

# **A FRAMEWORK FOR EDUCATION CONTINUITY MANAGEMENT**

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**SSBA Cover Page formatting required**

## **Acknowledgement**

While developing the framework and templates the writing team adopted the following simple principles; use existing industry best practices, use lessons learned from others and don't re-invent the wheel.

This framework has been prepared with the valuable input from a number of references and we would like to acknowledge their publications and affirm their permission to adopt their ideas and processes.

The Business Continuity Institute (The BCI) – Good Practice Guidelines 2007.

The Government of Saskatchewan Business Continuity Planning Guide and Workbook 2006

The University of Saskatchewan, Pandemic Influenza Preparedness Planning, Unit Planning Guide and Workbook, Feb 2006

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## Introduction

Like most organizations, educational institutions are not immune to the threats and challenges of doing business in today's complex and competitive world. These threats and challenges can arise from a variety of sources including those associated with overcoming funding cuts, competing for tuition dollars, overcoming school violence and so on. As well there exists a whole host of other threats from natural and/or man made exposures including those from floods, ice storms, fire etc. Any of these threats has the ability to negatively impact upon your institution should they occur. Would you be prepared if they did?

Consider a fire that destroys a school or even a school shooting where a student or teacher is injured or killed. Any of these events would likely shut down your operations for an extended period. How would you respond? What alternate location(s) might exist that would enable you to carry on? If other schools are to be used what alternate busing arrangements will there need to be and how would you contend with overcrowding of those classrooms, etc. At the same time are you prepared to deal with the psychological trauma or negative public image that may go along with such events? These threats highlight and heighten the urgency of maintaining continuity of business and the need to pre-plan for potential disasters.

Disasters can be defined as unexpected events with extremely destructive consequences. These consequences are made all the more severe for those who are not prepared. By planning ahead of time, the educational institution can identify what is critical, and thereby implement ways and means to respond positively to such events. Preplanning helps to ensure that at the time of a disaster, your actions and decisions are more intuitive rather than reactive. As well it helps to protect all your assets including staff, faculty, students, jobs, facilities, vital records and information etc.

The objective of this document is to provide guidelines for the Education Continuity Planning (ECP) process. **It is important to note that the guidelines and recommendations provided are not exhaustive and are intended as general suggestions only. Because each school division is unique, it must develop continuity plans that are tailored to fit its own specific operational needs.** Nevertheless, it is hoped that the general guidelines noted herein will act as a **stimulus** to your organization in order to generate your Education Continuity Plan.

## Background

In order to deliver educational services in our communities we must be well prepared to respond to crisis and disruptive events that arise and to be able to invoke continuity plans as needed. School divisions have developed Crisis Management and Tragic Event response plans and while significant work has been completed, much remains to be done to ensure that we can continue to deliver educational services in the worst of circumstances. One such area demanding immediate attention, and the trigger for this Framework and Planning Template initiative, is the need for a response to a Pandemic event. The best practice currently being adopted by emergency planners and risk managers is the development of a business continuity plan rather than having multiple individual contingency plans that are incident specific and not necessarily coordinated or synchronized. To be consistent with our goals and objectives we will be using the term “Education Continuity” in place of the industry term Business Continuity.

## Framework Scope

The objective of this Framework is to provide a consistent approach to the development of Education Continuity plans within Saskatchewan. All Saskatchewan school divisions are encouraged to adopt this framework in developing their continuity plan so that best practices are used and there is a uniform and standardized process in continuity planning and management.

The principles outlined and the templates provided in this framework are applicable to all organizations of any size or location – from those with a single site to those with multiple and remote locations. The approach taken in development included research of other jurisdictions’ experiences and industry best practices in business continuity planning.

This Framework is intended for use by designated school division or agency continuity planners and risk managers. It is recommended that newcomers to the world of continuity planning attend an appropriate selection of the many endorsed Business Continuity Management courses and workshops or work alongside an experienced practitioner.

## Framework Structure

Typically continuity planning is a holistic process that identifies potential impacts that threaten an organization and provides a framework for building resilience and the capability for an effective response.

The best practices we adopted in the development of this framework are based on those promoted by The Business Continuity Institute (The BCI) and described in the Government of Saskatchewan Business Continuity Planning Guide (2006). In their Good Practice Guidelines 2007, they outline the continuity lifecycle as having five elements; understand the organization, determine the best strategies, develop and implement plans, exercise, maintain and review, and embed the continuity culture.

This Framework document is broken into sections, each focusing on a particular stage in the continuity life cycle. Continuity planning and management is a cycle of interrelated and concurrent activities, you may not have to start at Stage 1. **We recommend that you read through the Framework to determine what stage your organizations continuity planning initiatives are at and then use the sections that are appropriate to your circumstances.**

## Section 1 – Continuity Planning Overview

### 1.1. What is Education Continuity?

Education Continuity is a management and operational process that:

- identifies education activities that are essential and critical,
- identifies potential impacts that affect critical activities,
- provides a framework for building resilience, and
- creates effective responses that will safeguard the safety and interests of our employees, students and community.



Continuity planning provides an organization with a disciplined capability to continue to operate in the face of significant business interruption. (AS/NZD 4360 – Risk Management)

### 1.2. Why is Education Continuity required?

Every organization is at risk from potential disasters that include:

- natural disasters such as tornadoes, floods, blizzards, earthquakes and fire;
- accidents;
- sabotage;
- power and energy disruptions;
- communications, transportation, safety and service sector failure;
- environmental disasters such as pollution and hazardous materials spills; or
- cyber attacks and hacker activity.

Creating and maintaining a BCP helps ensure that an institution has the resources and information needed to deal with these emergencies. The impact of school closures can be severe. Child care requirements may force many employees to miss work to care for their children. School divisions have an inherent obligation to provide education to students. Many school division policies are developed to ensure the continuity and continuation of education services is maintained.

### 1.3. Elements of the Education Continuity lifecycle include:

Element 1 – Understanding the organization

Element 2 – Determining continuity options

Element 3 – Developing and implementing continuity responses

Element 4 – Continuity exercising, maintenance, auditing and self-assessment

Element 5 – Embedding Continuity Management in the organizations culture

The full Good Practice Guidelines are available to download free of charge from [www.thebci.org](http://www.thebci.org)

- Education Continuity (EC) Program Management - enables the continuity capability to be both established and maintained in a manner appropriate to the size and complexity of the school division.
- Understanding the Organization – activities provide information that describes the school division's critical and essential education products and services, the impact a disruption

would have on these activities and the processes and resources that are required to continue delivery of these services..

- Determining continuity options - provides a range of strategies and operational options to be evaluated and appropriate responses chosen for each critical activity to enable the school district to continue to deliver those products and services at an acceptable level during and following a disruption.
- Developing and implementing continuity responses – results in the creation of continuity plans and disruption management plans that detail the steps to be taken during and after a disruption to restore operations.
- Continuity plan exercising, maintaining, auditing and self-assessment - leads to the school division being able to demonstrate that its strategies and plans are effective, credible and fit-for-purpose.
- Embedding Continuity in the school division culture – enables Continuity to become part of the school division’s core values and instills confidence in the ability of the school division to cope with major disruptions.

#### 1.4. Continuity Planning Leadership and Project Management

- Executive Support

An effective Education Continuity program involves the participation and coordination of numerous diverse disciplines that will need to be monitored and supported throughout the continuity lifecycle. The best practice is for the Continuity planning project and the ensuing program to be lead and championed by an individual at the Superintendent level or higher. This level of leadership will ensure that the needed authorities are in place and established as part of their normal day-to-day activities.

The Education Continuity Management Program should be lead and driven from the top down with the Education Continuity plans developed from the bottom up.

- Continuity Development Project Management

The initial development of the continuity plan should be conducted as a project using standard project management methodologies. Once the Project Team has completed the development and implementation of the continuity plan and conducted a set of validation exercises, the plan will be mature enough to be sustained and monitored as an Education Continuity Management (ECM) Program. Appendix A provides a project checklist and scheduling template. One of the keys to success will be the project manager’s ability to “make it happen”. The project manager will by necessity need to have the capability to direct and coordinate the activity of the members of the Project Team who will be representing very diverse disciplines. Executive level understanding and support of this cross departmental relationship will be required through out the development phase.

#### 1.5. Team members and responsibilities

The knowledge and abilities of the team must cover a wide range of disciplines, many of which are dictated by the division’s education and business support functions. Ideally the team members are supervisors who can effectively influence the development and implementation



of continuity responses. The continuity development Project Team should have representatives from the following disciplines:

- Business administration (Finance)
- Business operations
- Curriculum and Learning
- Facilities and Maintenance
- Human Resources
- Student Services
- Technology
- Transportation

1.6. The appointed Education Continuity team should (in consultation with the executive sponsor):

- Develop for approval an Education Continuity planning process and project.
- Determine the key approaches to each stage of the Education Continuity Management life cycle as described above.
- Undertake or manage the appropriate activities within their department / branch.
- Report the current state of readiness to the Executive on a regular basis, highlighting gaps and recommendations.

Though this project is primarily a planning activity, it is inevitable that the continuity planning team will be expected to be ready to respond and provide leadership during an actual disruptive event.

## **WORKPLAN STARTS HERE**

### **Section 2 – Establish the Continuity Management Context**

To be able to develop an appropriate Education Continuity plan you should first understand your education delivery environment and what activities or processes are critical and essential to ensure the sustainability of education and education support activities to at least a minimum level.

**During this stage the following questions need to be answered:**

- **What are the objectives of the School Division?**
- **How are the education objectives achieved?**
- **What are the essential and critical products/services of the school division?**
- **Who is involved (both internally and externally) in the achievement of the objectives?**
- **What are the time imperatives on the delivery of the products or services?**

STEP #1 – Existing plans

#### **2.1. Review existing plans and procedures**

Over time your school divisions have developed a number of contingency plans such as Crisis Management plans, Tragic Event response plans, Emergency Response plans and IT Disaster Recovery plans. Have the Education Continuity Project Team review them to determine their suitability for use as a baseline for the development of your continuity response options.

## STEP #2 – Essential Critical activities

### 2.2. Identify your school division's essential and critical activities - Determine what the critical activities are that must be protected and sustained.

Essential or critical activities can be defined as activities that cannot be interrupted or unavailable for a prolonged period of time without significantly jeopardizing the school division's objectives.

Have each member of the Education Continuity Project Team independently determine what the essential and critical activities are for their particular department / discipline. The following are a couple of broad categories that traditionally come to the forefront:

- activities that protect the safety and wellness of our employees, students and community,
- activities that ensure effective communications, both internally and externally,
- activities that ensure access to vital records and information,
- activities that ensure delivery of core products and services,
- activities that ensure regulatory compliance, and
- activities to ensure that contracted obligations are met.

#### TURN TO APPENDIX B

Using the questionnaire and template provided at Appendix B and identified as "Interview Outline", document the Education Continuity Project Team's understanding of the school division's essential and critical activities. For the team to understand precisely what the Division's risks are should there be a disruption, the impact analysis process requires the involvement of the critical activity owner / manager. For each of the departments or disciplines not represented on the Project Team, you will need to gather this initial information through a series of interviews.

## STEP #3 – Impact Analysis

### 2.3. Conduct an Impact Analysis

Effective impact analysis is essential in the development of an Education Continuity plan and in the reduction of risk control and critical activity recovery costs. The analysis outcomes will ensure that the intolerable impacts are the main focus for the definition and selection of response and recovery options. Information required to develop cost effective continuity responses will come from all levels of management. The analysis effort needs to be a collaborative meeting of the minds.

**Return to the Appendix B questionnaire and template that you initiated above and complete the impact analysis process for each of the identified essential and critical activities and their enabling processes.**

For the impact analysis assume that the worst case, a catastrophic disruptive event, has occurred. That is to say:

- Your employees and students are severely affected by the event.
- Your building and workspace are not accessible.
- Essential services, power, water and heating/air conditioning are affected.
- Voice and data communications are unreliable.

- Vital records, electronic and paper, are not available.
- It is the busiest, most crucial time of the year for your Division.

