8.1.6 POST-EXERCISE REPORTING	113
8.1.7 AFTER ACTION-PROCESS	113

8.1.8	LESSONS LEARNED PROCESS	113
8.1.9	CHANGE MANAGEMENT PROCESS (LESSONS LEARNED)	113
ANNEXES		115
ANNEX A1	ACTIVITY SHEET	117
ANNEX A2	ACTIVITY SHEET	118
ANNEX A3	ACTIVITY SHEET	119
ANNEX A4	ACTIVITY SHEET	120
ANNEX A5	ACTIVITY SHEET	121
ANNEX A6	ACTIVITY SHEET	122
ANNEX A7	ACTIVITY SHEET	123
ANNEX A8	ACTIVITY SHEET	124

Archived

EXECUTIVE COMMITTEE FOREWORD

SECTION 1

1.1 TABLE OF AMENDMENTS

1.2 VITAL INFORMATION

1.2.1 CONTACT INFORMATION OF DEPARTMENTAL BUSINESS CONTINUITY MANAGER AND COORDINATOR

- Alternates
- Other key personnel

1.2.2 PLAN ACTIVATION SEQUENCE OF EVENTS (GENERAL/GRAPHIC EXPLANATION)

See Figure 1 – Activation Flowchart

1.2.3 ACTIVATION CRITERIA

A concise outline of the conditions and responses that must occur to activate the plan (clear activation versus non-activation triggers).

1.2.4 LIST OF SUCCESSION

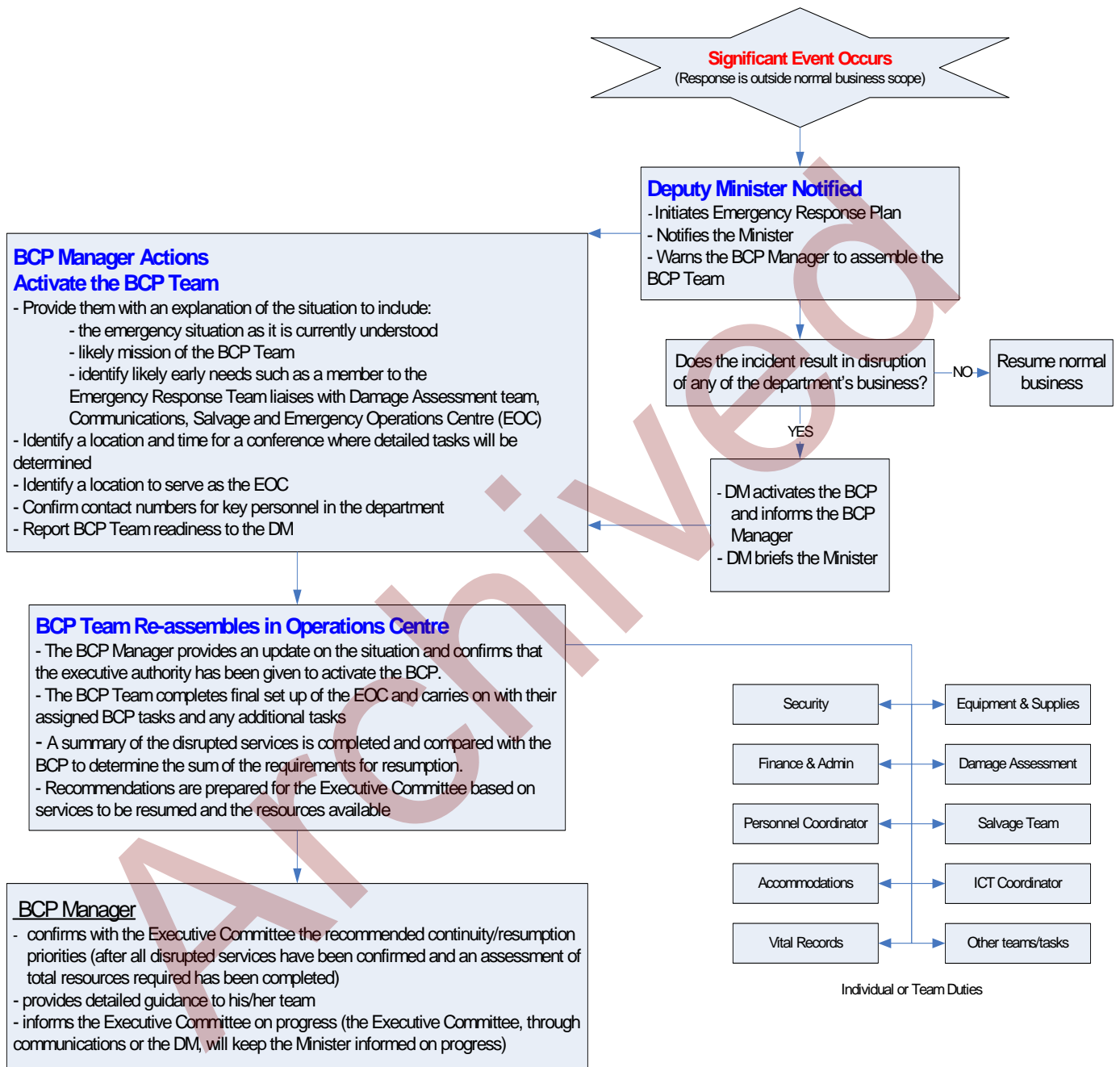
A list of the delegation of authority of senior departmental personnel:

- Primary senior management
- Alternate senior management
- Available senior manager (including scope of responsibilities if different from the primary and alternate senior managers)

1.2.5 DISTRIBUTION LIST

- Personnel assigned copies
- Location of spare copies

Figure 1 – Activation Flowchart



SECTION 2

2.1 INTRODUCTION

2.1.1 DEPARTMENTAL POLICY STATEMENT

Includes a summary of the Department's Critical Services.

2.1.2 PURPOSE OF THE PLAN

Brief description of the plan's scope and aim.

2.2 GLOSSARY OF TERMS

See *Part 1 – Annex K* (amend as required)

2.3 LIST OF ACRONYMS

See *Part 1 – Annex L* (amend as required)

2.4 CONTINUITY PLANNING TEAMS

A description of the organization of the BCP Team (by position as opposed to assigned personnel). Refer to *Part 1 – Figures 3, 4, & 5* for business continuity organizational models.

Specific responsibilities and Individual Activity Worksheets are attached as *Part 2 – Annex A*.

2.5 CONTACT LISTS

- Department/division/branch/sector level business continuity teams
- Department/division/branch/sector level supporting teams
- Applicable cross-government contacts
- External contacts
- Service providers

SECTION 3

3.1 RISK ASSESSMENT

3.1.1 RISK ASSESSMENT WORKSHEET, AND THE RISK SUMMARY MATRIX

Refer to *Part 1 – Annex E*

SECTION 4

4.1 BUSINESS IMPACT ANALYSIS

4.1.1 ASSUMPTIONS

4.1.2 DEPARTMENTAL SERVICES SUMMARY

Refer to *Part 1 – Annex D*

- Prioritize by criticality
- Prioritize by organization

4.1.3 BUSINESS IMPACT ANALYSIS SERVICES WORKSHEET

Refer to *Part 1 – Annex F*

4.1.4 CONSTRAINTS TO PLAN IMPLEMENTATION (Optional)

- Physical resources
- Personnel
- Time and space
- Infrastructure
- Regulatory factors

SECTION 5

5.1 ASSESSMENT OF CONTINUITY ACTIVITIES

Activities should be listed based on priority to support the identified critical services and should reflect the requirements to meet the planning objectives assigned to each service.

Refer to *Part 1 – Annex H*, Business Continuity Activities Summary

5.1.1 SPECIFIC ACTIVITIES

- Early Warning
- Recall of Essential Personnel
- Instructions for Non-essential Personnel
- Activation - Departmental/Division/Branch Specific Services
- Damage Assessment Team
- Salvage Team
- Vital Records Recovery/Replication/Recall including:
 - Lists of vital records by organization
 - Location of all vital records, including back up records
 - Maintenance plan for vital records
 - Personnel access to vital records

Refer to *Part 1 – Annex G*, Vital Records Summary Sheet

5.1.2 INFRASTRUCTURE AND FACILITY TRANSFER PLAN

- To alternate location(s)
- Authority and policy to transfer to individual homes
- Return to primary location

5.1.3 ALTERNATE WORKSITE(S)

- Description and location(s) for alternate and third site
- IT/networking capability
- Communications capability
- Access

- Parking
- Workspace allocation
- Vital records storage allocation
- Coordination with other agencies

5.1.4 PHYSICAL COMMUNICATIONS REDUNDANCY PLAN

- Telecommunications
- Data

5.1.5 FINANCIAL/FUNDING MODELS

5.1.6 EMERGENCY OPERATIONS CENTRE

- Description of site (hot, warm, cold site)
- Location
- Access
- Staffing
- Reception
- Parking
- Communications
- Work space allocation
- Signing authority
- Administrative facilities
- Support facilities

5.1.7 COMMUNICATIONS AND PUBLIC INFORMATION PLAN

- Information phone line and website address (secure site), for employees
- General information number and/ or website address for public
- Media releases and/or pre-developed crisis communications messages

5.1.8 POSTAL SERVICES

- Mail service to primary and alternate locations
- Canada Post
- Courier services

5.1.9 EMPLOYEE ACCOUNTABILITY

- Employee evacuation
- Employee accountability confirmation procedures
- Provision of medical assistance
- Employee briefings
- Social service assistance

5.1.10 EMPLOYEE ASSISTANCE PLAN

- Dependent briefings
- Critical incident stress management (for EOC staff as well)
- Emergency housing, feeding and medical services
- Childcare

5.1.11 SECURITY

- Current plan and measures
- Enhanced measures
- Revised or enhanced access requirements to primary or alternate facilities
- Consider current and alternate locations
- Impact of your facilities being designated a crime scene

5.1.12 DEBRIEFING TEAM

- Post traumatic stress disorder care
- Employee counseling

5.1.13 INTERNAL COORDINATION REQUIREMENTS (PRIORITIZE BY CRITICAL SERVICES)

- Department
- Division/sector
- Branch/Section

5.1.14 EXTERNAL COORDINATION REQUIREMENTS (PRIORITIZE BY CRITICAL SERVICES)

- Inter-government
- Non-government agencies
- Service providers
- Partners of interest

5.2 IDENTIFY KEY PERSONNEL

Identify and list all key positions (not those associated directly with business continuity process but those key to the organization itself).

SECTION 6

6.1 SUBSIDIARY ORGANIZATION BUSINESS CONTINUITY PLANS

This section should contain the business continuity plans of all subsidiary organizations in a department. Based on the size and capability of the department, you may wish to only enclose essential information and a summary of that organization's business continuity plan.

SECTION 7

7.1 TRAINING CONCEPT

7.1.1 BUSINESS CONTINUITY TEAM TRAINING CONCEPT

7.1.2 ONGOING TRAINING CONCEPT

7.1.3 OBJECTIVES

7.2 PLAN MAINTENANCE PROTOCOLS

7.2.1 MAINTENANCE SCHEDULE

7.2.2 MAINTENANCE TEAMS AND RESPONSIBILITIES

7.2.3 REVISION SCHEDULE

SECTION 8

8.1 EXERCISING AND VALIDATION CONCEPT

(Can be issued separately)

8.1.1 EXERCISE OBJECTIVES

8.1.2 EXERCISING POLICY

8.1.3 EXERCISE METHODOLOGY

8.1.4 EXERCISE SCHEDULE

8.1.5 PERFORMANCE MEASUREMENT PROCESS

8.1.6 POST-EXERCISE REPORTING

8.1.7 AFTER ACTION-PROCESS

8.1.8 LESSONS LEARNED PROCESS

8.1.9 CHANGE MANAGEMENT PROCESS (IN RESPONSE TO LESSONS LEARNED)

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PART 2

ANNEXES

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ANNEX A1 ACTIVITY SHEET

Position: Business Continuity Plan Coordinator

Primary: _____ Phone: _____
Alternate: _____ Phone: _____

Responsibilities:

1. Facilitate meetings of the planning committee
2. Locate an Emergency Operations Center (EOC) and an alternate EOC off site location
3. Determine EOC resource requirements
4. Provide updates on planning progress as required
5. Coordinate training activities and information dissemination with the department
6. Oversee the conduct of training and validation activities
7. Conduct an annual plan review and update

Activities:

1. Confirm situation and notify senior management
2. Establish the EOC
3. Assemble BCP team members at the EOC
4. Ensure that the EOC has all the required resources, including items for sustained use
5. Provide updates as requested
6. Obtain and control the release of information to the Public Affairs Bureau
7. Maintain a detailed log of activities

Required Information:

List all the information and resources that will be required to undertake the activities above in a timely manner (forms, references, procedural information, lists of key personnel, emergency contact numbers, etc.).

ANNEX A2 ACTIVITY SHEET

Position: Communications Coordinator

Primary: _____ Phone: _____

Alternate: _____ Phone: _____

Responsibilities:

1. Develop an information program plan
2. Determine resource needs to implement all aspects of an information package
3. Ensure that the primary and alternate spokespeople have sufficient training to undertake the tasks

Activities:

1. Ensure that all personnel have been notified not to release information and to refer requests to the organization's spokesperson
2. Advertise using appropriate media, as necessary
3. Hold press conferences, as necessary
4. Contact clients, staff and their families as necessary and provide them with important information
5. Maintain a log of activities

Required Information:

List all the information and resources that will be required to undertake the activities above in a timely manner (forms, references, procedural information, lists of key personnel, emergency contact numbers, etc.).

ANNEX A3 ACTIVITY SHEET

Position: Damage Assessment & Salvage Coordinator

Primary: _____ Phone: _____

Alternate: _____ Phone: _____

Responsibilities:

1. Assemble and train a damage assessment team
2. Prepare an incident response kit
3. Develop and maintain a list of contractors who specialize in damage assessment and salvage
4. Develop and maintain a list of contractors who can repair damaged resources
5. Liaise with emergency officials and property managers to ensure they understand the duties and functions of the Damage Assessment Team

Activities:

1. Contact and coordinate with insurance adjustors as necessary
2. Confirm with response authorities that it is safe for the Damage Assessment Team to proceed
3. Assemble the Damage Assessment Team
4. Proceed with the damage assessment
5. Report findings to the BCP Emergency Operations Centre
6. Following assessment, proceed to salvage useable items in accordance with established priorities and functions
7. Maintain a log of all activities

Required Information:

List all the information and resources that will be required to undertake the activities above in a timely manner (forms, references, procedural information, lists of key personnel, emergency contact numbers, etc.).

ANNEX A4 ACTIVITY SHEET

Position: Equipment and Supplies Coordinator

Primary: _____ Phone: _____

Alternate: _____ Phone: _____

Responsibilities:

1. Keep a list of local suppliers for all essential services
2. Maintain a list of alternate suppliers outside of the region for all essential services
3. Maintain lists of minimum requirements for all essential services
4. Liaise with Infrastructure and Facilities Coordinator
5. Evaluate leasing or renting options as opposed to purchasing (this will be influenced by the results of the Damage Assessment process)

Activities:

1. Contact local suppliers to obtain essential resources
2. Contact alternate suppliers (as necessary) outside of the region to obtain essential services
3. Distribute resources within the Department in accordance with the established priorities
4. Maintain a detailed log of activities

Required Information:

List all the information and resources that will be required to undertake the activities above in a timely manner (forms, references, procedural information, lists of key personnel, emergency contact numbers, etc.).

Note: When considering suppliers the following points should be considered:

Reliability: Are they likely to be impacted by the same incident? Do they have their own Business Resumption Plans?

Flexibility: What are their hours of operation? Will they provide emergency services? Will they supply resources for a short period of time, and at what cost? Are they willing to participate in training exercises?

Payment: Are credit arrangements available?

ANNEX A5 ACTIVITY SHEET

Position: Finance and Administration Coordinator

Primary: _____ Phone: _____

Alternate: _____ Phone: _____

Responsibilities:

1. Ensure that appropriate insurance coverage exists and maintain a list of all insurance policies and contacts
2. Maintain a list of current assets for insurance purposes
3. Prepare and maintain control of BCP Budget

Activities:

1. Notify insurance adjustors as required
2. Clear any major expenses with the insurance company
3. Authorize emergency cheques
4. Liaise with the management group on financial decisions
5. Maintain a record of purchases and expenditures
6. Maintain a log of activities

Required Information:

List all the information and resources that will be required to undertake the activities above in a timely manner (forms, references, procedural information, lists of key personnel, emergency contact numbers, etc.).

ANNEX A6 ACTIVITY SHEET

Position: Human Resources Coordinator

Primary: _____ Phone: _____

Alternate: _____ Phone: _____

Responsibilities:

1. Keep an up-to-date contact list of all employees
2. Maintain a list of agencies who can supply temporary staff as required, including specialized personnel
3. Develop a system for managing a post event resource pool
4. Maintain a list of sources for workplace health and safety advice and psychological counseling
5. Plan for other anticipated personnel issues (payroll, daycare, etc.)
6. Maintain a list of current job descriptions and skill sets so that unavailable staff can be replaced

Activities:

1. Account for the status of all personnel
2. Recall priority staff
3. Notify impacted employees of their status
4. Coordinate a resource pool of unassigned personnel, assessing departmental needs and reassigning as available
5. Obtain guidance on workplace safety and health issues, as required
6. Arrange for Critical Incident Stress Debriefings as required
7. Arrange for other personnel concerns as required
8. Maintain a log of activities

Required Information:

List all the information and resources that will be required to undertake the activities above in a timely manner (forms, references, procedural information, lists of key personnel, emergency contact numbers, etc.).

ANNEX A7 ACTIVITY SHEET

Position: Infrastructure / Facilities Coordinator

Primary: _____ Phone: _____

Alternate: _____ Phone: _____

Responsibilities:

1. Keep a list of building inspectors
2. Maintain a list of reliable and qualified contractors to:
 - a) Clean and repair the damaged site so that its normal activities can be resumed
 - b) Make temporary repairs to the damaged facility to reduce further damage or theft
 - c) Assist in establishing the alternate site
3. Locate and maintain a list of potential alternate sites (liaise with external agencies as required)
4. Assist in the establishment of policies and procedures relating to the Damage Assessment and Salvage Teams

Activities:

1. Contact building inspector for damage inspection
2. Select site and initiate relocation
3. Allocate space requirements to organizations based on established priorities
4. Ensure a logical layout of allocations to permit efficient functioning
5. Coordinate the activities of the Damage Assessment/Salvage Teams
6. Maintain a log of activities

Required Information:

List all the information and resources that will be required to undertake the activities above in a timely manner (forms, references, procedural information, lists of key personnel, emergency contact numbers, etc.).

ANNEX A8 ACTIVITY SHEET

Position: Information Technology Coordinator

Primary: _____ Phone: _____

Alternate: _____ Phone: _____

Responsibilities:

1. Maintain a list of local suppliers for all IT resources
2. Maintain a list of alternate suppliers outside the region for all IT resources
3. Maintain a list of qualified contractors for specialized installations
4. Maintain a list of all current assets and their locations
5. Determine resources needed to implement BCP
6. Determine the recovery priorities based on anticipated departmental needs
7. Develop and maintain a list of companies that specialize in electronic records salvage

Activities:

1. Contact local suppliers (as required) to obtain essential resources
2. Contact alternate suppliers (as required) outside the region to obtain essential resources
3. Control the distribution of resources as required
4. Coordinate the requirements for specialized installations
5. Maintain a record of purchases and expenditures
6. Address departmental needs for essential information and prioritize records retrieval
7. Contact Information Salvage companies as required
8. Maintain a log of activities

Required Information:

List all the information and resources that will be required to undertake the activities above in a timely manner (forms, references, procedural information, lists of key personnel, emergency contact numbers, etc.).

PART 3

TRAINING & AWARENESS

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TABLE OF CONTENTS

1. INTRODUCTION – WHY WE TRAIN	128
2. OBJECTIVES OF BCP TRAINING	128
2.1 TRAIN THE TRAINERS – THE BCP MANAGERS	128
2.2 INTRODUCTION TO THE 12 STEPS OF BCP DEVELOPMENT	128
3. TRAINING CONCEPTS	129
3.1 WHO TO TRAIN	130
3.2 WHEN TO TRAIN	130
3.3 WHERE TO TRAIN	130
3.4 SPECIFIC STANDARDS	130

Archived

1. INTRODUCTION – WHY WE TRAIN

In order to effectively respond to an emergency or disaster, the BCP Team must be adequately trained. Without training prior to a disaster, the business continuity team would be unprepared and likely unable to respond. Training ensures the familiarity and validity of the business continuity plan.

The Business Continuity Planning Section of the Alberta Emergency Management Agency extends their expertise and resources to the various departments of the Government of Alberta to help them meet the objectives of the Disaster Services Act. In particular training helps to address Section 3(b) of the Government Emergency Planning Regulation: “*The deputy head of a department must ensure that the department prepares and maintains a business continuity plan to ensure that the department can provide essential services in emergencies*”. The same level of service(s) that exist for emergency planning must also exist for BCP and this should be assured through a comprehensive training and awareness program.

2. OBJECTIVES OF BCP TRAINING

At the end of an introductory level course, the participants should have a general understanding of Business Continuity and a working understanding of BCP. They will be able to operate within a framework that supports and promotes departmental preparedness efforts, as well as having acquired basic disaster management skills.

2.1 TRAIN THE TRAINERS – THE BCP MANAGERS

AEMA may arrange to provide training for the BCP Managers (or BCOs) and their teams as required. The BCP Managers are responsible for ensuring that their departmental teams are trained and current on the requirements of their business continuity plans. For this, they may be required to conduct supplemental training within their department.

2.2 INTRODUCTION TO THE 12 STEPS OF BCP DEVELOPMENT

There are twelve key steps to BCP development that should be included in any introductory course or awareness session:

Step 1 -Gain the concurrence of departmental executive management

Step 2 -Develop a Departmental Business Continuity Policy

Step 3 -Promote departmental awareness (senior management concurrence)

Step 4 -Assemble a BCP Team and establish a planning structure

Step 5 -Establish a planning timetable (senior management concurrence)

Step 6 -Identify, categorize, and prioritize your critical, vital, necessary and desired services. Services or business outputs are normally located within current business plans and other strategic documents. A departmental review of services may be conducted if clarification of departmental services is necessary (senior management concurrence)

Step 7 -Conduct a Risk Assessment

Step 8 -Design and write the Business Continuity Plan

Step 9 -Confirm business continuity management protocols in conjunction with senior management and stakeholder concurrence

Step 10 -Design and implement a departmental business continuity training program for initial team training and refresher training (senior management concurrence)

Step 11 -Design and implement business continuity plan maintenance protocols

Step 12 -Design, coordinate and implement an exercise and validation process (senior management concurrence)

3. TRAINING CONCEPTS

Training and education are essential elements of a business continuity program. Providing individuals who have a role in business continuity with the necessary knowledge and skills will enable a coordinated and effective response and will enhance the overall level of preparedness.

Business Continuity training occurs at two levels - individual and collective:

- Individual training involves personal study and participation in workshops, seminars and courses
- Collective training involves a coordinated effort to bring the departmental business continuity plans together (through disaster exercises and mock disasters, individuals will be provided with experiential learning opportunities as well as knowledge in validating an organization's business continuity plan)

The learning objectives for the course should be designed to provide students with knowledge and skills that will assist them in carrying out their business continuity functions. This includes information on legislation requirements, Alberta's emergency management framework, and best practices of business continuity planning. Overall, training should incorporate lessons learned from real events. In doing so, actions or activities that worked well can be repeated, and those that were less effective

can be avoided. Although a challenging process, it is important to capture the lessons learned on the job and to share them with others who may face a similar situation.

3.1 WHO TO TRAIN

A BCP Manager will be identified for each department and will be trained as the point of contact for his/her department. AEMA may assist in providing training for the BCP Managers or Coordinators. The BC Team Managers will then train individuals from within their organization, identified as BCP Team members for their sub-departments. The BCP Managers will arrange all training required within the departments and coordinate resource availability. Training may include collective training conducted by AEMA Officers.

3.2 WHEN TO TRAIN

Whenever there is a change in the BCP Manager or to the BCP Team, training is warranted. Training requirements must be reviewed regularly, once a year at a minimum, in conjunction with the ongoing review of the BCP. Teams should attend refresher training on an annual basis. The BCP Team Managers will also conduct annual review sessions with their teams to ensure departmental BCPs are current and team members are up-to-date with the BCP processes.

3.3 WHERE TO TRAIN

Training should be conducted face to face wherever facilities can be arranged that meet the needs of the group being trained.

3.4 SPECIFIC STANDARDS

The following structure should form the basis of the training provided:

- Introduction to Business Continuity
- Introduction to BCP
- BCP Development Sequence (the 12 key steps)
- Plan Structure
- Risk Assessment
- Business Impact Analysis
- Activation and Implementation
- Maintenance and Validation

PART 4

EXERCISE & VALIDATION

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TABLE OF CONTENTS

PART 4: EXERCISE & VALIDATION	131
TABLE OF CONTENTS	133
1. INTRODUCTION	137
1.1 PURPOSE	137
1.2 DEFINING AN EXERCISE	137
1.3 IMPORTANT DEFINITIONS	138
1.3.1 EXERCISE CYCLE	138
1.3.2 SCHEDULE	138
1.3.3 EXERCISE PROGRAM	138
1.4 CONDITIONS LEADING TO AN EXERCISE PROGRAM	138
1.5 ADVANTAGES OF EXERCISING A BCP	139
1.6 EXERCISE PLANNING STEPS	139
1.7 THE PURPOSE OF AN EXERCISE	140
1.7.1 CONFIDENTIALITY	141
1.7.2 BUDGETING FOR EXERCISES	141
1.8 DOCUMENTING EXERCISES IN THE PLAN	142
2. EXERCISE POLICY	143
2.1 PURPOSE OF THE EXERCISE POLICY	143
2.2 POLICY CONTENT	143
2.2.1 GENERAL POLICY STATEMENT	143
2.2.2 RESPONSIBILITY	143
2.2.3 METHODOLOGY	143
2.2.4 SCHEDULE	143
2.2.5 EXERCISE PROGRAM BUDGET	144
2.2.6 OTHER	144
2.2.7 EXERCISE DOCUMENTATION	144
3. EXERCISE OBJECTIVES	145
3.1 WHAT IS AN OBJECTIVE?	145
3.2 IDENTIFYING AND SELECTING THE OBJECTIVES	146
3.3 OBJECTIVE EXAMPLES	147
3.3 RE-AFFIRMING OBJECTIVES DURING THE EXERCISE	148

4. EXERCISE TYPES AND SCHEDULING	149
4.1 PURPOSE	149
4.2 TYPES OF EXERCISES	149
4.2.1 DESKTOP	149
4.2.2 SIMULATION	150
4.2.3 FULL-SCALE EXERCISE	150
4.3 ADDITIONAL EXERCISE CONSIDERATIONS	151
4.4 EXERCISE CYCLE	152
4.4.1 MONTHLY	152
4.4.2 QUARTERLY	153
4.4.3 SEMI-ANNUALLY	153
4.4.4 ANNUALLY	153
4.4.5 AS REQUIRED	154
4.5 EXERCISE SCOPE AND CONTENT	154
5. PLANNING AND PREPARATION	156
5.1 DETERMINE CURRENT KNOWLEDGE BASE AND CAPABILITY	156
5.2 IDENTIFY THE PORTION(S) OF THE BCP BEING EXERCISED	156
5.3 DETERMINE THE GENERAL OBJECTIVE FOR THE EXERCISE	156
5.4 ESTABLISH THE EXERCISE PLANNING TEAM (EPT)	157
5.4.1 EXERCISE DIRECTOR	157
5.4.2 EXERCISE PLANNING TEAM (EPT)	157
5.5 IDENTIFY SPECIFIC OBJECTIVES, CONTEXT, PARTICIPANTS	158
5.6 DEVELOP THE EXERCISE	158
5.6.1 ESTABLISH THE EXERCISE SCENARIO	158
5.6.2 DEVELOP A MASTER EVENTS LIST	159
5.6.3 DEVELOP A DETAILED EVENTS LIST	159
5.6.4 DRAFT APPROPRIATE MESSAGES AND INPUTS	160
5.7 ESTABLISH APPROPRIATE SAFETY MEASURES	160
5.8 IDENTIFY SUPPORT REQUIREMENTS	160
5.9 DEVELOP AN APPROPRIATE EVALUATION MECHANISM	161
5.10 ESTABLISH EXERCISE CONTROL MECHANISMS	161
5.11 PREPARE THE EXERCISE INSTRUCTION	161
5.12 GAIN APPROVAL FOR THE EXERCISE	162
5.13 ISSUE EXERCISE INSTRUCTIONS AND BRIEF PARTICIPANTS	162