The suggested qualifying and quantifying terms that are imbedded in the templates are as follows:

<b>Impact of Critical Activity Non-Recovery</b>		
<b>Impact</b>	<b>Impact Description</b>	<b>Impact Value</b>
Loss of Capability (LOC)	High	75 to 100%
	Medium	50 to 75%
	Low	25 to 50%
Loss of Reputation (LOR)	High	Government and Community loss of confidence
	Medium	School and Student loss of confidence
	Low	Internal loss of confidence
Legal/Regulatory Breach (LRB)	Yes	value of fines / litigation
	No	
Loss of Money (LOM)	High	Over > \$100K per day
	Medium	Up to \$100K per day
	Low	Up to \$10K per day

<b>Recovery Time Objective</b>		
How long can the activity / process go unattended before intolerable impacts are realized?	0-2 hours	Immediate
	2 - 8 hours	Today
	8 - 24 hours	Before tomorrow
	24 – 48 hours	Tomorrow
	3 – 5 days	This week
	> 5 days	This Month

Note: Item 2.2, the identification of essential and critical activities and Item 2.3, the performance of the Impact Analysis can be completed during the same interview session.

Intended outcomes include:

- The structured questionnaire allows data collection in a format that enables direct comparison of results.
- A description of the disruption impacts on the school division education delivery capabilities.
- A description of the critical functions needed to be recovered in a timely fashion.
- The Impact Analysis will position each department critical activity and support functions in the order of anticipated impact, Highest to Lowest.
  - Highest Priority activities – must continue throughout a disruption

- Medium Priority activities – could be reduced during a disruption
- Lowest Priority activities – could be suspended or cancelled
- The Impact Analysis will identify anomalies between perceived critical activity priorities and validated critical activity priorities.
- The Impact Analysis will ensure that the Highest and most intolerable impacts are defined and become the main focus for the development of continuity options.
- The interview and feedback process will increase the awareness of both executive and management to the need for a coordinated response capability that supports effective implementation of the continuity plans.

## STEP #4 – Risk Analysis

### 2.4. Conduct a Risk Analysis

In the context of Business Continuity Management, a Risk Assessment looks at the probability and impact of a variety of specific threats that could cause a business interruption. The goal is to **Identify, Measure and Prioritize** our risks for monitoring and management. At this point of the continuity plan development, risk assessment activity should be focused on the most urgent critical activities identified during the Impact Analysis process.

In evaluating catastrophic operational risks it may be impossible to identify all threats, estimates of probability are based on historic and sometimes inaccurate information. However, by focusing on the most urgent activities and processes, the scope of the Risk Assessment can be reduced to a more manageable level.

The Risk Assessment may identify unacceptable concentrations of risk and what are known as “single points of failure”. These should be highlighted to the education continuity executive sponsor at the earliest possible opportunity along with options for addressing the issue. The strategic decision to mitigate, transfer or accept the risk should be formally documented and signed off.

Turn to Appendix C questionnaire and template and complete the risk analysis process for each of the identified essential and critical activities identified in Appendix B. Focus on the activities that have been identified as having the highest priority and if time permits work through to the lowest.

First identify the sources of risk to the critical activity. Refer to your internal risk management program for existing information, a few examples are:

- Human caused or initiated
  - violence
  - theft
  - error causing loss / damage / injury
- Environmental / Natural
  - tornado
  - blizzard
  - flood
  - heat wave
- Technology loss or prolonged interruption
  - electricity
  - natural gas
  - telecommunications
  - system connectivity

- computing / data systems

Next estimate the likelihood and impact of each risk. Refer to existing risk management program assessments. This risk analysis can be completed by the activity owner and then consolidated by the continuity planning team.

Standard definitions are as follows:

- Likelihood
  - High – Likely, once a month
  - Medium – Possible, once every ten year
  - Low – Unlikely, once every fifty years
- Consequence
  - High - Death, violation of the law, loss of major asset / program
  - Medium - Injury, schedule delays, negative media coverage
  - Low - Illness, interrupted service,

The last step in the risk assessment is for the team to determine if the current risk control measures are suitable and effective in protecting the mission critical activity capabilities. If you have identified unacceptable concentrations of risk or “single points of failure”, these should be reported to the education continuity executive sponsor at the earliest possible opportunity along with options for addressing the issue.

## 2.5. Report Findings and Recommendations

At this point in the Continuity plan development it is important to consolidate your Teams findings and to make recommendations to the Divisions executive management. The reporting of the results of the impact and risk analysis is your opportunity to:

- gain support for the continuity program,
- submit for approval the critical activity priority order of recovery,
- submit for approval the critical activity recovery time objectives,
- highlight high levels of risk to critical activities, and
- support program budget forecasts and resource allocations.

The Impact Analysis report should contain the following:

- a prioritized list of essential and critical activities,
- anticipated impacts on the Division in the event of a major disruptive event,
- recommended priority order for critical activity resumption,
- recommended activity recovery time objectives,
- assessment of current processes and capabilities,
- assessment of current risk management processes, and
- recommendations to address the continuity requirements for activities that have been assessed to be the “Highest priority” with a 0 to 8 hour Recovery Time Objective.

## Section 3 – Determine Continuity Options

The objective of this element of continuity life cycle is to determine appropriate and sustainable pre-event impact mitigation controls and post event response/s that will enable the Division to continue the delivery of each critical activity or service at an acceptable level. The process involves the evaluation of continuity options that range from strategic to tactical in nature.

## STEP #5 – Capability assessment

### 3.1. Conduct a capability assessment

The first step is to determine the current essential and critical activity continuity capabilities. Using the questionnaire and template provided at Appendix D, document the Education Continuity Project Team understanding of the school division's essential and critical activity enablers specifically personnel, facility, technology / equipment and vital records. For the team to understand precisely what the Division capabilities are this process requires the involvement of the critical activity owner / manager. For each of the departments or disciplines not represented on the Project Team, you will need to gather this information through a series of interviews.

Continuity resources that are considered in Appendix D include:

- People – staff, managers, specialist skills,
- Equipment – workstations, telephones, photocopiers, fax machines, filing cabinets,
- Vital records (paper or electronic) – contracts, personnel records, health records, databases, management system files / applications, programs applications,
- Technology (hardware and software) – computers, laptops, printers, servers, routers, management systems, office suite, specialty software, and
- Workspace and facilities – offices, classrooms, environment controls, security.

The objective of this capability assessment is to have a high level understanding of the existing internal continuity capabilities. A detailed identification and description of the internal and external continuity resource requirements will be required during the development of strategic and operational continuity plans.

### 3.2. Conduct a gap analysis

Now that you have described what is require in the way of resources we need to look at our existing capabilities and determine the gaps. Particularly for the activities that have been identified as our highest priority with potential for the most significant impact on our capability to meet our education objectives.

Based on the information provided the team can determine if sufficient and suitable continuity resources currently exist. For the activities that do not appear to have sufficient or suitable resources the team should document the shortfalls. Current alternate processes, work-a-rounds, coping procedures and contingency plans such as existing space sharing agreements, work from home plans, off-site records storage should also be documented and considered.

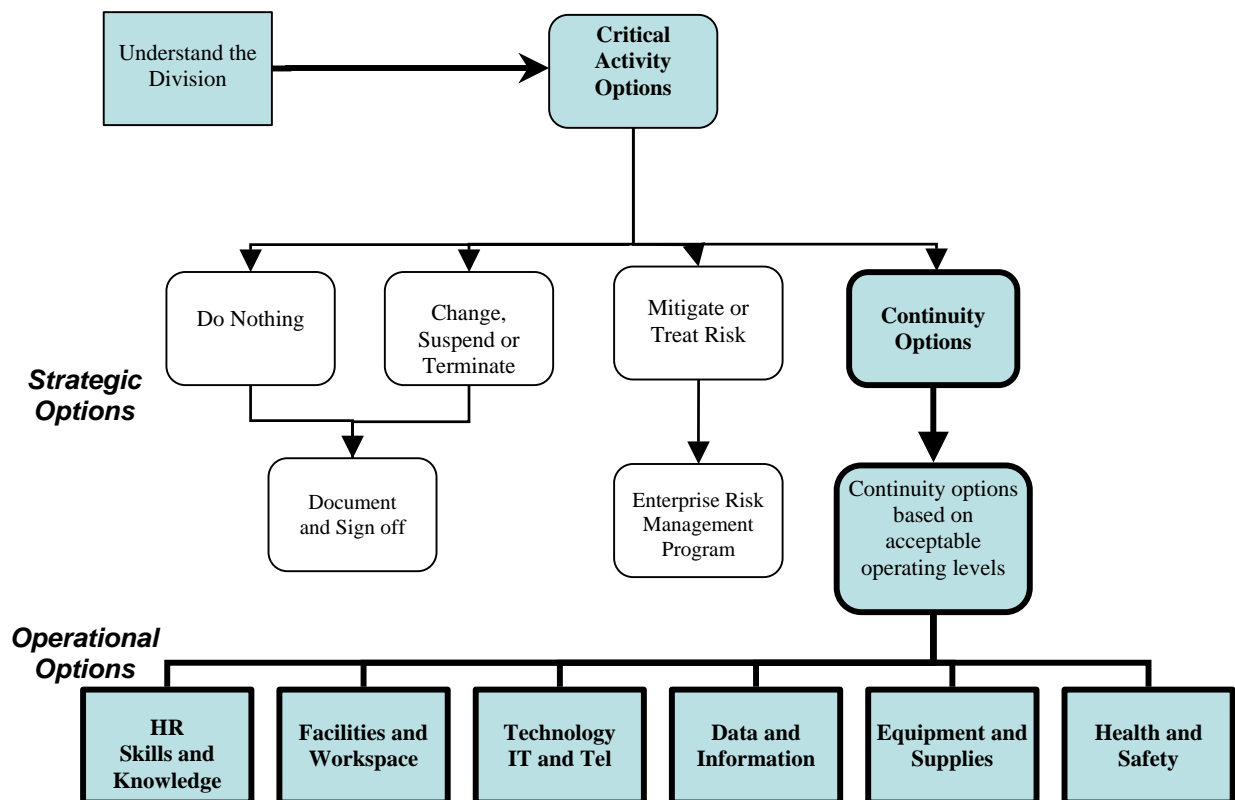
Significant capability gaps that indicate the possibility of a total mission critical activity failure, particularly those identified as a high priority should be referred to the education continuity sponsor at Executive or Senior Management level at the earliest possible opportunity along with options for addressing the issue. The strategic decision to mitigate, transfer or accept the risk should be formally documented and signed off.

## STEP #6 – Option Analysis

### 3.3. Continuity Options Analysis

The options available for consideration can be separated in three categories; Strategic, Operational and Tactical. It is most likely that the strategic options, less the continuity program, will be outside the scope of the Planning Team. In most circumstances the Continuity Planning Team will be responsible for the Operational continuity options while influencing the Strategic and Tactical continuity options.

- Strategic planning;
  - Impact tolerance definition - Accept current capability resilience
  - Change or suspend activities
  - Risk control and treatment
- Operational planning;
  - Financial management
  - Human Resources
  - Public Relations
  - Intellectual property and records
  - Technology
  - Vendors and service providers
- Tactical planning;
  - Equipment and supplies management
  - Personnel assignment
  - Information technology management
  - Records and data management
  - Telecommunications management
  - Work space allocation



It is important to confirm the scope of the continuity planning team responsibilities and authorities. The remainder of this section will deal primarily with the Operational and Tactical Options.

### 3.4. Options Available

The Impact Analysis ensures that the intolerable impacts are the main consideration in defining the direction, scope and appropriate recovery strategies for plan development. Simply put, the shorter the time in which the impacts become intolerable, the more permanent the strategy, resources in place and ready to use. Conversely, if the impacts are tolerable for two weeks or more, then a non-permanent strategy, resources identified but not in place, are indicated.

The School division cannot meet its mandated education goals without its supporting activities. Recovery must involve the entire organization - facilities, administration, accounting, information systems, personnel, and most importantly, the business units that perform the mission critical activities. All functions need to be synchronized and must collaborate with each other for optimum recovery.

Each School Division has different capabilities and needs; it is therefore difficult to identify all the options that are available or suitable. Some of the more common suggestions for consideration are:

- Human Resources Skills and Knowledge
  - Key staff succession planning
  - Key staff and skill set cross training
  - Document critical activity processes and continuity plan
  - Creation and maintenance of key staff contact lists
- Facilities and Workspace
  - Re-assigned space makes use of existing internal accommodation such as a training facility or canteen to provide recovery space or increase the office density. This will require careful planning and some technical preparation.
  - Displacement involves the displacing of staff performing less urgent business processes with staff performing a higher priority activity. Care must be taken when using this option that backlogs of the less urgent work suspended do not become unmanageable.
  - Remote Working includes the concept of “working from home” and working from other commercial locations e.g. hotels (Internet Cafes should not be considered). Working from home can be a very effective solution but care must be taken to ensure Health and Safety issues are addressed and sufficient dial-up capacity is available.
  - Reciprocal agreements can work in some selected services but care must be taken when establishing this type of agreement. Procedures must be in place to ensure that periodic checks are performed to ensure that the required arrangements have not changed. Reciprocal agreements must have a clause in the contract to ensure that testing is allowed.
  - Third party alternative site arrangements from a commercial or service company may be an option for consideration if these can ensure the organization’s recovery time objectives (RTO) are achieved. There are a range of commercial services including fixed, mobile and prefabricated sites.
  - Insurance, when properly arranged, can provide financial compensation for loss of assets, increased costs of working and protection for associated legal liabilities. However it may not provide cover for the full expense of an incident or damage including the loss of clients, impact of stakeholder value or loss of reputation. The



Education Continuity Manager should work closely with the Insurance Manager to dovetail insurance cover with BCM parameters.

- Technology and Telecommunications
  - Just in Time (Drop Shipment) Contracts includes generators, IT equipment such as PCs, servers and printers and specialist hardware and equipment such as telephony systems. This may be an appropriate strategy if an unprepared building is to be equipped to provide an appropriate working environment. Most drop ship contracts permit the delivery location to be nominated at invocation, allowing a more flexible response to a specific incident compared to a fixed site recovery capability. Contract terms vary from 'best efforts' to guaranteed delivery.
  - Resilient Operations include dual site operations and continuous availability solutions. In the event of an interruption at one site the business function is transferred to one or more alternate locations at which staff and facilities are already prepared to handle it. These options are normally amongst the more expensive to implement but provide the appropriate solution where quick resumption is necessary. To be a viable recovery strategy this configuration should have no single points of failure, an appropriate geographical separation and diversity of the two or more sites.
  - Telephone: the unplanned redirection of telephones to alternative locations may not be possible within an acceptable timescale particularly during wide-area events. Most telecommunications operators will offer, for a charge, a range of flexible planned solutions that will allow instantaneous or rapid redirection of calls from one site to one or more alternatives. The logistical problem of handling telephone calls during an interruption, once they have been redirected, needs to be addressed.
- Vital Records – Electronic and paper
  - Vital records inventory and register established by each critical function owner. The inventory should indicate what the records is, what medium it is stored in, where it is stored and who has access to it.
  - Off-site storage of paper and electronic records. These are best negotiated at a department / organization level ensuring the best value for money through economies of scale. The storage site should be sufficiently far away to ensure that they are not also affected by an incident, but not so far that access takes so long that Maximum Tolerable Outage's are threatened. The Recovery Time Objective (RTO) of the function using the records will determine the suitable back-up strategy. Some papers may be work-in progress and be required in short timescales while others may be archives retained for legal or regulatory purposes for which deep storage, at lower cost, will be suitable.
  - Paper records off-site storage solutions include off-site recovery team boxes, fire-'proof' cabinets, and photocopies, managed in-house or by a service provider.
  - Electronic record storage can be managed in-house but are also provided by a range of suppliers. Records can be sent off-site by physical collection of storage media or by electronic transmission.
- Equipment and Supplies
  - Just in Time (Drop Shipment) Contracts / Agreements includes photocopiers, desks, chairs, filing cabinets and specialist hardware and equipment such as hand carts and safes. This may be an appropriate strategy if an unprepared building is to be equipped to provide an appropriate working environment. Most drop ship contracts permit the delivery location to be nominated at invocation.
  - Stock pilling or dual sourcing of materials and equipment where interruption of supply would rapidly halt a critical function. Consider holding inventories off-site, at another site or at the supplier's site. This is usually suitable for office supplies and materials but may be cost prohibitive for items such as office furniture and specialist equipment.

- Creation and maintenance of business unit Emergency Boxes which contain a supply of forms, materials and supplies for ready use. These are normally stored away from the business units normally work site.
- Asset restoration services are provided by a range of specialist companies who can often minimize damage after fire and flood to papers, equipment and buildings. These firms may provide an advance registration service and advice, as well as being available on request post incident.

### 3.5. Process

Using the Appendix D questionnaire and template that was initiated at paragraph 3.1 and 3.2 above, document the Team's understanding of the School division's continuity response options.

This process is best carried out from the bottom up. For the team to understand precisely what the Division capabilities are this process requires the involvement of the critical activity owner / manager. For each of the departments or disciplines not represented on the Project Team, you will need to gather this information through a series of interviews.

Continuity option analysis and responses selection should include consideration of the:

- suitability and effectiveness of alternative operating methods to ensure the successful completion of critical activities within the desired recovery time objective,
- suitability and effectiveness of risk control measures in the reducing the possibility of the risk event occurring and in the impact of the disruption when it occurs,
- manageability and ease of maintenance of the continuity option and response,
- cost effectiveness and sustainability of the option, usually the faster the recovery requirement, the greater the cost of a solution.

This process usually involves the following stages:

- Confirm the teams understanding of the approved critical activity priority order of recovery and their respective recovery time objectives.
- Confirm the critical activities that have a capability to meet the recovery time objectives.
- Starting with the Highest priority critical activities, identify appropriate continuity options available for each class of capability enabler. (People, Equipment, Information, Technology and Facilities)
- Evaluate the feasibility and cost benefit for each of the options to ensure cost effectiveness and sustainability.

### 3.6. Report Findings and recommendations

At this point in the Continuity plan development it is important to consolidate your Teams findings and to make recommendations to the executive management project sponsor. The reporting of the results of the continuity option analysis is your opportunity to:

- confirm the critical activity priority order of recovery,
- confirm the critical activity recovery time objectives,
- inform executive of the resource requirements to sustain each critical activity,
- gain management support for the recommended continuity options,
- gain approval and support for budget forecasts and resource allocations, and
- seek executive direction for the development of continuity plans.

The Continuity Options Analysis report should contain the following:

- a prioritized list of mission critical activities,
- anticipated impacts on the Division in the event of a major disruptive event,
- recommended priority order for critical activity resumption,
- recommended activity recovery time objectives,
- assessment of current processes and capabilities,
- assessment of current risk management processes, and
- recommendations to address the continuity requirements for activities that have been assessed to be the “Highest priority” with a 0 to 8 hour Recovery Time Objective.

### 3.7. Extraordinary Circumstances

An extraordinary circumstance can be described as an event or series of events that by its nature has the potential to be catastrophic and affect not only your operations but also significantly and unpredictably affect your students, community, partners and suppliers.

There are a number of risks events that have in the past created exceptional circumstances and resulted in catastrophic disasters or crisis. The most commonly considered are:

- Acts of workplace violence
- Pandemic
- Regional natural disasters
- Mass casualties and / or fatalities

These exceptional circumstances have the potential to significantly alter your “normal” operating environment and change your risk analysis assumptions; therefore, they require additional continuity option analysis and strategy development. There is a need to develop continuity responses specific to these potentially catastrophic risk events.

You may already have contingency plans for these potential exceptional circumstances. If you currently have contingency plans, your options are to maintain the existing plans separate from the ECP, ensuring that they are synchronized, or integrate them into the ECP. The current recommended best practice is to merge and integrate your contingency plans into the ECP.

Appendix E looks at these circumstances and outlines additional continuity considerations, options and strategies.

## Section 4 – Develop Continuity Responses

In Paragraph 3.3 above you looked at the three possible categories for continuity plan development, Strategic, Operational and Tactical. You have presented your continuity options analysis and made recommendations for the activity priority order of recovery, recovery time objectives, recovery point objectives and response procedures. Given approval of these recommendations it is now time for the Team to develop and document the continuity plan that will detail the steps to be taken before, during and after a disruptive event.

This section is intended to guide you through the development of an Education Continuity Plan (ECP). The template provided represents the most commonly used plan components.

As you work through this section enter the information into the appropriate section of the ECP template.

## STEP #7 – Start development of Education Continuity Plan (ECP)

### 4.1. ECP Introduction and Overview. (at a minimum should include)

- The objectives of the ECP.
  - safety and staff well-being
  - continuance of essential critical activities and abilities
  - resilience of essential critical activities and abilities
  - demonstration of continuity capability
- The scope of the plan.
  - planning process
  - operational and Tactical continuity responses
  - division, Departments and Schools / Institutions involved / affected
  - responsibilities and authorities
- Descriptions of continuity management activities that are outside the scope; for example:
  - crisis management and communications plans
  - emergency response plans
  - financial management policies
  - human resource policies
  - information and records management policy and plan/s
  - occupational health and safety programs
  - security plan/s
  - emergency response plan

## STEP #8 – Document strategic plans

### 4.2. Executive / School Division level responses

- plan ownership and authorities
- disruptive event escalation procedures
- continuity plan activation procedures
- infrastructure and facility replacement projects
- contracts and agreements outside continuity identified requirements
- risk control options that involve the changing, suspending or terminating an essential critical activity

### 4.3. The Executive approved definition of disruptive events (these are based on their impact potential)

- *Emergency – a present or imminent occurrence which has resulted in or may result in serious harm to the safety, health or welfare of people or in significant damage to property.*
- *Disaster – an emergency that has caused widespread and serious harm to the safety, health or welfare of people; or widespread damage to property or the environment.*
- *Crisis - A situation or event that, in the extreme, appears to overwhelm or has the potential to overwhelm the Council's existing resources.*

4.4. The Recovery Time Objectives. The approved and established maximum allowable down time of each service or operation as recommended and approved by executive during the Step 3 paragraphs 2.3 and 2.5 above. The example below provides a suggested ranking system:

- High - Priority 1 Activities

Activities that must be provided immediately or impacts will definitely result in loss of life, infrastructure destruction, loss of confidence and significant loss of regulatory compliance capability. These activities normally require continuation within 24 hours of interruption.

- Medium - Priority 2 Activities

Activities that must be provided within 72 hours or impacts will likely result in loss of life, infrastructure destruction, loss of confidence and significant loss of regulatory compliance capability.

- Low - Priority 3 Activities

Activities that must be resumed within 2 weeks or impacts could result in considerable loss, further damage or loss of regulatory compliance capability.

#### 4.5. Emergency Management Plan

Based on the Continuity Planning Teams review of the existing Emergency Management plans, Step #1, paragraph 2.1, describe:

- the scope and objectives of the emergency response plan,
- who is responsible for the plan,
- what the reporting procedures are, and
- the relationship with continuity plan, process and escalation.