6. CONDUCTING THE EXERCISE	163
6.1 INTRODUCTION	163
6.2 CONTROL	163
6.3 SAFETY	164
6.4 HELPFUL HINTS	164
6.4.1 PRE-EXERCISE STAGE	164
6.4.2 EXERCISE STAGE	165
6.4.3 BREAKS	165
7. POST-EXERCISE ACTIVITIES	166
7.1 INTRODUCTION	166
7.2 POST-EXERCISE DISCUSSION AND REPORT	166
7.3 RESPONSIBILITY	167
7.4 KEY ELEMENTS	167
7.5 SEQUENCE	167
7.5.1 BUSINESS UNIT DISCUSSION	168
7.5.2 COLLECTIVE EXERCISE DISCUSSION	168
7.5.3 POST-EXERCISE REPORTING	168
7.5.4 EXECUTIVE SUMMARY TO THE DEPARTMENTAL MANAGEMENT COMMITTEE	169
7.5.5 FEEDBACK TO PARTICIPANTS	169
7.5.6 IMPLEMENTATION OF CHANGES TO PLAN	169
7.5.7 AWARENESS	169
7.6 SUMMARY	169
8. LESSONS LEARNED PROCESS	170
8.1 SIGNIFICANCE	170
8.2 METHODOLOGY	170
ANNEXES	171
ANNEX A THE EXERCISE PROGRAM	173
ANNEX B EXERCISE PLANNING STEPS	174
ANNEX D EXERCISE EXAMPLE	178
ANNEX E EXERCISE DIRECTOR'S CHECKLIST	179
ANNEX F MASTER EVENTS LIST	181
ANNEX G GENERAL EXERCISE INSTRUCTION OUTLINE	182
ANNEX G1 EXERCISE INPUT	185
ANNEX G2 GUIDELINES FOR OBSERVERS	186

ANNEX G3	GUIDELINES FOR PARTICIPANTS	188
ANNEX G4	COMMUNICATION DIAGRAM	190
ANNEX H	LOG SHEET	191
ANNEX I	POST-EXERCISE REPORTING	192

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1. INTRODUCTION

1.1 PURPOSE

Exercising and validating the BCP will guide the continued development and implementation of a departmental BCP program.

This part of the *Business Continuity Guide* is organized in eight sections that provide an exercising process applicable to business continuity planning:

- Section 1 Introduction
- Section 2 Exercise Policy
- Section 3 Exercise Objectives
- Section 4 Exercise Types and Scheduling
- Section 5 Planning and Preparation
- Section 6 Conduct of the Exercise
- Section 7 Post-Exercise Activities
- Section 8 Lessons Learned Process

The purpose of exercises is to promote awareness, expand knowledge and simulate the activities required to resume essential services in the event of a business interruption. For this, exercises should:

- Validate the capabilities of the BCP, not the exercise participants
- Involve both the primary and alternate resources
- Avoid any requirement to repeat the exercises for the purpose of training
- Be conducted on a progressive basis, with each exercise becoming more complex, until the entire BCP has been exercised
- Be aggressive and fully integrated (where practical) in order to reveal vulnerabilities
- Enhance group cohesion
- Be self-documenting

1.2 DEFINING AN EXERCISE

An exercise can be defined as “*practice of an ability, quality, etc.*” and “*a process directed at or concerned with something specified.*” An exercise may or may not be a test; however, it will likely possess one or more of the following characteristics:

- It is organized
- It can be measured

- It is based on set objectives
- It is pre-determined, calculated and controlled
- Participants and facilitators work with pre-set and developing expectations

In the context of business continuity planning and activation, there are general components that should exist for each exercise you plan and conduct. As a minimum, an exercise should have the following components:

- Aim
- Objectives
- Conditions and assumptions
- Participation guidelines
- Timelines
- Administrative and logistic parameters
- Support guidelines for controllers and observers

1.3 IMPORTANT DEFINITIONS

1.3.1 EXERCISE CYCLE

For the purpose of business continuity planning, an exercise cycle constitutes a series of exercises culminating in a department-level exercise. - *Business Continuity Guide*

1.3.2 SCHEDULE

A list or plan of intended events with an attached timeline. - *Oxford Dictionary, 1995 edition*

1.3.3 EXERCISE PROGRAM

An established series of objectives, exercises and related functions in support of a business continuity plan, including an exercise cycle and schedule. - *Business Continuity Guide*

Enclosed, as *Part 4 Annex A*, is an illustrated example of an Exercise Program.

1.4 CONDITIONS LEADING TO AN EXERCISE PROGRAM

Prior to implementing an exercise program, it is essential to have the following conditions established:

- A BCP Team has already been created and the plan has been developed and reviewed
- The plan has been distributed and detailed training for the BCP team and applicable participants has been conducted. BCP awareness sessions have been conducted for other staff
- The BCP remains the responsibility of the department, specifically the BCP Team
- The exercise policy has been reviewed and approved by senior management

1.5 ADVANTAGES OF EXERCISING A BCP

Significant emphasis is placed on the need to conduct exercises. Exercises allow the BCP Team to:

- Practice decision making and decision approval before an actual continuity scenario occurs
- Reduce the degree of confusion in a real event
- Met recovery time objectives in much less time
- Reduce the costs of continuity
- Work as a more cohesive group with departmental staff

As stated above and in *Part 1 of this Guide*, exercising the plan is the *only means to ensure that the procedures identified in the plan will work*. From checking for accuracy of information, to confirming the sequence of events for activation and the decision making process, exercising the plan will ensure that the BCP team and all staff are not only conversant with the plan, but confident in it.

1.6 EXERCISE PLANNING STEPS

The process for developing an exercise must be logical, methodical and all-inclusive. The exercise design process generally includes a number of key planning steps (refer to *Part 4 Annex B* for the *Exercise Planning Steps* diagram):

Step 1 - Determine current knowledge base and capability

Step 2 - Identify the portion(s) of the BCP that need(s) reviewing or exercising

Step 3 - Establish the overall objective for the exercise

Step 4 - Establish an exercise planning team (EPT)

Step 5 - Identify specific goal(s), context, parameters, and participants for the exercise

Step 6 - Develop the exercise through the following activities:

1. Define the goal and objective of each major activity
2. Establish the general scenario for the exercise
3. Develop a master events list
4. Develop a detailed event list
5. Establish anticipated actions
6. Draft appropriate messages or inputs

Step 7 - Establish appropriate safety measures

Step 8 - Identify needed support and logistical requirements

Step 9 - Develop an appropriate exercise evaluation mechanism

Step 10 - Establish exercise control mechanisms (control staff, simulation staff, and observers)

Step 11 - Prepare exercise instructions

Step 12 - Gain executive approval for the exercise

Step 13 - Issue appropriate exercise instructions

Step 14 - Brief participants and observers on the conduct of the exercise

Step 15 - Conduct the exercise

Step 16 - Deliver a post-exercise debriefing

Step 17 - Prepare the post-exercise report

Step 18 - Present the post-exercise report and provide recommendations

Step 19 - Track recommendations

Step 20 - Conduct corrective training or exercises

1.7 THE PURPOSE OF AN EXERCISE

The purpose of an exercise is to confirm that the detailed process will work. The effectiveness of an exercise can be found in the scope of changes and improvements

made to continuity strategies within the plan and in the conduct of a continuity plan activation.

The objective of exercising the BCP is to determine if the plan is capable of providing the desired level of support to the department's most critical services.

An exercise validates the effectiveness of continuity plan procedures to deliver the required level of support specified by the scope and objectives of the plan. It is important not over-exercise, as the goal is to learn and discover vulnerabilities, not to generate failure and frustration. However, final integrated BCP exercising may gradually become aggressive in order to reveal vulnerabilities not observed at the departmental level.

The best-planned and executed exercise may not achieve its objectives if participants do not believe they have achieved something positive. Successful results can be achieved through a well-defined exercise aim and realistic objectives. It is important to keep in mind that developing team cohesion and increasing awareness are invaluable elements in achieving the exercise goals.

In addition to the initial exercise of the plan, an annual exercise program should be developed to ensure the currency and effectiveness of the BC plan.

1.7.1 CONFIDENTIALITY

An exercise should be properly managed in order to reduce levels of unnecessary stress and apprehension amongst participants. When considering your first exercise, it is important to keep in mind that participants will normally not want their individual or organizational shortcomings publicly addressed. Participants are often likely to have had little time to prepare, and exercise planners should assume participants have a limited business continuity background.

1.7.2 BUDGETING FOR EXERCISES

As with all business operations, there is a need to forecast the costs of your exercise program. Often, the cost of conducting an exercise can be minimized if organized and conducted internally. The cost of an exercise will be primarily determined by the nature of activities, number of participants and length of time utilized.

Costs that will be incurred fall into two categories: *administration & logistics*; and *consultancy fees*, if applicable. General administrative costs may include:

- Renting an exercise site
- Meals for participants
- Travel and accommodation if participants must travel to the exercise location
- Equipment rental, including IT systems, audio-visual support
- Documentation production

- Exercise scenario support, e.g. videos and role players
- Communications, including radios, telecommunications, etc.
- Exercise set-up and clean up

As part of BCP project management, exercise costs should be forecasted based on specific exercise needs.

1.8 DOCUMENTING EXERCISES IN THE PLAN

There is no requirement to include all exercise documentation in the BCP. It is recommended that you only include your exercise concept in *Section 8* of your plan, in accordance with recommendations made in *Parts 1 and 2 of this Guide*. As long as your team and staff understand the department's exercise policy, objectives, methodology, schedule and post-exercise reporting, and lessons learned procedures, the rest of the exercise documentation can, and should be, maintained separately. This will facilitate amendments or replacement of the plan when changes are required.

Archiving

2. EXERCISE POLICY

2.1 PURPOSE OF THE EXERCISE POLICY

An exercise policy will guide departmental policy with respect to exercising and validating your business continuity plan. The policy section of a plan is designed to provide general information on the importance, intended methodology and schedule of an exercise program. As with all policy statements, a department's commitment to the ultimate validation of its BCP can be found in its exercise program policy statement.

The policy and supporting information should also be included in the BCP. As recommended in *Parts 1 and 2* of the Guide, the last section of the plan should include general statements that will inform the reader on how the department intends to initially validate the plan, and how it intends to ensure the plan is current and effective through continuation exercises.

2.2 POLICY CONTENT

The exercise policy should include the following components:

2.2.1 GENERAL POLICY STATEMENT

Exercise and validation objectives are essential, and should be included in a Policy Statement within the BCP. Exercises should be conducted to facilitate initial validation of the plan, and conducted regularly thereafter to ensure that the plan remains current.

2.2.2 RESPONSIBILITY

The individual responsible for exercise planning, preparation and conduct must be clearly identified. The BCP Manager or Coordinator is the logical choice to oversee these functions.

2.2.3 METHODOLOGY

Although not mandatory, a general description of the type of exercises that will be conducted and the amount of time participants can be expected to dedicate in exercising on an annual basis will assist in ensuring that the necessary time is available.

2.2.4 SCHEDULE

If possible, a general annual exercise schedule should be included. This will ensure maximum participation by key participants. In many cases, an organization can determine a particular time of year when exercises should culminate, normally based on

the high threat and risk season, concurrent with time sensitive organizational activities, or when there is a maximum availability of participants.

2.2.5 EXERCISE PROGRAM BUDGET

Definitive resource expenditure and cost capturing processes and responsibilities should be stated as part of the exercise policy.

2.2.6 OTHER

Additional paragraphs could be included to describe performance measurement, post-exercise reporting, lessons learned, and change management processes. These statements will serve to emphasize the determination of departmental leadership to maintain a current and effective plan.

2.2.7 EXERCISE DOCUMENTATION

The final paragraph should outline who is responsible for distribution and retention of all exercise material. Exercise documentation should be maintained on file for a minimum of one year in order to track the progressive nature of the exercises and recommended changes. Once the new exercise cycle begins, files may be archived.

Archived

3. EXERCISE OBJECTIVES

3.1 WHAT IS AN OBJECTIVE?

According to *The Concise Oxford Dictionary*, an objective is “something sought or aimed at; an objective point.” The guiding objective behind BCP exercises will determine whether the assumptions and procedures identified in the plan(s) can provide the required level of support for the department or agency’s essential business services.

Through exercising, activities identified within the BCP to enable the continuity of essential services should be tested. The scope of the exercise should help validate:

- The completeness of the BCP
- The feasibility of the procedures identified to resume essential services
- The efficiency and effectiveness of the procedures identified within the plan(s)
- The preparedness of the department to continue or resume essential services
- The ability of the department to implement the plan within a specified time period

The Business Continuity Planning Team will determine how to implement and administer the exercise program, and will develop the objectives for each exercise. In setting these objectives, they should consider:

- The number of facilities in which business is conducted
- The uniqueness of the service, facility, or operation conducted
- The number of similar facilities, services, or operations that exist
- The number of employees in each facility
- The number of services, functions or applications that exist at any given facility
- The number of time-sensitive services and processes provided at each location
- The number of service interdependencies
- The department’s continuity, recovery and restoration timeframes
- The cost of a particular exercise versus the expected preparedness benefit
- The availability of resources needed to adequately coordinate, manage and execute the exercise
- The frequency and type of events that have occurred at the various locations over time

- The objectives that need to be re-exercised for a particular business operation, function, process or application system

The activities developed to conduct the exercise should emphasize the need to achieve the exercise objectives. They should also set an appropriate tone for the exercise, to encourage maximum participation, and establish a process to track results, comments, and recommendations for future exercises.