#### 4.6. Accountability, Roles, Responsibilities and Authority

Based on the Continuity Planning Teams findings paragraph 1.4 and 1.5 and in consultation with the executive sponsor, describe the continuity roles, responsibilities and authorities for

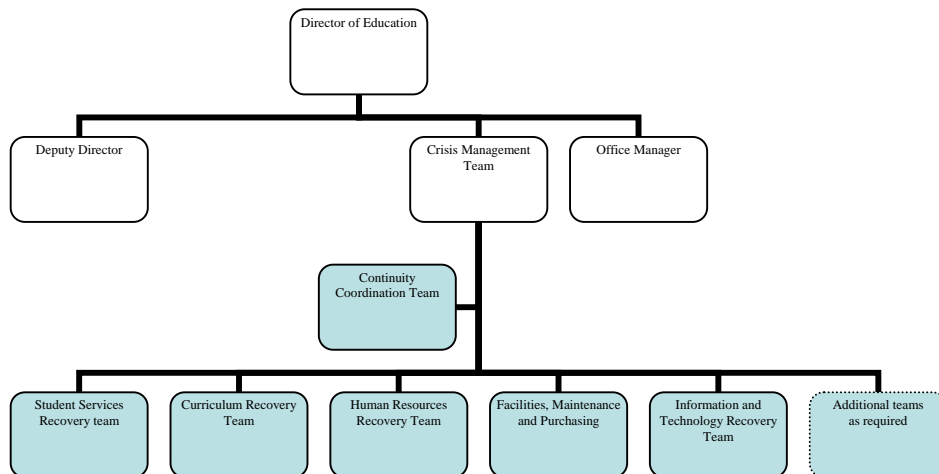
- Executive Management
  - strategic response development and approval
  - risk management control authorization
  - Crisis Team / Division internal and external communications
  - disaster declaration and plan invocation
  - lead, direct and coordinate event response
- Continuity Coordination Team / Planner
  - responsible to Executive Continuity sponsor
  - operational response development
  - coordination of event response
- Superintendent / Director or Coordinator
  - responsible to executive Management
  - development and maintenance of Department tactical continuity plans
  - activation of Department response team
  - direction and coordination of Department response
- Department Continuity Teams

- responsible to appropriate Superintendent
- protection of essential critical activity capabilities and resources
- recovery of assigned essential critical activities

#### 4.7. Direction, Control and Coordination

- Event management system / process including escalation
  - **Describe the impact information gathering and assessment process.**
  - **Describe the escalation and communication of situation analysis.**
  - The terms Emergency, Disaster and Crisis, as described in the opening definition page should be used to describe an event that affects your capabilities.
- Disaster Declaration Processes
  - **Describe authority and responsibility for declaring a disaster and ECP activation.**
- Response management system
  - **Describe the Division continuity management and team structure, reporting streams and responsibilities.**
  - The recovery and resumption management strategies should be aligned with current day-to-day Division leadership organization and governance processes. The emphasis is on reinforcing the existing responsibilities and authorities while expediting the decision making and action processes. In any disruption event, quick response and decisive actions are the keys to reducing the events impacts.
  - The processes for executive management decisions and issue resolution, delegation of authorities and communications responsibilities should be the same as those encountered on a daily basis. The key difference is that these activities are sped up and enhanced by being focused on pre-defined and prioritized essential critical activities and capabilities.
  - The organization and reporting streams for the Department recovery teams, the School Division Continuity Coordination Team and the Crisis Management team. This is can be as simple as a mirror of the existing Department organization and relationships.

Note: the processes and reporting streams that you develop should be documented in Paragraph 8 of the ECP template.



#### 4.8. Succession Plan

- Ensure the continuity of team leadership by establishing and communicating a clear primary and alternate team leader succession process.
- Identify the Crisis Team Leader and alternate leader by position; avoid personal names at this point in the plan. Names, phone numbers, and addresses will be set out in the Team contact lists.
- Identify each Department / Function recovery team leader and their alternate. Again avoid the use of individual's names.
- Details of the authorities and responsibilities for the alternate leaders should be briefly described at this point.

<b>Continuity Team</b>	<b>Team Leader</b>	<b>Alternate Team Leader</b>
<i>Crisis Management Team</i>	<i>Director of Education</i>	<i>Deputy Director</i>
<i>Continuity Coordination Team</i>	<i>Superintendent, Business Administration</i>	<i>General Manager, Information Services</i>
<i>Human Resources Continuity Team</i>	<i>Superintendent, Human Resources</i>	<i>Manager, Pay and Benefits</i>
<i>Facilities Continuity Team</i>	<i>Manager, Facilities</i>	<i>Supervisor, North Facilities</i>
<i>Include each division / department continuity team</i>	<i>Identify a team leader for each team</i>	<i>Identify an alternate team leader for each team</i>

Note: The details and procedures will be required for and should be included in the Operation Response section of the ECP Template, paragraph 9.

#### 4.9. Communications and Warnings

Based on the Continuity Planning Teams review of the existing Crisis Management and/or Communications plans, Step #1, paragraph 2.1, describe:

- who the designated and alternate spokespersons are,
- who is responsible for crafting and releasing the core messages,
- who is responsible for internal and external web site content,
- the authorities for team leaders to communicate with internal and external audiences, such as first responders, suppliers and partners, and
- who is responsible for monitoring an emerging risk?

#### STEP #9 – Document operational plans

The essential critical functions of the school division will be interrelated and interdependent. It is important that everyone, from the executive to team members, know and understand the following continuity responses.

Note: The details and procedures will be required for and should be included in the Operation Response section of the Education Continuity Plan Template, paragraphs 11–18.

4.10. Disruption assessment.

Describe the responsibilities for the immediate and continuing assessment of the event impacts.

Note: Tasks are based on the responsibilities identified during the capability assessment conducted during the Framework Step 6 and ownership tasks developed in Appendix D.

- *At a minimum event impact assessments are required for essential critical activities that are dependent on:*
  - *people – staff, managers, specialist skills,*
  - *equipment – workstations, telephones, photocopiers, fax machines, filing cabinets,*
  - *technology (hardware and software) – computers, laptops, printers, servers, routers, management systems, office suite, specialty software,*
  - *vital records (paper or electronic) – contracts, personnel records, health records, databases, management system files / applications, programs applications, and*
  - *workspace and facilities – offices, classrooms, environment controls, security.*

*Options can include:*

- *Direct from the site of the disruption / point of impact to the Crisis Team*
- *Direct from the site of the disruption / point of impact to the Continuity Team*
- *From the site of the disruption / point of impact to the Team leader responsible for the essential critical activity affected.*

4.11. Continuity plan activation

- Priority Order of Recovery.

The outcome from the assessments of event impact will dictate which teams require activation and when. Insert the findings developed during the process outlined in Step 6, paragraph 3.6, of the Framework. These should be approved by Executive.

Priority H, M, L	Essential Critical Activity	RTO (time)	Responsible Team
<i>High</i>	<i>Describe essential activity</i>	<i>0-2 hrs</i>	<i>Insert the applicable activity owner</i>
		<i>2-8 hrs</i>	
<i>Medium</i>			

At a minimum the High and Medium Priority essential critical activities should be described.

4.12. Declaring a disaster

Develop a checklist that details the phases, activities and responsibilities for the escalation of the continuity response. The authority and responsibility for assessment and activation needs to be consistent with those described at paragraph 4.7.



Activity	Responsibility	Action
Complete initial assessment of impact (High, Medium, Low)	Employee at the point	Report assessment to Department / Team Leader
Complete detailed assessment of impact on Department critical activities (H, M, L)	Department / Team Leader	Report assessment to Crisis Team (emergency, disaster, crisis)
Complete detailed assessment of impact on Division critical activities	Crisis Team	Declare – disaster / crisis Activate Continuity Plan Notify Continuity Teams
Recovery / Continuity Team activated	Department / Team Leader	Notify Team members

“Disaster declaration” and plan invocation actions may include authority for:

- continuity teams activation
- Operations Centre (DOC) to be activated
- alternate work locations to be activated
- recovery equipment contracts to be invoked
- information technology, vital records and telecommunications recovery plans to be activated.

4.13. Continuity teams.

- Describe the essential critical activities, the activity enabling process and priority order of recovery that each department / branch is responsible for.
- Department and team structure should coincide with the chart at paragraph 3.3. Essential and critical activities and recovery time objectives should coincide with the information presented at paragraph 3.6 and approved.

Priority H, M, L	Essential Critical Activity	Essential Activity Enabling Process	RTO (time)
<i>High</i>	<i>Describe essential activity. Refer to Appendix B, column A</i>	<i>Describe essential activity. Refer to Appendix B, column B</i>	<i>Appendix B, column I</i> <i>2-8 hrs</i>
<i>Medium</i>			

**Create a chart for each department continuity team.**

STEP #10 – Document supporting plans

4.14. Facilities.

In the event of a disruption and activation of the Continuity Plan there will be an urgent requirement for alternate work locations. Describe the team responsible for the facilities

essential critical activities identified during the process at paragraph 2.2. Briefly outline the processes developed at paragraph 3.5 and Appendix D. A detailed description of the continuity procedures will need to be developed in the respective team plan. This planning activity is best lead by the manager of facilities. The activities identified may include:

- the responsibilities and authorities for acquiring alternate work facilities,
- the location of primary and secondary alternate work locations,
- the priority order for the occupation of alternate work locations,
- the responsibility, authority and process for site inspections and damage assessment, and
- the responsibility for basic cleanup and repairs to the various work unit areas.

Best Practice

- Develop a consolidated Alternate Work Location list and insert it as an annex to the ECP. ECP Template Annex B.

<b>Continuity Team</b>	<b>Primary Alternate Work Location</b>	<b>Secondary Alternate Work Location</b>	<b>Facility Provider / Landlord</b>
<i>Crisis Management Team</i>	<i>Inset address</i>	<i>Inset address</i>	<i>Inset details</i>
<i>Continuity Coordination Team</i>	<i>Inset address</i>	<i>Inset address</i>	<i>Inset details</i>
<i>Insert a row for each team identified in paragraph 4.4</i>			

4.15. Financial management.

In the event of a disruption and activation of the ECP there will be urgent purchases and expenses. Identify the team responsible for the financial management essential critical activities identified during the process at paragraph 2.2. Briefly outline the processes developed at paragraph 3.5 and Appendix D. A detailed description of the continuity procedures will need to be developed in the respective team plans. This planning activity is best lead by the finance manager. The activities identified may have included:

- advising the Continuity Team on legal and insurance issues related to the recovery process,
- alternate methods for processing staff pay,
- alternate accounts receivable processes - invoicing and collection,
- alternate accounts payable processes - service provider payment,
- alternate methods for communicating and coordinating with insurance companies and adjustors,
- alternate procedures for accessing and coordinating the transfer of emergency funds, and
- procedures for documenting and reconciling continuity expenditures. (example: purchases, hours worked, travel and meal expense claims)

Best practices include:

- establishing a financial resource cost centre for the assignment of commitments related to a “Declared Disaster”. Commitments and encumbrances would include: information

technology equipment lease and / or rental, recovery travel and meal expenses, alternate work space rental or lease, vehicle rentals, local purchase of office supplies and equipment to name a few.

- maintaining existing signing authorities and commitment levels assigned to Directors and Managers.
- commitments for the purchasing of major equipment and/or rental of specialized facilities should only be authorized by Crisis Management Team and / or the Continuity Coordination team.
- establishing disruption service contracts and service level agreements with vendors. Verbal agreements/ commitments should be avoided.
- the school division purchasing agent is the most suitable for these transactions.

#### 4.16. Human resources.

In the event of a disruption and activation of the Continuity Plan there will be urgent human resource related activities. Describe which team is responsible for the human resource related essential critical activities identified during the process at paragraph 2.2. Briefly outline the processes developed at paragraph 3.5 and Appendix D. A detailed description of the continuity procedures will need to be developed in the respective team plans. This planning activity is best lead by the manager of human resources. The activities identified may have included:

- responsibility and procedures for monitoring risk related to employee well-being and position staffing,
- procedures for accounting for staff and determining their well-being,
- alternate procedures for ensuring ongoing communication with employees,
- alternate procedures to access HR database resources and applications,
- alternate procedures for monitoring and maintaining compliance with provincial labour laws,
- alternate procedures for providing employee crisis support and coordinate ongoing crisis support through the employee and family assistance programs and providers, and
- alternate procedures for providing support to employees during and after the event, including relevant policies with respect to time off, pay and benefits, compensation.

#### 4.17. Information Technology systems

In the event of a disruption and activation of the Continuity Plan there will be an urgent need to access information systems, programs, applications and vital records. These systems contain the information necessary to continue operations, to recreate our legal and financial status and to preserve the rights and obligations of the Division, its employees and students. In this phase of the plan development detail the team that is responsible for the technology and information system essential critical activities identified during the process at paragraph 2.2. Briefly outline the processes developed at paragraph 3.5 and Appendix D. A detailed description of the continuity procedures will need to be developed in the respective team plans. This planning activity is best lead by the manager of information technology systems. The activities identified may have included:

- the priority order for the recovery of computing and data systems,
- the responsibility and priority for re-establishing the internal and external website,
- the details of the continuity team alternate computing requirements – document production, filing, printing and email,
- the details of networked and/or remote systems procedures for access to restored servers and the world wide web,

- the details of computing systems and software to support the financial management and human resource systems,
- the details of computing systems and software to support department teams and schools,
- the responsibilities and procedures for acquiring and restoring essential critical telephone equipment,
- the responsibilities, process and priority for rerouting essential critical telephone numbers, and
- the responsibility and process for staffing essential critical information telephone numbers.

Best practices include:

- develop a chart showing the priorities for the recovery of computing and data systems. Include the chart in the ECP at paragraph 16.

Priority H, M, L	Critical System	RTO (time)	Supported Team
<i>High</i>	<i>Describe system / application</i>	<i>0-2 hrs</i>	<i>Insert the applicable activity owner</i>
		<i>2-8 hrs</i>	
<i>Medium</i>			

- develop a consolidated Information Technology and Vital records list and insert it as an annex to the ECP. An example is provided at Annex C of the ECP template.

Continuity Team	Computers	Printer	Application Name	Network Protocol	Location of Application Host	Application Accessed From	Vital Records Description	Vital Records Location
<i>HR Team</i>	<i>1</i>	<i>1 - laser</i>	<i>HR/Payroll</i>	<i>Web</i>	<i>Central Server Centre</i>	<i>HR alternate locations, Home offices</i>	<i>personal information, payroll information</i>	<i>electronic - host backup paper -</i>

#### 4.18. Vital Equipment and Supplies

In the event of a disruption and activation of the Continuity Plan there will be an urgent requirement for vital equipment and supplies. Identify the team responsible for the procurement of these items of equipment and office supplies identified during the process at paragraph 2.2. Briefly outline the equipment and supply options developed at paragraph 3.5 and Appendix D. A detailed description of the continuity equipment and supplies will need to be developed for the tactical section of the Continuity plan and the respective team plans. This planning activity is best lead by the purchasing manager. The activities identified may have included:

- the responsibility and authority to contact suppliers and couriers to control (cancel/redirect) shipping and receiving,

- the responsibility and authority to establish service level agreements and memorandums of understanding for the short notice delivery of equipment and supplies, and
- the responsibility and authority to invoke service agreements with vendors for material and equipment.

#### Best Practice

- develop a consolidated Vital Equipment list and insert it as an annex to the ECP. An example is provided at Annex D of the ECP Template.

Continuity Team	Desks / Chairs	Phone / s Fax	Locking Cabinet	Printer	Specialized Equipment	Specialized Supplies
<i>HR Team</i>	<i>1 of each</i>	<i>1 of each</i>	<i>yes</i>	<i>1 - laser</i>	<i>1 Blackberry</i>	Medical claims forms
					<i>Digital camera with USB cable and batteries</i>	Insurance claims forms
					<i>AM / FM radio</i>	
					<i>digital projector</i>	

#### 4.19. Vital records

In the event of a disruption and activation of the Continuity Plan there will be an urgent need to access and use electronic and paper based vital records. These records contain the information necessary to continue operations without delay under abnormal conditions, to recreate our legal and financial status and to preserve the rights and obligations of the Division, its employees and students. Identify the team responsible for the vital records essential critical activities identified during the process at paragraph 2.2. Briefly outline the processes developed at paragraph 3.5 and Appendix D. A detailed description of the continuity procedures will need to be developed in the respective team plans. This planning activity is best lead by the records manager. The activities identified may have included:

- responsibility and procedures for identifying and classifying vital records, that are fundamental to the functioning of the Division and its ability to govern in the event of a disruption,
- responsibility and authority to create copies of vital records,
- responsibility and authority for storing and maintaining vital records that are located away from the area where the original records are kept,
- responsibility and authority for protecting vital records including the routine dispersal to other locations and duplication of records specifically for their protection,
- responsibility and authority for maintaining an inventory of vital records which includes a detailed list identifying the vital records and information, their format, their location, protection instructions, and method of recovery, and
- alternate procedures for the recovery, access and use of vital records.

#### Best Practice

- develop a consolidated Vital Records inventory, using Annex C that was created to identify the vital records that are required by each Team,
- strategic records, such as Minutes of Board meetings, education ministry correspondence and operational records such as contracts, employee records, insurance policies and records, legal documents are best centrally controlled by a division level representative,

- copies of each vital record should be stored at a secure, climate-controlled facility with 24 / 7 access, away from the site where the original records are used.

## Section 5 – Maintenance, Exercise and Audit

Maintenance, exercising and audit activities lead to the Division being able to demonstrate that its strategies and plans are effective, realistic and fit-for-purpose.

### STEP #11 – Develop maintenance procedures

5.1. Our business environments are dynamic and constantly subject to changes in people, process, risk and goals. Maintenance of the ECP must involve the interaction of a wide range of managerial and operational roles from both a business and technical perspectives. The objective of the maintenance program is to ensure that the plan is current, fit-for purpose and known.

5.2. Education Continuity maintenance processes can include:

- document audits
  - Education Continuity policy
  - Education Continuity plan/s
  - Department / Branch Team plans
- risk review and update
  - confirm risk exposures
  - validate current risk controls
- internal change reviews
  - validate essential activities
  - confirm essential activity processes
- impact analysis review and update
  - validate impact criteria
  - confirm essential activity priority order of recovery
  - confirm recovery time objectives
- capability review
  - equipment
  - facilities
  - technology
  - staff
- exercises and tests
  - exercise based on risk
  - exercise based on continuity response
  - results review
  - gap analysis and resolution

### Best practices

- ensure that your documents are regularly review, validated and kept current
- have each plan “owner” responsible for updating and maintaining current their plan’s dynamic data such as employee contact information, team tasks and assignments, suppliers contact lists, team recover supplies,
- identify the optimal times for maintenance activities by trying to avoid business and education activity cycles, such as fiscal year end, that would be significantly impacted by an exercise or test,
- schedule review and audit activities when:

- there is a significant change in a risk exposure
- there is a major change in process, location or technology
- immediately after an exercise or test
- assign ownership and responsibilities for audit recommendations, recommended corrective actions and gap resolutions, and
- have senior management involved in the process.

**Turn to Appendix F and start the development of your maintenance plan.**

STEP #12 – Develop exercise and testing plans

5.3. The demonstration of a continuity capability is achieved through a structured exercising program. To be successful an exercising program must begin simply and escalate gradually. Exercising is a generic phrase used here to describe the exercising of Continuity Plans, rehearsing team members and staff and testing of technology and procedures. There are three terms that are generally used:

- **test:** Usually used when a technological procedure and/or business process is being tried, often against a target timescale. In this sense the result can be either a ‘pass’ or ‘fail’ (for the procedure, not the individual). An example is the rebuilding of a server environment from back-up tapes.
- **rehearsal:** A practice of a specific set of procedures which require the following of a script to impart knowledge and familiarity. An example is a fire drill.
- **exercise:** Usually for a scenario-based event when decision-making abilities are being examined. An example is a desktop exercise to manage a major incident.

Regardless of the term used, it is important to demonstrate that an exercise is an opportunity to measure the quality of planning, competence of individuals and effectiveness of capability rather than a simple ‘pass or fail’ examination. A positive attitude towards continuity exercising makes the process more acceptable and enables strengths to be acknowledged and weaknesses to be seen as opportunities for improvement rather than criticism.

5.4. The purpose of exercising is:

- to evaluate the organization’s current continuity competence,
- to identify areas for improvement,
- to highlight assumptions which need to be questioned,
- to provide information and instil confidence in exercise participants,
- to develop team work,
- to raise awareness of Education Continuity throughout the organization by publicising the exercise, and
- to test the effectiveness and timeliness of planned response plans and procedures.

5.5. In order for any exercise to be “useful”, it should meet the following criteria: stringency, realism, and minimal exposure. These three criteria often have conflicting requirements, and usually require compromise.

- **rigorousness / stringency:** exercises should be carried out, wherever possible, using the same procedures and methods as would be used in a real event, making the event as real as possible. This is the ideal, but it may not be possible to run certain tests without alterations to “live” procedures. This applies especially to technical testing.

- **realism:** the usefulness of an exercise is reduced by the selection of an unrealistic scenario. The simulation of an event is needed to prove the viability of plans in such circumstances. The setting of a realistic education scenario ensures that the audience engages fully in the event and ultimately gains more from it.
- **control / minimal exposure:** exercises and tests have the potential to place the organization at a level of increased risk. The designer of the activity should ensure that:
  - the risk and impact of disruption is minimised,
  - the risks are understood and accepted.

#### 5.6. Exercise types include:

- **walk-through** is a structured walk-through of a teams plan, without a script or simulation. This can be accomplished in an informal setting and usually only involves the team leadership or a single team. The goal of a walk-through is to familiarize individuals on their responsibilities during a disruption and to identify gaps or inconsistencies in the plan. A walk-through is a good exercise type to start creating an initial awareness of the ECP.
- **tabletop exercise** is a structured paper fed scenario based exercise that simulates an incident in an informal, stress-free environment. Usually accomplished in a three to four hour session with the participants gathered in a boardroom or training room. Participants for a tabletop exercise usually include the branch head/director, members of the Branch Continuity Team and the Continuity Coordination team. The goal of a tabletop exercise is to educate the responsible individuals on their responsibilities during a disruption and to identify gaps or inconsistencies in the Plan. A tabletop exercise is a good exercise to start as an initial exercise to demonstrate the ECP.
- **simulation exercise** is a structured paper fed scenario based exercise that simulates the disruption by denying access to facilities, information technology, vital records or personnel. The procedures are formal, in that the disruption and continuity control processes are invoked and it is conducted in a time compressed stress-full environment. It can be accomplished in three to four hours but usually takes a full working day. The goal of a simulation exercise is to practice the responsible individuals, under limited stress, in their responsibilities during a disruption and to identify gaps or inconsistencies in the Plan. A simulation exercise is a good exercise to improve team competence and capabilities.
- **full plan exercise** is a structured paper initiated scenario based exercise that simulates the disruption of the entire organization. The procedures are formal, in that the disruption and continuity control processes are invoked and it is conducted in a time compressed stress-full environment. It can be accomplished in a full working day. The goal of a full plan exercise is to practice the team, under stress, in the coordination and synchronization of their essential activities during a disruption. A simulation exercise is a good exercise to improve the coordination of team activities, to demonstrate the full continuity capability and to work with outside agencies and partners.

#### 5.7. Exercise techniques include:

- scenario based opening and escalation scripts,
  - focussed on specific risks
  - focussed on specific essential activity
  - focussed n specific continuity team
- controlled or free-play participant actions to an opening script,
- announced or unannounced exercise,
- live or replicated technology and / or data used by participants,
- objectives focused on individual team or plan component(s), and
- objectives focused on dependant and integrated teams or multiple plan components.



5.8. The following chart outlines the relationship between exercise type, technique, complexity and frequency. The more complex the activity, the higher the cost which will reasonably results in a reduced frequency for that type of exercise / test. It is recommended that you begin small and gradually escalate the size and scope.

Type	Technique	Frequency	Complexity Cost
Desk audit	Audit Validation	HIGH	LOW
Walk through	Scenario Free-play Controlled Unannounced Live Individual Component(s) Integrated Components		
Tabletop			
Simulation			
Full plan		LOW	HIGH

**Return to Appendix F and complete the development of your maintenance plan.**

#### 5.9. Exercise planning and preparation

- define and document the exercise / test scope and objectives,
- determine who should participate, leaders, teams, service providers, partners,
- conduct a risk assessment of the exercise / test to identify the risks and possible impact on live operations,
- determine the most suitable exercise type and technique,
- determine when the exercise / test should be conducted, consider workloads, political conditions and seasonal issues,
- develop a budget for the exercise / test,
- prepare a realistic and suitably detailed scenario,
- submit the exercise plan for executive review and approval,
- ensure required participants are available,
- assign appropriate personnel to the task,
- prepare escalation scenarios and exercise checklists, and
- brief exercise controllers / observers.