The completion of the exercise will provide an opportunity to:

- Determine if the exercise objectives were met
- Obtain a cost assessment of the continuity activities
- Identify and make the necessary adjustments to the plan and the environment in which it is to be exercised and implemented
- Allow the responsible official(s) to determine whether the BCP, as exercised, is acceptable

3.2 IDENTIFYING AND SELECTING THE OBJECTIVES

The exercise objectives should be established through discussions between the Business Continuity Planning Team and Management. Through direct involvement, they will understand that the success of the exercise is dependant on the information they provide, and they will help ensure that the information provided is current and complete. When the objectives for the exercise have been set, the Business Continuity Planning Team can proceed with the development of the exercise (see *Sections 4 and 5* for details). Exercise documentation should clearly outline the objectives for the exercise and demonstrate management support in achieving those objectives.

To ensure success of the exercise, the objectives should:

- Receive senior management approval
- Address what should be realistically achieved through the exercise clearly and concisely
- Correspond to the overall business objectives and support the departmental vision
- Establish the boundaries for the exercise

3.3 OBJECTIVE EXAMPLES

The following examples are relevant to business continuity in the context of the Government of Alberta and can assist to develop BCP exercise objectives. An exercise strategy can be based on any number of these questions:

- Is the plan complete? (Determine completeness and applicability of the plan)
- Is the plan activation and process execution effective? (Are there any gaps?)
- Is personnel awareness and the overall level of awareness and preparedness for the BCP sufficient? (Is a measurement required to determine success? Do all personnel know what to do, how to do it, when to do it, where to do it, and why they are doing it?)
- Is the essential departmental services list correct? (Are the selected services critical, vital, necessary or desired?)
- Are the estimated continuity time objectives realistic and correct?
- Are the activation procedures effective? (Were they correct? Were any steps missed or not identified?)
- Is the alternate site available and are the activation procedures for it correct?
- Are all minimum acceptable levels of service for critical processes achieved by executing the plan? (Confirm restoration of critical services. Are timeframes acceptable? Were the correct services restored?)
- Are the essential resources available? Are all resources identified and required by the plan available and in working condition?
- Is the required security available when and where it is needed? Is the acceptable level of security provided to the data being generated and stored during the continuity operations processes?
- Are the process/system restorations and timeframes acceptable? (Were services restored and available within expected timeframes? Can the process/system be restored to normal operations after the plan has been executed?)
- Is the business impact analysis accurate? (Were the identified impacts achieved?)

3.3 RE-AFFIRMING OBJECTIVES DURING THE EXERCISE

It is the responsibility of the Exercise Director and all others in a leadership role to reaffirm the objectives throughout the exercise. The primary reasons for reaffirming exercise objectives include:

- Preventing the inefficient expenditure of time and resources
- Ensuring the scope of the exercise is maintained
- Refocusing participants (in the case of intentional or inadvertent confusion during parts of the exercise or groups who are working in isolation)
- Redirecting participants (in the case that exercise conditions have led to the degradation of participant capacity, reducing their ability to effectively complete assigned activities)

To determine if the objectives of the exercise have been met, a review or evaluation of the exercise and its results should be done. This is addressed in *Section 7*.

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4. EXERCISE TYPES AND SCHEDULING

4.1 PURPOSE

It is important to choose an appropriate exercise to achieve the objectives and to identify a schedule of future exercises.

4.2 TYPES OF EXERCISES

Several types of exercises can be used to validate a business continuity plan. For the purpose of the *Business Continuity Guide*, the focus will be limited to the methods identified below (also summarized in *Annex C*):

4.2.1 DESKTOP (also known as Tabletop or Structured Walk-Through)

This is the simplest form of exercise. The facilitator generally leads the participants through an exercise designed to confirm and enhance their understanding of their BCP. It can be based on discussions and open-ended questions, or be based on a walk-through scenario. It can involve any number of participants and provides the opportunity for staff to become familiar with their BCP and their roles in the continuity process. This type of exercise can run anywhere from less than an hour to a full day. A desktop exercise might include:

- Confirmation that a copy of the BCP is available at the worksite and at an offsite location (a simple question could be asked about the contents of a page, e.g. Section 3.7, to confirm that the respondent has a copy of the BCP)
- Confirmation that telephone lists are current (call numbers identified in the BCP)
- Identification of staff and resource requirements
- Triggers for the respective actions that would be taken in a continuity situation (a series of “what ifs”)

4.2.2 SIMULATION

Simulation is a more complex form of exercise. These exercises are usually based on a scenario that goes through a simulation of the events and impacts of an actual disaster. The key components of the activities are identified and scenario events are developed and controlled throughout the exercise. The simulation can involve any number of participants and provide the opportunity for staff to interact with other departments to accommodate their BCP. This type of exercise can run from 3 or 4 hours to a couple of days. The major feature of a simulation is that without deploying personnel or resources, the BCP Teams go through some or all of the activities that would be performed in the event of an actual business interruption. For example:

- A scenario is developed whereby the primary facility for the operation is not available (e.g. fire destroys the building). The scenario is played out and participants follow their BCP to enable continuity of critical and vital services. The exercise will help confirm the abilities of the department in dealing with the challenges of communication. It will focus on the use of the procedures and the equipment identified within the BCP to ensure the availability and viability of both during a business interruption. The participants make all the calls to contacts identified within their BCP, but no resources are moved, no facilities are activated, and no funds are spent.

4.2.3 FULL-SCALE EXERCISE

This type of exercise can be used to test an activation of the entire BCP. While very useful, this method should only be used after significant consideration of several factors such as costs, knowledge levels, preparedness, and the impact on normal operations. It generally requires the movement of personnel and assets, expenditure of public funds, and could have a negative impact on normal operations. Before a full-scale exercise is considered, the costs, impacts and risks to daily operations MUST be determined, reviewed, and approved by senior management. For example:

- A scenario is developed whereby the primary facility for the operation is not available (e.g. fire destroys the building). As the scenario unfolds, the BCP Team is activated and goes to their EOC. The team activates the BCP and contacts the resources required for the continuity of critical and vital services, assembling them at the offsite location. Further activation continues as identified within the BCP. The level of involvement and the amount of participation is determined by the objectives established for the exercise.

4.3 ADDITIONAL EXERCISE CONSIDERATIONS

Exercise Planning is covered in *Section 5*; however, the BCP section of the Alberta Emergency Management Agency is available to provide guidance or assistance in planning an exercise. Exercises may be either paper based or functional in nature.

A **paper based exercise** provides an opportunity for a walk-through that will simulate the responses for a pre-determined scenario. They can be interactive or situation/response type events. These are frequently used in *desktop exercises*, where participants are located in the same facility. These exercises:

- Provide an opportunity for staff to become familiar with the processes contained within the BCP
- Explore issues related to the BCP
- Raise the level of awareness in relation to the BCP

A **functional exercise** is intended to create a simulated environment that is as close to the real event as possible. These are frequently used in simulation and full-scale exercises. There will likely be role-playing, and participants are expected to react as they would in a real situation. These exercises:

- Provide an opportunity for staff to practice the continuity processes contained within their BCP
- Identify procedural problems in relation to the BCP

Exercises have differences in purpose, scope, the responses or actions required of the participants, and the level of stress to be imposed. Purposes can range from training and familiarization to a rigorous exercise of the BCP and the participants' ability to resume essential services. The scope of the exercise should identify the services and processes being exercised, the teams that are to be activated, and the level of activation that is expected of the teams through their continuity operations. Other exercise considerations include:

- Actions required can range from oral or written responses and simulated actions to complete activation of the BCP
- Increasing the levels of stress creates a sense of importance and urgency to the exercise. Altering the time between tasks can increase or decrease the stress during an exercise
- Exercises may be geared to validate a specific procedure within the BCP, or the entire BCP
- Exercise scenarios should be based on simulated, realistic conditions using projected activity levels

- Use actual backup systems and data files, including off-site storage to ensure that the system may be restored from backup data
- Include participation by objective third party observers (if possible)

4.4 EXERCISE CYCLE

An exercise cycle should be developed and conducted. If possible, this cycle should be repeated annually. However, Business Continuity Planning Teams must decide, based on policy established by senior management, how to implement and administer this cycle within their respective departments. Specific considerations include:

- The number of facilities in which the organization conducts business
- The number of employees in each facility
- The frequency and type of events that have historically occurred at the various locations
- The number of time-sensitive processes (essential services) conducted at each location
- The number and type of application systems being used at each facility
- The change rate within the organization's continuity and recovery teams
- The number of objectives that need to be re-exercised for a specific business operation, function, process or application system
- The cost of a particular exercise versus the expected preparedness benefit
- Impact on other organizational activities
- The availability of resources required to adequately coordinate, manage, and execute the exercise

Exercises may be advertised or unannounced and can be scheduled to occur at any time of the day or night. They can be conducted monthly, quarterly, semi-annually, annually, or on an as required basis. The scheduling and timing chosen for the exercise will depend in part on the objectives for the exercise and the type of exercise being conducted. In general, an annual schedule should be prepared to identify when and where exercises will be developed and conducted over the course of the year.

4.4.1 MONTHLY

This can involve simple activities to verify that information contained within the BCP is still accurate. Monthly exercises normally involve simulations that do not affect current operations or require the movement of assets or personnel (other than the BCP Team). Examples include:

- Telephone callouts to confirm team members, vendor availability, etc.

- Equipment inventory and availability

4.4.2 QUARTERLY

In addition to items identified with the monthly exercises, quarterly exercises can involve activities that verify the accuracy and applicability of the command and control functions. These exercises normally involve simulations only, and may not affect current operations or require the movement of assets or personnel (in addition to the BCP Teams).

Examples include:

- Call forwarding of telephones for essential personnel
- Calling vendors with both business and after hours contact numbers
- Confirming replacement availability of critical and vital resources

4.4.3 SEMI-ANNUALLY

In addition to items identified within the quarterly exercises, the semi-annual exercise can bring in all aspects of the BCP and exercise the relationships between departments. Flowcharts can help clarify and confirm the continuity processes, especially when trying to confirm the relationships between departments. However, these exercises normally involve simulations and they may not affect current operations or require the movement of assets or personnel (in addition to the BCP Teams). Examples include:

- Dispatch of BCP team personnel to the Emergency Operations Centre (EOC)
- Confirmation of LAN and data center management
- Communications activation

4.4.4 ANNUALLY

An annual exercise generally tends to be the most complex in terms of scope and nature. It can include all aspects of the BCP and exercise the relationships between departments (flowcharts can also help clarify and confirm the continuity processes). These exercises involve detailed simulations or functional activations. While attempting to keep business disruptions to a minimum, an exercise of this magnitude could affect current operations and require the movement of assets or personnel and the expenditure of public funds. Examples include:

- Activation of the EOC
- Activation of the alternate site arrangements (e.g. data center, alternate operations facilities)

4.4.5 AS REQUIRED

An 'As Required Exercise' could be conducted at any time, in any mode, and involve any number of activities that verify the information contained or modified within the BCP. This may include something as minor as re-verification of a telephone tree or as significant as the activation of the EOC and the alternate site.

Once the BCP has been developed, a regular schedule should be developed to exercise the plan and the BCP Team. Initially, small parts of the BCP should be exercised so that it will be relatively easy to manage and schedule. A department could realistically plan to conduct six to ten monthly exercises, along with one quarterly and one semi-annual type exercise per year. Due to the time and resource commitments for a full-scale exercise, it should only be considered every 2 or 3 years and should be coordinated with the Business Continuity Planning section of AEMA.

Although up to this point the focus has been on exercising the BCPs of the individual departments, an integrated exercise of the BCPs from all departments should also be conducted, setting the stage for the implementation of a cross-government exercise program. This process will be coordinated by AEMA.

4.5 EXERCISE SCOPE AND CONTENT

By combining the purpose, scope, responses or actions required of the participants, and the level of stress in a variety of ways, different exercises can be created (example in *Annex D*). The type of exercise will depend in part on the objectives of the exercise and the frequency of occurrence. Exercises should be conducted sequentially for every BCP in the department. Although the following list is not all-inclusive, the exercise may involve situations that relate to:

- Checklists
- Communications equipment
- Communications with staff, the public and the media
- Simulation of a single process or functional area
- Operational events utilizing multiple processes or interrelated business units
- Live occurrence
- Alerting and notification drills
- Compatibility of equipment
- Decontamination of equipment
- Direction and control
- Mutual aid agreements (municipality to municipality; municipality to industry; municipality to contractor)

- After-hours exercise
- Readiness of alternate or continuity facilities
- Reception centers
- Relocation (alternate site, EOC, etc.)
- Staffing for 24-hour operations – 7 days per week
- Transportation, traffic and access control

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5. PLANNING AND PREPARATION

The planning steps have been previously outlined in *Part IV, Section 1*. Those steps that are directly involved in the planning and preparation portion of an exercise are described below.

5.1 DETERMINE CURRENT KNOWLEDGE BASE AND CAPABILITY (Step 1)

Effective exercises should be built on what individuals know and what individuals and organizations are capable of responding to. Those responsible for the development of the exercise should assess what the participants will know about emergency preparedness and business continuity, and whether or not they are current in their knowledge of existing plans and procedures. This can be accomplished by interviewing key personnel, reviewing operational reports and previous exercise reports, and by studying the reports from recent incidents.

Exercise planners need to have a clear understanding of the risks that may affect the department and the resources and mechanisms currently available to respond. This can be obtained by reviewing the existing emergency and BCPs of the department.

5.2 IDENTIFY THE PORTION(S) OF THE BUSINESS CONTINUITY PLAN BEING EXERCISED (Step 2)

A full-scale exercise will likely only be possible if all individual portions of the plan have been exercised. In the initial stage of plan development and exercising, it is important to identify which specific areas of the plan need to be verified. As the frequency and scale of exercises increase, it will be possible to include more elements of the plan, or additional areas within the department into the exercise environment.