#### 5.10. Post exercise activities

- debrief participants immediately after the exercise,
- document participant observations, gaps and lessons learned,
- prepare a gap / open-issues report during and immediately following the exercise / test,
- evaluate the exercise, consolidate results and prepare a post exercise report with action recommendations
- conduct a formal executive level debrief,
- circulate the post exercise reports to participants and executive management, and
- circulate an action plan to implement post exercise report recommendations.

#### 5.11. The desired outcomes of exercise activities are:

- validation that the ECP and strategies are effective,

- enhanced familiarity of team members and staff with their roles, accountability, responsibilities and authority in response to a disruption,
- testing of the technical, logistical, administration aspects of the continuity plan(s).
- testing of the recovery infrastructure that includes command centres, work area, technology and telecommunications resource recovery,
- rehearsal of the availability and relocation of staff,
- documentation of exercise results in a Post Exercise Report for executive management, auditors, insurers, regulators and others,
- documentation and resolution of open-issues (gaps) arising during the exercise,
- increased awareness of emergency procedures,
- increased awareness of the significance of Education Continuity Management, and
- opportunities to identify shortcomings and improvements to the organization's continuity readiness.

## **Section 6 – Embed Continuity Management in the Division's Culture**

Embedding Continuity Management in the organization's culture enables continuity management to become part of its core processes and instills confidence in the ability of the organization to cope with major disruptions.

To be successful Education Continuity Management has to be taken for granted as part of the day-to-day operational management process, regardless of size or location. At all points in the continuity management process, opportunities exist to introduce and enhance your organization's continuity culture. The process for sustainable developing and embedding continuity management in the organization's culture is a regular iteration of the following three steps:

- assessing the current level of awareness of, and commitment to, continuity management against the desired level and identifying the education and training gap that exists between the two,
- designing and delivering a process to create corporate awareness, and develop the skills, knowledge and commitment required to ensure successful Education Continuity Management.
- monitoring to confirm that the awareness campaign has achieved the desired results

There are limits to which any program can alter the culture of an organization. Factors for success include:

- visible and continued support by executive and senior management, including adequate financial support / budget,
- commitment from managers and operational staff who are required to implement continuity plans,
- consultation, with everyone involved with continuity management, in developing the campaign. As well as providing focus for the awareness effort, consultation in itself helps raise awareness and may help prepare the way for commitment to new working practices,
- focus on the operational priorities of the organization. Relating the campaign message to division and individual WIIFM ("What's In It For Me?") factors helps to provide justification for continuity management and the working practices that support it, and
- the awareness campaign and its messages should be tailored to target audiences. These audiences are both internal, for example continuity team, team members and general staff – and external, for example key stakeholders and third parties that are dependent on (or may adversely affect) the organization's own business continuity management effort.

## Glossary

<b>Alternate Work Location/s</b>	A site held in readiness for use during an Education Continuity Plan activation. The term applies equally to office, classroom or technology requirements.
<b>Business</b>	The day-to-day operational, administrative and support activities that enable and facilitate the attainment of an entity's Missions, Goals and Visions.
<b>Business Impact Analysis (BIA)</b>	A management level analysis that identifies the impacts of losing resources on the completion of essential activities and functions. The analysis measures the effect of resource loss to provide data upon which to base decisions concerning hazard mitigation, recovery strategies, and continuity planning.
<b>Education Continuity Management (ECM)</b>	A holistic management process that identifies potential disruptive event's, provides a framework for building resilience and builds the capability for an effective response that safeguards the interests of key stakeholders, reputation and education activities.
<b>Education Continuity Management Program (ECMP)</b>	An ongoing process supported by senior management and funded to ensure that the necessary steps are taken to identify the impact of potential losses, maintain viable recovery strategies and recovery plans, and ensure continuity of services through personnel training, plan testing, and maintenance.
<b>Education Continuity Plan(s) (ECP)</b>	Documented framework and process to enable the organizations to resume its essential education activities, processes or functions within their Maximum Tolerable Outage limits.
<b>Essential Critical Activity</b>	The critical operational and/or education support activity without which the organization would quickly be unable to achieve its education objectives.
<b>Essential Critical Record</b>	All administrative and operational records in any form (paper, microfilm, digital or electronic format), which are critical and essential to the resumption of education operations after a disruption.
<b>Maximum Tolerable Outage (MTO)</b>	The timeframe during which a recovery must become effective before a disruption compromises the ability of the organization to achieve its education or business objectives.
<b>Mitigation</b>	Activities taken to eliminate or reduce the probability of the event, or reduce its severity or consequences, either prior to or following a disaster/emergency.
<b>Preparedness</b>	Activities, programs, and systems developed and

implemented prior to a disaster/emergency that are used to support and enhance mitigation of, response to, and recovery from disasters/emergencies.

**Recovery Point Objective (RPO)**

The point to which information must be restored to ensure education objectives can be met in line with Maximum Tolerable Outage and Recovery Time Objective for the activity.

**Recovery Time Objective (RTO)**

The time by which Essential Critical Activity must be resumed.

**Recovery**

Activities and programs designed to return conditions to a level that is acceptable to the organization.

**Response**

In disaster/emergency management applications, activities designed to address the immediate and short-term effects of the disaster/emergency.

**Risk Appetite**

The willingness of an organization to accept a defined level of risk in order to conduct its education operations cost-effectively.

**Risk Assessment (RA)**

An activity to help identify potential causes of interruption to an organization, the probability of occurrence and the potential impact of the threat.

**Single Point of Failure**

The only (single) source of a service, activity and/or process whose failure would lead to the total failure of an Essential Critical Activity.

**Strategy**

Broad term usually referring to the formation of a vision and direction, setting mission statements, identifying objectives so that the organizations objectives and goals can be achieved.

**Vital Record**

Records essential to protect the essential critical financial, legal, and operational functions of the organization and its students, employees, shareholders, or other client groups. Information without which the business could not operate. *Uniqueness* and *replaceability* must also be considered.

## **Framework Appendices**

Appendix A – Continuity Planning Project Template

Education Continuity Project Checklist and Schedule			
Task Complete	Project Primary and Development task	Task Assigned To	Month / Year
	<p><b>Develop Education Continuity Management (ECM) Policy:</b>                      Executive appoint person or team to manage the ECM Program.                      Identify and document the components of the ECM Policy.                      Identify relevant standards, regulations and legislation that must be included in the Policy.                      Develop a draft of a Policy and circulate for consultation.                      Submit and obtain Executive Management approval                      Publish and distribute the Education Continuity Management Policy, have a version control system.</p>		
	<p><b>Develop ECM Program:</b>                      Establish a Project Team - constituents should include business operations, administration, curriculum, facilities, human resources and technology                      Define the scope of the continuity management program.                      Determine the key approaches to each stage of the ECM life cycle as described in the Framework.                      Develop Definitions and terms                      Determine the Divisions current state of readiness.</p>		
	<p><b>Conduct an Impact Analysis (BIA):</b>                      Determine scope and terms of reference for the Impact Analysis and Risk Assessment                      Conduct EC Project Team BIA workshop                      Develop BIA Questionnaire and Workshop                      Determine questionnaire recipients and workshop participants                      Distribute BIA questionnaires                      BIA Teams complete questionnaires / attend workshops                      Initial BIA data analysis                      Schedule follow-up interviews and workshops                      Conduct follow-up interviews and workshops                      Consolidate, analyze and summarize BIA results and data                      Determine what the Mission Critical Activities are                      Determine the financial impacts of a disruption                      Determine the operational and education impacts of disruption</p>		

**Education Continuity  
Project Checklist and Schedule**

Task Complete	Project Primary and Development task	Task Assigned To	Month / Year
	<p>Develop Maximum Tolerable Outage (MTO) criteria for each mission critical activity</p> <p>Determine Recovery Time Objectives</p> <p>Develop business unit recovery priorities and priority order of recovery.</p> <p>Identify resource requirements over time to enable each critical activity owner within the organization to achieve continuity objectives within the timeframes established as part of BIA activity. Examples are:</p> <ul style="list-style-type: none"> <li>- Staff numbers and key skills</li> <li>- Vital Records and data currency (Recovery Point Objective)</li> <li>- Voice and data applications and systems</li> <li>- Infrastructure (cabling and network links)</li> <li>- Facilities (alternative location needs)</li> <li>- Suppliers (intra-organization and/or outsourced providers) and their interdependencies</li> <li>- Constraints (such as contractual issues)</li> </ul> <p>Prepare BIA report and presentation</p> <p>Present to the Executive to attain approval to move onto continuity strategy design.</p>		
	<p><b>Conduct a Risk Analysis (RA):</b></p> <p>Verify RA scope &amp; objectives</p> <p>Establish criteria for risk High / Medium / Low likelihood and consequence</p> <p>List threats to the mission critical activities</p> <p>Estimate the impact of the risk for each mission critical activity</p> <p>Estimate the likelihood (probability or frequency) of each risk</p> <p>Calculate a risk by combining the scores for impact and likelihood of each risk according to an agreed formula.</p> <p>Identify risk controls that are in place</p> <p>Identify significant gaps and recommend possible additional controls</p> <p>Consider appropriate measures to: Accept, Transfer, Reduce or Avoid</p> <p>Prepare RA report and presentation</p> <p>Present RA to Executive Management</p> <p>Obtain Executive Management approval for the proposed risk management control(s).</p> <p>Make changes directed by Executive Management</p> <p>Proceed to development of Strategic, Operational and Tactical ECM strategy.</p>		

**Education Continuity  
Project Checklist and Schedule**

Task Complete	Project Primary and Development task	Task Assigned To	Month / Year
	<p><b>Develop and Analyze Continuity Options</b></p> <p>Confirm Mission Critical Activities prioritization, including their dependencies</p> <p>Confirm the Maximum Tolerable Outage (MTO) using the results from the Business Impact Analysis.</p> <p>Confirm Recovery Time Objective (RTO) for the process, which should be shorter than the MTO.</p> <p>Identify appropriate procedures for each mission critical activity and generate options.</p> <p>Evaluate the cost - benefit for the Mission Critical Activity Strategy options to optimize efficiency, to attain recovery time objectives and to ensure cost effectiveness.</p> <p>Provide executive management with a strategy evaluation, which they can assess based on the organization's risk appetite.</p> <p>Develop recommended Continuity strategies</p> <p>Prepare strategy report and presentation</p> <p>Present Continuity Strategy Report to Executive Management</p> <p>Make changes directed by Executive management</p>		
	<p><b>Develop Education Continuity Plan (ECP)</b></p> <p>Appoint an owner for the EC Plan (or each plan for multiple sites).</p> <p>Define the objectives and scope for the plan.</p> <p>Develop planning process and timetable.</p> <p>Decide on the structure, format, components and control of the plan(s).</p> <p>Determine and document which procedures (Strategic, Operational or Tactical) the plan will document and which will be documented in other plans.</p> <p>Determine and document the circumstances that are beyond the scope of the EC Plan.</p>		
	<p><b>Develop Operational Continuity Strategy:</b></p> <p>Consolidate the recovery strategy or strategies identified in the previously developed Mission Critical Activity strategic framework.</p> <p>Document the resource requirements over time for each mission critical function to achieve continuity or resumption of activity within the timeframes established as part of BIA activity. Examples are:</p> <ul style="list-style-type: none"> <li>- Staff numbers and key skills</li> <li>- Vital Records and data currency (Recovery Point Objective)</li> <li>- Voice and data applications and systems</li> <li>- Infrastructure (cabling and network links)</li> </ul>		