5.3 DETERMINE THE GENERAL OBJECTIVE FOR THE EXERCISE (Step 3)

The preparation and planning involved in an exercise demands a considerable amount of effort and attention. Exercise consequences are significant, and they must be developed, conducted and evaluated to meet a predetermined objective. That objective must be established in the initial stages of the process, as it will become the focus of all exercise-related activity.

Refer to *Section 3 of Part 4* for details on exercise objectives.

5.4 ESTABLISH THE EXERCISE PLANNING TEAM (EPT) (Step 4)

5.4.1 EXERCISE DIRECTOR

The key to the organization of the EPT will be the selection of the Exercise Director. The Exercise Director can be viewed as the conductor of this exercise and has the following responsibilities:

- Working with the various members of the planning team, exercise observers and administrative support to deliver the exercise in a professional manner
- Overseeing all aspects of planning, preparation, conduct and post-exercise reporting
- Collecting, interpreting and disseminating information relating to the conduct of future exercises or training
- Liaising with senior management
- Conducting all cross-departmental liaisons
- Ensuring the exercises follow the determined schedule and are conducted to achieve the stated aims of the exercise

A suggested checklist for the Exercise Director has been included as *Annex E*.

5.4.2 EXERCISE PLANNING TEAM (EPT)

The selection and support of an EPT will be critical to the successful conduct of any exercise. Members of the EPT should be recruited to represent the various agencies, divisions, sectors or departments that will participate in the exercise. A more complex exercise, designed to cover a wide variety of areas, will require a much larger planning team. The establishment of a diverse EPT will help in obtaining commitment from the participating organizations and is more likely to ensure that organizations' needs, perspectives and resources are considered during the development and conduct of the exercise.

It is essential that members of the EPT have a comprehensive understanding of their own organization, the departmental BCP and any specific needs. They do not necessarily have to be familiar with the design process or the planning steps involved. However, the BCP Manager must be very familiar with this process and able to direct the activities of the planning team. The Manager should be seen as a coordinator for the exercise and not as a representative of the organization.

5.5 IDENTIFY SPECIFIC OBJECTIVES, CONTEXT, PARAMETERS AND PARTICIPANTS

(Step 5)

Once the EPT is established, the overall objective of the exercise should be refined. Team members should then as a group, develop and define a series of objectives for the exercise. Objectives must be specific, result oriented, realistic and measurable. These specific objectives will ultimately steer the exercise, eliminate any frustration for exercise participants, and assist in the elimination of potential tasks that may be outside the scope of the exercise or the reach of the participants. Specific objectives will also lead to the detailed design of exercise inputs and activities that will subsequently generate responses from the participants.

Other considerations include:

- Which parts of the organization need to participate?
- How extensive (duration, complexity, geographic boundaries, resource commitments) should the exercise be?
- What type of exercise should be used to achieve the objectives?
- What type of scenario would be most applicable to the achievement of the objectives (*Section 4*)?
- What are the best dates to conduct the exercise (this should be established early in the process)?

5.6 DEVELOP THE EXERCISE

(Step 6)

Exercise development is conducted by the EPT, and may include:

- Establishing the EOC
- Activating the BCP
- Requesting governmental assistance
- Developing links to suppliers

5.6.1 ESTABLISH THE EXERCISE SCENARIO

With an understanding of the department's BCP, realistic exercise scenarios are developed by the EPT. The scenarios provide a brief description of the situation at the start of the exercise and the context in which the exercise will operate. Exercise scenarios should be realistic and brief but detailed enough to focus the attention of the exercise participants on the actual exercise objectives.

The following are a sampling of scenarios that can be used in the development of an exercise:

- Loss of an entire facility
- Loss of a particular service
- Utility service outage
- Inaccessibility to production areas
- Destruction or damage to production equipment, raw materials and work in progress
- Circumstances resulting from natural, man-made and technological disasters

5.6.2 DEVELOP A MASTER EVENTS LIST

A Master Events List identifies, in chronological order, all the major events that are scheduled to take place during the exercise. This list must be directly linked to the stated objectives of the exercise. Items that could be included in the Master Event List are:

- Activation of the EOC
- Initiation of operations at an alternate site
- Coordination with local authorities on-site
- Coordination of Damage Assessment and Salvation Teams
- Notification to the public of the impact on normal operations
- Initiation of the phone fan-out
- Liaison with other governmental departments

The Master Events List (see also *Annex F*) should include all significant events (i.e. training, administrative activities, etc.).

5.6.3 DEVELOP A DETAILED EVENTS LIST

Once the Master Events List has been completed, the EPT must define each of the items included on it. This involves taking each of the entries on the Master Events List and identifying specific activities necessary to achieve each item.

The events on the Master Events List should be linked to an anticipated reaction of the participants. This will assist in ensuring that the exercise does not unfold in a meaningless manner and that participants benefit from each event.

5.6.4 DRAFT APPROPRIATE MESSAGES AND INPUTS

Once the Detailed Events List has been completed, the EPT will translate these events into meaningful exercise inputs. These inputs, or messages, are what the participants will receive during the exercise and will initiate action by the participants as the situation (scenario) develops.

5.7 ESTABLISH APPROPRIATE SAFETY MEASURES (Step 7)

Not all exercises require an element of safety and security. Paper exercises contain few hazards. However, other forms of exercises contain an element of risk and it is incumbent on the EPT to ensure that the risks are considered by the exercise participants and the observers. When necessary, particularly during major exercises, the EPT should establish:

- A method to quickly revert from the simulated disaster in order to immediately address needs associated with the real emergency
- Ways to avoid injuries during the deployment of any external resources
- A swift response to injuries if they occur during the conduct of the exercise

Safety measures should be introduced to all participants as part of an initial exercise briefing.

5.8 IDENTIFY SUPPORT REQUIREMENTS (Step 8)

All exercises require administrative support and resources. Generally, the larger the exercise, the higher the demand for resources and support. Consideration should be given to:

- Facilities for the planning team's meetings as well as for the conduct of the exercise
- Specialized communication requirements
- Exercise materials (this includes everything from paper to transportation)
- Requirements for exercise support staff
- Maps, site plans, emergency plans, copies of existing Standard Operating Procedures, copies of applicable legislation, etc.

5.9 DEVELOP AN APPROPRIATE EVALUATION MECHANISM (Step 9)

The purpose of conducting a business continuity exercise is to validate the existing plan and identify any potential shortcomings within the plan. To assist in this validation, the EPT should use an evaluation tool.

The most common and most effective evaluation tool is the use of observers. Their primary role is to monitor the exercise as it unfolds and report their observations at its conclusion. Observers should be directed to monitor specific areas of interest, as determined by the EPT. To assist in this process, the EPT should provide observers with a series of general questions that require comment. They may also be directed to focus on specific aspects of the exercise, such as understanding the activation process or the reaction of the Emergency Operations Centre to specific incidents.

The exercise should satisfy the stated goals and objectives without being sidetracked by outside influences. It is rare that the observers are free to observe and report at will. This open approach will only work if the observers have extensive knowledge in the field of Business Continuity, are experienced observers, and have detailed knowledge of the existing BCP.

5.10 ESTABLISH EXERCISE CONTROL MECHANISMS (Step 10)

Exercises, regardless of their size or complexity, require a mechanism that will provide appropriate guidance and allow them to achieve the stated goals and objectives.

Each exercise must have an Exercise Director who has the sole responsibility of ensuring that the exercise flows in the intended manner, regardless of any obstacles. A number of connected cells (exercise staff, simulation staff, and observers) will assist the Executive Director and be responsible for the various aspects of the exercise conduct. The EPT must carefully outline the composition of these cells with their specific roles and responsibilities.

In small or medium level exercises, it is common that these groups are often the same people. Nonetheless, they require specific instructions, provided by the EPT, for each of their important roles.

5.11 PREPARE THE EXERCISE INSTRUCTION (Step 11)

Before gaining final approval for the exercise, an Exercise Instruction must be prepared. This is a detailed document that will provide all the necessary information concerning the exercise. Much of the preparation can and should be completed by the EPT as the exercise develops. In addition to the exercise instruction it may be useful to create an

individual checklist to confirm the completion of all administrative details. A suggested outline for an Exercise Instruction is included in *Annex G*.

5.12 GAIN APPROVAL FOR THE EXERCISE **(Step 12)**

It is important to gain approval for the exercise as the planning process unfolds. This will avoid any unnecessary complications during the planning process and will assist in obtaining support from senior management. It is also important to obtain approval for the entire concept once the EPT has completed the task of developing the exercise.

While senior management support is paramount, the EPT must ensure that each supporting organization is briefed during the planning and preparation phase.

5.13 ISSUE EXERCISE INSTRUCTIONS AND BRIEF PARTICIPANTS **(Step 13 & 14)**

Once approval has been obtained, the Exercise Instruction, along with appropriate supporting documentation, should be issued to all exercise participants. Depending on the scenario and the objectives of the exercise, not all attachments to the Instruction are necessarily issued to all participants. For example, it may not be appropriate to circulate the Master Events List if the intent is to exercise the reaction of the EOC.

6. CONDUCTING THE EXERCISE

(Step 15)

6.1 INTRODUCTION

There is nothing mysterious about conducting a business continuity exercise. The majority of the work for the exercise will have been done during the planning and preparation stage. The success of the exercise is dependent on two critical factors:

- The effectiveness of the EPT (i.e. the realism of their objectives, the clarity of the scenario and the usefulness of the inputs that have been designed to initiate and control the flow of the exercise); and
- The ability of the Exercise Director and the Exercise Observers to manage the conduct of the exercise.

6.2 CONTROL

The Exercise Director is the exercise's sole director and has control over the conduct of the exercise. This authority includes the ability to terminate the exercise for such things as safety or real emergencies.

It is the responsibility of the Exercise Director and Exercise Controllers to monitor the flow of the exercise. This can be done by issuing a series of exercise inputs to the participants and then monitoring their progress and responses. For large-scale exercises, it is important that the Exercise Controllers advise the Exercise Director of any potential problems before they become major obstacles in the flow of the exercise.

The Exercise Director should strike a balance between excessive and insufficient control. Excessive control occurs when participants are allowed little or no flexibility in their responses. They are led down a carefully selected pathway that will guarantee success and limit the opportunities to identify potential weaknesses in the existing plans. Insufficient control occurs when participants are permitted too much flexibility. The lack of control can lead to potential breaches in safety protocols, potential injuries, chaos and a failure to meet any of the stated objectives of the exercise.

All controllers, observers, and simulators (as applicable) should be under the command of the Exercise Director. Each of these individuals should be briefed on the following issues:

- The intent of the exercise
- The scenario of the exercise
- The intended flow of the exercise

- The roles and responsibilities of the various organizations being exercised
- The key principles and rules relating to the conduct of the exercise and the responsibility of early termination of the exercise
- The use of the control and safety communication system as required

Another control option is the insertion, where necessary, of specific exercise inputs that have been developed to initiate a desired action. Where exercise participants fail to take the appropriate action, on which another participant is dependent, another input may be introduced to indicate that the desired action has been taken and that the expected results have been achieved.

If necessary, the Exercise Director can use a 'time-out' during the conduct of the exercise. This will stop all exercise play and allow specific problems to be resolved in a timely manner. Once control has been restored, the Exercise Director may resume the exercise.

6.3 SAFETY

The size and composition of the exercise staff will be a determining factor on whether or not to establish a dedicated communication system for the exercise control staff. Should a dedicated system be established, it can also act as a safety network used in emergency situations, should they occur.

6.4 HELPFUL HINTS

The following are suggestions to assist in the conduct of an exercise, broken down into three (3) stages: *pre-exercise*, *exercise* and *breaks*.

6.4.1 PRE-EXERCISE STAGE

- Ensure that the appropriate exercise instructions have been distributed
- Arrive early to ensure that necessary administrative arrangements have been completed
- Ensure that the exercise rooms are supplied with necessary equipment and are accessible to the exercise participants
- Know the sequence of the exercise completely and ensure that the sequence of activities flows smoothly
- Conduct a communication check to ensure that all systems are operating

6.4.2 EXERCISE STAGE

- Begin the exercise with an exercise briefing to all participants, in which you summarize the rules of play, the objectives of the exercise and the method of play
- Ensure that all participants realize a post-exercise debriefing will be conducted immediately following the exercise
- Let the exercise play proceed at a realistic pace, avoid Exercise Director or Exercise Observer interference unless the success of the exercise is in jeopardy
- Be prepared to prompt exercise participants as required (i.e. to take action or to keep things moving)
- As play proceeds, the Exercise Director and Exercise Observers should be taking detailed notes of all actions conducted by the participants
- Exercise participants are to be reminded of the importance of keeping a detailed log of their activities for use in the exercise debriefing (an example of a Log Sheet is included as *Annex H*)
- Exercise Participants should be encouraged to note deficiencies in the plan so that they can be discussed during the post-exercise debriefing
- The Exercise Director should ensure that participants stay alert and are in a position to respond quickly in order to maintain exercise momentum and relevance
- Do not hesitate to call a 'time-out' if the exercise appears to be stalling or moving away from objectives

6.4.3 BREAKS

- Should be scheduled if the exercise is going to proceed for an extended period of time
- Should not interfere with the schedule of exercise inputs
- Provide an opportunity for the Exercise Director and Exercise Observers to get together and discuss critical issues relating to the flow and conduct of the exercise

7. POST-EXERCISE ACTIVITIES

(Step 16-20)

7.1 INTRODUCTION

The success of an exercise may be measured by the extent of the post-exercise activities. Organizers must schedule follow up activities that encourage all exercise planners, organizers, observers and participants to comment on exercise results and required improvements. Comments should be gathered in a formal manner resulting in the production of a post-exercise report (PER) that documents the lessons learned and recommended changes for improvement.

A PER is the key mechanism used to summarize a discussion on an exercise, focusing on performance objectives. The PER clearly and concisely reports the results of the exercise. It should confirm the activities undertaken and verify whether the plan was effective relative to the exercise expectations and evaluation criteria. It should enable staff and planners to recognize strengths and weaknesses in the plan, understand what happened in the exercise and why it happened, determine what should have happened, and decide how to improve. A PER should be kept on file until the end of the training and exercise cycle, i.e. one to two years, depending on the department's exercise and validation schedule.

7.2 POST-EXERCISE DISCUSSION AND REPORT

Due to the sensitive nature of this activity, the following tips are strongly recommended to ensure the best results:

- Ensure sufficient time for a complete discussion
- Have a strong moderator to control the subject and direction of the discussion
- Have participants arrive with the correct mentality and sensitivity (flexible to suggestions of improvements to the plan)
- Emphasize to all participants that the discussion is not a critique and that everyone can, and should, participate
- Focus the discussion on the objectives of the exercise and review these objectives before accepting comments
- Confirm if the scenario was appropriate for the exercise objectives
- Emphasize that the discussion should highlight positive aspects as well as areas of improvement

- Encourage participants to provide detailed observations and include recommendations for improvement
- As a general rule, participants should spend 25% of their time discussing an issue, 25% of their time discussing why it should be changed, and 50% on how it should be changed
- Attempt to identify who should action the change or proposed solution
- Participants should leave a post-exercise discussion with a high sense of accomplishment

7.3 RESPONSIBILITY

Post-exercise activities should be conducted during or immediately after each exercise. The individual designated to lead the exercise should also lead, but not necessarily moderate, the post-exercise activities. The scope and detail of the activities, specifically the report, will depend entirely on the scope and extent of the exercise.

7.4 KEY ELEMENTS

Post-exercise activities, particularly the PER, will only be effective through the inclusion of the following elements:

- *Active participation* – The participation of all personnel is relevant to the plan or component of the plan being exercised
- *Review of Objectives* – Determine if the exercise objectives were addressed and what lessons were obtained from the exercise (not a “pass or fail”)
- *Discussion Focus* – Points should be raised on a discussion basis to determine what was wrong or right, why, and provide recommendations on how to improve
- *Learning Reinforcement* – Once a PER has been completed, decisions must be disseminated or discussed with the same audience to ensure that all participants are aware of the changes
- *Timeliness* – Reports must be completed shortly after an exercise in order to capture the contentious issues and ideas for improvement from the participants

7.5 SEQUENCE

The following activities should be conducted immediately after all exercises:

- Business unit level discussion (immediate session)
- Collective exercise discussion

- Post exercise reporting
- Executive Summary for leaders
- Feedback to exercise participants
- Plan changes with an implementation schedule
- Awareness

7.5.1 BUSINESS UNIT DISCUSSION

This discussion is conducted immediately after the exercise has ended and is designed to allow immediate feedback on the successes and shortfalls observed within the business unit. The exercise objectives should be reviewed against the activities conducted to determine whether or not objectives were met. Each business unit should identify points of concern and appoint a spokesperson for the subsequent collective discussion. Discussion points should be organized to address actions that will be taken within the business unit and the recommendations for improvement to the overall plan.

7.5.2 COLLECTIVE EXERCISE DISCUSSION

(All exercise participants)

The collective exercise discussion should include as many of the exercise participants as possible. The discussion should focus on recommendations that will help the organization achieve the best results and improve the plan. To ensure constructive recommendations are made, a moderator should be appointed to control the discussion. The main aspects of the PER should include the comments on strengths or areas of improvement, followed by recommendations on how to proceed.

This forum will also be a good opportunity to acknowledge the key post-exercise observations while commenting on the achievement of exercise objectives, reinforcing the value of the exercise and the benefits to the department.

7.5.3 POST-EXERCISE REPORTING

The PER is a written summary of the collective discussion. The participants will submit their comments through their Branch or Division as the BCP Manager deems appropriate. This will allow the Manager a measure to ensure that all discussion points are recorded in detail with room for his/her comments and the response from departmental leaders. An example of a standard PER format with additional instructions and a blank copy are included in *Annex I*.

7.5.4 EXECUTIVE SUMMARY TO THE DEPARTMENTAL MANAGEMENT COMMITTEE

The BCP Manager should produce an executive summary and be prepared to brief senior management on the exercise results. Executive summaries or briefings should include concise descriptions of the following:

- The exercise objectives
- The exercise scenario
- Where the exercise was conducted, when, and who participated
- Recommendations made and accepted at the BCP Team level
- Recommendations made requiring Executive Committee decision
- Recommendations on how to proceed

7.5.5 FEEDBACK TO PARTICIPANTS

Few things are more disconcerting to employees than a lack of feedback. As such, BCP Managers should conduct a follow-up session designed to inform participants and the BCP team of accepted recommendations and the timeline for changes. This activity may result in the assignment of tasks to effect changes. At the very least, a feedback summary should be circulated to the leadership teams of all participating personnel.

7.5.6 IMPLEMENTATION OF CHANGES TO PLAN

Once changes have been authorized, the BCP Manager must identify the timeframe within which these changes will be implemented and a date when the BCP team will reconvene to confirm implementation. At this point, consideration may be given to the next exercise date and whether the latest amendments were significant enough to repeat a similar exercise.

7.5.7 AWARENESS

Once changes have been made to the plan due to post exercise feedback, all relevant BCP Team members must be informed. It will also be important to ensure any changes are communicated across the department so that all copies of the BCP may be revised.

7.6 SUMMARY

Post-exercise activities are critical to a successful exercise and validation program. They are designed to take advantage of the perspective of all participants and observers of the exercise in order to improve the plan. The PER and follow-up process must be considered by the exercise planner from the beginning. Failure to capture observations and recommendations for change will often render an exercise ineffective.

8. LESSONS LEARNED PROCESS

8.1 SIGNIFICANCE

As with any activity, organizations of any size can learn from the efforts and lessons learned by others. Reviewing the lessons learned by organizations that have completed the same activity could save considerable time and money.

8.2 METHODOLOGY

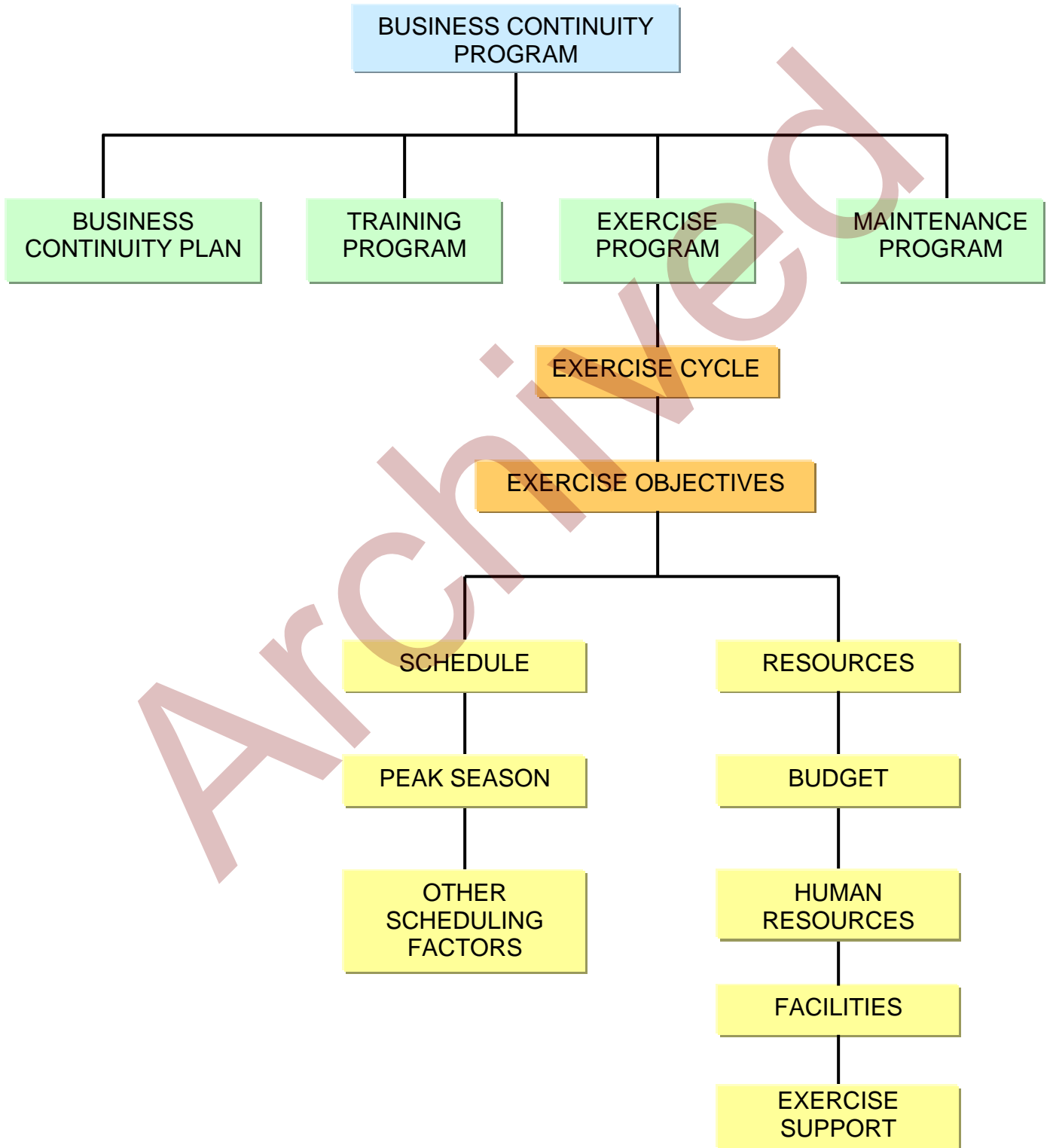
Some organizations may decide to develop a Business Continuity Planning Lessons Learned Warehouse. Information derived from actual emergencies, disasters, exercises, and BCP programs can be gathered through research, general discussions, summary reports, after-action reports, post-exercise reports, surveys, and questionnaires. This information can then be reviewed in detail with the intent of extracting the lessons learned and categorized as detailed below:

- Development of a business continuity plan
- Business continuity training and awareness
- Business continuity plan exercise and validation process
- Continuity plan maintenance
- Business continuity activation
- Business continuity and continuity – lessons learned through emergencies

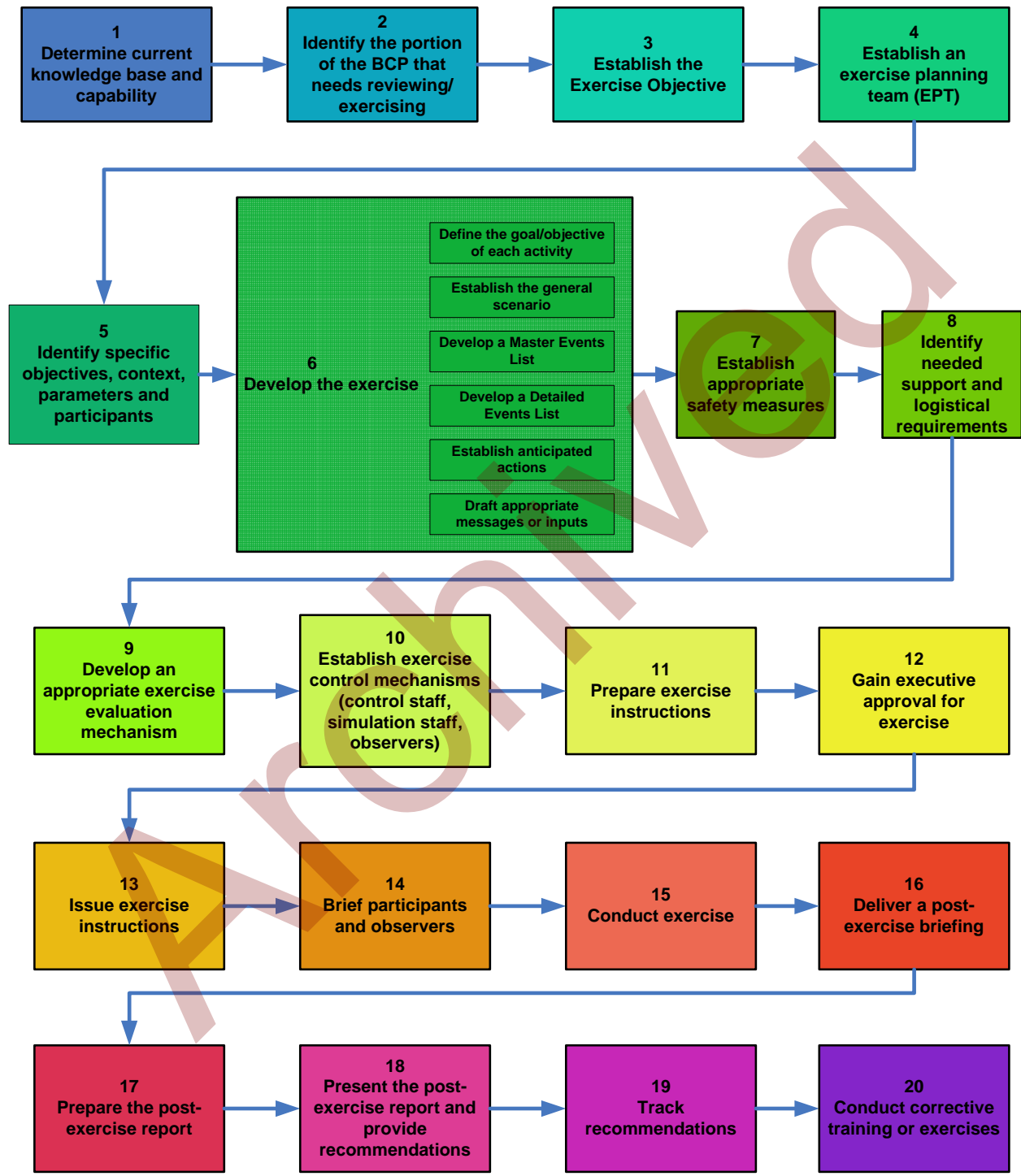
PART 4
ANNEXES

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ANNEX A THE EXERCISE PROGRAM