**Education Continuity  
Project Checklist and Schedule**

Task Complete	Project Primary and Development task	Task Assigned To	Month / Year											
	<ul style="list-style-type: none"> <li>- Facilities (alternative location needs)</li> <li>- Suppliers (intra-organization and/or outsourced providers) and their interdependencies</li> <li>- Constraints (such as contractual issues)</li> </ul> <p>Develop and document recovery resources and services strategy to provide for the cost effective restoration of Education mission critical activities;</p> <ul style="list-style-type: none"> <li>- within their desired Recovery Time (RTO) and Maximum Tolerable Outage (MTO) targets.</li> <li>- with data recovered to within their Recovery Point Objectives (RPO).</li> </ul> <p>Create Operational Strategy implementation action plans. The Risk Assessment may suggest priority areas for implementation.</p>													
	<p><b>Write Operational Department and Unit Plan(s):</b></p> <p>Appoint a person to be responsible for development of the plans overall and a representative within each business unit to develop their plan.</p> <p>Define the objective and scope of the plans.</p> <p>Develop a planning process and timetabled program. Where possible, begin with the plans for the most urgent functions.</p> <p>Develop an outline or template plan to encourage standardization of documentation but allow individual variations where this is appropriate</p> <p>The Education Resumption Plans provide the Operational Response to a disruption for each unit of the organization. Examples of Unit plans are:</p> <ul style="list-style-type: none"> <li>- department / school plan to resume its critical functions within a predefined timescale</li> <li>- an incident response team, who deal with the specific incident and its physical impact (if any)</li> <li>- Human Resources response to the staffing and wellness issues of an event</li> <li>- IT branch's response to the loss and subsequent resumption of IT services to the business</li> </ul> <p>Circulate the draft of the plan(s) for consultation, review and challenge within and, where necessary outside, the division</p> <p>Validate the plan with a department table-top exercise</p> <p>Consolidate the plans and review for consistency.</p> <p>Document connections and dependencies with the Division EC Plan and between department plans.</p> <p>Coordinate Emergency Response Plan</p> <p>Review Emergency Response Plan/s and synchronize with the EC plans</p> <p>Document the responsibilities of the Emergency Management Team and their relationship with other plans</p>													

**Education Continuity  
Project Checklist and Schedule**

Task Complete	Project Primary and Development task	Task Assigned To	Month / Year
	<p>Ensure support by and coordination with Emergency First Responders (Fire/Police)</p> <p>Coordinate Crisis Management Plan: Document the responsibilities of the Crisis Management Team and their relationship with other plans</p> <p>Develop continuity procedures for the Crisis Management Plan that can support the role of the Crisis Team during an event</p> <p>Develop continuity procedures for the Crisis Communications Plan</p>		
	<p><b>Implement and Maintain the Education Continuity Plan (ECP)</b></p> <p><b>Implementation – assess awareness, deliver program, measure results</b></p> <p>Develop Division awareness plan</p> <p>Develop ECP training plan</p> <p>Provide Training to Continuity Teams on:</p> <ul style="list-style-type: none"> <li>- ECP Methodology</li> <li>- EC Program objectives</li> <li>- plan assumptions</li> <li>- plan limitations and scope</li> <li>- Department plan development</li> </ul> <p>Develop general employee and stakeholder awareness program</p> <p><b>Maintenance - Exercising, Audit and Review</b></p> <p>Establish exercise plan objectives</p> <p>Determine best exercise and test approaches / methodologies</p> <p>Define Exercise and test logistic requirements</p> <p>Schedule exercise participants</p> <p>Develop exercise goals and objectives</p> <p>Develop exercise scenarios and scripts</p> <p>Critique exercises and tests</p> <p>Review exercise and test results</p> <p>Write exercise report</p> <p>Present recommendations</p> <p><b>Change Management</b></p> <p>Identify triggers and sources of change</p> <p>Define maintenance procedures</p> <p>Document plan maintenance guidelines and procedures</p>		

**Education Continuity  
Project Checklist and Schedule**

Task Complete	Project <b>Primary</b> and Development task	Task Assigned To	Month / Year
	Publish plan maintenance guidelines and procedures Review and modify plan/s based on event and exercise lessons learned Publish continuity plan changes		

**Critical Activity Impact Analysis - Interview Outline**

**Department:** \_\_\_\_\_

Date Completed:

**Superintendent / Manager / Coordinator:** \_\_\_\_\_

- 1 What are your essential critical activities?  
 . (What must be done, What must keep functioning)

**Enter details and brief description in column A of attached form.**

- 2 What are the critical activity enabling processes?  
 . (What activity or process are required to keep the activity functioning)

**Enter details and brief description in column B of attached form. Expand this row as required.**

- 3 Who is dependent on these essential critical functions and processes?  
 . (List the activities or processes that would be affected by the loss of each of the listed activities)

**Please provide details in column C of attached form.** (note: detail internal and/or external)

- 4 What are the anticipated impacts of a disruption of each of the described essential or critical functions?

*Please provide details for each critical activity, in column D-G of attached form using the following values*

Loss of Capability (LOC)	High	75 - 100%
	Medium	50 - 75%
	Low	25 - 50%
Loss of Reputation (LOR)	High	
	Medium	
	Low	
Legal/Regulatory Breach (LRB)	Yes	value of fines / litigation
	No	
Loss of Money (LOM)	High	Over > 100K per day
	Medium	Up to 100K per day
	Low	Up to 10K per day

- 5 Based on the anticipated impact what are your recovery target timeframe for each critical activity?

*What is the tolerance for non performance of a critical activity? How long can the activity / process go unattended before intolerable impacts are realized?*

- |   |              |                   |
|---|--------------|-------------------|
| Please enter the tolerable recovery timeframe in column " I " | 0 to 2 hours | - Immediate       |
|   | 2 to 8 hrs   | - Today           |
|   | 8 – 24 hrs   | - Before Tomorrow |
|   | 24 – 48 hrs  | - Tomorrow        |
|   | 3 to 5 days  | - This week       |
|   | > 5 days     | - This month      |

## Critical Activity Impact Analysis – Data Collection Sheet

**Department**

Date Completed

**Superintendent/Manager/ Coordinator:**

Critical Activity (A)	Critical Activity Enabling Process (B)	Supported Activity / Department (C)	Impact of Non-performance				Priority based on Impact (H)	Recovery Time Objective (I)
			LOC (D)	LOR (E)	LRB (F)	LOM (G)		
<i>What activity must continue or be completed</i>	<i>What activity or process must be continued to ensure the critical activity objectives are met.</i>	<i>Which Department or what activity relies on this critical activity</i>	H, M, L	H, M, L	H, M, L	H, M, L	H, M, L	0-2 hrs 2-8 hrs 8-24 hrs 24-48 hrs 3-5 days >5 days

**Critical Activity Risk Analysis - Interview Outline**

**Department:** \_\_\_\_\_

**Date Completed:** \_\_\_\_\_

**Superintendent / Manager / Coordinator:** \_\_\_\_\_

1. What are the major risk exposures for each essential activity?

***Please provide details in Column C of the Risk Data sheet.***

Risk Source examples	
Human caused or initiated	violence theft error causing loss / damage / injury
Environmental / Natural	tornado blizzard flood heat wave
Technology loss or prolonged interruption	electrical natural gas telecommunications system connectivity computing data systems

2. What are your estimations of the likelihood and impact of each risk?

***Please enter your assessment in column's D, E and F***

Note; this risk analysis can be completed by the continuity planning team in a workshop

Likelihood	High            Likely - once a month  Medium        Possible - once every 10 years  Low             Unlikely - once every fifty years
Consequence	High            Death, violation of the law, loss of major asset Medium        Injury, schedule delays, negative media Low             Illness, interrupted service,

3. Given the results of the Impact Analysis are the current Risk control measures suitable?

*Please enter your assessment of the suitability in Column F.*

Note; this assessment should be completed by the continuity planning team.



### **Critical Activity Capability Analysis - Interview Outline**

**Department:** \_\_\_\_\_

Date Completed:

**Superintendent / Manager / Coordinator:** \_\_\_\_\_

From Appendix B, the Impact Analysis, transfer the critical activities into columns A, B and C listing them in their approved priority order.

Each question is looking for the **minimum** resource/s needed to successfully complete the mission critical activity.

1. Who is currently responsible for each of the critical activities?

*Please provide details in column E of attached form detailing the individual, group or position.*

2. What is the minimum number of staff required to successfully complete the activity?

*Please provide details in Column F of the attached form.*

*Note: consider supervisor / manager, staff, special skills requirements*

3. What are the equipment requirements needed to enable the staff to successfully complete the activity?

*Please provide details in Column G of the attached form.*

*Note: consider desks, chairs, tables, photocopiers, telephones, fax machines, filing cabinets*

4. What vital records are required to successfully complete the activity?

*Please provide details in column G.*

*Note: consider both paper and electronic records.*

*Vital records can be databases, contracts, personal information records*

5. What are your technology recovery requirements?

*Please provide details in column G.*

a. Hardware (processors / data communications / voice and data lines LAN / WAN, remote)  
desktop computers -  
laptop computers -  
printers -  
modems -  
servers -  
routers -



b. Software (applications financial management systems / operating systems / data base)

email

Internet

corporate office suite

access to files stored on network

School division external web

School division internal web

other software:

other applications:

6. What are your alternate work location requirements for each of the described critical functions?

*Please provide details in column G.*

Note: consider - classrooms, offices, specialist equipment

Workspace by number of employees

Worksite environment controls i.e. air-conditioning etc

Worksite security requirements

7. Do sufficient and suitable continuity resources currently exist?

*Please enter a Yes or No for each resource in Column H.*

*In this space enter details of the gaps in critical resource requirements.*

8. Please detail current disruption coping procedures and / or contingency plans?

*Please provide details in Column I.*

*i.e. existing agreements with other organizations for space utilization, work from home, data saved to disk, off-site records storage etc*

9. Following the planning team analysis what are the recommended continuity options?

*Please provide details in Column J*

## Critical Activity Resource and Option Analysis - Data Collection Sheet

Department: \_\_\_\_\_

Date Completed: \_\_\_\_\_

Completed by: \_\_\_\_\_

*Create a new sheet for each critical activity*

Critical Activity	Critical Activity Enabling Process	Priority High, Medium, Low	RTO 0-2 hrs 2-8 8-24 24-48 3-5 days >5 days	Activity Owner	Activity Resource	Minimum Requirement	Capability Exists Yes / No	Current Coping Strategy	Recommended Continuity Option
<i>Clip from Appendix A</i>	<i>from Appendix A</i>				<b>People</b>	Managers - #			
						Staff - #			
					<b>Equipment</b>	Specialty Skills			
						work stations - qty			
						telephones - qty			
						photocopier - qty			
						fax machine - qty			
					<b>Technology</b>	filing cabinet - qty			
						Hardware -			
						computers - qty			
						laptops - qty			
						printers - qty			
						servers - qty			
						routers - qty			
						Software -			
					office suite				
<b>Facilities</b>	financial systems, programs applications								
	office/s - #								
	classrooms								
	environment controls								
	air-conditioning								
	security requirements								

## Appendix E – Extraordinary Circumstances and Issues

An extraordinary circumstance can be described as an event or series of events that by its nature has the potential to be catastrophic and affect not only your operations but also significantly and unpredictably affect your students, community, partners and suppliers.

There are a number of risks events that have in the past created exceptional circumstances and resulted in catastrophic disasters or crisis. The most commonly considered are:

- Acts of workplace violence
- Pandemic
- Regional natural disasters
- Mass casualties and / or fatalities

These exceptional circumstances have the potential to significantly alter your “normal” operating environment and change your risk analysis assumptions; therefore, they require additional continuity option analysis and strategy development. There is a need to develop continuity responses specific to these potentially catastrophic risk events.

You may already have contingency plans for these potential exceptional circumstances. If you currently have contingency plans, your options are to maintain the existing plans separate from the ECP, ensuring that they are synchronized, or integrate them into the ECP. The current recommended best practice is to merge and integrate your contingency plans into the ECP.

This appendix looks at these circumstances and outlines additional continuity options and strategies. Continuity options include the control of risks associated with extraordinary circumstances and the protection of people, equipment, information, technology and facilities.