ANNEX B EXERCISE PLANNING STEPS



ANNEX C EXERCISE TYPES

Exercise Type	Method Used to Conduct	Simulation Activities	Advantages	Disadvantages
<p>Desktop / (Tabletop / Structured Walkthrough)</p>	<p>Briefing via lecture, slides, discussion, panel, etc.</p> <p>Facilitator can lead group through a problem discussion.</p> <p>Scenario based messages, controllers, and evaluators.</p>	<p>Can range from none to a narrative description of an event, a new plan or procedure, etc. which will lead to group discussions.</p> <p>Coordination, control, policy and resource matters.</p>	<p>Low cost. Modest time commitment. Minimal preparation.</p> <p>Generally low stress.</p> <p>Basic building block of program to meet training objectives.</p> <p>Allows operational problems to be examined without time constraints and other stressors.</p> <p>Primarily a teaching tool.</p> <p>Generally focuses on one or two aspects of the BCP, allowing participants to walk through the management issues of the situation.</p>	<p>Does not measure capability.</p> <p>Usually only one facet of the system is examined at any given time.</p> <p>Dependant on written scenario.</p> <p>Does not exercise the system and does not heavily stress the decision making processes.</p> <p>Allows limited measurement of ability.</p>

Exercise Type	Method Used to Conduct	Simulation Activities	Advantages	Disadvantages
Simulation	Scenario based, messages, controllers, evaluators	Alerting and callouts, message handling and processing capabilities, information management	<p>Provides training opportunity.</p> <p>Good for gathering information on the communication systems (including backups) and process functionality (usually without utilizing or activating external resources).</p> <p>Increases realism and adds some stress to participants.</p> <p>Low cost. Modest to moderate time commitment.</p> <p>Safe.</p>	<p>Limited scope.</p> <p>Key decision makers may not be involved.</p> <p>May interfere with normal communications during exercise.</p>

Exercise Type	Method Used to Conduct	Simulation Activities	Advantages	Disadvantages
<p>Full-Scale</p>	<p>Can be a simulation or a drill.</p> <p>Exercise creates complex, stressful environment.</p> <p>Scenario based messages, controllers and evaluators.</p> <p>May involve deployment of resources and involve simulated casualties, etc.</p>	<p>Controllers represent field personnel to force consideration and resolution of policy, resource and other command/control issues.</p> <p>Many actions may be driven by requirements to move resources and or activate alternate facilities and systems.</p>	<p>Can involve the entire management team and many of the components, systems and processes of the department.</p> <p>Allows site management to be exercised under realistic conditions.</p> <p>Can be used for promotion, since media is often attracted.</p> <p>Significant time and resource commitment.</p>	<p>Requires extensive preparation.</p> <p>Scenario development is critical to exercise.</p> <p>Major time and resource requirements.</p> <p>Safety and logistics issues if resource deployment and movement is involved.</p>

ANNEX D EXERCISE EXAMPLE (for Business Continuity)

Exercise Name

(E.g. EXERCISE CHECK-IT)

Description

(E.g. communication verification and alternate process validation.)

Exercise Type

(E.g. simulation conducted in a "time compression" format.)

Advantages

(E.g. provides opportunity to confirm the communication systems, including their backups, and process functionality. Introduces realism and adds some stress to participants. Low cost with modest to moderate time commitment. Safe.)

Disadvantages

(E.g. limited scope. May interfere with normal communications during exercise.)

Scope

- *Conditions* (Identify the conditions relating to the exercise)
- *Scenario* (e.g. Disaster scenario established but not shared in advance. Communications out due to sunspot activity and virus in communications software.)
- *Objectives* (e.g. Identify BCP deficiencies and areas of improvement. Identify errors and omissions.)
- *Duration* (e.g. Exercise length 8 hours, simulating 48 to 72 hours of real time.)

Conduct

(E.g. teams perform their restoration/continuity tasks and interface with each other while simulating the business interruption to determine the team's ability to recover based on their BCP.)

Resources

- Participation (e.g. single/multiple business units, team members or alternates from up to six teams, organized in logical groups, BCP evaluator or moderator, Exercise Coordinator.)
- Equipment (as required)
- Facilities (as required)

Corrective action

(Documented and implemented)

Exercise Results

(Shared with senior management)

ANNEX E EXERCISE DIRECTOR'S CHECKLIST

Pre-exercise Activities

- Exercise inputs are up-to-date
- Exercise material has been sent to all participants and staff
- Exercise dates and timings are supported by senior management, exercise participants and staff
- Exercise location and facilities have been confirmed
- Access to location and facilities has been confirmed
- Any necessary travel arrangements have been confirmed
- Necessary administrative resources are in place
- An evaluation mechanism has been established

Exercise Day

- Facilities are open
- Necessary signs are posted to guide exercise participants and staff
- Appropriate areas have been assigned to each organization
- Appropriate resource material is available
- Exercise briefing is prepared
- Safety instructions are posted in appropriate areas
- Copies of exercise inputs are available for each observer
- Necessary communication systems are in place and operating
- Timings and location for exercise debriefing are known by all
- Monitor the progress of the exercise
- Make amendments to schedule or pace of the exercise as required (any changes must be made known to all participants and observers)
- Control the debriefing process
- Be prepared to highlight key issues that developed during the exercise

Post-Exercise Activities

- Conduct the post exercise debriefing with exercise participants
- Conduct a post exercise debriefing with all exercise observers
- Provide a detailed mechanism to capture all exercise-related points

- Ensure that the exercise area is clean
- Provide a detailed post exercise report
- Provide a summary of lessons learned from the conduct of the exercise
- Provide a list of recommendations regarding changes to the BCP or amendments to the exercise process
- Ensure that a completed copy of the entire exercise package is retained

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ANNEX F MASTER EVENTS LIST

(Example)

Serial	Time	Date	Input #	Event/Activity	Remarks
1				Exercise plan briefed to senior management.	
2				Exercise Instruction completed and circulated to all participants and observers.	
3	1230			Exercise participants and observers gather in main exercise area.	Executive Briefing provided by Executive Director
4				Scenario of exercise reviewed and questions answered.	
5				Move of exercise participants to respective exercise locations.	
6	1300			Input #1 issued and exercise commences.	
7					
8					
9					
10				Final input issued and appropriate actions taken.	
11				Exercise ends and participants gather in main briefing area for exercise debrief.	
12				Post-Exercise Report prepared and presented to senior management.	
13				Lessons learned and recommendations implemented.	

ANNEX G GENERAL EXERCISE INSTRUCTION OUTLINE

(Example)

Introduction

This should include a brief outline of the exercise, including such things as the length of the exercise, what it is designed to do, and at what level it will be focused.

Aim

A clear and concise aim for the exercise should be stated here.

Scope

The scope of the exercise will include:

- Identification and explanation of exercise objectives
- What aspects of the BCP will be exercised
- Comment on any review of appropriate arrangements established by supporting agencies

Conduct

A clear statement on what method of exercise will be used (see *Section 4*) and how the exercise will be played.

If appropriate, a reference to the exercise schedule can be included here. It is suggested that an exercise schedule, outlining the key timings, locations and activities, be included as an Appendix to the Exercise Instruction.

Exercise Scenario

A detailed description of the exercise scenario should be provided to all exercise participants. This must be reviewed, and any amendments or additions to this scenario should be issued, prior to the start of the exercise to ensure its understanding.

Exercise Timings

A detailed list of all timings associated with the setup, conduct and debriefing of the exercise should be included. Timings related to the actual conduct of the exercise should be general and include an opening briefing, exercise start time and an approximate timing for the end of the exercise and the start of the debriefing. Detailed timings related to the conduct of each serial and/or input are not required.

Detailed Master Events List

A detailed Master Events List should be developed and included in the package for all exercise observers and exercise controllers. Depending on the scope of the exercise and established training objectives, this list should not be provided to the exercise participants. A sample outline of a Master Events List is attached as *Annex F*.

In addition to the Master Events List, copies of all the exercise inputs need to be provided to each of the exercise observers and exercise controllers. These should be provided to these groups prior to the start of the exercise and are to be retained in the overall exercise package. A copy of a sample format for an exercise input has been included as *Annex G1*.

Exercise Appointments

All key appointments for the exercise should be listed. Detailed terms of reference for each of these appointments can be included here, or included as specific appendices. Include such appointments as Exercise Director, Exercise Observers, and Exercise Administrator. Additional positions may be included at the discretion of the Exercise Director; however, specific details as to their responsibilities should be included (see *Guidelines for Observers in Annex G2*).

Exercise Participants

A list of all exercise participants should be listed here. These should include all organizations, as well as their representatives, that are participating in the exercise.

A list of all external participants that are involved in the exercise in a support role should also be included. This can include organizations such as other government departments, local emergency agencies (fire, police, ambulance), and various municipalities that may be involved (dependent on the scope and objectives of the exercise), see *Annex G3*.

Administration

Items that could be included in this section are:

- Exercise location
- Exercise facilities (to include specific allocation of areas to each group)
- Administrative support requirements (availability of computers, photocopiers, stationary requirements, etc.)
- Required documentation (copies of the respective BCPs, appropriate copies of the various emergency response regulations and directives, etc.)
- Refreshments (coffee, juice, water, snacks)

- Meals (any arrangements that have been made in regards to the provision of meals, etc). If no arrangements have been made, a listing of available facilities in, or near, the exercise area should be included
- Any transportation arrangements that have been established to support the conduct of the exercise (i.e. bus schedules, parking facilities, etc.)
- Any accommodation arrangements made to support the conduct of the exercise

Exercise Control

Items that should be included in this section include:

- Appointments of Exercise Director
- Location of the Exercise Director
- Appointments of Exercise Observers (assigned organizations)
- Method of communication (radio, cell phones), detailed communication diagrams should be included as appendices (see *Annex G4*)
- Any safety or security issues that may be required, and measures to distinguish exercise messages from real messages
- Public information (the conduct of these exercises may be sensitive; therefore, response to public inquiry should be standardized)

Signature of Exercise Director

Distribution List for the Exercise Instruction

ANNEX G1 EXERCISE INPUT

(Example)

Input #:	To:
From:	Via:
Content: (Describe the message)	
Report of Action Taken by the Team	
Time input received:	Plan section & page consulted by Team:
Actions taken by Team:	
1. 2. 3. 4.	
Time action was completed:	
List any ways in which the plan helped or hindered in addressing the issue.	

ANNEX G2 GUIDELINES FOR OBSERVERS

1. The sequence of events is as follows:
 - a. Pre-exercise briefing
 - b. Conduct of the exercise
 - c. Conclusion of the exercise
 - d. Exercise debriefing
 - e. Preparation of the Post-Exercise Report
2. Familiarize yourself with the exercise scope and objectives, which are:
 - a.
 - b.
 - c.
3. Familiarize yourself with the Departmental Business Continuity Plan.
4. Observe and record (with appropriate timings) the response to the scenario and situation reports. Specifically, report:
 - a. Actions undertaken during the exercise, which were not, but should be incorporated into the plan
 - b. Omissions from the plan (i.e. contact information for key personnel);
 - c. Inaccuracies noted in the plan
 - d. Areas where the plan is too detailed or restrictive
 - e. Ambiguities or inconsistencies in the plan
 - f. Actions which are non compliant with the plan and the reasons for them;
 - g. Areas where the plan could be improved
 - h. The effectiveness of communication and reporting within and between the respective continuity teams and other agencies
 - i. Specific assumptions that have been acted upon without having been challenged
 - j. Any other aspects or observations, either on the effectiveness of the plan or on the effectiveness of the exercise
5. Observers must be flexible and prepared to move away from the scripted activities if it will provide added value to the exercise. Any deviations should be noted.

6. Provide information to the respective team in accordance with the Briefing and Situation Reports. If the team is seeking information beyond these reports, use your initiative and knowledge to provide additional information, which is **plausible, realistic and consistent with the scenario**. If activity is slow, you have the discretion of providing realistic developments, situations, messages or requirements to your team in order to keep the exercise moving. These must be carefully noted and details must be provided in the Post-Exercise Report.
7. Avoid interfering or disrupting the flow of activity, except to get things moving if they have stalled. In the event of any difficulties, contact the Exercise Director.
8. Prepare to report on your Team's activities and your observations at the debriefing session that will take place immediately after the exercise.

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ANNEX G3 GUIDELINES FOR PARTICIPANTS

1. The sequence of events is as follows:

- a. Pre-exercise briefing
- b. Conduct of the exercise
- c. Conclusion of the exercise
- d. Exercise debriefing
- e. Preparation of the Post-Exercise Report

2. The participant's role is to function either as a team member of the departmental Business Continuity Team or as a member of the branch/sector/division Business Continuity Team. This position is requested to undertake all tasks delegated by its Team Leader and to provide input into team decisions as required.

3. Mistakes are welcomed. Any mistake made can provide an indicator for an area that may need clarification or amendment.

4. It is essential that you retain all documentation relating to the exercise. This will provide valuable insight into the processes involved in business continuity and the background needed to properly complete a Post-Exercise Report.

5. Simulation will be used for real-life observations, disruptions, challenges, communications, people, etc.

6. In order to maintain some focus for the exercise, many of the apparent challenges, logistical considerations and time delays have been simplified, eliminated or compressed.

7. Observer Assignments:

	<u>Team</u>	<u>Observer</u>
a.		
b.		
c.		
d.		

8. The Observer has the following responsibilities:

1. Issue inputs and general guidance to exercise participants
2. State limitations, when appropriate
3. Remind exercise participants of the rules of the game
4. Remind participants of the need to keep thorough records of all their actions
5. Keep records of the actions of the team

9. There are pre-printed inputs that will be handed to the team from the team's observer. It is expected that participants react to these inputs by:

- Seeking additional information or clarification
- Consulting the Business Continuity Plan for appropriate guidance
- Making decisions regarding the information contained in the input
- Sending appropriate messages
- Sending simulated messages (to those agencies that are not participating in the exercise)
- Recording plans and intentions of the team

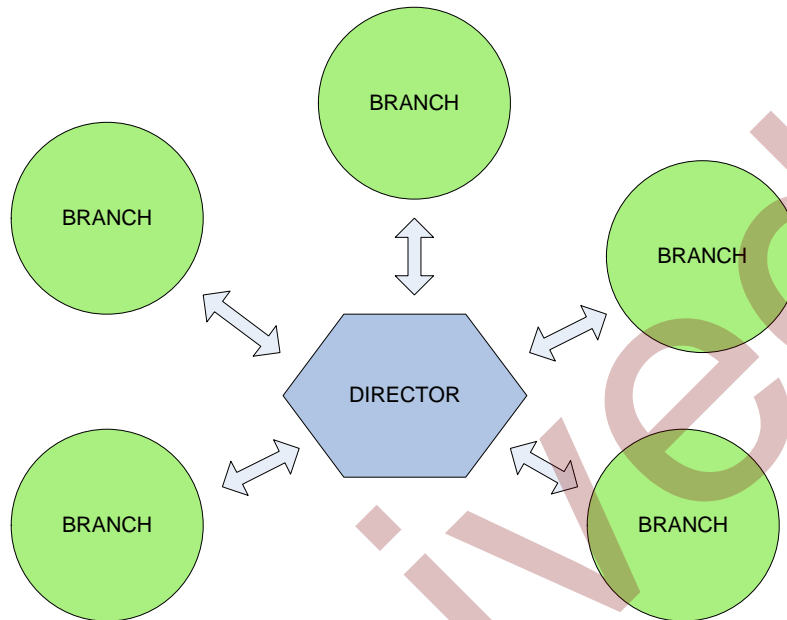
10. It is expected that the team will also generate inputs for the exercise by communicating with the other teams (telephone, memo, face-to-face communication) that are participating in the exercise. Keep a detailed record of all inputs and their results.

11. As with all exercises, there are limitations and rules that must be followed if the exercise is to be successful. These are:

- a. Initially, telephone communication may not be available, but will eventually be established
- b. Avoid miracle solutions. It is important to play out the situations realistically (time lapses, difficulty in communicating, turn-around time, etc.)
- c. Think ahead, if there is no activity, try to anticipate what might happen next and plan for that occurrence.

12. At the conclusion of the exercise, a short debriefing session will be held. During this session, all teams will have the opportunity to make a short presentation on their team's assessment of the effectiveness of the Business Continuity Plan as a guide for a departmental business disruption. At the conclusion, people will be requested to complete and submit an individual feedback form. Remember that this is an exercise of the plan, not the people.

ANNEX G4 COMMUNICATION DIAGRAM
(Example)



Notes:

- A communication diagram should be available for each level of the exercise
- A separate diagram should be available for the observers
- Key phone numbers for each organization should be included
- A detailed contact list should be available for all participants

ANNEX H LOG SHEET

DATE OF EXERCISE: _____

EXERCISE NAME: _____

Serial	Date	Time	Input #	Incident	Action	Remarks

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ANNEX I POST-EXERCISE REPORTING

EXERCISE NAME: _____ REPORTING AGENCY: _____ DATE OF EXERCISE: _____

Serial	Exercise Objective	Comment	Recommendation	BCP Manager Comment	Executive Decision

Archived

PART 5

PERFORMANCE MEASURES

Archived

Archived

TABLE OF CONTENTS

1. INTRODUCTION	196
1.1 PURPOSE	196
1.2 CONCEPT	196
1.3 AUDITING	196
1.4 EVALUATION PRACTICES	197
1.5 EVALUATION FREQUENCY	197
TABLE 1 BCP PROCESS EVALUATION SHEET	198
TABLE 2 PLAN EVALUATION	199
TABLE 3 TRAINING AND MAINTENANCE PROGRAM EVALUATION	203
TABLE 4 EXERCISE AND VALIDATION EVALUATION	206

Archived

1. INTRODUCTION

1.1 PURPOSE

Performance measures will provide business continuity planning teams and their departments with a means of assessing the effectiveness of their business continuity plans and overall departmental business continuity program.

Performance measurement evaluates four major components of a business continuity program:

- Process Evaluation (*Table 1*)
- Plan Evaluation (*Table 2*)
- Training and Maintenance Program Evaluation (*Table 3*)
- Exercise and Validation Program Evaluation (*Table 4*)

A performance measurement system, or evaluation system, is intended to guide the business continuity program and ensure key components of the program are effectively implemented.

1.2 CONCEPT

Each of the tables, in a simple checklist format, have been developed to account for the essential elements of a business continuity program. The checklists have been designed in a generic format, without a quantitative scoring system. Departments are encouraged to implement a quantitative evaluation scale to meet individual needs.

This performance measurement system has been designed based on the following parameters:

- Departments have adopted the business continuity process provided by the Business Continuity Guide
- BCPs are being designed, written, maintained, exercised and validated by a dedicated BCP organization within the Department
- The implementation of a performance measurement process has been approved by a Department's Executive Committee

Evaluations may be self-directed, internal, or externally facilitated, depending on the needs of each Department.

1.3 AUDITING

This system provides a means for an organization to audit its business continuity planning performance and development. The simplicity of the checklists allows for maximum flexibility, permitting the audit of all or individual elements of the BCP.

A similar performance measurement system, containing additional detail, will be used by the Business Continuity Planning Section of the Alberta Emergency Management Agency to evaluate the effectiveness of each department's BCP.

1.4 EVALUATION PRACTICES

The following practices are recommended to assist in ensuring an effective evaluation process:

- Initial evaluations should not be a surprise to those being evaluated
- Evaluated organizations should be told what is being assessed
- Evaluation formats should be consistent amongst all organizations
- A central authority within a department should control the evaluation process, but not necessarily be the facilitator of evaluations
- Evaluation results should be conveyed to executive management of a department in the most practical and time sensitive manner available
- Protocols should be established defining audit times and who within an evaluated organization will be advised of audit results
- Once evaluations are completed, they should not be altered
- Evaluations may or may not be incorporated into exercises

Ultimately, all evaluated organizations must be confident in knowing that business continuity plans and processes are being evaluated, not the individuals.

1.5 EVALUATION FREQUENCY

The frequency at which components of a business continuity program are evaluated is at the discretion of the Department. However, as a general guide, Departments should evaluate the components of their business continuity program as soon as possible after their completion. Once a plan has been completed, an evaluation process should be established that is similar to your training, maintenance and exercise schedules. **The complete plan should be evaluated annually.**

Table 1 BCP PROCESS EVALUATION SHEET

Components	Comments
Has the DM provided written correspondence confirming the need for this program, and Departmental support for the completion of the Business Continuity Process?	
Have a BCP Team Manager and Coordinator been appointed to establish a plan development timeline and schedule?	
Has a BCP Team been selected, and do they have regular meetings to discuss the development of the plan?	
Has the BCP Team Manager developed and assigned team objectives, goals and task for various members of the BCP Team?	
Have meeting locations and resource requirements been established before proceeding with the plan development?	
Has a BCP budget been forecasted and approved by senior management?	
Have all the BCP Team members participated in the general training presentation?	
Have key decision points been identified and presented to senior management for approval before proceeding with the next step in the process?	
Has senior management been provided with regular updates and information briefings with regards to the status of the plan development?	
Overall Comments:	

Table 2 PLAN EVALUATION

Date Received:

Submitted by (name of BCO):

Reviewed by:

Plan Approval Date (by DM or equivalent):

<p>Administrative Information</p>	<table border="1"> <tr> <td></td> <td align="right">✓</td> </tr> <tr> <td><i>Emergency Contact List (including EMA contact info)</i></td> <td></td> </tr> <tr> <td><i>Plan distribution list</i></td> <td></td> </tr> <tr> <td><i>FOIP statement</i></td> <td></td> </tr> <tr> <td><i>Date approved by DM (including DM's signature)</i></td> <td></td> </tr> <tr> <td><i>Departmental Policy Statement</i></td> <td></td> </tr> <tr> <td><i>Identification of EOC and alternate site</i></td> <td></td> </tr> <tr> <td><i>Team Organization</i></td> <td></td> </tr> <tr> <td><i>Glossary of Terms</i></td> <td></td> </tr> <tr> <td><i>List of Acronyms</i></td> <td></td> </tr> <tr> <td><i>Table of Contents</i></td> <td></td> </tr> <tr> <td><i>Record of Amendments</i></td> <td></td> </tr> </table>		✓	<i>Emergency Contact List (including EMA contact info)</i>		<i>Plan distribution list</i>		<i>FOIP statement</i>		<i>Date approved by DM (including DM's signature)</i>		<i>Departmental Policy Statement</i>		<i>Identification of EOC and alternate site</i>		<i>Team Organization</i>		<i>Glossary of Terms</i>		<i>List of Acronyms</i>		<i>Table of Contents</i>		<i>Record of Amendments</i>	
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Continuity Strategies	<table border="1"> <tr> <td data-bbox="578 611 1390 642"></td> <td data-bbox="1390 579 1463 642">✓</td> </tr> <tr> <td data-bbox="578 642 1390 674"><i>Based on priority to support the essential services</i></td> <td data-bbox="1390 642 1463 674"></td> </tr> <tr> <td data-bbox="578 674 1390 705"><i>Processes or steps to mitigate risks</i></td> <td data-bbox="1390 674 1463 705"></td> </tr> <tr> <td data-bbox="578 705 1390 737"><i>Damage Assessment and Salvage Protocols</i></td> <td data-bbox="1390 705 1463 737"></td> </tr> <tr> <td data-bbox="578 737 1390 800"><i>Agreements with external service providers to support essential services</i></td> <td data-bbox="1390 737 1463 800"></td> </tr> <tr> <td data-bbox="578 800 1390 863"><i>Includes consideration of supporting services (security, postal and courier services etc.)</i></td> <td data-bbox="1390 800 1463 863"></td> </tr> </table>		✓	<i>Based on priority to support the essential services</i>		<i>Processes or steps to mitigate risks</i>		<i>Damage Assessment and Salvage Protocols</i>		<i>Agreements with external service providers to support essential services</i>		<i>Includes consideration of supporting services (security, postal and courier services etc.)</i>			
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<i>Post-Exercise reporting procedures</i>	<input type="checkbox"/>								

OVERALL ASSESSMENT:

Strengths of this plan:

Recommended areas of development (in priority):

Summary:

Archived

Table 3 TRAINING AND MAINTENANCE PROGRAM EVALUATION

Components	Comments
Executive Forward	
Overall Comments:	
TRAINING POLICY	
Does the BCP include a training policy statement?	
Does the training comply with the policy statement?	
Is there a consistent, broadly applied training program?	
Has the training program received the support of Senior Management?	
Does the training program identify the requirement to exercise and validate the BCP?	
Does the training program allow internal & external training?	
General Comments:	
SPECIFIC GOALS / PARTICIPANTS / CONTEXT / OBJECTIVES	
Have specific goals for the training been identified?	
Have training objectives been identified?	
Are the objectives clear and concise?	
Are the objectives realistic and supportive of the goals?	
Does training support the Departmental Business Plan & Vision?	
Do the training objectives correspond to and support the Departmental needs?	

Table 3 TRAINING AND MAINTENANCE PROGRAM EVALUATION 2/3

Components	Comments
Is training being provided to the correct target audience?	
Was an evaluation tool provided for the participants?	
Was the pace of the training activity suitable?	
Is the target audience aware that training is available?	
Have training briefings been conducted?	
Was a course outline provided for the training?	
Were roles and expectations explained to participants?	
General Comments:	
PARTICIPATION IN TRAINING ACTIVITIES	
Were the participants properly prepared for the training?	
Was a schedule established for the consolidation of debriefing points?	
Was the pace of the training activity suitable?	
Was there an effective method for noting observations and deficiencies in the training?	
Did the participants understand the training activities and processes?	
Were appropriate opportunities available for the participants to provide recommendations and feedback?	
Did participants have a sense of accomplishment at the end of the session?	

Table 3 TRAINING AND MAINTENANCE PROGRAM EVALUATION 3/3

Was the aim of the training achieved?	
Was there a training debriefing for all participants at the end of the session?	
Was a training summary prepared and presented to senior management?	
General Comments:	
TRAINING SCHEDULE	
Was there a training schedule?	
Was the training schedule communicated to the target audience and management?	
Was time allotted for business unit discussion prior to the debriefing?	
Are recommendations/feedback from training included in schedule updates for	
General Comments:	

Table 4 EXERCISE AND VALIDATION EVALUATION

Components	Comments
Executive Forward	
Overall Comments:	
EXERCISE POLICY	
Is an overall Exercise Policy Statement included in the BCP?	
Does the exercise fall within the Policy Statement?	
Has the conduct of the exercise received the support of senior management?	
Was an exercise budget and expenditure forecast established?	
Does the Departmental BCP account for the conduct of BCP exercises?	
General Comments:	
EXERCISE GOALS AND OBJECTIVES	
Are the objectives realistic?	
Has senior management approval been obtained?	
Do the exercise objectives address the needs of the Department?	
Are the objectives clear and concise?	
Do the exercise objectives correspond to and support the Departmental Business Plan and Vision?	
Was an evaluation tool established for use by the exercise observers?	
General Comments:	

Table 4 EXERCISE AND VALIDATION EVALUATION 2/3

Components	Comments
EXERCISE GENERAL INSTRUCTION	
Was the Exercise Instruction issued in a timely manner?	
Does it provide a clear aim?	
Is the scope of the exercise clear?	
Was a list of exercise appointments and participants included?	
Were specific administrative arrangements clear?	
Were appropriate safety measures included?	
Were specific communication methods allotted?	
Was pre-training for observers done?	
General Comments:	
CONDUCT OF THE EXERCISE	
Was an exercise briefing done?	
Was there a Master Events List?	
Were safety and control measures for the exercise explained?	
Did the exercise start on time?	
Were exercise inputs clear and timely?	
Was the pace of activity suitable?	
Were accurate logs maintained?	
Were the roles of Exercise Director, observers and participants explained?	
General Comments:	

Table 4 EXERCISE AND VALIDATION EVALUATION 3/3

Components	Comments
POST- EXERCISE ACTIVITIES	
Was there an exercise debriefing?	
Was a schedule established for the consolidation of debriefing points?	
Were exercise participants actively involved in the debriefing?	
Was the aim of the exercise achieved?	
Was time allotted for business unit discussion prior to the debriefing?	
Was an Executive Summary of the exercise prepared and submitted to senior management?	
Was a summary of the exercise, including key lessons learned, distributed to exercise participants?	
Did exercise participants have a sense of accomplishment at the end of the exercise?	
General Comments:	