At a minimum, to proactively control the likelihood of the risks associated with an extraordinary circumstance the organization needs to:

- assign responsibility for monitoring emerging community and environmental risks,
- update, analyze and communicate changes in the risk profile,
- establish and maintain personal contact and liaison with civic and provincial agencies responsible for controlling community and environmental risks,
- develop and implement special preventative control measures designed to reduce the likelihood of the event occurring in the areas that you control.

At a minimum, to mitigate the impact of the events associated with an extraordinary circumstance the organization needs to:

- review your essential function list and consider adjustments that may be required due to the characteristics of the risk,
- identify which essential function enabler (people, facilities, technology, records) would be most affected by the emerging risk and exceptional event,
- develop and implement special and unique measures designed to protect the essential function enablers (people, facilities, technology, records) that are most vulnerable to the emerging risk and exceptional event,
- develop and implement special and unique plans or procedures to ensure that the essential functions can be maintained for a prolonged period of time, recovery from these events may not be able to start immediately.

### 1. Acts of workplace violence

#### 1.1. What is the risk?

In Section 37(1) of the OH&S Regulations "violence" means the attempted, threatened or actual conduct of a person that causes or is likely to cause injury, and includes any threatening statement or behaviour that gives a worker reasonable cause to believe that the worker is at risk of injury.

**To be development**

## 2. Pandemic

### 2.1. What is the risk?

A pandemic means an epidemic of any disease over a wide geographic area affecting a large proportion of the population. Pandemic influenza occurs when a major new subtype of influenza virus appears against which the entire human population has little or no immunity. It spreads rapidly and widely, and causes more severe disease and more deaths than a seasonal influenza. Pandemic influenza has occurred on average about once every 30 – 40 years since 16th century, with the last one hitting almost 40 years ago. In the last century, there were three influenza pandemics:

- The Spanish Flu in 1918-1919 killed an estimated 30,000 to 50,000 people in Canada and 20 – 40 million people worldwide;
- Asian Flu in 1957-1958 resulted in about one million deaths worldwide;
- Hong Kong Flu in 1968 -1969 killed less than one million people worldwide.

The Saskatchewan Health's Public Pandemic Influenza Plan states that "It is not possible to predict when the next influenza pandemic will occur or how serious its impact will be. However, since there may be little warning, the federal government, Saskatchewan Health, the Regional Health Authorities, and municipal governments along with other governments and agencies around the world are preparing to respond when the next pandemic arrives. Worst case assumptions are:

- the next pandemic virus will arrive in Canada within three months after it emerges in another part of the world,
- the first peak of illness in Canada will occur two to four months after that.
- a pandemic will have more than one wave and each wave will last likely six to eight weeks,
- between 15% and 35% of the population would be affected. For Saskatchewan the Health Departments estimates are:
  - 150,000 – 350,000 people could become clinically ill;
  - 60,000 – 160,000 people could require outpatient care;
  - 1,000 to 2,800 people could require hospitalization;
  - 300 to 1,000 could die from influenza or complications of influenza.
- there is potential for 50 % absenteeism for 2 weeks during the height of the most severe wave,
- absenteeism will be a result of both employee illness and family-care needs, and
- there is no immediate medical remedy, anticipate 4 to 6 months for a vaccine.

### 2.2. What is the anticipated impact on Education Continuity?

Worst case impacts include:

- reduced labour pool, including your regular employees or availability of temporary employees or subcontractors
- cancelled client service requests
- interruptions in delivery of supplies or materials (especially if imported by air or land, including goods that go through international borders and customs),
- changes in technology use, for example increased internet and telephone use,
- reduction or restrictions on public meetings or gatherings,
- restrictions on travel (regional, national or international),
- reduced availability of health care or home care services, and
- disruption's in other essential services such as telecommunications, financial/banking services, water, power (hydro), gasoline/fuels, medicine, or the food supply.

### 2.3. Why may the Health Region prevent public gatherings and close schools?

During the 1957-1958 pandemic, the WHO found that spread of the pandemic influenza within some countries followed public gatherings, such as conferences and festivals. They also observed that in many countries, the pandemic broke out first in camps, army units and schools.

Closure of schools may be particularly effective in an influenza pandemic because of the role children play in spreading influenza. Also, during the first wave of the Asian influenza pandemic of 1957-1958, the highest attack rates were in school-aged children.

### 2.4. Why will people be away from work?

The reasons will include:

- being sick or quarantined (suspected, actual, or post-infectious cases),

- fulfilling volunteer roles in the community, including helping with emergency services,
- caring for school aged children (if sick, or in the event schools are closed), or other family members,
- preferring to remain at home, or under mandatory order by public health,
- avoiding of public spaces, including gatherings, and avoidance of public transportation,
- in a worst case scenario, they may have died or be on long-term disability.

#### 2.5. Pandemic Strategic responses that should be included in the ECP.

- definition of continuity management team responsibilities including pandemic monitoring and an internal pandemic disruption escalation process,
- appointment of a pandemic coordinator who is responsible for coordinating prevention efforts and tracking employee wellness,
- procedures to determine the health status of employees and a process for determining if an employee should be sent home,
- procedures for considering the employer obligations under the Occupational Health and safety Act,
- procedures for the closing of buildings,
- procedures for implementing and communicating program cancellations,
- application of or amendments to HR benefit programs such as the definition of absenteeism, sick leave criteria, time off and vacation,
- changes to travel policies,
- changes to flexible work hour and alternate workplace policies,
- procedures for communicating with employees to provide clear, timely and pro-active communications, including how your organization is handling the situation

#### 2.6. Pandemic Operational Procedures that should be included in the ECP.

- procedures for monitoring and reporting the status of pandemic affected essential activity capabilities,
- procedures for amending the established priority order of essential activity recovery, resumption or suspension,
- procedures for communicating the notification of service reduction / cancellation to education stakeholders, employees, students, the community, the media,
- identification of core people and skills required to keep the essential activities running and ensure that there sufficient back ups for people and skills if there is a high level of absence,
- procedures to minimise illness among staff and visitors, including restricting workplace entry of people with influenza symptoms, increase social distancing (e.g. enable tele-working, avoid face-to-face contact) and management of staff who become ill at work,
- procedures for documenting and reconciling pandemic related expenditures and claims (example: purchases, hours worked, travel and meal expense claims)
- procedures for providing employee pandemic support and coordinate ongoing crisis support through the employee and family assistance programs and providers,
- procedures for providing support to employees during and after the event, including relevant policies with respect to time off, pay and benefits, compensation.
- procedures for implementing additional workplace cleaning measures to minimize the transmission of the virus through environmental sources, particularly hard surfaces such as sinks, handles, railings, objects and counters). Surfaces that are frequently touched with hands should be cleaned often, preferably daily.
- responsibility and procedures for ensuring that adequate supplies of hand hygiene products are available, there will be interruptions to the supply and shortages of soap and hand towels.
- responsibility, authority and process for infected site inspections, cleanup and repairs,
- procedures for increasing stock levels to prepare for extended pandemic related delays in supply delivery.

#### 2.7. Pandemic Tactical Procedures that should be included in the ECP.

- measures to minimise introduction and/or spread of influenza in work place (post notices; social distancing, managing ill staff members, workplace cleaning, etc.)
- procedures to communicate with staff to promote confidence in the workplace,
- procedures for contact tracing where staff become ill at work,
- procedures for recovered / well staff members to return to work
- recommended good personal hygiene practices, cover nose and mouth when sneezing and coughing, good hand washing / hand hygiene practices, and workplace cleaning habits to minimize influenza transmission.

#### 2.8. Pandemic Information Resources:

Saskatchewan Health <http://www.health.gov.sk.ca/pandemic-influenza-plan>

Government of Canada [www.influenza.gc.ca](http://www.influenza.gc.ca)

### 3. Regional Natural Disasters

#### 3.1. What is the risk?

These events may directly affect your essential critical activities or indirectly affect the essential activity components and functions by causing widespread property and infrastructure damage. They have the potential to be catastrophic and affect not only your operations but also significantly and unpredictably affect the safety and wellbeing of your employees, students, the community and partners.

Some examples include:

- a prolonged winter storm or blizzard,
- a tornado or plough wind,
- a forest or grass fire.

#### 3.2. What is the anticipated impact on Education Continuity?

Possible impacts include:

- wide spread facility destruction, damage or denial of access,
- multiple casualties,
- interruptions in delivery of supplies or materials,
- changes in technology use, for example increased internet and telephone use,
- restrictions on travel in the region,
- prolonged disruption's of essential services such as telecommunications, financial/banking services, water, power (hydro), gasoline/fuels, medicine, or the food supply.
- employee absenteeism due to fulfilling volunteer emergency response roles in the community, including helping with emergency social services,
- employee absenteeism due caring for school aged children, in the event schools are closed, or other family members,
- facilities required by community emergency response agencies for activities such as reception centres, shelters or commodity deliver points.

#### 3.3. Natural Disaster strategic responses that should be included in the ECP.

- definition of continuity management team responsibilities for natural risk monitoring and an internal disaster escalation process,
- procedures for considering the employer obligations under the Occupational Health and Safety Act,
- procedures for the closing of buildings,
- procedures for inspecting buildings, declaring them safe and authorizing re-entry
- procedures for implementing and communicating program cancellations,
- application of or amendments to HR benefit programs such as sick leave criteria, time off and vacation,
- changes to travel policies,
- changes to flexible work hour and alternate workplace policies,
- procedures for communicating and coordinating activities with local emergency response agencies,
- procedures for communicating with employees to provide clear, timely and pro-active communications, including how your organization is handling the situation

#### 3.4. Natural Disaster operational responses that should be included in the ECP.

- procedures for monitoring and reporting the status of natural disaster affected essential activity capabilities,
- procedures for amending the established priority order of essential activity recovery, resumption or suspension,
- procedures for natural disaster event impact analysis and selection of impact mitigation actions,
- procedures for communicating the notification of service reduction / cancellation to education stakeholders, employees, students, the community, the media,
- procedures for documenting and reconciling natural disaster related expenditures and claims (example: purchases, hours worked, travel and meal expense claims)

- procedures for providing employee support and coordinate ongoing crisis support through the employee and family assistance programs and providers,
- procedures for providing support to employees during and after the event, including relevant policies with respect to time off, pay and benefits, compensation.
- responsibility, authority and process for damaged site inspections, cleanup and repairs,
- procedures for increasing stock levels to prepare for extended natural disaster related delays in supply delivery.

3.5. Natural disaster tactical procedures that should be included in the ECP.

- measures to minimise the impact of a natural event such as sandbagging, restricting outdoor activities,
- procedures for selecting and communicating personal protection activities such as shelter in place, evacuation,

4. Multiple casualty and / or fatality events

**To be development**

Appendix F – Maintenance and Exercise Plan

**Maintenance Activities**

- 1 Determine which of the maintenance processes you will employ to audit and review your plans, refer to the Framework paragraph 5.2. Enter your selection in Column A.
- 2 Briefly define the maintenance activity objectives. Enter the recommendations in Column B.
- 3 Determine who will participate, department/branch/team. Enter the department / branch in Column C
- 4 Assign responsibility for leading the activity. Enter the persons name and position in Column D.
- 5 Determine the best date/s to conduct these activities, refer to Framework paragraph 5.2. Enter the recommended dates in Column E.

**Exercise / Test Activities**

- 1 Briefly define the exercise objectives. (refer to Framework paragraph 5.7) Enter the recommendations in Column B.
- 2 Determine who will participate. Enter the department / branch / team in Column C
- 3 Determine which of the exercise types you will employ. Refer to Framework paragraph 5.9 and 5.10. Enter your selection in Column A.
- 4 Assign responsibility for leading the activity. Enter the persons name and position in Column D.
- 5 Determine the best date/s to conduct these activities, refer to Framework paragraph 5.2. Enter the recommended dates in Column E.

	Activity (A)	Objective (B)	Participants (C)	Leader (D)	Date (E)
1					
2					
3					
4					
5					
6					
7					
8					
9					
10					
11					
12					
13					